



TECHNICAL AND COMPLIANCE COMMITTEE

Sixth Regular Session

30th September – 5th October 2010

Pohnpei, Federated States of Micronesia

ANNUAL REPORT – REGIONAL OBSERVER PROGRAMME

WCPFC-TCC6-2010/08

8 September 2010

Introduction

1. Paragraph of Article 28 of the WCPFC Convention states: “The observer programme shall be coordinated by the Secretariat of the Commission, and shall be organized in a flexible manner which takes into account the nature of the fishery and other relevant factors.”
2. Paragraph 3 of CMM 2007-01 states: “The Secretariat of the Commission shall provide an annual report to the Commission with regard to the Commission ROP and on other matters relevant to the efficient operation of the programme.”
3. This paper reports on the different aspects of the ROP that have occurred in 2009 and where possible is reported up to August 2010.
4. The ROP continues to develop, and a number of operational and logistic problems are being addressed by the national and regional providers with the Secretariat ROP staff assisting where requested. The Secretariat ROP Staff have almost daily communications with most of the ROP providers in the busy Pacific Island ports, and are involved in assisting vessels find observers as well as assisting Providers in moving observers to the different ports if requested.

Facilitating the use of authorized observers in the ROP

5. During the 2009 period approximately 180 observers were used to attain the coverage of fleets during the year and the 100% coverage for August/Sept of 2009. These observers came from authorized ROP observer programmes and were sourced from Pacific Island countries. A survey of Pacific Island national observer programmes in July 2010 indicates that there are now 551 authorised observers available for ROP trips. The numbers of observers will continue to turn over and further training programme’s being organized by the FFA, SPC and CCMs will be important to maintain adequate numbers of observers to be available for observer trips .

Debriefing

6. With the large increase in observer placements expected with the 5% Longline coverage, and the 110% transshipment coverage, as well as the continuing 100% purse seine observer coverage for vessels fishing 20N to 20S, a core of well trained observer debriefers will be required to meet the increasing science and compliance demands of the Commission. The selection and further professional training of debriefers to maximize the usefulness of the information from observers is an important step that is being taken to overcome the extreme shortage of debriefers in most Pacific Island programmes. Pacific Island Observer Programmes surveyed indicated that approximately 90 debriefers would be required across all programmes, with a majority operating in the busy landing ports. The United States has made funds available to the ROP to assist with the establishment of debriefers in the major unloading ports in the Pacific. The WCPFC ROP will work closely with FFA and SPC to ensure only qualified and competent debriefers are used when debriefing observers.

Monitoring trainers, observer training courses,

7. During the period the ROP Coordinator assisted in training sessions in Philippines and FSM and continues to offer advice to many CCMs on different aspects of observer training and the requirements of the WCPFC. Although funding is being made available from some sources, the funding of observer training remains a problem for some observer providers.

Observers for Special Situations

8. The scope of the observers for special situations was included in the 1st ROP report to TCC5 and WCPFC6. The Commission did not allocate any budget for this item in 2010; the budget of \$30,000 for 2009 was used for special trips that employed observers for development in the Spill/Grab sampling project discussed at SC5 & SC6. It is expected that experienced observers will be required to assist with audit procedures in 2011 and 2012. It should be remembered that all Interim authorised Observer Programmes seeking full authorization as ROPs have to do so before June 2012, Observers for Special situations would be required to conduct independent observer trips, as part of a review or audit of national and sub regional observer programmes to ensure that the Commission's minimum standards for ROPs are being maintained.

Support staff

9. The ROP employed a Data Quality Officer, Mr Donald David, from FSM in June 2010. Mr. David, will be involved in all aspects of the ROP and will ensure that reports on coverage, catch retention, transshipment and other data areas will be reported in a timely manner when received from Members.

Travel/Meetings

10. The ROP Coordinator was involved in TCC5, (Pohnpei), WCPFC6 (Papeete Tahiti), SC6 (Tonga), Pacific Island Debriefers & Coordinators meeting (Cairns), and the Data Consultative Committee (SPC Noumea) during his reporting period. The ROP Coordinator made contributions to each of these meetings on ROP matters, and further, he assisted with, and facilitated general administration matters for most of these meetings. The ROP Coordinator assisted in observer training where CCMs requested such assistance, and explained aspects of the Commission and the relevant CMMs

to the observer trainees, such as for courses in the Philippines (Manila). The Philippines was the site of the first audit of an observer programme to meet ROP standards.

Definitions and Standards

11. The Commission has agreed on a number of definitions and standards at TCC5 and WCPFC6, however as indicated in table 1 there are still some definitions and standards unresolved.
12. The TCC6 is invited to review the status of these definitions

Table1: Undecided Definitions & Minimum Standards of the Regional Observer Programme

Item	Agreed Minimum Standard	Status & Comment
Definitions and Scope	The words “ <u>principally</u> ”, “ <u>occasional</u> ”, “ <u>independent</u> ”, “ <u>impartial</u> ” and “ <u>observer trip</u> ” and their respective meanings in the context of the ROP has been discussed at IWG-ROP, TCC and WCPFC.	<u>Status</u> - No consensus has been reached on the meaning of the words “ <u>principally</u> , <u>occasional</u> , <u>independent</u> and <u>impartial</u> ”, <u>Comment</u> - Observer trip still to be defined for different gear types
Briefing and De-briefing of observers Debriefers Standards for Qualification	The interim standard for “Briefing and De-briefing of observers” is that there is a system for briefing and de-briefing of observers in place and documentation describing briefing and de-briefing available to the Secretariat The Interim Standard for qualification of observer debriefers is that debriefers will be experienced in observer matters and that CCMs will use existing national and sub-regional programme standards for debriefers. CCMs will prepare qualifications for a debriefer, available for review by the Secretariat.	<u>Status</u> - Only a couple CCMs have supplied this information. <u>Comment</u> - Debriefing system will be checked as part of the audit procedure <u>Status</u> - Only a couple CCMs have supplied this information <u>Comment</u> - Qualifications will be checked as part of the audit procedure
Vessel Size	The implementation of ROP for small vessels was deferred in accordance with paragraph 10, Annex C of CMM 2007-01	<u>Status</u> - No consensus has been reached on size limitations therefore currently there is no limit to the vessel size to take an observer on board.

2009 Observer coverage summary.

13. Long line coverage across some fleets for 2009 is contained in Table 2. It can be seen that a few programmes have had a comprehensive coverage of their fleets, whilst others have had little or no coverage. Figures for table 2 are taken from “CCM Annual Reports Part 2. CCMs are reminded that 5% coverage for long liners will be required by June 2012.

14. Purse seiner's coverage for the multilateral programmes for 2009 was approximately 20% whereas other coverage for purse-seiners for national programmes data was difficult to determine as the Secretariat does not receive this data. It also difficult to determine which trips apply to the ROP, as most SPC/ FFA member countries have not given the Commission's Data Provider (SPC) permission to release data collected by their observers for the ROP trips to the Commission, e.g., the Secretariat's ROP Coordinator.

Table 2 Coverage of fleets as reported in Part 2 reports as 6th September

Reported Observer Coverage 2009			
Country	Gear Type and set type	% Coverage	Data provided to Secretariat as per CMM 2007-01
USA Hawaii	Longline shallow set Longline Deep Set	100% 20.60%	Data Direct to Secretariat Data Direct to Secretariat
USA American Samoa	Longline Deep Set Albacore Troll Purse Seine Purse Seine FAD closure	7.70% 0 20% 100%	Data Direct to Secretariat Data Direct to Secretariat Data Direct to Secretariat Data through FFA Secretariat
Belize	Longline	Not available	Data not Received
China	Longline	Not available	Data not Received
New Caledonia	Longline	Regular basis	Data not Received
Canada	No Vessels fish for Tuna	0	--
Indonesia	Longline Purse seine	0 0	No Data No Data
Federated States of Micronesia	Purse Seine Longline	63% < 5%	Data authorised to be given to Secretariat – Some Received
New Zealand	Longline Purse Seine	26% 35%	Data authorised to be given to Secretariat - Some Received
Korea	Longline Purse seine	0% 100%	Data not Received
El Salvador	Purse seine	100% FAD Closure	Data not Received
European Union	Purse seine Long line	Not given	The EU is using observers under the Spanish national program within the framework of IATTC

Coordinating ROP activities with other RFMOs

Cross Endorsement of Observers.

15. The initiative to develop a cross-endorsement process of observers between IATTC and WCPFC comes from CMM 2008-01, Para 29 which directs the Secretariat to work with IATTC to develop procedures to allow observers from each regional fisheries management organization (RFMO) to

work in one another's Convention Area. The attached draft agreement (ROP Attachment 1) will be presented to both the IATTC and WCPFC annual meetings for consideration.

