

NOTICE OF OFFICE OF MANAGEMENT AND BUDGET ACTION

Date 11/22/2006

Department of Commerce
National Oceanic and Atmospheric Administration
FOR CERTIFYING OFFICIAL: Barry West
FOR CLEARANCE OFFICER: Diana Hynek

In accordance with the Paperwork Reduction Act, OMB has taken action on your request received 11/22/2006

ACTION REQUESTED: Revision of a currently approved collection
TYPE OF REVIEW REQUESTED: Regular
ICR REFERENCE NUMBER: 200611-0648-013
TITLE: Southeast Region Gulf of Mexico Red Snapper IFQ Program
LIST OF INFORMATION COLLECTIONS: See next page

OMB ACTION: Approved without change
OMB CONTROL NUMBER: 0648-0551

The agency is required to display the OMB Control Number and inform respondents of its legal significance in accordance with 5 CFR 1320.5(b).

EXPIRATION DATE: 11/30/2009

DISCONTINUE DATE:

| BURDEN: | RESPONSES | HOURS | COSTS |
|--|-----------|-------|---------|
| Previous | 0 | 0 | 0 |
| New | 10,268 | 1,014 | 383,764 |
| Difference | | | |
| Change due to New Statute | 0 | 0 | 0 |
| Change due to Agency Discretion | 10,268 | 1,014 | 383,764 |
| Change due to Agency Adjustment | 0 | 0 | 0 |
| Change Due to Potential Violation of the PRA | 0 | 0 | 0 |

TERMS OF CLEARANCE:

OMB Authorizing Official:

John F. Morrall III
Acting Deputy Administrator,
Office Of Information And Regulatory Affairs

List of ICs

| IC Title | Form No. | Form Name | CFR Citation |
|--|----------|---|---------------|
| Dealer reporting | NA | Dealer Landing Transaction Record | 50 CFR 622.16 |
| Shareholder reporting | NA, NA | Shareholder log in, account update and allocation transfer, Active vessel reporting | 50 CFR 622.16 |
| Transfer of share by shareholders/permit holders | NA | Share Transfer | |
| Fishermen reporting | | | 50 CFR 622.16 |

PAPERWORK REDUCTION ACT SUBMISSION

Please read the instructions before completing this form. For additional forms or assistance in completing this form, contact your agency's Paperwork Clearance Officer. Send two copies of this form, the collection instrument to be reviewed, the supporting statement, and any additional documentation to: Office of Information and Regulatory Affairs, Office of Management and Budget, Docket Library, Room 10102, 725 17th Street NW, Washington, DC 20503.

| | |
|---|--|
| <p>1. Agency/Subagency originating request</p> | <p>2. OMB control number b. <input type="checkbox"/> None a. _____ - _____</p> |
| <p>3. Type of information collection (<i>check one</i>)</p> <p>a. <input type="checkbox"/> New Collection</p> <p>b. <input type="checkbox"/> Revision of a currently approved collection</p> <p>c. <input type="checkbox"/> Extension of a currently approved collection</p> <p>d. <input type="checkbox"/> Reinstatement, without change, of a previously approved collection for which approval has expired</p> <p>e. <input type="checkbox"/> Reinstatement, with change, of a previously approved collection for which approval has expired</p> <p>f. <input type="checkbox"/> Existing collection in use without an OMB control number</p> <p>For b-f, note Item A2 of Supporting Statement instructions</p> | <p>4. Type of review requested (<i>check one</i>)</p> <p>a. <input type="checkbox"/> Regular submission</p> <p>b. <input type="checkbox"/> Emergency - Approval requested by _____ / _____ / _____</p> <p>c. <input type="checkbox"/> Delegated</p> |
| | <p>5. Small entities Will this information collection have a significant economic impact on a substantial number of small entities? <input type="checkbox"/> Yes <input type="checkbox"/> No</p> |
| | <p>6. Requested expiration date</p> <p>a. <input type="checkbox"/> Three years from approval date b. <input type="checkbox"/> Other Specify: _____ / _____</p> |
| <p>7. Title</p> | |
| <p>8. Agency form number(s) (<i>if applicable</i>)</p> | |
| <p>9. Keywords</p> | |
| <p>10. Abstract</p> | |
| <p>11. Affected public (<i>Mark primary with "P" and all others that apply with "x"</i>)</p> <p>a. <input type="checkbox"/> Individuals or households d. <input type="checkbox"/> Farms</p> <p>b. <input type="checkbox"/> Business or other for-profit e. <input type="checkbox"/> Federal Government</p> <p>c. <input type="checkbox"/> Not-for-profit institutions f. <input type="checkbox"/> State, Local or Tribal Government</p> | <p>12. Obligation to respond (<i>check one</i>)</p> <p>a. <input type="checkbox"/> Voluntary</p> <p>b. <input type="checkbox"/> Required to obtain or retain benefits</p> <p>c. <input type="checkbox"/> Mandatory</p> |
| <p>13. Annual recordkeeping and reporting burden</p> <p>a. Number of respondents _____</p> <p>b. Total annual responses _____</p> <p> 1. Percentage of these responses collected electronically _____ %</p> <p>c. Total annual hours requested _____</p> <p>d. Current OMB inventory _____</p> <p>e. Difference _____</p> <p>f. Explanation of difference</p> <p> 1. Program change _____</p> <p> 2. Adjustment _____</p> | <p>14. Annual reporting and recordkeeping cost burden (<i>in thousands of dollars</i>)</p> <p>a. Total annualized capital/startup costs _____</p> <p>b. Total annual costs (O&M) _____</p> <p>c. Total annualized cost requested _____</p> <p>d. Current OMB inventory _____</p> <p>e. Difference _____</p> <p>f. Explanation of difference</p> <p> 1. Program change _____</p> <p> 2. Adjustment _____</p> |
| <p>15. Purpose of information collection (<i>Mark primary with "P" and all others that apply with "X"</i>)</p> <p>a. <input type="checkbox"/> Application for benefits e. <input type="checkbox"/> Program planning or management</p> <p>b. <input type="checkbox"/> Program evaluation f. <input type="checkbox"/> Research</p> <p>c. <input type="checkbox"/> General purpose statistics g. <input type="checkbox"/> Regulatory or compliance</p> <p>d. <input type="checkbox"/> Audit</p> | <p>16. Frequency of recordkeeping or reporting (<i>check all that apply</i>)</p> <p>a. <input type="checkbox"/> Recordkeeping b. <input type="checkbox"/> Third party disclosure</p> <p>c. <input type="checkbox"/> Reporting</p> <p> 1. <input type="checkbox"/> On occasion 2. <input type="checkbox"/> Weekly 3. <input type="checkbox"/> Monthly</p> <p> 4. <input type="checkbox"/> Quarterly 5. <input type="checkbox"/> Semi-annually 6. <input type="checkbox"/> Annually</p> <p> 7. <input type="checkbox"/> Biennially 8. <input type="checkbox"/> Other (describe) _____</p> |
| <p>17. Statistical methods</p> <p>Does this information collection employ statistical methods</p> <p style="text-align: center;"><input type="checkbox"/> Yes <input type="checkbox"/> No</p> | <p>18. Agency Contact (person who can best answer questions regarding the content of this submission)</p> <p>Name: _____</p> <p>Phone: _____</p> |

