

IOTC REGIONAL OBSERVER SCHEME STANDARDS

Item Description	Standard Required
<p><u>Observer coverage</u></p> <p>Proportion of fishing activities observed as determined by the Commission.</p>	<p>Observer coverage required is, at a minimum that specified by the Commission.</p>
	<p>ROS expectation on observer coverage</p>
	<p>CPCs are to endeavour that the minimum level of coverage is met and that the coverage is representative of the entire fleet so that there will be minimal bias in results from the extrapolation of observer data.</p> <p>CPCs should, to the extent possible, ensure that coverage is stratified across gear type, vessel size ($\geq 24\text{m}$ and $< 24\text{m}$), target species, area and season. There should also be adequate observer representation across all individual vessels over the long term.</p> <p>If the minimum level of coverage is not met by a flag CPC, any other CPC may, subject to the consent of the flag CPC who has not met its coverage, place an observer to fulfil required tasks until that flag CPC provides a replacement or the target coverage level is met.</p> <p><i>This standard does not preclude the right of the coastal state to mandate the deployment of a national observer on vessels operating within their EEZ, regardless of the presence of an observer from another CPC.</i></p> <p>CPCs shall provide to the Executive Secretary and the Scientific Committee annually a report of the number of vessels monitored and the coverage achieved by gear type.</p>
Item Description	Standard Required
<p><u>Authorisation process</u></p> <p>Method by which observer programmes will be assessed against IOTC requirements</p>	<p>On request, the Commission may authorise observer programmes approved by CPCs to provide observer services for their flagged vessels. Furthermore, the Commission may authorise scientific observer programmes approved by other tRFMOs.</p>
	<p>ROS expectation on the Authorisation process</p>

<p>to obtain authorisation to become part of the ROS.</p>	<p>CPCs will supply the Secretariat with a list of their approved Observer Providers (national institutes and/or independent service providers) and will instruct providers to assist the Secretariat with the Authorisation process by providing the information required to evaluate the programme.</p> <p>The Secretariat will establish a schedule of auditing to ensure programmes meet current requirements.</p> <p>CPCs using international observers onboard vessels will provide the Secretariat with a MoU established for the provision of observer services.</p> <p>Observer programmes will be validated and authorised by the Commission according to the agreed <i>ROS Minimum Standards and Guidelines</i>. Because the process of authorisation will need to be implemented gradually (according to a time scale agreed to by the Commission), observer programmes may continue operating as normal in the meantime while pending authorisation.</p>
<p>Item Description</p> <p><u>Programme performance</u></p> <p>Assurance that best practices are met and that standards are maintained after authorisation and continue to reflect ROS requirements.</p>	<p>Standard Required</p> <p>CPCs have ongoing mechanisms to assess the performance of Observer Providers against agreed performance standards.</p> <p>ROS expectation on the Programme performance</p> <p>Observer Providers will be audited by the IOTC Secretariat against the performance criteria in the <i>ROS Minimum Standards and Guidelines</i> as the principal mechanism for assessing ongoing observer programme performance. Programmes will be subject to periodic review and evaluation based on a pre-agreed schedule with the CPC. The Commission will use this information to advise the CPC of its programme's participation within the ROS.</p>
<p>Item Description</p> <p><u>IOTC observer registration</u></p> <p>Procedure used to demonstrate that observers meet IOTC agreed requirements.</p>	<p>Standard Required</p> <p>CPCs may not deploy unregistered persons in a ROS Observer capacity. All registered observers will meet ROS expectations on IOTC observer registration.</p> <p>ROS expectation on IOTC Observer registration</p> <p>1. Registration</p> <p>The Secretariat will oversee the observer registration process. Following the submission of a request for observer registration by the CPC-approved Observer Provider, the Secretariat will allocate observers with an individual IOTC registration code that must be included on observer</p>

