

*Science, Service, Stewardship*



## Dockside Monitoring Details

Greg Power

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**NOAA  
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## Certification/approval of Dockside Monitor Providers

- Provider supplies company information required in A16 to Sector
- Standardized approach would be best if Provider is dealing with multiple Sectors
- Provider information must then be submitted by the Sector through Operations Plan
- NERO reviews and approves Operations Plan, thereby certifying Provider (for working with that Sector)



## Individual monitor standards

- Successful completion of NMFS-required training, briefings &/or required skill sets
- Meet minimum standards established by NMFS
- Sector managers ensure adequate training for dockside monitors.
- A high school diploma or legal equivalent
- Physical capacity for carrying out the responsibilities including climbing a ladder to inspect fish holds and/or trucks
- Absence of fisheries-related convictions
- Independence from fishing-related parties
  - vessels, dealers, shipping companies, sectors, sector managers, advocacy groups, or research institutions



## Training

- Standards for DSM training to ensure required skill sets are met are in development. Likely will include these curriculum elements:
  - First Aid & dockside safety
  - Conflict Resolution
  - Species Identification
  - Weight Estimation
- Providers “must prove that dockside, roving, and at-sea monitors have passed an adequate training course” necessary to obtain needed skills as specified by NMFS



## Background checks, TWIC card

- Background check as defined in A16
- Must be completed before training
- No fisheries-related convictions
- Provider must ensure that individual monitors obtain Transportation Worker Identification Credential (TWIC) cards if needed to access fishery facilities and vessels at the ports serviced by provider.
  - TWIC information at <http://twicinformation.tsa.dhs.gov/>



## Coverage levels

- The NEFMC set recommended DSM coverage levels at their meeting in June, 2009.
- DSM coverage overall (for each sector) is set at:
  - 50% for the first year
  - 20% for subsequent years
- Since less than 100% coverage, randomized vessel selection is needed
  - Method to be detailed in Operations Plan



## Pre-trip notification and vessel selection

- Both ASM and DSM Vendors should be informed (by the vessel) at the beginning of each fishing trip.
- Protocol for pre-trip notification may be developed jointly by Provider and Sector. Must be detailed in Operations Plan.
- DSM Standards provide guidance for pre-trip notification



## Dockside safety

- For DSM, safety concerns are mostly a matter of physical capacity (for climbing, etc.).
- Training may address other safety related issues.
- According to A16, the Provider “must ensure individual monitors' physical capacity for carrying out the responsibilities of a dockside/roving monitor pursuant to standards established by NMFS” (such as being certified by a physician to be physically fit to work as a dockside/roving monitor).



## Data collection and reporting

- Provider's monitors collect DSM data (on the docks) according to protocols outlined in DSM Standards.
- Sector managers maintain a database of all monitoring data, including VTR, dealer, DSM and ASM
- NMFS-source data will be provided via a feed from NEFSC.
- Sector manager will provide weekly reports to NMFS, detailing:
  - all species landings by stock and statistical areas
  - discard estimates
  - status of sector TACs
- NMFS will specify transmission method for these data reports.



## Performance Monitoring

- NERO will review vessel selection methods, sampling implementation in Operations Plan
- Provider should review vessel selection, sampling implementation and data quality at least monthly, and adjust if necessary
- Provider should review performance of individual monitors to ensure standards are continuing
- Sector managers will interact with provider and NERO to ensure standards are met



## Draft Sector DSM Program Standards Hail

Prior to depart port on a trip for which catch will count against sector ACEs, each sector vessel will HAIL TRIP START, meaning notify the Sector Manager (SM) and Dockside Monitoring (DSM) vendor that the vessel is departing on a Groundfish (GF) Trip. The HAIL TRIP START will include basic identifying information. Basic identifying information includes vessel name (or other data that uniquely identifies the vessel) and estimated trip duration.



## Draft Sector DSM Program Standards Hail

Transmission of the HAIL will be either as an email via Vessel Monitoring System (VMS) or some other electronic method as determined by the sector. In all instances hail notification must be provided to NOAA Fisheries Office for Law Enforcement (OLE); the mechanism for hail notification should be detailed in the sector's operations plan. The DSM vendor will send a confirmation to the vessel that the HAIL TRIP START was received; if the vessel does not receive confirmation within 10 minutes, the captain should contact the vendor to confirm their HAIL via a backup phone number (to be set up by the DSM vendor).