19. Certification for Paperwork Reduction Act Submissions

On behalf of this Federal Agency, I certify that the collection of information encompassed by this request complies with 5 CFR 1320.9

NOTE: The text of 5 CFR 1320.9, and the related provisions of 5 CFR 1320.8(b)(3), appear at the end of the instructions. *The certification is to be made with reference to those regulatory provisions as set forth in the instructions.*

The following is a summary of the topics, regarding the proposed collection of information, that the certification covers:

- (a) It is necessary for the proper performance of agency functions;
- (b) It avoids unnecessary duplication;
- (c) It reduces burden on small entities;
- (d) It used plain, coherent, and unambiguous terminology that is understandable to respondents;
- (e) Its implementation will be consistent and compatible with current reporting and recordkeeping practices;
- (f) It indicates the retention period for recordkeeping requirements;
- (g) It informs respondents of the information called for under 5 CFR 1320.8(b)(3):
 - (i) Why the information is being collected;
 - (ii) Use of information;
 - (iii) Burden estimate;
 - (iv) Nature of response (voluntary, required for a benefit, mandatory);
 - (v) Nature and extent of confidentiality; and
 - (vi) Need to display currently valid OMB control number;
- (h) It was developed by an office that has planned and allocated resources for the efficient and effective management and use of the information to be collected (see note in Item 19 of instructions);
- (i) It uses effective and efficient statistical survey methodology; and
- (j) It makes appropriate use of information technology.

If you are unable to certify compliance with any of the provisions, identify the item below and explain the reason in Item 18 of the Supporting Statement.

Signature of Senior Official or designee

Date

Agency Certification (signature of Assistant Administrator, Deputy Assistant Administrator, Line Office Chief Information Officer, head of MB staff for L.O.s, or of the Director of a Program or StaffOffice)

Signature

Date

Signature of NOAA Clearance Officer

Signature

Date

SUPPORTING STATEMENT
SOUTHEAST REGION GULF OF MEXICO RED SNAPPER IFQ PROGRAM
OMB CONTROL NO.: 0648-xxxx

INTRODUCTION

The Magnuson-Stevens Fishery Conservation and Management Act ([Magnuson-Stevens Act](#)) authorizes the Gulf of Mexico Fishery Management Council (Council) to prepare and amend fishery management plans for any fishery in waters under its jurisdiction. National Oceanic and Atmospheric Administration (NOAA), National Marine Fisheries Service (Fisheries Service) manages the red snapper fishery in the waters of the Gulf of Mexico under the Reef Fish Fishery Management Plan (FMP). This amendment (Reef Fish FMP Amendment 26) proposes to implement a transferable Individual Fishing Quota (IFQ) program in the Gulf of Mexico commercial red snapper fishery (RIN 0648-AS67). A referendum required by Section 407(c) of the [Magnuson-Stevens Act](#) and conducted by NOAA, Fisheries Service in February 2004 supported consideration of such a program. Additionally, a second referendum conducted in February 2006, to approve Amendment 26, was supported by 87 percent of commercial fishermen who were eligible to vote.

A. JUSTIFICATION

1. Explain the circumstances that make the collection of information necessary.

The Gulf of Mexico red snapper fishery is overcapitalized. This overcapitalization has led to derby fishery conditions. The IFQ program proposed is intended to reduce overcapacity and eliminate derby fishing conditions. This collection-of-information addresses IFQ share certificate and allocation debits and transfers, as well as effort information in the red snapper fishery. The applicable regulatory citation is [50 CFR 622.16](#).

2. Explain how, by whom, how frequently, and for what purpose the information will be used. If the information collected will be disseminated to the public or used to support information that will be disseminated to the public, then explain how the collection complies with all applicable Information Quality Guidelines.

IFQ share certificate and allocation debits and transfers would be tracked using an electronic accounting/reconciliation process developed by NOAA, Fisheries Service, in which the IFQ share certificate holder or allocation holder, dealer, NOAA, Fisheries Service, and NOAA, Fisheries Service General Counsel for Enforcement and Litigation (GCEL) would participate. The IFQ share or allocation holder and dealer would record IFQ share transactions. Quarterly landing reports filed by the dealer should be consistent with NOAA, Fisheries Service quota accounting. Additionally, annual shareholder and dealer reports should be consistent with NOAA, Fisheries Service quota accounting. Shareholders are responsible for identifying vessels which will be harvesting allocation for that particular shareholder through an active vessel report, if more than one vessel is eligible to harvest red snapper under this program. The NOAA, Fisheries Service accounts would monitor IFQ share transactions, as well as quota shares suspended prior to issuance and other legal actions taken against IFQ share certificate holders in which IFQ is garnished. For enforcement purposes, IFQ landings would be required to be

offloaded at permitted IFQ dealers between 6:00 a.m. and 6:00 p.m. daily. Persons landing IFQ catch would be required to notify NOAA, Fisheries Service Enforcement at least three hours in advance of the date of landing and of the dealer where landing will occur.

