

# NOTICE OF OFFICE OF MANAGEMENT AND BUDGET ACTION

Date 08/28/2017

Department of Commerce  
National Oceanic and Atmospheric Administration

FOR CERTIFYING OFFICIAL: Rod Turk  
FOR CLEARANCE OFFICER: Jennifer Jessup

In accordance with the Paperwork Reduction Act, OMB has taken action on your request received 06/28/2017

ACTION REQUESTED: Revision of a currently approved collection

TYPE OF REVIEW REQUESTED: Regular

ICR REFERENCE NUMBER: 201706-0648-008

AGENCY ICR TRACKING NUMBER:

TITLE: Greater Atlantic Region Permit Family of Forms

LIST OF INFORMATION COLLECTIONS: See next page

OMB ACTION: Approved with change

OMB CONTROL NUMBER: 0648-0202

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: 08/31/2019

DISCONTINUE DATE:

BURDEN:	RESPONSES	HOURS	COSTS
Previous	224,765	17,481	3,248,423
New	224,765	17,481	3,248,423
Difference			
Change due to New Statute	0	0	0
Change due to Agency Discretion	0	0	0
Change due to Agency Adjustment	0	0	0
Change due to PRA Violation	0	0	0

TERMS OF CLEARANCE: The National Marine Fisheries Service assumes that the addition of 28 categories of forage species to the vessel trip report will not result in an increase in burden. Upon renewal of this control number or no later than three years, whichever is earlier, NMFS must consult with respondents as to whether this assumption is valid, describe in the supporting statement, and upwardly revise burden estimates if appropriate.

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

List of ICs			
IC Title	Form No.	Form Name	CFR Citation
Gillnet Designations/Requests for Tags	NA, NA	Gillnet Tag Order Form, Gillnet tag replacement form	
Vessel permit application and renewal	NA	Federal Fisheries Vessel Permit Application - Initial and renewal	
Replacement/upgrade, permit history retention, vessel specificatiojn verification, unseaworthy vessel (proof of loss)	NA	Application for veesel replacement, upgrade and confirmation of permit history	
Herring vessels - VMS reporting			50 CFR 648.14
Midwater Trawl Exemption Request			50 CFR 648.80
LOA for WGOM and Cashes Ledge Closed Area Charter/Party Exemption Certificate			50 CFR 648.80
Summer Flounder Small-Mesh Exemption			50 CFR 648.104
Purse Seine Exemption			50 CFR 648.80
Cultivator Shoals Whiting and Nantucket Shoals Dogfish Exemptions			50 CFR 648.80
DAS Credit for Standing By Entangled Whale - notification and request	NA	DAS credit request form	50 CFR 648.14
Raised Footrope Trawl Whiting Fishery Exemption (Sept 1 - Dec 31)			50 CFR 648.80
Monkfish Southern Fishery Management Area Landing Limit and Minimum Fish Size Exemption			50 CFR 648.94
VMS Power Down Exemption	NA	VMS Power Down Exemption Request Form	50 CFR 648.10
Greater Atlantic Region Dealer Permitting - Initial Permit and Renewal	NA	Dealer Permit Application Form - Initial and Renewal	
VMS installation, proof of installation and confirmation of VMS connectivity with OLE (for 40 vessels per year), plus costs of installation, maintenance and automated polling for 632 vessels per year	NA	VMS Certification of Activation	50 CFR 648.14
Foreign fishing vessels arrival/departure from EEZ notification and position reporting costs			50 CFR 300.140
Vessel operator permit application - initial and renewal	NA	Vessel operator permit application - initial and renewal	
SNE Little Tunny Gillnet and Winter Flounder State Waters Exemptions			50 CFR 648.80
State Waters Sea Scallop Exemption			50 CFR 648.80
NAFO Regulatory Area Request (exemption)			50 CFR 648.80
GOM/Nantucket Lightship Party/Charter Exemption			50 CFR 648.81
Change in Multipspecies Permit Category, Transiting to Another Port and Transfer at Sea			50 CFR 648.10