16. It should be noted that there has been a cross endorsement arrangement in place between the FFA Secretariat and IATTC in regard to US Treaty vessels since 1998. The process proposed is similar and will allow other flagged vessels to have similar arrangements to carry a WCPFC or an IATTC observer when they cross from one Convention area to another for operations on the high seas, and within EEZs with the agreement of coastal States.
17. It is proposed that a number of IATTC and ROP Observers will be specially trained to be able to carry out the roles required for both Convention areas. When a vessel knows it is going to cross Convention boundaries, it will be required to request one of these certified observers on board before it leaves port. The intention is that the MOC will facilitate an observer working in both Convention areas equally efficiently and be provided that high standards for observer safety and welfare demanded by both RFMOs, and these standards would apply to a vessel regardless of where it is fishing.
18. TCC6 is invited to review and comment on the draft agreement between IATTC and the WCPFC for cross endorsement of observers (ROP Attachment 1) for consideration by the Commission.

ROP Collected Data

19. The WCPFC Regional Observer Programme (ROP) provides coverage by ROP observers as per the WCPFC Convention Article 28 Para 4 &5, This definition of the ROP observer trip was reinforced by the approval of CMM 2007-01 "Scope of the Commission ROP" Para 5 which states:
The Commission ROP shall apply to the following categories of fishing vessels authorized to fish in the Convention Area in accordance with the Commission's Conservation and Management Measures 2004-01:
 - i) *vessels fishing exclusively on the high seas in the Convention Area, and*
 - ii) *vessels fishing on the high seas and in waters under the jurisdiction of one or more coastal States and*
 - iii) *vessels fishing in the waters under the national jurisdiction of two or more coastal States.*
20. Member countries of the Western and Central Pacific Fisheries Commission (WCPFC) are obliged to provide data collected from ROP trips to the WCPFC Secretariat according to the requirements specified in the WCPFC Conservation and Management Measure (CMM) 2007-01 Attachment K, Annex C, which was approved by all Members of the Commission:
No later than 31 December 2008:
 - *Existing sub-regional programmes and national programmes shall be regarded as a part of the ROP, and shall continue unless otherwise determined by the Commission.*
 - *Data obtained through these observer programmes shall be submitted to the Commission and shall be considered Commission data.*

21. Reference is directed to SC6-2010/ST WP-1 Para 4.3 Regional Observer Programme (ROP) data where it is quoted:

“The definition of an ROP trip and the requirement by CCMs to provide ROP data to the WCPFC Secretariat has been clearly stated in the Convention and in CMM 2007-01. However, there has been a delay in providing the ROP data to the WCPFC due to the following reasons:

- *The overwhelming stress on the resources of national and regional observer programmes as a result of the CMM 2008-01 requirement for 100% coverage in the purse-seine fishery has meant that countries have been severely delayed in sending their data to SPC for processing;*
- *When the backlog of hard-copy observer data are provided in the future, SPC will be under-staffed to keep up with the data entry;*
- *SPC hold observer data on behalf of their member countries but require authorization to release their ROP-defined data to the WCPFC. Member countries have been formally requested to provide the authorization to release their ROP-defined data to the WCPFC, and the current status of these authorizations is included in Table 4 “*

22. Data collected by observers on ROP trips should be available for analysis; however the WCPFC Secretariat has only been able to receive limited data from the Commission Data Provider (SPC) or the national programmes to be able to provide a report based on observer ROP collected data for 2009 or 2010. At the time of writing, and as noted in table 3, only four WCPFC member countries have given authorization to the data provider (SPC) to release ROP data for analysis, and to be made available to the WCPFC Secretariat.

23. SC6 noted its support for the ROP and the submission of timely data in its summary report

Para 486. CCMs expressed their strong support for the ROP and their appreciation to those involved in setting it up. It was noted that the role of the SC is to emphasize the importance of timely provision of observer data to support scientific analyses and verification of catch and effort data, and that many of the issues with the ROP are beyond the scope of the SC, and should be considered by the TCC.

24. All CCMs are encouraged to give SPC approval to release ROP Minimum Data standard fields collected by National and Sub regional Observers on ROP duties.

Table 3 ROP Data Authorised to be released to the Secretariat

Observer Programme	ROP Programme	Gear Type	Notification Date	Provided to	Authorisation to release Data to WCPFC Secretariat
Australia	YES	LL			
China	YES	LL, PS			
Cook Islands	YES	LL			
Federated States of Micronesia	YES	LL, PS	17 Jun 2010	SPC/OFP	Authorised by FSM (NORMA)
Fiji Islands	NO	LL, PL			
French Polynesia	NO	LL, PL, TR			
Indonesia	NO	LL, PS			
Japan	YES	PS			
Japan	YES	LL, PL			
Kiribati	YES	PS, LL			

Republic of Korea	YES	LL, PS			
Marshall Islands	YES	LL, PS			
Nauru	YES	LL, PS	7 Jul 2010	SPC/OFP	Authorised by Nauru Fisheries
New Caledonia	YES	LL			
New Zealand	YES	LL	1 Jan 2009	MAF/NZ	Authorised by NZ MAF
New Zealand	YES	PS			
Niue	NO	LL			
Palau	YES	LL, PL			
Papua New Guinea	YES	LL, PS	2 Jun 2010	SPC/OFP	Authorised by PNG/NFA
Philippines	YES	PS			
Samoa	NO	LL			
Solomon Islands	YES	LL, PS, PL			
Chinese Taipei	YES	LL, PS			
Tonga	YES	LL			
United States	YES	LL, TR, PL			Data sent direct to Secretariat
United States	YES	PS			
Vanuatu	YES	LL, PS			
Forum Fisheries Agency US Treaty Obs. Programme FSMA Observer Programme	YES YES	PS PS			

Data Management & Costs

25. The Secretariat was asked to compile a number of options with costs for the management of data collected by the ROP observers these options for data entry were reduced to two options by TCC5; option 5.1 Data entry in Noumea and option 5.3 Data entry in Pohnpei. Following a commitment of a financial contribution of \$115,000 ecu from New Caledonia at WCPFC6, option 5.1 was accepted for one year.
26. A paper indicating costs of funding for the management and data punching for approximately 3000 purse seine and long line observer trips a year was presented as part of the WCPFC6 work programme. The amount required enabling the development of adequate infrastructure and staffing for ROP data to be entered in 2010 was not approved by the WCPFC6 and therefore the costs for infrastructure, staffing and entering ROP data is still to be resolved.
27. Since WCPFC6 there has been a change in the numbers of data punchers required to be funded for entering ROP data in 2011. The New Caledonia subsidy covers the cost of three Data Entry personnel at SPC. The FFA Secretariat observer programme will enter the UST and FSMA data which has lessened the requirements for data entry staff to be costed for ROP data entry at SPC. Some member countries that have the infrastructure to do so are entering their own data, with a few others wishing to commence entering their data collected by their observers. However, many of the observer provider countries do not have the infrastructure to be able to enter the data and rely heavily on the data provider (SPC) to enter their ROP data. Taking into account the subsidy by New Caledonia and the other providers entering data there has been a reduction in data entry requirements for SPC to enter the ROP data. Therefore the establishment and staff requirement which has been recalculated to be 8 data entry persons to enter ROP data at SPC for 2011 will be at a cost of US\$334,769.

28. Explanations for ROP Data Entry and Data Management Costs is explained (ROP Attachment 2) and gives projections on the cost of Data entry for the next 5 years.
29. TCC6 is invited to review this attachment on ROP Data Entry and Management costs and provide recommendations to the Finance Committee and the Commission.

Authorized observer providers to the ROP

30. The following programmes have qualified to be authorised on an interim basis to be part of the ROP (Table 4). These programmes have interim authorization until June 2012. The programmes on invitation will be audited before 2012 to ensure minimum standards agreed by the Commission are being applied.

TABLE 4 Interim Authorised Providers For The ROP.

