

## SECTION J

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#### GLOSSARY

<b>Briefing</b>	A returning at-sea monitor is ‘briefed’ on any changes that the program has made during their absence or as required by the program prior to being deployed.
<b>Bycatch</b>	The unintentional taking of non-targeted species that is composed of a variety of marine life – fish, mammals, turtles, and birds.
<b>Contractor’s Quality Assurance Plan (QAP)</b>	The contractor’s plan and systematic description of the activities it will perform to achieve a successful outcome and provide the quality standards the government expects in the performance of its services.
<b>Debriefing</b>	Final review process of an at-sea monitor at the conclusion of a deployment.
<b>Experienced At-Sea Monitor</b>	An at-sea monitor who has successfully completed 30 sampling days or 3 trips while serving as an at-sea monitor in the program they are currently serving in or from a similar at-sea monitor program.
<b>Fisheries Program Manager (FPM)</b>	A NMFS employee that is responsible for oversight of the at-sea monitor program.
<b>New At-Sea Monitor</b>	An at-sea monitor who has successfully completed at-sea monitor training, but has no previous at-sea monitor experience.
<b>NMFS</b>	NOAA National Marine Fisheries Service
<b>NOAA</b>	National Oceanic and Atmospheric Administration
<b>At-Sea Monitor Candidate</b>	An individual selected by the at-sea monitor contractor in accordance with the specified qualifications that will initiate appropriate training and approval to become a new at-sea monitor.
<b>At-Sea Monitor Coverage</b>	The numbers of days at-sea monitors are deployed with assigned vessels in a particular fishery multiplied by a unit of total effort in the fishery (often the number fishing days in the season or total landed catch is used) as a percentage measurement.
<b>At-Sea Monitor Program and Biological Sampling Manual</b>	These manuals are fishery specific (manuals available online at the NMFS website) and detail data collection and sampling procedures relative to that fishery.
<b>At-Sea Monitor Sea Day</b>	Any day an at-sea monitor leaves port, is out at sea, or returns to port regardless of time of day.
<b>At-Sea Monitor Training Day</b>	For the purposes of compensation, any day an at-sea monitor is engaged in training, briefing, or debriefing. At-sea monitors will be compensated for a regular 8 hour work day.

<b>Probationary At-Sea Monitor</b>	Any at-sea monitor that has not satisfactorily completed at least 30 sea days or 3 trips as determined by the specific program.
<b>Project Manager</b>	Responsible person for managing personnel resources and other items specified in this contract.
<b>Quality Assurance (QA)</b>	Quality Assurance is all the planned and systematic activities implemented within the quality system to provide confidence that the project will satisfy the relevant quality standards.
<b>Quality Assurance Surveillance Plan (QASP)</b>	Quality Assurance Surveillance Plan is the Government's process that will be used to ensure that the project will satisfy the needs for which it was undertaken. It describes the roles and responsibility and methodology used to monitor the contractor's performance in meeting the performance measures and standards under the contract.
<b>Quality Control (QC)</b>	Quality control is the monitoring of specific project results to determine if they comply with relevant quality standards, and eliminating causes of unsatisfactory results.
<b>Retained At-Sea Monitor</b>	An at-sea monitor who is employed by the current contractor, is currently working in the fishery specified in the current contract and is available and being assigned work.
<b>Sea Day</b>	Any day that an at-sea monitor is deployed on a vessel at sea (not at the dock).
<b>Training</b>	One to two week period of education for at-sea monitor candidate to become a new at-sea monitor.
<b>US Exclusive Economic Zone</b>	The waters governed seaward 3 miles out to 200 miles off the United States coast.

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#### LABOR CATEGORY CLASSIFICATIONS AND JOB DESCRIPTIONS

**1. Project Manager:**

Project Manager shall be designated as Key Personnel for this contract per Section H and shall be the focal point for communications between NFMS and the contractor. The Project Manager shall be responsible to manage personnel resources such that emergencies and other short term ad hoc requirements are responded to without disruption and/or degradation of other services. The Project Manager shall collaborate with all parties (Government and vessel owners) as necessary to resolve issues at the lowest possible level. The Project Manger shall work closely with NMFS Management Division and the Office for Law Enforcement on enforcement issues.

The Project Manager shall be responsible for all aspects of performance on individual Task Orders as well as the contract and shall have the authority to represent the contractor on all issues related to the contract.

**2. Coordinator:** The Coordinator shall oversee and manage the program by managing the day-to-day operation, generate a list of commercial vessels for observer coverage, arrange logistics of observer coverage, database management, and work with NMFS senior scientists, enforcement, Coast Guard, the commercial fishing industry and administrative personnel and staff from other NMFS divisions. The Coordinator shall also analyze data, write quarterly reports, estimate protected species mortality rates and provide other related reports as requested. The Coordinator shall also participate in training sessions and attend scientific conferences and meetings to present results of the program.

**3. Fishery Observer I (Department of Labor Recognized Observer Description):**

Performs routine tasks associated with recurring and continuing work according to prescribed or established procedural standards and technical methods assigned. Assures that tasks are completed, data developed, methods used in securing and verifying data are technically accurate and in compliance with instructions and established procedures. Makes estimates of amounts and species composition of fish caught, retained and discarded, using at a minimum, simple, single stage sampling techniques and dichotomous keys. Collects biological samples from the catch of various fisheries including but not limited to, longline, trawl, gillnet, dredge, pot, rod and reel, harpoon, seine, weir and pound net fisheries according to detailed program and gear specific procedures. According to established standards and detailed procedures, records data on appropriate forms and logs, some of which may be electronic. Maintains field equipment and supplies. Collects scientific, management, compliance information, and make observations of fishing operations. Use and complete a pre-boarding vessel safety checklist. Measures selected portions of catch including incidentally caught marine mammals, sea birds and sea turtles. May tag species of interest including sharks, tunas, sablefish, spiny lobsters, swordfish and sea turtles. Uses calculator and/or PC for

calculations and recording data. Obtains, enter and transfer data electronically. Obtains and record information on gear characteristics of fishing gear types while working either on board vessels, on an alternative platform, or at a shore-based facility. May use interpersonal and communication skills to contact fishermen and schedule observer sampling trips. May observe and document compliance with fishery regulations, and may write affidavits. May camp at remote sites and may operate All Terrain Vehicles (ATV's) and skiffs.