List of ICs			
IC Title	Form No.	Form Name	CFR Citation
Lobster Area Designation and Requests for Trap Tags	NA	Lobster Trap Tag Request Form	
Lobster Area 5 Waiver			50 CFR 697.26
State Quota Transfers			50 CFR 648.100, 648.160
Monkfish Fishery Days at Sea VMS Declaration and adjustment			50 CFR 648.94
GOM Cod Landing Limit Exemption			50 CFR 648.86
Herring vessel request for transfer at sea LOA			50 CFR 648.13
Herring Carrier LOA request			50 CFR 648.4
DAS for cancelled trip	NA	DAS Credit Request Form	
Vessel owner single-letter option	NA	Mailing option change request form	
LOA for reopened section of Georges Bank, per FR 0648-BC21	NA	LOA request form	
Surfclam and Ocean Quahog VMS Reporting - Activity Declaration			50 CFR 948.10
Good Samaritan DAS credits	NA	DAS credit form	
Declared out of fishery VMS reporting			50 CFR 648.10
Nantucket Shoals Dogfish Exemption			50 CFR 648.80(a)
Gulf of Maine: rolling closed area charter/party and Georges Bank transiting exemptions			50 CFR 648.80
Skate Bait Exemption			50 CFR 648.80
Fishing activity and catch reporting for research permits, via VMS (start and end trip hails, end trip contains report)			50 CFR 648.7
Northeast Multispecies VMS reporting: declaration, trip start and end hails and catch reports			50 CFR 648.10
Atlantic Sea Scallop VMS Reporting: Declaration, Prelanding Notification, Catch report			50 CFR 648.60
Atlantic meckerel and longfin squid VMS reeporting:: declaration, catch report and pre-landing notification			50 CFR 648.10

# 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.**

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

## 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  
NORTHEAST REGION LOGBOOK FAMILY OF FORMS  
OMB CONTROL NO. 0648-0202**

**A. JUSTIFICATION**

This is a resubmission, with the final rule, of a request for a revision to the current information collection as a result of a proposed rule to implement measures under the Mid-Atlantic Unmanaged Forage Fish Omnibus Amendment adopted by the Mid-Atlantic Fishery Management Council (RIN 0648-BG42). Revisions to existing information collections are listed under the appropriate section for each measure that is being revised by this action.

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

Under the Magnuson-Stevens Fishery Conservation and Management Act (Magnuson-Stevens Act), the Secretary of Commerce (Secretary) has responsibility for the conservation and management of marine fishery resources off the coast of the United States. The majority of this responsibility has been delegated to the Regional Fishery Management Councils and the NOAA Fisheries Service. The Council develops management plans for fishery resources in New England.

The Secretary was given certain regulatory authorities to ensure that these resources are utilized in the most beneficial manner. The requirement of a permit for users of these resources is one of the regulatory steps taken to carry out conservation and management objectives. Section 303 (b)(1) of the Magnuson-Stevens Act specifically addresses the need for permit issuance. In addition, almost every international, Federal, state, and local fishery management authority recognizes the value and use of permits as part of their respective management systems. Thus, the Secretary has promulgated rules for the issuance of Federal fisheries permits.

The issuance of a permit is an essential part of managing fishery resources. The purpose and use of permits is to: (1) Register vessel owners, vessel operators, fishing vessels, fish dealers, and processors; (2) list the characteristics of fishing vessels and/or dealer/processor operations; (3) exercise influence over compliance (e.g., withhold permit issuance pending collection of unpaid penalties, or unsubmitted, but required data); (4) provide a mailing list for the dissemination of important information to the industry; (5) register participants to be considered for limited entry; and (6) provide a universe for data collection samples. Identification of the participants, their gear types, vessels, and expected activity levels is an effective and necessary tool in the enforcement of fishery regulations. This information is needed to measure the consequences of management controls as well. Limited access (moratorium) permits are necessary to control fishing effort by managing the number of participants in a fishery. Dealer and vessel permits are necessary to ensure that data collections cover entire fisheries. Vessel operator permits serve as primarily a compliance and information dissemination tool.

The permit system is an integral part of the management of fisheries in the Greater Atlantic Region (formerly Northeast Region) of NMFS. Consolidated regulations for the fisheries included in this collection are found at 50 CFR part 648 and 50 CFR part 697. It would not be

possible to carry out the mandates of the Magnuson-Stevens Act and other laws if approval to continue these previously approved collections were to be denied.

This information collection includes requirements for onboard vessel monitoring systems (VMS). Vessels with particular permits are required to use an electronic VMS to declare their intent to fish before starting a particular trip, change their intent to fish during a trip, report the area they will be fishing in, whether they are fishing or transiting, and to report real-time catch, including information on kept and discarded catch. While vessels are also required to report catch information weekly or monthly depending on their permit through vessel trip reports (VTRs)(VTR collection approved in OMB Control No. 0648-0212), it is often necessary to have daily catch reporting in order to have a real-time understanding of the operation of the fishery. Real time catch reporting is especially important for high volume fisheries, where large amounts of fish are landed in short periods of time, so that the fishery can be shut down when approaching the annual, regional, or seasonal quota. VMS are also used for enforcement purposes to monitor where vessels are fishing on a real-time basis and enforce area restrictions.

