STANDARD OPERATING PROCEDURES

for

OBSERVER PROGRAMMES

Promoted and Funded by
Implementing partners
Acknowledgements

Preparing this manual would not have been possible without the many years of work previously done by the Chris Heinecken (CapFish / CapMarine) and Teresa Athayde (Independent Consultant) in developing the procedures, processes and forms used to run an Observer Programme. The work done by Chris Heinecken, Pascal Bach and Vincent Lucas, in peer reviewing this Standard Operating Procedures greatly facilitated the preparation of this document.

Design and compiling: Teresa Athayde
Icons: Noun Project (www.thenounproject.com)
Cover and layout: Shirley Chan (Ecofish Programme)
# Contents

<table>
<thead>
<tr>
<th>SOP 1</th>
<th>MANDATE</th>
<th>6</th>
</tr>
</thead>
<tbody>
<tr>
<td>SOP 2</td>
<td>COVERAGE AND STRATIFICATION</td>
<td>6</td>
</tr>
<tr>
<td>SOP 3</td>
<td>MANAGEMENT AND SUPERVISION</td>
<td>7</td>
</tr>
<tr>
<td>SOP 4</td>
<td>ADMINISTRATION</td>
<td>9</td>
</tr>
<tr>
<td>SOP 5</td>
<td>INSURANCE</td>
<td>10</td>
</tr>
<tr>
<td>SOP 6</td>
<td>FINANCIAL MEANS (BUDGET AND FUNDING)</td>
<td>11</td>
</tr>
<tr>
<td>SOP 7</td>
<td>SENSITIZING FISHING COMPANIES AND VESSEL OPERATORS</td>
<td>11</td>
</tr>
<tr>
<td>SOP 8</td>
<td>OBSERVER RECRUITMENT</td>
<td>13</td>
</tr>
<tr>
<td>SOP 9</td>
<td>BASIC OBSERVER TRAINING</td>
<td>14</td>
</tr>
<tr>
<td>SOP 10</td>
<td>MEDICAL CHECKS</td>
<td>17</td>
</tr>
<tr>
<td>SOP 11</td>
<td>PROCESS FOR THE CERTIFICATION OF OBSERVERS AT THE SWIO REGION LEVEL</td>
<td>18</td>
</tr>
<tr>
<td>SOP 12</td>
<td>OBSERVER PLACEMENT</td>
<td>19</td>
</tr>
<tr>
<td>SOP 13</td>
<td>OBSERVER DEISEMBARKATION AND POST-TRIP COORDINATION</td>
<td>22</td>
</tr>
<tr>
<td>SOP 14</td>
<td>DEBRIEFING</td>
<td>24</td>
</tr>
<tr>
<td>SOP 15</td>
<td>DATA HANDLING</td>
<td>25</td>
</tr>
<tr>
<td>SOP 16</td>
<td>COMPETENCY ASSESSMENT</td>
<td>26</td>
</tr>
<tr>
<td>SOP 17</td>
<td>REFRESHER TRAINING</td>
<td>26</td>
</tr>
<tr>
<td>SOP 18</td>
<td>DECERTIFICATION PROCEDURE</td>
<td>27</td>
</tr>
<tr>
<td>SOP 19</td>
<td>RECERTIFICATION</td>
<td>28</td>
</tr>
<tr>
<td>SOP 20</td>
<td>PRECAUTIONARY ACTIONS</td>
<td>29</td>
</tr>
<tr>
<td>SOP 21</td>
<td>VESSEL SAFETY CHECK</td>
<td>31</td>
</tr>
<tr>
<td>SOP 22</td>
<td>EMERGENCY ACTION PLAN</td>
<td>32</td>
</tr>
</tbody>
</table>

## Appendixes

| APPENDIX 1 | VESSEL NOTIFICATION | 34 |
| APPENDIX 2 | REGIONAL PRE-REQUISITES FOR THE CERTIFICATION OF OBSERVERS | 35 |
| APPENDIX 3 | REGIONAL STANDARDS FOR THE TRAINING OF OBSERVERS | 36 |
| APPENDIX 4 | REGIONAL STANDARDS FOR THE ASSESSING OF OBSERVER TRAINING | 37 |
| APPENDIX 5 | OBSERVER TRAINER MINIMUM STANDARDS | 38 |
| APPENDIX 6 | EQUIPMENT AND GEAR CHECKLIST | 39 |
| APPENDIX 7 | OBSERVER DEPLOYMENT FORM | 40 |
| APPENDIX 8 | OBSERVER DEPLOYMENT REPORT | 42 |
| APPENDIX 9 | VESSEL PRE-SEA SAFETY CHECK FORM | 43 |
| APPENDIX 10 | STATUS REPORT | 46 |
The placement of observers requires a “legal mandate”. The mandate provides the legal obligation for vessels to accommodate an Observer when requested and outlines the conditions for these deployments.

1. Identify national legislation\(^1\) texts that provide the legislative mandate to implement an Observer Programme.
   a. clearly describe texts that provide the mandate to implement the programme;
   b. identify references so that they can be easily cross-referenced.

2. Check Regional Fisheries Management Organisations’ resolutions and standards that frame the Observer Programme’s execution\(^2\).
   a. summarize the sections that frame the programme’s execution;
   b. identify text so that it can be easily used for reference.

3. Research international legal instruments\(^3\)
   a. extract specific references that support Regional Fisheries Management Organisation (RFMO) and National Observer Programme (NOP) implementation.

Observer coverage will depend on programme objectives, and national and regional requirements. Coverage should be stratified across gear type, vessel size, target species, area and season, to be representative of the entire fleet so that there will be minimal bias in results from the extrapolation of Observer data. There should also be adequate Observer representation across all individual vessels over the long term.

---

\(^1\) Fisheries Act, Fisheries Regulations, Vessel Licence conditions, Fishing Permit conditions, Conditions pertaining to an Access Agreement, Other legal instruments (e.g.: MoU)

\(^2\) IOTC Resolution 11/04, IOTC ROS Standards and others.

\(^3\) UNCLOS; UN Fish Stocks Agreement; Bilateral agreements; MoUs, etc.
1. **Identify NOP management structure**
   The NOP can adopt one of the following management structures:
   a. the management staff and Observers are employed by the fisheries authority;
   b. the management staff is employed by the fisheries authority and Observers are contracted to the programme either as private contract workers or outsourced to an independent Observer service provider4;
   c. the management staff and the Observers form a separate entity to the fisheries authority, either as a government agency (or other similar semi-private organization) or an independent Observer service provider contracted to the fisheries authority.

2. **Identify NOP Observer Logistic Coordination (OLC) Team**
   The type and number of staff involved in an Observer Programme can differ enormously with the size of the programme.
   The Programme Management Team should include at least a:
   a. **Senior Level Official**: To oversee the programme’s progress and facilitate higher level coordination, seek permission for legislative, budgetary, staffing or administrative changes where necessary, communicate with national fisheries authorities and regional fisheries management organisation (RFMOs).
   b. **Observer Coordinator**: To make decisions and deal with all Observer-related tasks, including: Observer deployment logistics; briefing and debriefing; and in-trip health and safety reporting.
   c. **Administrator**: Responsible for programme’s financial and administrative arrangements and for Coordinator administrative support.
   d. **Database Manager or Data Analyst**: Responsible for the quality control of data. To oversee the collecting, processing, and reporting of Observer data.

3. **Identify NOP OLC Team tasks (NOP OLC Team)**
   a. recruit potential Observer candidates (internally or externally);
   b. train Observer candidates (internally or externally), in accordance with national and regional requirements;
   c. deploy Observers in such a way that they adhere to the required national and regional coverage levels and stratification;
   d. ensure that Observers effectively carry out actions and duties required as per national and regional data collection protocols;
   e. brief and debrief Observers;
   f. subject the information gathered by Observers to appropriate quality controls before submitting it to Data Manager / Analyst and thereafter to national and regional organizations.