**4. Fishery Observer II (Department of Labor Recognized Observer Description):**

Independently executes duties, while learning when and how to resolve exceptions and special problems or to make adaptations in the procedures. Estimate amounts and species composition of fish caught, retained and discarded, utilizing knowledge of various statistically valid sampling methods and dichotomous keys. Collects biological samples from the catch of various fisheries according to detailed program and gear specific procedures. According to established standards and detailed procedures, records data on appropriate forms and logs, some of which may be electronic. Supplies in-season reports. Maintains field equipment and supplies. Uses knowledge of interpersonal and communication skills while contacting fishermen and to schedule observer sampling trips. Use and complete a pre-boarding vessel safety checklist. Collects scientific, management, compliance information, observations of fishing operations, measure selected portions of catch including incidentally caught marine mammals, sea birds and sea turtles. Participates in tagging species of interest including sharks, tunas, sablefish, spiny lobsters, swordfish and sea turtles. Uses calculator and/or PC for calculations and recording data. May enter and transfer data electronically. Obtains and record information on gear characteristics of fishing gear types while working either on board vessels, on an alternative platform, or at a shore-based facility. May observe and document compliance with fishery regulations, and may write affidavits. May camp at remote sites and may operate All Terrain Vehicles (ATV's) and skiffs. May participate in aerial surveys and surveys to provide abundance data or describe fisheries to be used in observer data analysis and program design.

**5. Fishery Observer III (Lead Observer) (Department of Labor Recognized Observer Description):**

Acts as field coordinator and primary debriefer of lower graded fishery observers. Oversees and tracks debriefing lower graded fishery observers, final data review, data editing and entry. Demonstrates extensive familiarity of methods, procedures and management to ensure proper day-to-day operations. Shifts from one type of responsible technical assignment to other types, which are different in terms of equipment used, of data used, and uses to which data will be put. Acts as primary field contact to address sampling, data, and deployment issues. Makes recommendations so as to increase the efficiency of recruiting, training, and safety components of the program. Supplies in-season reports. Independently executes duties, while learning when and how to resolve exceptions and special problems or to make adaptations in the procedures. Collects biological samples from the catch of various fisheries according to detailed program and gear specific procedures. Makes estimates of amounts and species composition of fish caught, retained and discarded, utilizing knowledge of various statistically valid sampling and sub-sampling methods and dichotomous keys. According to established standards

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and detailed procedures, records data on appropriate forms and logs, some of which may be electronic and provide recommendations for updates. Oversees the maintenance of field equipment and supplies. Uses knowledge of interpersonal and communication skills while contacting fishermen and to schedule observer sampling trips. Use and complete a pre-boarding vessel safety checklist. Collect scientific, management, compliance information, observations of fishing operations, measure selected portions of catch including incidentally caught marine mammals, sea birds and sea turtles. Participates in tagging species of interest including sharks, tunas, sablefish, spiny lobsters, swordfish and sea turtles. Use calculator and/or PC for calculations and recording data. Enters and transfers data electronically. Obtains and record information on gear characteristics of fishing gear types while working either on board vessels, on an alternative platform, or at a shore-based facility. Observes and documents compliance with fishery regulations, and write affidavits as required. Camps at remote sites and operates All Terrain Vehicles (ATV's) and skiffs as required. Participate in aerial surveys and vessel surveys to provide abundance data or describe fisheries to be used in observer data analysis and program design.

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**NOAA FISHERIES AT-SEA MONITOR ELIGIBILITY REQUIREMENTS**

NOAA Fisheries Eligibility Standards:

Introduction/Background

The National Oceanic and Atmospheric Administration's (NOAA) National Marine Fisheries Service (NOAA Fisheries) at-sea monitor programs deploy at-sea monitors to collect data required for fishery conservation and management. As at-sea monitor data are a critical and essential tool used in key management decisions, at-sea monitors must meet minimum standards to help ensure professionalism, prevent conflict of interests and promote agency credibility.

National Minimum Eligibility Standards for Marine Fisheries At-sea monitors

*Education/Experience*

Unless the Regional Administrator or Science Director has waived this requirement, at-sea monitor candidates must have: 1) a bachelor's degree from an accredited college or university with a major in one of the natural sciences and a minimum of 30 semester hours or equivalent in the biological sciences, 2) at least one undergraduate course in math or statistics; and 3) experience with data entry on computers. All relevant course work must be performed at a level acceptable for credit at the candidate's academic institution.

Regional Administrators and Science Directors may waive the education and experience requirements of this section if an at-sea monitor candidate has acquired the required skills to be considered eligible for at-sea monitor training through an authorized alternative training program. The alternate training program must include activities and functions including, but not limited to:

- a) participating in ocean fishing activities;
- b) observing ocean fishing activities;
- c) participating in fisheries research cruises;
- d) recording data on marine mammal sightings and fishing activities;
- e) tallying incidental take of marine mammals, sea turtles, and sea birds from fishing platforms;
- f) collecting biological samples and specimens from postmortem animals;
- g) entering data into a database using computers; or completion of a biological training program, equivalent to that received as part of a bachelor's degree, conducted by or approved by NMFS with the specific objective of preparing potential candidates for at-sea monitor training.



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#### 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 as a NMFS at-sea monitor candidate and/or decertification of an at-sea monitor. The signer of this document is free from a conflict of interest as described in the following paragraph.

An At-Sea Monitor:

- (i) Must not have a direct or indirect interest (financial or otherwise) in New England fisheries, managed under Federal regulations, including, but not limited to:
  - a. any ownership, mortgage holder, or other secured interest in a vessel or processor involved in the catching, taking, harvesting, or processing of fish,
  - b. any business selling supplies or services to any vessel or processor in any fishery,
  - c. any business purchasing raw or processed products from any vessel or processor in any fishery,
  - d. any groundfish sector or sector manager
  - e. advocacy groups, or
  - f. research institutions.
- (ii) Must not have any immediate family members (i.e., spouse, parent, child, or siblings) with a direct or indirect interest in New England fisheries, as defined above (a-d);
- (iii) Must perform one's duties as a at-sea monitor without regard to any preference by representatives of vessels;
- (iv) 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 an at-sea monitor; and
- (v) Must not, in any way, misuse his/her position, including, but not limited to improper use of disclosure of information, aiding in a known violation, or falsification of data or failure to report complete and accurate data.