	<p>data submitted to the Secretariat. Registration will be limited to a time period determined by the validity of the observer's documentation.</p> <p>2. De-registration¹</p> <p>Should any of the observer's documentation expire and no renewal obtained the CPC should inform the Secretariat to deregister the observer.</p> <p>3. Re-registration</p> <p>Any observer who has been de-registered due to the lack of valid documentation can be re-registered by meeting the requirements in item 1.</p> <p>Observer Providers should keep a record of documentation required to attest observers meet agreed requirements, including:</p> <ul style="list-style-type: none"> • Evidence of proficiency in literacy and numeric competency (holder of a Secondary School Certificate or equivalent) • Valid passport • Valid Certificate of Medical Fitness² (STCW or equivalent) issued by an authorised medical practitioner³. • Valid STCW Basic Safety Training Certificate (or equivalent) • Certificate of successful completion of a Basic Observer Training Course based on IOTC training curriculum. • Document signed by the observer accepting the code of conduct.
<p>Item Description</p> <p>Code of Conduct</p> <p>Set of guiding principles relating to accepted behaviour and standards of conduct while working as an Observer.</p>	<p>Standard Required</p> <p>CPCs will ensure that all registered observers sign a document agreeing to conform to a Code of Conduct approved by the Commission. CPCs will address any alleged breaches reported.</p> <p>ROS expectation on the Code of Conduct</p> <p>Compliance with the Code of Conduct shall be monitored by the Observer Provider and CPCs are responsible for ensuring reported breaches are investigated.</p> <ul style="list-style-type: none"> • Based on the results of the investigation, the Observer Provider will make recommendations on any action to be taken. • The recommended action by the Observer Provider should be

¹ Note that certain documents such as the Certificate of Medical Fitness and the Basic Safety Training Certificate are to be regularly renewed.

² Seafarers (observers included) are required to undergo medical examinations to reduce risks to other crew members and for the safe operation of the ship, as well as to safeguard their personal health and safety **Source spécifiée non valide..** Medical certificates shall remain valid for a maximum period of two years unless the seafarer is under the age of 18, in which case the maximum period of validity shall be one year.

³ The competent authority should maintain a list of recognized medical practitioners to conduct medical examinations of seafarers and issue medical certificates (STCW Code, section A-I/9, paragraph 4). See https://www.classnk.or.jp/hp/pdf/activities/statutory/mlc/flag/sgp/sc_no_13_of_2013annex_a.pdf.

	<p>reported to the CPC who shall subsequently report to the Secretariat.</p> <ul style="list-style-type: none"> • If an observer is removed following the investigation carried out by the Observer Provider, the observer must also be officially de-registered with the IOTC Secretariat. • The investigation will be conducted in a fair manner for all parties and include an appeal process.
<p>Item Description <u>Observer trainer</u> Individual responsible for the delivery of an/multiple observer training component/s.</p>	<p>Standard Required</p> <p>CPCs will follow agreed regional standards for observer trainers.</p> <p>ROS expectation on Observer trainers</p> <p>Trainers may be internal to CPC observer programmes or may be specialists brought in from other programmes, organisations or supplied by training providers.</p> <p>Trainer skills, qualifications and experience should meet agreed regional best practice.</p>
<p>Item Description <u>Observer training policy</u> Provides a foundation for ensuring standardised training which is of sufficient quality, comprehensive and kept up-to-date.</p>	<p>Standard Required</p> <p>CPCs will ensure that training entities meet ROS expectations on the observer training policy.</p> <p>ROS expectation on the Observer training policy</p> <p><u>Education/ Entrance</u></p> <p>Qualifications for entry to observer training should meet IOTC minimum pre-requisites for the accreditation of observers.</p> <p><u>Training</u></p> <p>As a minimum, the IOTC Basic Observer Training curriculum 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.</p> <p><u>Assessment</u></p> <p>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.</p> <p><u>Certification</u></p> <p>Observers that meet ROS minimum competency standards will be certified by the Observer Provider as fully trained in one or all of the gear types below and issued an individual training certificate inclusive of candidate assessment results per training module.</p>

