

# Template for Sector Monitoring Service Providers

## Requirements under Northeast Multispecies Amendment 16

This reference has been provided by the National Marine Fisheries Service  
(Northeast Regional Office and Northeast Fisheries Science Center).  
Inquiries may be directed to Amy Van Atten at 508-495-2266 or  
[Amy.Van.Atten@noaa.gov](mailto:Amy.Van.Atten@noaa.gov) (Fisheries Sampling Branch Chief, NEFSC).

Version: August 11, 2009

## Service Provider Template Table of Contents

- Section 1. Corporate Structure & Contact Information (Provider)
- Section 2. Statement of Non-Conflict of Interest (Provider)
- Section 3. Statement of Non-Convictions, Federal Contracts and/or Decertification (Provider)
- Section 4. Prior Experience and Performance Ability (Provider)
- Section 5. Evidence of Insurance (Provider)
- Section 6. Monitor Benefits & Services (Provider)
- Section 7. Proof of Monitor Certification (NEFSC will supply to Provider post-training)
- Section 8. Emergency Action Plan (Provider)
- Section 9. Statement of Good Financial Standing (Provider)
- Section 10. Plan of Deployment and Coverage (Provider and Sector coordination)
- Section 11. Reporting Potential Problems (Provider)
- Section 12. Copy of Contract Information (Provider)
- Section 13. Refusal to Deploy (Provider)
- Section 14. Record Keeping, Equipment, and Funding (Provider)
- Section 15. Standards for At-Sea Monitors (Provider)
- Section 16. Standards for Dockside/Roving Monitors (Provider)

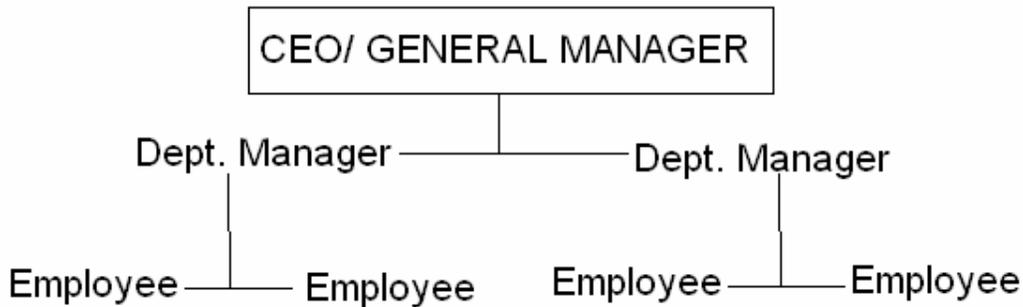
## Attachments

- Attachment I. Statement of Non-Conflict of Interest
- Attachment II. Statement of Non-Criminal Convictions
- Attachment III. Statement of Non-Decertification
- Attachment IV. NEFOP Pre-Trip Vessel Safety Check List
- Attachment V. Trip Refusal and Incident Report Form

## SECTION 1: Corporate Structure & Contact Information

- *Identification of corporate structure, including the names and duties of controlling interests in the company such as owners, board members, authorized agents, and staff; and articles of incorporation, or a partnership agreement, as appropriate (page I-109).*

Provide a description of the corporate structure, including a breakdown of all employees, what their specific duties. An organizational chart is helpful, such as this example:



- *Contact information for official correspondence and communication with any other office (page I-109).*

Provide the following information:

- Permanent mailing address of business headquarters
- Phone and fax numbers where official business correspondence will take place
- Physical location of operations office(s)
  - Operations mailing address(s)
  - Operations telephone number(s)
  - Operations fax number(s)
  - Operations email addresses for each office and/or key personnel

## SECTION 2: Statement of Non-Conflict of Interest

- *A statement, signed under penalty of perjury, from each owner, board member, and officer that they are free from a conflict of interest with fishing-related parties including, but not limited to, vessels, dealers, shipping companies, sectors, sector managers, advocacy groups, or research institutions and will not accept, directly or indirectly, any gratuity, gift, favor, entertainment, loan, or anything of monetary value from such parties (page I-110).*

---

<sup>1</sup> The text in blue italic font is taken from “Draft Northeast Multispecies Amendment 16 April 15, 2009” available on-line at: <http://www.nefmc.org/nemulti/index.html>