IFQ share transfers will be documented using a paper-based process. Because of the numerous implications for both an IFQ share transferor and transferee, these transactions must be documented and authenticated. Therefore, both parties will be expected to sign this paper document and to have the document notarized to authenticate the transaction.

IFQ transactions can be recorded by the IFQ share or allocation holder and dealer in one of two ways. The first of these is to use a web based system (<http://ifq.sero.nmfs.noaa.gov>) in which the share/allocation holder and dealer enter purchase data into the system with each cross-verifying the other. The second method for reporting a purchase is for the share/allocation holder and dealer to use an interactive voice recording (IVR) system (1-866-425-7627). These two methods are the only accepted means of red snapper purchase reporting unless a catastrophic event occurs.

During catastrophic conditions only, the IFQ program provides for use of paper-based components for basic required functions as a backup. The Regional Administrator (RA) will determine when catastrophic conditions exist, the duration of the catastrophic conditions, and which participants or geographic areas are deemed affected by the catastrophic conditions. The RA will provide timely notice to affected participants via publication of notification in the Federal Register, NOAA weather radio, fishery bulletins, and other appropriate means and will authorize the affected participants' use of paper-based components for the duration of the catastrophic conditions. NMFS will provide each IFQ dealer the necessary paper forms, sequentially coded, and instructions for submission of the forms to the RA. The paper forms will also be available from the RA. The program functions available to participants or geographic areas deemed affected by catastrophic conditions will be limited under the paper-based system. There will be no mechanism for transfers of IFQ shares or allocation under the paper-based system in effect during catastrophic conditions. Assistance in complying with the requirements of the paper-based system will be available via IFQ Customer Service 1-866-425-7627 Monday through Friday between 8:00 a.m. and 4:30 p.m. eastern time.

It is anticipated that the information collected will be disseminated to the public or used to support publicly disseminated information. As explained in the preceding paragraph, the information gathered has utility. NOAA, Fisheries Service will retain control over the information and safeguard it from improper access, modification, and destruction, consistent with NOAA standards for confidentiality, privacy, and electronic information. The information collection is designed to yield data that meet all applicable information quality guidelines. Prior to dissemination, the information will be subjected to quality control measures and a pre-dissemination review pursuant to Section 515 of Public Law 106-554.

3. Describe whether, and to what extent, the collection of information involves the use of automated, electronic, mechanical, or other technological techniques or other forms of information technology.

As stated above in #2, information other than transfer transactions would be submitted either via a web-based system or an IVR telephone system, with paper submission an option only in

catastrophic circumstances.

IFQ share certificate and allocation debits and transfers would be tracked using an electronic accounting/reconciliation process developed by NOAA, Fisheries Service, in which the IFQ share certificate holder or allocation holder, dealer, NOAA, Fisheries Service, and NOAA, Fisheries Service GCEL would participate. The IFQ share certificate holder or allocation holder and authorized IFQ dealers would record IFQ share transactions into a web based reporting system. Quarterly landing reports filed by the dealer should be consistent with NOAA, Fisheries Service quota accounting. Additionally, annual shareholder and dealer reports should be consistent with NOAA, Fisheries Service quota accounting. The NOAA, Fisheries Service accounts would monitor IFQ share transactions, as well as quota shares suspended prior to issuance and other legal actions taken against IFQ share certificate holders in which IFQ is garnished. The following information would be collected and monitored through the electronic accounting/ reconciliation process:

- When an IFQ share certificate holder or allocation holder has sold IFQ species, and the IFQ share certificate holder's or allocation holder's ID number.
- Sale price of IFQ species or IFQ share certificates.
- The weight of the catch and all biological management information as required.
- To whom the catch was sold and their dealer/permit number.
- Whether initial recipients hold enough IFQ share certificates.
- Reconciliations of IFQ share certificate holder or allocation holder/dealer transactions, which would be confirmed and authorized using NOAA, Fisheries Service approval codes.

The real-time capability of such an electronic IFQ transaction process would be advantageous to IFQ share certificate holders, NOAA, Fisheries Service, and U.S. Coast Guard (USCG) enforcement personnel. For example, IFQ share certificate holders could electronically purchase IFQ allocations to cover extra fish before they are landed (i.e. via satellite phone, cell phone or ship to shore marine operator).

4. Describe efforts to identify duplication.

The Magnuson-Stevens Act's operational guidelines require each FMP to evaluate existing state and federal laws that govern the fisheries in question, and the findings are made part of each FMP. Each Fishery Management Council membership is comprised of state and federal officials responsible for resource management in their area. These two circumstances allow identification of other collections that may be gathering the same or similar information. In addition, each FMP undergoes extensive public comment periods where potential applicants review the proposed permit application requirements. Therefore, NOAA, Fisheries Service is confident it is aware of similar collections if they exist. The other information proposed to be collected is not being collected elsewhere; therefore, this data collection would not cause duplication.

5. If the collection of information involves small businesses or other small entities, describe the methods used to minimize burden.

Because all applicants are considered small businesses, separate requirements based on size of business have not been developed. Only the minimum data to meet the current and future needs of NOAA, Fisheries Service fisheries managers are requested from participants in the red snapper IFQ program.

6. Describe the consequences to the Federal program or policy activities if the collection is not conducted or is conducted less frequently.

NOAA, Fisheries Service would be unable to manage the red snapper IFQ fishery if this collection were not conducted or were conducted less frequently. The approved participants would be unknown and harvest rates could not be determined, which may result in allocations being exceeded.

7. Explain any special circumstances that require the collection to be conducted in a manner inconsistent with OMB guidelines.

No special circumstances are associated with this information collection.

8. Provide a copy of the PRA Federal Register notice that solicited public comments on the information collection prior to this submission. Summarize the public comments received in response to that notice and describe the actions taken by the agency in response to those comments. Describe the efforts to consult with persons outside the agency to obtain their views on the availability of data, frequency of collection, the clarity of instructions and recordkeeping, disclosure, or reporting format (if any), and on the data elements to be recorded, disclosed, or reported.