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I \_\_\_\_\_, hereby claim, to the best of my  
(Enter Full Name)

knowledge, to be free from any conflict of interest, with regards to becoming a NMFS at-sea monitor.

\_\_\_\_\_  
(Signature)

\_\_\_\_\_  
(Date)



**UNITED STATES DEPARTMENT OF COMMERCE**  
**National Oceanic and Atmospheric Administration**  
NATIONAL MARINE FISHERIES SERVICE  
Northeast Fisheries Science Center  
166 Water Street  
Woods Hole, MA 02543-1026

## **PHYSICAL STANDARDS & ACKNOWLEDGEMENT OF RISK**

### **Physical Standards**

All At-sea monitor candidates must be certified by a physician to be physically fit to work as an at-sea monitor on a domestic commercial fishing vessel. The physician must understand the At-sea monitor's job and working conditions. Physical considerations include, but are not limited to:

1. Ability to swim 100 meters (tested during safety training)
2. Ability to tread water for three (3) minutes (tested during safety training)
3. Ability to don an immersion suit in 60 seconds or less (tested during safety training)
4. Ability to perform various water survival skills (i.e., boarding life raft, cold water skills, etc. (tested during safety training)
5. Ability to climb a ladder
6. Ability to lift and carry 50 pounds correctly
7. Susceptibility to chronic motion sickness
8. Ability to live in confined quarters

A licensed physician must certify not more than 12 months prior to the end of the At-sea monitor training that the At-sea monitor candidate is physically capable of serving as an At-sea monitor. Documentation must be provided to the program *prior* to the At-sea monitor candidate's completion of training. Any physical condition that could limit an At-sea monitor duties while at sea or ashore may be grounds for a failed medical certification. Though not limited to, some examples are: asthma, heart conditions, current pregnancy, diabetes, joint conditions, previous injuries that may affect work performance, inner ear injuries, head injuries, etc.

### **Disclosure of Existing Medical Conditions**

If there are any medical conditions that may affect your ability to perform your duties as an At-sea monitor and/or Dockside Monitor, please inform the training staff immediately and list them in the provided space below. Though not limited to, some examples are: asthma, heart conditions, current pregnancy, diabetes, joint conditions, previous injuries that may affect work performance, inner ear injuries, head injuries, etc.

List any medical conditions here OR write in 'NONE'.

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Emergency Contact Information:

**Primary Contact:** (Full Name) \_\_\_\_\_

Relationship (parent, spouse, etc.): \_\_\_\_\_

Contact Telephone Number: \_\_\_\_\_

**Secondary Contact:** (Full Name) \_\_\_\_\_

Relationship (parent, spouse, etc.): \_\_\_\_\_

Contact Telephone Number: \_\_\_\_\_

**At-sea monitor Safety Training Acknowledgement of Risk**

I, \_\_\_\_\_ (Print Name) recognize the activity in which I desire to participate involves risk of injury, which may include but are not limited to: striking objects when entering when entering water, cardiac arrest, ventricular fibrillation, inadvertent gasping and inhalation of water, sudden drowning syndrome, or drowning from other causes, hypothermia, falls from walking on slippery surfaces, and other injuries which may occur due to the use of safety and survival equipment such as distress flares, liferafts, personal floatation devices, dewatering pumps, fire extinguishers, etc.

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date



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**Attachment 7**

**AT-SEA MONITOR STANDARDS OF CONDUCT**

**Definitions**

**Conflict of Interest:** Participation in activities or relationships with other persons, resulting in the impairment or possible impairment of a person's objectivity in performing the contract work.

**Direct Financial Interest:** Any source of income to, or capital investment or other interest held by, an individual, partnership, or corporation or an individual's spouse, immediate family member or parent that could be influenced or cause to influence the performance or non-performance of duties under the contract.

**At-sea monitors:**

1. An individual is only considered a NMFS certified at-sea monitor when employed by a contractor that holds a contract with NMFS to provide at-sea monitor services and is acting within the scope of his/her employment.
2. At-sea monitors may not participate in any activity which would:
  - a. Cause a reasonable person to question the impartiality or objectivity with which the at-sea monitor program is administered
  - b. Require the at-sea monitor's disqualification from matters so central or critical to the performance of his/her duties that the at-sea monitor's ability to perform the duties would be materially impaired
  - c. Adversely affect the efficient accomplishment of the program mission
3. At-sea monitors may not have direct financial interest, other than the provision of at-sea monitor services, in a fishery, including, but not limited to, vessels or shore side facilities involved in the catching or processing of the products of the fishery, companies selling supplies or services to those vessels or shore side facilities, or companies purchasing raw or processed products from these vessels or shore side facilities. The interests of a spouse or minor child are considered those of the at-sea monitor.
4. At-sea monitors may not solicit or accept, directly or indirectly, any gratuity, gift, favor, entertainment, loan or anything of monetary value from anyone who conducts activities that are regulated by NMFS, or who has interests that may be substantially affected by the performance or nonperformance of the at-sea monitor's official duties.
5. At-sea monitors may not serve as at-sea monitors on any vessel or at any shore side facility owned or operated by a person who previously employed the at-sea monitor in any capacity.

6. At-sea monitors may not solicit or accept employment as a crew member or an employee of the vessel or shore side processor on the assigned vessel or shore side facility or in any vessel or shore side facility owned by the assigned vessel's or shore side facility's owner in any fishery that is observed by this NOAA program while assigned as an at-sea monitor to that vessel or shore side processor.
7. A person may not serve as an at-sea monitor in a fishery during the 3 consecutive months following the last day of the at-sea monitor's employment as a paid crew member or employee in that fishery.
8. At-sea monitors may not engage in an activity that may give rise to the appearance of a conflict of interest that may cause another individual to question the at-sea monitor's impartiality, fairness or judgment.