Observer Programme	Authorization Date	Observer Coordinator Contact details
Australia	28 Sep 2009	Mike Yates Mike.Yates@afma.gov.au
China	19 Jun. 2009	Chen Xuejian admin@tuna.org.cn
Federated States of Micronesia	01 May 2009	Steven Retalmai nevetslater@hotmail.com
FSM Arrangement	01 Jul. 2009	FFA Secretariat timothy.park@ffa.int or ambrose.orianihaa@ffa.int
Japan	30 Jun. 2009	Takeshi Miwa takeshi_miwa@nm.maff.go.jp Wataru Tanoue Wataru_tanoue@nm.maff.go.jp
Kiribati	12 Jun. 2009	Tekirua Riinga tekiruar@mfmrd.gov.ki
Korea	14 Jul. 2009	Dr. Zang Geun Kim zgkim@nfrdi.go.kr
Marshall Islands	01 May 2009	Dike Poznanski dikep@mimra.com
Multilateral Treaties on Fisheries	01 Jul. 2009	FFA Secretariat timothy.park@ffa.int ambrose.orianihaa@ffa.int
Nauru	27 Sep 2010	Ace Capelle nrvms@ccnpac.net.nr
New Caledonia	13 Nov 2009	Hugues Gossuin hugues.gossuin@gouv.nc HuguesG@spc.int
New Zealand	26 Jun. 2009	Alan Martin alan.martin@fish.govt.nz
Palau	14 Jul. 2009	To be advised
Papua New Guinea	01 Feb. 2009	Philip Lens plens@fisheries.gov.pg
Philippines	29 Jul. 2009	Alma C. Dickson alma_dickson@yahoo.com
Solomon Islands	01 May 2009	Derrick Suimae dsuimae@fisheries.gov.sb
Tonga	11 Aug 2010	Viliami Mo'ale vmoale@tongafish.gov.to
Chinese Taipei	15 Jun. 2009	Ke-Yang Chen ckeyang@msl.gov.tw
Tuvalu	23 Jul. 2009	Falasese Tupau falasese@yahoo.com
USA	07 Mar. 2009	Joe Arceneaux stuart.arceneaux@noaa.gov
Vanuatu	14 Jul. 2009	John Mahit jmahit@gmail.com

Coordinators were correct at 31st Aug 2010.

Audits of Observer Programmes for the ROP

31. One full audit has taken place, with two other countries having invited the Secretariat to conduct an audit of their programmes, procedures have been developed and are attached for your information (ROP Attachment 3) CCMs are reminded that an invitation to the Secretariat to have an observer programme audited so as to gain full authorisation is required by June 2012, and it is also noted that

the earlier an audit the more time that a programme can adjust to ensure the standards as required by the Commission are in place. The purpose of the Audit is to assist programmes identify any possible deficiencies and then to assist with rectifying these deficiencies.

32. The IWG-ROP put in place the Audit process, however once procedures were developed and applied: there is no direction on how the reporting of these Audits should occur, presented are possible options to consider:
- Option 1 – Final Audit report is reported to Country involved, and when a programme fully complies with the Commission standards a summary of the audit report is prepared for the TCC & Commission.
 - Option 2 Final Audit Report is reported to Country involved and when a programme fully complies with the Commission standards, a copy of the full audit report is prepared for the TCC & Commission.
 - Option 3 – Final Audit Report is reported to Country involved with notification only relayed to the TCC and Commission when a programme fully complies with the Commission standards.
33. The three options are presented as a guide and TCC6 is invited to give further guidance on the procedures for reporting of the Audits of interim authorised observer programmes.

Catch Retention

34. CMM 2009-02 (Application of High Seas FAD Closures and Catch Retention) requires under Para 12 (a) to 12 (k) that discard reporting information is to be forwarded to the Executive Director of WCPFC.
35. Table 5 indicates that the Executive Director has received discard reports from 24 vessels for 31 trips of the 214 purse seine vessel fishing 20N to 20s. The report of discards is from 9th February to 3^{1st} August 2010.

Table 5 Vessels Reports of Discards as required by CMM 2009-02

Vessel Flag	¹ Number of Vessels	Tonnage Discards (Mt)				
		Reports	Vessels Reporting	SKJ	YFT	BET
China	12					
China Taipei	32	11	7	203.2	6.00	7.00
Ecuador	8					
El Salvador	2					
FSM	7					
Japan	35	15	13	447.00	7.00	3.00
Kiribati	4					
Korea	26	5	4	245.00	30.00	0.00
Marshall Islands	6					
New Zealand	4					
Papua New Guinea	3					
Philippines	17					

Spain	4					
Tuvalu	1					
United States	36					
Vanuatu	17					
Total	214	24	895.2	43.00	10.00	

¹Not all vessels are active at the same time

36. Table 6 indicates that the majority of discard reports were due to insufficient well space on the final set, a small amount discarded were reported as “unfit for human consumption and damaged by gear failure.

Table 6 Discards

REASON OF DISCARD	SKJ	YFT	BET	Total	Percentage
Not fit for human consumption	30	0	0	30	3%
Gear and Catch Damaged	36.2	0	0	36.2	3.6%
Last Set Insufficient Well Capacity	879	43	10	932	93.4%
Total	945.2	43	10	998.2	100%

37. Para 13 of CMM 2009-02 “*The operator of the vessel shall also provide a hard copy of the information described in Para 12 to the WCPFC Observer on board*”. To date the discards from these 24 vessels have been unable to be verified, as no ROP observer data has been made available to the Secretariat for these trips.

Safety of Observers

38. Following recent disturbing events, where alleged murder charges were laid against crew members of a purse seine vessel following the death of an observer while on duty, the safety and health of observers, who are on board vessels collecting often sensitive data, has also become a major concern to all providers.
39. Since the last TCC there have been a number of other incidents that are of a concern including:
- a vessel with an observer which sank, he was rescued after the sinking of the vessel, (the sinking resulted in the death of the Captain and Engineer of the vessel);
 - an incident with an observer overboard and rescued a few hours later; and
 - also on a purse seine vessel, an observer was repeatedly threatened by a crewmember with a knife.
40. The majority of vessels look after observers on board their vessels in line with the expectations of CMM 2007-01. Unfortunately there have been reports through the General Trip Information Forms (GEN3), as well as verbal observations given at debriefings of observers, that a small number of vessels have harassed and intimidated observers while they were trying to carry out their duties as observers. It has also been reported that some observers have been offered bribes to not report certain aspects of the fishing operation particularly in relation to FAD fishing. It has also been reported, that observers may have accepted bribes, have harassed crew members, have not responded well to their responsibilities, and destroyed vessel property and caused delays in

operations. These are a few events that have been reported this past year, and it is recognised that they should not be tolerated in any observer programme.

41. TCC and the Commission, in the interests of the integrity and safety of all ROP observers and the ROP are invited to address these serious problems.

Summary of the Recommendations Contained in the ROP report

Definitions

42. The TCC6 is invited to review the status of definitions contained in Table 1

Cross Endorsement of Observers (Draft)

43. TCC6 is invited to review and comment on the Draft Agreement for Cross Endorsement of observers (ROP Attachment 1) for consideration by the Commission.

Data Entry and Management costs

44. TCC6 is invited to review ROP Data Entry and Management costs (ROP Attachment 2) and provide recommendations to the Commission.

Audit procedure options

45. TCC6 is invited to give guidance on the three options for procedures on reporting of the audits of interim authorised observer programmes.

Approval for release of ROP data to secretariat

46. FFA/SPC CCMs are encouraged to give SPC approval to release ROP minimum data standard fields collected by national and sub regional observers on ROP duties to the Secretariat for analysis. All other CCMs are encouraged to send their ROP observer data to the Commission Secretariat or the Commission Data Provider (SPC).

Audit of programmes

47. CCM's are encouraged to request the Secretariat to audit their national and sub regional observer programmes as soon as practical remembering that June 12, 2012 is the deadline for Audits.



TECHNICAL AND COMPLIANCE COMMITTEE

6th Regular Session

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Cross Endorsement of Observers (Draft)

**MEMORANDUM OF COOPERATION (MOC) ON THE CROSS-ENDORSEMENT OF WCPFC
AND IATTC APPROVED OBSERVERS WHEN OBSERVING ON THE HIGH SEAS OF THE
CONVENTION AREAS OF BOTH ORGANIZATIONS**

between

**THE COMMISSION FOR THE CONSERVATION AND MANAGEMENT OF HIGHLY
MIGRATORY FISH STOCKS IN THE WESTERN AND CENTRAL PACIFIC OCEAN**

and

THE INTER-AMERICAN TROPICAL TUNA COMMISSION

The Commission for the Conservation and Management of Highly Migratory Fish Stocks in the Western and Central Pacific Ocean (WCPFC) and the Inter-American Tropical Tuna Commission (IATTC):

UNDERSTANDING the value of undertaking cooperative efforts to facilitate the operation of vessels that fish in both Convention Areas during the same fishing trip;

CONSIDERING the Memorandum of Understanding between WCPFC and IATTC signed in 2006 and the Memorandum of Cooperation signed in 2009;

CONFIRM the following conditions for the cross-endorsement of approved observers to operate on authorized vessels that undertake fishing operations in the convention areas of both organizations:

1. Vessels with observers may fish in the IATTC Convention Area only if they are included on the IATTC Regional Vessel Register, and may fish in the WCPFC Convention Area only if they are included on the WCPFC Record of Fishing Vessels.
2. Cross-endorsement for an observer will be given only when the IATTC and WCPFC Secretariats agree that the observer has met the necessary training requirements for operating on vessels that fish in both Convention Areas.

3. It is understood that the data and information requirements of each Commission will be met by the authorized observers when the vessel in question is in its Convention Area.

