

NOTICE OF OFFICE OF MANAGEMENT AND BUDGET ACTION

Date 02/13/2014

Department of Commerce
National Oceanic and Atmospheric Administration

FOR CERTIFYING OFFICIAL: Simon Szykman

FOR CLEARANCE OFFICER: Jennifer Jessup

In accordance with the Paperwork Reduction Act, OMB has taken action on your request received 02/13/2014

ACTION REQUESTED: Revision of a currently approved collection

TYPE OF REVIEW REQUESTED: Regular

ICR REFERENCE NUMBER: 201402-0648-006

AGENCY ICR TRACKING NUMBER:

TITLE: Atlantic Herring Amendment 5 Data Collection

LIST OF INFORMATION COLLECTIONS: See next page

OMB ACTION: Approved without change

OMB CONTROL NUMBER: 0648-0674

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: 02/28/2017

DISCONTINUE DATE:

BURDEN:	RESPONSES	HOURS	COSTS
Previous	0	0	0
New	16,065	1,231	46,877
Difference			
Change due to New Statute	0	0	0
Change due to Agency Discretion	16,065	1,231	46,877
Change due to Agency Adjustment	0	0	0
Change due to PRA Violation	0	0	0

TERMS OF CLEARANCE:

OMB Authorizing Official: Dominic J. Mancini
Acting Deputy Administrator,
Office Of Information And Regulatory Affairs

List of ICs			
IC Title	Form No.	Form Name	CFR Citation
Area 2/3 open access permit application	NA	Initial and renewal vessel permit	
Initial at-sea dealer permit application	NA	Initial Dealer Permit Application	
Renewal at-sea dealer permit application	NA	Dealer Initial Application (may be used for renewal)	
Dealer weekly reports			50 CFR 648.7
Weekly vessel trip report			50 CFR 648.10
VMS Installation			50 CFR 648.10
VMS certification and call-in for unit confirmation; VMS operation; automated polling costs			50 CFR 548.10
VMS trip declarations			50 CFR 648.10
VMS Daily Catch Reports	NA	VMS Catch Report	
Herring Pre-Landing Notification			50 CFR 648.10
Pre-trip notification to observer program			50 CFR 648.11
Trip cancellation notification to observer program			50 CFR 648.11
Released catch affidavit	NA	Released catch affidavit	
Vessel operator notification of species lb to observer			50 CFR 648.11

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
ATLANTIC HERRING AMENDMENT 5 FAMILY OF FORMS
OMB CONTROL NO. 0648-0674**

A. JUSTIFICATION

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

This is a resubmission with Final Rule 0648-AY47, of a new information collection to support regulatory changes to the Atlantic Herring Fishery Management Plan (FMP). No comments were received regarding the information collection requirements; however, some information collections were removed based on NMFS analysis and decisions (see below).

FMPs for Federal Fisheries managed under the National Ocean and Atmospheric Administration's (NOAA) National Marine Fisheries Service (NMFS) are developed under the authority of the Magnuson-Stevens Fishery Conservation and Management Act (Magnuson-Stevens Act).

Amendment 5 to the Atlantic Herring FMP (Amendment 5) was developed by the New England Fishery Management Council (Council) to: improve the collection of real-time, accurate catch information for the Atlantic herring fishery; enhance the monitoring and sampling of catch at-sea; and address bycatch issues, in particular bycatch of river herring and shad, through responsible management.

Information collection requirements contained in Amendment 5, which were put forth in Proposed Rule 0648-AY47 (published June 3, 2013 (78 FR 33020), with a comment period ending July 18, 2013) and codified in 50 CFR 648, will be ultimately be added to existing information collections.

On July 18, 2013, NMFS partially approved Amendment 5 on behalf of the Secretary. NMFS sent a letter to the Council on July 19, 2013, informing it of the partial approval of Amendment 5. The disapproved measures in Amendment 5 lacked adequate rationale or development by the Council, and NMFS had utility and legal concerns with the implementation of these measures.

The disapproved measures that had information collection requirements consist of: A requirement that Atlantic herring dealers that do not sort landings by species document, at each transaction, how they estimate the relative composition of catch, and requirements for a \$325 per day industry contribution for observer coverage. NMFS expressed potential concerns with these measures throughout the development of this amendment. The proposed rule for Amendment 5 described potential concerns about these measures' consistency with the MSA and other applicable law. NMFS determined these measures must be disapproved because they were inconsistent with the MSA and other applicable law. The information collection requirements for the dealer reporting requirement, the \$325 per day industry contribution, and the requirements for new observer service providers have been removed from this information collection.

The remaining items outlined in this information collection include:

- A new open access herring permit with 20,000 lb possession limit in Areas 2/3 for limited access mackerel permit holders;
- Provisions for new herring at-sea dealer permit;
- An increase in the number of vessels required to submit herring pre-landing notifications through onboard vessel monitoring systems (VMS);
- The elimination of the VMS power-down exemption for vessels issued Atlantic herring permits;
- The option to use VMS to declare into the herring fishery in lieu of applying for a Letter of Authorization (LOA) for herring carriers;
- Gear declarations for limited access herring vessels;
- Observer notification requirement for all limited access herring vessels, and the herring carriers; and
- A requirement for vessel captains to submit a released catch affidavit documenting slippage events.

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.

The information collections that result from Amendment 5 will be used by several offices of NMFS, the United States Coast Guard (USCG), the New England Fishery Management Council (NEFMC), the Mid-Atlantic Fishery Management Council (MAFMC), state fishery management agencies, academic institutions, and other fishery research and management organizations to evaluate current management programs and future management proposals. All information collections are necessary for improved monitoring of the Atlantic herring fishery.

Areas 2/3 Open Access Herring Permit

Amendment 5 would establish a new open access herring permit for vessels engaged in the mackerel fishery. The new Areas 2/3 Open Access Herring Permit would allow vessels to possess up to 20,000 lb of herring per trip in herring management Areas 2 and 3. The new permit is intended to prevent discarding of Atlantic herring by limited access mackerel vessels that do not also have a limited access Atlantic herring permit. Vessels that have not been issued a limited access herring permit but have been issued a limited access mackerel permit would be eligible for the Areas 2/3 Open Access Herring Permit. Vessels may hold both open access herring permits at the same time.

The new open access permit would be subject to a number of the same reporting requirements as other herring permits. Permit holders would be required to submit vessel trip reports (VTRs) (Form 88-30 approved under OMB Control Number 0648-0212) on a weekly basis. In addition, they would be required to install and maintain a VMS unit on their vessels and declare intent to target Atlantic herring via VMS.

Atlantic Herring At-Sea Dealer Permit

Herring carriers typically receive herring from harvesting vessels and transport those herring to Federal dealers. The harvesting vessel reports those herring as catch, and dealers report those herring as a purchase. NMFS verifies the amount of herring caught by comparing the amount reported by the harvesting vessel against the amount reported by the dealer. If the herring transported by a herring carrier is not purchased by a Federal dealer, then NMFS does not have any dealer reports to compare to the vessel reports. Amendment 5 would establish an At-Sea Atlantic Herring Dealer Permit that would be required for herring carriers that sell herring, rather than deliver those fish on behalf of a harvesting vessel to a dealer for purchase. This permit would require compliance with Federal dealer reporting requirements. Vessels that have both an At-Sea Atlantic Herring Dealer Permit and a Federal fishing permit would be required to fulfill the reporting requirements of both permits while in possession of both permits, as appropriate. NMFS expects the reporting requirements for the At-Sea Atlantic Herring Dealer Permit to minimize instances where catch is reported by harvesting vessels but then cannot be matched to dealer reports; thereby improving catch monitoring in the herring fishery.

Pre-landing notifications

Currently, vessels with Category A or B permits, and vessels with a Category C permits fishing with midwater trawl gear in Areas 1A, 1B, and/or 3 are subject to a pre-landing VMS notification requirement. Amendment 5 would expand this pre-landing VMS notification requirement so that vessels with limited access herring permits, the new Area 2/3 Open Access permit, and vessels declaring herring carrier trips via VMS must notify NMFS Office of Law Enforcement via VMS of the time and place of offloading at least 6 hours prior to crossing the VMS demarcation line on their return trip to port, or if a vessel does not fish seaward of the VMS demarcation line, at least 6 hours prior to landing.

Elimination of Power-down Exemption

Limited access herring vessels are currently able to turn off (i.e., power-down) their VMS when in port, if they do not hold other permits requiring continuous VMS reporting. Vessels authorized to turn off their VMS in port must submit a VMS activity declaration prior to leaving port. Amendment 5 would prohibit vessels with herring permits from turning off their VMS when in port, unless specifically authorized by NMFS. A vessel representative would request a letter of exemption (LOE) from NMFS to turn off its VMS if that vessel will be out of the water for more than 72 hr. Herring vessels would not be allowed to turn off their VMS until they have received an LOE from NMFS. Additionally, a vessel owner would be able to sign a herring vessel out of the VMS program for a minimum of 30 days by requesting and obtaining an LOE from NMFS. When VMS units are turned off, consistent with an LOE, the vessel would not be able to leave the dock until the VMS unit was turned back on. Amendment 5 would prohibit herring vessels from turning off VMS units in port to improve the enforcement of herring regulations and help make herring VMS regulations consistent with VMS regulations in other Northeast fisheries. This requirement was approved under OMB Control Number 648-0202 and it will eventually be removed from that information collection.

Removal of weekly VTR requirement for Herring Carriers

Amendment 5 would exempt herring carriers from the VTR requirements associated with their vessel permits. Vessels issued herring permits are required to submit weekly VTRs to NMFS. However, dealers have incorrectly attributed catch to herring carrier vessels, rather than correctly attributed catch to the appropriate harvesting vessel, by reporting the herring carrier's VTR serial number rather than the VTR serial number of the harvesting vessel. To help prevent catch being attributed to the wrong vessel and minimize data mismatches between vessel and dealer reports, Amendment 5 would exempt herring carriers from the VTR requirement associated with their herring permit. Dealers would still be responsible for correctly reporting the VTR serial number of the vessel that harvested the herring. This requirement was approved under OMB Control Number 648-0212 and, upon renewal, will be removed from that information collection.

VMS Declaration for Herring Carriers

Currently, herring carriers are vessels that may receive and transport herring caught by another fishing vessel, provided the herring carrier has been issued a herring permit, does not have any gear on board capable of catching or processing herring, and has been issued a letter of authorization (LOA) from the NMFS Regional Administrator (RA). The herring carrier LOA exempts the herring carrier from possession limits and catch reporting requirements associated with the vessel's herring permit. To allow time for the processing, issuance, and, if necessary, cancellation of the LOAs, the herring carrier LOAs have a minimum 7-day enrollment period. During the LOA enrollment period, vessels may only act as herring carriers and they may not fish for any species or transport species other than herring.

Amendment 5 would allow vessels to choose between enrolling as a herring carrier with an LOA and declaring a herring carrier trip via VMS. If a vessel chooses to declare a herring carrier trip via VMS, it would be allowed to receive and transport herring caught by another fishing vessel provided the herring carrier has been issued a herring permit, does not have any gear on board capable of catching or processing fish, and only transports herring. By declaring a herring carrier trip via VMS, a vessel would be exempt from the catch reporting (i.e., daily VMS reporting) associated with its herring permit and not bound by the 7-day enrollment period of the LOA. A vessel declaring a herring carrier trip via VMS may only act as a herring carrier and may not fish for any species or transport species other than herring. This measure would increase operational flexibility by allowing vessels to schedule herring carrier trips on a trip-by-trip basis. Vessels that do not possess a VMS or choose not to declare a herring trip via VMS may still act as carriers by obtaining a herring carrier LOA from the NMFS RA and operating in accordance with the LOA requirements.

Gear declaration for limited access herring vessels

Vessels with limited access herring permits are currently subject to a VMS activity declaration. Amendment 5 would expand the VMS activity declaration requirement by adding a gear code declaration. Open access permit holders are not currently subject to VMS requirements, and are not affected by this change.

Observer notification requirements

Amendment 5 would expand and modify trip notification and VMS requirements for vessels with herring permits to assist with observer deployment and provide enforcement with advance notice of trip information to facilitate enforcement monitoring of landings. Currently, vessels

with Category A or B permits, as well as any vessels fishing with midwater trawl gear in Areas 1A, 1B, and/or 3, are required to contact NMFS at least 72 hr in advance of a fishing trip to request an observer. Amendment 5 would modify this pre-trip observer notification requirement, such that vessels with limited access herring permits, vessels with open access Category D permits fishing with midwater trawl gear in Areas 1A, 1B, and/or 3, vessels with open access Category E permits, and herring carrier vessels would be required to contact NMFS at least 48 hr in advance of a fishing trip to request an observer. This measure would assist NMFS's scheduling and deployment of observers across the herring fleet, with minimal additional burden on the industry, helping ensure that observer coverage targets for the herring fishery are met.