Vessels are also required to request, in writing, to participate in any of the various exemption programs offered in the Northeast region. Exemption programs may allow a vessel to fish in an area that is limited to vessels of a particular size, using a certain gear type, or fishing for a particular species. Vessels are also required to request gillnet and lobster tags through the Northeast region permit office when using gillnet gear or lobster traps.

Lastly, vessel owners that own multiple vessels, but would like to request communication from NMFS be consolidated into one mailing (and not separate mailings for each vessel), may request the single letter vessel owner option to improve efficiency of their business practice.

### **Vessel Permits (Initial and Permit Renewal):**

There are two major categories of vessel permits: Open access and limited access (also called moratorium). Since there are no eligibility requirements, open access permits are available to anyone who applies. Conversely, limited access permits are issued to only those applicants who meet the specific qualification requirements for a particular fishery. The permits included in this submission are for the following open and limited access fisheries: Atlantic herring, Atlantic mackerel, Atlantic sea scallop, black sea bass, Atlantic bluefish, longfin and Illex squid, longfin squid, butterfish, monkfish, Northeast (NE) multispecies, ocean quahog, Maine mahogany quahog, scup, spiny dogfish, summer flounder, surf clam, tilefish, deep-sea red crab, NE skates, incidental squid in a highly migratory species (HMS) trawl, and American lobster. Some fisheries are entirely limited access (e.g., American lobster), while others are entirely open access (e.g., bluefish and spiny dogfish). However, most of the fisheries included in the Northeast Permit Family of Forms have both limited access and open access categories. Therefore, if an applicant does not meet the eligibility requirements of a limited access fishery, they may apply for an open access permit. Permit applications include the following information, along with any other information deemed necessary by the Regional Administrator: vessel and vessel owner name; address; vessel length; horsepower; gross tonnage; construction material; fish hold capacity; fishing permits requested; etc. Vessels that are owned by Corporations, Limited Liability Companies, and Partnerships are required to include all persons having an ownership interest in the vessel. An ownership form is included in both vessel and dealer permit forms and

is required with each application for a vessel or dealer permit. Annual renewal is considered important in establishing participants who have an active interest in maintaining their ability to participate in a limited access fishery, and conversely allowing permits to lapse and be cancelled for those who do not.

Entry into limited access fisheries typically requires proof of vessel eligibility, usually in the form of documented landings of the managed species or species group to be submitted with the permit application. Eligibility for limited access fisheries is established only once, during the initial year of the program. In subsequent fishing years, the permit is reissued in the same manner as open access permits. The permit applicant will be provided a pre-printed renewal form each year on which they select the open access permits they want, and the limited access permits for which their vessel has qualified.

This revision would require vessels that catch a set of previously unmanaged forage species (see list below) and Atlantic chub mackerel within Mid-Atlantic Federal waters to be issued a Federal commercial permit by GARFO for any fishery management plan (FMPs) managed by either the Mid-Atlantic or New England Fishery Management Council.

**MID-ATLANTIC FORAGE SPECIES:**

- Anchovies
- Argentines
- Greeneyes
- Halfbeaks
- Round herring
- Scaled sardine
- Atlantic thread herring
- Spanish sardine
- Lanternfish
- Pearlsides
- Sand lances
- Silversides
- Cusk-eels
- Atlantic saury
- Pelagic mollusks
- Pelagic crustaceans

**Operator Permits (Initial and Renewal):**

The vessel operator permit enables NMFS to send notices of proposed and approved regulatory changes to vessel operators, as well as vessel owners, improving the flow of information to the industry. These permits are required for all operators of vessels issued vessel permits from the Northeast region and possessing or fishing in the following fisheries: Atlantic herring, Atlantic mackerel, Atlantic sea scallop, black sea bass, Atlantic bluefish, Illex squid, longfin squid, butterfish, monkfish, NE multispecies, ocean quahog, Maine mahogany quahog, scup, spiny dogfish, surf clam, tilefish, deep-sea red crab, NE skates, and American lobster.

The possible revocation of vessel, dealer, and operator permits helps to ensure compliance with reporting and other fishery specific regulatory requirements. Experience has shown that fines for violations of specific fishery regulations are not as effective as the threat of withdrawing or not renewing permits. Fines for fishing without a permit can be more substantial and easier to enforce than fines for other violations. Vessel owners may be willing to pay the lower fines if the violation brings enough economic benefit, but do not want to be excluded from the fishery.