The notice of availability of Amendment 26, and the proposed rule to implement Amendment 26, include a notice of and request for comments on this data collection.

Because these data collection programs are part of fishery management plans, all aspects of the programs have been reviewed by both statistical and constituent advisory committees. Furthermore, comments and suggestions from fishermen are routinely submitted, reviewed, and considered. Experience with the various programs, some of which have been operating for many years, provides a continual feedback mechanism to NOAA, Fisheries Service on issues and concerns to the applicants. Amendment 26 did not raise an unusual amount of controversy during the Council development process. We believe that there are no major problems with Amendment 26 that have not been resolved.

9. Explain any decisions to provide payments or gifts to respondents, other than remuneration of contractors or grantees.

There are no payments or other remunerations to respondents.

10. Describe any assurance of confidentiality provided to respondents and the basis for assurance in statute, regulation, or agency policy.

All data that are submitted are treated as confidential in accordance with NOAA Administrative Order 216-100.

11. Provide additional justification for any questions of a sensitive nature, such as sexual behavior and attitudes, religious beliefs, and other matters that are commonly considered private.

No questions of a sensitive nature are asked.

12. Provide an estimate in hours of the burden of the collection of information.

| Collection | Responsible Party | Number of Responses per Responsible Party | Burden Time | Annual Responses | Total Annual Burden |
|--------------------------------|---|--|--------------------|-------------------------|----------------------------|
| Dealer Transaction Report | Dealer (208) | 18 | 7 minutes | 3720 | 434 hours |
| Annual Dealer Report | Dealer (208) | 1 | 10 minutes | 208 | 35 hours |
| Dealer Account Activation | Dealer (208) | 1 | 5 minutes | 208 | 17.5 hours |
| Shareholder Account Activation | Shareholder (618) | 1 | 5 minutes | 618 | 51.5 hours |
| Fisherman Account Activation | Shareholder/ Fisherman (865) | 1 | 10 minutes | 865 | 144 hours |
| Annual Shareholder Report | Shareholder (618) | 1 | 10 minutes | 618 | 103 hours |
| Notification of Landing Time | Fisherman (865) | 4 | 3 minutes | 3720 | 186 hours |
| Active Vessels Report | Shareholder (618) | 0.06 | 10 minutes | 40 | 6.5 hours |
| Transfer of Share | Shareholder (618)/Reef Fish Permit Holder (1209*) | 0.16/0.08 | 15 minutes | 98 | 24.5 hours |
| Transfer of Allocation | Shareholder (618) | 0.24 | 5 minutes | 149 | 12.5 hours |
| TOTALS | 1417 | | | 10,244 | 1015 |

* 865 current red snapper fishermen and 344 fishermen eligible to fish for red snapper

13. Provide an estimate of the total annual cost burden to the respondents or record-keepers resulting from the collection (excluding the value of the burden hours in #12 above).

Section 304(d)(2)(A) of the Magnuson-Stevens Act provides the Secretary of Commerce the authority to establish a fee to assist in recovering the actual costs directly related the management and enforcement of any IFQ program. Such a fee may not exceed three percent of the ex-vessel value of fish harvested under any such program, and must be collected either at the time of landing, filing of a landing report, or sale of such fish during a fishing season or in the last quarter of the calendar year in which the fish is harvested. Fees collected shall be in addition to any other fees charged under the Magnuson-Stevens Act and shall be deposited in the Limited Access System Administration Fund established under section 305(h)(5)(B) of the Magnuson-Stevens Act except that the portion of fees reserved under section 304(d)(4)(A) of the Magnuson-Stevens Act shall be deposited in the United States Department of the Treasury and

available, subject to annual appropriations, to cover the costs of new direct loan obligations and new loan guarantee commitments as required by section 504(b)(1) of the Federal Credit Reform Act (2 U.S.C. 661 c(b)(1)). Collection of such fees is necessary to recover cost for enforcement and program administration including data collection, management, and distribution.

A three percent fee of the ex-vessel value of landed fish will be collected from the fishermen at the point of purchase by an authorized red snapper IFQ dealer. Dealers will then be responsible for submitting the cost recovery fees on a quarterly basis. **Based on a 4.65 million pound commercial red snapper quota, a 3% fee, and an ex-vessel price of \$2.83 per pound, the fee total would be \$383,625 for 865 fishermen (\$443 per fisherman).**

The cost of share transfer notarization is covered under another collection, 0648-0205.

14. Provide estimates of annualized cost to the Federal government.

| | |
|--|---------------------|
| Total budget | \$500,000.00 |
| Existing SERO funds | \$115,000.00 |
| HQ funding | \$250,000.00 |
| IVR funding | \$135,000.00 |
| | |
| Planned expenditures | \$423,000.00 |
| Contracted web development | \$288,000.00 |
| IVR | \$135,000.00 |
| Administrative, travel, printing, etc. | \$77,000.00 |

15. Explain the reasons for any program changes or adjustments reported in Items 13 or 14 of the OMB 83-I.

This is a new collection of information.

16. For collections whose results will be published, outline the plans for tabulation and publication.

The results from this collection are not planned for statistical publication.

17. If seeking approval to not display the expiration date for OMB approval of the information collection, explain the reasons why display would be inappropriate.

The OMB number will be displayed.

18. Explain each exception to the certification statement identified in Item 19 of the OMB 83-I.

There are no exemptions to the certification statement identified in Item 19 of OMB 83-I.

B. COLLECTIONS OF INFORMATION EMPLOYING STATISTICAL METHODS

The collection does not employ statistical methods.

Application for Share Transfer IFQ Share Holder (Transferor)

Name: <internal use: entity id>

Address:

City/State/Zip Code

Phone Number:

IFQ Share Certificate Number

Person possessing a Gulf of Mexico Vessel Permit for Reef Fish (Transferee)

Name: <internal use entity id, if available>

Address:

City/State/Zip Code

Phone Number:

Vessel Identification Number for Gulf of Mexico Commercial Vessel Permit for Reef Fish Number

Pending Share Transfer Approval Code

The transferor from the IFQ online systems obtains this code at the time the pending Application for Share Transfer is requested.