NMFS intends for the change from a 72-hr notification requirement to a 48-hr notification requirement to allow vessels more flexibility in their trip planning and scheduling. The list of information that must be provided to NMFS as part of this pre-trip observer notification is described in the proposed regulations. Vessels with herring permits currently contact NMFS via phone. If a vessel is required to notify NMFS to request an observer before its fishing trip, but it does not notify NMFS before beginning the fishing trip, that vessel would be prohibited from possessing, harvesting, or landing herring on that trip. If a fishing trip is cancelled, a vessel representative must notify NMFS of the cancelled trip, even if the vessel is not selected to carry an observer. All waivers or selection notices for observer coverage will be issued by NMFS to the vessel via VMS so the vessel would have an on-board verification of either the observer selection or waiver.

If an observer is not available through the observer program, Category A and B herring vessels required to carry an observer must arrange for carrying a Northeast Fisheries Observer Program (NEFOP) certified observer from an approved observer service provider. The owner, operator, or vessel manager of a vessel selected to carry an observer must contact the observer service provider by phone and must provide at least 48 hours for the provider to arrange for observer deployment for a specified trip.

An owner, operator, or vessel manager of a vessel who cannot procure a certified observer within 48 hours of the notification to the provider, due to the unavailability of an observer, may request a waiver from the requirement for observer coverage for that trip, but only if the owner, operator, or vessel manager has contacted all of the available observer service providers to secure observer coverage. To request a waiver based on the unavailability of observers, an owner, operator, or vessel manager of the vessel must call the NEFOP. If the NEFOP confirms that no observers are available, it will issue a waiver within 24 hours.

Finally, Amendment 5 would require that when vessels issued limited access herring permits are working cooperatively in the Atlantic herring fishery, including pair trawling, purse seining, and transferring herring at-sea, vessels must provide to observers, when requested, the estimated weight of each species brought on board or released on each tow.

Released Catch Affidavits

In 2009, NMFS implemented a requirement that herring midwater trawl vessels complete released catch affidavits after any slippage event in NE Multispecies Closed Area I. This was approved under OMB Control No. 0648-0593. Amendment 5 has 2 provisions that require released catch affidavits. One of them extends the provision approved under 0593 to all NE

Multispecies Closed areas (i.e. affidavits required for slippage on any midwater trawl herring trip in a multispecies closed area). The other requires a released catch affidavit on any slippage event on any herring vessel (i.e. any area throughout the EEZ, any gear type). Since the second provision is more expansive than the first (and effectively overlaps with the first), it is only necessary to describe the burden associated with the more restrictive provision.

NOAA 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. See response to Question 10 of this Supporting Statement for more information on confidentiality and privacy. 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.

After the initial permit issuance, permit renewal has been made as simple as possible and currently feasible for both the public and the issuing office. The information obtained from current permits is used to prepare a computer-generated, pre-printed renewal permit, which is sent to the permit holder for updating. If there are no changes in the information required on the permit, renewal requires only the applicant's signature. This feature minimizes the reporting burden on the public as well as the administrative burden on the agency. Permit information and all initial permit applications are posted as fillable Adobe Acrobat documents (PDF file format) on the NE Regional Office's (NERO) web site: <http://www.nero.noaa.gov>. Posting this information on the internet makes it widely available to the public, thereby reducing both public and administrative burden. At this time, permit applications, with signature and accompanying documents, must be mailed.

Federally permitted dealers are required to submit detailed, electronic reports of all purchases from fishing vessels. Dealers submit transaction information through an online data entry form available at <http://www.accsp.org/safis.htm>.

Due to the required confidentiality of fish purchase reports, information sent from dealers to NMFS is subject to strict encryption standards and is available only to authorized agency personnel and the submitter. Dealers receive a username and personal identification number (PIN) that enables them to log onto a secure site and submit their reports. Dealers are also allowed to access, review, and edit the information they have submitted using a secure procedure similar to those in common usage throughout the banking industry. These submission constitute the official reports as required by the various FMPs in the Northeast region.

All data submitted through the vessel's VMS unit is electronic. VMS vessel polling is automated and besides for the initial cost, does not impose any burden on commercial fishing vessels.

The observer providers and vessels submit materials to NMFS/NEFOP via email, fax, mail or phone call. Instructions for providers and vessels are available on the NERO web site.

4. Describe efforts to identify duplication.

The information to be collected through the issuance of permits is not duplicated elsewhere.

The information collected on daily VMS catch reports is often duplicated on vessel trip reports (VTRs) which are approved under the 0648-0212 family of forms. However, VMS daily catch reports are necessary to monitor fisheries catch in real-time. VTRs are submitted to NMFS on a weekly or monthly basis, and are therefore used to cross-check the accuracy of the daily VMS catch reports.

The application processes and information submissions for the observer program and vessels are unique to the Atlantic herring observer program, and direct duplication with other collections does not exist.

None of the other information collected through this family of forms is duplicated elsewhere.

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

Only the minimum data needed to meet the objectives of Amendment 5 are requested from all respondents. Since most of the respondents are small businesses, separate requirements based on the size of business have not been developed.

For initial and renewal vessel and dealer permits, as well as applications for observer service providers, detailed instructions are included with the application to help facilitate proper completion of the form. NMFS also sends bulletins detailing reporting requirements to all permitted entities.

NMFS has currently certified three vendors to provide VMS service to vessels participating in the fisheries that require VMS as a condition of their permits. Each vendor offers comparable equipment and services over a range of prices. This reduces the burden on the public by increasing competition among vendors, thereby decreasing costs to the fishing industry to obtain and operate a VMS unit. Further, the increased variety of VMS units may allow vessel owners/operators to select the most economical and efficient unit to purchase, therefore minimizing costs associated with VMS.

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

To the extent practicable, frequency of information collection under this family of forms has been minimized. To reduce the frequency any further would compromise the intent of each collection of information requirement.

Information on permit applications and renewal forms for vessels, dealers, and operators, is necessary for accurately tracking information about who is issued permits annually, gathering data on permit holders, and ensuring compliance with fishing regulations. Furthermore, this

information (in a consolidated form) is used by a variety of researchers, students, and managers when making important fisheries policy decisions.

All information is required for the efficient operation of the Atlantic herring observer program must be submitted in the time frames requested. Collecting this information less frequently would jeopardize the goals and objectives of the observer program and the effective management of the Atlantic herring fishery.

VMS units are crucial for enforcing area based fishing regulations; without VMS tracking of fishing vessel activity, it would be near impossible to monitor whether fishing vessels are complying with such regulations. VMS catch reporting is vital to gaining real-time data on fish catch. Without such information, or if the information was collected less frequently, it would be very difficult to monitor fisheries quotas and ensure sustainable harvests that prevent overfishing.

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

The data collection is consistent with 5 CFR 1320.6 guidelines except that it requires information to be reported more frequently than quarterly. The need for this is described in Question 6.

8. Provide information on 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 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 proposed rule for Amendment 5 to the Atlantic herring FMP was published on June 3, 2013 (78 FR 33020), with a comment period ending July 18, 2013. The proposed rule solicited public comment on the information collections contained in this submission. There were no comments submitted regarding the utility of the information collection, the accuracy of the burden estimates, ways to enhance the quality, utility, and clarity of the information to be collected, or ways to minimize the burden of information collected.

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

No payment or gift will be made to respondents.

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

All data will be handled in accordance with NOAA Administrative Order 216-100, Confidentiality of Fisheries Statistics, and will not be released for public use except in aggregate statistical form (and without identifying the source of data, i.e., vessel name, owner, etc). In addition, any information collected under the Permit Family of Forms would be considered confidential and would not be disclosed except as provided in Section 402(b) of the Magnuson-Stevens Act.

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.

There are no questions of a sensitive nature involved in this collection of information.

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

The time burden of this information collection is presented in Table 1. **The total annual responses are 16,065 and annual time burden is 1,231 hours.**

Areas 2/3 Open Access Herring Permit

Many of the new vessels that would qualify for this permit are already subject to permit and reporting requirements (weekly VTR, VMS, permit renewal) for other Northeast Region permits. This collection only estimates the burden for the few vessels that would not have already been subject to these requirements related to other permits. Analysis of the permits issued as of April 2013 suggests that a maximum of 6 out of 80 new permit holders would be subject to several of the new requirements related to this permit. Only the daily VMS catch report will be new to all 80 qualifiers for this permit.

There would be a short application process to obtain a new Areas 2/3 Open Access Herring Permit. Fishery participants eligible for this permit would be easily identifiable, as only vessels with limited access mackerel permits could qualify. The Northeast Regional Office would likely directly mail all qualifiers and ask them to check a box and sign to indicate that would like the new permit. The form to indicate the desire for this new permit would take 1 minute to complete, **for a total burden of 1 hour (80 applications * 1 minute).**

The new Areas 2/3 Open Access Herring Permit would require the vessel to purchase and maintain a VMS. Because other Northeast Federal permits require vessels to maintain a VMS, it is estimated that only 6 vessels issued open access herring permits do not already have a VMS. **The VMS certification form takes an estimated 5 minutes to complete, and the call to confirm a VMS unit takes an estimated 5 minutes to complete. The total burden to confirm VMS installation is 1 hour (6 vessels * 5 minutes per certification form + 6 vessels * 5 minutes per installation call).**

Northeast Region regulations require VMS trip declarations, which take an estimated 5 minutes to complete. **If a vessel takes an average of 5 trips per year** (based on trip report records for other existing herring permits. This new permit is most similar to the existing Category D permits, which take an estimated 5 trips per year), **the total burden estimate would be 2 hours (6 vessels * 5 minutes * 5 declarations)**. Permit holders would also be required to submit a daily VMS catch report that would take an estimated 5 minutes to complete. **The total annual time burden for daily VMS catch reports is 67 hours (5 minutes per catch report * 5 trips * 2 days per trip * 80 vessels).**

Holders of the new Area 2/3 Open Access permit would also be required to submit weekly VTRs (52 per year). Since all vessels that qualify for this new permit would already be submitting monthly reports related to their limited access mackerel permits (currently approved under OMB Control No. 0648-0212), this information collection would add 40 (52 minus 12) reports per year. **VTRs are estimated to take 5 minutes to complete, so the total burden for weekly VTR submissions is 20 hours (40 weeks * 5 minutes * 6 vessels).***

Atlantic Herring At-Sea Dealer Permit

There would be a new reporting burden associated with obtaining an At-Sea Herring Dealer Permit. The new herring dealer permit is for herring carriers that sell fish. Historically, approximately 25 vessels per year have been issued an LOA to act a herring carrier. The application for an At-Sea Herring Dealer Permit would take an estimated 15 minutes to complete, for a **total burden of 6 hours (25 initial applications * 15 minutes)**. The annual burden estimate to renew an At-Sea Herring Dealer Permit would be **5 minutes to complete the renewal, for a total burden of 2 hours (25 renewal applications * 5 minutes)**.

Vessels issued the new At-Sea Herring Dealer permit would also be required to submit dealer reports. Dealer reports take 15 minutes to complete and must be submitted weekly (52 times per year), for a **total burden of 325 hours (25 initial applications * 15 minutes * 52 per year)**.

Elimination of Power-down Exemption

Amendment 5 would remove a VMS power-down exemption for herring vessels and a catch reporting requirement for herring carrier vessels. Amendment 5 would prohibit herring vessels from powering-down their VMS units in port, unless specifically authorized by the NMFS RA. The existing power-down exemption was approved under OMB Control Number 0648-0202 and, upon renewal, will be removed from that information collection.

* All existing herring permits require weekly vessel trip reports, so it makes sense to have this new herring permit submit VTRs on the same schedule. Most NE region permits are moving towards weekly VTR submission (up from monthly) to allow for a more timely cross-check with other catch data submissions. For several other NE Region fisheries there was already a change from monthly to weekly last year (submitted as change requests).

Negative VTR reports are also required, as an indication that the vessel is not fishing for a given week. If NMFS receives no report, they don't know whether the vessel is not complying with the regulation, or has taken a week off of fishing. The negative report lets us know they are doing the latter.

Finally, many vessels have a number of NE Region permits, so the weekly submissions cover all landings, even when a vessel has switched to another species for a time period.

Removal of weekly VTR requirement for Herring Carriers

Amendment 5 would also remove the existing weekly VTR requirement for herring carrier vessels. That requirement was approved under OMB Control Number 648-0212 and, upon renewal, will be removed from that information collection.

