

PIROBS3.09E – Monitor and apply chain of custody processes and procedures

Functional area **Observer operations**

Prerequisites **None required**

Descriptor

This unit of competency requires the observer to assist in tracing the movement of fish caught by a vessel from initial capture to discharge so as to determine its eligibility to meet chain of custody processes specified by agencies to meet their certification requirements. The observer must monitor and make judgements that the chain of custody process undertaken by a vessel meets the relevant compliance criteria and record that process for the certifying agency.

Elements

Performance criteria

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| 1. Confirm that all necessary preliminary procedures have been completed to meet any specific chain of custody requirements for a trip | <p>1.1 Check that a vessel on a chain of custody trip is on the chain of custody certifying agency's list of vessels eligible to undertake the chain of custody trip</p> <p>1.2 Ensure that the vessel has been issued a relevant identifying symbol, such as a trip number, by the chain of custody issuing agency to be eligible to undertake a chain of custody trip</p> <p>1.3 Confirm that the vessel's captain and crew have undertaken any applicable necessary training required by a chain of custody certifying agency to undertake a chain of custody trip</p> <p>1.4 Confirm that the observer has undertaken the necessary training to monitor a chain of custody trip</p> |
| 2. Identify and monitor the catch aboard a chain of custody eligible vessel that requires chain of custody monitoring | <p>2.1 Confirm and record that the skipper has identified the relevant chain of custody catch</p> <p>2.2 Verify that the catch meets all the requirements to be eligible as for chain of custody monitoring</p> <p>2.3 Estimate the amounts by species in the catch that is eligible for chain of custody monitoring</p> <p>2.4 Confirm that chain of custody catch is kept separate from non chain of custody catch according to the requirements of a particular chain of custody certifying agency</p> <p>2.5 Count and/or estimate and record on the appropriate form or forms the amount of chain of custody monitored catch, where on board that it is stored and any information required to demonstrate that the storage area is eligible to take the chain of custody monitored fish, if appropriate</p> |
| 3. Monitor the storage of chain of custody fish on board the catching vessel | <p>3.1 Confirm storage areas are either empty or contain only similar eligible chain of custody monitored fish and maintain accurate records of well eligibility to contain that chain of custody monitored fish</p> <p>3.2 Check that the wells containing chain of custody monitored fish are closed and are labelled appropriately according to any certifying agency's protocols to indicate the wells contain only chain of custody monitored fish</p> |

- 3.3 Ensure that any transfer of fish requiring chain of custody monitoring from one well to another well is supervised by the observer to guarantee that no mixing of chain of custody monitored fish and non chain of custody monitored fish takes place according to the certifying agency's requirements
 - 3.4 Record any transfer of chain of custody monitored fish from one well to another well and check and record that the wells involved in any transfer are reclosed and labelled correctly
- 4. Monitor the discharge of chain of custody monitored catch from the catching vessel**
- 4.1 Confirm who the certifying agency has appointed as responsible for monitoring the discharge of the catch and if a port controller or agent has been appointed undertake a changeover according to the certifying agency's protocols, ensuring all relevant chain of custody records are transferred
 - 4.2 Check that the carrier vessel or shore facility accepting the fish is on the certifying agency's eligibility list to undertake a relevant chain of custody operation
 - 4.2 Ensure (if relevant) that the carrier vessel eligible to take the chain of custody monitored fish has been issued an identifying symbol such as a trip number by the certifying agency to be eligible to undertake a chain of custody transportation trip
 - 4.3 Confirm (if relevant) that the carrier vessel's captain and crew have undertaken the necessary training required by the certifying agency to undertake a chain of custody transportation trip
 - 4.4 Verify (if relevant) that wells on the carrier vessel that contain a mix of chain of custody monitored and non chain of custody monitored fish separate the two types of fish according to the certifying agency's protocols
 - 4.5 Verify (if relevant) that wells on the carrier vessel that contain chain of custody monitored fish from different catching vessels separate each vessel's fish according to the certifying agency's protocols
 - 4.6 Record all activities in the discharge of fish to ensure that chain of custody compliance requirements are met
- 5. Apply all procedures required at the completion of the chain of custody observer monitoring process**
- 5.1 Verify (if relevant) that on acceptance at the cold store destination there is no mixing of chain of custody monitored fish and non chain of custody monitored fish, that eligible chain of custody monitored fish is graded, weighed and recorded and that other species are weighed and recorded according to the certifying agency's protocols
 - 5.2 Provide all documentation to the appropriate authority that determines if eligibility for issue of a document confirming that the chain of custody monitored fish meet the requirements of the certifying agency's chain of custody process

Evidence guide

Each unit of competency has an evidence guide that relates directly to the performance criteria. Its purpose is to guide assessment of the unit in the workplace and/or training program. The following components provide information to assist this purpose. They may need to be tailored to meet specific chain of custody certifying agency requirements.

Required knowledge

The essential knowledge and understanding a person needs to perform work to the required standard include:

- General knowledge of chain of custody principles
- Familiarity with PIRFO observer forms and duties used in the region
- Understanding of agencies that issue chain of custody compliance certificates in the region and the processes and procedures required to attain certification

Required skills

The essential skills a person needs to perform work to the required standard include:

- Confirming vessel's eligibility to undertake a chain of custody trip
- Verifying compliant chain of custody catch
- Estimating amount of catch and checking samples by size and species to confirm the fish are consistent with chain of custody requirements
- Verifying wells or other chain of custody monitored catch compliant storage contain chain of custody monitored catch according to certifying agency protocols and that the storage is appropriately identified and labelled
- Completing all documentation required to meet chain of custody compliance

Literacy skills used for:

- Interpreting documentation used to verify chain of custody processes
- Accurate and legible completion of data and information required in chain of custody documentation

Numeracy skills used for:

- Validating data relating to chain of custody
- Calculations

Critical aspects of competence

Assessment must confirm the ability to:

- Verify and confirm all aspects of a compliant chain of custody trip are met
- Accurately record all necessary information according to the certifying agency's chain of custody protocols

Assessment must confirm knowledge of:

- Chain of custody principles
- Chain of custody processes and procedures relevant to requirements of certifying agency's operating in the region

Context of assessment

Ideally, assessment would be undertaken in the workplace during a chain of custody trip but practicalities are likely to prevent that taking place. Assessment should therefore be conducted so as to replicate as closely as possible the process an observer will be required to verify on board a vessel and include use of the documentation in the assessment that the observer will have to complete for the certifying agency.

If possible, further feedback from the certifying agency and observer coordinator and scrutiny of material produced on a chain of custody trip undertaken by the candidate after training and assessment should be analysed.

Method of assessment

The following assessment methods are suggested:

- Observation of the candidate while conducting a real or simulated chain of custody process
- Written or oral short answer questions to assess underpinning knowledge
- Practical exercises involving the observation of the candidate verifying simulated chain of custody processes
- Examples of records, reports and other documentation completed by the candidate
- Third-party reports, including reports from observer programme coordinators, observer programme trainers and personnel from the chain of custody certifying agency.

Interdependent assessment of units

This unit can be assessed in conjunction with other units relating to observer operations

Resources required for assessment

Resources may include:

- Videos of sets, loading and storage of captured fish aboard the vessel to assist the candidate in identifying compliant operations
- Documentation required by certifying agencies in the region to meet chain of custody compliance
- Observation checklists, oral and written questions with model answers feedback and evaluation templates