• *A service provider must not have a direct or indirect interest in a fishery managed under Federal regulations, including, but not limited to, fishing vessels, dealers, shipping companies, sectors, sector managers, advocacy groups, or research institutions and may not solicit or accept, directly or indirectly, any gratuity, gift, favor, entertainment, loan, or anything of monetary value from anyone who conducts fishing or fishing-related activities that are regulated by NMFS, or who has interests that may be substantially affected by the performance or nonperformance of the official duties of service providers. This does not apply to corporations providing reporting, dockside, and/or at-sea monitoring services to participants of another fishery managed under Federal regulations (page I-111).*

Provide signed document, see Attachment I. Statement of Non-Conflict of Interest.

### **SECTION 3: Statement of Convictions, Federal Contacts, and/or Decertification**

• *A statement, signed under penalty of perjury, from each owner, board member, and officer describing any criminal convictions, Federal contracts they have had, and the performance rating they received on the contract, and previous decertification action while working as an observer or observer service provider (page I-110).*

Provide signed document stating that you do not have any criminal convictions, see Attachment II. Statement of Non-Criminal Convictions.

Provide signed document stating that you don't have any decertifications, see Attachment III. Statement of Non-Decertification.

### **SECTION 4: Prior Experience and Performance Ability**

• *A description of any prior experience the applicant may have in placing individuals in remote field and/or marine work environments. This includes, but is not limited to, recruiting, hiring, deployment, and personnel administration (page I-110).*

Describe your experiences.

• *A description of the applicant's ability to carry out the responsibilities and duties of a sector monitoring/reporting service provider and the arrangements to be used, including whether the service provider is able to offer dockside and/or at-sea monitoring services (page I-110).*

Describe your abilities.

### **SECTION 5: Evidence of Insurance**

• *Evidence of adequate insurance to cover injury, liability, and accidental death for dockside, roving, and at-sea monitors (including during training). Workers' Compensation and Maritime Employer's Liability insurance must be provided to cover the dockside, roving, and at-sea monitors; vessel owner; and service provider. Service providers shall provide copies of the insurance policies to dockside, roving, and at-sea monitors to display to the vessel owner, operator, or vessel manager, when requested (page I-110).*

Must demonstrate fully that you have sufficient insurance to safely conduct business. Although specifics are not detailed in the draft Amendment 16, NMFS/NEFSC Northeast Fisheries Observer Program has found insurance to be adequate if it includes:

Worker's Compensation and Maritime Employer's Liability coverage of \$5,000,000.

To provide evidence of adequate insurance, you must provide the following:

a copy of the certificate of liability insurance;

a copy of the certificate of worker compensation showing coverage for employees in any state where the sector operates;

a detailed description of the coverage; and

a letter from the insurance broker confirming binding status.

## **SECTION 6: Monitor Benefits & Services**

• *Service providers shall provide benefits and personnel services in accordance with the terms of each monitor's contract or employment status (page I-110).*

Describe the benefits and personnel services of the monitors providing monitoring services.

## **SECTION 7: Proof of Monitor Certification**

• *Proof that the service provider's dockside, roving, and at-sea monitors have passed an adequate training course that is consistent with the curriculum used in the current NEFOP training course, unless otherwise specified by NMFS (page I-110).*

At-sea monitors must successfully complete the 10-day course provided by NMFS/NEFSC. Dockside/roving monitors must successfully complete a 4-day course provided by NMFS/NEFSC. The first days of the at-sea monitoring training will be a combined training for dockside and at-sea, if a monitor opts to apply for both certifications at once. Monitors will be provided a training certificate which will be good for 1 year, assuming there are no violations of the Standards of Conduct or data quality issues as determined by NMFS.

## **SECTION 8: Emergency Action Plan**

- *An Emergency Action Plan (EAP) describing the provider's response to an emergency with a dockside, roving, and at-sea monitors, including, but not limited to, personal injury, death, harassment, or intimidation (page I-110).*

This document should detail what actions would be taken in response to an emergency with a monitor. It should include a:

description of the type(s) of emergencies (i.e. injury, medical emergency, death at sea, intimidation, harassment, sexual harassment, assault, vessel in distress);  
what action would be taken and under what timelines;  
listing of specific names and numbers for the flow of information; and  
description of the type of support offered.