Pre-landing notifications

Amendment 5 would expand the number of herring vessels required to submit a VMS pre-landing notification and would add a gear declaration to the existing VMS activity declaration requirement. A subset of herring vessels are currently required to notify NMFS OLE via VMS 6 hours prior to landing, and this action proposes to expand that requirement to all limited access herring vessels, vessels issued the new Areas 2/3 Open Access Herring Permit (Category E), and herring carrier vessels. It is estimated that Amendment 5 would require an additional 51 Herring Category C vessels, 80 Herring Category E vessels, and 25 herring carriers to submit VMS pre-landing notification. Each VMS pre-landing notification is estimated to take 5 min to complete.

Category C vessels are estimated to take an average of 13 trips per year, so the total annual burden estimate for a Category C permits is **55 hours (13 trips * 51 vessels * 5 minutes)**.

The new Category E vessels would take an estimated 5 trips per year, so the total annual burden estimate for a Category E vessel making VMS pre-landing notifications would be **33 hours (5 trips * 80 vessels * 5 minutes)**.

Herring carriers are estimated to take an average of 4 trips per year, so the total annual burden estimate for a herring carrier making VMS pre-landing notifications **8 hours (4 trips * 25 vessels * 5 minutes)**.

Gear declaration for limited access herring vessels

The proposed gear declaration would apply to limited access herring vessels. There would be no additional reporting burden associated with the gear declaration because it would only be an additional field added to the existing VMS pre-trip notification requirement, approved under OMB Control No. 0648-0202.

VMS Declaration for Herring Carriers

Amendment 5 would allow vessels to choose between enrolling as a herring carrier with LOA or declaring a herring carrier trip via VMS. Vessels may declare a herring carrier trip via VMS, if they already have and maintain a VMS, or continue to request an LOA. There would be no additional reporting burden associated with this measure because both the LOA and the VMS pre-trip notifications are existing requirements for herring vessels.

Observer notification requirements

Amendment 5 would increase the reporting burden for measures designed to improve at-sea sampling by NMFS-approved observers. A subset of herring vessels are currently required to notify NMFS to request an observer, and this action proposes to expand that requirement to all limited access herring vessels, vessels issued the new Areas 2/3 Open Access Herring Permit (Category E), and herring carrier vessels. This pre-trip observer notification requirement is estimated to affect 156 additional vessels, each of which is estimated to take 25 trips per year. Vessels would be required to call NMFS to request an observer at least 48 hours prior to

beginning a herring trip. The phone call is estimated to take 5 minutes to complete, for a total annual burden of **325 hours (156 vessels * 25 trips * 5 minutes)**.

If a vessel has already contacted NMFS to request an observer and then decides to cancel that fishing trip, Amendment 5 would require that vessel to notify NMFS of the trip cancellation. The call to notify NMFS of a cancelled trip is estimated to take 1 min to complete. Since each vessel has the potential to cancel every trip for which it submitted notification, the total annual burden of the cancellation call is **65 hours (156 vessels * 25 trips * 1 minute)**.

Amendment 5 would require that when vessels issued limited access herring permits are working cooperatively in the Atlantic herring fishery, including pair trawling, purse seining, and transferring herring at-sea, vessels must provide to observers, when requested, the estimated weight of each species brought on board or released on each tow. NMFS expects that the vessel operator would do this for each trip, and not on a tow by tow basis. Vessel operators should have this information recorded and available to report to the observer, so NMFS estimates the response to take 1 minute. The total annual burden for this requirement is **18 hours (42 vessels * 25 trips * 1 minute)**.

Released Catch Affidavits

In 2009, NMFS implemented a requirement that herring midwater trawl vessels complete released catch affidavits after any slippage event in NE Multispecies Closed Area I. This was approved under OMB Control No. 0648-0593. Amendment 5 has 2 provisions that require released catch affidavits. One of them extends the provision approved under 0593 to all NE Multispecies Closed areas (i.e. affidavits required for slippage on any midwater trawl herring trip in a multispecies closed area). The other requires a released catch affidavit on any slippage event on any herring vessel (i.e. any area throughout the EEZ, any gear type). Since the second provision is more expansive than the first (and effectively overlaps with the first), it is only necessary to describe the burden associated with the more restrictive provision. The reporting burden for completion of the second released catch affidavit is estimated to average 5 minutes. The affidavit requirement would affect an estimated 93 limited access herring vessels. If those vessels slipped catch once per trip with an observer onboard, and took an estimated 38 trips per year, **the total annual reporting burden for the released catch affidavit would be 295 hours (93 vessels * 38 trips per year * 5 minutes)**.

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 Question 12 above).

The cost burden of this information collection is presented in Table 1. **The total annual cost for all requirements in this information collection is \$46,877.**

Areas 2/3 Open Access Herring Permit

The application to request an Areas 2/3 Open Access Herring Permit would cost **\$0.45 to mail, for a total annual cost of \$36.**

The new Areas 2/3 Open Access Herring Permit would require the vessel to purchase and maintain a VMS. Because other Northeast Federal permits require vessels to maintain a VMS, it is estimated that only 6 vessels issued open access herring permits do not already have a VMS.

The average cost of purchasing and installing a VMS is \$3,400, the VMS certification form costs \$0.45 to mail, and the call to confirm a VMS unit costs \$1. The average cost of maintaining a VMS is \$600 per year. The total cost to install and maintain a VMS unit is **\$24,009** (**[6 vessels * \$3,400 = \$20,400] + [6 vessels * \$0.45 + 6 vessels * \$1 = \$9] + [6 vessels * \$600 = \$3,600]**).

Northeast regulations require VMS trip declarations and automated polling of VMS units to collect position data: **1) Each trip declaration costs \$0.50 to transmit, for a total cost of \$15** (**$\$0.50 * 5 \text{ trips} * 6 \text{ vessels}$**); **2) Each automated polling transmission costs \$0.06. Since automated polling occurs once every hour for each day of the year, the total annual cost is \$3,154** (**$\$0.06 * 365 \text{ days per year} * 24 \text{ hours} * 6 \text{ vessels}$**). Vessels are also required to submit a daily VMS catch report, at a cost of \$0.60 per transmission. The total annual cost for daily VMS catch reports is \$480 ($\$0.60 \text{ per catch report} * 5 \text{ trips} * 2 \text{ days per trip} * 80 \text{ vessels}$).

The new Area 2/3 Open Access permit would also be required to submit weekly VTRs (52 per year). Recall from Question 12 above that these new permits would only have to submit an additional 40 reports per year over their current monthly VTR reporting requirement. **VTRs cost \$0.45 to mail, for a total annual cost of \$108** (**$40 \text{ additional reports} * \$0.45 * 6 \text{ vessels}$**).

Atlantic Herring At-Sea Dealer Permit

The cost for mailing the initial application for the at-sea dealer permit would be \$0.45 per application, for a total cost of \$11 (**$\$0.45 * 25 \text{ initial applications}$**). **The renewal application would also result in a total annual cost of \$11** (**$\$0.45 * 25 \text{ renewals}$**). There is no cost for the weekly dealer reports, which are submitted electronically (start-up costs covered in another submission).

The 25 vessels that may obtain the new at-sea dealer permit proposed under Amendment 5 may not already accessing the Internet for other reasons/requirements, and would have to obtain internet access. Internet access would be required for the submission of weekly dealer reports. **Operating costs consist of Internet access available through either dial up or cable modem, with an average annual cost for Internet of \$652. Thus the annual recordkeeping/reporting cost for this information collection is \$16,300** (**$\$652 * 25 \text{ vessels permitted as at-sea dealers}$**). **The per-report cost** (**$52 \text{ days} * 25 \text{ vessels} = 1,300$**) **would be \$12.54** (**rounded up from 12.5384615**).

Elimination of Power-down Exemption

Amendment 5 would remove a VMS power-down exemption for herring vessels and a catch reporting requirement for herring carrier vessels. Amendment 5 would prohibit herring vessels from powering-down their VMS units in port, unless specifically authorized by the NMFS RA. The existing power-down exemption was approved under OMB Control Number 0648-0202 and, upon renewal, will be removed from that information collection.

Removal of weekly VTR requirement for Herring Carriers

Amendment 5 would also remove the existing weekly VTR requirement for herring carrier

vessels. That requirement was approved under OMB Control Number 648-0212 and, upon renewal, will be removed from that information collection.

Pre-landing notifications

Each VMS pre-landing notification cost \$1.

Category C vessels are estimated to take an average of 13 trips per year, so **the total cost for a Category C permits is \$663 (13 trips * 51 vessels * \$1).**

The new Category E vessels would take an estimated 5 trips per year, so the total cost for a Category E vessel making VMS pre-landing notifications would be **\$400 (5 trips * 80 vessels * \$1).**

Herring carriers are estimated to take an average of 4 trips per year, so the total cost for a herring carrier making VMS pre-landing notifications is **\$100 (4 trips * 25 vessels * \$1).**

Gear declaration for limited access herring vessels

The proposed gear declaration would apply to limited access herring vessels. There would be no additional cost associated with the gear declaration because it would only be an additional field added to the existing VMS pre-trip notification requirement, approved under OMB 0648-0202.

VMS Declaration for Herring Carriers

Amendment 5 would allow vessels to choose between enrolling as a herring carrier with LOA or declaring a herring carrier trip via VMS. Vessels may declare a herring carrier trip via VMS, if they already have and maintain a VMS, or continue to request an LOA. There would be no additional cost associated with this measure because both the LOA and the VMS pre-trip notifications are existing requirements for herring vessels.

Observer notification requirements

The pre-trip observer notifications, as well as the trip cancellation notification, are calls to NMFS. The cost of these calls is negligible, so there is no additional cost for these requirements. There is no cost for vessels to provide to observers the estimated weight of each species brought on board or released on each tow.

Released Catch Affidavits

The released catch affidavits must be submitted by mail, for \$0.45 per submission. If each of the 93 vessels required to submit the affidavits slipped catch once per trip with an observer onboard, and took an estimated 38 trips per year, the total annual cost for the released catch affidavit would be **\$1,590 (93 vessels * 38 trips per year = 3,534 * \$0.45).**

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

The total annualized cost to the Federal government from the herring observer program is **\$119,077** and is detailed in Table 1. This is the cost to the Federal government based on 4,763 hours at a rate of \$25 per hour.

15. Explain the reasons for any program changes or adjustments.

As described above, this information collection request includes new information collection burdens associated with the provisions included in Amendment 5, and would be used to implement and manage the provisions proposed above.

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

Results from this collection may be used in scientific, management, technical, or general informational publications such as Fisheries of the United States, which follows prescribed statistical tabulations and summary table formats. Data are available to the general public on request in summary form only. Data are available to NMFS employees in detailed form on a need-to-know basis only.

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.

Vessel trip declarations and VMS catch report for Atlantic herring are presented through an electronic prompt on VMS units. Thus, the OMB control number will not be displayed.

18. Explain each exception to the certification statement.

Not Applicable.

B. COLLECTION OF INFORMATION EMPLOYING STATISTICAL METHODS

No statistical methods are employed in the information collection procedures. The requirements are mandatory for all participants in the indicated fisheries.

Table 1.

				Public				Government		
	Number of entities	Items per entity	Total # of items	Response time (minutes)	Total time burden (hours)	Cost per item	Total Public cost	Response time per item (minutes)	Total Government Response Time	Total Government Cost
Areas 2/3 Open Access Permit										
Initial Permit Application	80	1	80	1	1	\$0.45	\$36	15	20	\$500
Herring at-sea dealer permit										
Initial Permit Application	25	1	25	15	6	\$0.45	\$11	60	25	\$625
Permit Renewal Application	25	1	25	5	2	\$0.45	\$11	60	25	\$625
Dealer Reports	25	52	1300	15	325	\$652.00	\$16,300	60	1300	\$32,500
Reporting Requirements for Areas 2/3 Open Access Herring Permit										
Weekly VTR	6	40	240	5	20	\$0.45	\$108	60	240	\$6,000
VMS installation	6	1	6	60	6	\$3,400.00	\$20,400	0	0	\$0
VMS Certification Form	6	1	6	5	1	\$0.45	\$3	10	1	\$25
Call-in for Unit Confirmation	6	1	6	5	1	\$1.00	\$6	10	1	\$25
Trip Declaration	6	5	30	5	3	\$0.50	\$15	10	5	\$125
VMS Operation	6	1	0	0	0	\$600.00	\$3,600	0	0	\$0
Automated VMS polling	6	8760	0	0	0	\$0.06	\$3,154	0	0	\$0
Daily VMS Catch Reports	80	10	800	5	67	\$0.60	\$480	10	133	\$3,333
Herring Pre-Land Notification										
Category C vessels	51	13	663	5	55	\$1.00	\$663	15	165.75	\$4,144
20K Area 2/3 herring permit	80	5	400	5	33	\$1.00	\$400	15	100	\$2,500
Herring Carrier	25	4	100	5	8	\$1.00	\$100	15	25	\$625
Observer reporting for vessels										
Pre-trip notification to observer program	156	25	3900	5	325	\$0.00	\$0	10	650	\$16,250
Trip Cancellation notification to observer program	156	25	3900	1	65	\$0.00	\$0	5	325	\$8,125
Released catch affidavit	93	38	3534	5	295	\$0.45	\$1,590	30	1767	\$44,175
Vessel operator notification of species lb to observer	42	25	1050	1	18	\$0.00	\$0	0	0	\$0
TOTALS			16,065		1,231		\$46,877		4763	\$119,077

Current Herring Catch Report:

This report is required by all limited access herring vessels on all declared herring trips. For each day of a declared trip, this report must be submitted by 9 am the following day. Negative reports (0 lb) must be submitted when no fish were caught.

