
10TH MEETING OF THE COMPLIANCE AND TECHNICAL COMMITTEE (CTC)

Manta, Ecuador, 7 to 17 February 2023

CTC 10 – Doc 08

SPRFMO Observer Programme Implementation Report

Secretariat

1. Background

Paragraph 45 of [CMM 16-2022 \(Observer Programme\)](#) requires that the Secretariat shall prepare a report on the implementation of the SPRFMO Observer Programme (OP) for presentation at each annual meeting of the Compliance and Technical Committee (CTC), using information from annual reports, observer data, and all other suitably documented and relevant information in its possession. This document represents the fourth iteration of this implementation report and summarises developments in the SPRFMO Observer Programme Implementation since the conclusion of the Commission's 2022 Annual Meeting.

The CTC is invited to:

- **Note** the contents of this paper (particularly section 2.7) and make any comments it deems appropriate;
- **Assess** the Final Evaluation Reports provided by MRAG for China and CapMarine; and
- **Make** recommendations to the Commission regarding whether these observer programmes have met the requirements of this CMM 16-2022 (Observer programme) and, where relevant, whether a recommendation based on paragraphs 35 to 38 is appropriate.

2. CMM reporting requirements

2.1 Information on problems that have been encountered

At least one Member's observer programme continued to be affected by the COVID-19 pandemic, resulting realized observer coverage below the minimum coverage levels outlined in the CMM. The pandemic has continued to affect recruitment, training, and deployment of observers. There were indications that the situation may be improving as of mid-year 2022.

2.2 Recommendations for improving current standards and practices

The [10th Scientific Committee Meeting](#) made three specific recommendations relating to Observer Programmes and Observer data, and outlined several tasks in the Multi-annual Workplan:

- [T]he SC **recommended** that the updated "Classification guide for potentially vulnerable invertebrate taxa" is used by observers and fishers to identify VME indicator taxa landed as bycatch during bottom fishing operations (SC10-DW06). It is intended that the ID guides will enable the information provided to observers to be standardised, accurate and clear, paying particular attention to the identification, weighing, subsampling and collection of benthic bycatch samples.
- Following Peru's presentation of an alternative to the Observer Programme for Peruvian artisanal vessels (SC10-SQ06), **the SC recommended** that the programme was suitable and did meet the requirements detailed in paragraph 4 of CMM 16-2021 (Observer programme).



- With respect to the jumbo flying squid fishery, *Many Members supported an increase in observer coverage (human and electronic) of the jumbo flying squid fishery in the Convention Area because these levels were below acceptable scientific standards for data collection purposes. And some Members supported that the current observer coverage level is appropriate based on available studies.*
- The SC included a multi-annual workplan task (Annex 6 of the 10th SC Report) to *advise on the appropriate levels of observer coverage for each of the major fisheries to:*
 - *Identify bycatch issues related to seabird and other species of concern (short and medium term);*
 - *Provide statistically robust quantitative estimates for all species of seabird combined and some of the more common bycatch species (medium term); and*
 - *Periodically review the appropriate levels of observer coverage for SPRFMO fisheries in support of stock assessment needs.*

2.3 Developments in observer programmes and observational methods

At the 10th Scientific Committee meeting of SPRFMO in 2022, Chile presented on the electronic monitoring (EM) programme (SC10-Doc29). Industrial fleet coverage is currently 100% (with 10% review), while 30% of the artisanal fleet is covered by EM. China is also developing EM to be widely deployed throughout their squid fishing fleet. Chile and Australia shared the common challenge of dealing with managing the data associated with EM, e.g., deployment and collection of physical hard drives, data storage, and the logistics and costs of each.

The SC noted that: *the experience of Chile suggests that the gradual implementation of these systems, under transparent framework policies should consider the different stakeholders' situations. Technical, demands on human resources, economic, and cultural conditions vary and should be considered so that EM can be a successful tool to complements the pre-existing monitoring systems.*

2.4 Accreditation process in 2022

The Secretariat held an inception meeting with MRAG on 23 March 2022 which focused on changes to the process necessary to implement [CMM 16-2022](#) and improvements in the process to meet the objectives of the CMM in a fair, transparent, and efficient manner. In letter G40-2022 (29 March 2022) the Secretariat requested those Members and CNCPs looking for accreditation, particularly this year, to submit their points of contact which were then provided to MRAG so that the accreditation process could begin. Points of contact were received from China, Ecuador, the European Union, and CapMarine (an observer service provider).

MRAG initiated the formal part of the accreditation process with applicants between 1 and 6 July 2022, by establishing an assessment timetable and guidelines. This process is intended to begin 6 months prior to the Commission meeting (i.e., 7 August 2022). Given an amendment to CMM 16, the accreditation process is permitted to extend beyond a single year, allowing Members to complete the process over multiple years, as necessary. In 2022, CapMarine, China, the European Union, and Ecuador began or continued the accreditation process. CapMarine and China committed to complete the accreditation process in 2022. The European Union set out on a two-year time frame for the accreditation process and although Ecuador expressed initial interest in completing the accreditation process this year, the outstanding materials were not made available for evaluation during this accreditation cycle.

CapMarine and China both provided the required documentation to the assessor. Both applicants were sent draft preliminary evaluation reports on 8 November 2022 and were given preliminary feedback with opportunities for engagement to ensure that MRAG had all necessary information to make their assessment. Final Evaluation Reports were provided to the Secretariat between 26 November and 7 December 2022 (included as Annexes 1 and 2 to this report). MRAG has also deposited copies of the assessment materials (all the relevant information and documentation to fulfil the standards provided for in Annex 3, including manuals,



guides and training materials as specified in Paragraph 23 of CMM 16-2022) with the Secretariat where they have been archived. No issues have arisen in the relationship between MRAG and the Secretariat, and MRAG has offered valuable insights beyond the current accreditation processes in anticipation of future needs and challenges, some of which are discussed in more detail below.

The final recommendations from the Final Evaluation Reports are as follows:

- **CapMarine – Recommendation for accreditation**
 - Documents were provided to support all accreditation requirement criteria.
 - CapMarine has developed a SPRFMO Training Manual and briefing notes specific to SPRFMO lobster pot sampling, in addition to their generic training materials.
 - No issues were identified, and the evaluator has recommended accreditation.
- **China – Recommendation for accreditation**
 - All documents and requirements were effectively communicated. Although many documents were in Mandarin, key sections were translated, and additional questions answered through emails and virtual meetings.
 - The Commission has supported translation services for observer accreditation processes; these services have been valuable in facilitating the process.
 - The section relating to impartiality and integrity was deemed sufficient for accreditation recommendation; however, the evaluator made a few comments noting some ambiguity and that the materials presented were focused on the issue of bribery. Supporting documentation for this section was included in the *‘Problems, experience and lessons learnt’* section, and although the evaluator felt that details were lacking, they ultimately considered the materials adequate.

2.5 Constraints to accreditation

As noted in paragraph 111 of the [COMM 7 Meeting report](#), “relevant expenses for accreditation will be covered by the EU contribution of 150,000 Euros for the first year, and Members’ contributions will be requested after that period”. The European Union, in response to a request from the Secretariat, has graciously agreed to extend the project to support costs associated with the accreditation process for most Members, through until the 31st of December 2024. This support includes costs related to translation of relevant information and material and all applicants have been advised of this opportunity. The generosity of this contribution continues to be acknowledged and appreciated, and it has significantly facilitated the implementation of the SPRFMO Observer Programme.

2.6 Any identifiable problem or obstacle in fulfilling the objectives and purpose of this CMM

Paragraph 32 of CMM 16-2022 requires the Accreditation Evaluator to submit the Final Evaluation Report to the Secretariat (only) no later than 60 days in advance of the next Commission meeting. Paragraph 33 of CMM 16-2022 states that the CTC shall evaluate the Final Assessment Report and subsequently make recommendations to the Commission. The final reports for this year’s assessments are included in this document which becomes available 30 days before the meeting. Members are invited to provide guidance on any adjustments to this process that they wish to make.

As noted in paragraph 55 of CMM 16-2022 Members and CNCPs may continue using their own non-accredited national observer programme to meet observer coverage requirements until 31 December 2024.



2.7 Potential challenges and considerations for the future of the SPRFMO Observer Programme

Two Members/CNCPs have expressed interest in accrediting observers for deployment on carrier vessels. To date, observing of carrier vessels has not been part of the accreditation process in SPRFMO. However, expanding observer coverage to carrier vessels in addition to catcher vessels would represent an important step forward for SPRFMO. The accreditation evaluator has been notified of this interest; there has been no indication that expanding the accreditation process to cover carrier vessels will pose any extraordinary challenges.

At this point in time, the accreditation process evaluates the current activity of a Member/CNCP with respect to the accreditation criteria. This approach to accreditation may need to be reconsidered if Members/CNCPs or observer service providers expand observer coverage into fisheries that were not covered as part of the accreditation process. For example, if a Member has been engaged exclusively in trawling within the SPRFMO Area, and has achieved accreditation with respect to their trawl fisheries, should that imply that observers could be deployed on squid jigging vessels without any additional evaluation? One potential consideration could be to explore the idea of fishery or gear-specific accreditations.

Accreditations are currently valid for a 5-year time period. For some Members, this time period will be expiring in January 2026. It would be prudent to begin thinking about what the renewal process for an accredited observer programme might entail. For example, an assessment of data quality and implementation of CMM 16 could be developed as part of the re-accreditation process.

Similarly, the Commission may want develop data quality criteria that could be used to continually assess whether observer collected data are meeting the objectives of the Commission and the needs of the Scientific Committee. Accreditation is an important first step, but continual development to ensure harmonization of the independent observer programmes, with respect to data collection, data quality, and coverage characteristics (e.g., representativeness) will be a continual challenge. Other RFMOs have made efforts to provide centralized training and refresher workshops for observers from different programmes. Such trainings could prove valuable for capacity building, information sharing, collaborative development of data standards and protocols, and to monitor and mitigate and potential institutional creep or divergence that can occur naturally when programmes evolve in isolation.

3. National programmes accredited under the SPRFMO Observer Programme

The Secretariat through the Implementation Reports submitted under the Convention and CMM 10-2020 (CMS) requested Members and CNCPs to identify in which year they were intending to begin the accreditation process of their National Observer Programmes. The results are summarised in the table below.



Table 1: Currently Accredited SPRFMO Observer programmes and expected timelines for other programmes

Timeline for Accreditation	Member/CNCP
Currently accredited	Australia, Chile, New Zealand, Korea, Chinese Taipei
Accreditation in progress	CapMarine, China, Ecuador*, European Union*
Within the forthcoming year	Belize, Panama
Within the 2 forthcoming years	Cook Islands, Russian Federation
Within the 2-5 forthcoming years	
No plans to pursue accreditation	Cuba, Curaçao, Faroe Islands, Liberia, Peru, United States of America, Vanuatu

*Accreditation process is extended across multiple years and will continue into 2023

Note that 2 additional Members/CNCPs have expressed an interest in seeking accreditation in 2023.