IFQ Share amount to transfer _____ % valued at \$ _____

Under the provisions of the Paperwork Reduction Act of 1995 (PL 104-13) and the Privacy Act of 1974 (PL 93-579), you are advised that disclosure of the requested information is mandatory for the purpose of managing the Gulf of Mexico Reef Fish fishery. The requested information is used to ensure proper compliance with the red snapper IFQ program. Confidentiality of the information provided will be treated in accordance with NOAA Administrative Order 216-100. The public reporting burdens for this collection of information are estimated as 15 minutes for transfer of share. The estimates of public reporting burdens for these collections of information include the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Written comments regarding the burden-hour estimates or other aspects of the collection-of-information requirements, or suggestions for reducing this burden, should be sent to Jason Rueter, NMFS, Southeast Regional Office, 263 13th Avenue South, St. Petersburg, FL 33701

Statement of Sales

I the undersigned owner of the IFQ Shares to be transferred affirm that the shares are not encumbered by any actual or implied legal actions and that this transfer is pursuant to 50 CFR 622. I understand that until this document is signed and made available to the National Marine Fisheries Service, Southeast Regional Office, the transfer of said shares is pending. I understand that once the transfer of said shares is completed my total share amount will be reduced by the amount that I authorized to be transferred. I understand that the National Marine Fisheries Service can disapprove this transfer if any portion of this agreement is found to be incorrect.

IFQ Share Owner (Transferor)

Date

NOTARY PUBLIC:

The above instrument was acknowledged before me the _____ day of _____, _____
Day Month Year

by

_____ who is personally known to me or has
Name of person acknowledging signature

produced _____ as identification.
Type of Identification

_____, Notary Public. Commission Number: _____
Signature of Notary Public

Statement of Purchase

I the undersigned buyer of the IFQ Shares to be transferred affirm that completing this purchase of shares, I am agreeing to all of the requirements specified under 50 CFR 622.

IFQ Share Certificate Buyer

Date

NOTARY PUBLIC:

The above instrument was acknowledged before me the _____ day of _____, _____
Day Month Year

by

_____ who is personally known to me or has
Name of person acknowledging signature

produced _____ as identification.
Type of Identification

_____, Notary Public. Commission Number: _____
Signature of Notary Public



National Marine Fisheries Service
 Southeast Regional Office, Permits
 263 13th Avenue South
 St. Petersburg, FL 33701

OMB Control No.: 0648-xxxx
 Expiration Date: xx/xx/xxxx

Transaction Numbers
DLTR0013762 thru DLTR0013812

GULF OF MEXICO RED SNAPPER INDIVIDUAL FISHERY QUOTA

DEALER LANDING TRANSACTION RECORD

Under the provisions of the Paperwork Reduction Act of 1995 (PL 104-13) and the Privacy Act of 1974 (PL 93-579), you are advised that disclosure of the requested information is mandatory for the purpose of managing the Gulf of Mexico Reef Fish fishery. The requested information is used to ensure proper compliance with the red snapper IFQ program. Confidentiality of the information provided will be treated in accordance with NOAA Administrative Order 216-100. The public reporting burdens for this collection of information are estimated as follows 7 minutes for the dealer transaction report. The estimates of public reporting burdens for these collections of information include the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Written comments regarding the burden-hour estimates or other aspects of the collection-of-information requirements, or suggestions for reducing this burden, should be sent to Jason Rueter, NMFS, Southeast Regional Office, 263 13th Avenue South, St. Petersburg, FL 33701

| | | | |
|--|--|--|--|
|  | National Marine Fisheries Service Southeast Regional Office, Permits 263 13th Avenue South St. Petersburg, FL 33701 | OMB Control No.: 0648-xxxx Expiration Date: xx/xx/xxxx | Transaction Number: DLTR0013762 |
| | | | Date _____ Time _____ |
| Dealer Name and Address <div style="border: 1px solid black; height: 40px; width: 100%;"></div> | | Fisher Name and Address <div style="border: 1px solid black; height: 40px; width: 100%;"></div> | |
| Commercial Reef Fish Dealer Permit Number: _____ | | User ID for IFQ System: _____ | |
| Total Catch (pounds) <input style="width: 150px;" type="text"/> | | Total Value \$ <input style="width: 150px;" type="text"/> | |
| Landing Verification <hr style="border: 0; border-top: 1px solid black; margin: 5px 0;"/> | | | |
| _____ Dealer | | _____ Fisherman | |
| This form must be signed by both parties Illegible or unsigned forms will be returned | | | |
| | | | NMFS Copy |



National Marine Fisheries Service
Southeast Regional Office, Permits
263 13th Avenue South
St. Petersburg, FL 33701

OMB Control No.: 0648-xxxx
Expiration Date: xx/xx/xxxx

Transaction Number: DLTR0013762

Date _____

Time _____

Dealer Name and Address

Commercial Reef Fish Dealer Permit Number:

Fisher Name and Address

User ID for IFQ System:

Total Catch (pounds)

Total Value \$

Landing Verification

Dealer

Fisherman

**This form must be signed by both parties
Illegible or unsigned forms will be returned**

NMFS Copy

NOAA - NMFS - SERO - IFQ

[Shareholder Home](#) | [Account Info](#) | [Shares](#) | [Allocation](#) | [Fleet](#) | [OLE Notification](#) | [Reports](#) | [Messages](#) | [Logout](#)

LINDA AU

Logged in as:
AULIND

Today is Monday
July 31, 2006
10:18AM ET

You are logged in as
SHAREHOLDER

[Switch Roles](#)

[Forgot PIN?](#)

Individual Fishing Quota - Red Snapper

Shareholder Update Account Information

UserID: AULIND

PIN: **

E-Mail: lindaau@gmail.com

VMS E-Mail:

Fisherman Role Opt-In: Yes No

Secret Question: What is the name of your pet? ▾

Answer: Barbie

Secret Question: What is the name of your pet? ▾

Answer: Orlando

[Submit Update](#)

[Cancel Update](#)