4 Independent observer service provider shouldn’t have direct links with the fishing industry to avoid conflict of interests.

The administration process supporting the coordination of the Observer programme is a key aspect of the management of Observers and includes:
   a) Observer employment contracts and remunerations; b) insurance coverage; c) managing leave and time off; c) Observer rotation.

1. **Ascertain the type of contract to be offered to Observers (NOP OLC Team)**
   a. monthly rate;
   b. sea-day rate;
   c. combination rate (e.g., monthly salaries + at-sea allowance).

2. **Prepare Observer contract template (for independent Observers) or assignment letter template (for internal or external staff) (NOP OLC Team)**
   a. specify:
      ✓ salaries and sea-going rates;
      ✓ compliance to labour regulations with respect to leave and taxes;
      ✓ the Observer’s job description;
      ✓ disciplinary action for non-performance;
      ✓ Observer code of conduct;
      ✓ conditions for the deployment and the maintaining of Observer protocol on board;
      ✓ Observer confidentiality;
      ✓ personal accident and injury insurance;
      ✓ other benefits.
   b. clearly outline all rates and administrative deductions for tax, where appropriate;
   c. highlight how payment is to be conducted, if payment advances are allowed and in what proportion, and how payment balance is to be reconciled at the end of the trip;
   d. clearly state disciplinary procedures to manage negligence, non-performance or discipline of Observers;
   e. include timelines for submission of data and reports, and a confidentiality statement.

3. **Decide on Observer prescribed leave, contract breaks and administrative process (NOP OLC Team)**
   a. Observers on fixed salaries:
      i. allocate additional leave to Observers based on the number of days spent at sea (e.g., one (1) day off for every seven (7) sea-days).
b. Observers on ad hoc contracts
   i. avoid using ad hoc Observers on consecutive long assignments without giving them sufficient time off between trips;
   ii. determine a minimum break between trips;

4. Ensure Observers rotate among vessels and that no Observer is allocated to a single vessel.

International fishing is considered one of the occupations with the highest risk of personal accident and injury. Due to these high risks and insurance costs, and possible high claims, it is advisable to seek professional legal advice when choosing an insurance cover.

1. Choose an insurance cover for the Observer Programme to insure Observers “while on board the vessel” and “while on contract but not on board” (NOP OLC Team)
   a. Insurance cover for the Observer “while on board the vessel”:
      i. personal accident and injury in the workplace insurance;
      ii. or require the vessel operator to include the Observer in the P&I insurance cover for vessel for the trip:
         • clearly specify this requirement with the vessel owners or operators;
         • sign Observer to the vessel’s articles with the crew for the time they are on board;
         • confirm that the Observer is signed on in a category where they will be covered fully by the vessel’s insurance.

Insurance cover for the Observer “while on contract but not on board” (normally a travel insurance policy that covers Observers for the period traveling to or from the vessel).

5 Only Observers in the possession of a valid STCW Basic Safety Training certificate (compliant with the Convention on Standards of Training, Certification and Watchkeeping for Seafarers (STCW) 1995 amended in 2010), can be signed on to a vessel’s articles with the crew and covered by vessel insurance for the duration of their embarkation.
1. Compile and send a generic official communique on the Observer Programme to all fishing companies (Coordinator). Include:
   a. programme’s objectives;
   b. Observer duties;
   c. reference to vessel’s licence and permit conditions, and the mandate in these for the vessels to accommodate an Observer;
   d. a synopsis of a vessel’s obligation to comply with all requirements relating to Observers;
   e. preliminary outline on the implementation of Observer levies per vessel/fleet and of advance payment procedures, to cover for Observer Programme costs (if any);
   f. preliminary outline on the implementation of a Memorandum of Understanding (MoU) between the NOP managing authority and vessels concerning the Observer Programme;
   g. the responsibility of the vessel to provide a notice by email of its planned sailing dates, time and port of departure each time it plans to leave port;
   h. contact details for Programme Coordinator.

2. Establish an MoU with vessel operators prior to the deployment of Observers and include (Senior Level Officer/Coordinator):
   a. terms and conditions for the Observer’s deployment;
   b. protocols to be followed;
   c. prescribed work schedules;
   d. the responsibilities of the vessel in providing support for the Observer;
   e. health and safety for the Observer on board the vessel;
   f. details on Programme Emergency Action Plan (EAP).

3. Clarify with vessel operators details on any MoUs signed with other countries and/or organizations, concerning the sharing of Observers and Observer data (Coordinator). Include:
   a. details on the MoU of interest to vessel operators;
   b. parties to the MoU;
   c. signatory date and validity.

Observers work alone, often for long hours and mostly without supervision. To do this, they must have the correct academic background, physical and mental capacity to work at sea, and a high degree of personal integrity.

1. Prepare a draft call for applications (Administrator)
   a. include information on the job and work conditions;
   b. list required minimum prerequisites and qualifications (see Appendix 2);
   c. detail documents to be submitted (e.g., CV, certificates, recommendations, etc.);
   d. explain application, training and selection procedures;
   e. provide a deadline for applications.

2. Publish call for applications (Administrator)
   a. advertise internally if recruiting staff internal to NOP management authority;
   b. advertise externally if recruiting staff from another organization;
   c. advertise publicly if recruiting independent Observers (social media, newspapers, etc.).

3. Receive applications (Administrator)
   a. register applications into a selection matrix table.

4. Screen applications (Administrator)
   a. check applications for full documentation;
   b. question referees provided in a candidate’s Curriculum Vitae (CV);
   c. shortlist applicants by ranking them against the selection criteria.

5. Notify shortlisted applicants and invite them to sit entry tests (Administrator)
   a. notify shortlisted applicants by phone and invite them to complete a pre-recruitment assessment test to prove their literacy and mathematical competencies (see Annex 1).

6. Carry on entry tests (Administrator)
   a. only applicants that succeed the pre-recruitment test are to be interviewed.

7. Notify applicants that succeed on entry tests for an interview (Administrator)
   a. invite applicants who passed the pre-recruitment assessment tests to a face-to-face formal interview.
8. Carry out interviews (Coordinator)
a. formal face-to-face interview with the applicant;
b. the interview can be conducted by a panel or one-on-one.

9. Conduct final screening and selection of applicants (Coordinator)
a. select the best candidates and identify reserve candidates to be on standby.

10. Obtain Programme Managing Authority approval (Senior Level Officer)
a. submit final applicants list to the Programme Managing Authority for viewing and approval.

11. Notify successful candidates (Administrator)
a. formally notify successful applicants;
b. provide applicants with time to respond;
c. if the candidate refuses the offer, make the offer to a reserve candidate.

Training is a key element in the implementation of an Observer Programme. Trainers may be internal to the programmes or may be specialists brought in from other programmes or organizations, or supplied by training providers.

In-House Training

1. Organize training according to national and regional standards (Coordinator/Administrator)
a. Education/Entrance
   Qualifications for entry to Observer training should meet minimum agreed national and regional prerequisites for the certification of Observers (Appendix 2).
b. Training
   Training should meet as a minimum agreed national and regional standard to ensure that Observers acquire the required skills (Appendix 3).
c. Assessment
   To successfully complete training, candidates should be subject to a competency-based assessment and meet or exceed agreed national and regional minimum competency standards (Appendix 4).

Outsource training

2. Prepare Terms of Reference (ToR) for the implementation of Observer training (Coordinator)
a. clarify that training is to be conducted according to regional standards (as mentioned above);
b. list required trainer skills, qualifications and experience (as mentioned above);
c. list documents to be submitted to Observer Management Authority following training:
   i. list of trainers and CVs;
   ii. list of Observer candidates and CVs;
   iii. training curriculum and methodologies;
   iv. implemented daily training schedule (per subject and lecture type);
   v. list of training materials (manuals, syllabus, sample lesson plans, quizzes, Power Point (PPT) presentations and other relevant material);
   vi. details on assessments tools (exercises, practical tasks, written and/or oral assessment, and results);
   vii. training manual.