4. All data and information collected by observers operating on trips that extend into the Convention Area of the other organization will be provided to both the IATTC and WCPFC Secretariats.

5. Each Secretariat will identify the data and information required for its Commission and will ensure that observers will be able to meet all such requirements with respect to vessels fishing within that Commission's Convention Area.

6. The Secretariats shall cooperate in observer training, with a view towards developing a core group of observers from the observer program of each organization who may be assigned to vessels operating in both Convention Areas to meet the requirements of both IATTC and WCPFC with respect to observers.

7. The provisions of this MOC may also apply to specified areas of either organisation which are not high seas, in accordance with relevant approval procedures of each Commission, and when so advised by the Secretariat of the relevant Commission to the other Secretariat.

8. This MOC is subject to periodic review, and may be modified as agreed by both Commissions. Either Commission may terminate this MOC with three months' notice of such intention to the other Commission.

Signed on behalf of the WCPFC and the IATTC:

..... . Chairman, WCPFC Director, IATTC
Date:	Date:



TECHNICAL AND COMPLIANCE COMMITTEE

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ROP DATA ENTRY & DATA MANAGEMENT COSTS

Prepared by the Secretariat

Introduction

1. The options for observer data processing were presented at WCPFC-TCC5-2009/08 with a decision by WCPFC 6 to choose option 5.1 for one year following the offer of a subsidy from New Caledonia to make up the difference, between options 5.1 data entry based in Noumea, and option 5.3 data entry based in Pohnpei. Therefore it is assumed the data entry for 2011 will continue at SPC and that the subsidy by New Caledonia will be continued.
2. Calculations for the cost for 2011 were made with advice from SPC on trip numbers and data entry time to punch a trip (Tables 1&3). The estimated number of observer purse seine and long line trips will be approximately 3200 observer trips for 2011; approximately 1863 (purse seine) and 355 (LL) are expected to be ROP trips. However, not all ROP collected data will be entered by SPC with an expected 512 US Treaty and FSMA ROP trips to be entered by the FFA Secretariat; other observer providers are expected to cover some of the data entry of the ROP trips. Therefore the costing presented in the tables is based on 1352 purse seine trips and the 355 long line trips expected in 2011 that will require data entry by SPC.

Data Personnel requirements

3. Since WCPFC6 there has been a change in the numbers of data entry staff required to be funded for entering ROP data in 2011. The New Caledonia subsidy covers the cost of four data entry personnel at SPC. The FFA Secretariat observer programme will enter the UST and FSMA data (not including the catch sampling forms, which will be entered by SPC) which has lessened the requirements for data entry staff to be costed for ROP data entry at SPC. Some member countries that have the infrastructure to do so are entering their own data, with a few others wanting to commence entering their data collected by their observers. However many of the provider countries do not have the infrastructure to be able to enter the data and rely heavily on the data provider SPC to enter their ROP data. Taking into account the subsidy by New Caledonia and the other providers entering data there has been a reduction in data entry requirements for SPC to enter the ROP data. Therefore the staff requirement to enter ROP data at SPC is calculated to be 8 persons for 2011.

Data Entry Budget

4. The full data entry budget for 2010 was not approved at WCPFC6; therefore the establishment and equipment for the data entry personnel will still be required.
5. Two positions are included in the budget “WCPFC ROP Database Manager” and WCPFC ROP Data Audit Officer however no funding is required for 2011 and 2012 as current staff requirements for these positions are currently adequate at SPC, however funding under another project for these positions will expire in 2013. The two positions are important to ensure the ROP data entry has the necessary technical support, the data are of a high quality, ad hoc and regular reports for the ROP Coordinator are developed according to requirements, data extracts can be compiled to support the scientists and any additional analyses/data summaries of the ROP data requested by the Commission can be undertaken/produced. These positions also need to provide information on the background on the data collected/processed, as we currently do when scientists ask us for an explanation for certain anomalies, etc.
6. The total cost for data entry in 2011 will be US\$561,489 (Table 2) however a subsidy by New Caledonia of approx US\$148,520 plus SPC/OFP funding of US\$78,200 will reduce the amount required from the WCPFC annual budget and the amount sought for data entry for the ROP for data entry materials and establishment costs in 2011 is US\$334,769

Table 1 Estimated Observer trips 2011

Trip Type	Actual		(Coverage est.)	
	LL	PS	LL -5%	PS-100%
SIDs domestic trips only (non-ROP)	4,220	179	211	179
USMLT / FSMA ROP Trips	0	512	0	512
National ROP Trips	7,107	1,352	355	1,352
CCMs (ex-PICs)	9,563	131	478	131

**Table 2
2011 Data management costs for option 5.1**

Item	Trips	Unit	Annual Unit Cost ¹	2011 WCPFC Annual Cost ¹	SPC/OFP Program Funding Annual Cost	New Caledonia Funding Annual
Recurring Annual Costs						
<i>ROP Data Analysis/Management</i>						
WCPFC ROP Data Manager (2013)		1	90,000	0	0	0
WCPFC ROP Data Audit Officer (2013)		1	90,000	0	0	0
				0	0	0
<i>Data processing</i>						
Data Entry (SIDs non-ROP) - Longline	211	1	39,100	0	39,100	0
Data Entry (SIDs non-ROP) - Purse seine.	179	1	39,100	0	39,100	0
Sub total				0	78,200	0

Data Entry (ROP trips) - Purse seine (New Caledonia funding)	572	4	36,380	0	0	145,520
Data Entry (ROP trips) - Longline (WCPFC funding)	355	2	39,100	78,200	0	0
Data Entry (ROP trips) - Purse seine (WCFPC funding)	923	6	39,100	234,600	0	0
Sub total				312,800	0	0

<i>Materials to support submission of ROP data by SIDs</i>						
Printing costs (scans --> paper) - LL	566	16,989	0.013	212	0	0
Printing costs (scans --> paper) - PS	1,351	76,528	0.013	957	0	0
Sub total				1,169	0	0
<i>Establishment costs</i>						
Scanners in SIDs		14	800	11,200	0	0
Computers for data entry (WCPFC funding)		8	1,200	9,600	0	0
Computers for data entry (NC funding)		3	1,000	0	0	3,000
Office space						
Sub total				20800		
US\$ Totals				334,769	78,200	148,520

¹ Includes SPC management fee which covers office space, administrative support, communication, housing subsidy, etc. where relevant

7. Notes on Table 2

- The calculations above assume that the sub-regional observer programmes (US Multilateral Treaty and FSM Arrangement), managed by FFA, will bear the cost of data processing and database administration of their ROP data. The exception being the PS-4 “length frequency forms” which have been historically entered by SPC and are included as part of the data entry from the NC contribution.
- The core, existing SPC staff will be cover the future processing of observer data for domestic fleets from PICs which do not fish outside their zone (i.e. the non-ROP trips). The processing of these trips is assumed to be covered by the SPC/OFP Programme funding
- The estimates of data entry staff required, the number of trips processed per year, etc. is based on the data entry staff recruited to work at SPC/OFP Noumea. Existing SPC/OFP data management staff will cover the supervision of these positions
- WCPFC Data Manager and Audit Officer will be required to undertake the wide range of analyses, data quality and reporting writing required under the ROP. The cost for each position at SPC is currently estimated to be USD 90,000, which includes the SPC management fee.
- The figures presented are based on estimated annual data flows, but will not necessarily allow the backlog of data for 2009 & 2010 to be cleared.

Trips entered per year per DET	143
Days to enter one trip (average)	1.4
Data entry person days per year	200
Annual Unit cost for data entry person (USD)	\$39,100

Annual Unit cost for data management	\$90,000
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2011 Cost Recovery per Vessel/Trip

8. If the Commission were to consider cost recovery for the data entry portion of the ROP which is the highest cost activity for the Commission at this time, options that could be considered:

Option 1 – ROP data entry costs are divided across the trips that the WCPFC data provider would be seeking funds from the WCPFC to cover costs. Costs per trip:

- a) With New Caledonia Subsidy US\$200,
- b) No subsidy US\$270.

Option 2 - divide the cost across the number of approximate vessels that are active in the region (3000). Cost per vessel:

- a) With New Caledonia subsidy US\$112,
- b) No subsidy US\$152

9. The budget is expected to increase in 2013 when the two staff positions required for data analysis currently funded by another project expires. The amount sought for data entry in 2013 would have an additional \$180,000 added to the budget.
- Option 1a with New Caledonia subsidy would require a recovery of \$300
 - Option 1b without subsidy \$372
 - Option 2a with New Caledonia \$172
 - Option 2b without subsidy \$212

Recommendation

10. TCC6 is invited to review this paper on ROP Data Entry and Management costs and provide recommendations to the Commission.