At-sea monitors must avoid any behavior that could adversely affect the confidence of the public in the integrity of the at-sea monitor program or of the government, including, but not limited to the following:

1. At-sea monitors must diligently perform their duties.
2. At-sea monitors must accurately record their sampling data, write complete reports. If the at-sea monitor chooses to report any suspected violations of regulations relevant to conservation of marine resources or their environment that they observe, it must be done honestly.
3. At-sea monitors must not disclose collected data and observations made on board the vessel or in the processing facility to any person except the owner or operator of the observed vessel or processing facility, an authorized officer or NMFS.
4. At-sea monitors must refrain from engaging in any illegal actions or any activities that would reflect negatively on their image as professional scientists, on other at-sea monitors, or the at-sea monitor program, as a whole. This includes, but is not limited to:
  - a. Engaging in excessive drinking of alcoholic beverages
  - b. Engaging in the use or distribution of illegal substances

Becoming physically or emotionally involved with vessel or processing facility personnel.

## NORTHEAST FISHERIES OBSERVER PROGRAM INCIDENT FORM INSTRUCTIONS

The Incident Form (found under "FORMS" at <http://www.nefsc.noaa.gov/femad/fsb/>) is applicable to Northeast Fisheries Observer Program (NEFOP) Observers, Industry Funded Scallop (IFS) Observers, At-Sea Monitors (ASM), and Dockside Monitors (DSM). As this form contains sensitive information it will not be publicly available **unless all sensitive information is redacted**. This form is interactive and requires Adobe Reader 9.0 (or later) software. To download the most up to date **free** version of Adobe Reader go to <http://get.adobe.com/reader/>. Please read the instructions ***before*** filling out the form to ensure all required information is included.

The Office of Law Enforcement (OLE) has provided a hotline number **(1-800-853-1964)** for the reporting of urgent/time sensitive issues that do not require immediate response and are not emergency situations. If observers/monitors have been assaulted, threatened with assault, or are in a situation that requires immediate response, they should call 911. If you have reported an incident to the OLE hotline number or 911, you are still required to complete and submit an incident report.

### ***Filling Out the Form***

Please note, this form serves as a written affidavit of the reported incident, therefore, it is **essential that the individual reporting the event complete the form**. ***No other parties (program manager, area coordinator, etc.) should complete this form on behalf of an observer, ASM, or DSM.*** All incident forms must include a ***digital signature*** and ***written signature*** to certify the report (see directions below). Each data field is specific to a particular element (e.g., vessel name, dealer number, etc.), please do not enter alternate information in the data fields. If you have additional information not listed as a data field (e.g., vessel hull number, VTR number, etc.) you would like to include, please add those details in the incident description box. **All incidents must be reported within 12 hours after the incident occurred or within 12 hours of landing, depending on which is applicable.** Please note, all incidents, including mishaps (minor sprains, strains, cuts, abrasions) and serious injuries must be reported.

### **Observer/ASM ID or Trip ID**

If the incident occurred on a trip, provide the trip ID, if the incident did not occur on a trip (trip refusal, etc.) provide your identification ID (i.e., Observer, ASM or DSM ID).

### **Position Title**

Please select your position title from the drop down list. The choices include; NEFOP Observer, Industry Funded Scallop (IFS) Observer, ASM, DSM.

### **Employer Name**

Please select your employer from the drop down list. Choices include; ***NEFOP*** (A.I.S. Inc.), ***IFS*** (A.I.S. Inc., East West Technical Services, Fathoms Research), ***ASM*** (A.I.S. Inc., East West Technical Services, MRAG Americas), and ***DSM*** (A.I.S. Inc., Atlantic Catch Data Ltd., MRAG Americas).

### **Incident Type**

Please select the type of incident from the drop down list. Several of the options are ***only applicable to certain positions*** (i.e., NEFOP, IFS, ASM, DSM), please be sure you are selecting the correct incident type for your position. The choices include; Refusal, Safety Deficiency (***ASM, IFS, and NEFOP only***), Unsafe Vessel Operation, Harassment, Interference, Intimidation, Gear Tampering/Theft, Assault, Discard of Legal Sized Groundfish (***Sector Trips only***), Unmonitored Product (***DSMs only***), Failure to Fully Account for Catch on Dealer Report (***DSMs only***), Not Provided Sufficient Notice of an Offload (***DSMs only***), Concerns about Safety (***Operational Logistics***), Description of any Injuries (***Operational Logistics***), Captain did not Show to Vessel at Arranged Time (***Operational Logistics***), Difficulty in Setting up Trip (***Operational Logistics***), Other.

### **Digital Signature**

When you click on the digital signature box in the lower left hand corner you will be prompted to "Sign Document" (digital signature previously created, click "sign" button) or "Add Digital ID" (no digital signature created). If you are prompted to "Add Digital ID," click on the "A new digital ID I want to create now" button and then follow the steps. A box will pop up and provide you with two choices ("New PKCS#12 digital ID file" or "Windows Certificate Store") to create a digital signature. Either choice should work. After you have selected a digital signature option, you will be prompted to enter your identity information (name, organization unit, email address, etc.). Fill in the information (keep the defaults) and click "Next." You will now be prompted to set your password and you will then be ready to "sign" the form.

### *Saving the Form*

After completing the form with all the required information, you must save the form to your computer, in order to email it. If you are **not** working on your own computer **you should delete the file from the directory and trash folder (after you have verified that the form was emailed)**. To save the file in Adobe Acrobat select "File" and then "Save As" (or Shift+Ctrl+S), and rename the file to a directory. Name the file so as to include your position type, last name, and the date (month, two-digit day, and four digit year) of the incident. Examples of the naming convention are included below.

**Incident\_Report\_NEFOP\_Smith\_Oct012010**  
**Incident\_Report\_DSM\_Smith\_May152010**

### *Emailing the Form*

After you have completed the form and added your digital signature you will need to email the form as a PDF attachment. Open up your internet email account, add the saved PDF form as an attachment, and send it to the email address listed below. **Report recipients are dependent upon your position and/or incident type, hence, it is very important you use the correct email distribution address.** Please remember to **capitalize** the "NEFSC" portion of each email group and copy your program manager when emailing the form. **Do not copy other staff outside of the distribution email list or your program manager.** Please include the **new form name** (see above "Saving the Form" for instructions on naming convention) in the subject line of your email. Please see the "positions" and associated email address below.