This revision would require that any operator of a vessel that catches Mid-Atlantic forage species, as listed above, and Atlantic chub mackerel in Mid-Atlantic Federal waters must be issued a Federal operator's permit from GARFO.

### **Dealer/Processor Permits (Initial and Renewal):**

Identification of dealer/processors is needed to obtain first purchase information on landings to evaluate the biological, economic, and social implications of management measures. The Magnuson-Stevens Act, Regulatory Flexibility Act, and Executive Orders 12866 and 12131 require the determination of these facts. This collection of information includes the following dealer permits: Atlantic hagfish, Atlantic herring, Atlantic herring at-sea dealer, Atlantic mackerel, Atlantic sea scallop, black sea bass, bluefish, Illex squid, longfin squid, butterfish, monkfish, NE multispecies, ocean quahog, scup, spiny dogfish, summer flounder, surf clam, tilefish, deep-sea red crab, NE skates, and American lobster.

This revision would require that any dealer that purchases Mid-Atlantic forage species, as listed above, and Atlantic chub mackerel for commercial sale landed by a vessel that operated in Mid-Atlantic Federal waters must be issued a Federal dealer permit for any fishery, as listed above, from GARFO.

### **Vessel Replacements and Confirmations of Permit History:**

The vessel replacement and confirmation of permit history (RPH) application provides a one-step venue for applicants to request replacement of one vessel by another vessel and/or retention of a vessel's limited access permit history. This form saves time and effort by guiding applicants through the process, and by including these inter-related permit actions on one form.

The term vessel replacement, in general, refers to replacing an existing limited access vessel with another vessel. This application requires that the same entity must own both the limited access vessel (and fishing history) that is being replaced and the replacement vessel.

A vessel owner must maintain the limited access permit status for an eligible vessel by renewing the permits or applying for a confirmation of permit history (CPH) on an annual basis. A CPH is issued to a person who does not currently own a fishing vessel, but who has legally retained the fishing and permit history of the vessel for the purpose of transferring it to a replacement vessel at a future date. A CPH is only issued to vessels that have been sold, sunk, or destroyed. Annual renewal is considered important in establishing participants who have an active interest in maintaining their ability to participate in a limited access fishery, and conversely allowing permits to lapse and be cancelled for those who do not.

### **Vessel Monitoring Systems (VMS):**

A VMS provides an effective means of monitoring vessel activity, including assessing fishing effort, through determining vessel location. This information is necessary to enforce management measures such as days-at-sea (DAS), closed area provisions, and to prevent overfishing through electronic catch reporting, where applicable. VMS enables industry participants to provide information on the nature and purpose of their activities electronically and to send and receive electronic messages while on board their vessels. VMS units are also capable of transmitting catch and landings information. Section 303(b)(4) of the Magnuson-Stevens Act

authorizes the Secretary to require the use of devices such as VMS that would facilitate enforcement of FMP provisions.

VMS is currently required for the following industry participants (1) A scallop vessel issued a Full-time or Part-time limited access scallop permit, or an LAGC scallop permit; (2) A scallop vessel issued an Occasional limited access permit when fishing under the Sea Scallop Area Access Program specified under § 648.60; (3) A vessel issued an offshore limited access monkfish permit; (4) A vessel issued a limited access NE multispecies Category A, D, E, or F permit; or a vessel issued a limited access NE multispecies small vessel category or Handgear A permit that fishes in multiple stock areas; (5) A vessel issued a surfclam (SF 1) or an ocean quahog (OQ 6) open access permit; (6) A vessel issued a limited access Atlantic mackerel or longfin squid/butterfish moratorium permit; (7) A vessel issued a Maine mahogany quahog (OQ 7) limited access permit; (8) A limited access monkfish vessel electing to fish in the Offshore Fishery Program in the SFMA; (9) A vessel issued a limited access herring permit, vessels acting as a herring carrier, and vessels issued an open access Category E permit . In addition, NMFS issues an annual permit for Canadian vessels that participate in the Atlantic herring fishery. The owner or operator of any foreign fishing vessel must install VMS units and maintain them in working order.

Industry participants in these fisheries must provide proof of VMS installation with the vessel's permit application or renewal. In addition, all vessel owners required, or choosing to use, a VMS unit must call the NMFS Greater Atlantic Region OLE to confirm connectivity of the unit with the OLE system upon installation of a new or replacement VMS unit, and send a VMS certification form as an official statement that the federally permitted fishing vessel has an operational VMS unit installed. In addition, all vessels required to use VMS units must transmit a signal indicating the vessel's accurate position at least every hour, 24 hr a day, throughout the year; or at least twice per hour, 24 hr a day, throughout the year, for vessels issued a scallop permit. VMS units send position reports automatically with the frequency set by the operator. VMS activity declaration and reporting requirements specific to the permit type and the circumstance are required by regulations at §648.10.