4. List of Annexes

Annex 1 – CapMarine Accreditation Report

Annex 2 – China Accreditation Report



SPRFMO Observer Programme Accreditation Assessment



Final Evaluation Report



MRAG



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Introduction

The South Pacific Regional Fisheries Management Organisation (SPRFMO) is an inter-governmental organisation responsible for the long-term conservation and sustainable use of the fishery resources of the South Pacific Ocean and in so doing, safeguarding the marine ecosystems in which the resources occur. The SPRFMO Convention applies to the high seas of the South Pacific, covering about a fourth of the Earth's high seas areas.

Currently, the main commercial resources fished in the SPRFMO Convention Area are jack mackerel and jumbo flying squid in the Southeast Pacific and, to a much lesser degree, deep-sea species often associated with seamounts in the Southwest Pacific.

The Organisation consists of a Commission and a number of subsidiary bodies. The Commission currently has 16 Members (Australia, the Republic of Chile, People's Republic of China, the Cook Islands, the Republic of Cuba, the Republic of Ecuador, the European Union, the Kingdom of Denmark in respect of the Faroe Islands, the Republic of Korea, New Zealand, the Republic of Panama, the Republic of Peru, the Russian Federation, Chinese Taipei, The United States of America and the Republic of Vanuatu). The Commission also has three Cooperating non-Contracting Parties (Belize, Curaçao, and the Republic of Liberia).

From 1st January 2025, SPRFMO Members and CNCPs shall only deploy observers from national observer programmes or service providers accredited under the SPRFMO Observer Programme. Observer programmes may be accredited under the SPRFMO Observer Programme for a maximum of 5 years before undergoing re-evaluation. This document, consistent with the process outlined in CMM 16-2022 (SPRFMO Observer Programme), provides the basis for the accreditation process and the collection of information required for that process.

This report is the Preliminary Evaluation Report for Capricorn Marine Environmental (Pty) Ltd. (CapMarine), an independent observer service provider based in Cape Town, South Africa. CapMarine is applying for SPRFMO accreditation with the intention of providing observer services to Members of the SPRFMO Commission and to continue to provide observer services to the Cook Islands.

The accreditation assessment has been carried out by MRAG Asia Pacific, as part of its role as the SPRFMO OP Accreditation Evaluator. MRAG Asia Pacific is also a private provider of observer services, albeit not within the SPRFMO OP. Consistent with Para. 17 of CMM 16-2022, the potential for conflicts of interest associated with one private provider evaluating another was identified at the commencement of the process and discussed with both the SPRFMO Secretariat and CapMarine prior to any documents being provided. CapMarine advised that they understood the evaluation process adopted by SPRFMO, including the use of an external Accreditation Evaluator, and were happy to proceed with MRAG Asia Pacific as the assessor.

Accreditation Process

Date	Actions	Actual Date
Annual Commission Meeting	Members, CNCP or service provider (applicant) provides notification of intention to be assessed.	16/06/2022
Following Annual Commission Meeting	Assessor (MRAG Asia Pacific) contacts the applicant and agrees a timetable for the assessment process (Starting at time T) and shares assessment guidelines.	01/07/2022
T + 0 days (Start of process at least 6 months before Commission meeting i.e. prior to 6 th August 2022)	Assessment process to begin with applicant. Applicant provides all required documentation to assessor, in country visits or online meetings take place to discuss information provided by applicant.	6/08/2022- extended to 10/08/2022
T + 14 days	Assessor will liaise with applicants as appropriate (including, but not limited to, bilateral consultations) and may request additional documentation if substantive or essential information is missing	20/08/2022
T + 28 days	Assessor receives additional documentation requested during assessment process and collates all materials	3/08/2022
At least 120 days before Annual Commission Meeting (i.e. by 9 th October 2022)	Assessor provides Draft Preliminary Evaluation Report to applicant for comment Following this Applicants will be offered 30 days for Bilateral consultations to ensure that they have an opportunity to provide additional information and corrections relevant to their evaluation	10/10/2022
At least 90 days before Annual Commission Meeting (i.e. by 8 th November 2022)	Assessor provides Preliminary Evaluation Report(s) to Applicant(s) and Secretariat	8/11/2022
60 days before Annual Commission Meeting (i.e. by 8 th December 2022)	Assessor provides Final Evaluation Report(s) including recommended conditions and incorporating feedback received on the preliminary evaluation.	7/12/2022
30 days before CTC meeting (i.e. 7 th January 2023).	Secretariat circulates the Final Evaluation Report(s) as an Annexes to the SPRFMO Observer Programme Implementation Report	

Annual Commission Meeting (6 th February 2023)	The Commission evaluates all reports and recommendations and will decide whether to grant accreditation (including specified conditions).	
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Summary of Evidence submitted

The table below summarises the documents provided by CapMarine that contain evidence of conformance with the SPRFMO assessment requirements. The relevant sections of these documents should then be referenced within the main evaluation tables 1-13.

Table 1 Summary of documents submitted

#	Document Title	Standards for which this document is used as evidence												
		1	2	3	4	5	6	7	8	9	10	11	12	13
1	SPRFMO_CapMarine Accreditation Summary	x	x	x	x	x	x	x	x	x	x	x	x	x
2	CapMarine declaration of impartiality 18 July 2022	x												
3	CapMarine Registration documents and record of change of company name	x												
4	Amendment to company details CoR39 - 2019_06_27	x												
5	CapMarine Annual return 2022_CoR.31	x												
6	CapMarine - Company Profile 2021	x					x							
7	MoU_deployment_observers_Generic_2022	x							x			x		
8	International Observer Contract 2022_generic Blank	x	x								x			
9	Statement of Confidentiality - International Contract annex	x												
10	Company Policy Document_Observer Behaviour Code of Conduct	x							x					
11	Company Policy Document_Recruitment Process Guidance and Instructions	x												
12	Company Policy Documents_Recruitment Policy Agreement	x												
13	Training_Role of observer, duties and ethics	x												
14	Breedt_Contract_Vessel name redacted 2022_Signed	x												
15	Higgins_Contract_vessel name redacted 2019_Signed	x												

#	Document Title	Standards for which this document is used as evidence												
		1	2	3	4	5	6	7	8	9	10	11	12	13
16	Mbambalala_Contract_Vessel name redacted_2022_Signed	x												
17	Observer Profiles & Certificates (13 random observers 17a-m)	x	x											
18	Obs Manual_CapMar_Generic 2022	x		x										
19	CapMarine in-house Observer Training Curriculum & Program 2020			x										
20	Internal Training Register CapMarine - April-July 2022			x			x							
21	Briefing and debriefing log CCAMLR 2017-2022. Vessel and observer names redacted			x		x								
22	SPRFMO_CapMarine Observer Training Manual Aug 22													
23	Briefing notes_SPRFMO_LobsterPot Sampling			x		x								
24	Report Writing - CCAMLR Observer Reports Guidance			x										
25	ZAF_CCAMLR Briefing_notes_Nov 2021			x		x								
26	Observer Trainer and Management CVs (26a-e_Augustyn, Heinecken, Williamson, Norman, Japp)				x	x								
27	Observer logistic coordination form_International					x			x	x				
28	Company Policy Document_CapMarine Data Policy						x							
29	SPFRMO_Lobster_V10 - Blank						x							
30	Example of completed QC feedback report_ZAF demersal trawl						x							
31	Species ID Guides			x			x							
32	Template _ ID Card CapMarine							x						
33	Example _ ID Card Jaco Visagie CapMarine							x						
34	Record of observers and deployments_CCAMLR past 2000 days								x					
35	Electronic equipment log for 2022_gear currently issued_vessel name redacted									x				

#	Document Title	Standards for which this document is used as evidence												
		1	2	3	4	5	6	7	8	9	10	11	12	13
36	Observer safety gear checklist outgoing and returned_example									x				
37	CapMarine Disciplinary Procedure, Code, Templates, Guidance, notes, etc.										x	x		
38	Example Disciplinary records and proceedings_Names redacted										x	x		
39	CapMarine Health Safety and Environment Policy_Review date 09 Feb 2022												x	
40	Emergency action plan for observer deployment_CAPMARINE												x	
41	CapMarine Insurance Summary 2022													x
42	Public Liability insurance													x
43	Personal Accident Insurance 2022													x
44	Professional Indemnity Insurance 2022													x
45	Travel Insurance 2022													x
46	Commercial Insurance 2022													x
47	Avetta Certificate 2013-2022						x							
48	International Observer Contract 2022_generic Blank Original	x												
49	Immelman, Contract_Antartic Discovery	x												
50	Louw, Contract_Antartic Discovery	x												
51	CapMarine - Company Profile 2021.V2	x												
52	Statement of non-affiliation with the Fishing Industry_BLANK	x												
53	Statement of Impartiality_Immelman	x												
54	Recruitment form Immelman		x											
55	Police Clearance_Lumkwana		x											

#	Document Title	Standards for which this document is used as evidence												
		1	2	3	4	5	6	7	8	9	10	11	12	13
56	Police Clearance_Ngcongo		x											
57	Police Clearance_van Zyl		x											
59	CapMarine Internal Report Template V1					x								
60	CapMarine_Internal Observer Report_Example 1_Vessel ID redacted					x								
61	CapMarine_Internal Observer Report_Example 2_Vessel ID redacted					x								
62	CapMarine_Internal Observer Report_Example 3_Vessel ID redacted					x								
63	Feedback report for client from observers on vessels in Ross Sea_final					x								
64	Observer logistic coordination form_International_updated to include ves...revised					x				x				
65	SPRFMO_Altar 6_Cruise Report 2020_Trip 4-24.07.20						x							
66	SPRFMO_Akanui_2022_SPRFMO_Report_Breedt_Mbambalala V2						x							
67	SPRFMO_Cruise Report 2019 template						x							
68	Deployment Quote_Domestic Longline Observer_2019 2020 signed								x					
69	Augustyn_Debriefing form and injury incident report								x				x	
70	Augustyn_Medical certificate NZ								x				x	
71	Augustyn_Medical invoice for injury								x				x	
72	Augustyn_CapMarine's Medical insurance Claim form								x					
73	Tronio deployment_May 2022_trip summary								x					

#	Document Title	Standards for which this document is used as evidence												
		1	2	3	4	5	6	7	8	9	10	11	12	13
74	Emergency Action Plan for Observer Deployment_CapMarine_V2									x			x	
75	Electronic Gear_Stock take_Inventory notes										x			
76	Travel document_Akanui_2022_Breedt_Mbambalala												x	
77	Travel Document_Alter 6_Eddie												x	
78	Public Liability Insurance 2022													x
79	Personal Accident Insurance 2022													x
80	Travel Insurance 2022													x
81	CAPRICORN MARINE ENVIRONMENTAL (PTY) LTD Tavel insurance summary- 03 WBC 549301													x
82	Revised Disciplinary Code										x			

Considerations and recommendations

CapMarine submitted 47 files in 14 folders containing relevant documents against each of the 13 requirements. The overarching document, the 'Capricorn Marine Environmental Submission for SPRFMO Observer Programme Accreditation Scheme' provided a useful and informative backdrop to the submission, describing the company structure in detail, with a summary of the observer program operations and staff structure and profiles. The completed template table with the name of the documents provided as evidence for each requirement also made it easy to follow the evidence submitted. Following an initial analysis of the documents presented, a request for further information was sent to CapMarine, who subsequently provided a further 37 new or amended documents in response. A summary of the evaluation is outlined in the table below with more detailed comments in the main assessment.