#### **NEFOP Observers:**

**NEFSC.nefopincident@noaa.gov**

*\*Program Manager is included in the NEFOP email distribution list only*

#### **Industry Funded Scallop (IFS) Observers:**

**NEFSC.scallopincident@noaa.gov** *Copy*  
*Program Manager*

#### **At-Sea Monitors (ASM):**

**NEFSC.asmincident@noaa.gov**  
*Copy Program Manager*

#### **Dockside Monitors (DSM):**

**NEFSC.dsmincident@noaa.gov**  
*Copy Program Manager*

#### **Operational Logistics:**

**NEFSC.operationalincident@noaa.gov**  
*Copy Program Manager*

### *Mailing the Form*

A hard copy of the form with your **written signature is required along with the electronic version you email.** Print out the form, sign it (in the box next to your digital signature), and mail it to the address below. Your **written signature is a requirement.** please be sure to sign the form prior to mailing. If you do not have a printer, refer to your regulatory compliance folder for printed copies. Please use the pre-stamped, pre-labelled envelopes provided to you when mailing completed forms. Hard copies of the Incident Form should be mailed **within 24 hours** from the email submission of the electronic form.

**Fisheries Sampling Branch  
National Marine Fisheries Service  
25 Bernard Saint Jean Drive  
East Falmouth, MA 02536-4420  
ATTN: Branch Chief**

If you have any questions about this form, please contact Sara Weeks (508) 495-2227 or Amy Van Atten (508) 495-2266.

# INCIDENT REPORT

Name Last, First	<input type="text"/>	Home Address & Phone Number	<input type="text"/>
Observer/ASM ID or Trip ID	<input type="text"/>	Position Title	<input type="text"/>
Incident Location (Port, Town, State)	<input type="text"/>	Incident Date	<input type="text"/>
Vessel Name	<input type="text"/>	Vessel Permit Number	<input type="text"/>
Dealer Name	<input type="text"/>	Dealer Number	<input type="text"/>
Employer Name	<input type="text"/>	Names of Persons Involved	<input type="text"/>
Incident Type	<input type="text"/>		

\*\*\*For a list of Incident Types, please use drop down list or see instructions "Filling out the Form" above

Provide a description of the incident with as much detail as possible. Include date, location, time, persons involved, exact quotes/statements, and other pertinent information.

I declare under penalty of perjury that the foregoing is true and correct.

Signature

Date



UNITED STATES DEPARTMENT OF COMMERCE  
National Oceanic and Atmospheric Administration  
NATIONAL MARINE FISHERIES SERVICE  
Northeast Fisheries Science Center  
166 Water Street  
Woods Hole, MA 02543-1026

Jan. 01, 2011

MEMORANDUM FOR: At-sea monitors  
FROM: Amy Van Atten  
Branch Chief, FSB  
SUBJECT: Species Identification Verification Program

It is extremely important for data quality to ensure monitors are correctly identifying fish. The Northeast Fisheries Observer Program (NEFOP) requires all monitors to comply with this verification process so that we can ensure data accuracy and maintain the integrity of the program.

To complete your obligations, please follow these steps:

1. Check the species list table below.
2. If the species listed has not yet been sent in for verification, send it at the first available time.
3. Store the specimen in a Ziploc bag accompanied with a waterproof tag. The tag should have your observer ID, trip number and extension, as well as the haul number and species name.
4. Record the species on your Haul Log as fish disposition code 007 ("No market, but retained by observer for science purposes").
5. Freeze the samples solid prior to shipping. Ship samples as a priority in a cooler, with coldpack, at the same time as your trip data (don't send on Friday or over the weekend).
6. Please send in the actual fish or photographs listed below. **All Fish nk's should be photographed and sent in if possible.**

The first time you encounter a species listed in the table below, you should either be saving a specimen to send in or taking pictures if appropriate. We may also notify you that you have been selected to contribute fish on certain trips.

**Monitors are required to send in the 20 species listed below every 3 months. This is a program requirement. Failure to satisfy this requirement will result in additional testing and possible probationary status.**

Confirmation of species sent in will be emailed to you bi-weekly, indicating both correct and incorrect identifications. Notifications of incorrectly identified species will be sent out immediately and monitors should resend fish the next time they encounter them. We appreciate your cooperation with the Species Identification Verification Program. There are many species you will come across, some may be extremely rare and we will make full use of the samples to train monitors during certification classes and refresher debriefings. We understand how much work you have to do, however the program considers this an integral part of your job. If you have any questions about the program, please don't hesitate to call Kevin Meyer at 508-495-2005, or email [kmeyer@mercury.wh.who.edu](mailto:kmeyer@mercury.wh.who.edu), or Pete Canavin at 508-495-2388, or email [pcanavin@mercury.wh.who.edu](mailto:pcanavin@mercury.wh.who.edu).



Please send in actual specimens or photographs of the following species.

	Photo 1	Photo 2	Photo 3
<b>Misc.</b>			
Redfish	whole animal (side shot)	inside of mouth	
<b>Gadids</b>			
Cod	whole animal (side shot)		
Haddock	whole animal (side shot)		
Pollock	whole animal (side shot)		
Red Hake	whole animal (side shot)	pelvic and dorsal filiments	rakers above the flexion point
White Hake	whole animal (side shot)	pelvic and dorsal filiments	rakers above the flexion point
Silver Hake	whole animal (side shot)	rakers on first gill arch	
<b>Skates</b>			
Little	whole animal (Top of disk)	closeup of rough/smooth patch or claspers	
Winter	whole animal (Top of disk)	closeup of rough/smooth patch or claspers	
<b>Flunders</b>			
Am. Plaice	whole animal (eyed side)		
Sand Dab	whole animal (eyed side)		
Summer	whole animal (eyed side)		
Winter	whole animal (eyed side)	close-up of lateral line	
Witch	whole animal (eyed side)	whole animal (blind side)	
Yellowtail	whole animal (eyed side)	close-up of lateral line	
<b>Herrings</b>			
Alewife	whole animal (side shot)	gut lining	
Blueback	whole animal (side shot)	gut lining	
Am. Shad	whole animal (side shot)	rakers on first gill arch	
Hickory Shad	whole animal (side shot)	rakers on first gill arch	
Atl. Herring	whole animal (side shot)		