OMB Control No. 0648-XXXX Exp. Date xxx/xx/xxxx

Individual Fishing Quota - Red Snapper

Shareholder Share Transfer

Your current Shares: 0.1000 %

Transfer to:

Shares (%):

Total Price:

LINDA AU

Logged in as:
AULIND

Today is Monday
July 31, 2006
10:14AM ET

You are logged in as
SHAREHOLDER

[Forgot PIN?](#)

OMB Control No. 0648-XXXX Exp. Date xxx/xx/xxxx

Individual Fishing Quota - Red Snapper

Shareholder Allocation Transfer

Your current Allocation: 2,650

Transfer to:

Allocation (pounds):

Price:

Transfer to/from **Assignee** :

To/From : TO FROM

Allocation (pounds):

Price:

OMB Control No. 0648-XXXX Exp. Date xxx/xx/xxxx

LINDA AU

Logged in as:
AULIND

Today is Monday
July 31, 2006
10:16AM ET

You are logged in as
SHAREHOLDER

[Forgot PIN?](#)

IFQ Red Snapper Login

User ID: PIN: Role:  Accept Terms of Use

Individual Fishing Quota - Red Snapper

IFQ Red Snapper Login

Today is Monday, July 31, 2006

| | |
|--|----------------|
| Total Commercial Red Snapper Quota 2006: | 4,650,000 lbs. |
| Remaining Commercial Red Snapper Quota 2006: | 100.00 % |
| Average price for Red Snapper 2006: | \$0.00/lb. |

Under the provisions of the Paperwork Reduction Act of 1995 (PL 104-13) and the Privacy Act of 1974 (PL 93-579), you are advised that disclosure of the requested information is mandatory for the purpose of managing the Gulf of Mexico Reef Fish fishery. The requested information is used to ensure proper compliance with the red snapper IFQ program. Confidentiality of the information provided will be treated in accordance with NOAA Administrative Order 216-100. The public reporting burdens for this collection of information are estimated as follows 7 minutes for the dealer transaction report, 10 minutes for the annual dealer report, 5 minutes for the dealer account activation, 5 minutes for the shareholder account activation, 10 minutes for the fishermen account activation, 10 minutes for the annual shareholder report, 3 minutes for notification of landing, 10 minutes for active vessel reports, 15 minutes for transfer of share, and 5 minutes for transfer of allocation. The estimates of public reporting burdens for these collections of information include the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Written comments regarding the burden-hour estimates or other aspects of the collection-of-information requirements, or suggestions for reducing this burden, should be sent to Jason Rueter, NMFS, Southeast Regional Office, 263 13th Avenue South, St. Petersburg, FL 33701

OMB Control No. 0648-XXXX Exp. Date xx/xx/xxxx



NOAA - NMFS - SERO - IFQ

[Dealer Home](#) | [Account Info](#) | [Transactions](#) | [Cost Recovery](#) | [Facilities](#) | [Messages](#) | [Reports](#) | [Logout](#)

Individual Fishing Quota - Red Snapper

Dealer Landing Transaction

Transaction Date/Time:

Facility:

Select Vessel <981>

| | |
|-----------------|----------------------------------|
| "DNL" FL5368MS | <input type="button" value="^"/> |
| 2ND 1 FL8277AH | <input type="button" value="≡"/> |
| 7 MARES 905277 | <input type="button" value="v"/> |
| 86 PROOF 687939 | <input type="button" value="v"/> |

Select Fisherman

| | |
|--------------------------|----------------------------------|
| GUINDON, KEITH | <input type="button" value="^"/> |
| AU, LINDA | <input type="button" value="≡"/> |
| AU, CHOW | <input type="button" value="v"/> |
| WALKER FISHING FLEET INC | <input type="button" value="v"/> |

| | Lbs. | Pounds | Price/pound |
|---------------|------|--------|-------------|
| Bulk/Under 2: | 0 | | 0.00 |
| 2-4: | 0 | | 0.00 |
| 4-6: | 0 | | 0.00 |
| 6-10: | 0 | | 0.00 |
| Over 10: | 0 | | 0.00 |

| | |
|--------------------|----------------------|
| Total Pounds: | <input type="text"/> |
| Total Value: | <input type="text"/> |
| Cost Recovery Fee: | <input type="text"/> |
| Balance: | <input type="text"/> |

OMB Control No. 0648-XXXX Exp. Date xxx/xx/xxxx





NOAA - NMFS - SERO - IFQ

[Shareholder Home](#) | [Account Info](#) | [Shares](#) | [Allocation](#) | [Fleet](#) | [OLE Notification](#) | [Reports](#) | [Messages](#) | [Logout](#)

Individual Fishing Quota - Red Snapper

KEITH GUINDON

Logged in as:
GUINDONKEIT

Today is Wednesday
August 02, 2006
01:45PM ET

You are logged in as
SHAREHOLDER

[Switch Roles](#)

[Forgot PIN?](#)

Shareholder Fleet Update

Vessel: 577467 MR MARKER

Select Assignee or Fisherman:

OMB Control No. 0648-XXXX Exp. Date xx/xx/xxxx

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NOAA - NMFS - SERO - IFQ

[Shareholder Home](#) | [Account Info](#) | [Shares](#) | [Allocation](#) | [Vessels](#) | [Reports](#) | [Messages](#) | [Logout](#)

Individual Fisheries Quota - Red Snapper

KEITH GUINDON

Logged in as:
GUINDONKEIT

Today is Friday
June 02, 2006
03:05PM ET

You are logged in as
SHAREHOLDER

[Switch Roles](#)

[Forgot PIN?](#)

Shareholder Fleet

| Vessel | IFQ RS Fisherman | |
|------------------|------------------|--------------------------------------|
| 577467 MR MARKER | none | Add/Update Fisherman |
| 663342 FALCON | none | Add/Update Fisherman |
| 926483 AVENGER | none | Add/Update Fisherman |

[Contact Us](#) | [Forms](#) | [Privacy Policy](#) | [Information Quality Guidelines](#) | [Disclaimer](#) | [People Locator](#)



PERFORMANCED BASED
STATEMENT OF WORK

| | |
|----------------------------|--|
| AGENCY | National Marine Fisheries Service |
| REGION | Southeast Regional Office |
| DESCRIPTION OF WORK | Interactive Voice Response System |
| CONTRACT VEHICLE | Schedule 70 |
| INTERNAL PROJECT ID | 4TSX00060005 |

PART 1 - BACKGROUND

1.1 BACKGROUND

The National Marine Fisheries Service (NMFS) a line office of the National Oceanic and Atmospheric Administration (NOAA) of the U.S. Department of Commerce has a need for an Interactive Voice response (IVR) System in support of the publicly deployed Red Snapper Individual Fisheries Quota (IFQ) program.