### **Good Samaritan DAS Credits:**

Limited access vessels fishing under DAS requirements that have assisted in USCG search and rescue operations or assisted in towing a disabled vessel may apply for Good Samaritan credits (§648.53(e)). This provision enables such vessels to not accrue DAS for the documented time of their assistance efforts.

### **DAS Credit for Standing by an Entangled Whale:**

Every year, there are many reports of large whale entanglements. However, few entangled whales are actually disentangled because many of the reported entangled whales are never relocated. Given effort limitations, vessels are reluctant to take the time to provide rescuers information about entangled whales because they could lose valuable fishing time. As a result, the NE Multispecies FMP provides DAS credit for vessels that stand by an entangled whale. This credit provides an incentive for vessels to report and stand by entangled whales so that they can be successfully disentangled.

### **DAS Credit for a Canceled Trip:**

NMFS permits vessels that have canceled a fishing trip due to unforeseen circumstances, but have not yet conducted any fishing activity, to be credited DAS upon written request of the vessel's owner/operator. This provision applies to all fisheries that operate under a DAS management system, specifically the Northeast (NE) multispecies, monkfish, and Atlantic sea scallop fisheries. A canceled trip DAS credit is only approved in cases where fishing gear was set or hauled and the vessel was, therefore, not in possession of any fish. The vessel's VMS will provide data that will help determine whether or not the vessel had engaged in setting or hauling fishing gear. To ensure the enforceability of this provision, vessels seeking a canceled trip DAS credit are required to notify NMFS Office of Law Enforcement to coordinate a monitored landing event. The initial notification method depends upon the reporting requirements of the vessel's permit type. Vessels required to report using a VMS unit will be required to send a VMS email and vessels not required to use a VMS must call the interactive voice response (IVR) backup line. Additionally, after landing, both VMS and IVR vessels would be required to submit a DAS credit request form.

### **Vessel Monitoring System Power Down Exemption:**

For vessels fishing with a permit that requires VMS, the vessel owner may sign out of the VMS program for a minimum period of 30 consecutive days by obtaining a valid letter of exemption (§648.(c)(2)). The vessel may not engage in any fisheries until the VMS unit is turned back on, and the vessel must comply with all conditions and requirements of said letter. Normally, vessels carrying permits that require VMS units must transmit a signal indicating the vessel's position either once or twice per hour, 24 hours a day, depending on the permit type. The vessel power down exemption allows both voluntary VMS users and vessels required to use VMS to stop transmitting their position under certain provisions, provided the vessel will be out of the water for a minimum of 72 hours, or for vessels with a valid NE multispecies limited access permit, a surfclam and ocean quahog permit, or an Atlantic sea scallop limited access permit, the vessel will remain at dock/mooring and not engage in any fisheries for a minimum of one month.

Vessel operators are allowed to discontinue the use of VMS as long as a valid letter of exemption is obtained and the vessel complies with the conditions and requirements of the exemption letter. The vessel is required to retain this exemption letter on board the vessel. The vessel owner may also request to extend the time period for which the exemption was granted.

### **Exemption Programs Authorized for Federal Permit Holders:**

Several NE Region FMPs allow exemptions from the regulations for fisheries conducted in a manner already consistent with the goals and objectives of the FMP. For example, the minimum mesh requirement of the summer flounder fishery is waived for a fishery that occurs in an area where the gear selectivity measure would have no significant conservation benefit (§648.104(b)(1)). Similarly, under the NE Multispecies FMP, many exemptions have been authorized for small mesh fisheries and fisheries not requiring effort controls as each one is demonstrated to have a negligible effect on species under protection (§648.80(a)).

The purpose of fishery exemptions is to allow federally permitted vessels to conduct fisheries

that might otherwise be restricted. In this way, the social and economic impacts associated with conservation plans are lessened. The NE Multispecies FMP anticipates the need for such exemptions. As a result, an expedited process exists at §648.80(a)(8) for adding, deleting, or modifying exempted fisheries. According to this measure, if the RA, after consultation with the NEFMC, determines that the fishery in question would have less than 5 percent bycatch of regulated multispecies and the exemption will not jeopardize fishing mortality objectives, the exemption may be allowed and added to the list of exemptions under §648.80(a).