3. Circulate call for applications and ToR to potential trainers/training entities (Administrator)
a. provide deadline for the submission of proposals;
b. detail application and selection process;
c. provide an expected date for the training of Observers.

4. Implement training/supervise training implementation (Trainers/Coordinator)
   Ensure that Observer candidates undergo training according to the competencies required.

---

6 Copies of these documents are to be kept by the Observer Coordinator for a minimum of five (5) years for review and validation purposes.
5. Assess by competency/supervise competency-based assessment (Trainers/Coordinator)
   Confirm that Observer candidates are subject to a competency-based assessment. Assessments are to be carried out on each of the Indian Ocean Tuna Commission (IOTC) Regional Observer Scheme (ROS) minimum competency standards.

6. Reassess/supervise reassessment when and if required (Trainers/Coordinator)
   Observer candidates deemed not competent after assessment are then retrained on those competencies that they lack knowledge on and reassessed again.

7. Brief, debrief, and check data / supervise the briefing, the debriefing and data checking of Observer candidates pilot deployments.
   The conducting of pilot deployment of Observer candidates should be integrated to the basic observer training course. The debriefing of Observer candidate and the checking of the data collected will allow to assess Observer candidates’ competency and knowledge gaps.

8. Issue/supervise the issue of a ‘Performance Feedback Form’ to be filled by the Fishing Master/Skipper/ Captain.
   Written feedback on Observer candidate at-sea performance should be requested from vessel Fishing Master/Skipper/ Captain. This can be achieved via the issue of a performance feedback form.

9. Compile/supervise the compiling of results (Trainers/Coordinator)
   All the results from each individual assessment and pilot deployment are to be compiled for an overall competency, to determine if the Observer candidate is deemed to be competent in basic Observer work on a specific gear before being issued a gear-specific training certification.

10. Issue/supervise the issue of ‘Basic Observer Training Course’ certificates listing the gears in which the Observer candidate has been trained on (Trainers/Coordinator)
   Observer candidates that have undergone training will be issued with an individual training certificate inclusive of assessment results per training module. Observer candidates that meet minimum competency standards will be certified as fully trained in the gear they’ve trained for. Valid for a period of five (5) years for Observers that complete at least 30 days at-sea per calendar year per gear listed. Valid for a period of two (2) years for Observers that didn’t complete 30 days at-sea per calendar year per gear listed.

At-Sea Safety Training (STCW2010 or equivalent)

11. Outsource training to an International Maritime Organisation (IMO) certified institution (Trainers/Coordinator)

12. Ensure that training includes a minimum of the following modules (Trainers/Coordinator):
   a. Personal Survival Techniques
      i. emergency situations
      ii. basic emergency actions
      iii. abandon ship and sea survival techniques
      iv. emergency radio equipment
   b. Personal Safety and Social Responsibility
      i. comply with emergency procedures
      ii. knowledge and observation of safe working practices
      iii. contribute to effective human relationships on board ship
      iv. contribute to effective communications on board ship
      v. understand and take necessary actions to control fatigue
      vi. take precautions to prevent pollution to marine environment

13. Supervise the issue of Basic Safety At-Sea Training Certificate (Administrator)
   Observers that successfully undergo training will be issued with an STCW2010 Basic Safety At-Sea Training Certificate, valid for five (5) years.

14. Request the issue of Observer Seaman’s Book (Administrator)

Seafarers (Observers included) are required to undergo medical examinations to reduce risks to other crew members and for the safe operation of the ship. Regular medical checks confirms that Observers are able to endure normal conditions of life at sea and that their health status will not endanger the health and safety of the other people aboard.

1. Identify Standards of Training Certification and Watchkeeping for Fishing Vessels (STCW-F) authorized medical practitioner/s (Administrator)
2. Schedule Observers for check-up (Administrator)
   a. ensure Observers undergo regular medical check-ups – ideally every six (6) months but with a minimum of every two (2) years – to ensure they are physical and mentally fit for Observer duties;
   b. ensure the Observer’s national vaccination scheme is complete and up to date. If additional vaccination is necessary for the Observer to board, the programme should provide for it.

The "Observer Certification Process" is the action or process that a SWIO coastal State Observer must undergo to be recognized at the SWIO region level, before being considered as qualified to conduct cooperative observation at regional level. This is a sub-regional certification that does not prevail for any RFMO.

1. Recommend certification (Coordinator)
   National Observers that meet the Minimum Criteria for the Certification of Observers at a Sub-Regional Level are recommended for certification to the Working Group of SWIO coastal State National Observer Programme managers (WG SWIO NOPm).

2. Notify Observers of refresher training (Administrator)
   a. Observers are informed that they are to integrate refresher training – a training that they must complete to a satisfactory level before being considered for certification.
   b. Observers that have successfully completed equivalent refresher training over the previous two (2) calendar years will be directly considered for certification by the WG SWIO NOPm.

3. Certify where appropriate (WG SWIO NOPm)
   The WG SWIO NOPm agrees where appropriate to the certification of the Observer at a Sub-Regional Level.

4. Issue formal notice (Administrator)
   A formal notice is prepared advising the Observer of their status with regards to certification and clarifying that certification is gear-specific and that, therefore, they are to be certified separately for each gear type.

5. File copy of formal notice (Administrator)
   The formal notice original hard copy is served to the Observer concerned and the duplicate is filed.

6. Send notification to the Regional Observer Coordinator (WG SWIO NOPm)
   The formal notice of Observer certification is sent to the Regional Observer Coordinator (ROC) and the printing of Observer ID card requested (one (1) year validity).

7. Issue Observer ID card (ROC)
   Successful candidates are provided with IOC Observer ID cards attesting that they are certified to conduct "Cooperative Observation" trips for specific gear type/s.

8. Notification to RFMOs and Regional Organisations (ROs) (ROC and Coordinator)
   The formal notice of Observer certification is sent to the Secretariat of the IOTC and to other RFMOs and ROs that require this information.

Each Observer deployment follows a sequence of predefined steps. Once a vessel is identified to carry an Observer, it is necessary to select and advise an Observer as soon as possible to allow them to settle their personal affairs and prepare for being away from their home and families.

All Observers engaged for trips should be 100% fit, without illness or family issues that might affect their performance whilst on duty.

1. Adhere to required coverage levels and planned stratification when organizing Observer placement (Coordinator)

2. Identify the vessel (Coordinator)
   a. for a flagged fishing vessel, identify the vessel based on the required national coverage level per gear type;
   b. for a foreign vessel, identify the vessel based on the required national coverage level per gear type and established agreements and MoUs.

3. Notify the fishing company of the placement of an Observer (Coordinator)
   a. for a locally based or owned fishing vessel, advise the vessel owner or agent when their vessel is due to carry an Observer;
   b. For a foreign vessel, advise the vessel owner or agent when their vessel is due to carry an Observer according to national requirements, established agreements and MoUs.
4. **Identify an Observer for placement (Coordinator)**
   a. assess Observer performance for repeated placements on a particular vessel gear type, based on Observer’s previous records in:
      i. data collection;
      ii. data compiling;
      iii. debriefing scores.

5. **Notify selected Observer on their placement (Coordinator) (Appendix 7)**
   a. establish contact with the selected Observer;
      i. at least one week in advance of trips likely to be shorter than one (1) month;
      ii. at least three weeks in advance of trips likely to be longer than one (1) month.
   b. confirm Observer availability and physical fitness (check that Observer Certificate of Medical Fitness, issued by an IMO certified practitioner, is valid);
   c. check Observer documents for validity (STCW basic at-sea training, passport, shots, etc.);
   d. assess Observer mental and physical state during a face-to-face interview.

6. **Schedule Observer for necessary medical screening (e.g., Covid-19 test) (Administrator)**

7. **Prepare Observer contract/assignment letter (Administrator)**
   a. prepare contract for independent Observers;
   b. prepare assignment letter for internal or external staff;
   c. ensure that Observer contract/assignment letter is printed and handed to the Observer to read and understand prior to signing and embarking on a trip.