## Draft Sector DSM Program Standards Hail

At the appropriate time before landing (detailed below), the sector vessel will HAIL TRIP END, meaning notify the DSM vendor of the vessel's specific offload location, estimated time of arrival, and estimated weight of all fish on board. For all trips greater than 6 hours, and occurring more than 6 hours from port, vessels must HAIL TRIP END at least 6 hours in advance of landing. For trips less than six hours in length or occurring within six hours of port, HAIL TRIP END notification time should be defined in the sector's operations plan, after being agreed upon by the sector, the monitoring provider, and OLE.



## Draft Sector DSM Program Standards Hail

- Unique vessel identification (e.g., permit number), Trip ID# (which is the VTR number on the first VTR page used for that trip).
- Specific offloading location (dock/dealer, port/harbor, and state), estimated time of arrival, estimated time of offload, declaration of all dealers intending to offload at, and estimated weight of each species.
- The DSM vendor will send a confirmation to the vessel that the HAIL TRIP END was received. If the vessel does not receive confirmation prior to landing, the captain must call the backup phone number prior to landing.
- If the DSM has an emergency and cannot meet the vessel as required, the DSM vendor will notify the vessel, the sector manager and OLE as soon as possible.



## Draft Sector DSM Program Standards Hail

If there is less than 100% dockside monitoring, meaning any trip may or may not have a DSM or RM present to witness offloading, then the DSM vendor will provide a confirmation that the HAIL TRIP START was received and the DSM vendor will subsequently apply a randomization method (as specified in the sector's operations plan) to determine whether that vessel will be subject to DSM upon landing. The vessel will subsequently HAIL TRIP END as required with 100% Dockside Monitoring. The DSM vendor will inform the vessel at the time of HAIL TRIP END (and no earlier), in its confirmation, that:

- i. The vessel will have a DSM/RM present, OR
- ii. The vessel is issued a DSM Waiver for the trip, (meaning no DSM or RM will be present to witness the offload).



## Draft Sector DSM Program Standards Responsibilities of the Dockside Monitoring Vendor

1. The DSM vendor should ensure that all individual monitors are trained as described in Amendment 16 (Section 4.3.3.5.5) and this document. The vendor must also ensure that background checks and any authorizations (such as Transportation Worker Identification Credential cards) needed for individuals to access fishery facilities and vessels at ports serviced by the DSM vendor are obtained.
2. The DSM vendor should have a back-up phone service available, capable of accommodating problems with the electronic hail system.
3. The DSM vendor must be able to receive HAILS 24 hours per day, 7 days per week, and must be able to send a confirmation of the HAIL back to the vessel within 10 minutes of receiving the hail.
4. The DSM vendor must keep a running list of all open trips.
5. Upon receiving a HAIL TRIP END, the DSM vendor will respond by sending the vessel and the SM a confirmation that includes whether or not a DSM will be at the unloading station at a time certain; (or be able to communicate with the vessel to coordinate a time for offloading to commence). This can be any time agreeable to the unloading facility, the vessel, and the DSM, but not less than the required time notice between HAIL TRIP END and landing.



## Draft Sector DSM Program Standards

### Responsibilities of the Dockside Monitoring Vendor

6. The DSM/RM will be required to sign the dealer receipt (dealer slip, weighout slip, etc...), and retain a copy of the receipt, to document that the offload was observed.
7. The DSM vendor will be required to keep an electronic record of each offload and make the records available to NMFS upon request.
8. If there is less than 100% DSM required, then the DSM vendor will notify the SM and OLE with the complete HAIL TRIP END information (including a breakdown of species to be landed and estimated weight of each species on board) and whether the vessel will have a DSM present at offloading or not.
9. The DSM/RM must provide accurate and complete data to the SM, and/or any third party designated by the SM, immediately upon completion of weighing, to provide enough time to produce an accurate and complete weekly report to NMFS.
10. If less than 100% coverage is required, the DSM vendor is responsible for developing randomized methodology for determining allocation of DSMs/RMs and waivers that must be approved by NMFS in the sector operations plan.
11. The DSM vendor is responsible for working with Sector Managers and OLE to establish an acceptable process for safe harbor situations when a sector vessel is unable to follow normal dockside monitoring protocol due to an emergency situation.