Because exemptions provide alternatives to the often restrictive fisheries managed under an FMP, special permitting or Letters of Authorization (LOA) are often required to ensure compliance and consistency with the purpose of the exemption. Special permits and LOAs provide a list of participants, their period of participation, and assist the agency in compliance monitoring. Special permits and LOAs also serve to resolve confusion and delay caused when a vessel in an authorized exemption program is boarded by enforcement officers to determine whether or not the vessel is fishing illegally.

The following exemptions contain collection of information requirements under OMB Control No. 0648-0202, i.e. requests for Letters of Authorization (LOA) from the Regional Administrator (RA):

- Summer flounder small-mesh exemption (§648.104(b)(1)): For vessels desiring an exemption from the minimum mesh-size requirements for the summer flounder fishery
- Winter flounder state waters exemption: for vessels issued a NE multispecies permit wishing to land winter flounder in state waters with a mesh size smaller than the specified minimum
- Midwater trawl exemption (§648.80(d)(2)): For vessels wishing to fish with mid-water trawls in the GOM/Georges Bank (GB) Exemption area
- Purse seine exemption (§648.80(e)(2)): For vessels wishing to fish with purse seines in the GOM/GB Exemption area
- Herring Carrier Exemption (§648.4(a)(10)(ii)): Allows federally permitted herring vessels to operate as herring carriers as long as no gear capable of fishing is on board. The carrier LOA has a minimum 7 day enrollment period. There is an option to declare into the herring fishery as a carrier using a VMS unit on a per trip basis instead of applying for this LOA. Using the VMS declaration option there would no longer be a 7 day minimum enrollment period.
- Herring Transfer at Sea Exemption (§648.13): Allows Federally permitted herring vessels to transfer or receive herring at sea to/from another herring vessel, a herring at-sea processor, and/or herring carrier vessel.
- Nantucket Shoals dogfish exemption (§648.80(a)(10)): For vessels wishing an exemption from minimum mesh size requirements in the Nantucket Shoals dogfish exemption area
- Southern New England (SNE) Little Tunny Gillnet Exemption (§648.80(b)(9)): For vessels wishing to fish with gillnet gear with a mesh size smaller than the minimum required mesh size in the SNE Little Tunny Gillnet Exemption Area
- Western GOM and Cashes Ledge closed areas party/charter exemption (§648.81(f)(5)(v)(A)): For vessels fishing under Charter/Party regulations in GOM and Cashes Ledge closed areas
- Nantucket Lightship party/charter exemption (§648.81(c)(2)(ii)(A)): For owners of charter/party vessels intending to fish in the Nantucket Lightship Closure Area
- State waters sea scallop exemption program (§648.54): Limited access sea scallop vessels

wishing to participate in either the state waters DAS exemption program or the state waters gear exemption program must notify the RA by VMS or call-in notification. Participants in the sea scallop state waters exemption programs using VMS notification must notify the RA prior to the first trip in the exemption program and prior to the first planned trip in the EEZ, at an estimated 5 minutes per response. Participants in these exemption programs using the call-in system must notify the RA at least 7 days prior to fishing under the exemption. If participants using the call-in system wish to withdraw from either state waters exemption program prior to the end of the 7-day designated exemption period requirement, they must also call the RA to notify of early withdrawal.

- Northwest Atlantic Fisheries Organization (NAFO) regulatory area request (§648.17): Allows vessels possessing a valid High Seas Fishing Compliance permit fishing in the NAFO Regulatory Area to be exempt from NE multispecies and monkfish regulations while transiting the EEZ with NE multispecies on board and land NE multispecies in U.S. ports.
- Raised footrope trawl whiting fishery (§648.80(a)(15)): For vessels wishing to fish with nets with a mesh size smaller than the minimum specified mesh size in the Raised Footrope Trawl Whiting Fishery area
- Monkfish Southern Fishery Management Area (SFMA) landing limit exemption (§648.94(f)): For permitted monkfish vessels that do not have VMS unit that wish to fish exclusively in the Northern Fishery Management Area (NFMA)
- Surf Clam/Quahog GB Closed Area Exemption: Allows vessels access to a portion of the GB Closed Area for harvesting surfclams and ocean quahogs provided all harvesting be conducted under the terms and conditions of a paralytic shellfish poisoning (PSP) testing protocol.
- White and Red Hake Transfer at Sea Exemption (§648.13(e)): A vessel issued a Federal NE multispecies permit may transfer from one vessel to another, for use as bait, up to 500 lb of whiting and unlimited amounts of red hake, per trip, as long as the transferring vessel possesses a Federal NE multispecies permit and the receiving vessel possesses a written receipt for any small-mesh multispecies purchased at sea.
- Cultivator Shoals Whiting Exemption (§648.80(a)(6)): A vessel issued a NE multispecies limited access (Category A-F) or open access (Category K) permit can land 30,000 lb of silver hake (whiting) and offshore hake combined per trip in this area.
- GOM/GB Transiting: A vessel subject to the minimum mesh size restrictions may transit through the GOM and GB RMAs with nets on board with a mesh size smaller than the minimum mesh size specified and with small mesh exempted species on board.
- Skate Bait Exemption (§648.322(c)): A holder of a Federal skate permit may be exempted from the skate wing possession limit restrictions in order to land whole skates for use as bait.
- Mackerel, Squid, Butterfish Transfer at Sea (§648.13): A vessel with a valid longfin squid, Illex squid, and/or butterfish permit may transfer and receive longfin squid, Illex squid, and/or butterfish at sea.
- GOM Cod Landing Limit Exemption: A NE multispecies day at sea (DAS) permit holder and fishing exclusively south of the GOM RMA, may receive an exemption from the more restrictive GOM cod landing limit. If the vessel declares through VMS, the GOM Cod Trip Limit Exemption form should be sent, via VMS, prior to leaving the dock for each trip.
- GOM Rolling Closed Area Charter/Party: The vessel may not use a NE multispecies DAS,