\*\*\*Bag, tag, and send in all Fish NK's along with photographs of the specimen.\*\*\*  
 \*\*\*Make sure to include something in each picture for scale.\*\*\*



### Northeast Fisheries Observer Program List of Available Freezers

State	Freezer Location	Hours	Size	Issues	Contacts	Status
MA	NMFS Port Office 29C Stage Harbor Rd. Chatham, MA	9-3 M-F	Stand-up fridge size	No whole animals; she's the only person in office	Lorraine Spenle Port Agent (508) 945-5961	OK to freeze - call first
MA	UMass Boston McCormack Building Third floor same hallway as Room 308 100 Morrissey Blvd Boston, MA	9-5 M-F possibly on weekends	Walk-in	Can store whole animals	Mike Shiaris (617) 287-6675	OK to freeze
MA	NMFS Port Office 11-15 Parker St. Room 211 Gloucester, MA (near state fish pier)	9-5 M-F	Stand-up fridge size	No whole animals	Caleb Gilbert Port Agent (508) 281-9363	OK to freeze - call first
MA	DMF Annisquam River 30 Emerson Ave. Gloucester, MA	9-5 M-F	Walk-in	In locked facility - No whole animals, body parts ok	Matt Ayer 978-282-0308 ext. 107 Cell: 603-591-7468	OK to freeze - call first
MA	Bergies Seafood Inc. 8 Hassey St. New Bedford, MA	Flexible hours	Loads of space	Any samples OK	Mark Bergeron (508) 999-4447	OK to freeze - call first
MA	Whaling City Display Auction 62 Hassey St. New Bedford, MA	Flexible hours	Loads of space	Any samples OK	Kevin Ferreira 24 hour line: (508) 990-0799 (508) 328-7673	OK to freeze - call first
ME	University of New England Marine Animal Rehab Facility 11 Hills Beach Road Biddeford, ME	24 hours a day	Large freezer	Can store small to medium whole animals	Keith Matassa Kristin Patchett 24 hour line (800) 532-9551	Ok to freeze - call first
NH	Yankee Fish CO-OP Rt. 1A Ocean Blvd. Seabrook, NH	Summer 7-7 Winter less flexible	Chest freezer About 4 ft long x 3 ft deep	Can store small whole animals	Bob Cambell (603) 474-9850	OK to freeze - call first
RI	Univ. of Rhode Island East Farm/Building 83 Rt. 108 Kingston, RI	Flexible hours	Walk-in	Can store whole animals	Barbara Somers (401) 874-2012	OK to freeze - call first
RI	NMFS Port Office 83 State St. Point Judith, RI (Next to RI Engine Co.)	8-4:30 M-F	Medium chest about 4.5 ft wide x 2.5 ft deep	New building, must be dry and clean NO whole animals	Walter Anoushian Port Agent (401) 783-7797	OK to freeze small samples - call first
NC	UNC Wilmington 601 South College Road Willmington, NC	Flexible hours	Small chest	NO whole animals	Bill McLellan (910) 962-7266	OK to freeze - call first
NC	NMFS Beaufort Lab 101 Pivers Island Beaufort, NC	9-5 call office; after hours use pager -anytime	Large walk-in	Whole animals OK	Rachel Lo Piccolo (252) 728-8672 Pager: (252) 444-8064	OK to freeze - call first
NC	Chealsea Doepp (AIS) 3284 Broadwater Rd. Exmore, VA	Flexible hours	Chest freezer About 5.5 ft long	Small whole animals	Chelsea Doepp 774-276-0617	OK to freeze - call first
NJ	NMFS Port Office 1382 Lafayette St. Cape May, NJ (next to Century 21 building)	8:30-4:30 M-F	Small freezer 5 x 2.5 ft	Small samples	Chris Petruccelli (609) 884-2113	OK to freeze - call first
NJ	Jenkinson's Aquarium 300 Ocean Ave Point Pleasant NJ	Winter 9:30-5 M-F 10-5 Sat-Sun Summer 10-10 all week After hours use available	Small Chest freezer	Whole animals and samples ok Small seals and turtles only	Office hours: Cindy Claus or Linelle Smith (732) 899-1659 After hours pagers: Cindy (732)-288-4075, Linelle (732) 929-7657	Ok to Freeze - call first ALWAYS.
NY	Riverhead Foundation 428 E. Main St. Riverhead, NY	Flexible after hours	12 ft x12 ft	Large whole animals OK	Rob DiGiovanni / Kim Durham (631) 369-9840 ext. 23	OK to freeze - call first
VA	NMFS Port Office 1026F Settlers Landing Road Hampton, VA (Across from Hampton Univ.)	8-5 M-F	Medium chest about 3-4 ft wide x 2.5 ft deep	Small samples NO whole animals	David Ulmer Port agent (757) 723-3369	OK to freeze - call first
VA	VIMS Eastern Shore Lab 10 Atlantic Avenue Wachapreague, VA	8-4:30 M-F	Small chest 2x3x4 ft	No whole animals	Mark Luckenbach (757) 787-5816	OK to freeze - call first
VA	Virginia Marine Science Museum 717 General Booth Blvd. Virginia Beach, VA	24 hour pager	Large freezers	whole animals OK	Sue Barco (757) 437-6364 (757)-437-6159	OK to freeze - call first
VA	AIS Area Coordinator Chelsea DoEpp 3284 Broadwater Rd. Exmore, VA 23350	24 hour pager	Small chest 2x3x4 ft	Small samples	Chelsea DoEpp 774-276-0617	OK to freeze - call first
VA	Virginia Institute of Marine Science (VIMS) Rt. 1208 Greate Road Gloucester Point, VA	Business hours	Small space available	EMERGENCY basis only - small samples	Jack Musick (804) 684-7000 (general phone)	Emergency only

**PROCEDURES FOR ALL EXITING NEFOP OBSERVERS/AT-SEA MONITORS**

Observer's/Monitor's Name: \_\_\_\_\_ Date: \_\_\_\_\_

1. Observer/Monitor notifies Contractor.
2. Contractor sets exit debriefing date, allowing ample time to receive and review any outstanding trips/samples.
3. Contractor notifies appropriate NMFS staff of exit debriefing date.
4. Observer/Monitor comes to the Tech Park with ALL of their NMFS/CONTRACTOR issued equipment, manuals, guides, sampling notebooks and field diaries.
5. Observer/Monitor hand carries this check sheet to each of the individuals listed below. Once completed he/she delivers it to the Contractor.
6. Observer/Monitor completes all of Contractor's requirements.
7. Once Contractor representative is satisfied he/she notifies Contractor to cut final check.