Requirement	Total requirements	Pass	Pass with conditions	Fail
1. Impartiality, independence and integrity	5	5	0	0
2. Observer qualifications	1	1	0	0
3. Observer training	2	2	0	0
4. Observer trainers	1	1	0	0
5. Briefing and debriefing	2	2	0	0
6. Data validation process	2	2	0	0
7. Observer identification cards	1	1	0	0
8. Coordinating observer placements and observer deployments	4	4	0	0
9. Observer safety equipment	1	1	0	0
10. Responding to allegation of observer misconduct	1	1	0	0
11. Dispute settlement	1	1	0	0
12. Observer safety	2	2	0	0
13. Insurance and liability	1	1	0	0

The CapMarine submission covered all the main areas required for Accreditation under Annex 3 of CMM-16-2021. As such, a recommendation for accreditation may be made.

Assessment for Accreditation

1. Impartiality, independence and integrity

#	Minimum Standard	Pass (P) / Fail (F) / Pass with Condition (C)	Comment / Condition / Reason for fail
1.1	National observer programmes and service providers shall only deploy independent and impartial observers. This means that neither the national observer programme or service provider, as the case requires, nor the individual observers, have a direct financial interest, ownership or business links with vessels, processors, agents and retailers involved in the catching, taking, harvesting, transporting, processing or selling of fish or fish products.	(P)	<p>CapMarine provided a Declaration (2) that:</p> <ul style="list-style-type: none"> that they have no direct financial interest, ownership or business links with vessels, processors, agents and retailers involved in the catching, taking, harvesting, transporting, processing or selling of fish or fish products; they would only supply independent and impartial observers; and that all individuals employed are not associated with any entity involved in fish supply businesses within the SPRFMO jurisdiction. <p>The Observer contract (8) includes a clause on observer impartiality & solicitation. While earlier signed copies provided (14,15,16) did not include this clause, later signed versions of the observer contract (49,50) provided evidence that this clause is now included.</p> <p>CapMarine is an independent commercial entity; full details of company ownership and interests were provided.</p>
1.2a	<p>The national programme or service provider, and the individual observers:</p> <p>a) Shall not have a direct financial interest, other than the provision of observer services, in the fisheries under the purview of the Commission, including, but not limited to: i) any ownership, mortgage holder, or other secured interest in a vessel or processor</p>	(P)	<p>CapMarine is an independent commercial entity; full details of company ownership and interests were provided (3,4,5,6,7 and in an amended document 51)</p> <p>The blank observer contract (8) clause (7.1) requires that the observer has no direct financial interest in the fishery. While this was not included in earlier signed copies (14,15,16), later signed contracts (49,50) provided evidence that this clause is now included.</p> <p>The observer recruitment process requires a Statement of “non-affiliation” to fishing industry. An example of a completed version and blank template of this Statement were provided (52,53) as evidence.</p>

#	Minimum Standard	Pass (P) / Fail (F) / Pass with Condition (C)	Comment / Condition / Reason for fail
	involved in the catching, taking, harvesting or processing of fish; ii) any business selling supplies or services to any vessel or processor in the fishery; iii) any business purchasing raw or processed products from any vessel or processor in the fishery.		
1.2b	Shall not solicit or accept, directly or indirectly, any gratuity, gift, favour, entertainment, inordinate accommodation, loan or anything of monetary value from anyone who either conducts activities that are regulated by a Member or CNCP connected with its services or the Commission, or has interests that may be substantially affected by the performance or non-performance of the observer's official duties;	(P)	<p>Both the MOU (7) with the vessel and the Observer Behaviour Code of Conduct (10) include clauses prohibiting the observer soliciting or accepting, directly or indirectly, any gratuity, gift, favour, entertainment, loan or anything of monetary value.</p> <p>The observer contract (8) has a clause (7.2) preventing solicitation or acceptance of any bribe or gratuity noting previous contracts did not have this clause.</p> <p>Training materials on the role of the observer duties and ethics (13) clearly states the observer may not accept any gifts, favours or employment from the fishery monitored.</p> <p>The Recruitment Process Guidance and instructions (11) states that background checks, interviews, and verification of references are critically important in the selection process.</p>
1.2c	Shall not serve as an observer on any vessel or at any processors owned or operated by a person who previously employed the observer in another capacity within the last three years (e.g., as a crew	(P)	<p>The Recruitment Process Guidance and instructions (11) states that background checks, interviews, and verification of references are critically important in the selection.</p> <p>A Curriculum Vitae with all records of previous employment is required from the observer.</p> <p>13 Observer CVs (17) were provided for scrutiny and showed a minority of the observers had transferred from working on commercial vessels but these were mainly historic (>3 years) in what is a natural career progression.</p>

#	Minimum Standard	Pass (P) / Fail (F) / Pass with Condition (C)	Comment / Condition / Reason for fail
	member)		This minimum standard is covered by the Observer Provider Declaration (2).
1.2d	Shall not solicit or accept employment as a crew member or an employee of a vessel or processor while employed by a national observer programme or service provider.	(P)	The Observer Contract (8) section 7.2 and the Code of Conduct (10) prohibits the Observer from soliciting or accepting employment as a crew member of from a vessel or processor in the fishery. Training materials on the role of the observer duties and ethics (13) includes text that the observer may not accept any gifts, favours or employment from the fishery monitored

2. Observer Qualifications

#	Minimum Standard	Pass (P) / Fail (F) / Pass with Condition (C)	Comment / Condition / Reason for fail
2.1	The national observer programmes or service providers shall demonstrate that observers that are recruited into their programme have relevant education or technical training and/or experience for the fleets concerned; ability to meet the observer duties described in this annex; no record of convictions calling into question the integrity of the observer or indicating a propensity towards violence; and the ability to obtain necessary documentation, including passports and visas	(P)	<p>Thirteen observer profiles and CVs (17) were supplied and provide adequate evidence of observer qualifications or qualifying previous experience, as well as evidence that qualification certificates are recorded on file including passport copies and medical (ENG-1) certificates.</p> <p>The Observer Contract (8) requires the observer to declare “that they have no record of convictions or history that indicates a propensity towards violence” The recruitment form (11,54) that is completed for new observers includes a yes/no for police clearance check and examples of observer police clearance checks were provided (55,56,57)</p> <p>Visas and work permits are obtained prior to international deployments for the country where the observer is being deployed or travelling. Vaccinations are obtained prior to deployment and specific to the area and nationality of the crew the observer is working with.</p> <p>CapMarine have an in-house training programme and manual (18) which cover the role of the observer and ethics, together with sea survival training and Personal Safety and Social Responsibility (PSSR) which cumulatively comprehensively cover the observer duties as outlined in Annex 1 of 16-2022</p>

3. Observer Training

#	Minimum Standard	Pass (P) / Fail (F) / Pass with Condition (C)	Comment / Condition / Reason for fail
3.1	National observer programmes or service providers shall demonstrate that observers are adequately trained before their deployment. Training shall include all the elements outlined in Annex 3 of CMM-16-2022, and that data are being collected in line with the requirements set out in CMM 02-2022	(P)	<p>Training materials supplied included the Observer Training Curriculum and Program 2020 (19), the Observer Training Manual (18) and Report Writing guidance (24) which provide a comprehensive set of generic training materials for observers. CapMarine has also developed the SPRFMO Training Manual (22) and Briefing Notes for the SPRFMO Lobster Pot Sampling (23) specific to the training of SPRFMO observers. In all, the combination of these documents adequately covers the requirement in Annex 3 of CMM-16-2022 on Observer Training although reporting templates specific to SPRFMO fisheries where CapMarine observers have not yet been deployed are yet to be developed.</p> <p>Examples of monthly training registers (20) were provided which have been signed by the participating observers, demonstrating adequate record keeping of observer training.</p>
3.2	Refresher training should be ongoing dependent on the qualification requirements. Relevant updates to CMMs and observer requirements should be communicated to observers before each deployment as part of the briefing process, for example in an updated manual	(P)	Refresher training takes the form of briefing notes, which update the observers at pre-trip briefings. The briefing notes are updated on an annual basis to include reference to in-force CMMs. The briefing note for the SPRFMO Lobster Pot Fishery (23) was submitted as an example.

4. Observer Trainers

#	Minimum Standard	Pass (P) / Fail (F) / Pass with Condition (C)	Comment / Condition / Reason for fail
4.1	National programmes or service providers shall demonstrate that observer trainers have the appropriate skills and have been authorised by that national programme or service provider to train observers	(P)	CVs of the observer trainers were supplied which demonstrated extensive knowledge and experience in fisheries observer programs and training.

5. Briefing and Debriefing

#	Minimum Standard	Pass (P) / Fail (F) / Pass with Condition (C)	Comment / Condition / Reason for fail
5.1	National observer programmes or service providers shall demonstrate that there are systems for briefing and debriefing observers and communicating at any time with vessel captains.	(P)	<p>As per their contract (8), observers are paid one day for briefing and one day for debriefing at start and conclusion of trips. Briefing notes are provided to observers, with examples provided for SPRFMO Lobster (23) and CCAMLR longline fisheries (25).</p> <p>A log of observers debriefed was provided (21). There is a systemised debriefing process that includes CapMarine's strong data validation checks and a system of confidential internal reporting (59) for observers post-trip with observer reports provided (60,61,62). Evidence of action taken and feedback with the fishing company based on observer reports (63) was provided. As such the debriefing process can be considered to be adequately covered.</p> <p>The Observer Logistic Coordinator form includes details of vessels, captains, personnel and was amended during the audit process to include vessel contact details (64).</p>
5.2	The briefing and debriefing process shall be conducted by properly trained personnel and shall ensure that observers and vessel captains clearly understand their respective roles and duties	(P)	<p>CVs of the programme management team responsible for briefing and debriefing were provided and displayed extensive and appropriate knowledge in the field of observer deployment.</p> <p>The vessel operator is required to sign an MOU (7) that clearly states they should ensure that Captain and Crew make arrangements for the Observer, clearly detailing the roles and duties.</p>

6. Data Validation Process

#	Minimum Standard	Pass (P) / Fail (F) / Pass with Condition (C)	Comment / Condition / Reason for fail
6.1	National observer programmes or service providers shall demonstrate that they have an observer data validation process in place. The data validation process shall be conducted by properly trained personnel and shall ensure that data and information collected by an observer are checked for discrepancies or inaccuracies that are corrected before the information is entered into a database or used for analysis. This includes ensuring that the national observer programme or service provider has in place a mechanism to receive data, reports and any other relevant information from an observer in such a way that prevents interference in that data from other sources.	(P)	CapMarine employs a dedicated data manager whose role is to manage the observer data, including integrity and verification checks. Data integrity is checked on a regular basis by running database queries and cross checking during the trip and at the debriefing process. CapMarine provided a comprehensive data policy (28) summarising how data is managed and with a detailed process for data verification. Filters and error trapping code are used to prevent entry of incorrect data into the database. Error boxes appear on the data capturer's screen until data has been correctly entered.
6.2	The data validation process shall ensure that the data meet the standards laid out in Annex 3 of CMM-16-2022	(P)	The Data Policy (28) provided a flow chart of data flow with comprehensive details of how the data is managed and verified, and the responsible persons for data validation.