8. **Prepare placement brief for the Observer (Coordinator)**
   a. use Standard Briefing Template to prepare Observer briefing;
   b. agree with the Observer to a date, time and venue for the briefing meeting.

9. **Brief the Observer (Coordinator)**
   a. on the purpose of the trip, trip ID number, the vessel to board, vessel particulars, the port of embarkation, the estimated time of departure (ETD), and the expected date of return;
   b. on any particular instructions on sampling details, communications and report schedule;
   c. on the vessel owner and programme contact details.

10. **Equip Observer with necessary resources/ equipment (Administrator/ Coordinator)**
    a. prepare a deployment and equipment checklist (Appendix 6)
    b. provide Observer with the necessary resources to carry out their duties effectively and safely;
    c. get Observer to sign off a gear list detailing allocated materials and equipment;
        i. work materials (laptop, photographic equipment, measuring tool (calliper and/or ichthyometer), knife, waterproof slate, office supplies, forms, guidelines and manuals;
        ii. lifesaving equipment (personal floatation device, personal localisation beacon, two-way communication satellite device);
        iii. safety equipment (safety helmet, safety shoes, gloves).

11. **Prepare and send formal notification of the intention to place an Observer to the vessel operator (Administrator/Coordinator) (Appendix 1)**
    a. prepare formal Notice of Intention to place an Observer;
    b. send formal Notice of Intention to the vessel operator, owners and/or agent advising them of the intention to place an Observer on their vessel.

12. **Prepare pre-trip allowance (Administrator)**
    a. where possible raise and pay a pre-trip allowance to Observer to assist with their personal costs (necessities for the trip and others).

13. **Organize and effect travel to port of embarkation (Administrator)**
    a. maintain coordination at all times with vessel operator and agent through email, fax or phone regarding their vessel’s arrival and/or departure;
    b. advise vessel operator of Observer travel arrangements and accommodation (if any) prior to boarding the vessel;
    c. upon reception of confirmed dates of vessel arrival and/or departure, advise Observer to travel to the port of embarkation.

    **Boarding in home port**
    ✓ organize transport to have Observer dropped off;
    ✓ advise Observer of the time of travel.

    **Boarding in a national port other than the home port**
    ✓ arrange travel to get the Observer to the vessel;
    ✓ issue travel ticket and advise Observer of the time of travel.

    **Boarding in a foreign port**
    ✓ arrange travel through travel agent to get the Observer to the vessel;
    ✓ issue travel ticket and advise Observer of the time of travel;
    ✓ organize for Observer visa, if necessary;
    ✓ organize for Observer accommodation, if necessary.

14. **Remind experienced Observers that they are to conduct vessel “pre-sea” safety check inspection 24 hours before vessel departure and provide report and evidence (Coordinator)**
a. Observer is AUTHORIZED TO BOARD if the vessel meets Minimum Safety Requirements and is considered safe.
b. Observer is NOT AUTHORIZED TO BOARD if the vessel does not meet Minimum Safety Requirements and is not considered safe to board.

15. Organize for inexperienced Observers to be tutored in the conducting of a vessel “pre-sea” safety check inspection and in the filling of vessel pre-sea safety check form (Coordinator)

16. 24 hours following vessel departure from port, receive mandatory Observer deployment report (Appendix 8) and vessel pre-sea safety check report (Coordinator)

17. If no report is received from the Observer in the 24 hours subsequent to vessel departure from port, follow SOP 22 (Coordinator)

18. Maintain a mandatory weekly report (Appendix 10). Maintaining contact allows for the verification of the Observer’s safety, physical and mental fitness, and enthusiasm at work (Coordinator)

19. If no weekly report is received from the Observer in the 24 hours following the day of the week agreed to send the report, see SOP 22 (Coordinator)

SOP 13 OBSERVER DISEMBARKATION AND POST-TRIP COORDINATION

The Observer disembarkation and post-trip coordination is the last logistical process in an Observer’s deployment. Like the process of preparing the Observer for the trip and facilitating their embarkation, the disembarkation and post-trip coordination follows a fixed process.

1. Receive notification of the Observer’s arrival in port through Observer’s weekly report or through the vessel operators or vessel agents in the port of arrival (Coordinator)

2. Organize and facilitate travel from the port of disembarkation (Administrator/Coordinator)
   a. maintain coordination at all times with vessel operator and agent through email, fax or phone regarding their vessel’s arrival;

b. upon reception of confirmed dates of vessel arrival, advise Observer on travel arrangements from port of disembarkation;
   Disembarking in home port
   ✓ organize transport to have Observer picked up;
   ✓ advise Observer of pick-up time.
   Disembarking in a national port other than the home port
   ✓ arrange travel to get the Observer home;
   ✓ issue travel ticket and advise Observer of the time of travel.
   Disembarking in a foreign port
   ✓ arrange travel through travel agent to get the Observer back home;
   ✓ issue travel ticket and advise Observer of the time of travel;
   ✓ organize for Observer accommodation, if necessary.

3. Request Observer submits any travel receipts and fills in a form that confirms their date of landing, disembarkation and when their contract ends (Administrator)

4. Receive equipment allocated to the Observer for the duration of the trip (Administrator)
   a. get Observer to sign off the gear list used in the deployment;
   b. check lifesaving equipment for serviceability and where necessary get it serviced ready for redeployment;
   c. verify that non-consumable materials are returned complete and operational (laptop, photographic equipment, measuring tool, knife, waterproof slate, guidelines and manuals);
   d. confirm the return of safety equipment (safety helmet, safety shoes, gloves) and note any losses.

5. Accept the submission of the Observer’s preliminary report, data forms and electronic data (Coordinator)

6. Organize a date, time and venue for the debriefing with the Observer (Coordinator/Debriefer)
   a. conduct debriefing as soon as possible after the Observer leaves the vessel. Ideally one (1) week following Observer disembarkation.
Debriefing should be conducted by a person that has at-sea experience as an Observer (preferably with the relevant gear type), understands how Observer data is used by scientific personnel, recognizes common errors made by Observers and presents strong interpersonal communication skills.

1. **Review Observer physical data-collection forms, electronic data, notebooks/diary, and draft trip report (Coordinator/Debriefer/Database Manager)**
   a. Identify inconsistencies in the written and electronic data, test the quality and accuracy of the data;
   b. Review preliminary trip report, check that format and writing guidelines have been followed;
   c. Complete appropriate gear-specific debriefing form. IOTC ROS gear-specific debriefing templates can be found at https://iotc.org/science/regional-Observer-scheme-science.

2. **Conduct full face-to-face debriefing (Coordinator/Debriefer) at the appropriate venue and time using filled debriefing forms**
   a. Check the data with the Observer and allow them to explain the reasons for their choices;
   b. Review preliminary trip report with the Observer and instruct them to take comments into consideration when compiling the final trip report.

3. **Evaluate and provide feedback to the Observer (Coordinator/Debriefer)**
   a. Complete appropriate gear-specific evaluation form. IOTC ROS gear-specific evaluation templates can be found at https://iotc.org/science/regional-Observer-scheme-science;
   b. Provide written feedback for the Observer if improvement is required.

4. **Register Observer’s performance rating score on a spreadsheet (Coordinator). Also include Captain/ Skipper/ Fishing Master feedback on Observer performance if and when requested.**

5. **Complete Observer tracking form and send it to Administrator for processing (Coordinator)**
   a. Complete Observer tracking form;
   b. Forward Observer tracking form to the Administrator to calculate fees due and for payment.

6. **Review and accept Observer final trip report, revised data forms and electronic data (Coordinator)**
   a. Ensure that the report is written in the prescribed format and is accurate. It may be necessary to complete several edited reviews before accepting a final draft. Keep in mind that the report may be widely circulated amongst peers in the field.