	<p>a) Purse seine b) Longline c) Pole and Line d) Gillnet</p> <p><u>Venues</u></p> <p>Training should be conducted in suitable training facilities with appropriate equipment. Marine colleges are favourable venues for observer training but are not essential. Access to fishing harbours, fishing vessels or fish landing sites would enhance the training.</p> <p><u>Review and validation</u></p> <p>The Secretariat can request a CPC to submit the records for review, including:</p> <ul style="list-style-type: none"> • list of trainers and CVs • list of observer candidates and CVs • training curriculum and methodologies • implemented daily training schedule (per subject and lecture type) • list of training materials (manuals, syllabus, sample lesson plans, quizzes, PPT presentations and other relevant material) • details on assessments tools (exercises, practical tasks, written and/or oral assessment, and results) • training manual <p>Observer Providers should keep a copy of all documentation for a minimum of 5 years for review and validation purposes.</p>
<p>Item</p> <p><u>Observer competency</u></p> <p>Capacity to meet and maintain observer competency standards.</p>	<p>Standard Required</p> <p>CPCs will ensure that Observer Providers have mechanisms to assess the performance of observers against agreed competency standards.</p> <p>ROS expectation on Observer competency</p> <p>Observer Providers shall routinely evaluate observer performance against agreed competency standards by meeting the minimum standards for debriefing, adherence to the Code of Conduct, health requirements etc.</p>
<p>Item Description</p> <p><u>Observer deployment and at-sea coordination</u></p> <p>The carrying out of functions required to embark / disembark observers, to establish and maintain communications with the observers</p>	<p>Standard Required</p> <p>CPCs shall use existing deployment and coordination procedures in place for their programmes. CPCs will develop these procedures based on the details below and make them available for review by the Commission.</p> <p>ROS expectation on observer deployment and coordination</p> <p>It is the responsibility of the CPC to deploy observers on its flagged fleet, or to provide consent to another CPC (via the establishment of a MoU) to place observers to fulfil required tasks until a replacement is provided.</p> <p>It is the responsibility of CPCs to ensure the Observer Provider has the necessary legal, administrative, safety (including at-sea and on land</p>

<p>and to provide them with all possible assistance during the deployment period.</p>	<p>insurance) and financial means to provide observer services and the experienced/trained personnel to carry out observer deployment and coordination functions.</p>
<p>Item Description</p> <p><u>Observer Coordinator(s)</u></p> <p>Person(s) that coordinates observer operations, manages data collection and transmission, assures quality of information through debriefing and serves as the contact point for observer issues.</p>	<p>Standard Required</p> <p>The CPC will provide the IOTC Secretariat with the contact details of their Observer Coordinator/s.</p> <p>ROS expectation on Observer coordination training</p> <p>The Observer Coordinator shall be appropriately qualified, experienced in observer coordination matters or been trained to accomplish necessary functions based on ROS Observer Coordinator training standards.</p>
<p>Item Description</p> <p><u>Observer briefing and debriefing</u></p> <p>Briefing of an observer is a specially arranged session with the observer and provider briefing personnel. Briefing is to ensure that the observer understand clearly the roles and duties that he/she is expected to carry out on a vessel before a trip.</p> <p>Debriefing of an observer, is a specially arranged session with the observer and the provider debriefing personnel to ensure that the data and information collected by an observer is checked for discrepancies and can be corrected before</p>	<p>Standard Required</p> <p>CPCs shall ensure that Observer Providers will implement a system for briefing and debriefing of observers.</p> <p>ROS expectation on the briefing and de-briefing of observers</p> <p>Observer Providers shall implement a system for briefing and debriefing of observers that follows a consistent format and include ROS agreed standard briefing/debriefing procedures.</p> <p>Observer Providers shall:</p> <ul style="list-style-type: none"> • Ensure that briefing is conducted prior to deployment and that debriefing is conducted as soon as possible within a pre-agreed timeframe following the end of each observer trip, after the observer leaves the vessel. • Ensure that rigorous briefing/de-briefing is carried out, covering observer data and reports as well as health and wellbeing. • Ensure that briefing and debriefing is conducted by a person who, preferably, has at-sea experience as an observer with the relevant gear type, understands how observer data is used by scientific personnel, recognises common errors made by observers, demonstrates strong interpersonal communication skills. • Where possible, allow briefers/debriefers to undertake training programmes designed to educate them in the techniques of interviewing observers and of debriefing observer collected information and material.