#	Minimum Standard	Pass (P) / Fail (F) / Pass with Condition (C)	Comment / Condition / Reason for fail
6.2a	a) A mechanism that allows scientific data to be stored and transferred to the national observer programme (or service provider) in a secure and confidential manner	(P)	<p>Observers are required to sign a Statement of Confidentiality (9) as part of their contract. Observers collect data on secure password protected laptops that are cleared after each trip. Observers are instructed to back up log book data on a daily basis to a portable hard drive. The data is transferred to the secure company database stored on a Linux server. The database is backed up on a daily basis with off-site back-ups also kept at a secure location. As an outcome of this accreditation process CapMarine has committed to implement an encrypted cloud based backup.</p> <p>The observer data is not accessible to 3rd parties and the data flow diagram in the Data Policy (28) shows the flow of data direct from observer to service provider.</p>
	b) Vessel information uniquely identifies the actual vessel from which the fishing occurred	(P)	<p>Observer Logistic Coordinator form (27) and the observer database includes fields for vessel name, vessel flag, IRCS and IMO Number.</p> <p>Each trip is allocated a unique trip ID linked to a vessel against which data is recorded. Observers are required to verify vessel identification when boarding the vessel and verify IRCS, vessel registration and IMO number.</p>
	c) Dates and times of fishing effort are included and internally consistent (for example an end time should be after a start time)	(P)	<p>The Data Policy (28) provides examples of the error trapping codes that prevent data entry mistakes. Dates can only be entered into the database in a specific format or by dropdown calendar.</p> <p>The Observer Training Manual (18) provides instruction on how to record date and times and in what format.</p>
	d) Location of fishing is included and valid (for example, logical latitude/longitude combinations), internally consistent and entered in the correct units	(P)	<p>The Observer Training Manual (18) provides detailed instruction on position reporting.</p> <p>Examples of error trapping in the database for incorrect position entry in the format Degrees and Decimal Minutes were provided in the Data Policy (28)</p>

#	Minimum Standard	Pass (P) / Fail (F) / Pass with Condition (C)	Comment / Condition / Reason for fail
	e) Effort data allows quantification of the amount of effort invested by the vessel, appropriate to the fishing method used, which is also identified	(P)	<p>The SPRFMO Lobster database (29) was provided which showed fields for haul times, gear types, spacing, numbers, positions, boat speed, etc. that provide adequate data to calculate effort.</p> <p>The Data Policy (28) describes how data integrity is checked regularly throughout the deployment including visual checks, logbook (excel) equations and database queries, and cross-checks with hard copies and skipper logbooks. Filters and error trapping codes have also been developed to prevent capturing of incorrect data.</p>
	f) Catch information identifies the fishery resource (to the species level where possible) and the quantity of that species retained or discarded. If used, species codes are accurate	(P)	<p>The database for SPRFMO Lobster (29) was provided which showed fields for target species and catch by species and number recorded using three letter species codes. A species reference lookup table is included in the database (ASFIS and FAO 3 letter codes, common and species name).</p> <p>A detailed set of species ID guides (31) were provided.</p> <p>The Data Policy (28) states that “Photographs are taken if the observer is unsure of species ID, which are verified during debriefing”. Logical catch weight checks are also applied in the database to capture errors.</p>
	g) Where biological or length information is collected for a fish, it is directly linked to the effort in which it was caught – including date and time, location, and fishing method information, and includes the methodology of data collection	(P)	<p>Sampling methods and instructions are included in the briefing notes for observers as per the Briefing notes for SPRFMO Lobster Pot Sampling (23).</p> <p>The Fisheries Observer Training Manual (18) provides detailed instructions for biological sampling methods for observers onboard.</p> <p>The SPRFMO Lobster database (29) was provided as an example of a CapMarine database - all samples taken were detailed to a particular trap number, on a defined haul number with trip ID with all relevant positional, time haul and environmental data in comprehensive, traceable system.</p> <p>Data validation processes are detailed in the Data Policy (28).</p>

#	Minimum Standard	Pass (P) / Fail (F) / Pass with Condition (C)	Comment / Condition / Reason for fail
	h) If the observer programme extends to transshipment and/or landings, then the amount and species of fishery resources transhipped/landed is quantified and recorded according to a standard methodology	(P)	CapMarine has not deployed observers to cover transshipments, however demonstrated awareness of the requirements of Annex 3 of CMM 12-2020 and the capability to collect the data fields required.
	i) Interaction data involving marine mammals, seabirds, reptiles and/or other species of concern identifies the individual species (where possible), the number of animals, fate (retained or released/discarded), life status if released (vigorous, alive, lethargic, dead), and the type of interaction (hook /line entanglement / warpstrike / net capture / other).	(P)	<p>The CapMarine SPRFMO Lobster Database (29) provided evidence of how species of concern are recorded, with species ID recorded (where possible) together with trap/haul details, trip ID, live/dead status, fate (retained or not), condition and biological sampling details. A comments section allows for more detailed information.</p> <p>Observer cruise reports also provide another avenue for observers to provide information on bycatch reduction mitigation measures. The blank template report (67) together with examples of cruise reports were provided (65,66).</p>

7. Observer Identification Cards

#	Minimum Standard	Pass (P) / Fail (F) / Pass with Condition (C)	Comment / Condition / Reason for fail
7.1	National observer programmes or service providers shall provide observers with identification cards that include the full name of the observer, date of issue and expiration, the name of the national observer programme or service provider, a unique identifying number (if issued by the national observer programme or service provider) a passport style photo of the observer, an emergency phone number	(P)	A blank template (32) and fully compliant ID card example (33) were provided.

8. Coordinating Observer Placements and Observer Deployments

#	Minimum Standard	Pass (P) / Fail (F) / Pass with Condition (C)	Comment / Condition / Reason for fail
8.1	National observer programmes or service providers shall demonstrate responsibility and capacity for the timely deployment of observers and will ensure that the selected observer receives all possible assistance during the entire length of their placements	(P)	<p>The MOU (7) signed between CapMarine and the vessel operator states "The SP will make travel arrangements for the Observer embarkation based on the notification provided by the Vessel Operator. Every effort shall be made by the Vessel Operator to provide accurate information regarding ports of embarkation and disembarkation at the earliest opportunity to enable the SP to make travel arrangements for the Observer in a timely and efficient manner. Wherever possible, the SP will confirm this information directly with the Vessel Operator prior to making travel bookings for the Observer."</p> <p>Requests for deployment and timing of requests and deployments are recorded on the Observer Logistic Coordinator form (27)</p> <p>CapMarine provided evidence of an accident report form (69) showing evidence of assistance to an observer injured onboard a fishing vessel.</p>
8.2	National observer programmes or service providers shall have in place a protocol to replace an observer if the observer becomes unable to perform their duties.	(P)	<p>The CapMarine MOU (7) with the vessel states: If the Observer becomes seriously ill or is injured, then the vessel owner will be requested to repatriate the Observer by any means as soon as practically possible. The MOU also requires the SP to prepare a replacement observer to minimise the impact on the vessels' operations.</p> <p>Observers are also included in vessels' P&I insurance with an obligation for repatriation (41).</p>
8.3	National observer programmes or service providers shall also seek, to the extent possible, to avoid deploying a single observer on multiple consecutive trips on the same vessel	(P)	<p>The MOU (7) with vessels sets out a limit of 90 days onboard for a single observer deployment.</p> <p>A record of observers and deployments (34) showed that multiple consecutive trips generally did not occur on the same vessel.</p>

#	Minimum Standard	Pass (P) / Fail (F) / Pass with Condition (C)	Comment / Condition / Reason for fail
8.4	It is the responsibility of a national observer programme or service provider to administer observer placements, to maintain the independence and impartiality of observers as described in this measure and ensure that all placements are administratively finalised as soon as practicable after the observers return to port. The national observer programme or service provider is expected to communicate with the observer regarding upcoming deployments, coordinate observer travel, and provide the necessary supplies for observer duties.	(P)	<p>The Observer contract (8) and Observer Code of Conduct (10) adequately cover observer impartiality and independence. Observers are contracted on an as needs basis from a pool; CapMarine do not employ a waitlist system but observers are on standby to take trips.</p> <p>CapMarine supplied an extract of the database that showed a summary of an observer trip and reporting with finalisation of trip details and final payment completed in suitable timeframes.</p> <p>CapMarine have a dedicated travel agent for observers and supplied contact details for the travel agent.</p> <p>Prior to departure, the Observer Logistic Coordinator form (36) is completed, including a comprehensive gear checklist covering travel documents, safety gear, sampling gear and electronic gear.</p>

9. Observer Safety Equipment

#	Minimum Standard	Pass (P) / Fail (F) / Pass with Condition (C)	Comment / Condition / Reason for fail
9.1	National observer programmes or service providers must demonstrate that observers are provided with appropriate equipment, including safety equipment, which is in good working order, routinely checked and renewed to carry out their duties on board a vessel. Essential equipment includes a lifejacket, independent two-way communication device capable of sending and receiving voice or text communications, personal locator beacons (PLBs), immersion suits, hard hat, proper deck working boots or shoes, gloves and protective glasses (including sunglasses)	(P)	<p>The Observer Logistic Coordinator form (27) has a checklist for check-out and check-in of all safety gear required. A completed example form was provided, together with a query from the database with a log of safety gear issued to observers.</p> <p>The amended EAP (74) includes the following list of safety equipment supplied to the Observer:</p> <ul style="list-style-type: none"> - upper deck suit or floatation suit that conforms to ISO EN393 standards (having an inherent buoyancy in excess of 50 Newtons), to protect the observer against cold water shock and hypothermia in the event they accidentally fall overboard; - Personal Floatation Devices (abbreviated as PFD) - single lanyard harness; - strobe light; - signal mirror; - Emergency Position Indicating Radio Beacon (EPIRB) / Personal Locator Beacon (PLB); - handheld Satellite communications device (Garmin InReach SE); - hard hat (European Standard EN397), when deployed onto a trawler; - deck-work waterproof boots with steel-cap toe and ankle protection, - working gloves, that will protect observers' hands from serious injuries such as cuts, splinters and burns; and - protective glasses (including sunglasses) – CapMarine observers are expected to purchase their own sunglasses, protective eyewear is otherwise provided for deployments where necessary. <p>CapMarine completes an annual inventory stocktake (75) of all the gear and assesses the condition of the safety gear. For example the dates on the EPIRBs and PLBs are checked and if expired the device is sent for maintenance and/or replaced. Any deck suits and/or PFDs in poor condition are replaced.</p>