TECHNICAL AND COMPLIANCE COMMITTEE

6th Regular Session

30th September - 5th October 2010

Pohnpei, Federated States of Micronesia

Audit of Agreed Minimum standards of the Regional Observer programme

Item to be Audited	Standard Required
Manuals & Work- Books	<p>The ROP standard agreed by the Commission for “Observer Manual/ Guidelines/Work books will be:</p> <p>CCMs have and use their respective Observer Manual/Guidelines and submit copies of these to the Secretariat.</p> <p>Each CCM National Observer Programme and Sub-Regional Observer Programmes will provide copies of their respective Observer Workbooks to the Secretariat.</p>
<p>For the purposes of this Audit</p> <p>Manual is defined by the ROP as publications that serves to direct or indicate to an authorised observer by hard copy or electronic copy with information to assist with the roles and duties they are expected to carry out as an observer,</p> <p>Workbook is defined by the ROP as a book or pad that contains data collection forms, instruction or formats that an observer will be required to complete while carrying out their duties.</p> <p>Manuals and Workbooks may be a series of guides or may be produced as one publication.</p>	<p>ROP expectation on the content of Manuals & Work books</p> <p>Observer Manuals and Work books may include a number of publications or formats that an observer will use for guidance when carrying out duties on an observer trip. Manuals will be relevant to, and will contain current requirements and information for the use by the observers of the national programme.</p> <p>Manuals may be inclusive or may be produced individually and should include, but is not limited to; Observer operations guides, species ID guides, gear type & electronic guides, guides on reporting and handling species of special interest. guidelines on collecting, security and handling of data collected by the observer including, photo, videos, digital images and any other form of data collection. General operational guides and data collection guide lines</p> <p>At least one manual/workbooks issued to an observer commencing a Regional Observer Programme (ROP) trip should contain annexes or sections on the requirements of the Conservation Measures of the Commission(CMMs) and the details of the ROP.</p> <p>Copies of all Manuals/Work books must be given to the Secretariat of the WCPFC.</p>

<p>1. Work Books/Manuals are in place that describes and assist observers to understand their operational and data collection roles</p> <p style="text-align: right;">Yes No</p>
<p>Comment</p>
<p>2. Manuals and or Work books that contain the current ROP requirements of the Commission are included as part of the information to be given to observers?</p> <p style="text-align: right;">Yes No</p>
<p>Comment</p>
<p>3. Manuals and/or Work Books are in place that contain current Conservation and Management Measure information relevant to the roles and duties of an Observer</p> <p style="text-align: right;">Yes No</p>
<p>Comment</p>
<p>4. Manual, work books and guides used by the national/ sub regional programmes have been forwarded to the WCPFC Secretariat</p> <p style="text-align: right;">Yes No</p>
<p>Comment</p>

Item to be Audited	Standard Required
<p>Data Fields</p> <p>For the purposes of this Audit</p> <p>Data Fields and Minimum Data Standards is defined as Minimum Data Fields approved by the Commission for collection by ROP observers.</p>	<p>The agreed standard for “Data Fields, Management, Distribution and Use” will be that CCMs will use existing data field formats collected by their national or sub regional observer programmes and that also they will ensure that the Commission minimum data standard fields for the ROP are included in their data collection formats.</p> <hr/> <p>ROP expectation on the collection of ROP Minimum Standard Data fields</p> <p>ROP data includes data collected by an observer when they are on the high seas or in zones other than the flag of the vessel they are aboard.</p> <p>Programmes may continue to use their own formats; however programmes will need to review the data collected by their observers to include the minimum data fields required by the Commission. This will need to occur before 2012.</p> <p>Data collected by national (NOP) or sub regional observer programmes (SOP) on ROP trips, (original hard copy or unaltered scanned copy) will be sent to the Commission designated data provider (SPC) as soon as practical after the return of an observer from their trip.</p> <p>All observer data is confidential and may not be distributed or given to any unauthorized organisation or person without approval of the Executive Director of the WCPFC.</p>
<p>5. Does the NOP or SOP have their own data collection format</p>	<p style="text-align: right;">Yes No</p>
<p>Comment</p>	
<p>6. Does the NOP /SOP have included in their data format all the minimum Data standards required by the Commission</p>	<p style="text-align: right;">Yes No</p>
<p>Comment</p>	
<p>7. If ‘No’ to (2) Does the NOP SOP have in place a system to include the Commission Minimum Standard Data Fields in their Format by 2012</p>	<p style="text-align: right;">Yes No</p>
<p>Comment</p>	
<p>8. Does the NOP/SOP send the ROP data to the designated Commission Data Provider or to the Commission Secretariat</p>	<p style="text-align: right;">Yes No</p>
<p>Comment</p>	

9. Does the NOP/SOP understand the Convention Text on what is considered to be ROP data	Yes No
Comment	
10. Does the NOP/SOP need assistance in sending ROP data to the designated Commission provider or to the Commission secretariat.	Yes No
Comment	
11. Has the NOP/SOP authorised ROP data held by Commission Data Provider to be released to the Commission Secretariat	Yes No
Comment	

Item to be Audited	Standard Required
<p>Training</p> <p>For the purposes of this Audit</p> <p>Training should include but not be limited to</p> <ol style="list-style-type: none"> 1. Fisheries management; 2. Understanding MCS; 3. WCPFC Convention and related CMMs; 4. Importance of observer programmes , understanding authority and responsibilities of observers 5. Safety at sea – emergencies at sea, survival at sea 6. First Aid 7. Species identification, including target, non-target, protected species, etc. 8. Fishing vessel & Gear types 9. Vessel identification & markings 10. Techniques of verification of catch logbooks 11. Techniques of estimating catch and species composition 12. Fish sampling, Measuring and Weighing techniques. 13. Preservation of samples for analysis; 14. Data collection codes and data collection formats 15. Use of digital recorders 16. Knowledge of navigation including latitude/longitude; compasses; bearings;; chart work; plotting a position; 17. Electronic equipment & understanding their operations 18. The use of radios & communications; 19. Verbal debriefing & Report Writing 20. Health at Sea issues 	<p>Standard for “Observer Training” is that training programmes should be linked to the Commission’s decisions in place, available for review and training programme materials provided to the Secretariat</p> <p>ROP expectation on the Training of Observers for the ROP</p> <p>Without specially designed training an observer programme will suffer from unprofessional behavior, poor data outputs and lack of respect from the industry and other sections of the fisheries management authorities. Training must therefore be considered as a key element in the development of an observer programme.</p> <p>The qualifications and background of current or potential observers must be analyzed in relation to the objectives of the programme and any proposed programme structure.</p> <p>Instructors The best training instructors are those who have an intimate knowledge of observer work, have experienced conditions at sea, have a good understanding of the fishery, and can communicate training messages in clear and straight forward manner. NOP/SOP Programme coordinators should also take part in the training, in order to develop closer relationships with their potential observers.</p> <p>Venues</p> <p>Training should be conducted in suitable training facilities with appropriate equipment. Marine colleges are favorable venues for observer training but are not essential.</p> <p>Education/ Entrance</p> <p>Qualifications for entry to observer training may vary from programme to programme. Some may require a degree level applicant, others a high school level and others may be required to participate in an entrance exam before being accepted into an observer course. Regardless of the entrance criteria the output of the training is the important result.</p> <p>Certification</p> <p>Observers will be certified by these training programmes and must reach a high level of competency. Observer will be required to be categorized as fully trained in one or all of the gear types below</p> <ol style="list-style-type: none"> a) Purse seine b) Longline c) Pole and Line d) Other gear types Troll, Trawl, hand line etc

<p>12. Does the NOP/SOP training contain all or most of the parameters as listed 1- 20 Please circle each one conducted as part of the training course, in comments list extra items not included in the list.</p>			
<p>Comment</p>			
<p>13. Trainers carrying out training of observers are considered to be of an acceptable standard for the course and are qualified.</p>			
		Yes	No
<p>Comment</p>			
<p>14. Training venues are acceptable and conducive to ensuring observer trainees, have appropriate facilities, equipment, and learning materials for their course</p>			
		Yes	No
<p>Comment</p>			
<p>15. Entrance to course is limited to participants with the following minimum requirements</p>			
Degree	High School Pass	Entrance Criteria	Other
<p>Comment</p>			
<p>16. Certification of observers are based on (Circle)</p>			
<p>a) Attendance at a course.</p>			
<p>b) Basic pass 50% in all requirements of the course.</p>			
<p>c) Pass above 50 - 59% or 60 -70% or 75% for whole course</p>			
<p>d) Pass above 50 - 59% or 60 -70% or 75% for each subject</p>			
<p>e) other</p>			
<p>Comment</p>			
<p>17. Has the programme supplied copies of all training materials to WCPFC Secretariat</p>			
		Yes	No
<p>Comment</p>			