---

**SOP 15 DATA HANDLING**

Once the report and data have been checked and approved it must be submitted to national and regional organizations via the approved channels and using approved formats.

1. **Receive and conduct data quality assurance checks (Database Manager)**
   a. Observer specific trip data is checked for quality and completeness to ensure accuracy.

2. **Register and/or enter data into the database (Database Manager)**
   a. Register and/or enter data into a suitable database (e.g., excel spreadsheet, national Observer database, Observ Software, IOTC ROS e-collection and reporting tool, etc.).

3. **Submit data to national and regional organizations (Database Manager)**
   a. Submit relevant data to the IOTC Secretariat in Excel format or via the use of IOTC ROS Data Collection and Management Tools;
   b. Submit relevant data to the data IOC in Excel format or via the use of the Starfish system;
   c. Submit relevant data to national organizations via approved channels and using approved formats, if and when required.

4. **Scan and file Observer data forms (Database Manager)**

5. **Pack, label and store/archive Observer data forms and pictures (Database Manager)**

6. **Keep paper and digital records for at least 5 years.**
Debriefing and checking the data with the Observer provides a means of monitoring the Observer’s competency level.

1. **Monitor Observer performance rating (Debriefer/Coordinator)**
   Monitor Observer competency level by using an Excel spreadsheet that captures the history of the Observer’s previous trips’ performance record.

2. **Acknowledge Observer competency level (Debriefer/Coordinator)**
   If appropriate, the Debriefer/Coordinator acknowledges the Observer with appreciation and registers the Observer with a good standing record for further promotional potential.

Continual monitoring and assessment of Observer performance assists in identifying further training needs.

1. **Compile a recommended refresher training list (Debriefer/Coordinator)**
   a. based on the above continual monitoring and assessment of Observer performance, compile a list of Observers who require refresher training.

2. **Arrange for refresher training (Debriefer/Coordinator)**
   a. organize refresher training for those identified Observers according to required standards (SWIO-SROP standards, IOTC ROS standards, other);
   b. propose identified Observers for external refresher trainings that take place in the region;
   c. follow SOP 9.

A certified Observer will be considered by its NOP Manager or the WG NOPm SWIO as not competent to conduct “Cooperative observation” when they are not able to apply their knowledge and skills to successfully conduct activities in a range of situations and environments, in accordance with expected performance standards.

1. **Reassess Observer performance (Debriefer/Coordinator)**
   a. follow up on Observer’s performance after refresher training and recommend decertification if the Observer continues to perform below the expected level.

2. **Recommend decertification of Observer to the WG NOPm SWIO (Coordinator)**
   a. compile a list of Observers to be recommended for decertification to the WG NOPm SWIO;
   b. recommend for decertification those Observers that haven’t completed an at-sea deployment for a period of over 12 consecutive months, whose competency, after certification, has been considered substandard, and / or whose safety and health certificates are no longer valid;
   c. compile proof that supports the decertification request (Observer trip data, history of Observer trips performance and refresher training assessment records, etc.);
   d. formally notify the WG NOPm SWIO of the recommendation for Observer decertification.

3. **Decertify where appropriate (WG NOPm SWIO)**
   a. the WG NOPm SWIO agrees where appropriate to the decertification of the Observer as a SWIO certified Observer;
   b. notes on decertification:
      ✓ decertification requires formal notification following a review of the circumstances involved, with a particular view to ensuring that effective Observers are not unnecessarily removed from the sub-regional Observer pool;
      ✓ if an Observer’s work has been deemed unsatisfactory by a single person, another person approved by the WG NOPm SWIO should re-evaluate the Observer’s work;
      ✓ if a valid cause prevents an Observer from completing an at-sea deployment for a period of over 12 months, resulting in their decertification, all reasonable efforts will be made to ensure that the then de-certified Observer is recertified as soon as possible.
4. **Issue formal notice (Administrator)**
   a. prepare and issue a formal notice advising the Observer of their status with regards to decertification.

5. **File copy of formal notice (Administrator)**
   a. serve the formal notice original hard copy to the Observer concerned and file the duplicate.

6. **Notification to RFMOs and ROs (Coordinator)**
   a. send formal notice of Observer decertification to the IOC-PRSP;
   b. send formal notice of Observer deregistration to the IOTC Secretariat;
   c. send formal notices to other RFMOs and ROs that might require this information.

As long as the quality of previous observation data, debriefings and refresher training competency-based assessments results have been of a good standard, an Observer can be recertified following recommendation from their NOP.

Observers decertified due to the unsatisfactory quality of their work may be recertified if the NOP under which they work provides a written recommendation and the ex-certified Observer successfully undertakes a second refresher training.

1. **Reapplying for certification (Observer)**
   a. decertified Observer reapplies for certification.

2. **Consider application (Coordinator)**
   a. closely assess application for validity, considering all previous historical information relating to the Observer and the previous concern (if any);
   b. submit Observer to a refresher training (see SOP 17);
   c. if the ex-certified Observer successfully undertakes a second refresher training, recommend Observer for recertification.

3. **Recommend Observer recertification (Coordinator)**
   a. submit a written recommendation to the WG SWIO NOPm requesting Observer recertification;

   b. submit proof to support recertification request (refresher training assessment records, etc.).

4. **Recertify where appropriate (WG SWIO NOPm)**
   a. the WG SWIO NOPm endorses, where appropriate, Observer recertification.

5. **Issue formal notice (Administrator)**
   a. a formal notice is prepared advising the Observer of their status with regards to the application for recertification.

6. **File copy of formal notice (Administrator)**
   a. a formal notice of the original hard copy is served to the Observer concerned and the duplicate is filed.

7. **Send notification to RFMOs and Ros (Coordinator)**
   a. a formal notice of the Observer recertification is sent to the Regional Observer Coordinator, the IOTC Secretariat and other RFMOs and ROs in need of such information.

Observers are exposed to the same risks as professionals from the sea fishing sector, a sector recognized worldwide as amongst the most hazardous industries to work in. Unfortunately, due to their role in monitoring and compliance, Observers sometimes face additional safety issues during the fishing trip. These may take several forms but can include intimidation, harassment, interference, bribery, and violence. On occasion, these safety issues have been serious enough to endanger Observers’ lives and have even led to Observer casualties.

Measures exist within SWIO coastal States management tools to prevent and deter unfavourable treatment towards Observers and to raise awareness that the Government is prepared to act should anything happen to the Observers or should the Observer not have been provided with the required conditions.
1. Conduct a thorough background check on foreign-flagged vessels applying for fishing licenses (Senior Level Official)
   a. clear the vessel of any traces that might associate it with the Illegal, unreported, and unregulated (IUU) activities;
   b. verify vessel foreign ownership and use the RFMO platforms to verify with the authorities of the vessel flag and thus assist in facilitating communications in case of emergency;
   c. request vessel provides the name and contact details of the appropriate enforcement authority of their Flag State for notification in case of an Observer emergency at-sea, an investigation and follow up on such incidents.

2. Identify national legislation protecting Observer health and welfare (Senior Level Official)
   a. identify legislative texts and measure protecting Observer health and welfare;
   b. ensure that these measures are included in Vessels’ Authorization to Fish license conditions and MoUs to be established with vessel owner/operators on Observer deployment. Notifications to be sent to vessel owner/operator/agent and Captain.

3. Raise the awareness of national search and rescue institutions (SAR) on NOP (Senior Level Official/Coordinator)
   a. raise SAR institutions’ awareness on the importance of Observer safety and the role they are expected to play during an Observer emergency situation;
   b. invite key national SAR institutions to assist in the development and implementation of an NOP Emergency Action Plan.