## **SECTION 9: Statement of Good Financial Standing**

- *Evidence that the company is in good financial standing (page I-110).*

To demonstrate good financial standing, submit a copy of a "Certificate of Good Standing", which can be obtained from the Secretary of State's Office in the state where your business is registered. Any legal business entity (such as Corp, Partnership, LLC, Sole Proprietor, etc.) must be registered with a state.

## **SECTION 10: Plan of Deployment and Coverage**

- *A comprehensive plan to deploy NMFS-certified dockside, roving, and/or at-sea monitors, or other at-sea monitoring mechanism, such as electronic monitoring equipment that is approved by NMFS, according to a prescribed coverage level (or level of precision for catch estimation), as specified by NMFS, including all of the necessary vessel reporting/notice requirements to facilitate such deployment, including the following requirements (page I-110).*

This section must be completed by the providers and sectors working together. For providers interested in both at-sea and dockside monitoring, both deployment plans must be described.

Interested Dockside Providers need to explain how random dockside coverage will be assigned (50% coverage is required from May 1, 2010 to April 30, 2011 (fishing year 2010) and 20% coverage for May 1, 2011 and after (fishing year 2011 onward). For an example of a Hail out / Hail in system, refer to the dockside monitoring standards available at;

<http://www.nero.noaa.gov/sfd/sectordocs/dockside%20strawman%20presentation%206-10-09.pdf>

Interested At-Sea Monitoring Providers must show documentation of how vessels will be randomly selected to meet the NMFS approved coverage specified in the Sector Operations Plan.

Vessel Selection: A formal vessel selection protocol must be developed to insure that the data collection system is representative and accurate with respect to sector fishing practices. Without a standardized, statistically-founded selection protocol, sectors will be more likely to receive biased (non-representative) data, leading to incorrect removal estimates, of limited utility to not only sector management but to regional management and stock assessment application.

Specific vessel selection protocols will depend on target coverage levels (see below) but should be proportional to expected distribution of effort within the sector, by gear, mesh category, and season/quarter. A call-in system where every nth vessel is selected has been a robust approach in the industry-funded sea scallop fishery (e.g. to achieve 30% coverage, every third vessel that calls in would be selected to carry an observer). NMFS/NEFSC will work with providers to review performance of vessel selection and deployment protocols.

All vessels must be subject to coverage. All participating vessels must be able to accommodate an at-sea monitor (i.e. must meet safety standards detailed in Attachment IV. NEFOP Pre-Trip Vessel Safety Check List and provide equal accommodations and food to that of the crew).

Monitors (at-sea and dockside/roving) should be randomly assigned to selected vessels in a fair and equitable manner.

*o A service provider must be available to industry 24 hours per day, 7 days per week, with the telephone system monitored a minimum of four times daily to ensure rapid response to industry requests.(page I-110)*

Explain how this will be done (ex. landline, cell phones, computer automated system etc., how will it differ from business hours and after hours, and weekdays versus weekends and holidays).

*o A service provider must be able to deploy dockside, roving, and/or at-sea monitors, or other approved at-sea monitoring mechanism to all ports in which service is required by this section, or a subset of ports as part of a contract with a particular sector (page I-110).*

The provider must be able to cover all ports and landing sites within a sector's range. Methods to compensate at-sea and dockside/roving monitors for time spent on travel, travel costs, and time spent in port awaiting departure of trips (at-sea) or arrival of trips

(dockside) should be described by the provider. Arrangements for meals for at-sea monitors while onboard should also be described.

Arrangements to cover shoreside travel costs associated with at-sea and dockside/roving monitor deployment and/or training should be described.

*o A service provider must assign dockside, roving, and at-sea monitors and other approved at-sea monitoring mechanisms [in a fair and equitable manner] without regard to any preference by the sector manager or representatives of vessels other than when the service is needed and the availability of approved/certified monitors and other at-sea monitoring mechanisms (page I-111).*

Provide random unbiased selection of sector trips, NMFS/NEFSC will evaluate performance and report to sector manager and provider (see below).

*o A service provider's dockside, roving, and at-sea monitor assignment must be representative of fishing activities within each sector and must be able to monitor fishing activity throughout the fishing year (page I-111).*

Explain how coverage will be representative to sector vessels' effort and gear type (ex. Call or Hail system has shown to give representative coverage).