VTR Serial Number (required field): _____

Date fish caught: Month_____ Day_____

Species:	Area 1A	Area 1B	Area 2	Area 3
Herring Kept (lb)	_____	_____	_____	_____
Herring Discarded (lb)	_____	_____	_____	_____
All Fish Kept (lb)	GOM Haddock Area		GB Haddock Area	
	_____		_____	

Note: 'All Fish Kept' must be completed ONLY by vessels using mid-water trawl gear in Areas 1A, 1B, and/or 3. Include total lb of all herring and non-herring.

GOM Haddock Area Includes: Stat Areas 464, 465 & 511 thru 515

GB Haddock Area Includes: Stat Areas 521, 522, 525, 526, 561, 562



UNITED STATES DEPARTMENT OF COMMERCE
National Oceanic and Atmospheric Administration
 NATIONAL MARINE FISHERIES SERVICE
 NORTHEAST REGION
 55 Great Republic Drive
 Gloucester, MA 01930-2298

RELEASED CATCH AFFIDAVIT

A vessel is prohibited from releasing fish from the codend except when pumping the catch is not possible due to a concern for vessel safety, mechanical failure, or spiny dogfish clog the pump intake. Following such a release, the vessel operator must complete and sign this form and return to port, as detailed at 50 CFR 648.XX. Completed and signed forms must be submitted within 48 hours of the conclusion of a trip to: **National Marine Fisheries Service, Office of Law Enforcement (OLE), 55 Great Republic Drive, Gloucester, MA, 01930.**

To be Completed by Vessel Captain

Vessel Name	Permit Number	Date & Time
Vessel Trip Report Serial Number		
Primary Reason for Release:	<input type="checkbox"/> Vessel Safety	<input type="checkbox"/> Mechanical Problems
	<input type="checkbox"/> Dogfish	
Please provide additional details on why the codend was released:		

	Pounds
Estimated total weight of tow:	
Estimated total weight of all fish released:	

Signature

Signature of this form certifies that the vessel operator attests that the information provided on this form is true, complete and correct to the best of their knowledge, and made in good faith (18 U.S.C. 1001). Making a false statement on this form is punishable by law.

Information obtained from the affidavit is held confidential as required by NOAA Administrative Order 216-100, Confidentiality of Fisheries Statistics, and would be used only in summarized form (without identifying the source of data, i.e., vessel name, owner, etc.) for management of the fishery in the future.

Notwithstanding any other provision of the law, no person is required to respond to, nor shall any person be subject to a penalty for failure to comply with, a collection of information subject to the requirements of the Paperwork Reduction Act, unless that collection of information displays a currently valid OMB Control Number.

Public reporting burden for this collection of information is estimated to average 5 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the information. Send comments regarding this burden estimate or suggestions for reducing this burden estimate or any other aspect of this collection of information to NMFS, 55 Great Republic Drive, Gloucester, MA 01930.

OMB Approval No. 0648-XXXX
 expires XX/XX/XXXX





United States Department of Commerce
 National Oceanic and Atmospheric Administration
 National Marine Fisheries Service
 Northeast Region
 55 Great Republic Drive
 Gloucester, MA 01930

Federal Northeast Seafood Dealer Initial Dealer Permit Application

SECTION 1 - DEALER INFORMATION

Southeast Dealer # (if available) _____

Company name: _____

Owner's Name: _____

Mailing Address: _____

City: _____ State : _____ Zip Code: _____

Telephone: _____ Fax Number: _____

**Vessel Name: _____ **Vessel Hull Number: _____

**** (if you are applying for an Atlantic Mackerel at Sea Processor permit, an Atlantic Herring at Sea Processor permit, or an Atlantic herring At-Sea Dealer Permit, you must enter a vessel name and hull number above and include a copy of the vessel's current Coast Guard Documentation or State Registration.)**

All corporations, LLCs, and partnerships must provide a copy of the Certificate of Incorporation listing the names of all partners, officers, and/or shareholders in the company. Failure to provide this information WILL DELAY the processing of your application.

If regulated species are purchased or received for commercial purposes at more than one place of business, each address must be listed. List those additional addresses on the back of this form in Section 1A.

SECTION 2 - FISHERIES

Select the fisheries desired by placing an (X) in the boxes provided. Select all fisheries that apply.

- | | | |
|---|---|---|
| <input type="checkbox"/> Atlantic bluefin tuna | <input type="checkbox"/> Northeast multispecies | <input type="checkbox"/> Scup |
| <input type="checkbox"/> Other Atlantic Tunas (Yellowfin, Bigeye, Skipjack, Albacore) | <input type="checkbox"/> American lobster | <input type="checkbox"/> Black sea bass |
| <input type="checkbox"/> Surfclam/Ocean quahog - Dealer | <input type="checkbox"/> Skate | <input type="checkbox"/> Monkfish |
| <input type="checkbox"/> Surfclam/Ocean quahog - Processor | <input type="checkbox"/> Atlantic mackerel at sea processor (**see note in Section 1) | <input type="checkbox"/> Atlantic bluefish |
| <input type="checkbox"/> Summer flounder | <input type="checkbox"/> Squid, Atlantic mackerel, butterfish | <input type="checkbox"/> Spiny Dogfish |
| <input type="checkbox"/> Atlantic sea scallop | <input type="checkbox"/> Atlantic herring - Dealer | <input type="checkbox"/> Tilefish |
| <input type="checkbox"/> Atlantic Hagfish | <input type="checkbox"/> Atlantic herring At Sea Processor (**see note in Section 1) | <input type="checkbox"/> Atlantic Deep-sea Red Crab |
| | <input type="checkbox"/> Atlantic herring At-Sea Dealer (**see note in Section 1) | <input type="checkbox"/> Atlantic herring |

SECTION 3 - OWNER'S NAME AND SIGNATURE

I affirm, subject to the penalties provided in 18 USC 1001, that all information I have given in obtaining this permit is true and correct.

Print Name: _____

Signature: _____

Date: _____

SECTION 1A - ADDITIONAL DEALER INFORMATION. If regulated species are purchased or received for commercial purposes at more than one place of business, each address must be listed below.

Company Address

Street:		
City:	State:	Zip:
Telephone:		

Company Address

Street:		
City:	State:	Zip:
Telephone:		

Company Address

Street:		
City:	State:	Zip:
Telephone:		

Company Address

Street:		
City:	State:	Zip:
Telephone:		

For further information, call Northeast Permits Operations at (978) 281-9370

The information requested on this form is not confidential and will be available to the general public upon request.

The Paperwork Reduction Act requires potential respondents for a dealer/processor permit be notified of certain information regarding their rights and the burden associated with applying for a Federal dealer/processor permit. One of the regulatory steps taken by the National Marine Fisheries Service (NMFS) to carry out conservation and management objectives is the requirement of a permit for users of the resources. All the fisheries included on this application require a permit to purchase, or otherwise receive for transport for a commercial purpose, other than solely for transport on land, species harvested by the owner or operator of a fishing vessel issued a Federal fisheries permit for these species. Section 303(b)(1) of the Magnuson-Stevens Fishery Conservation and Management Act (MSFCMA) specifically recognizes the need for permit issuance.

The purpose and use of permits is to: (1) register fish dealers and processor, (2) list the characteristics of dealer/processor operations, (3) exercise influence over compliance (e.g. withhold issuance pending collection of unpaid penalties and / or required reports), (4) provide a mailing list for the dissemination of important information to the industry, (5) provide a universe for data collection samples, and (6) obtain first purchase information on landings to evaluate the biological, economic and social implications of management measures.

Notwithstanding any other provision of the law, no person is required to respond to, nor shall any person be subject to a penalty for failure to comply with, a collection of information subject to the requirements of the Paperwork Reduction Act, unless that collection of information displays a currently valid OMB Control Number. Public reporting burden for this collection of information is estimated to average 15 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining data needed, and completing and reviewing the information. Send comments regarding this burden estimate or suggestions for reducing this burden to: National Marine Fisheries Service, Permit Office, 55 Great Republic Drive, Gloucester, MA 01930-2276.



United States Department of Commerce
National Oceanic and Atmospheric Administration
National Marine Fisheries Service
Northeast Region
55 Great Republic Drive
Gloucester, MA 01930

March 5, 2012

Dear Federal Fisheries Vessel Permit Applicant:

Enclosed is an Initial Federal Northeast Region (NER) Fishing Vessel Permit Application and Instructions. This package contains answers to some of the frequently asked questions about completing your application.

Important

Please read and follow the application instructions carefully. Failure to provide all required information and additional documentation on or with the application will result in the application being returned to you for completion and or correction. This may significantly delay the issuance of your permit.

Federal Vessel Operator Permit

It is the responsibility of the vessel owner to ensure that their vessel issued NER permits is operated by an individual(s) with a valid Federal Vessel Operator permit. Any individual operating a vessel that is issued NER Federal Fishing Permits and fishing in the EEZ is subject to the vessel operator permit requirements.

The Federal Vessel Operator Permit is a photo ID which is issued by NOAA Fisheries Service. This permit must be carried by the operator of the vessel. Operator permits are issued for a 3-year period and renewal applications are mailed 45 days before the expiration of the permit.

To ensure that your operator has a valid operator permit or to obtain an application, please call the Permit Office at 978-282-8438. You or the operator of your vessel can obtain an application online at <http://www.nero.noaa.gov/permits/forms.html> - the Operator application is contained on the second link down called *Initial Vessel Operator Permit*.

Reminder: Vessel operators are required to report their operator permit number when completing their Vessel Trip Reports (VTRs).

Reporting Requirements

Except as noted below, the owner or operator of a fishing vessel that has been issued a Federal NER Fishing Permit has VTR reporting requirements for all fishing trips taken, regardless of species targeted or waters fished. The two exceptions to this requirement exist for surfclam and ocean quahog vessels which are required to report on clam log reports and for vessels that have only been issued an American lobster permit, which has no Federal reporting requirements. For more information, please call the Vessel Trip Reporting Office at 978-281-9246.



Application requirements

The following documents are enclosed in this package to assist you in completing your application and to help you understand important measures you must comply with as a permit holder:

- ❖ Initial vessel application.
- ❖ Detailed permit application instructions, which include a list of permit categories.
- ❖ Vessel Trip Report (VTR) guidelines.
- ❖ Gillnet form (if applicable).
- ❖ Vessel Ownership form.
- ❖ Summary of control dates for NER fisheries.

This letter and the enclosures only summarize the legal requirements. For a complete understanding of your obligations, you should consult the Code of Federal Regulations. This information can be found at <http://www.nero.noaa.gov/nero/regs/>.

Gillnet Form

If applying for a category A, E, or F NE multispecies permit with the intention of fishing with gillnet gear, you must complete sections 1 and 3 of the Gillnet Form. If you wish to order gillnet tags for either the NE multispecies or monkfish gillnet fishery at this time, you must also submit a completed Gillnet Form.

For more information, please call Permits at 978-282-8458 or download the application at <http://www.nero.noaa.gov/permits/forms/GillnetTagOrderForm.pdf>

Sale of Your Catch Requirements

All vessels issued a Federal NER fishing vessel permit, except those fishing on a party/charter trip, are required to sell their catch of federally managed species only to seafood dealers with a valid Federal NER dealer permit for that species. Federally permitted vessels with NER permits may not sell their catch of federally managed species to persons or seafood dealers that do not have valid Federal NER dealer permits.

Lobster Permit Holders

If you possess a limited access Federal American lobster permit and intend to fish with lobster traps, you must declare into at least one lobster conservation management area (LCMA) and indicate traps (gear code 800) as a gear type on your Federal permit application. Note: A vessel owner has 45 days from the first effective date of his/her permit within a permit year to make a change to the American Lobster permit category. For more information, please call Sustainable Fisheries at 978-281-9246.

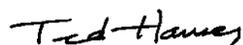
Tuna Permit Holders

Atlantic tunas vessel permits are issued through a separate permitting system, which can be accessed by phone at 888-872-8862 or via the Internet at www.nmfspermits.com.