10. Responding to Allegations of Observer Misconduct

#	Minimum Standard	Pass (P) / Fail (F) / Pass with Condition (C)	Comment / Condition / Reason for fail
10.1	National observer programmes or service providers must establish procedures for preventing, investigating, and reporting on the misconduct of observers, in coordination with observers, vessel captains, and relevant Members and CNCPs	(P)	<p>An Observer Disciplinary Code and Procedure is included as Appendix 1 of the International Contract (8) and the Company Policy Document on Observer Behaviour Code of Conduct (10) clearly outlines the requirements for observer conduct and measures introduced to prevent and enforce observer discipline. The company also has a defined Disciplinary Procedure and Code (37) which details processes and procedures and includes templates for written warnings etc. Examples detailing how observer misconduct has been handled, including mediation and hearings, were provided. These demonstrate the disciplinary procedure was followed in practice.</p> <p>An amended version of the CapMarine Discipline Procedure and Code (82) includes under Paragraph 7.2 in relation to a Disciplinary Enquiry:</p> <p><i>Prior to the convening of a Disciplinary Enquiry the designated Chairperson shall, in coordination with the employees manager/coordinator, gather all information relating to the alleged incident from written and verbal reports provided by the employee/observer, vessel captain, and vessel Flag State representative where relevant. Copies of reports will be provided to all parties during the Enquiry in evidence.</i></p> <p>And the addition of Paragraph 7.5 - Reporting the outcomes of a Disciplinary Enquiry:</p> <p><i>Within 20 business days of receipt of a formal complaint, the Chairperson will provide all parties (plaintiff, defendant, vessel captain, and vessel Flag State representative where relevant) with a full and detailed explanation of how and why any decision was made or a response indicating where the investigation is up to and the expected time for completion.</i></p>

11. Dispute Settlement

#	Minimum Standard	Pass (P) / Fail (F) / Pass with Condition (C)	Comment / Condition / Reason for fail
11.1	National observer programmes or service providers shall demonstrate the existence of a dispute resolution process fair to all parties that provides a process to resolve issues through appropriate means including facilitation and mediation	(P)	<p>The MOU (7) with vessels includes a section on dispute resolution. There is a formal complaints procedure with CapMarine stating they will:</p> <ul style="list-style-type: none"> - acknowledge receipt of the complaint in writing within five business days; - where appropriate, ensure that a full, impartial, and timely investigation of the complaint is undertaken by someone who has not previously been involved in the matter; and - within 20 business days of receipt of the formal complaint, provide a full and detailed explanation of how and why any decision was made or a response indicating where the investigation is up to and the expected time for completion. <p>The Disciplinary Procedure & Code (37) also clearly outlines procedures for a disciplinary enquiry where an observer is alleged to have committed serious breaches of the Disciplinary Code, including the rights of the Observer.</p>

12. Observer Safety

#	Minimum Standard	Pass (P) / Fail (F) / Pass with Condition (C)	Comment / Condition / Reason for fail
12.1	National programmes or service providers must demonstrate that procedures are in place to support observers in their ability to carry out their duties unimpeded and in a safe working environment, including an established Emergency Action Plan (EAP). The EAP must provide instructions on sending reports to the provider's designated 24-hour point(s) of contact to report unsafe conditions, including instances of harassment, intimidation or assault.	(P)	CapMarine provided an EAP (40) that covers observers onboard vessels. Observers are provided with 2-way communication devices with which they can independently contact the on-shore 24 hour observer contact. Designated contacts are included in the EAP with procedures to be carried out in the event of an onboard emergency laid out.
12.2	National observer programmes or service providers must also provide a permanent delegate or supervisor on land to communicate with the observer at any time while at sea	(P)	<p>The EAP (4) specifies that CapMarine provides a 24-hr emergency service via 2-way satellite communication, with contact details provided. Clear emergency reporting protocols are in place.</p> <p>Observer are familiarised with the EAP during training and briefing. During briefing, observers are also provided with a travel document (76,77) prior to each deployment. This has the emergency contacts of the land-based coordinators and vessel agents/owners and/or vessel operators.</p>

13. Insurance and Liability

#	Minimum Standard	Pass (P) / Fail (F) / Pass with Condition (C)	Comment / Condition / Reason for fail
13.1	National observer programmes or service providers must demonstrate that observers have health, safety and liability insurance commensurate with the national standards of the observer programme or service provider for such insurance for the duration of any deployment before placing the observer on a vessel.	(P)	<p>CapMarine require that vessels provide copies of their P&I insurance prior to observer deployment and the MOU (7) states the observer must be officially signed on to the “ships articles”, designating them as part of the vessel crew for the purposes of P&I coverage.</p> <p>CapMarine also supplied details of insurance cover for:</p> <ol style="list-style-type: none"> 1. Public Liability Insurance 2022 2. Personal Accident Insurance 2022 3. Professional Indemnity Insurance 2022 4. Travel Insurance 2022 5. Commercial Insurance 2022



SPRFMO Observer Programme Accreditation FINAL Report. China



December 2022



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asia pacific



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Introduction

The South Pacific Regional Fisheries Management Organisation (SPRFMO) is an inter-governmental organisation responsible for the long-term conservation and sustainable use of the fishery resources of the South Pacific Ocean and in so doing, safeguarding the marine ecosystems in which the resources occur. The SPRFMO Convention applies to the high seas of the South Pacific, covering about a fourth of the Earth's high seas areas.

Currently, the main commercial resources fished in the SPRFMO Convention Area are jack mackerel and jumbo flying squid in the Southeast Pacific and, to a much lesser degree, deep-sea species often associated with seamounts in the Southwest Pacific.

The Organisation consists of a Commission and a number of subsidiary bodies. The Commission currently has 16 Members (Australia, the Republic of Chile, People's Republic of China, the Cook Islands, the Republic of Cuba, the Republic of Ecuador, the European Union, the Kingdom of Denmark in respect of the Faroe Islands, the Republic of Korea, New Zealand, the Republic of Panama, the Republic of Peru, the Russian Federation, Chinese Taipei, The United States of America and the Republic of Vanuatu). The Commission also has three Cooperating non-Contracting Parties (Belize, Curaçao, and the Republic of Liberia and).

From 1st January 2025, SPRFMO Members and CNCPs shall only deploy observers from national observer programmes or service providers accredited under the SPRFMO Observer Programme. Observer programmes may be accredited under the SPRFMO Observer Programme for a maximum of 5 years before undergoing re-evaluation. This document, consistent with the process outlined in CMM 16-2022 (SPRFMO Observer Programme), provides the basis for the accreditation process and the collection of information required for that process.

This is the preliminary evaluation report for China.

Accreditation Process

The accreditation process for CHINA progressed as follows

Date	Actions	
Annual Commission Meeting	Members, CNCP or service provider (applicant) provides notification of intention to be assessed.	28/01/2022
Following Annual Commission Meeting	Assessor (MRAG Ltd) contacts each applicant and agrees a timetable for the assessment process (Starting at time T) and shares assessment guidelines.	11/04/2022
T + 0 days (Start of process at least 6 months before Commission meeting i.e. prior to 6 th August 2022)	Assessment process to begin with applicant. Applicant provides all required documentation to assessor, in country visits or online meetings take place to discuss information provided by applicant.	06/07/2022
T + 14 days	Assessor will liaise with applicants as appropriate (including, but not limited to, bilateral consultations) and may request additional documentation if substantive or essential information is missing	24/08/2022 + virtual meeting 02/09/2022
T + 28 days	Assessor receives additional documentation requested during assessment process and collates all materials	03/10/2022
At least 120 days before Annual Commission Meeting (i.e. by 9 th October 2022)	Assessor provides Draft Preliminary Evaluation Report to applicant for comment Following this Applicants will be offered 30 days for Bilateral consultations to ensure that they have an opportunity to provide additional information and corrections relevant to their evaluation	25/10/2022
At least 90 days before Annual Commission Meeting (i.e. by 8 th November 2022)	Assessor provides Preliminary Evaluation Report(s) to Applicant(s) and Secretariat	08/11/2022
60 days before Annual Commission Meeting (i.e. by 8 th December 2022)	Assessor provides Final Evaluation Report(s) including recommended conditions and incorporating feedback received on the preliminary evaluation.	26/11/2022
30 days before CTC meeting (i.e. 7 th January 2023).	Secretariat circulates the Final Evaluation Report(s) as an Annexes to the SPRFMO Observer Programme Implementation Report	
Annual Commission Meeting (6 th February 2023)	The Commission evaluates all reports and recommendations and will decide whether to grant accreditation (including specified conditions).	

Summary of Evidence submitted

The table below summarises the documents provided by CHINA that contain the evidence of conformance with the SPRFMO assessment requirements. The relevant sections of these documents are referenced within to the main evaluation tables 1-13.

Table 1 Summary of documents submitted

#	Document Title	Please indicate which for which standards this document is used as evidence												
		1	2	3	4	5	6	7	8	9	10	11	12	13
1	1.1.1-Regulation on Distant Water Fisheries Management													
2	1.1.2-Procurement contract (template)	X							X					
3	1.1.3-Detailed Implementation Rules on Distant Water Fisheries National Observer Management	X							X					
4	1.1.4-Observer dispatch contract (template)	X												
5	1.1.5-Letter of commitment for professional ethics	X							X					
6	1.2.1-legal representative certificate of SHOU													
7	1.2.2-business license of QING DAO ZHONG HUA Human Resours Co. Ltd.	X												
8	1.2.3-registration certificate of China Overseas Fisheries Association													
9	1.2.4-1-5 - proof of social secuity for observer LIU Shixin, WANG Baolin, XIE Haoyi, ZHAO Zhendong, ZHU Guangjian and YANG Gaosheng	X												
10	1.2.5-1-6-signed contract for observer LIU Shixin, WANG Baolin, XIE Haoyi, YANG Gaosheng, ZHAO Zhendong, ZHU Guangjian	X												
11	1.2.6-1 observer resume for LIU Shixin, WANG Baolin, XIE Haoyi, YANG Gaosheng, ZHAO Zhendong, ZHU Guangjian	X	X											
12	1.2.7-observer list			X										
13	1.2.8-Code Conduct for National Distant water Fisheries Observer	X												
14	1.2.9-Training program for Distant Water Fisheries National Observer	X		X										
15	1.2.10-SPRFMO introduction and its management			X										
16	1.2.11-training material of psychological health for fishermen			X										
17	1.2.12-training material of basic safety for fisheries			X										