*o A service provider must report dockside, roving, and at-sea monitors and other approved at-sea monitoring mechanism deployments to NMFS and the sector manager in a timely manner to determine whether the predetermined coverage levels are being achieved for the appropriate sector (page I-110).*

Provide updated list of sector trips, including date sailed, vessel name, gear type, and mesh category that have been assigned or given a waiver for both at sea monitors and dockside monitors. NMFS/NEFSC will evaluate performance of coverage levels and report to the sector manager and provider. It is suggested that a weekly report would be sufficient and could coincide with other weekly reporting schedules.

*o For service providers offering catch estimation or at-sea monitoring services, a service provider must be able to determine an estimate of discards for each trip, compare the estimated discard weights to reported discard weights on VTRs to utilize the most accurate source of discard data, and provide such information to the sector manager and NMFS, as appropriate and required by this section (page I-111).*

This will be accomplished with sector electronic monitoring and has been incorporated into at-sea monitoring data collection.

*• The service provider must ensure that dockside, roving, and at-sea monitors remain available to NMFS, including NMFS Office for Law Enforcement[OLE], for debriefing for at least 2 weeks following any monitored trip/offload (page I-111).*

Should a compliance or enforcement issue arise, it is important to have the monitor available for questioning, up to two-weeks following the incident. Generally, they just have to be available by phone or for an in-person interview with OLE.

## **SECTION 11: Reporting Potential Problems**

*• The service provider must report possible dockside, roving, and at-sea monitor harassment; discrimination; concerns about vessel safety or marine casualty; injury; and any information, allegations, or reports regarding dockside, roving, or at-sea monitor conflict of interest or breach of the standards of behavior to NMFS and/or the sector manager, as specified by NMFS (page I-111).*

Provider needs to explain how these problems will be reported for at-sea and dockside/roving situations.

Enforcement issues, such as trip refusals, gear tampering, intimidation, harassment, sexual harassment, interference, assault, etc. must be reported immediately to NOAA Fisheries Office for Law Enforcement and to NMFS/NEFSC within 24 hours of the incident by faxing to 508-495-2123. A standard form for reporting has been provided (Attachment V. Trip Refusal and Incident Report Form).

## **SECTION 12: Copy of Contract Information**

*• Service providers must submit to NMFS, if requested, a copy of each signed and valid contract (including all attachments, appendices, addendums, and exhibits incorporated into the contract) between the service provider and those entities requiring services (i.e. sectors and participating vessels) and between the service provider and specific dockside, roving, or at-sea monitors (page I-111).*

*• Service providers must submit to NMFS, if requested, copies of any information developed and used by the service providers distributed to vessels, such as informational pamphlets, payment notification, description of duties, etc. (page I-111).*

Providers should state that, if requested, they will provide the information within 5 business days to NMFS/NEFSC.

## **SECTION 13: Refusal to Deploy**

*• A service provider may refuse to deploy a dockside, roving, or at-sea monitor or other approved at-sea monitoring mechanism on a requesting fishing vessel for any reason including, but not limited to, the following: (page I-111)*

*o If the service provider does not have an available dockside/roving monitor prior to a vessel's intended date/time of landing, or if the service provider does not have an available at-sea monitor or other at-sea monitoring mechanism approved by NMFS within the advanced notice requirements established by the service provider (page I-111).*

A method to allow for waivers in certain instances should be detailed, i.e. under what circumstances would a trip be exempted from taking an at-sea monitor when selected to do so, how would waivers be requested, assessed, and recorded. This also needs to be reported to NMFS/NEFSC within 24 hours of the Refusal to Deploy by faxing the Trip Refusal and Incident Report Form to 508-495-2123 (see Attachment V. Trip Refusal and Incident Report Form).

*o If the service provider is not given adequate notice of vessel departure or landing from the sector manager or participating vessels, as specified by the service provider (page I-111).*

This needs to be reported to NMFS/NEFSC within 24 hours of the incident by faxing the Trip Refusal and Incident Report Form to 508-495-2123 (see Attachment V. Trip Refusal and Incident Report Form).