INDIVIDUAL	RESPONSIBILITIES	INITIALS	DATE	COMMENTS
EDITOR LEAD	All trips and fish samples accounting. Outstanding questions/concerns addressed.			
INCIDENTAL TAKE LEAD	Cameras and photos accounted for. Incidental Take questions addressed. Digital Camera returned. Turtle kit and tags returned.			
GEAR LEAD/ CONTRACTOR	Collect all NMFS issued equipment with the exception of the iPAQ and camera.			
AREA LEAD	Exit interview.			
ENFORCEMENT AGENT	Enforcement related issues.			
ADMIN LEAD	Government ID turned in.			
DATA ARCHIVE LEAD	iPAQ returned and checked-in.			
COTR	Exit check sheet completed. Final paper work completed. Forwarding or contact address/phone # on file.			

## **NORTHEAST FISHERIES AT-SEA MONITOR** **TRAINING STANDARDS**

This document outlines various physical and performance standards that all trainees and Fisheries At-sea monitors are expected to meet:

### **I Training Attendance and Conduct Standards**

1. Attend all training classes and activities and be on time for all sessions, not missing any sessions without prior approval.
2. Participate in discussions and exercises and be alert during training sessions.
3. Complete homework and readings.
4. Communicate with trainers, staff and classmates in a professional manner.
5. Not take part in illegal activities. Not attend any training session under the influence of drugs or alcohol.
6. Follow all rules established by the training program.
7. Interact safely and professionally, especially during at-sea and safety training.
8. Any At-sea monitor, or At-sea monitor Trainee, involved in data falsification shall be removed from NEFOP. Falsification is defined as: *The act of deliberately or knowingly fabricating data collected during observed fishing trips, this includes intentional recording of inaccurate data, intentional omission or deletion of data, intentional plagiarism, or, in general, the selective alteration of data.*
9. Wear a seatbelt whenever a driver or passenger in a government or personal vehicle.
10. Submit a signed copy of these STANDARDS the first day of training.

### **Training Performance Standards**

1. Pass with a score of at least 85%:
  - Incidental Take Exam,
  - Fish ID Closed Book Lab Practical
  - Fish ID Open Book Lab Practical
  - Safety Exam
2. Receive an overall grade of at least 85%:
  - Exam 1: 15%,
  - Exam 2: 15%,
  - Safety Exam: 5%,
  - Incidental Take Exam: 20%,
  - Fish ID Practical: 20%,
  - Fish ID Assessment 5%,
  - Homework/Quizzes/Training Trips: 15%,
  - Performance, attitude and participation: 5%.
3. Turn in all homework legible and **on time**
  - 50% is subtracted for late assignments
  - *NO* credit is given for assignments > 24 hrs. past due, but must be handed in.
4. Successfully complete all training trip, session, and workshop requirements.
5. Possess current Red Cross CPR and First Aid certification prior to at-sea monitor training.

6. Pass Safety Practical

**IV General Standards of Conduct**

Fisheries At-sea monitors work in a self-supervised capacity and must maintain high standards of conduct and are required to adhere to the following standards of conduct at all times:

1. Maintain a professional and objective demeanor at all times.
2. Be able to work independently, while following technical instructions.
3. Be able to collect and record data in an unbiased manner.
4. Have never been decertified as an at-sea monitor, or an at-sea monitor due to problems with data quality or standards of conduct, in any NMFS at-sea monitor program. References of previous employment as NMFS at-sea monitors or at-sea monitors shall be verified by the contractor as qualifying for this requirement.
5. As stated previously, a Fisheries At-sea monitor or trainee involved in falsification of data shall be removed from the NEFOP At-sea monitor Program.

Falsification of Data is defined as: *The act of deliberate or knowing fabrication data collected during observed fishing trips, this includes intentional recording of inaccurate data, intentional omission or deletion of data, intentional plagiarism, or, in general, the selective alteration of data.*

## SECURITY BACKGROUND INSTRUCTIONS

Congratulations on being selected for a Contracted Position with the Northeast Fisheries At-sea monitor Program. In order to fulfill the mandatory security background check requirement of your position, below are the instructions and forms you will need to complete prior *to arrival* for duty. It may be helpful for you to take a few minutes and read the following website which explains the process and importance of a complete security background check:  
<http://www.opm.gov/extra/investigate/QABackground.asp>.

These instructions require you to have access to a computer, printer, and internet. If you do not have access to these, please contact your Enrollment Official (Mary Woodruff) for alternative arrangements.

All information will be kept CONFIDENTIAL and only key security personnel will have access to your record. It is recommended that you make copies of your security documents for your own records. You may use our copiers available on our site. All original security documents will be forwarded to our NOAA Security Office for retention. Due to the confidentiality of the information in these documents, we do not retain record copies at our facility.

Again, congratulations, and we look forward to meeting you when you arrive.

If you have any questions or need additional assistance, please contact your Enrollment Official listed below.

**Enrollment Office**  
**Mary J. Romero**  
**Northeast Fisheries At-sea monitor Program**  
**Administrative Assistant**  
**25 Bernard Saint Jean Drive**  
**E. Falmouth, MA 02536**  
**(508) 495-2307**  
[Mary.Romero@noaa.gov](mailto:Mary.Romero@noaa.gov)

Please follow the step by step instructions carefully. If you have questions regarding the instructions please call Mary Romero.