4. Adopt regional standards on Observer safety training (Senior Level Official/Coordinator)
   a. ensure that the NOP is allocated with sufficient funds to adopt regional standards on Observer safety training;
   b. ensure Observers follow STCW basic at-sea safety training (or equivalent);
   c. ensure Observers conduct regular medical checks with an STCW authorized medical practitioner;
   d. include lifesaving and safety equipment as part of the compulsory gear list issued to the Observers before they embark;
   e. notify Observers that they must wear the personal flotation device (PFD), safety helmet, deck work shoes/boots and working gloves on all vessels they are to be deployed;
   f. notify Observers to be deployed on vessels operating on the high seas that they must wear the PFD with the personal location beacon (PLB) attached to it, as well as all other safety equipment they’ve been allocated with, and carry with them the 2-way communication satellite device at all times when on vessel deck;
   g. only deploy Observers with a valid STCW basic at-sea safety training certificate (or equivalent) and of a valid certificate of medical fitness;
   h. do not authorize Observers to board vessels until they have been provided with the lifesaving and safety equipment appropriate for the gear and climate they are to work in;
   i. guarantee that Observers benefit from travel and work insurance cover;
   j. check that Observers are signed on to vessel articles with the crew and covered by vessel insurance for the duration of their trip.

5. Discuss safety-at-sea procedures specific to the programme during briefing with the Observer (Coordinator)
   a. discuss with the Observer during briefing of survival techniques and all safety-at-sea procedures specific to the programme that are in place to guarantee that Observers are deployed on safe/seaworthy vessels, and that at-sea Observer emergencies and reports on issues of safety (including instances of harassment, intimidation, or assault) are immediately and effectively handled.

A Vessel Safety Check (VSC) is a procedure outlining vessel minimum safety requirements and safety equipment, established to guarantee that Observers are deployed on safe/seaworthy vessels. The VSC procedure applies to all vessels onto which an Observer is embarked; including any vessels used to transfer Observers.

1. Adopt regional standards on safety at-sea (Senior Level Official/Coordinator)
   a. ensure that the programme has a vessel safety check form containing a list of minimum safety requirements in line with those of the IOTC (Appendix 9) and in accordance with the one operated by national authorities;
   b. check that a VSC, or equivalent, is conducted before each boarding and vessel safety conditions compare to the list of minimum safety requirements (SOP 12);
   c. check that a VSC form is filled out by the Observer prior to embarkation to ensure that vessel safety conditions meet minimum safety requirements and that there is adequate safety equipment to cater for the extra Observer on board (SOP 12);
   inform Observers that they aren’t to board if the VSC highlights that the vessel does not comply with expected standards or if they consider a particular vessel to be unsafe.
An Emergency Action Plan (EAP) is a written procedure detailing the appropriate response to Observer emergency situations at sea, and outlining required responses for Observers, Observer Coordinators, vessel Masters/Captains, vessel Operators/Owners, and Coastal States and Flag States.

1. **Adopt regional standards on safety at-sea (NOP OLC Team)**
   a. develop an EAP to accommodate any reported Observer emergency;
   b. include EAP in any MoU established for the deployment of international Observers;
   c. ensure that the EAP includes, as a minimum, the following safety-at-sea standard procedures as per IOTC ROS Standards:
      - **Communications protocol and appropriate contact information**
        A communications protocol is established; designated personnel are assigned the responsibility of maintaining a device capable of receiving a signal from the independent two-way satellite communication devices allocated to deployed Observers.
      - **Follow up responses**
        A procedure to initiate contact with the Observer, the vessel, and, if necessary, the appropriate enforcement authority of vessel flag and relevant coastal States is established.
      - **Remedial action**
        Appropriate procedures for addressing issues related to the safety of Observers, including violations against Observers, are established. These must include clear actions to be taken in the event of various emergencies.
      - **Completing the EAP protocols**
        Appropriate measures for addressing violations made against Observers are established. Incidents involving Observer reports of interference, harassment, or intimidation must be resolved through a legally or nationally recognized procedure.
      - **Reporting**
        A procedure to report on incidents involving Observers to the IOC, the IOTC, etc. is established.
APPENDIX 1
VESSEL NOTIFICATION
(Example of Basic Format)

<table>
<thead>
<tr>
<th>E-mail</th>
</tr>
</thead>
<tbody>
<tr>
<td>Date</td>
</tr>
<tr>
<td>From</td>
</tr>
<tr>
<td>To</td>
</tr>
<tr>
<td>For Attention</td>
</tr>
<tr>
<td>CC</td>
</tr>
<tr>
<td>No. pages</td>
</tr>
</tbody>
</table>

NOTIFICATION: Placement of an Observer on Board the Vessel [vessel name]

With reference to [provide reference to the organization and mandate for Observer deployment] we hereby notify you of our requirement to deploy a scientific Observer on board the vessel [vessel name] on your next fishing trip.

Please note that we require a minimum of [Minimum 48-hours’ notice required] (both fax and telephonically) of the vessel’s final planned sailing date, time and port of departure.

Kind regards,

[Signed and dated by OLC]

Please sign and return to [email for OLC] to acknowledge receipt.

<table>
<thead>
<tr>
<th>Vessel Name</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Port of Departure</td>
<td></td>
</tr>
<tr>
<td>Date of Departure of Vessel</td>
<td></td>
</tr>
<tr>
<td>Time of Sailing</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Sign</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Name</td>
<td></td>
</tr>
</tbody>
</table>

APPENDIX 2
REGIONAL PRE-REQUISITES FOR THE CERTIFICATION OF OBSERVERS

1. Minimum Criteria for the Certification of Observers at a Sub-Regional Level detailed on the MoU for the Certification and Coordination of Southwest Indian Ocean (SWIO) coastal State Scientific Observers at a Sub-Regional Level and the Exchange of Observer Data (Table 1)

Table 1 - Minimum Criteria for the Certification of Observers at a Sub-Regional Level

- **Education**: MINIMUM 10 YEARS OF EDUCATION, holder of a Secondary School Certificate or equivalent and able to do mathematical calculations and be computer literate (user Word and Excel).
- **Age**: At least 21 years old.
- **Health**: Holder of a valid IMO compliant Certificate of Medical Fitness issued by an authorised medical practitioner.
- **Literacy**: Evidence of literacy competency in at least one of the following languages: English, French or Portuguese. Able to communicate with the captain and to write comprehensive reports on activities on board a vessel.
- **Safety**: Holder of a valid STCW 2010 Basic Safety Training Certificate Compulsory Training Modules: Personal Survival Techniques (≈4 days); and Personal Safety and Social Responsibilities (≈1.5 days) Recommended training modules: Medical 1 (PSC1 HPR + remote medical) (≈3 days); and Marine Basic Prevention and Fire Fighting (≈3 days) Optional training modules: Radio Telephone Operators certificate
- **Ethics**: Clear police record with a history of strong socially acceptable ethical standards in the areas of honesty and public behaviour. The Observer should be impartial and have no financial links with fishing companies.
- **Experience**: Previous sea-going experience, fishing experience, data-collection experience and/or fisheries law and legislation experience is essential.
- **Training**: Holder of a valid Basic Observer Training Course Certificate (or equivalent) as per IOTC ROS Standards.

2. IOTC ROS Standards: Observer Training Policy

<table>
<thead>
<tr>
<th>Item</th>
<th>Standard Required</th>
</tr>
</thead>
<tbody>
<tr>
<td>Observer Training Policy</td>
<td>CPCs will ensure that training entities meet ROS expectations on the Observer training policy.</td>
</tr>
<tr>
<td>Provides a foundation for ensuring standardized training is of sufficient quality, comprehensive and kept up-to-date.</td>
<td>ROS expectations on the Observer training policy</td>
</tr>
<tr>
<td>Education/ Entrance: Qualifications for entry to Observer training should meet IOTC minimum prerequisites for the accreditation of Observers.²</td>
<td>(…)</td>
</tr>
</tbody>
</table>

² Refer to IOTC Regional Observer Scheme standards, Guidelines to assist the implementation of the IOTC Regional Observer Scheme standards, A. IOTC minimum prerequisites for the registration of Observers under the IOTC ROS. IOTC-2019-523-10_Rev[E] Regional Observer Scheme standards, page 14.