PART 2 – GENERAL SPECIFICATIONS

2.1 GENERAL REQUIREMENTS

Systems Overview. The IVR would be design to emulate the web-based system in such a way that the IFQ community using this system could accomplish all defined primary and critical transactions. This system is to be designed to support dial tone inputs, speech recognition, text to speech, and pre-recorded queued responses.

The IFQ system is comprised of 3 external roles each having the following IVR functions

1. Dealer

a. Authentication

Inbound caller ID available

Systems picks up inbound caller ID and matches this to a PIN number

System prompts for PIN

Client enters or speaks PIN

System offers PIN to database for authentication

Authentication occurs on the match.

No inbound caller ID available

System prompts user for zip code and last four digits of the SSN or Federal Identification Number for businesses.

System prompts for PIN

Client enters or speaks PIN

System offers PIN to database for authentication

Authentication occurs on the match.

b. Account Information

Client hears name address, phone number and instructions on how to change this information.

c. Transaction involving a legal catch

System prompts for each item with expanded instructions if requested

Client enters total System prompts for PIN Client enters or speaks PIN

System offers PIN to database for authentication

Authentication occurs on the match. pounds of catch

System responds and request verification

Client enters or speaks unit price

System responds and request verification
Client enters response to catch categories in pounds.
Client enters a response to catch categories in unit cost.
Client hears summary of transaction information.
Client (fisherman) enters PIN to validate transaction.
(Note: This segment is a part of the Fisherman transaction “Transaction validation.” The process requires the Dealer once the information is entered to allow the Fisherman to enter his/her PIN for validation.)
Client hears an approval code
System delivers instructional information as necessary (one instance of instruction is a failed transaction, the system would have standard responses that can be queued according to the logic)

- d. Transactions involving an overage
 - Client hears instructions
 - Client enters or speaks a total pounds of catch
 - System responds and request verification
 - Client enters last four digits of vessel ID
 - System responds with a list of full Vessel IDs based on last four digits
 - System prompts for selection of correct vessel ID
 - System prompts for OLE approval code
 - If client request, System delivers instructions as to how to obtain the OLE approval code
 - Client hears instructions on processing the catch.

- e. Cost Recovery information and payment
 - Client hears a total amount in dollars due
 - Client hears due date.
 - Client hears total amount in arrears.
 - (Note: The following interactions are dependent on the capability of the Department of Treasury and may not be implemented.)
 - Client enters cost recovery transfer amount
 - Client enters PIN for transfer authorization
 - Client hears transaction code.

- f. Messages
 - Client hears messages

2. IFQ Share Holder

- a. Authentication
 - Inbound caller ID available
 - Systems picks up inbound caller ID and matches this to a PIN number
 - Client enters PIN and the system authenticates the privileges.

 - No inbound caller ID available

System prompts user for zip code and last four digits of the SSN or Federal Identification Number for businesses.

Systems prompts for PIN

Authentication occurs on the match.

b. Account Information

Client hears name address, phone number and instructions on how to change this information.

c. Share transfers

Client hears instruction on how to transfer shares.

d. Allocation management

Client enters an amount in pounds

Client takes steps to enter vessel ID of transferee

Client enters last four digits of vessel ID

System responds with a list of full Vessel IDs based on last four digits

System prompts for selection of correct vessel ID

Client hears confirmation of valid vessel ID.

Client hears summary of transfer requested

System prompts possible information to be re-entered

Client enters PIN for validation

Client hears transaction approval code

e. Fleet management

Client takes steps to enter vessel ID of assigned vessel

Client enters last four digits of vessel ID

System responds with a list of full Vessel IDs based on last four digits

System prompts for selection of correct vessel ID

Client hears confirmation of valid vessel ID.

System prompts for vessel status (active/inactive)

If the vessel has a required operator, client hears operator name,

If a vessel operator is to be defined by the client,

Client hears a list of previously used operators, or

Client hears instructions as how to define a new vessel operator

Client hears vessel operator approval for each active vessel.

Client enters amount in pounds of allocation for each active vessel

Client hears option to enter the next vessel (process starts over)

Client hears summary,

Client hears a transaction approval code.

f. Messages

Client hears messages

3. Fisherman

a. Transaction validation

(Note: This segment is a part of the previously defined Dealer transaction “Transaction involving a legal catch.” The process requires the Dealer once the information is entered to allow the Fisherman to enter his/her PIN for transaction validation.)

Client enters PIN to validate a transaction

Client hears approval code

b. Allocation transfer

System prompts for vessel identification number

Client enters last four digits of vessel ID

System responds with a list of full Vessel IDs based on last four digits

System prompts for selection of correct vessel ID

Client hears vessel ID approval as a transferee.

Client hears name of vessel ID owner.

Client enters a number in pounds of allocation to be transferred.

Client hears approval of transfer.

Client hears summary.

Client enters PIN for transaction validation.

Client hears transaction approval code.

c. OLE Notification

Client hears a list of geographical location (to be designed)

Client selects a geographical location and then hears a list of Dealers in this area

Client enters the Dealer

Client hears approval of landing site

Client hears instructions in the event of no approval.

Client enters estimated time of arrival

Client enters estimated catch amount in pounds.

Client hears port notification acknowledgement code.

d. Messages

Client hears messages

a. The IFQ is a transactional system based on the uniqueness of the UserID/PIN

Specifications.

- A. Proposed number of telephonic ports to be initially supported is 16. The IVR system should be expandable to support 64 ports as future demands on the system require.