<p>the information is used for analysis. It is also a period when the observer can report critical incidents for further attention.</p>	
<p>Item Description</p> <p><u>Equipment and materials</u></p> <p>Includes all essential items that observers will require to meet their vessel and to carry out their duties on board a vessel in a competent and safe manner.</p>	<p>Standard Required</p> <p>CPCs shall ensure that Observers are provided with appropriate equipment, including safety equipment to carry out their duties on board a vessel in a competent and safe manner.</p> <p>ROS expectation on the equipment and materials of Observers</p> <p>Observers will not board vessels until they have been fully equipped.</p> <p>The Observer Provider will be responsible for ensuring that equipment issued is in appropriate working order, the observer shall ensure equipment issued is well maintained and report all loss, failures or breakages of gear.</p> <p>A standard checklist of equipment and materials to be provided to observers, appropriate for the gear and climate.</p>
<p>Item Description</p> <p><u>Manuals and data collection forms</u></p> <p>Manual is defined as publications that serve to provide observers with information to assist with the roles and duties they are expected to carry out, including instruction on the filling of data collection forms, prescribed data formats, units and codes.</p> <p>Data collection forms are paper and/or electronic forms that an observer will be required to complete while carrying out its duties.</p>	<p>Standard Required</p> <p>CPCs may have and use their respective observer manual/ guidelines/ data collection forms.</p> <p>CPC data collection forms must include <i>inter alia</i> minimum data field requirements approved by the Commission.</p> <p>CPCs may use the observer manual/ guidelines/ data collection forms and tools approved by the Scientific Committee*.</p> <p>ROS expectation on manuals and data collection forms</p> <p>At a minimum, an observer will use the Commission's standard observer manual and data collection forms.</p>

<p>Item Description</p> <p><u>IOTC CMMs</u></p> <p>IOTC Secretariat publishes a “Compendium of active CMMs for the IOTC”, available in electronic format on the IOTC Website (www.iotc.org/cmms). The compendium is updated annually and is to be given to observers before deployment.</p>	<p>Standard Required</p> <p>Observer Providers shall ensure that observers are fully informed of the content of IOTC CMMs of relevance to the observer scheme, especially in relation to their roles and tasks in data collection and reporting.</p>
	<p>ROS expectation on IOTC CMMs</p>
	<p>Observer providers will develop a mechanism to keep observers informed about IOTC CMMs of relevance to the ROS and corresponding requirements. This mechanism must include at a minimum <i>inter alia</i>:</p> <ul style="list-style-type: none"> • The issue of an updated compendium of IOTC CMMs to all observers on an annual basis. • The conducting of refresher training to routinely inform observers of amendments to CMMs⁴. • The inclusion of new amendments to CMMs to observer briefing/debriefing to ensure that observers fully understand the content especially in relation to their roles and tasks in monitoring the CMMs under the ROS. • The allocation of a current copy of IOTC CMMs to observers before their deployment.
<p>Item Description</p> <p><u>Observer communications</u></p> <p>Access and routine use of devices to contact the Observer Provider as well as training in the use of these communications devices and equipment.</p>	<p>Standard Required</p> <p>CPCs will ensure that Observer Providers have a schedule for observers to routinely communicate any required information appropriately while deployed and that Observer Providers will train observers in the use of communications devices.</p>
	<p>ROS expectation on observer communications</p>
	<p>Observer Providers shall:</p> <ul style="list-style-type: none"> • Establish a routine communication protocol with deployed observers including, but not restricted to, receiving observer deployment [embarkation] and status reports; • Ensure that observers are familiar with reporting and communications protocols before boarding a vessel; • When required, ask the vessel operator to have access to means of communications and provide assistance; Ensure access to approved two-way communication devices and train observers in their use.
<p>Item Description</p>	<p>Standard Required</p>

⁴ i.e. CMMs full texts or extracts of CMMs that can be of interest to the observer work.



<p>Safety-at-sea</p> <p>Procedures established 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.</p>	<p>CPCs will ensure that all programmes have a vessel safety check form containing a list of minimum safety requirements in line with those of the Commission.</p> <p>CPCs will ensure that an “Emergency Action Plan” (EAP) is in place to accommodate any reported observer emergency and that it is included in any MoU established for the deployment of international observers in the context of the IOTC ROS.</p> <p>ROS expectation on Safety-at-sea</p> <p>A Vessel Safety Check (VSC), or equivalent, is conducted before each boarding and vessel safety conditions surveyed against the list of minimum safety requirements. A VSC form is filled out by observer/observer provider 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. Observers have the right to refuse the boarding if the VSC highlights that the vessel does not comply with expected standards or if they consider a particular vessel to be un-safe.</p> <p>An EAP is in place to accommodate any reported observer emergency and it’s explained to observers and fully understood before observers depart on their trip.</p> <p>The EAP includes, as a minimum, the following agreed safety-at-sea standard procedures.</p> <ul style="list-style-type: none"> • Communications protocol and appropriate contact information: A communications protocol is established; designated personnel are assigned responsibility for 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 Flag CPC and relevant Coastal CPCs 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 reporting of Interference Harassment, Intimidation must be resolved through a legally or nationally recognized procedure. • Reporting to the IOTC: A procedure to report on incidents involving observers to the Secretariat is established.
<p>Item Description</p>	<p>Standard Required</p>