Renew or Lose

All limited access permits for which your vessel is qualified must be renewed each fishing year. If you do not renew the vessel's limited access permit(s) in any fishing year, your vessel will no longer be eligible for the permit(s) in subsequent years.

Sincerely,



Ted Hawes, Operations Manager
Northeast Permit Office

Northeast Region Federal Fisheries Initial Permit Application



UNITED STATES DEPARTMENT OF COMMERCE
NATIONAL OCEANIC & ATMOSPHERIC ADMINISTRATION
NATIONAL MARINE FISHERIES SERVICE
PERMIT OFFICE
55 Great Republic Drive
GLOUCESTER, MA 01930-2276
Tel: (978) 281-9370



Section 1 - Vessel/Owner Information

Is this application for a vessel permit transfer? **Yes** **No**

If **Yes**, complete the vessel replacement portion of the Vessel Replacement, Upgrade, and Confirmation of Permit History Application.

Enter information in the spaces provided. All items must be completed.

Vessel Name: _____

Owner Name: _____

Mailing Address: _____

City: _____

State: _____

Zip: _____

Owner Telephone: _____

CG Documentation or State Registration Number: _____

Home Port: _____

Principal Port: _____

Email Address: _____

Section 2 - Vessel Information

Enter information in the spaces provided. All applicable items must be completed.

Vessel Length: _____
Overall length in feet.

Dredge Size: _____
Dredge size in feet.

Crew Size: _____
Average number or crew, including the captain.

Number of Dredges: _____
Total number of dredges aboard the vessel.

Gross Tonnage: _____
As recorded on US Coast Guard Documentation.

Pump Horsepower: _____
This item applies to surf clam/ocean quahog vessels only.

Year Built: _____
The year the vessel was built.

Construction: Please check _____ the number that applies to your vessel.

1=Wood 2=Fiberglass 3=Steel 4=Other

Engine HP: _____
The vessel engine horsepower.

Propulsion: Please check _____ the number that applies to your vessel.

1=Gasoline 2=Diesel 3=Other

Fish Hold Capacity: _____
Measured to the nearest 100 pounds.

Number of Charter/Party Passengers: _____
Number of passengers the vessel is licensed to carry.
(See page 3 of instructions for additional documents required)

Section 3 – Fishery Information

Gear Codes	120 – Purse Seine	210 – Beach Seine	220 – Boat Seines	310 – Bottom Trawl	320 – Midwater Trawl
330 –Other Trawl	410 – Dredge	700 – Gill/Entangling Nets	800 – Pots & Traps	911 – Hand Lines	912 – Rod & Reel
913 – Tub Trawl	1010 – Harpoons	920 – Longlines / Setlines	1400 – Diving Gear	1200 – Other Gears	

Circle the number or letter of the fishery category for which you are applying. Clearly print the associated gear code(s) from the list above. Refer to the instructions for allowable gear code(s) per category.

If you select a fishery category and gear code combination(s) for which your vessel is not eligible, the processing of your permit may be delayed. See instructions for further details or call Northeast Permit Operations at (978) 281-9370.

Fisheries	Open Access Categories	Limited Access Categories Qualified Vessels Only	Gear Code(s)
Atlantic Sea Scallop		2 3 4 5 6 7 8 9	
Atlantic Sea Scallop – General		A B C	
Northeast Multispecies	HB I* J K	A C D E F HA	
Monkfish	E	A B C D F G H	
Surf Clam/Ocean Quahog	1 6		410 – Dredge only
Maine Mahogany Quahog		7	410 – Dredge only
Summer Flounder	2*	1	
Scup	2*	1	
Black Sea Bass	2*	1	
Squid, Mackerel, Butterfish	2* 3 4	1 5 T1 T2 T3	
Incidental HMS Squid Trawl		1	
Spiny Dogfish	1		
Atlantic Bluefish	1 2*		
Atlantic Herring	D E	A B C	
Tilefish	1 2*		
Atlantic Deep-Sea Red Crab	A	B C	
Skate	1		
American Lobster – Non Trap		1 2*	
American Lobster - Trap		A1 A2 A3 A4 A5 A6 AOC	800 – Pots and Traps only

*** Charter/Party permit categories**

Section 4 – Application Checklist & Signature

➔ **Please include the applicable forms below with your signed and dated application**

- _____ **All vessels:** copy of current (not expired) **US Coast Guard (CG) Documentation** or **State Registration**.
- _____ **Corporations, LLCs, Partnerships:** signed and dated list of current owners/officers/partners and their addresses.
- _____ **All vessels:** Vessel Ownership Form with each vessel application.
- _____ **Charter/Party requests:** CG Documentation must state “coastwise” or include a copy of a valid Captain’s license.

I, the undersigned, am the owner or legally authorized agent of the owner of the vessel named in Section 1. I affirm, subject to the penalties provided in 18 USC 1001, that all information provided obtaining this permit is true and correct.

Print Name: _____ **Signature:** _____ **Date:** _____

Public reporting burden for the collection of information on this application is estimated to average 45 minutes per response, including time for reviewing instructions, gathering needed data and documents, and completing the application. Send comments regarding this burden estimate or suggestions for reducing this burden to: NOAA Fisheries, 55 Great Republic Drive, Gloucester, MA 01930. The Paperwork Reduction Act (PRA) requires that potential respondents for this permit be notified of certain information regarding their rights and the burden associated with applying for Federal fisheries permits. Notwithstanding any other provision of the law, no person is required to respond to, nor shall any person be subject to a penalty for failure to comply with, a collection of information subject to the requirements of the PRA, unless that collection of information displays a currently valid OMB Control Number. Owner name, vessel characteristics, address, phone, and permit information will be released via a NOAA Fisheries website. All other data submitted will be handled as confidential material in accordance with NOAA Administrative Order 216-100, Protection of Confidential Fishery Statistics.
Revised 7/30/2010 OMB # 0648-0202 Expires: April 30, 2013



Vessel Ownership Form

- Completion of this form is required with each application for a Northeast Federal fishing permit.
- List all persons and entities who have an ownership interest in the vessel that is the subject of this application.
- Owners or persons who have an ownership interest in a vessel are defined as and include, but are not limited to, corporations, partnerships, LLCs, persons who are shareholders in a corporation, persons who have formed a partnership (general or limited), and any other entities that have ownership interest in the vessel.

Section A – Vessel applying for permit

Vessel Name:	Permit or Hull Number:
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Section B - All persons and entities that have an ownership interest in the vessel must be listed below. Do not include employees of the business unless they are an owner of the vessel or company.

Mr/Mrs/Ms	First Name	Middle Name	Last Name	Suffix Name
Check all that apply - Owner <input type="checkbox"/> Officer <input type="checkbox"/> Shareholder <input type="checkbox"/>				

Mr/Mrs/Ms	First Name	Middle Name	Last Name	Suffix Name
Check all that apply - Owner <input type="checkbox"/> Officer <input type="checkbox"/> Shareholder <input type="checkbox"/>				

Mr/Mrs/Ms	First Name	Middle Name	Last Name	Suffix Name
Check all that apply - Owner <input type="checkbox"/> Officer <input type="checkbox"/> Shareholder <input type="checkbox"/>				

I, the undersigned, am the owner or legally authorized agent of the owner of the vessel named in *Section A* above. I affirm, subject to the penalties provided in 18 U.S.C. 1001, that all information that I have given in obtaining this permit is true and correct.
 OMB# 0648-0202 Expires 04/30/2013

Name of Applicant (print clearly) _____

Signature of Applicant _____ Date _____

Please use the back of this form to provide information on all persons with an ownership interest in the vessel.

Page 2 - Section B Continued - All persons and entities that have an ownership interest in the vessel must be listed below. Do not include employees of the business unless they are an owner of the vessel or company.

Mr/Mrs/Ms	First Name	Middle Name	Last Name	Suffix Name
Check all that apply - Owner <input type="checkbox"/> Officer <input type="checkbox"/> Shareholder <input type="checkbox"/>				

Mr/Mrs/Ms	First Name	Middle Name	Last Name	Suffix Name
Check all that apply - Owner <input type="checkbox"/> Officer <input type="checkbox"/> Shareholder <input type="checkbox"/>				

Mr/Mrs/Ms	First Name	Middle Name	Last Name	Suffix Name
Check all that apply - Owner <input type="checkbox"/> Officer <input type="checkbox"/> Shareholder <input type="checkbox"/>				

Mr/Mrs/Ms	First Name	Middle Name	Last Name	Suffix Name
Check all that apply - Owner <input type="checkbox"/> Officer <input type="checkbox"/> Shareholder <input type="checkbox"/>				

Mr/Mrs/Ms	First Name	Middle Name	Last Name	Suffix Name
Check all that apply - Owner <input type="checkbox"/> Officer <input type="checkbox"/> Shareholder <input type="checkbox"/>				

I, the undersigned, am the owner or legally authorized agent of the owner of the vessel named in *Section A* above. I affirm, subject to the penalties provided in 18 U.S.C. 1001, that all information that I have given in obtaining this permit is true and correct.
 OMB# 0648-0202 Expires 04/30/2013

Name of Applicant (print clearly) _____

Signature of Applicant _____ Date _____

Please copy this form as needed to provide information on all persons with an ownership interest in the vessel in Section A.



National Marine Fisheries Service (NMFS)
Northeast Permit Office (978) 282-8438

Review checklist for Initial Vessel Applications



- ✓ Ensure your application is complete
- ✓ Please review the list below
- ✓ Failure to include this information with your application will result in processing delays or a possible return of your application.

Include with your signed and dated initial vessel permit application:

- A copy of your **valid** Coast Guard Documentation or a copy of your **valid** State Registration. Expired registrations will not be accepted.
- A completed NMFS vessel ownership form listing all persons who have an ownership interest in the vessel.
- If the vessel is owned by a company, LLC or a partnership, please include a copy of the articles of incorporation, articles of organization, or your partnership agreement.
- To be eligible for a Federal party/charter permit you must include a copy of your Captain's License **or** a copy of your U.S. Coast Guard Documentation with a *Coastwise* endorsement.
- If applying for a NE multispecies category A, E, or F permit or a limited access monkfish permit with the intention of fishing with gillnet gear, you must complete the NMFS Gillnet Form and obtain gillnet tags. Call the Permit Office to obtain a gillnet tag application or go to <http://www.nero.noaa.gov/permits/forms.html>



**National Marine Fisheries Service
Northeast Regional Office/Fisheries Statistics Office**



Initial Vessel Application

Instructions for Northeast Federal Fishing Vessel Permits

Enclosed are the instructions for completing the Initial Fishing Vessel Application for Federal Northeast Region (NER) fishing permits. This package contains definitions for each field on the application, the additional documents required for a complete application, and a brief definition of the fishery permits. These instructions do not contain all the regulatory provisions that pertain to each fishery, and are not a substitute for the regulations. A copy of the regulations can be obtained through NOAA's National Marine Fisheries Service NERO web site: <http://www.nero.noaa.gov>. If you have further questions, please contact the Sustainable Fisheries Division at (978) 281-9315.

Please read and follow the application instructions carefully. Failure to provide all required information and additional documentation will result in the application being returned to you for completion. You cannot fish without a current and valid permit.

Walk-in application processing service is not available. There is a 30-day processing period for all application packages. This 30-day processing period begins when a **correct and complete** application package is received in the Northeast Region Permit Office. Questions? Please refer to the NMFS Northeast Region Web Page at <http://www.nero.noaa.gov/permits/> for applications, instructions, fisheries regulations, and other important information, or call 978-281-9370 or e-mail Permits.ne@noaa.gov.

Mail the completed application package to:

National Marine Fisheries Service
Northeast Permit Office
55 Great Republic Drive
Gloucester, MA 01930-2276

Section 1 - Vessel and Owner Information (all items must be filled in)

Vessel Name

Current name of vessel, or enter "unnamed" if not applicable.

Owner Name

Include the owner name (business name or person name) **exactly** as it appears on the United States Coast Guard Documentation, State Registration, or Title of Vessel Ownership. If your vessel's state registration does not list all owners of the vessel, also provide a copy of the vessel's title, or other documentation from the appropriate state agency that identifies all vessel owners. If the vessel is owned by a company, LLC, or partnership, you must provide the full name and mailing address of all officers and shareholders in the business (see page 3 for further details).

Address and Telephone Number

Provide primary address and include 4-digit addition to zip code (if known). Also provide area code and phone number (additional phone numbers may be provided).

U.S. Coast Guard Documentation or State Registration Number

Provide United States Coast Guard Documentation Number or State Registration for your vessel. A copy of the USCG Documentation or State Registration is also required, see page 3 for further details.