*o If the service provider has determined that the requesting vessel is inadequate or unsafe pursuant to the reasons described at § 600.746 (page I-111).*

Vessel Safety: The NEFOP Pre-Trip list (Attachment IV) must be completed and passed before an at-sea monitor may sail onboard a vessel. If a vessel cannot pass the checklist, the at-sea monitor cannot take the trip, and the vessel cannot fish legally. The vessel must detail any identified safety hazards to the provider and the at-sea monitor prior to sailing.

Any safety deficiencies need to be reported to NMFS/NEFSC within 24 hours of finding the safety deficiency. This can be done by completing the NEFOP Pre-Trip Vessel Safety Checklist (Attachment IV), noting the deficiency and faxing it to 508-495-2123.

*o For any other reason, including failure to pay for previous deployments of dockside, roving, or at-sea monitors other approved at-sea monitoring mechanism (page I-111).*

If a provider decides not to assign an at-sea monitor to a particular vessel, this needs to be reported to NMFS/NEFSC within 24 hours of turning down a trip, by completing a Trip Refusal and Incident Report Form (Attachment VI) and faxing it to 508-495-2123.

## **SECTION 14: Record keeping, Equipment, and Funding**

Record keeping:

- *A system to record, retain, and distribute the following information for a period specified by NMFS:*

- o Dockside, roving, and/or at-sea monitor and other approved monitoring equipment deployment levels, including the number of refusals and reasons for such refusals (page I-112).*

- o Incident/non-compliance reports (e.g., failure to offload catch) (page I-112).*

- o Hail reports, landings records, and other associated communications with vessels (page I-112).*

- *A means to protect the confidentiality and privacy of data submitted by vessels, as required by the Magnuson-Stevens Act (page I-112).*

Approved service providers will be asked to sign a standard Data Confidentiality and Access Agreement developed by NMFS/NEFSC, pursuant to section 402(b)(1)(F) of the Magnuson-Stevens Fishery Conservation and Management Act, 16 U.S.C. § 1881a(b)(1)(F).

Equipment and Funding:

- *A service provider must be able to supply dockside and at-sea monitors with sufficient safety and data-gathering equipment, as specified by NMFS (page I-112).*

#### Required At-Sea monitoring equipment

The NMFS/NEFSC plans to provide gear to the at-sea monitoring providers as funding allows. In the absence of Federal funds, the gear must be supplied by the providers. NMFS/NEFSC will inspect gear to insure at-sea monitors are supplied with adequate safety and sampling gear. This inspection will be done at the completion of training and may be periodically checked in the field.

Category	Item	Number issued
ELE	Digital Camera	1
ELE	4 GB Memory Card + Adapter	1
ELE	Otter Box for iPaq	1
ELE	HP iPaq hx2490	1
SAF	Ear plugs	2
SAF	Whistle	1
SAF	Beeswax stick	1
SAF	Light stick	1
SAF	Signal Mirror	1
SAF	Strobe Light	1
SAF	AA Lithium Battery for Strobe Light	1
SAF	PFD, USCG approved	1
SAF	Foul weather gear	1
SAF	Personal Locator Beacon/PEPIRB	1
SAF	Immersion suit, USCG approved	1
SAF	Gloves	4
REF	Marine Mammal worksheet	3
REF	Cheat sheets and Observer Manual	1
REF	Regulatory Compliance - Folder and Contents	1
REF	Seals of Atlantic Canada and the Northeastern US	1
REF	Atlantic Coast Fishes - Peterson Field Guide	1
REF	Atlantic Seashore - Peterson Field Guide	1
REF	Sea Turtle Guide	1
REF	Guide to Sharks, Tunas & Billfishes of the US Atlantic & Gulf of Mexico	1
REF	Marine Mammals & Turtles of the US Atlantic & Gulf of Mexico	1
REF	Beached Birds	1
REF	Flescher Fish Guide	1
SAM	Graphite pencils	30
SAM	Clipboard	1
SAM	Permanent Markers	5
SAM	Field diaries	10
SAM	WD-40	1
SAM	Waterproof notebook	10
SAM	5-gallon bucket	2
SAM	Solar-powered calculator	1
SAM	Bushel Baskets	2
SAM	Clicker boards for longline	1
SAM	Measuring Tape, about 50 ft	1
SAM	Measuring tape, about 10 ft	1
SAM	Calipers, 12"-16"	1
SAM	Safety knife with sheath	1
SAM	Scale, 12 lbs	3
SAM	Scale, 100 lbs	3
SAM	Fish measuring board	1
SAM	Fish board length strips	10

Required Dockside/roving monitoring equipment:

All dockside monitoring gear must be supplied by the providers (or the monitors themselves). Data-collection tools for dockside/roving monitors should include handheld computer or forms/pencils (as specified by service provider), pen, water-resistant folder or zipper bag (for collected documents), sturdy non-skid footwear, foul weather gear, regulatory compliance sheet (a copy of the regulations regarding access to dealer facilities).