Item to be Audited	Standard Required
Observer Trainers	The ROP standard agreed by the Commission for “Observer for observer Trainers will be:
For the purposes of this Audit	“CCMs will use existing national and sub-regional training standards. CCMs will develop trainer qualifications, available for review by the Secretariat.”
Observer Trainers are persons who have been authorized by the NOP to train observers on their behalf. Trainers may be internal to the programme or may be specialists brought in from other programmes or organisations.	ROP expectation on the use of trainers
	<p>The best training instructors are those who have</p> <ul style="list-style-type: none"> • an intimate knowledge of observer work, data collections and reporting • experienced conditions at sea as an observer, • a good understanding of the fishery and the management of that fishery, • to be able to communicate training messages in clear and straight forward manner.
	<p>Observer Trainers should have undergone a series of training programmes designed to educate persons in the training of observers. They should also be able to</p> <p>NOP/SOP Programme coordinators should also take part in the training, in order to develop closer relationships with their potential observers</p>
<p>18. Does the programme have its own Observer Trainers or does the programme use Observer Trainers from external sources</p> <p>Own <input type="checkbox"/> External <input type="checkbox"/> Both <input type="checkbox"/></p>	
<p>Comment</p>	
<p>19. Have the trainers been trained to be trainers of observers through a special course for training trainers</p> <p style="text-align: right;">Yes No</p>	
<p>Comment</p>	
<p>20. What performance criteria or appraisal system are in place to ensure that a high level of quality is maintained in the trainers</p>	
<p>Comment</p>	

<p>Item to be Audited Code of Conduct</p> <p>For the purposes of this Audit</p> <p>Code of Conduct should provide a set of guiding principles relating to accepted behaviour and standards of conduct while serving as an ROP Observer</p>	<p>Standard Required</p> <p>The agreed standard for “Code of Conduct” is that each CCM should have a Code of Conduct in place, available to each observer, available for review and if not in place, to be developed.</p> <p>ROP expectation on Code of Conduct</p> <ul style="list-style-type: none"> ➤ Code of Conduct will be monitored by the observer provider that supplies the observer for ROP duties. ➤ Alleged breaches reported by a vessel captain, or master, of the Code of Conduct by an ROP observer will be investigated by the observer provider. ➤ A written copy of the allegation will be forwarded to the Commission Secretariat by the Flag State or provider. ➤ The observer provider will investigate the allegations, and according to the results of their investigation, they will make recommendations on any action to be taken. ➤ The recommended action by the observer provider will be reported to the vessel flag State and to the Secretariat of the Commission who will include the findings in their annual ROP report to the TCC and Commission. <p>After considering the investigation carried out by the Observer Provider, the Commission ROP will have the right to decide whether the observer involved will be restricted or is permitted to perform any further duties for the ROP.</p>
<p>21. Does the programme have a Code of Conduct in place</p> <p style="text-align: right;">Yes No</p>	
<p>Comment</p>	
<p>22. When is the Code of Conduct given to observers</p> <p>During Training <input type="checkbox"/> When Contracted <input type="checkbox"/> Before Each trip <input type="checkbox"/></p> <p>Included in manuals given to observers <input type="checkbox"/> Other <input type="checkbox"/></p>	
<p>Comment</p>	
<p>23. Is there a set of protocols to handle breaches if a breach of the code is reported or detected</p> <p style="text-align: right;">Yes No</p>	
<p>Comment</p>	

<p>Item to be Audited Sea Safety</p> <p>For the purposes of this Audit</p> <p>Sea Safety involves the training of sea safety procedure observer receive before they are permitted to carry out duties on board a vessel at sea.</p>	<p>Standard Required</p> <p>The standard for “Sea - Safety” is that all ROP observers must undergo training in sea safety and emergency procedures, and that such training procedures be made available to the Secretariat.</p> <p>ROP expectation on Sea Safety</p> <p>Programmes are expected to ensure that all observers are trained to an international standard on Safety at Sea by a certified person, school, college or maritime authority.</p> <p>Sea safety training should include instructions in the use of life rafts, life vests, first aid, fire extinguishers, rescue protocols and communications and other essential elements of safety..</p> <p>Observers should be made aware that they have the right to refuse to board a particular vessel if they consider it to be un-seaworthy.</p>
<p>24. Have all observers certified by the programme gained a Sea Safety certification from a valid sea safety training institution.</p> <p style="text-align: right;">Yes No</p> <p>Name of institution _____</p>	
<p>Comment</p>	

<p>Item to be Audited Coordinating Observer Placements and the Deployment of Observers</p> <p>For the purposes of this Audit</p> <p>The provider of the observers will be responsible for the deployment of the observer and will ensure the selected observer is provided with all possible assistance to board a vessel</p>	<p>Standard Required</p> <p>. The standard for “Coordinating Placement” is that the WCPFC National Observer Programme Coordinator should be in place, there should be a system for observer placement administration and that documentation describing observer placement administration should be provided to the Secretariat. Audit measures to check on deployment procedures will be developed by the Secretariat</p> <p>ROP expectation on Coordinating Observer Placements and the Deployment of Observers</p> <ol style="list-style-type: none"> 1. It is the responsibility of the observer provider to administer observer placement costs and they may be recovered by various means. Providers should organise the final payment of the ROP observers salary and sea allowances provided all commitments are completed as soon as practical after the observers return to port; 2. The provider will also be expected to carry out the following functions; 3. Communicate to flag State about intending deployments and arrange date and time of boarding’s. 4. Communicate to the ROP observer on the agreed boarding date and time 5. Assist with the procurement of observer visas, entry permits, waivers and any travel documents required to transport the observer to the departure or arrival port of the vessel. 6. Organize all travel arrangements including air, bus or ferry schedules; 7. Brief ROP observer on any prioritized scientific, biological, management and operational data that is required to be collected for each trip; 8. Coordinate a briefing of the ROP observer and the vessel captain or master before departure to advise on the CMM and other obligations regarding the observer and vessel. 9. Check the safety standards of the vessel before the observer departs; 10. Ensure all relevant equipment to the ROP observer for carrying out their duties, including the collection of data and biological sampling is supplied. 11. Supply forms and workbooks in whatever format is used in the national programme, but ensuring that it contain the ROP minimum data standards; 12. Ensure the vessel understands that the observer has proper accommodation and bedding; 13. arrange another vessel for boarding preferably from the same flag State fleet if due to unforeseen circumstances the target vessel becomes unavailable due to mechanical or other problems
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	<p>such as safety, and is not favourable to the placement of an ROP observer;</p> <p>14. Arrange communication schedules with observers for the time they are on board the vessel;</p> <p>15. Debrief the ROP observer, using ROP authorised debriefers as soon as possible on their return to port;</p> <p>16. Collect from the observer all data, images, and reports after their trip;</p> <p>17. Ensure all data obligations made at WCPFC meetings on ROP data is followed.</p> <p>18. maintain regular contact with the observer after their return to provide technical support, personal support, and information on new developments, and to assure the ROP observer is in good health after the trip, and to inform the observer of any future boarding's or relevant issues arising from the trip just completed;</p>
<p>25. Is there a system in place for observer placement administration?</p> <p style="text-align: right;">Yes No</p>	<p>Comment</p>
<p>26. Has the programme documentation on the procedures to be followed, when making arrangements on observer embarkation or disembarkation to or from a vessel.</p> <p style="text-align: right;">Yes No</p>	<p>Comment</p>
<p>27. administer the observer placement costs?</p> <p style="text-align: right;">Does the observer provider</p> <p style="text-align: right;">Yes No</p>	<p>Comment</p>
<p>28. Does the Providers organise the final payment of the ROP observers salary and sea allowances before or after are completion of the work.</p> <p style="text-align: right;">Yes No</p>	<p>Comment</p>
<p>29. Are observers contracted for One trip only <input type="checkbox"/> Two trips <input type="checkbox"/></p> <p style="text-align: center;">More than two trips <input type="checkbox"/></p>	