### **1. COMPLETE e-QIP SUBMISSION REQUEST FORM**

***On site staff: DUE - ONE (1) WEEK before reporting for duty. At-sea monitor and Monitor Trainees: DUE - First day of training.***

*NOTE: If you are a Foreign National without a US Social Security Number, this step is not required.*

Please call your Enrollment Official with the following information ready.  
Do NOT email and or fax this information as it contains PII sensitive information and may be compromised if sent electronically.

Full Name (First, Middle, Last), Date of Birth  
Place of Birth (City, State), SSN#  
Email Address, Telephone Number

Once received, your Enrollment Official will complete the above submission request form, and will be used to create a user account to our e-QIP (Electronic Questionnaire for Investigations Processing), which is our online form used for your background history. You will be receiving an email from [Christine.M.Coventry@noaa.gov](mailto:Christine.M.Coventry@noaa.gov), our NOAA Security Officer, with additional instructions once she creates the account for you. Please note that once the user account is created, you will only have one week to complete before it is locked out for security purposes. If you need your account unlocked please contact your Enrollment Official.

**2. COMPLETE ONLINE e-QIP RECORD BEFORE YOU REPORT FOR TRAINING**  
***On site staff: DUE - ONE (1) WEEK before reporting for duty. At-sea monitor and Monitor Trainees: DUE - First day of training.***

*Note: Foreign National Contractors without a SSN will need to complete Form 85 INSTEAD of the e-QIP (please see step 7). However, tThe Form 85 requires the same information as the e-QIP record, so please read below before proceeding for additional instructions.*

*Note: Before completing your e-QIP record, it may be helpful for you to use Form 85 (please see step 7) as a tool to organize your information so all the required information is organized and ready for input into your e-QIP record. However, Form 85 will NOT be accepted in lieu of the e-QIP.*

The direct link to the e-QIP site is: <http://main.opm.gov/e-QIP/>

Once your EQIP SUBMISSION REQUEST FORM is received, Christine Coventry will create a online account for you to complete your e-QIP (Electronic Questionnaire for Investigations Processing)

The time needed to complete this form will vary with each individual as you will be required to provide a complete history of employment, residency, and education for the past five years. Please allow yourself ample time to complete the form as it may take you several hours.

It is very important to read and follow the instructions provided exactly.

Your Enrollment Official will review all the forms, and if needed, will contact you during your training so you may make the necessary corrections.

***Please note that until your security documents are complete and submitted you ARE NOT approved for duty. Missing information on the forms will deem the package incomplete.***

The most common mistakes are:

- Missing information such as zip codes, phone numbers, and full name of supervisors (i.e.,

not just "TONY"...but need Tony Smith)

- Missing periods of time in employment and/or residence history (entire 5 year period must be reported with no breaks in time. Unemployment is reported).
- 

Street address not complete (i.e., "Main Street"...should have a house #..."100 Main Street)

Selective Service registration information missing - this may be found online at [www.sss.gov](http://www.sss.gov) with just the SSN and birth date

For schools/colleges...when asked for a street address, please use the Administration Building's address

Blank answers. Do not leave any answer blank, rather state "N/A" or "None"

**Do not select "I do not know" on the e-QIP record.** You MUST answer every question or provide a VERY STRONG explanation as to why the information can not be provided.

With the internet, and a few phone calls, very little can not be found out without a little bit of time

***Upon completion of your online e-QIP please PRINT the entire questionnaire, along with the two signature pages generated at the end.***

***Sign both pages, and submit to your Enrollment Official.***

*Before completing your e-QIP record, it may be helpful for you to use Form 85 (please see step 7) as a tool to organize your information so all the required information is organized and ready for input into your e-QIP record. However, Form 85 will NOT be accepted in lieu of the e-QIP unless you are a Foreign National without a US Social Security Number.*

### **3. COMPLETE FORM 306 DECLARATION FOR FEDERAL EMPLOYMENT**

***On site staff: DUE - ONE (1) WEEK before reporting for duty. At-sea monitor and Monitor Trainees: DUE - First day of training.***

[fillable 306.pdf](#)

This form requires you to report your history for sensitive information (i.e., arrest record, parole, convictions).

It is important to disclose this information honestly and truthfully. If in doubt, it is better to report the incident rather than omit it.

### **4. COMPLETED SECURITY WORKSHEET**

***On site staff: DUE - ONE (1) WEEK before reporting for duty. At-sea monitor and Monitor Trainees: DUE - First day of training.***

[Security Coversheet.pdf](#)

**5. BRING TWO ORIGINAL FORMS OF IDENTIFICATION** ***On site staff: DUE - ONE (1) WEEK before reporting for duty. At-sea monitor and Monitor Trainees: DUE - First***

***day of training.***

Please bring at least TWO (2) original forms of identification with you when you report. One of these must be a State or Federal issued photo id. You will be asked to provide these to confirm your identification when you are fingerprinted. Examples of acceptable IDs are listed on the following document:

**6. FINGERPRINTING / PHOTO**

***On site staff: DUE - ONE (1) WEEK before reporting for duty. Please call Mary Romero at (508) 495-2307 for appointment.***

***At-sea monitor and Monitor Trainees: Will be conducted during training.***

You will be scheduled for a appointment to be fingerprinted and photographed by Security Staff onsite at the Northeast Fisheries At-sea monitor Program.

Please note Fingerprinting appointments may be scheduled on a weekend.

**7. FOREIGN NATIONAL CONTRACTORS**

***On site staff: DUE - ONE (1) WEEK before reporting for duty. At-sea monitor and Monitor Trainees: DUE - First day of training.***

If you do NOT have a US Social Security Number, you will need to COMPLETE Form 85 instead of the e-QIP.

[Form 85 - Questionnaire for Non-Sensitive Positions](#)

ALL Foreign Nationals are required to complete:

[Appendix C: Certification of Conditions and Responsibilities for a Foreign National Guest](#)

**8. CHECKLIST**

Please use the below checklist to ensure you have all required security forms and documents ready to submit to your Enrollment Official on your first day of training:

e-QIP Questionnaire - printed archive hard copy for review (or form SF85 for Foreign Nationals)

e-QIP Questionnaire - two (2) original signature pages generated at the end of the application (Not required for Foreign Nationals)

Form 306 •

Security Coversheet

Two forms of ID •