SPRFMO Observer Programme Accreditation

#	Document Title	Please indicate which for which standards this document is used as evidence												
		1	2	3	4	5	6	7	8	9	10	11	12	13
18	1.2.13-selection of international fisheries treaties and documents-cover page													
19	1.2.13-selection of international fisheries treaties and documents-cover page-catalog													
20	2.1-observer certificate for LIU Shixin, SHI Yanchang, SHI Yanfeng, SUN Menttang, WANG Baolin, WANG Huiquan, XIE Haoyi, YANG Gaosheng, ZHAO Zhendong and ZHOU Songwen		X				X							
21	2.1-observer certificate		X				X							
22	2.2-1-10- seafarer certificate for LIU Shixin, SHI Yanchang, SHI Yanfeng, SUN Mengtang, WANG Baolin, WANG Quanhui, XIE Haoyi, YANG Gaoxin, ZHAO Zhendong and ZHOU Songwen		X											
23	2.3-1-10- health certificate for ZHAO Zhendong, YANG Gaosheng, XIE Haoyi, WANG Baolin, LIU Shixin, SUN Mengtang, SHI Yanfeng, SHI Yanchang, ZHOU Songwen and LI Zhen		X											
24	2.4-1-10- passport for ZHAO Zhendong, YANG Gaosheng, XIE Haoyi, SHI Yanfeng, ZHOU Songwen, SHI Yanchang, LI Zhen, SUN Mengtang, WANG Baolin and WANG Huiquan		X											
25	3.1.1-squid jigging training record-2018			X										
26	3.1.2-squid jigging training record-2020			X										
27	3.1.3-squid jigging training record-2022			X										
28	3.2-CMM - folder			X										
29	4.1-1-Observer trainer CV_Bilin Liu				X	X	X							
30	4.1-2-Observer trainer CV_Feng Wu				X	X	X							
31	4.1-4-Observer trainer CV_Jintao Chen				X	X	X							
32	4.1-5-Observer trainer CV_Zhou Fang				X	X	X							
33	5.1-1-Trip report for squid jigging by LIU Shixin-2019													
34	5.1-2-Trip report for squid jigging by WANG Baolin-2018													
35	5.1-3-Trip report for squid jigging by WANG Baolin-2019													
36	5.1-4-Trip report for squid jigging by WANG Baolin-2020													
37	5.1-5-Trip report for squid jigging by ZHU Guangjian-2020													

#	Document Title	Please indicate which for which standards this document is used as evidence												
		1	2	3	4	5	6	7	8	9	10	11	12	13
38	5.1-6-Trip report for trawler by YANG Gaosheng-2019													
39	5.1-7-Trip report for trawler by ZHAO Zhendong-2018													
40	5.1-a-record of briefing and debriefing for observer LIU Shixin and WANG Baolin-20200106	X				X			X					
41	5.1-b-record of briefing and debriefing for observer WANG Baolin and ZHU Guangjian-20210721	X				X			X					
42	5.1-c-record of briefing and debriefing for observer WANG Baolin-20190527	X				X			X					
43	5.1-Details of vessels, masters and owners					X							X	
44	5.1-d-record of briefing and debriefing for observer XIE Haoyi-20180616					X			X					
45	5.1-e-record of briefing and debriefing for observer YANG Gaosheng-20191017					X			X					
46	5.1-f-record of briefing and debriefing for observer ZHAO Zhendong-20181018					X			X					
47	6.1.2 Observer data validation procedures						X							
48	6.2 bird identification guide						X							
49	6.2.1-Data security and confidentiality specification						X							
50	6.2.1-The procedure and specification of data usage						X							
51	6.2.b-List of SPRFMO Record of Vessels-CHN						X							
52	6.2-Annex1-1 SPRFMO-Observer-Jigging-data-template						X							
53	6.2.2-China-2020-2021-OP-Zhu Guangjian-Observer data-squid fishery						X							
54	6.2-Data Record and Biological Sampling Protocol for Onboard Observer 2018			X										
55	6.2-Data Record and Biological Sampling Protocol for Onboard Observer 2020			X										
56	6.2-Data Record and Biological Sampling Protocol for Onboard Observer 2022			X										
57	6.2-species identification graph of sea-bird+sea turtle+sea mammal+shark						X							

SPRFMO Observer Programme Accreditation

#	Document Title	Please indicate which for which standards this document is used as evidence												
		1	2	3	4	5	6	7	8	9	10	11	12	13
58	7.1-template of observer ID card							X						
59	7.2-a-Observer ID card back							X						
60	7.2-b-Observer ID card front							X						
61	8.1.1-procedure of the observer dispatching								X					
62	8.1-1-5-observer lot drawing								X					
63	8.4-observer salary detail- June 2022								X					
64	8.4-salary bank slip--June 2022								X					
65	9.1- safety equipment									X				
66	9.2-equipment verification check list									X				
67	10.1.1-Follow up interview on any observer misconduct	X												
68	12.1+12.2-Emergency handling mechanism of observer safety										X	X	X	
69	13.1.1-observer commercial insurance for 2017-2018													X
70	13.1.2-observer commercial insurance for 2018-2019													X
71	13.1.3-observer commercial insurance for 2019-2020													X
72	13.1.4-observer commercial insurance for 2020-2021													X
73	13.1.5-observer commercial insurance for 2021-2022													X

The following additional documents were received upon request, 03/10/2022 (note, some of these are documents that were previously submitted).

#	Document Title	Please indicate which for which standards this document is used as evidence												
		1	2	3	4	5	6	7	8	9	10	11	12	13
74	1.1.2 – Procurement contract (template) (1)	X												
75	1.1.3-Detailed Implementation Rules on Distant Water Fisheries National Observer Management (1)	X												
76	1.2.7-observer list-update	X												
77	1.2.8-Code Conduct for National Distant water Fisheries Observer (1)	X												
78	1.2.10-SPRFMO introduction and its management (1)	X												

SPRFMO Observer Programme Accreditation

#	Document Title	Please indicate which for which standards this document is used as evidence												
		1	2	3	4	5	6	7	8	9	10	11	12	13
79	1.2.11-training material of psychological health for fishermen (1)	X												
80	1.2.12-training material of basic safety for fisheries (1)	X												
81	5.1-a-record of briefing and debriefing for observer LIU Shixin and WANG Baolin-20200106 (1)					X								
82	6.2.2-China-2020-2021-OP-Zhu Guangjian-Observer data-squid fishery						X							
83	6.2-Annex1-1 SPRFMO-Observer-Jigging-data-template (1)						X							
84	7.1-template of observer ID card							X						
85	7.2-a-Observer ID card back							X						
86	7.2-b-Observer ID card front							X						
87	9.2-equipment verification check list									X				
88	MicrosoftTeams-image (5) Certificate							X						
89	Regulation on Distant Water Fisheries Management	X												

Further documents submitted 01/11/2022 to support training

#	Document Title	Please indicate which for which standards this document is used as evidence												
		1	2	3	4	5	6	7	8	9	10	11	12	13
90	8-annex-CMS-Guidelines safe humane handling release bycatch			X										
91	8-handbook-release-seabirds-sharks-turtle			X										
92	12+14+15-Data Record and Biological Sampling Protocol for Onboard Observer 2018			X										
93	12+14+15-Data Record and Biological Sampling Protocol for Onboard Observer 2022			X										
94	13+14- Sampling for fisheries science and management			X										
95	15+16- Observer-data logbook-Print--template			X										
96	15- CMM02-code-fishing gear-vessel			X										
97	15-ASFIS Code-FAO			X										

SPRFMO Observer Programme Accreditation

#	Document Title	Please indicate which for which standards this document is used as evidence												
		1	2	3	4	5	6	7	8	9	10	11	12	13
98	15- Observer-Incidental Captures seabird mimal reptile-template			X										
99	15-Observer transhipment--template			X										
100	15-Observer Transhipment Logsheets-print			X										
101	15-SPRFMO-Observer-Squid Jigging-data-template			X										
102	21-Fishing vessel carbage management plan based MARPOL			X										
103	21-textbook-safety technology for marine fishery-cover&contents			X										
104	Photos of observer working on the vessel			X										
105	Photos of observer safety training			X										

Considerations and recommendations

China submitted 105 documents (including photos and film footage) outlining their national observer programme and the areas relevant to SPRFMO in particular. The documents were well labelled, following the structure laid out in the requirements, and although much of it was in Mandarin the main parts had been translated and any additional questions were effectively answered through email contact and a virtual meeting. A summary of the evaluation is outlined in the table below with more detailed comments in the main assessment.

Requirement	Total requirements	Pass	Fail
1. Impartiality, independence and integrity	5	5	0
2. Observer qualifications	1	1	0
3. Observer training	2	2	0
4. Observer trainers	1	1	0
5. Briefing and debriefing	2	2	0
6. Data validation process	2	2	0
7. Observer identification cards	1	1	0
8. Coordinating observer placements and observer deployments	4	4	0
9. Observer safety equipment	1	1	0
10. Responding to allegation of observer misconduct	1	1	0
11. Dispute settlement	1	1	0
12. Observer safety	2	2	0
13. Insurance and liability	1	1	0

Impartiality and integrity is covered to certain extent in document 1.2.8 – The code of conduct for National Distant water Fisheries Observers, specifically paragraph 10 which states ‘*Observers must maintain their independence at all times, and shall not solicit or accept, directly or indirectly, any bribes ...*’. Although this can be interpreted as just not accepting bribes, the accreditation team were informed that background checks are performed on observers prior to any training to make sure there are no connections to the industry, examples are also given of payments made to observers over the previous 3 years (1.2.4.1 – 1.2.4.5- Proof of social security for observer), none were from industry. The assessment team consider this is sufficient to pass this Section.

Documents 5.1 a – f give examples of briefing / debriefing forms which include the following areas that are covered.

- Work content;
- Data collection and recording;
- Report compilation and submission;
- Problems, experience and lessons learnt;
- Sample collection;
- Error correction on data and report; and,

- Suggestions and improvements.

While it was not specifically mentioned the assessment team were informed that the issue of bribery was included under 'Problems, experience and lessons learnt;' along with any other problems the observer may have encountered. This is also covered from the vessel's point of view under document '10.1.1 – Follow up interview on any observer misconduct' in which the service provider follows up with a series of questions to the fishing vessel. Although lacking in detail the assessment team considered this adequate to pass section 5.