Comment	
30.	Has the provider any arrangements in place with a DWFN to supply observers.
Comment	
31.	Does the provider communicate to the Flag State on the intending deployment of an observer? <input type="checkbox"/> Does the DWFN Flag State request and observer. <input type="checkbox"/>
Comment	
32.	What, if any difficulties are there in the procurement of observer visas, entry permits, waivers and any travel documents required to transport the observer to the departure or arrival port of the vessel? <div style="text-align: right;"> Not Difficult <input type="checkbox"/> Difficult <input type="checkbox"/> Complex <input type="checkbox"/> </div>
Comment	
33.	Does the programme do a pre-boarding briefing of the ROP observer including briefings on any prioritized scientific, biological, management and operational data that is required to be collected for a trip <div style="text-align: right;"> Yes No </div>
Comment.	
34.	Does the programme try to coordinate a briefing of the ROP observer and the vessel captain or master before departure to advise on the CMM and other obligations regarding the observer and vessel including observer roles, accommodation and meals? <div style="text-align: right;"> Yes No </div>
Comment	
35.	Does the programme use a VSC or check the safety standards of the vessel before the observer departs <div style="text-align: right;"> Yes No </div>
Comment	
36.	Does the programme equip the observer with relevant equipment for ROP observer

duties including the collection of data and biological sampling is supplied.		Yes	No
Comment			
37.	Does the programme use their own formats for collecting data or are they using harmonised regional data collection formats.	Own Format	<input type="checkbox"/>
		FFA/SPC Format	<input type="checkbox"/>
		Other	<input type="checkbox"/>
38.	Does the programme format contain all the ROP minimum data standards;	Yes	No
Comment			
39.	Does the programme have regular communication schedules with the observer on board	Yes	No
Comment			
40.	Does the programme have qualified debriefers to debrief all observers on their return?	Yes	No
41.	percentage % range of observers debriefed	1-25	What is the estimate
			26-50
			51-75
			76-100
Comment			
42.	Does the programme do debriefing of the ROP observer including data quality, incidental reports and other matters?	Yes	No
Comment			

<p>43. Does the provider collect all information, all data, images, and reports from the observer after their trip;</p> <p style="text-align: right;">Yes No</p>
<p>Comment</p>
<p>44. Does the Provider ensure all data obligations made at WCPFC meetings on ROP data is provided to the WCPFC within a timely manner</p> <p style="text-align: right;">Yes No</p>
<p>Comments</p>
<p>45. Does the programme maintain regular contact with the observer after their return to provide technical support, personal support, and information on new developments, and to assure the ROP observer is in good health after the trip, and to inform the observer of any future boarding's or relevant issues arising from the trip just completed</p> <p style="text-align: right;">Yes No</p>
<p>Comment</p>

Item to be Audited	Standard Required
<p>Briefing and Debriefing</p> <p>For the purposes of this Audit</p> <p><u>Briefing</u> of observers is a specially arranged session with the observer and an endorsed briefing person, to ensure that they understand clearly the roles and duties they are expected to carry out on a vessel before a trip.</p> <p><u>Debriefing</u> of observers, is a specially arranged session with the observer and an endorsed debriefer to ensure that the data and information collected is checked for discrepancies and can be corrected before the information is entered into a data base</p> <p>It is also a period when the observer can report critical incidents for further attention.</p>	<p>The interim standard for “Briefing and De-briefing of observers” is that there is a system for briefing and de-briefing of observers in place and documentation describing briefing and de-briefing available to the Secretariat</p> <p>ROP expectation on the briefing and debriefing of Observers for the ROP</p> <p>Different stages of briefing may be carried out before an observer departs on their trip</p> <p>1st stage Observers to be briefed by the provider</p> <p>2nd Stage Observer and vessel briefed together by authorised briefers or officer.</p> <p>This may be done separately or combined in the one debriefing if time does not permit two briefings</p> <p>When briefing or debriefing the following should apply:</p> <ul style="list-style-type: none"> • Briefings/debriefings must be facilitated by an experienced facilitator and should be conducted at the beginning and end of an observer trip. • Briefings/debriefings standards should follow a consistent format. • Briefing should provide opportunities to ensure that both the captain and observer fully understand the role of the observer on board the vessel. • Observer providers authorised by the Commission ROP are to ensure rigorous and continuous briefing/debriefing of their observers is carried out. • The utmost effort is made to ensure that a new observer should not be placed unless a proper briefing meeting can be arranged. • Debriefing should occur as soon as is practical after the observer leaves the vessel.
<p>46. Does the observer programme have a debriefing programme</p>	<p style="text-align: right;">Yes No</p>
<p>Comment</p>	
<p>47. Are all observers on return from a trip debriefed as soon as practical</p>	<p style="text-align: right;">Yes No</p>

Comment	
48. Does the programme have a harmonised format for briefing and debriefing	Yes No
Comment	
49. Do critical incidents get reported by observers to the debriefer and appropriate authorities when being debriefed?	Yes No
Comment	
50. Are discrepancies handled when discovered during the debriefing process	Yes No
Comment How?	
51. Where do Debriefers reports go,	
Are they attached to the observer workbooks forms	<input type="checkbox"/>
Filed independently	<input type="checkbox"/>
Other	<input type="checkbox"/>
Comment	
52.	
How many fully qualified debriefers does the programme have	<input style="width: 100px; height: 20px;" type="text"/>
Does the programme use debriefers from other programmes to assist	Yes No
Comment	

<p>Item to be Audited</p> <p>Briefing and Debriefing Training</p> <p>For the purposes of this Audit</p> <p>Debriefing Training will be specialised training by qualified person/s., of a group of participants selected by a rigorous selection criteria to become fully authorised observer debriefers of all gear types.</p>	<p>Standard Required</p> <p>The Interim Standard for qualification of observer debriefers is that debriefers will be experienced in observer matters and that CCMs will use existing national and sub-regional programme standards for debriefers. CCMs will prepare qualifications for a debriefer, available for review by the Secretariat.</p> <p>ROP expectation on the briefing and debriefing of the training of Observers for the ROP</p> <p>Debriefer trainers should have undergone a series of training programmes designed to educate them in the techniques of interviewing observers and to debrief observer collected information and material.</p> <p>Debriefer training instructors should have</p> <ul style="list-style-type: none"> • an intimate knowledge of observer work, data collections and reporting • experienced conditions at sea preferably as an observer, • a good understanding of the fishery and the management of that fishery, • good communication skills that can give clear and understandable messages in a straight forward manner. <p>Note **</p> <p>Where practical NOP/SOP Programme coordinators should also take part in the training, in order to develop closer relationships with their potential debriefers and observers.</p>
<p>53. Does the programme hold regular training sessions for debriefers?</p> <p style="text-align: right;">Yes No</p>	
<p>Comment</p>	
<p>54. Does the programme have National or Sub regional training standards for debriefer</p> <p style="text-align: right;">Yes No</p>	
<p>Comment</p>	

Item to be Audited	Standard Required
<p>Equipment and Materials</p> <p>For the purposes of this Audit</p> <p>Equipment and materials is equipment and materials that an observer will require to safely carry out their roles and tasks on board a vessel.</p>	<p>The standard for “Equipment and Materials” is that observers are provided with appropriate equipment, including safety equipment to carry out their roles and tasks on board a vessel.</p> <hr/> <p>ROP expectation on the equipment and Materials of Observers for the ROP</p> <ul style="list-style-type: none"> • Equipment and Materials should be dependant of gear type. • Equipment should be dependent on climate area the vessel is fishing. • Safety equipment includes items, hard hats, proper deck working boots or shoes, gloves and protective sun glasses. • Observers should not board vessels until they have been fully kitted out • Equipment for work must be in a good working order and safety gear should have regular checks.
<p>55. Does the programme issue non safety materials & equipment for all of its observer to carry out their roles and tasks on a vessel.</p>	<p style="text-align: right;">Yes No</p>
<p>Comment</p>	
<p>56. Does the programme issue safety equipment for all of its observer to carry out their roles and tasks on a vessel.</p>	<p style="text-align: right;">Yes No</p>
<p>Comment</p>	
<p>57. Does the programme issue ID manuals and workbooks for every trip?</p>	<p style="text-align: right;">Yes No</p>
<p>Comment</p>	

List materials and equipment distributed to observers, prior to a trip taking place.

Workbooks	<input type="checkbox"/>	Hard Hats	<input type="checkbox"/>
Callipers	<input type="checkbox"/>	Sun Glasses or protective glasses	<input type="checkbox"/>
Deck Tapes	<input type="checkbox"/>	Acceptable work or deck boots	<input type="checkbox"/>
ID guides and manuals	<input type="checkbox"/>	Personal Epirbs	<input type="checkbox"/>
Sampling equipment	<input type="checkbox"/>	Medical Kit	<input type="checkbox"/>
Hand held GPS	<input type="checkbox"/>	Wet Weather Gear	<input type="checkbox"/>
Camera	<input type="checkbox"/>	Other	<input type="checkbox"/>
Digital/Video	<input type="checkbox"/>	_____	