Home Port

City and State where vessel is moored

Principal Port

City and State where the majority of your landings occur

Section 2 - Additional Vessel Information
(Except where noted, all items on must be completed)

- Vessel length:** Overall length in feet
- Crew Size:** Average number of crew, **including** the captain
- Gross Tonnage:** As recorded on US Coast Guard Documentation or estimated gross tonnage for state registered vessels
- Year Built:** Year vessel was built
- Main Engine HP:** Vessel engine horsepower
- Fish Hold Capacity:** Measured to the nearest 100 pounds
- Dredge Size:** Dredge size in **feet** (not required if vessel does not use dredge gear)
- Number of Dredges:** Total number of dredges aboard the vessel (not required if vessel does not use dredge gear)
- Pump Horsepower:** This item applies to surf clam/ocean quahog vessels only
- Construction:** 1=Wood, 2=Fiberglass, 3=Steel, 4=Other (Circle applicable number)
- Propulsion:** 1=Gasoline, 2=Diesel, 3=Other (Circle applicable number)
- Charter Passengers:** Number of charter/party/headboat passengers the vessel is licensed to carry (see page 3 for additional documents required)

Section 3 - Fishery Information

Except as noted for limited access fisheries, circle a fishery category and enter the applicable gear codes in the spaces provided. Refer to Northeast Fisheries Regulations for further restrictions – <http://www.nero.noaa.gov/ro/doc/the648.htm>

Category

For each fishery you want to apply for, select the category that best describes your fishing operations, and circle the category numbers or letters in the column marked "Category". A description of Northeast fisheries permits and categories is contained in this document on pages 4 – 10.

Gear Code

For each fishery permit and category you select, you must write in the applicable gear codes from the Gear Code table on the application. Write the gear code numbers in the column marked "Gear Code". For certain permit categories, you are restricted on the gear type you can use. For this information, see the description of each fishery below. Where applicable, you may select more than one gear code for a category. **If you do not write in any gear codes, the application cannot be processed and will be returned to you.**

Section 4 – Signature of Owner or Authorized Agent

Sign and date the form. Unsigned, or otherwise incomplete applications, will be returned. Your signature is an affirmation that, under penalty of perjury, all the information provided in order to obtain this permit is true and correct. Submitting false information in connection with an application could subject you to criminal/civil penalties or permit sanctions [18 U.S.C. 1001].

Additional Documents Required

USCG Documentation/State Registration

With each application, submit a copy of your current (not expired) United States Coast Guard (USCG) Certificate of Documentation. If the vessel is not documented, send a copy of a valid (not expired) state vessel registration for the vessel. Do not send your original. We cannot accept a bill of sale or an application for renewal of the USCG Documentation. If your vessel's state registration does not list all owners of the vessel, also provide a copy of the vessel's title, or other documentation from the appropriate state agency that identifies all vessel owners. A permit application will not be accepted if the vessel registration or documentation has expired before we receive it.

Business/Corporate Information

If the vessel is owned by a business, corporation, LLC, or a partnership, the following information must be submitted with the application form:

- A copy of the Certificate of Incorporation/Organization with the initial application.
- Partnerships must submit a copy of the partnership agreement each year which includes the full name and current mailing address of each partner.

Owner/Shareholder Information via the Vessel Ownership Form

All applicants must attach a completed NMFS vessel ownership form listing and identifying all owners and officers. Applicants must provide the full name of each owner and officer regardless of their percentage ownership in the vessel.

Charter/Party/Headboat Vessels

If you are applying for a charter/party/headboat permit, submit a valid copy (not expired) of at least one of the following:

- State license showing the vessel is authorized to carry charter/party passengers.
- US Coast Guard Documentation showing vessel is documented for "Coastwise" trade.
- US Coast Guard license to operate or navigate passenger-carrying vessels.

Gillnet Vessels applying for Limited Access NE Multispecies and Monkfish

If applying for a NE multispecies category A, E, or F permit with the intention of fishing with gillnet gear, you must complete sections 1 and 3 of the NMFS Gillnet Form. If you wish to order gillnet tags for either the NE multispecies or monkfish gillnet fishery, you must also submit a completed NMFS Gillnet Form.

Description of Northeast Fisheries Permits – Categories Are Shaded

❖ Atlantic Sea Scallop

Limited Access Permit Categories: These permits may only be issued to vessels that have previously held them or to approved replacements of such vessels. All permits issued will be valid for the entire fishing year. A vessel owner has 45 days from the first effective date of the permit within a permit year to make a change to the limited access Sea Scallop permit category. Further restrictions may apply. Refer to Northeast Fisheries Regulations.

2*	Full-Time: This category includes all gear types except bottom trawl.
3*	Part-Time: This category includes all gear types except bottom trawl.
4	Occasional: This category includes all gear types except bottom trawl.
5*	Full-Time Small Dredge: Category 3 (Part-Time) vessel may elect this category for the entire year if the vessel uses one dredge no larger than 10.5 ft. and with no more than five people on board. This category is limited to dredge (gear code 410) gear only.
6*	Part-Time Small Dredge: Category 4 (Occasional) vessel may elect this category for the entire year if the vessel uses 1 dredge no larger than 10.5 ft. and with no more than five people on board. This category is limited to dredge (gear code 410) gear only.
7*	Full-Time: Authorized to use trawl nets: This category is limited to bottom trawl nets (gear code 310) only.
8*	Part-Time: Authorized to use trawl nets: This category is limited to bottom trawl nets (gear code 310) only.
9	Occasional: Authorized to use trawl nets: This category is limited to bottom trawl nets (gear code 310) only.

*** A VMS is required to be installed and in continuous operation onboard the vessel, unless the vessel is issued a VMS 'Letter of Exemption' from NMFS to power down the VMS unit.**

Limited Access General Category (LAGC) Scallop permit categories: These permits may only be issued to qualified vessels or to approved replacements of such vessels. Further restrictions may apply. Refer to Northeast Fisheries Regulations. Owners of vessels issued an NGOM or Incidental scallop permit shall have one opportunity each fishing year to request a change in its permit category by submitting an application within 45 days of the effective date of the vessel's permit. After that date, the vessel must remain in that permit category for the duration of the fishing year.

A**	LAGC – Individual Fishing Quota (IFQ permit)
B**	LAGC – Northern Gulf of Maine (NGOM permit)
C**	LAGC – Incidental Catch (Incidental permit)

**** A VMS is required to be installed, activated, and a) transmitting a positional signal, or b) declared into a scallop power down activity code, or c) issued a VMS 'Letter of Exemption' from NMFS to power down the vessel's VMS unit.**

VMS purchase information:

Boatracs

Telephone: 858-458-8100
Fax: 858-458-8116

Skymate

Telephone: 866-759-6283
Fax: 703-814-8585

Thrane & Thrane

Telephone: 757-463-9557
Fax: 757-463-9581

❖ Northeast Multispecies

“Regulated” species (NE multispecies requiring regulated mesh): Cod, haddock, yellowtail flounder, pollock, redfish (ocean perch), winter flounder (blackback), American plaice (dab), witch flounder (grey sole), windowpane flounder (sand dab), white hake, Atlantic halibut, and Atlantic wolffish.

Other NE multispecies:

Silver hake (whiting), red hake (ling), offshore hake, and ocean pout.

Limited Access Permit Categories: These permits may only be issued to vessels that have previously held them or to approved replacements of such vessels. All permits issued will be valid for the entire fishing year. A vessel owner has 45 days from the first effective date of his/her permit within a permit year to make a change to the NE multispecies permit category. Further restrictions may apply to specific categories. Refer to Northeast Fisheries Regulations.

A*	Day-at-Sea (DAS): This category includes all gear types except dredge gear.
C	Small Vessel Exemption (less than or equal to 30 feet): This category includes all gear types except dredge gear.
D*	Hook Gear: (Vessels in this category may not change category) This category is limited to handlines (gear code 911), rod and reel (gear code 912), tub trawl (gear code 913) and longlines (gear code 920) gear only.
E*	Combination Vessels: (Vessels in this category may not change category) This category includes all gear types except dredge gear.
F*	Large Mesh Individual DAS: Category A (Individual DAS) or E (Combination) vessels may elect this category for the entire year provided the vessels meet the following requirements. Category A DAS for vessels fishing under this permit category will be increased by 36%. These vessels must fish with either gillnets or trawl nets having a minimum of 8.5-inch square or diamond mesh when fishing in the Gulf of Maine, Georges Bank, or Southern New England Regulated Mesh Areas, and 7.5-inch diamond or 8.0-inch square mesh when fishing in the Mid-Atlantic Regulated Mesh Area. This category is limited to gear types/codes 120, 210, 220, 310, 320, 330 and 700 only.
HA	Handgear A: (Vessels in this category may not change category) The vessel may possess and land one Atlantic halibut and possession limit restrictions for the remaining regulated species and ocean pout. This category is limited to rod and reel (gear code 912), handline (gear code 911) or tub trawl (gear code 913) gear only.

*** An operational VMS is required to be on board the vessel to fish for groundfish under a NE multispecies DAS, on a sector trip, or a Handgear A vessel in the common pool that intends to fish in more than one broad stock area (BSA) on a single trip.**

Open Access Permit Categories: Further restrictions may apply to specific categories. Refer to Northeast Fisheries Regulations.

HB	Handgear B: The vessel may possess and land one Atlantic halibut and other possession restrictions for the remaining regulated species. This category includes rod and reel (gear code 912), handline (gear code 911) or tub trawl (gear code 913) gear only.
I	Charter/Party: The vessel may possess and land multispecies in the EEZ when carrying passengers for hire (See page 3, additional documents required). This category is limited to rod and reel (gear code 912) and handline (gear code 911) gear only.
J	Scallop Multispecies Possession Limit: The vessel may possess and land up to 300 lb of regulated species while fishing under a scallop DAS. Vessel must have a Limited Access Scallop Permit (Categories 2 – 9) to qualify for this category. This category includes all gear types.
K	Open Access Multispecies: The vessel may fish for silver hake (whiting), red hake (ling), offshore hake, ocean pout, or Atlantic halibut when participating in an exempted fishing program. This category includes all gear types.

❖ Monkfish

Limited Access Permit Categories: These permits may only be issued to vessels that have previously held them or to approved replacements of such vessels. Further restrictions may apply to specific categories. Refer to Northeast Fisheries Regulations for further information.

A	Vessels may elect this category if they do not possess a limited access multispecies (with the exception of a Handgear A) permit or a limited access scallop permit. This category includes all gear types except dredge gear.
B	Vessels may elect this category if they do not possess a limited access multispecies (with the exception of a Handgear A) permit or a limited access scallop permit, and that are less than 51 Gross Registered Tons (GRT) and do not qualify for a Category A permit. This category includes all gear types except dredge gear.
C	Vessels may elect this category if they possess a limited access multispecies permit or a limited access scallop permit. This category includes all gear types except dredge gear.
D	Vessels may elect this category if they possess a limited access multispecies permit or a limited access scallop permit, and are less than 51 GRT and do not qualify for a Category C permit. This category includes all gear types except dredge gear.
F*	Offshore Fishery Program: Vessels may elect this category if they are eligible for monkfish limited access permit categories A, B, C, or D and have an operational Vessel Monitoring System (VMS) installed on the vessel. Monkfish permit category A, B, C, and D vessels may opt into this program for an entire fishing year, which begins on May 1 and ends on April 30. The request to opt into the offshore fishery must be completed within 45 days of the effective date of the monkfish permit. Vessels in this program are restricted to fishing under a monkfish Days At Sea during the specified season of October 1–April 30 each year and within the Offshore Fishery Program Area. This category includes all gear types except dredge gear.

* **Operational VMS required**

Limited Access Permit Categories for Vessels Fishing South of 38° 20' N. Lat. – Vessels issued a limited access Category G or H permit are restricted to fishing under a monkfish DAS in the area south of 38° 20' N. lat.

G	Vessels may elect this category if they were issued permits in this category in the previous fishing year. This category includes all gear types except dredge gear.
H	Vessels may elect this category if they were issued permits in this category in the previous fishing year and that did not qualify for a category G permit. This category includes all gear types.

Area Declaration: Please note that vessels without an operational VMS unit fishing exclusively in the Northern Fishery Management Area (NFMA) for monkfish must request a Southern Fishery Management Area (SFMA) Exemption Certificate in order to be exempt from the more restrictive management measures of the SFMA. Contact the Permit Office at 978-282-8438. Vessels with an operational VMS unit must declare the appropriate code to indicate they intend to fish exclusively in the NFMA.

Open Access Permit Categories: This permit may be issued to any vessel not issued a monkfish limited access permit—to fish for, possess, or land monkfish. Further restrictions may apply to this category. Refer to Northeast Fisheries Regulations.