1 Advance notice of a vessel’s estimated departure date must make provision for all logistics as well as notifying the Observer. It’s recommended that the vessel be requested to provide a provisional date at least 3 weeks in advance, depending on the duration of its trips.
1. **Minimum Criteria for the Certification of Observers at a Sub-Regional Level** detailed on the MoU for the Certification and Coordination of Southwest Indian Ocean (SWIO) coastal State Scientific Observers at a Sub-Regional Level and the Exchange of Observer Data (Table 1).

- **Training**
  - Holder of a valid Basic Observer Training Course Certificate (or equivalent) as per IOTC ROS Standards.

2. **IOTC ROS Standards: Observer Training Policy**

<table>
<thead>
<tr>
<th>Item</th>
<th>Standard Required</th>
</tr>
</thead>
<tbody>
<tr>
<td>Observer Training Policy</td>
<td>CPCs will ensure that training entities meet ROS expectations on the Observer training policy.</td>
</tr>
<tr>
<td>ROS expectations on the Observer training policy</td>
<td>As a minimum, the IOTC Basic Observer Training curriculum (see Guidelines for IOTC ROS) should be used to ensure that Observers have acquired required skills by the end of the training course. Training courses should be updated on a regular basis to ensure they remain consistent with the current decisions of the Commission. (…)</td>
</tr>
</tbody>
</table>

### APPENDIX 4

REGIONAL STANDARDS FOR THE ASSESSING OF OBSERVER TRAINING

1. **IOTC ROS Standards: Observer Training Policy**

<table>
<thead>
<tr>
<th>Item</th>
<th>Standard Required</th>
</tr>
</thead>
<tbody>
<tr>
<td>Observer Training Policy</td>
<td>CPCs will ensure that training entities meet ROS expectations on the Observer training policy.</td>
</tr>
<tr>
<td>ROS expectations on the Observer training policy</td>
<td>To successfully complete the Basic Observer Training course, candidates should be subject to a competency-based assessment and meet or exceed ROS minimum competency standards (listed under the Guidelines for IOTC ROS). (…)</td>
</tr>
</tbody>
</table>

---

2 Refer to IOTC Regional Observer Scheme standards, Guidelines to assist the implementation of the IOTC Regional Observer Scheme standards, C. Basic Observer training curriculum. IOTC-2019-S23-10_Rev1[E] - Regional Observer Scheme standards, page 15.

3 Refer to IOTC Regional Observer Scheme standards, Guidelines to assist the implementation of the IOTC Regional Observer Scheme standards, D. Observer competency standards. IOTC-2019-S23-10_Rev1[E] - Regional Observer Scheme standards, page 33.
APPENDIX 5

OBSERVER TRAINER MINIMUM STANDARDS

1. IOTC ROS Standards: Observer Training Policy

<table>
<thead>
<tr>
<th>Item</th>
<th>Standard Required</th>
</tr>
</thead>
<tbody>
<tr>
<td>Observer Trainer</td>
<td>CPCs will follow agreed regional standards for Observer trainers.</td>
</tr>
<tr>
<td>Individual responsible for the delivery of an/multiple Observer training component/s.</td>
<td>ROS expectations on the Observer training policy</td>
</tr>
<tr>
<td></td>
<td>Trainers may be internal to CPC Observer programmes or may be specialists brought in from other programmes, organizations or supplied by training providers. Trainer skills, qualifications and experience should meet agreed regional best practice. These can be found under the Guidelines for IOTC ROS.</td>
</tr>
</tbody>
</table>

“Guidelines to assist in the Implementation of the IOTC Regional Observer Scheme Standards

(...) B. Observer trainer minimum standards

Trainer skills, qualifications and experience should meet agreed minimum regional standards, as follows:

1. Skills
   - able to communicate training messages in clear and straightforward manner
   - capacity to communicate in the language of the students
   - technical expertise in their area of training
   - high personal credibility and integrity

2. Qualifications and Experience
   - a good understanding of the fishery and the management of that fishery
   - level of education similar or higher than the level of education required to access training, preferably with experience in fisheries science
   - it is desirable that the trainer has a vocational training qualification

(...) Refer to IOTC Regional Observer Scheme standards, Guidelines to assist the implementation of the IOTC Regional Observer Scheme standards, B. Observer trainer minimum standards. IOTC-2019-523-10_Rev1[En] - Regional

APPENDIX 6

EQUIPMENT AND GEAR CHECKLIST
(to be adapted to the fleet, and to the species and area fished)

<table>
<thead>
<tr>
<th>Observer Name</th>
<th>Signature/</th>
</tr>
</thead>
<tbody>
<tr>
<td>Vessel Name</td>
<td>Signature/</td>
</tr>
<tr>
<td>Sector</td>
<td>Signature/</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Observer Gear Allocation</th>
<th>Detail</th>
<th>Issued</th>
<th>Returned</th>
</tr>
</thead>
<tbody>
<tr>
<td>Biometric Sampling Gear</td>
<td>Measuring Board</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Callipers (30cm, 1m, 1.5m)</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Measuring Tape</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Scales (Variable)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Biological Sampling</td>
<td>Dissection Kit</td>
<td></td>
<td></td>
</tr>
<tr>
<td>(optional)</td>
<td>Knives</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Scissors</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Consumables (optional)</td>
<td>Sampling Bags</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Cryo Tubes for DNA samples</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Aluminium Foil</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Waterproof Paper (Labelling)</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Pencil</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Permanent Marker</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Stationary (Including Scientific Calculator), Regular Paper, Notebook.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Miscellaneous (optional)</td>
<td>Weighing/Storage Bins</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Large Woven Storage Bags</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Laptops + Cables</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Camera</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Calculator</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>ID Guides</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Mandatory Health &amp; Safety Working Gear</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
### Work Gloves

<table>
<thead>
<tr>
<th>Trip Number</th>
<th>Notification Date</th>
<th>Observer Coordinator Name</th>
<th>Coordinator Contact Details</th>
</tr>
</thead>
</table>

### PFDs

<table>
<thead>
<tr>
<th>Observer Details</th>
<th>Observer Name</th>
<th>Observer Number</th>
<th>Email Address</th>
<th>Nationality</th>
<th>Passport Number/ID Number</th>
<th>Seamen’s Book No.</th>
<th>Medical Expiry Date</th>
<th>Date of Last Survival Course</th>
<th>Inoculations Expiry Dates</th>
<th>Covid 19 Test Result/Date</th>
</tr>
</thead>
</table>

### Safety Helmet

### Safety Boots

### Optional Health & Safety Working Gear

| Vessel Details | Vessel Name | Call Sign | Vessel Nationality (Flag) | IMO Number | Fishing Sector | Gear Type | Area of Operation | Fish Storage | Vessel Owner | Contact No. / email | Vessel Charterer | Contact No. / email | Vessel Agent | Contact No. / email | Captain’s Name | Contact No. / email | Deployment Logistics | Date of Departure | Embarkation Date | Port of Embarkation | Expected Date of Return | Expected Port of Return | Allocated Trip Length | Observer Contract (Ad-hoc/fixed contract) | Contract Start Date | Notes |
|----------------|-------------|-----------|---------------------------|------------|----------------|----------|-------------------|--------------|--------------|-------------------|----------------|-------------------|-------------|-------------------|----------------|-------------------|----------------------|----------------|----------------|-----------------|----------------|----------------|---------------------|---------------------|---------------------|-----------------|-------|

### Safety Knife

### Waterproof Gear

### Sunscreen

### Reflector Vest

### Sunglasses

### Safety Knife

### Mandatory Emergency Gear

<table>
<thead>
<tr>
<th>Optional Emergency Gear</th>
<th>First Aid Kit and Medication</th>
<th>Dry Bag</th>
<th>Harness</th>
<th>Signal Mirror</th>
<th>Whistle</th>
<th>Emergency Blanket</th>
<th>Waterproof Flashlight</th>
</tr>
</thead>
</table>