1 Impartiality, independence and integrity

#	Minimum Standard	Pass (P) / Fail (F)	Evidence Provided
1.1	National observer programmes and service providers shall only deploy independent and impartial observers. This means that neither the national observer programme or service provider, as the case requires, nor the individual observers, have a direct financial interest, ownership or business links with vessels, processors, agents and retailers involved in the catching, taking, harvesting, transporting, processing or selling of fish or fish products.	(P)	An observer contract is provided (Doc 1.1.4), accompanied by copies of signed observer contracts (Docs 1.2.5 1 to 6) Document 1.1.5 is a document template to be signed by the observer. Point 3 is a declaration of independent data collection. The business license of Qingdao Zhonghua Human Resources Co. Ltd. is provided (Doc. 1.2.2), which is the company who provide potential candidates to be a National Observer.
1.2a	The national programme or service provider, and the individual observers: a) Shall not have a direct financial interest, other than the provision of observer services, in the fisheries under the purview of the Commission, including, but not limited to: i) any ownership, mortgage holder, or other secured interest in a vessel or processor involved in the catching, taking, harvesting or processing of fish; ii) any business selling supplies or services to any vessel or processor in the fishery; iii) any business purchasing raw or processed products from any vessel or processor in the fishery.	(P)	Observer resumes are provided (Docs 1.2.6 1 to 6) detailing previous employment of observers to indicate interests prior to engagement. The observer Code of Conduct is provided (Doc. 1.2.8) stating that observers must maintain their independence at all times. Proof of observer social security is also provided for 5 individuals (Docs. 1.2.4 1 to 5).

#	Minimum Standard	Pass (P) / Fail (F)	Evidence Provided
1.2b	Shall not solicit or accept, directly or indirectly, any gratuity, gift, favour, entertainment, inordinate accommodation, loan or anything of monetary value from anyone who either conducts activities that are regulated by a Member or CNCP connected with its services or the Commission, or has interests that may be substantially affected by the performance or non-performance of the observer's official duties;	(P)	<p>Observers sign a letter of commitment of professional ethics, prohibiting solicitation or acceptance of any bribe or gratuity (Doc 1.1.5 Para 3).</p> <p>Also provided is an observer Code of Conduct, which explicitly prohibits bribes of any form (Doc 1.2.8. Para 10).</p> <p>Doc 1.2.9 Section 1 states training provisions inc. the above.</p> <p>Observers are debriefed following deployment (Docs. 5.1-a, b & c). This includes a section on any problems or experiences to be discussed. A follow up interview is also conducted with the vessel, including questions about the observer conduct and requests for bribes etc (Doc. 10.1.1, Question 7).</p>
1.2c	Shall not serve as an observer on any vessel or at any processors owned or operated by a person who previously employed the observer in another capacity within the last three years (e.g., as a crew member)	(P)	Observer resumes are provided for 6 individuals (Docs 1.2.6 1 to 6) detailing previous employment of observers.
1.2d	Shall not solicit or accept employment as a crew member or an employee of a vessel or processor while employed by a national observer programme or service provider.	(P)	Doc. 1.1.3 Article 24 states that observers shall not engage in other activities unrelated to the assigned tasks without the approval of the MARA.

2 Observer Qualifications

#	Minimum Standard	Pass (P) / Fail (F)	Evidence Provided
2.1	The national observer programmes or service providers shall demonstrate that observers that are recruited into their programme have relevant education or technical training and/or experience for the fleets concerned; ability to meet the observer duties described in this annex; no record of convictions calling into question the integrity of the observer or indicating a propensity towards violence; and the ability to obtain necessary documentation, including passports and visas	(P)	<p>Observer resumes are provided for 6 individuals (Docs. 1.2.6 1 to 6) detailing previous employment of observers.</p> <p>Observer certificates are provided for 10 individuals (Doc. 2.1), confirming completion of the training course.</p> <p>Observer seafarer passports (Docs 2.2 1 to 10) are provided.</p> <p>A variety of observer healthcare certificates are provided (Docs. 2.3 1 to 10) ranging from yellow fever vaccination certificates to seafarers medical certificates. One document is provided for each of the 10 individuals, either medical or vaccination.</p> <p>Observer passports for 10 individuals are provided (Docs. 2.4 1 to 10).</p>

3 Observer Training

#	Minimum Standard	Pass (P) / Fail (F)	Evidence Provided
3.1	National observer programmes or service providers shall demonstrate that observers are adequately trained before their deployment. Training shall include all the elements outlined in Annex 3 of CMM-16-2022, and that data are being collected in line with the requirements set out in CMM 02-2022	(P)	<p>The observer training course itineraries are provided for 2018 (Doc. 3.1.1), 2020 (Doc. 3.1.2) and 2022 (Doc. 3.1.3). Only the copy for 2018 has English translations, however the other documents are the same. The training is divided into the following categories:</p> <ol style="list-style-type: none"> 1. Job Description 2. SPRFMO CMMs and its mechanism 3. Squid biological measurement training 4. Squid gonad maturity training 5. Bycatch identification training 6. Squid dissection training 7. Data recording and format filling requirement training. <p>The sampling protocol is also provided in full in English for 2018, 2020 and 2022 (Doc. 6.2). The full training PowerPoint for the SPRFMO management area covers point 2 above (Doc. 1.2.10).</p> <p>Briefing notes for revised CMMs are provided for 2021 and 2022 (Docs. in folder 3.2).</p> <p>Training materials for safety in fisheries (Doc. 1.2.12) and for the psychological health of fishermen (Doc. 1.2.11) are provided.</p> <p>A list of trained observers is provided alongside their assigned deployments or standby status (Doc. 1.2.7). This includes assigned unique identifiers.</p> <p>Areas covered in the training are detailed in Doc. 1.2.9, in line with the requirements outlined in Annex 3 of CMM-16-2022, upon request further documents were submitted to ensure all areas were covered (Docs 90 to 105). While nothing specifically existed to for -</p>

#	Minimum Standard	Pass (P) / Fail (F)	Evidence Provided
			<p>17. Use of digital recorders or electronic notebooks;</p> <p>or</p> <p>18. Electronic equipment used for observer work and understanding their operation;</p> <p>Confirmation was given via email that observers are shown how to operate the necessary equipment and are provided with this equipment. Photos of observers at work with the equipment were provided.</p>
3.2	Refresher training should be ongoing dependent on the qualification requirements. Relevant updates to CMMs and observer requirements should be communicated to observers before each deployment as part of the briefing process, for example in an updated manual	(P)	Revision of the CMMs is noted for each year between 2018 and 2022 (Docs. in folder 3.2). The data recording and biological sampling protocol is updated according to these CMMs (Doc. 6.2 for 2018, 2020 & 2022).

4 Observer Trainers

#	Minimum Standard	Pass (P) / Fail (F)	Evidence Provided
4.1	National programmes or service providers shall demonstrate that observer trainers have the appropriate skills and have been authorised by that national programme or service provider to train observers	(P)	Observer trainer CVs are provided for 4 individuals detailing education and work experience (Docs. 4.1 1,2,4 and 5). All trainers listed have a PhD or Masters in a relevant discipline.

5 Briefing and Debriefing

#	Minimum Standard	Pass (P) / Fail (F)	Evidence Provided
5.1	National observer programmes or service providers shall demonstrate that there are systems for briefing and debriefing observers and communicating at any time with vessel captains.	(P)	Examples of observer briefing and debriefing records are provided (Docs. 5.1 a-f). Details of vessels, masters and owners are provided, with contact details (Doc. 5.1).
5.2	The briefing and debriefing process shall be conducted by properly trained personnel and shall ensure that observers and vessel captains clearly understand their respective roles and duties	(P)	The CVs of four members of the observer training team are provided, detailing education and work experience (Docs. 4.1-1, 2, 4 and 5).

6 Data Validation Process

#	Minimum Standard	Pass (P) / Fail (F)	Evidence Provided
6.1	National observer programmes or service providers shall demonstrate that they have an observer data validation process in place. The data validation process shall be conducted by properly trained personnel and shall ensure that data and information collected by an observer are checked for discrepancies or inaccuracies that are corrected before the information is entered into a database or used for analysis. This includes ensuring that the national observer programme or service provider has in place a mechanism to receive data, reports and any other relevant information from an observer in such a way that prevents interference in that data from other sources.	(P)	<p>An observer data validation procedure (Doc. 6.1.2) is provided. This covers data validation by both the observer (daily) and the data manager (on submission).</p> <p>Training is provided by the observer trainers, whose CVs are provided (Docs. 4.1 1, 2, 4 & 5). Once trained, observers are provided with a certificate (Docs. 2.1).</p>
6.2	The data validation process shall ensure that the data meet the standards laid out in Annex 3 of CMM-16-2022	(P)	<p>The data validation procedure for both the observer and data manager is provided (Doc. 6.1.2). This is accompanied by a full data recording and biological sampling protocol, detailing how to carry out all data collection with the associated forms (Doc. 6.2). An example filled out data set is provided (Doc. 6.2.2).</p> <p>The data validation includes plotting the data to identify outliers and a sensible spread, and correcting wrong or abnormal data where possible.</p> <p>Data validation is carried out in accordance with CMM-16-2022 Annex 3.</p>
6.2a	a) A mechanism that allows scientific data to be stored and transferred to the national observer programme (or service provider) in a secure and confidential manner	(P)	<p>Specifications are provided for data security and confidentiality (Doc. 6.2.1), stating data is owned by the State and is not to be shared otherwise (Doc. 6.2.1 Para. 2).</p> <p>The data manager in the Data Centre is responsible for the upload, maintenance and transmission of observer data (Doc. 6.2.1, Point 2). Data is submitted in person where possible. Where not possible this is sent via an encrypted email (Point 4).</p>

#	Minimum Standard	Pass (P) / Fail (F)	Evidence Provided
	b) Vessel information uniquely identifies the actual vessel from which the fishing occurred	(P)	Details of the fishing vessels, both unloading and receiving, are recorded for transshipments in the observer forms (Doc 6.2, Annex 1). This includes the name, registration number, call sign, flag state and IMO number. The list of SPRFMO vessels is also provided containing the vessel details (Doc. 6.2.b).
	c) Dates and times of fishing effort are included and internally consistent (for example an end time should be after a start time)	(P)	Start and end fishing dates and times are recorded, both in UTC (Doc. 6.2 Annex 1, Tab Fishing Activity) for each fishing operation. This is the case in both the excel data sheets and paper forms (Doc. 6.2).
	d) Location of fishing is included and valid (for example, logical latitude/longitude combinations), internally consistent and entered in the correct units	(P)	Start and end fishing latitude and longitude are recorded (Doc. 6.2 Annex 1, Tab Fishing Activity) for each fishing operation. This is the case in both the excel data sheets and paper forms (Doc. 6.2).
	e) Effort data allows quantification of the amount of effort invested by the vessel, appropriate to the fishing method used, which is also identified	(P)	The data template (Doc. 6.2 Annex 1) is provided, alongside the sampling protocol (Doc. 6.2) to record effort data, including start and end of operations, and number of various types of jigs. Effort data recorded as per requirements in Annex 7 of CMM 02-2022, including start and end of operations and number and type of jigs (hand or machine) (Doc. 6.2- Annex 1).
	f) Catch information identifies the fishery resource (to the species level where possible) and the quantity of that species retained or discarded. If used, species codes are accurate	(P)	Catch data recorded as per requirements in CMM 02-2022 Annex 7 part E. The observer sampling protocol is provided (Doc. 6.2) alongside species ID guides for birds (Doc. 6.2 bird identification guide) and other groups (Doc. 6.2-species identification...) which provide the species codes. Catch data is entered (Doc. 6.2 -Annex 1) including the species code and retained and discarded weights (Tab Fishing Activity). Data validation is conducted by the observer and the data manager (Doc. 6.1.2).
	g) Where biological or length information is collected for a fish, it is directly linked to the effort in which it was caught – including date and time, location, and fishing method	(P)	Length frequency data recorded as per requirements in CMM 02-2022 Annex 7 part F.