E	Incidental Catch: Allows a vessel to possess and land a limited amount of monkfish, depending on fishing year, area fished, and gear fished. For specific limit amounts, contact the Sustainable Fisheries Division at 978-281-9315. This category includes all gear types.
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❖ Surfclam/Ocean Quahog/Maine Mahogany Quahog

Surfclam and ocean quahog vessels, as well as Maine mahogany quahog vessels, are required to have an operational vessel monitoring system (VMS) on board their vessel. For open access surfclam and ocean quahog vessels, VMS installation and operation must be verified prior to issuance of the permit. Maine mahogany quahog permitted vessels are not required to install a VMS unit until they fish for, land, take, possess, or transfer ocean quahogs under a limited access Maine mahogany quahog permit. For more information on VMS requirements, call 978-281-9315.

Open Access Permit Categories: Further restrictions may apply to specific categories. Refer to Northeast Fishery Regulations.

1*	Surfclam: The vessel may fish for surfclams. This category is limited to dredge (gear code 410) gear only. VMS required.
6*	Ocean Quahog: The vessel may fish for ocean quahogs. This category is limited to dredge (gear code 410) gear only. VMS required.

To possess and land surfclams or ocean quahogs from the EEZ, an allocation of quota is required.

Limited Access Permit Categories: This permit may only be issued to vessels that have previously held it or to approved replacements of such vessels. Further restrictions may apply to this category. Refer to Northeast Fisheries Regulations.

7*	Maine Mahogany Quahog: The vessel may harvest and land ocean quahogs without an allocation from the EEZ in the area north of 43° 50' N. latitude. This category is limited to dredge (gear code 410) gear only.
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* Operational VMS required.

❖ Summer Flounder (Fluke)

Limited Access Permit Categories: This permit may only be issued to vessels that have previously held it or to approved replacements of such vessels. Further restrictions may apply to this category. Refer to Northeast Fisheries Regulations.

1	Commercial Moratorium: This category includes all gear types.
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Open Access Permit Categories: Further restrictions may apply to this category. Refer to Northeast Fisheries Regulations.

2	Charter/Party: May fish for or possess summer flounder in the EEZ while carrying passengers for hire (See page 3, additional documents required). This category includes all gear types.
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❖ Scup (Porgy)

Limited Access Permit Categories: This permit may only be issued to vessels that have previously held it or to approved replacements of such vessels. Further restrictions may apply to this category. Refer to Northeast Fisheries Regulations.

1	Scup Commercial Moratorium: This category includes all gear types.
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Open Access Permit Categories: Further restrictions may apply to this category. Refer to Northeast Fisheries Regulations.

2	Charter/Party: May fish for or possess scup in the EEZ while carrying passengers for hire (See page 3, additional documents required). This category includes all gear types.
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❖ Black Sea Bass

Limited Access Permit Categories: This permit may only be issued to vessels that have previously held it or to approved replacements of such vessels. Further restrictions may apply to this category. Refer to Northeast Fisheries Regulations.

1	Black Sea Bass Commercial Moratorium: This category includes all gear types.
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❖ Black Sea Bass (continued)

Open Access Permit Categories: Further restrictions may apply to this category. Refer to Northeast Fisheries Regulations.

2	Charter/Party: May fish for or possess black sea bass in the EEZ north of 35° 15.3´ N. latitude while carrying passengers for hire (See page 3, additional documents required). This category includes all gear types.
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❖ Squid, Atlantic Mackerel, and Butterfish

Limited Access Permit Categories: These permits may only be issued to vessels that have previously held them or to approved replacements of such vessels. Further restrictions may apply to specific categories. Refer to Northeast Fisheries Regulations. Longfin squid was previously referred to as *Loligo* squid. Due to a recent change in the scientific name of longfin squid from *Loligo pealeii* to *Doryteuthis (Amerigo) pealeii*, permits will now use the common name “longfin squid” in all official documents to avoid confusion.

1	Longfin squid/Butterfish Moratorium: This category includes all gear types.
5	Illex Squid Moratorium: This category includes all gear types.
T1	Atlantic Mackerel Tier 1: May fish commercially in the EEZ for unlimited amounts of mackerel. This category includes all gear types. Must submit a fish hold volume certification by December 31, 2012.
T2	Atlantic Mackerel Tier 2: May fish commercially in the EEZ for up to 135,000 lb of mackerel per trip. This category includes all gear types. Must submit a fish hold volume certification by December 31, 2012.
T3	Atlantic Mackerel Tier 3: May fish commercially in the EEZ for up to 100,000 lb of mackerel per trip. This category includes all gear types. Vessels issued Tier 3 permits will be limited to no more than 7% of the annual commercial mackerel quota.

Open Access Permit Categories: Further restrictions may apply to specific categories. Refer to Northeast Fisheries Regulations.

2	Squid/Mackerel/Butterfish Charter/Party: May fish for or possess Longfin or Illex squid, mackerel or butterfish in the EEZ while carrying passengers for hire (See page 3, additional documents required). This category includes all gear types.
3	Squid/Butterfish Incidental Catch: May fish commercially in the EEZ for up to 2,500 lb of Longfin squid per trip, 10,000 lb of Illex squid per trip, or 2,500 lb of butterfish per trip. This category includes all gear types.
4	Atlantic Mackerel: May commercially fish for Atlantic mackerel in the EEZ for up to 20,000 lb of mackerel. This category includes all gear types.

Note: Atlantic mackerel at-sea processing vessels must apply for a permit as a dealer/processor.

❖ Incidental Highly Migratory Species (HMS) Squid Trawl

Limited Access Permit Categories: Further restrictions may apply to specific categories. Refer to Atlantic Highly Migratory Species Fisheries Regulations.

1	Incidental Highly Migratory Species (HMS) Squid Trawl Permit: Allowed only for vessels issued a valid Illex Squid Moratorium permit. Authorizes the limited retention of incidentally-caught swordfish. This category only includes trawl gear.
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❖ Spiny Dogfish

Open Access Permit Categories: Further restrictions may apply to specific categories. Refer to Northeast Fisheries Regulations.

1	General: May commercially fish for, possess, or land spiny dogfish caught in or from the EEZ. This category includes all gear types.
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❖ Atlantic Bluefish

Open Access Permit Categories: Further restrictions may apply to specific categories. Refer to Northeast Fisheries Regulations.

1	Commercial: May possess or harvest Atlantic bluefish from the EEZ in excess of the daily possession limit. This category includes all gear types.
2	Charter/Party: May fish for or possess Atlantic bluefish from the EEZ while carrying passengers for hire (See page 3, additional documents required). This category includes all gear types.

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❖ Atlantic Herring

Limited Access Permit Categories: These permits may only be issued to qualified vessels or to approved replacements of such vessels. Further restrictions apply to specific categories. Refer to Northeast Fisheries Regulations.

A*	All Areas: Authorizes the harvest of herring in any management area, without being subject to possession limits during the time when the sub-annual catch limit (ACL) in the defined management area has not been reached. This category includes all gear types.
B*	Areas 2/3: Authorizes the harvest of herring only in Areas 2 or 3, without being subject to possession limits during the time when the sub-ACL in the defined management area has not been reached. This category includes all gear types.
C*	Incidental Catch: Authorizes the harvest of up to 55,000 lb herring in any management area during the time when the sub-ACL in the defined management area has not been reached, with a limit of one landing per calendar day. This category includes all gear types.

*** All vessels applying for and issued a limited access herring permit, with the exception of fixed gear (weirs and stop seines) fishermen, must install and maintain an operable VMS unit, and comply with all VMS notification and reporting requirements. Such vessels may power down the VMS unit when in port, but must re-power the VMS unit and enter an appropriate trip designation prior to leaving port.**

Open Access Permit Categories: Further restrictions may apply to specific categories. Refer to Northeast Fisheries Regulations.

D	Open Access: Authorizes the harvest of up to 6,600 lb of herring in any management area during the time when the sub-ACL in these management areas has not been reached, with a limit of one landing per calendar day. This category includes all gear types.
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❖ Tilefish

Open Access Permit Categories: A vessel must fish under the authorization of an Individual Fishing Quota Allocation permit to possess more than the incidental trip limit. Further restrictions may apply to these categories. Refer to Northeast Fisheries Regulations.

1	Open Access Commercial/Incidental: May possess or land tilefish in or from the EEZ, north of the VA/NC border, up to 500 lb whole weight, or 455 lb head-on and gutted, per trip. In order for any vessel to possess more than 500 lb of tilefish per trip, the vessel must also fish under the authorization of an IFQ Allocation permit. This category includes all gear types.
2	Open Access Charter/Party: May fish for or possess tilefish in the EEZ, north of the VA/NC border, while carrying passengers for hire. (See page 3, additional documents required). This category includes all gear types.

❖ Skate

Northeast Skate Complex (Skate) - The following species of skates comprise the NE skate complex and are included under the Federal skate permit: Winter skate; barndoor skate; thorny skate; smooth skate; little skate; clearnose skate; and rosette skate.

Open Access Permit Categories: Further restrictions may apply to this category. Refer to Northeast Fisheries Regulations.

1	General: May commercially fish for, possess, or land skate caught in or from the EEZ. This category includes all gear types.
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❖ Atlantic Deep-Sea Red Crab

Limited Access Permit Categories: These permits may only be issued to vessels that have previously held them or to approved replacements of such vessels. Further restrictions may apply to this category. Refer to Northeast Fisheries Regulations.

B	This category is limited to pots and traps (gear code 800) gear only.
C	This category is limited to pots and traps (gear code 800) gear only.

Open Access Permit Categories: This permit may be issued to any vessel not issued a red crab limited access permit—to fish for, possess, or land red crab in or from the EEZ.

A	May possess or land red crab in or from the EEZ up to 500 lb per trip. This category includes all gear types.
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❖ American Lobster

Limited Access Permit Categories: These permits may only be issued to vessels that have previously held them or to approved replacements of such vessels. If eligible, you may select more than one category. Note, if you designate more than one category, you will be subject to the most restrictive management measures, including trap allocations, of all of the categories selected. A vessel owner has 45 days from the first effective date of his/her permit within a permit year to make a change to the American Lobster permit category. Further restrictions may apply to specific categories. Refer to Northeast Fisheries Regulations at 50 CFR 697.

1	Commercial Non-Trap: May harvest lobster in the EEZ. This category includes all gear types except pots and traps. If you plan to fish with non-trap gear only, you are not required to elect trap gear areas.
2	Charter/Party Non-Trap: May harvest lobster in the EEZ while carrying passengers for hire. (See page 3, additional documents required). This category includes all gear types except pots and traps.
A1	Commercial Trap Gear Area 1: May harvest lobster in Federal Lobster Management Area 1. This category is limited to pots and traps (gear code 800) gear only.
A2	Commercial Trap Gear Area 2: May harvest lobster in Federal Lobster Management Area 2. This category is limited to pots and traps (gear code 800) gear only. Includes Area 2/3 overlap.
A3	Commercial Trap Gear Area 3: May harvest lobster in Federal Lobster Management Area 3. This category is limited to pots and traps (gear code 800) gear only. Must have a valid historic allocation to elect this area. Includes Area 2/3 overlap.
A4	Commercial Trap Gear Area 4: May harvest lobster in Federal Lobster Management Area 4. This category is limited to pots and traps (gear code 800) gear only. Must have a valid historic allocation to elect this area.
A5	Commercial Trap Gear Area 5: May harvest lobster in Federal Lobster Management Area 5. This category is limited to pots and traps (gear code 800) gear only. Must have a valid historic allocation to elect this area.
A6	Commercial Trap Gear Area 6: May harvest lobster in Federal Lobster Management Area 6. Vessel owner must possess a valid CT or NY state lobster license to be eligible for this category. This category is limited to pots and traps (gear code 800) gear only.
AOC	Commercial Trap Gear Outer Cape Area: May harvest in Outer Cape Federal Lobster Management Area. This category is limited to pots and traps (gear code 800) gear only.

Public reporting burden for the collection of information on the initial vessel application is estimated to average 45 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining data needed, and completing and reviewing the information. Send comments regarding this burden estimate or suggestions for reducing this burden to: National Marine Fisheries Service, Permit Office, 55 Great Republic Drive, Gloucester, MA 01930. The Paperwork Reduction Act requires that potential respondents for a fishing vessel permit be notified of certain information regarding their rights and the burden associated with applying for Federal fisheries permits.

One of the regulatory steps taken by the National Marine Fisheries Service to carry out its conservation and management objectives is the requirement of a permit for users of the resources. All the fisheries included on this application require a permit to fish for or retain these species in or from the EEZ. Section 303(b)(1) of the Magnuson-Stevens Fishery Conservation and Management Act specifically recognizes the need for permit issuance. The purpose and use of these permits are to: (1) Register industry participants and fishing vessels; (2) list the characteristics of fishing vessels; (3) exercise influence over compliance; (4) provide a mailing list for the dissemination of important information to the industry; (5) register participants to be considered for limited access; and (6) provide a pool of participants for data collection samples. Notwithstanding any other provision of the law, no person is required to respond to, nor shall any person be subject to a penalty for failure to comply with, a collection of information subject to the requirements of the Paperwork Reduction Act, unless that collection of information displays a currently valid OMB Control Number. Owner name, vessel characteristics, address, phone, and permit information will be released via NMFS Fisheries website. All other data submitted will be handled as confidential material in accordance with NOAA Administrative Order 216-100, Protection of Confidential Fishery Statistics.