### Immersion Suite (for south of 30° Lat)

### Personal Location Device (PLB)

### Two-way communication/texting device

### Optional Emergency Gear

<table>
<thead>
<tr>
<th>Observer Data-collection forms</th>
<th>[ specify ]</th>
<th>[ specify ]</th>
<th>[ specify ]</th>
<th>[ specify ]</th>
<th>[ specify ]</th>
<th>[ specify ]</th>
<th>[ specify ]</th>
<th>[ specify ]</th>
<th>[ specify ]</th>
</tr>
</thead>
</table>

### Data-collection forms

| [ specify ] | [ specify ] | [ specify ] | [ specify ] | [ specify ] | [ specify ] | [ specify ] | [ specify ] | [ specify ] | [ specify ] |
## APPENDIX 8
### OBSERVER DEPLOYMENT REPORT

Submit within 24 hours of the vessel's departure from port using vessel means of communication (i.e., email, fax or phone)\(^6\)

<table>
<thead>
<tr>
<th>Date</th>
<th>Observer Name</th>
<th>Vessel Name/Call Sign</th>
<th>Vessel Company</th>
<th>Captain Name</th>
<th>Fishing Master Name</th>
<th>Vessel Contact Details</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>Email</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>Phone Number</td>
</tr>
</tbody>
</table>

**Deployment Details**

<table>
<thead>
<tr>
<th>Briefing Date</th>
<th>Contract Start Date</th>
<th>Flight No. (If Applicable)</th>
<th>Departure Date from Home</th>
<th>Departure Time from Home</th>
<th>Arrival Date at Deployment Destination</th>
<th>Arrival Time at Deployment Destination</th>
<th>Safety Inspection Completed (Yes/No)</th>
<th>Embarkation Date</th>
<th>Port of Embarkation</th>
<th>Sailing Date</th>
<th>Sailing Time</th>
<th>Comments</th>
</tr>
</thead>
</table>

\( ^6 \) If a report is not received within 24 hours of the due date, the Observer Coordinator shall contact the vessel operator to send a message to the vessel to remind the Observer of his/her obligation in this respect. If the report is not received within a further 24 hours, the coordinator shall assume that there is no means of formal communication with the vessel. He shall contact the vessel operator, to make arrangements either to establish these by the most practical means or, if necessary, to request the immediate return of the Observer. If no contact is established, the Observer Coordinator shall initiate emergency search and rescue operations.

## APPENDIX 9
### VESSEL PRE-SEA SAFETY CHECK AND MINIMUM SAFETY REQUIREMENTS FORM

<table>
<thead>
<tr>
<th>Observer/Observer Coordinator/NOP Designated Officer</th>
<th>Date</th>
<th>Signature</th>
</tr>
</thead>
<tbody>
<tr>
<td>Vessel Agent</td>
<td>Date</td>
<td>Signature</td>
</tr>
</tbody>
</table>

**Vessel Details**

<table>
<thead>
<tr>
<th>Vessel Name</th>
<th>Captain/Fishing Master Name</th>
<th>Call Sign</th>
<th>Flag</th>
<th>Size GRT</th>
<th>Length Over All (LOA)</th>
<th>Vessels Compliment</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Vessel contact Number**

<table>
<thead>
<tr>
<th>Telephone</th>
<th>Inmarsat (A/C/M) &amp; No. Name</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Vessel Owners/Charter's**

<table>
<thead>
<tr>
<th>Telephone</th>
<th>Fax</th>
<th>Mobile</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Safety Equipment**

<table>
<thead>
<tr>
<th>Safety Certificate In-date (Y/N)</th>
<th>Issuing Authority</th>
<th>Flares: Location If Checked No./Exp Date</th>
<th>First Aid Materials: Location Name of Medical Officer</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Life Rafts**

<table>
<thead>
<tr>
<th>Type</th>
<th>Number</th>
<th>Capacity</th>
<th>Hydrostatic release (Y/N)</th>
<th>Date Next Service Due</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Life Jackets**

<table>
<thead>
<tr>
<th>Type</th>
<th>Inflatable/ Packed</th>
<th>Number On-Board</th>
<th>Location Cabin/Muster Station/ Both</th>
<th>SOLAS Approved (Y/N)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
### Fire Extinguishers
- Positioned in Main Corridors (Y/N)
- Positioned on Bridge (Y/N)
- Charge Seals Intact (Y/N)

### Life Buoy
- Number on-board
- Free Release (Y/N)
- Light/SART Attached (Y/N)

### Immersion Suits
- **(only required by vessels operating south of 30° S)**
  - Type
  - Number On-Board
  - Location: Cabin /Muster Station/ Both
  - SOLAS Approved (Y/N)

### Flares
- Location
- If Checked No./Exp Date

### First Aid Materials
- Location
- Certified Medical Officer (Y/N)

### GMDSS Requirements

<table>
<thead>
<tr>
<th>Radio Equipment</th>
<th>HF Operational yes or no</th>
<th>MF Operational yes or no</th>
<th>VHF Operational yes or no</th>
<th>INMARSAT Operational yes or no</th>
<th>NAVTEX Operational yes or no</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>EPIRB</th>
</tr>
</thead>
<tbody>
<tr>
<td>Type/Manufacturer</td>
</tr>
<tr>
<td>Number of Units On Board</td>
</tr>
<tr>
<td>Location</td>
</tr>
<tr>
<td>Release Method Manual/Float Free</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>SART’s</th>
</tr>
</thead>
<tbody>
<tr>
<td>Type/Manufacturer</td>
</tr>
<tr>
<td>Number of Units On Board</td>
</tr>
<tr>
<td>Location</td>
</tr>
<tr>
<td>Release method Manual/Float Free</td>
</tr>
</tbody>
</table>

### Accommodation
- Vessel Emergency Evacuation and Muster Stations Lists – Displayed (Y/N)
- Cabin – Single or Sharing

### General Comments

---

**Minimum safety requirements before an Observer will be permitted to embark**

**Safety Certificate (Safety Management Certificate)**

The vessel must have on board a current and valid Safety Certificate that does not expire for a period of at least four (4) months from the date of the Observer’s embarkation. The total crew compliment on board the vessel INCLUDING THE OBSERVER must not exceed the maximum specified number of crew listed in the safety certificate.

**Life Rafts**

The life rafts must have the capacity to accommodate the full crew compliment, including the Observer. (In other words, the total life raft capacity must be equal to or exceed 100% of the vessels compliment).

Life rafts must be within their serviceable date, which must cover the expected maximum duration of Observer deployment.

All life rafts must be fitted with a serviceable Hydrostatic Release mechanism.

**Life Jackets**

There must be a total number of life jackets on board, readily available at the emergency muster stations to accommodate each of the compliment on board the vessel.

All life jackets must comply with IMO – SOLAS LSA standards.

**GMDSS Requirements**

The vessel must be GMDSS compliant in accordance to its tonnage and its area of operation.

Any component of the GMDSS requirement that is out of date or unserviceable will render the vessel as NOT being GMDSS compliant.

These items shall include inter alia EPIRPs, SARTs and distress flares and rockets.
Fields can be added to report catches cover species of special interest or report on safety issues.

<table>
<thead>
<tr>
<th>Status Report</th>
</tr>
</thead>
<tbody>
<tr>
<td>Vessel Name / Call sign</td>
</tr>
<tr>
<td>Observer</td>
</tr>
<tr>
<td>Date / Report Period</td>
</tr>
<tr>
<td>Area Fishing (Grid coordinates)</td>
</tr>
<tr>
<td>No. Events sampled in period</td>
</tr>
<tr>
<td>Percentage of events observed for Catch Composition</td>
</tr>
<tr>
<td>Number of biometric samples taken</td>
</tr>
<tr>
<td>General Comments</td>
</tr>
<tr>
<td></td>
</tr>
</tbody>
</table>