#	Minimum Standard	Pass (P) / Fail (F)	Evidence Provided
	information, and includes the methodology of data collection		<p>The Observer Jigging data template (Doc. 6.2-Annex 1) is set up for data collection of fishing activity by date, time and position. This is then linked to the sampling data such as length frequency and maturity information.</p> <p>Sampling methodology is detailed for squid (Doc. 6.2, Annex 2).</p> <p>Data is plotted and validated according to the data validation procedures by the observer and the data manager (Doc. 6.1.2).</p>
	h) If the observer programme extends to transshipment and/or landings, then the amount and species of fishery resources transhipped/landed is quantified and recorded according to a standard methodology	(P)	How to record transshipments and the associated transshipment log sheets are detailed in the protocol provided (Doc. 6.2, Annex 1). This follows the requirements set out in Annex 7 of CMM 02-2022.
	i) Interaction data involving marine mammals, seabirds, reptiles and/or other species of concern identifies the individual species (where possible), the number of animals, fate (retained or released/discarded), life status if released (vigorous, alive, lethargic, dead), and the type of interaction (hook /line entanglement / warpstrike / net capture / other).	(P)	

7 Observer Identification Cards

#	Minimum Standard	Pass (P) / Fail (F)	Evidence Provided
7.1	National observer programmes or service providers shall provide observers with identification cards that include the full name of the observer, date of issue and expiration, the name of the national observer programme or service provider, a unique identifying number (if issued by the national observer programme or service provider) a passport style photo of the observer, an emergency phone number	(P)	An observer ID card template is provided (Doc. 7.1) along with an example of an observer ID card in use (Docs. 7.2 a and b).

8 Coordinating Observer Placements and Observer Deployments

#	Minimum Standard	Pass (P) / Fail (F)	Evidence Provided
8.1	National observer programmes or service providers shall demonstrate responsibility and capacity for the timely deployment of observers and will ensure that the selected observer receives all possible assistance during the entire length of their placements	(P)	<p>Procedures for deploying observers are outlined in 'Detailed Implementation Rules on Distant Water Fisheries National Observer Management' (Doc. 1.1.3 Chapter 2). This document covers training, data analysis, briefing and debriefing, and organisation and coordination of the observer.</p> <p>Observer selection and training standards are detailed in Doc. 1.1.3 Chapter 3.</p> <p>The observer dispatch and implementation plan is submitted for the next year before 31st December (Doc. 8.1.1, Point 1), to allow sufficient time to deploy the observer.</p> <p>Observers are randomly assigned to vessels by lot drawing (Docs. 8.1 1-5). Those vessels which accepted observers the previous year are taken out of the subsequent draw until all vessels have been observed (Doc. 8.1.1, Point 2).</p> <p>A debrief procedure is in place, with an associated form to be completed. Examples of observer briefing and debriefing forms are provided (Docs. 5.1a-f).</p>
8.2	National observer programmes or service providers shall have in place a protocol to replace an observer if the observer becomes unable to perform their duties.	(P)	Document 1.1.2 states that under the stated circumstances, a replacement observer is to be provided.
8.3	National observer programmes or service providers shall also seek, to the extent possible, to avoid deploying a single observer on multiple consecutive trips on the same vessel	(P)	Observers are randomly assigned to vessels by lot drawing (Docs. 8.1 1-5). Those vessels which accepted observers the previous year are taken out of the subsequent draw until all vessels have been observed (Doc. 8.1.1, Point 2).

#	Minimum Standard	Pass (P) / Fail (F)	Evidence Provided
8.4	It is the responsibility of a national observer programme or service provider to administer observer placements, to maintain the independence and impartiality of observers as described in this measure and ensure that all placements are administratively finalised as soon as practicable after the observers return to port. The national observer programme or service provider is expected to communicate with the observer regarding upcoming deployments, coordinate observer travel, and provide the necessary supplies for observer duties.	(P)	An observer salary detail document is provided, alongside a salary bank slip (Doc. 8.4). Document 1.1.5 is a document template to be signed by the observer. Point 3 is a declaration of independent data collection.

9 Observer Safety Equipment

#	Minimum Standard	Pass (P) / Fail (F)	Evidence Provided
9.1	National observer programmes or service providers must demonstrate that observers are provided with appropriate equipment, including safety equipment, which is in good working order, routinely checked and renewed to carry out their duties on board a vessel. Essential equipment includes a lifejacket, independent two-way communication device capable of sending and receiving voice or text communications, personal locator beacons (PLBs), immersion suits, hard hat, proper deck working boots or shoes, gloves and protective glasses (including sunglasses)	(P)	Equipment list provided (Doc. 9.1 for template). A used checklist showing equipment checked out and returned was also provided (Doc. 9.2).

10 Responding to Allegations of Observer Misconduct

#	Minimum Standard	Pass (P) / Fail (F)	Evidence Provided
10.1	National observer programmes or service providers must establish procedures for preventing, investigating, and reporting on the misconduct of observers, in coordination with observers, vessel captains, and relevant Members and CNCPs	(P)	<p>Allegations of Observer Misconduct are investigated internally according to the Follow up interview on any observer misconduct document (Doc. 10.1.1). This details the questions to be asked to the fishing vessel owner or master.</p> <p>The internal complaint and dispute settlement procedure (Doc 12.1 + 12.2, Article 4) involves a HR specialist, and systems for both internal and external reporting procedures.</p>

11 Dispute Settlement

#	Minimum Standard	Pass (P) / Fail (F)	Evidence Provided
11.1	National observer programmes or service providers shall demonstrate the existence of a dispute resolution process fair to all parties that provides a process to resolve issues through appropriate means including facilitation and mediation	(P)	The dispute settlement procedure both for internal and external reports is provided (Doc. 12.1 + 12.2), involving procedures through HR and relevant parties.

12 Observer Safety

#	Minimum Standard	Pass (P) / Fail (F)	Evidence Provided
12.1	National programmes or service providers must demonstrate that procedures are in place to support observers in their ability to carry out their duties unimpeded and in a safe working environment, including an established Emergency Action Plan (EAP). The EAP must provide instructions on sending reports to the provider's designated 24-hour point(s) of contact to report unsafe conditions, including instances of harassment, intimidation or assault.	(P)	<p>Emergency Action Plan (EAP) provided (Doc 12.1 + 12.2, Para 23) alongside the reporting procedure (Para 15).</p> <p>24hr emergency contact is available (Doc 12.1 + 12.2, Article 8) and observers are issued with a two-way satellite phone (Doc. 9.1).</p> <p>The Agency has a record of the basic information of all fishing vessels, masters and owners including contact details and can be in regular communication with the vessel/master if required (Doc. 5.1)</p>
12.2	National observer programmes or service providers must also provide a permanent delegate or supervisor on land to communicate with the observer at any time while at sea	(P)	24hr emergency contact is available (Doc 12.1 + 12.2, Article 8) and observers are issued with a two-way satellite phone (Doc. 9.1).

13 Insurance and Liability

#	Minimum Standard	Pass (P) / Fail (F)	Evidence Provided
13.1	National observer programmes or service providers must demonstrate that observers have health, safety and liability insurance commensurate with the national standards of the observer programme or service provider for such insurance for the duration of any deployment before placing the observer on a vessel.	(P)	All observers are covered under the employee group insurance scheme. A copy of this scheme is provided (Docs 13.1.1 to 13.1.5) between 2017 and 2022.

Annex 1 Training requirements as outlined in Annex 3 of CMM 16-2022

1. The relationship between fisheries science and fisheries management and the importance of data collection in this context;
2. The relevant provisions of the Convention and SPRFMO CMMs relevant to the functions and duties of observers;
3. Importance of observer programmes, including understanding the duties, rights, authority and responsibilities of observers;
4. Safety at sea, including emergencies at sea, donning survival suits, use of safety equipment, use of radios, survival at sea, management of conflicts, and cold-water survival;
5. First aid training, appropriate to working at-sea or in remote situations;
6. Species identification and record of species encountered at sea, including target and non-target species, protected species, seabirds, marine mammals, sea turtles, invertebrates indicating vulnerable marine ecosystems, et cetera;
7. Knowledge of the different types and functioning of bycatch mitigation devices required by SPRFMO CMMs;
8. Safe handling protocols to rehabilitate and release seabirds, marine mammals and sea turtles;
9. Fishing vessel and fishing gear types relevant to SPRFMO;
10. Techniques and procedures for estimating catch and species composition;
11. Use and maintenance of sampling equipment including scales, callipers, et cetera;
12. Sampling methodologies at sea, i.e., fish sampling, fish sexing, measuring and weighing techniques, specimen collection and storage, and sampling methodologies;
13. Understand potential biases in sampling, how they arise and how they could be avoided;
14. Preservation of samples for analysis;
15. Data collection codes and data collection formats;
16. Familiarity with catch logbooks and recordkeeping requirements to aid observers' collection of data as required under SPRFMO CMMs;
17. Use of digital recorders or electronic notebooks;
18. Electronic equipment used for observer work and understanding their operation;
19. Use of electronic monitoring systems as a complement to their work, when applicable;
20. Verbal debriefing and report writing;
21. Training on relevant aspects of the International Convention for the Prevention of Pollution

from Ships (MARPOL).

Annex 2 Standards for Observer data for the jigger fleet as outlined in Annex 7 of CMM 02-2021

E Catch and Effort Data to be Collected for Jigging Fishing Activity.	
1. Data are to be collected on a daily basis for all observed squid jig effort.	
2. The following data are to be collected for each observed day of squid jig effort:	
a) Fishing start date and time (UTC);	
b) Fishing end date and time (UTC);	
c) Position at start of drift (1/10th degree - decimal) latitude and longitude;	
d) Position at end of drift (1/10th degree - decimal) latitude and longitude;	
e) Intended target species (FAO species code);	
f) Blast freezing throughput (tonnes per hour);	
g) Total deck light power (kW);	
h) Number of hand jig lines;	
i) Number of single jig machines;	
j) Number of double jig machines;	
k) Number of jigs per line;	
l) Bycatch mitigation measures employed (if applicable);	
m) Estimated catch of all species (FAO species code) retained on board, split by species, in live weight (to the nearest kg);	
n) Estimated catch of all species (FAO species code) discarded, split by species, in live weight (to the nearest kg), including all benthic taxa;	
o) If any marine mammals, seabirds, reptiles or other species of concern were caught, report as per requirements described in Section H.	