OMB# 0648-0202 Expires: 4/30/2013



**National Marine Fisheries Service
 (NOAA FISHERIES SERVICE)
 Vessel Trip Reporting (VTRs)**

This guide provides a list of commonly asked questions regarding VTRs. This document is intended as a guide only and its content is subject to change. For more comprehensive information please refer to the regulations at 50 CFR part 648. Please visit the NOAA Fisheries Service Northeast Regional Office (NERO) online at <http://www.nero.noaa.gov/fso/> and click on “Vessel Trip Report Information” for additional details.

Reporting regulations [50 CFR 648.7] require that the owner or operator of any vessel issued a Federal fishing permit for any of the species listed in the table below submit an accurate and timely VTR for each trip, regardless of area fished, targeted species or permit used. In other words, an owner or operator of a federally permitted vessel possessing any of the permits listed below must submit a VTR for each and every trip taken regardless of where they fish or what they catch.

Northeast Region Federal permits requiring mandatory reporting

Northeast multispecies	black sea bass	tilefish	scup
Atlantic sea scallop	Atlantic bluefish	Atlantic deep sea red crab	surfclam
monkfish	Atlantic herring	spiny dogfish	ocean quahog
Atlantic mackerel, squid, and butterfish	Northeast skate	summer flounder	

Report Submission Timelines:

- All vessels, except those possessing a Northeast Multispecies or Atlantic Herring permit, required to send VTR’s must submit their VTRs on a monthly basis. VTRs must be received or postmarked by the 15th day of the month following the month in which the trip occurred.
- Any vessel issued a Federal Northeast Multispecies or an Atlantic Herring permit, regardless of category (limited access, open access or Charter/Party), must submit VTRs on a weekly basis. VTRs must be submitted by midnight of the Tuesday following the reporting week (Sunday through Saturday) in which fish were offloaded for any trip, including trips landing other species.
- Did Not Fish reports are due in accordance with the above submission schedule.
- Submit the white original (NMFS Copy) to:

NMFS
 Vessel Trip Reporting Office
 55 Great Republic Drive
 Gloucester, MA 01930-2276

If you have any questions regarding VTRs, please call the NMFS Vessel Trip Report Office at (978) 281-9246.

Questions & Answers

If my vessel wasn't fishing, how do I report?

If a vessel does not fish for an entire calendar month, a "Did Not Fish" report is required. A separate report is required for each such month unless you possess a Federal Northeast Multispecies or an Atlantic Herring Permit.

If I fish in state waters, do I have to submit a trip report?

Yes. If you possess a Federal permit for any species listed above in Table 1, or are eligible to renew a limited access permit, you then have VTR requirements regardless of what license, permit, or waters you fish.

I was fishing on my "state license", do I have to submit a trip report?

Yes. If you possess a Federal permit for any species listed above in Table 1, or are eligible to renew a limited access permit, you then have VTR requirements regardless of what license, permit, or waters you were fishing.

I possess only a Federal lobster permit. What are my reporting requirements?

You have no VTR reporting requirements to NMFS. Please check with your state to determine if you have state reporting requirements.

I possess a Federal lobster permit along with another Federal permit that is listed in the table above, however I never use that permit. What are my reporting requirements?

Because you possess another Federal permit in addition to your Federal lobster permit, you must report all of your fishing activity including all your lobster trips.

Do I have to report if I take my boat out for recreational purposes?

No. You only need to report commercial, party, or charter trips. A trip would not be considered recreational if you sold any of your catch or accepted compensation from passengers.

I hold several Federal permits. Do I have to complete more than one VTR per trip?

In most cases a single report can be used to fulfill all of your reporting requirements.

If I change gear type, gear size, or area fished during a trip, how do I report the trip?

Complete a separate report page for any change in gear type, gear size, or chart area.

What do I need to provide to my dealer when I offload my catch?

Vessels must supply the VTR serial number to all federally permitted dealers purchasing the catch. In the instance where you have completed more than one VTR for a trip (see question above), then the serial number from the first VTR completed should be supplied to the dealer(s). The VTR form provides two (2) additional pages intended to be given to the dealers by the vessel representative.

Who can I sell my catch to?

Federally permitted vessels are only allowed to sell their catch of federally managed species to federally permitted dealers or to take a portion of that catch home for their own consumption. Species that are not regulated by NMFS may be sold elsewhere and in that case, no VTR serial number needs to be supplied.

What if I do not land any fish on a trip?

If no species are landed, complete all of the trip information and enter "No Catch" in the species code name column (#17).

My supply of VTRs is getting low, how do I get more?

VTRs can be obtained by mailing the pink renewal form contained in each logbook package to the NMFS address below. You may also obtain VTRs by contacting the NMFS Vessel Trip Reporting Office, either in person, or by telephone at (978) 281-9157 or by contacting your local NMFS Field Office.



National Marine Fisheries Service
Northeast Regional Office / Northeast Permit Office



**Initial/Renewal* Application for a Northeast
Vessel Operator Permit**

Operator cards are required for any operator of a charter/party boat and or a commercial vessel (including carrier and processor vessels) issued a vessel permit from the Northeast Region and possessing or fishing for Atlantic Sea Scallops, Northeast Multispecies, Spiny Dogfish, Monkfish, American Lobster, Atlantic Herring, Atlantic Surfclam, Ocean Quahog, Maine Mahogany Quahog, Atlantic Mackerel, Loligo Squid, Illex Squid, Butterfish, Scup, Black Sea Bass, Golden Tilefish, Skates, Atlantic Deep-Sea Red Crab, or Atlantic Bluefish, in or from the EEZ.

FIRST TIME APPLICANTS: fill in Section 1 below, sign and date the back of this application and return it to us with one (1) passport or ID sized photo (see back).

IF USING THIS APPLICATION AS A RENEWAL: fill in Section 1 below, write your 8 digit number on the line below, sign and date the back of this application, and return it to us with one (1) passport or ID sized photo (see back).

Your vessel operator number_____

*Preprinted renewal applications are automatically mailed to the address on file approximately 35 days prior to the expiration date, but you may use this application to renew your permit (see below).

Please complete all sections of this application.

Incomplete applications will be returned and will be not be processed.
Submission of all application information is required.

Section 1

Last Name_____ First Name_____ MI___ SUFFIX_____

Mailing Address_____

City / ST / Zip Code_____/_____/_____

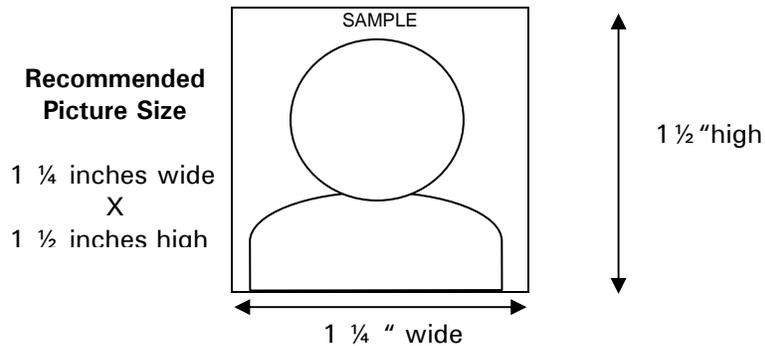
Phone Number_____-_____-_____ Date of Birth____/____/____ (MO/DAY/YR)

Eye Color_____ Hair Color_____

Weight (lbs)_____ Height (ft/in)_____/_____

You must sign and date this application in Section 2 on back.

Please enclose **ONE** color passport or I.D. sized photo of yourself, which is recent (taken no more than 1 year prior to the date of this application).



Section 2

I affirm that all information I have given on this application is true and correct. Making a false statement on this application is punishable by law [18 USC 1001]. I understand that violations of Federal fisheries laws and regulations may subject me to criminal and civil penalties including fine and/or revocation of license. Further, as a condition of this operator's permit, I agree that if this permit is suspended or revoked pursuant to 15 CFR part 904, I will not be on board a Federally permitted fishing vessel in any capacity while the vessel is at sea or engaged in offloading.

Signature of Applicant:

Date:

Return completed applications to:

**Northeast Permit Office
 55 Great Republic Drive
 Gloucester, MA 01930-2276
 Telephone: (978) 282-8437**

Permit holder name, address, phone number, and the status of the holder's permit will be released via a NOAA Fisheries website. All other data submitted will be handled as confidential material in accordance with NOAA Administrative Order 216-100, Protection of Confidential Fishery Statistics.

Public reporting burden for this collection of information is estimated to average 1 hour per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining data needed, and completing and reviewing the information. Send comments regarding this burden estimate or suggestions for reducing this burden to: NMFS, 55 Great Republic Drive, Gloucester, MA 01930-2276. The purpose and use of these permits are to (1) register industry participants and fishing vessels, (2) exercise influence over compliance, (3) provide a mailing list for the dissemination of important information to the industry, (4) register participants to be considered for limited entry, and (5) provide a universe for data collection samples. Both the MSFCMA and Executive Orders 12866 et al, require the determination of this information. Notwithstanding any other provision of the law, no person is required to respond to, nor shall any person be subject to a penalty for failure to comply with a collection of information subject to the requirements of the Paperwork Reduction Act, unless that collection of information displays a currently valid OMB Control Number.



Summary of Control Dates for Northeast Fisheries



This fact sheet informs permit applicants that there may be future management action taken by the New England Fishery Management Council, the Mid-Atlantic Fishery Management Council, or the Atlantic States Marine Fisheries Commission to establish eligibility criteria for determining future fishing access to the fisheries identified below. In each of these cases, the Council or Commission with management authority for the fishery requested the National Marine Fisheries Service to publish a date, after which vessels may not be eligible to participate in the fishery. This date is known as a control date. This fact sheet informs you that these control dates may potentially be used to determine future participation in the fishery.

THIS INFORMATION IS ADVISORY ONLY. It is intended to inform you only that these control dates have been established and may potentially be used to determine future participation in the fishery. It also provides you with notice that you may wish to locate and preserve records to substantiate and verify fishery participation, for use in the event a limited access program is established in the future.

Establishing a control date does not commit the Councils, Commission, or the National Marine Fisheries Service to develop any particular management system or criteria for participation in these fisheries. The Councils or Commission may choose a different control date, or may choose to establish a management program that does not make use of such a date.

For further information, please contact the appropriate fishery management council or commission:

New England Fishery Management Council (NEFMC) On the web: www.nefmc.org Telephone: 978-465-0492	Mid-Atlantic Fishery Management Council (MAFMC) On the web: www.mafmc.org Telephone: 302-674-2331
Atlantic States Marine Fisheries Commission (ASMFC) On the web: www.asmfc.org Telephone: 703-842-0740	Summary revised January 2012

Species	Control Date	Council	Current status of management action
Ocean pout	9-9-96	NEFMC	No action currently underway.
Bluefish	5-29-97	MAFMC	No action currently underway.
Spiny Dogfish	5-18-98	MAFMC lead (joint plan with NEFMC)	Amendment 3 is under development and may establish limited access and/or recreational management measures.
Capacity Control Scallop Multispecies, Monkfish DAS	9-10-99	NEFMC	No action currently underway.
Black Sea Bass	6-5-01	MAFMC	Would have established different classes of permits for the fishery; considered in Amendment 13 but not adopted by Council.
Atlantic Mackerel	7-5-02	MAFMC	Amendment 11 to the Squid/Mackerel/Butterfish FMP which implemented a limited access program for the mackerel fishery, has been finalized and NOAA Fisheries is accepting applications until February 28, 2013. See the November 18, 2011, permit holder letter for more information http://www.nero.noaa.gov/nero/nr/nrdoc/11/11MackLAPermitPHL.pdf
Hagfish	8-28-02	NEFMC	No action currently underway.
Whiting/red hake/offshore hake	3-25-03	NEFMC	Amendment 18 to the Northeast Multispecies FMP is under development and may establish some form of limited access for the whiting (small-mesh multispecies) fishery.
Multispecies Charter/Party	3-30-06	NEFMC	No action currently underway.
American Lobster	9-1-99 1-2-09	ASMFC	Management action is currently under development and may establish some form of limited access to fish with traps in Lobster Management Areas 1, 2, and the Outer Cape and potentially allow qualified permit holders to transfer traps in Area 2,3, and Outer Cape.
Skates	7-30-09	NEFMC	No action currently underway.