<p><u>Insurance and Liability</u></p> <p>Observer health, safety and liability insurance.</p>	<p>CPCs will ensure that Observer Providers make health, safety and (where applicable) liability insurance available to observers before embarkation on an ROS observer trip.</p>
	<p>ROS expectation on Insurance and Liability for observers</p> <p>Observer Providers will have in place a system to ensure that:</p> <ul style="list-style-type: none"> • National or regional health and safety insurance is available for all observers. • Observers are insured at all times during their employment. This includes time onboard a vessel, travel to and from the vessel, and other areas of observer employment i.e. “waiting time” etc. • Observers have regular health checks, covered by the Provider, to confirm they are fit to carry out work on a vessel that could be at sea for long periods.
<p>Item Description</p> <p><u>Dispute settlement</u></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 onboard the vessel.</p> <p>Dispute settlement is conducted via the implementation of procedures to prevent the escalation of conflict, through mediation, facilitation, conciliation, and training.</p> <p>Dispute resolution may require the appointment of an appropriately-composed expert or technical panel.</p>	<p>Standard Required</p>
	<p>CPCs will ensure that there will be a dispute resolution mechanism in place for resolving conflicts at-sea, and if not, one will be developed.</p>
	<p>ROS expectation on Dispute Settlements</p> <p>The programme will have in place the following:</p> <ul style="list-style-type: none"> • procedures for timely reporting of disputes for both the observer and the vessel operator; • mechanisms to enable the process to start as soon as possible following an event; • consultations process allowing all parties to make statements; • process to determine a resolution of the problem through mediation, facilitation and conciliation; • process to appoint an independent expert or technical panel if required to resolve the dispute.

<p>Item</p> <p><u>Data fields</u></p> <p>Minimum data fields for collection and reporting approved by the IOTC.</p>	<p>Standard Required</p> <p>CPCs will ensure that the ROS <i>Minimum Standard Data Fields</i> are included in their data collection formats and that the mandatory data fields for reporting are submitted to the Secretariat.</p> <p>ROS expectation on data fields</p> <p>Observer schemes may continue to use their own formats to collect data as long as the data collected meet the ROS <i>Minimum Standard Data Fields</i>. It is advised that non-mandatory listed data fields are also collected and reported.</p>
<p>Item Description</p> <p><u>Data management, processing and reporting and quality control</u></p> <p>Data management, processing, and reporting and quality control requirements approved by the IOTC.</p>	<p>Standard Required</p> <p>CPCs shall ensure that:</p> <ol style="list-style-type: none"> 1. Observers will collect, at a minimum, the ROS <i>Minimum Standard Data Fields</i> using IOTC standard codes; 2. Data is checked for inconsistencies, quality and accuracy prior to reporting to the IOTC Secretariat. 3. Data will be submitted in an approved electronic data reporting format to the IOTC Secretariat, using IOTC standard codes and units. 4. Data will be submitted to the IOTC Secretariat according to the time frame specified in Resolution 11/04, or any superseding Resolution. 5. Data will also be submitted to the authorities of the Coastal States of the EEZs in which the vessel fished according to the time frame specified in Resolution 11/04, or any superseding Resolution. 6. Data confidentiality requirements outlined in Resolution 12/02, <i>Data Confidentiality Policy and Procedures</i>, or any superseding Resolution, shall apply to all ROS data. <p>ROS expectation on data management, processing, reporting and quality control</p> <p>Data collected on ROS trips will be sent to the Secretariat according to the time frame specified in Resolution 11/04, or any superseding Resolution. Data will be reported to the IOTC Secretariat in an approved electronic format, i.e., using:</p> <ol style="list-style-type: none"> i. the IOTC e-data collection and reporting tool, ii. one of the IOTC-endorsed electronic data reporting templates or iii. direct exchange mechanisms to be developed for well-established electronic tools already adopted at sub-regional level (e.g. ObServe, SWIOFP). <p>Flag CPCs and respective authorised Observer Providers should cooperate to ensure timely access to ROS data and provision of the ROS</p>



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	data to the Secretariat and the Coastal State authorities in which fishing has occurred.
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