## Draft Sector DSM Program Standards Actual Monitoring of Offload at Dealer:

1. The vessel may enter port and tie at safe berth, but no offloading can commence until the DSM/RM is present.
  - a. Vessels offloading at more than one dealer or facility must have a DSM present during offload at each location.



## Draft Sector DSM Program Standards Actual Monitoring of Offload at Dealer:

- c. If less than 100% DSM is required and the vessel will get a waiver:

The DSM Vendor, when confirming that it has received the HAIL TRIP END, will notify the vessel that the vessel is receiving a waiver from DSM for this trip. It will be the responsibility of each vessel operator to provide copies of the VTR and dealer receipt to the Sector Manager or designated third party within 24 hours of landing.

- d. If less than 100% DSM is required and the vessel will have a DSM or RM, then the process for 100% DSM will be followed.



## Draft Sector DSM Program Standards Actual Monitoring of Offload at Dealer:

- i. The DSM will take copies of all VTRs filled out for the trip, with all information available (no blocked cells).
- ii. The DSM will record whether or not the scales are certified by the dealer's state and record the weight of offloaded fish, by species or market class, in a report.
- iii. The DSM will ask the captain whether all fish have been offloaded, and whether any are being retained for personal use. The DSM will record the captain's estimate of weight of any amounts being retained for home use or retained on the vessel and record the reason.
- iv. The DSM will sign the dealer receipt.
- v. The DSM will collect a copy of the dealer receipt.
- vi. The DSM will send copies of the VTRs, the dealer receipt, and his/her report to the sector manager. If the sector has contracted with a third party to collect and process its data, then the DSM will send all documents to that third party.
- vii. The DSM will keep a copy of his/her report and it shall be electronically stored by the DSM vendor.



## Draft Sector DSM Program Standards Offloading to a Truck / Roving Monitors:

1. The vessel will HAIL TRIP END as described for dockside monitoring.
2. It will be the responsibility of each individual sector to specify in its operations plan at which remote unloading facilities sector members will be allowed to offload to trucks.
3. All fish offloaded to a truck must be weighed in the presence of a DSM, either at the offload site by a licensed dealer (in which case it is treated as a dockside monitoring event), or at the dealer when the truck offloads.



## Draft Sector DSM Program Standards If less than 100% DSM is required:

- a. The HAIL TRIP END will include the captain's estimate of weight of each species on board.
- b. The vessel will be notified by the DSM Vendor (when it sends its confirmation) that:
  - i. The vessel will have a RM, or
  - ii. The vessel is issued a DSM Waiver for the trip.
  - iii. The DSM vendor will notify the Sector Manager and OLE with the complete HAIL TRIP END information (including a breakdown of species to be landed and estimated weight of each species on board) and whether the vessel will have a DSM/RM present at offloading or not.
- c. Offloading of landings at remote ports and weigh out of landings at all dealer facilities will be considered two separate events. The DSM vendor will be responsible for establishing a selection process that randomly selects remote port offloads that will be monitored by combined RM at offload and DSM at dealer facility.



## Draft Sector DSM Program Standards Actual Monitoring of Offload at a Remote Port

- a. The RM will take copies of all VTRs with all information available (no blocked cells).
- b. If there are scales, then the RM will verify whether or not the scales are certified by the dealer's state, and record the weight of offloaded fish by species or market class.
- c. If there are no scales at the offload site, then the RM will record the number of totes of each species and the captain's estimate of the weight in each tote.
- d. The RM will ask the captain whether all fish have been offloaded, and whether any are being retained for home use. The RM will record the captain's estimate of weight of any amounts being retained for home use or retained on the vessel for any reason.
- e. The RM will ensure that each tote is labeled with appropriate identifying information, including but not limited to: Serial number of first VTR page filled out for that trip, RM name, tote number and species;
- f. The RM will confirm that the driver's manifest includes an accurate list of all totes, the species they hold, the VTR serial number, and the RM's name/contact information, and sign the manifest.
- g. The RM will take a copy of the signed manifest.
- h. The RM will electronically send copies of the VTRs, manifest, and the offload report to the sector manager, or designated third party.
- i. The RM will keep a copy of the report and it shall be electronically stored by the DSM vendor.