## **SECTION 15: Standards for Approval/Certification of Individual At-Sea Monitors**

*For an individual to be certified as an at-sea monitor, the service provider must demonstrate that each potential monitor meets the following criteria:*

- *A high school diploma or legal equivalent (page I-112).*
- *Successful completion of all NMFS-required training and briefings before deployment (page I-112).*
- *Physical and mental capacity for carrying out the responsibilities of an at-sea monitor on board fishing vessels, pursuant to standards established by NMFS such as being certified by a physician to be physically fit to work as an at-sea monitor. The physician must understand the monitor's job and working conditions. Physical considerations include, but are not limited to the following: (page I-112)*
  - o *Susceptibility to chronic motion sickness;*
  - o *Ability to live in confined quarters;*
  - o *Ability to tolerate stress;*
  - o *Ability to lift and carry heavy objects up to 50 pounds;*
  - o *Ability to drag heavy objects up to 200 pounds; and*
  - o *Ability to climb a ladder.*
- *A current Red Cross (or equivalent) CPR/first aid certification (page I-113).*
- *Absence of fisheries-related convictions based upon a thorough background check (page I-113).*
- *Independence from fishing-related parties including, but not limited to, vessels, dealers, shipping companies, sectors, sector managers, advocacy groups, or research institutions to prevent conflicts of interest (page I-113).*

At-sea monitors, once successfully completing the training, would be certified for one year. Returning at-sea monitors with adequate data quality and performance would be required to complete a re-fresher training annually.

## **SECTION 16: Standards for Approval/Certification of Individual Dockside/Roving Monitors**

*For an individual to be certified as a dockside or roving monitor, the service provider must demonstrate that each potential monitor meets the following criteria:*

- A high school diploma or legal equivalent (page I-113).*
- Successful completion of all NMFS-required training and briefings before deployment (page I-113).*
- 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. The physician must understand the monitor's job and working conditions, including the possibility that a monitor may be required to climb a ladder to inspect fish holds and/or trucks (page I-113).*
- Absence of fisheries-related convictions based upon a thorough background check (page I-113).*
- Independence from fishing-related parties including, but not limited to, vessels, dealers, shipping companies, sectors, sector managers, advocacy groups, or research institutions to prevent conflicts of interest (page I-113).*

**Dockside monitors, once successfully completed the training, would be certified for one year. Returning dockside monitors with adequate data quality and performance would be required to complete a re-fresher training annually.**

Attachment I. Statement of Non-Conflict of Interest

**Statement of Non-Conflict of Interest**

I, the undersigned, of this document, declare under penalty of perjury, under the laws of the United States of America, that all statements contained in this application and any accompanying documents is true and correct, with full knowledge that all statements made in this application are subject to investigation and that any false or dishonest answer to any question may be grounds for denial or subsequent revocation of license and/or approval as an NMFS at-sea monitor and/or dockside/roving monitor.

The signer of this document is free from a conflict of interest as described in the following paragraph:

An at-sea and/or dockside/roving monitor provider:

- (i) Must not have a direct or indirect interest in a fishery, managed under Federal regulations, including, but not limited to vessels, dealers, shipping companies, sectors, sector managers, advocacy groups, or research institutions;
- (ii) Must assign at-sea and dockside/roving monitors without regard to any preference by representatives of vessels other than when a monitor will be deployed; and
- (iii) Must not solicit or accept, directly or indirectly, any gratuity, gift, favor, entertainment, loan, or anything of monetary value from anyone who conducts fishing or fishing related activities that are regulated by NMFS, or who has interests that may be substantially affected by the performance or nonperformance of the official duties of at-sea and/or dockside/roving providers.