fish on a sector trip, or fish under the provisions of a Handgear A, Handgear B, or Small Vessel (Category C) permit during the entire period for which the LOA is valid.

**Change in multispecies permit category (VMS):**

NE multispecies vessels are authorized to change the category of DAS used or change the area declared to be fished so that the vessel may fish both inside and outside of the Eastern U.S./Canada Area on the same trip. Vessels issued both a NE multispecies permit and a monkfish permit are also authorized to change their DAS declaration from a NE multispecies Category A DAS to a monkfish DAS, while remaining subject to the to the NE multispecies DAS usage requirements during the course of a trip.

**Transiting to another port (VMS):**

Because the possession limits for GOM cod can be smaller than the possession limit for GB cod, common pool vessels fishing south of the GOM RMA are currently required to declare intent to fish outside of the GOM RMA via VMS (§648.86(b)(4)). This declaration exempts the declaring vessel from the GOM cod possession limits when it is fishing in the GB RMA but transiting through the GOM RMA with a higher possession of cod on board the vessel. Common pool vessels fishing under the GOM Cod Landing Exemption may transit from one port to another provided that the operator notifies the RA prior to transiting (§648.86(b)(3)).

**Gillnet Tagging Program and Category Designation:**

Gillnet vessels are required to elect a gillnet category designation by selecting either the “Day gillnet” or “Trip gillnet” category on a form provided by NMFS (§648.4(c)(2)(ii)). On this same form, vessel owners who have selected the “Day gillnet” category may request the required net tags and send a check for the cost of the tags. If the maximum number of tags is not requested on the initial form, vessel owners may request additional tags at any time during the fishing year through an additional form. If any tags are lost or destroyed, the RA must be notified as soon as possible via letter or fax. The vessel owner may also request replacement tags via the same letter or fax, including a check for the cost of the replacement tags (§648.82(k)). This tagging program helps enforce limits on the number of nets a vessel is allowed to fish at a given time.

**American Lobster Trap Area Designation and Tagging Program:**

Each owner of a fishing vessel that fishes with traps capable of catching American lobster must declare to NMFS on the annual application for permit renewal which management areas the vessel will fish in for lobster with trap gear during that fishing season. Any lobster trap fished in Federal waters must be affixed with a valid lobster trap tag (unless exempted by the RA). Trap tags are issued by the RA or by state agencies by agreement with the RA. The trap tags must be purchased using a NMFS trap tag order form or state equivalent. The purpose of the trap tags is to enforce the number of traps a vessel is authorized to fish based on the area(s) designated. Vessel owners are required to report lost, destroyed, or missing tags to the RA within 7 days of the loss incident, and may request replacement of the lost, destroyed, or missing tags (§697.4). Vessels that possess both an American lobster permit for traps in Area 5 and Federal limited access black sea bass permit have the option to participate in the Area 5 waiver category. By opting for this category, they are allowed a limited possession limit for lobster while directing

trap fishing on black sea bass. They can opt in and out of this category throughout the permit year by notifying the NE Region Permit Office and completing a permit application (§697.26).

### **State Quota Transfer Requests:**

The summer flounder and bluefish fisheries are currently managed by a commercial quota allocated on a state-by-state basis. The summer flounder and bluefish quotas are annual allocations. These two fisheries allow states to request that quota be transferred or combined between and among states for a particular fishery (§648.100(e), §648.160(f)). Requests are made in writing to the RA. Quota transfers allow flexibility among the states in managing their allocations, thereby addressing unforeseen variations and contingencies in the fisheries.