B. The IVR is required to

- a. Be live with a minimum of downtime (no more than 1 hour per month for scheduled maintenance).
 - b. Seamlessly integrated into a Nortel Option 11c environment using a dedicated Primary Rate Interface (PRI) supported by a locally supplied T1 data line.
 - c. Connect with, submit data to, and get data from a Linux based Postgres database.
 - d. Acknowledge and process touch tone inputs.
 - e. Acknowledge and process natural voice inputs in English, without loss of data integrity.
 - f. Be expandable to recognize speech in a natural voice from clients with a Mexican or Viet Nam culture.
 - g. The IVR is required to extract business logic from existing HTML based web pages.
 - h. Provide the Paperwork Reduction Act reporting requirements for the IFQ Program including the burden associated with the collection, the OMB control number, and the expiration date of the collection.
- C. The project requires onsite vendor engineering to install, configure, and program the system to meet a published system design. Note. The amount of required time is not determined and will be a portion of any contract award process and proposed quotes.
- D. The project requires interaction with engineering staff for the development and guidance of development of a script and associated logic.

2.2 SITE LOCATION

All equipment installation, configuration and programming are in a single data center at
National Marine Fisheries Service
Southeast Regional Office
263 13th Ave., South
St. Petersburg, Florida 33701

2.3 ESTIMATED PERIOD OF PERFORMANCE

A. The actual period of performance is determined by the completion of the business logic currently being developed.

B. The estimated Period of Performance is 90 days from award.

2.4 TEST AND ACCEPTANCE

A. Operational ready system that can receive and process telephonically received information according to the specifications

B. Required cabling and wiring completed and installed in a pattern consistent with the Data Center wiring plan.

2.5 CONTRACTOR PERSONNEL

A. The contractor will provide qualified personnel at all times while work is in progress.

B. For continuity and logistics, the Government recommends that the same qualified personnel be assigned to this project from inception through completion.

2.6 PROJECT UPDATES

A. If requested by the NMFS On-Site Representative, the contractor's lead technician will provide a daily verbal briefing. This briefing will include, but is not limited to, work status, milestone status, and any issues.

B. The contractor's lead technician will provide a weekly electronic briefing to lane.vandenbroch@gsa.gov and john.reed@noaa.gov. This briefing will include, but is not limited to, work status, milestone status, and any issues.

2.7 SITE ACCESS

The contractor is responsible for coordinating with the NMFS On-Site Representative for site access privileges and required individual safety training, if needed.

PART 3 – WARRANTY

3.1 WARRANTY

The contractor shall warrant that all equipment and software are properly licensed, installed and operationally ready.

PART 4 - Evaluation Criteria

The vendor shall meet the minimum mandatory requirements of this PBSOW.

The Government contemplates a single fixed-price award shall be made to the lowest price, technically acceptable source (**FAR 15.101-2**) as required by this solicitation. Also, past performance will be considered a technical evaluation factor. Scoring will be based on a pass/no pass system. Unacceptable technical solutions, poor past performance, or unreasonable prices may deem the offer unacceptable.

Technical Acceptability:

1) **Technical Solution** – Quoter(s) shall clearly describe, in technical details, their ability to comply with each clause and/or sub-clause of this PBSOW. A statement of compliance without the detailed description of how compliance will be met will not be considered sufficient evidence that the services offered can technically meet the requirements.

2) **Past Performance (FAR 15.305).**

- a) All Projects of Similar Size and Scope within the past 12 months.
- b) Positive Performance History (customer satisfaction).

If an offeror has no relevant performance history, offeror has an opportunity to identify past or current contracts (including Federal, State, and local government and private) for efforts similar to the Government requirement. The offeror shall provide information on problems encountered on the identified contracts and the offeror’s corrective actions. The Government shall consider this information, as well as information obtained from any other sources, when evaluating the offeror’s past performance.

Quoter(s) shall provide references.

| Requirement | Indicator | Criteria a for Acceptance | Method of Verification |
|---|--|----------------------------------|-------------------------------|
| Procure and Install hardware (para 2.1) | Hardware installed according to manufacturer specifications | NMFS On-Site Representative | NMFS On-Site Representative |
| Procure and install software | Software installed according to manufacturer specifications | NMFS On-Site Representative | NMFS On-Site Representative |
| Configuration of hardware and software | Hardware and software properly operates in a Nortel Option 11c digital switch environment. | NMFS On-Site Representative | NMFS On-Site Representative |

| | | | |
|--|---|-----------------------------|---------------------------------|
| Programming of interface | Programming correctly interfaces with specified database environment | NMFS On-Site Representative | NMFS On-Site Representative |
| Programming of business logic | System response to an incoming call with specified prompts and returns accurate voice based information | NMFS On-Site Representative | NMFS On-Site Representative |
| Speech recognition | System response to voice interactions according to the specifications of hardware and software manufacturers | NMFS On-Site Representative | NMFS On-Site Representative |
| Text to speech operations | System produces a human discernable utterance that represents a text document inputted into the system according to the hardware and software specification of the manufacturer | NMFS On-Site Representative | NMFS On-Site Representative |
| Weekly electronic briefing. (para 2.6 (b)) | File provided to GSA/FTS and NMFS | | GSA/FTS and NMFS Representative |

Attachment A

Project Summary Page

| Site Specific Information | |
|---|---|
| Site name: National Marine Fisheries Service Southeast Regional Office | GSA/FTS number: |
| Address: 263 13th Ave. South | Project name: IFQ Interactive Voice Response (IVR) |
| City: St. Petersburg | Security Requirements: The contractor may be exposed to information that is covered under the Privacy Act and must sign a confidentiality statement |
| State: FL | Period of Performance: 90 days from award |
| Zip code: 33701 | |

| Points Of Contact | |
|----------------------------------|-----------------------------|
| GSA/FTS Project Manager | NMFS On-Site Representative |
| Name: Lane VandenBrock | Name: John Reed |
| Voice: 813.662.9938 | Voice: 727.551.5750 |
| Cell: | Cell: |
| E-Mail: lane.vandenbrock@gsa.gov | E-Mail: john.reed@noaa.gov |