Comment

58. Is the equipment checked and serviced regularly.

Yes No

Comment

<p>Item to be Audited</p> <p>Performance of Observers</p> <p>For the purposes of this Audit</p> <p>Measuring Performance of an observer” is a means to report on the performance of the observers with the programme.</p>	<p>Standard Required</p> <p>The standard for “Measuring Performance” is a means to report on the performance of the observer programme and a means to report on the performance of individual observers as part of the annual reporting requirements established by the Commission.</p> <p>ROP expectation on performance of observers used in the ROP</p> <p>Observers shall be:</p> <ul style="list-style-type: none"> • trained and certified /authorised by their programmes; • trained to acceptable Commission standards; • expected, to collect quality data; • expected to make comprehensive and detailed written reports; • expected to show well mannered behaviour on trips or when travelling to or from vessels; • clear of any criminal record; • able to travel through or to any country;
<p>62. Does the programme carry out a regular appraisal of its observers</p> <p style="text-align: right;">Yes No</p>	
<p>Comment</p>	
<p>63. Does the programme use outside assistance when measuring performance of the observer.</p> <p style="text-align: right;">Yes No</p>	
<p>Comment</p>	
<p>64. Observers who are appraised lowly are</p> <p>Dismissed <input type="checkbox"/> Retrained <input type="checkbox"/> Placed in other work <input type="checkbox"/> Other <input type="checkbox"/></p>	

Comment

<p>Item to be Audited</p> <p>Dispute Settlement</p> <p>For the purposes of this Audit</p> <p>Dispute occurs when two or more parties disagree over matters involving the roles and tasks of the observer, operations of the vessel, or any other issue involving the observer and a second party. The programme will have procedures to prevent the escalation of conflict, through mediation, facilitation, conciliation, and training.</p> <p>Disputes resolution may require the appointment of a appropriately-composed expert or technical panel.</p>	<p>Standard Required</p> <p>The standard for “Dispute Settlement” is a dispute resolution mechanism in place, and if not in place, to be developed, and a description of the dispute resolution mechanism provided to the Secretariat</p> <p>ROP expectation on Dispute Settlements used in the ROP</p> <p>The programme will have in place the following:</p> <p>A procedure to report disputes for both the observer and the vessel.</p> <p>A consultations process allowing all parties to make statements</p> <p>Process to determine a resolution of the problem through mediation, facilitation, conciliation.</p> <p>Process to appoint an appropriately-composed expert or technical panels if required to resolve the dispute.</p>
<p>65. Does the programme have a dispute resolution mechanism?</p> <p style="text-align: right;">Yes No</p>	
<p>Comment</p>	
<p>66. Does the programme have a process to appoint appropriately-composed expert or technical panels?</p> <p style="text-align: right;">Yes No</p>	
<p>Comment</p>	
<p>67. Does the programme have formalised structures in place to allow both observers and flag States/Vessels to report on disputes.</p> <p style="text-align: right;">Yes No</p>	
<p>Comment</p>	

<p>Item to be Audited</p> <p>Authorization Process</p> <p>For the purposes of this Audit</p> <p>Authorisation process is the standards required to obtain interim authorisation to be part of the ROP.</p> <p>Also the process of gaining full authorisation by June 2012.</p>	<p>Standard Required</p> <p>The Secretariat will authorize national observer programmes, rather than individual observers; this is consistent with the Convention text. CMM-2007-01 Para 12(b) also states that the Secretariat will authorize observer providers.</p> <p>ROP expectation on the authorisation process used to be part of ROP.</p> <p>Before auditing takes place the programme will have been interim authorised by the Secretariat according to the rules and standards as adopted by the Commission.</p> <p>This will necessitate all programmes to:</p> <ul style="list-style-type: none"> • Supply manuals and guides to the secretariat • Nominate a national ROP Observer Coordinator • Supply lists of all current observers. • Supply an official letter requesting ROP inclusion
<p>68. Has the programme been interim authorised to the ROP</p> <p style="text-align: right;">Yes No</p>	
<p>Comments</p>	
<p>69. Where there any deficiency in the first authorisations</p> <p style="text-align: right;">Yes No</p>	
<p>Comment</p>	

<p>Item to be Audited</p> <p>Observer Coverage</p> <p>For the purposes of this Audit</p> <p>Authorisation process is the standards required to obtain interim authorisation to be part of the ROP.</p> <p>The process of gaining full authorisation is to be carried out by June 2012.</p>	<p>Standard Required</p> <p>Observer coverage for purse seiners is 100% since Jan 2010</p> <p>Observer coverage is 5% for long liners by 2012</p> <p>ROP expectation on coverage used in the ROP</p> <p>The format of the Annual Report Part 2 is to accommodate information regarding ROP Observer coverage.</p> <p>Observer placements are to be conveyed to the ROP using the table below</p>
<p>70. Does the programme have enough observers to supply 100% coverage</p> <p style="text-align: right;">Yes No</p>	
<p>Comments</p>	
<p>71. Does the programme submit observer names and vessel boarding's to the ROP</p> <p style="text-align: right;">Yes No</p>	
<p>Comment</p>	
<p>72. Does the programme attain 100% coverage of all purse seine vessels</p> <p style="text-align: right;">Yes No</p>	
<p>Comment</p>	

<p>Item to be Audited</p> <p>Vessel Safety Check list (VSC) format</p> <p>For the purposes of this Audit</p> <p>VSC format should be designed to evaluate the Safety of the vessel before an observer makes a boarding.</p> <p>Commission has a format as a guideline and national formats should be similar or the same.</p>	<p>Standard Required</p> <p>The interim minimum standard for a Vessel Safety Checklist (VSC) will be that a CCM should have a VSC in place, and to be used prior to an observer boarding a vessel; and if not in place, CCMs may use, as a guideline, the VSC developed by the Commission.</p> <hr/> <p>ROP expectation on Vessel Safety for the ROP</p> <p>All programmes will have a vessel safety format that can be used to determine if a vessel is safe for an observer to board.</p> <p>If not using the Commission VSC format, observer programmes should submit copies of their VSC to the Secretariat.</p> <p>A VSC will apply before each boarding of an observer on a vessel.</p> <p>Observer has the right to refuse the boarding if the VSC highlights that the vessel does not comply with expected standards.</p>
<p>73. Does the programme have a VSC format in place</p> <p style="text-align: right;">Yes No</p>	
<p>Comment</p>	
<p>74. Does the programme ensure that each vessel that is to be boarded uses a VSC before an observer departs for duties at sea</p>	
<p>Comment Yes No</p>	
<p>75. What type of VSC format does the programme use</p> <p style="text-align: center;">Own <input type="checkbox"/> Commission <input type="checkbox"/> Other <input type="checkbox"/></p>	
<p>Comment</p>	
<p>76. Who does the checking on the VSC</p> <p>Programme <input type="checkbox"/> Observer <input type="checkbox"/> Both together <input type="checkbox"/> Other <input type="checkbox"/></p>	

Comment

<p>Item to be Audited</p> <p>Insurance and Liability</p> <p>For the purposes of this Audit</p> <p>Providers are to show that their observers have health, safety and liability insurance available to them before embarking on an observer trip.</p>	<p>Standard Required</p> <p>The Interim Standard for Insurance of Observers for ROP duties is that CCMs will use existing national standards for health and safety insurance. CCM providers of observers will make sure an observer placed on a vessel for ROP duties, has health and safety insurance.</p> <p>ROP expectation on Insurance and Liability for observers</p> <p>The observer programme will have in place the following:</p> <ul style="list-style-type: none"> ➤ A national health and safety standard for insurance available for all observers. ➤ A checking system ensuring that Observers are insured at all times during their employment.
<p>78. Does the programme insure their observers?</p> <p style="text-align: right;">Yes No</p>	
<p>Comment</p>	
<p>79. What sort of insurance does the programme have available for an observer</p>	
<p>80. Government <input type="checkbox"/> Private paid by programme <input type="checkbox"/> Private paid by the Observer <input type="checkbox"/></p> <p>Relies on Vessel Insurance <input type="checkbox"/> Travel Insurance <input type="checkbox"/> Other <input type="checkbox"/></p>	
<p>Comments</p>	
<p>77. Are observers given the right to refuse a boarding if they feel that a vessel is unsafe after a VSC check has been done.</p> <p style="text-align: right;">Yes No</p>	

<p>Item to be Audited</p> <p>Conservation and Management Measures adherence</p> <p>CMM's</p> <p>For the purposes of this Audit.</p> <p>Providers should display the procedures and mechanism in which they keep observers informed on CMM requirements and should have the ability to carry out additional training on a regular basis of the monitoring requirements.</p>	<p>Commission Requirements</p> <p>The providers are to ensure that all observers fully understand the content of the CMM's especially in relation to their roles and tasks in monitoring the CMM,s</p> <p>ROP expectation on CMM's for observers</p> <p>The observer programme will have in place the following:</p> <ul style="list-style-type: none"> ➤ A system to ensure all the programme and observers are continually updated on the requirements of the CMM's ➤ Ability to ensure observers can be trained in the monitoring of new tasks and roles brought about by the monitoring provisions of the CMM/s
<p>81. Does the programme update observers each year on CMM's</p> <p style="text-align: right;">Yes No</p>	
<p>Comment</p>	
<p>82. Does the programme give extra training to cope with new observer roles/tasks created by the CMM's</p> <p style="text-align: right;">Yes No</p>	
<p>Comment</p>	