We the members of \_\_\_\_\_, hereby claim, to the  
(Enter Company Name)

best of my knowledge, to be free from any conflict of interest, with regards to becoming a NMFS at-sea and/or dockside/roving monitor service.

\_\_\_\_\_  
Print Name

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

(Add additional names as necessary)

Attachment II. Statement of Non-Criminal Convictions

**Statement of Non-Criminal Convictions**

I hereby attest that no member or officer of \_\_\_\_\_ has  
(Enter Company Name)

pleaded guilty or has been found guilty of an offense against criminal or military law,  
forfeited bond or collateral, or currently have any criminal charges pending against him  
or her.

\_\_\_\_\_  
Print Name

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

(Add additional names as necessary)

Attachment III. Statement of Non-Decertification

**Statement of Non-Decertification**

I hereby attest that \_\_\_\_\_ has not undergone any  
(Enter Company Name)

decertification action in any other U.S. observer or monitoring program, nor are there currently any decertification actions being processed against

\_\_\_\_\_  
(Enter Company Name)

\_\_\_\_\_  
Print Name

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

(Add additional names as necessary)

Attachment IV. NEFOP Pre-Trip Vessel Safety Check List  
(On next 2 pages.)



\*The following is a list of examples that you should/could check while doing a vessel walk through. They are listed here to assist you in determining the relative safety of a particular vessel. The list is not comprehensive, but one that is intended to start you thinking.

- Does the vessel seem well maintained? Is it neat, clean and being maintained by a careful and prepared crew?
- Any visible hydraulic leaks?
- Is the vessel being used for the purpose it was originally designed? Have significant changes been made?
- Do obvious hazards exist? Note potentially hazardous areas/conditions. ALWAYS USE CAUTION AROUND WINCHES.
- Identify water tight doors. Can they be secured in case of severe weather or emergencies?
- Are the hatches or passageways blocked or difficult to get to?
- Does the deck gear appear to be in good working condition? Identify unsafe areas. Note overhead wires or rusted/worn shackles or blocks.
- Is the vessel long overdue for a haul out (excessive growth at waterline or hull paint in poor condition)?
- How often is the bilge pump going on?
- How is the fish hold covered? Is hatch readily available and in good condition? Are there other openings in the deck and are good hatches in place or readily available?
- Would anything prevent you from abandoning ship from the living quarters?
- What are the escape routes from every part of the vessel you might find yourself?
- Visualize egress for all possible scenarios (fire, flooding, capsized, dark, etc.) and mentally note landmarks.
- What are the most combustible items on board and where are they stored?
- Are there any exposed exhaust pipes/manifolds that might pose burn hazards?
- Is there heavy equipment on deck that is not latched down?
- Are there any exposed drive chains, pulleys or belts?
- Would you be able to access the life raft if conditions were icy or the wheelhouse was on fire?
- Wood hulls: Rust stains between planks?(may indicate weak fasteners). Protruding planks or inconsistencies in the hull? (may indicate broken frame/fasteners). Wood rot present? (if yes, likely to be worse in unseen areas).
- Are there safety issues involved with boarding?
- Is the number and size of the scuppers sufficient to be effective? Do they become plugged during fishing practices?
- Is there a station bill posted and is your role clear during all shipboard emergencies?
- Are there emergency instructions, or did the captain (or designee) give safety orientation, explaining the following: survival craft embarkation stations; survival craft assignments; fire/emergency/ abandon ship signals; procedures for rough weather; procedures for recovering man overboard; procedures for fighting fire; essential actions required of each person in an emergency?

**\*Required to conduct at least 1 of the following: 1) orientation, 2) safety instructions or 3) safety drills.**

\*The following are examples of things to consider related to the vessel design or fishing practices in determining general concerns with vessel stability.

- Note the roll period of the vessel. Generally a boat with a quick, snappy roll is more stable than a boat that has a slow or sluggish roll period. A boat that seems to hesitate on its side, before righting, could be unstable.
- Does the vessel list excessively?
- Do the fishing practices involve a pattern of towing heavy bags or dumping the catch to one side of the vessel?

<b>Comments</b>
-----------------

<b>Stability</b>
------------------

**WHEN WAS THE LAST TIME YOU CHECKED YOUR PERSONAL SAFETY EQUIPMENT?**

\_\_\_\_\_  
Observer signature

\_\_\_\_\_  
Date