### **Vessel Owner Single Letter Option:**

Vessel owners that own multiple vessels but would like to request communication from NMFS be consolidated into one mailing (and not separate mailings for each vessel) may request the single letter vessel owner option to improve efficiency of their business practice.

### **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 requested on the consolidated permit application forms are used by several offices of NMFS, the USCG, the 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.

NOAA NMFS 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 information on confidentiality and privacy. The information collection is designed to yield data that meet all applicable information quality guidelines. Although the information collected is not expected to be disseminated directly to the public, results may be used in scientific, management, technical, or general informational publications. Should NOAA NMFS decide to disseminate the information, it will be subject to the quality control measures and pre-dissemination review pursuant to Section 515 of Public Law 106-554.

### **Vessel Permit Application (Initial and Renewal):**

The vessel permit application form is used to collect vessel information. Permits are issued annually or more frequently at the request of the applicant if changes are necessary. There are two vessel permit application forms—an initial form for new vessels and a renewal form for previously permitted vessels.

In section 1 of the permit application, information such as name and address of the owner is used to identify the applicant and legal ownership of the vessel. This requirement is essential in the use of permits as a fisheries enforcement tool. For example, violations of catch regulations may result in the suspension of a vessel's permit. Since a corporation may own several vessels, identification of ownership on the application form allows NMFS to sanction the company as well as the individual vessel or vessel operator for repeated violations of regulations. This information is also used to provide a mailing list or email list for corresponding with Federally permitted vessels. The regulations specify that mailing address is required. The regulations authorize such requirements to be added as found necessary.

A USCG documentation number, or state registration number when appropriate, serves to further identify an individual vessel. This number is especially useful in tracking permit histories to past owners, assuring that qualified vessels obtain proper moratorium permits. That history becomes more and more important as additional fisheries undergo moratoriums limiting the access of participants.

Telephone numbers are required to assist NMFS in processing the application. Possessing a telephone number for an applicant enables questions to be resolved more efficiently and inexpensively than via correspondence, thus facilitating timely issuance of the permits. Home and principal port information provides managers with information on the distribution of fishing effort and fishing communities--vital components in evaluation of socio-economic impacts of fishing regulations.

The vessel information requested in section 2 of the initial application is required for evaluation of fishing power and capacity and is used by fishery economists and researchers to estimate the impacts of the fishing fleet on a resource and perform other studies as appropriate. Information from this database is used frequently throughout the year as studies are needed.

The fishery information requested in section 3 is used by NMFS, the Councils, and other fishery research and management organizations to evaluate the placement, qualifications, and fishing methods of participants in the various fisheries. This information defines the type of permit issued to an applicant and which restrictions apply to that type of permit.

Section 4 of the initial permit application, and section 5 of the renewal application, requires that the permit holder sign and date the application. A signature is required on all application forms for legal accountability and protection of the applicant.

The regulations at § 648.4(a)(2)(i)(M) specify that for any vessel acquired after March 1, 1994, a vessel owner is not eligible to be issued a limited access scallop permit for the vessel if the issuance of the permit will result in the vessel owner, or in any other person who is a shareholder or partner of the vessel owner, having an ownership interest in a total number of limited access scallop vessels and limited access scallop confirmations of permit history in excess of 5 percent of the number of all limited access scallop vessels and confirmations of permit history at the time of permit application. The same provisions are outlined for the LAGC Atlantic scallop permit holders at §648.53 (h)(3)(ii). Having an ownership interest includes, but is not limited to, persons who are shareholders in a vessel owned by a corporation, who are partners (general or limited) to a vessel owner, or who, in any way, partly own the vessel. Completion of the Atlantic Scallop

Ownership Form permits NMFS to ascertain, in accordance with the regulations at §648.4 (a)(2)(i)(M), the percent of ownership of the limited access or LAGC Atlantic scallop permit applicants.

The renewal application differs from the initial application in that each year a pre-printed application, based on the most recent permit, is mailed to each permit holder. Any changes that are necessary can be quickly accomplished simply by noting the changes in the appropriate “Changes” column. The renewal application enables the vessel owner to renew permits by simply signing and returning the form. However, if the vessel owner wants to make changes to the vessel’s permits, or if the applicant no longer owns the vessel, this can be noted on the application by checking the appropriate section. The information provided is used by the NMFS permit office to ensure that data are accurate and up-to-date.

A revised vessel permit application will be included in the will be included in the submission associated with the final rule for this action.

#### **Dealer/Processor Application (Initial and Renewal):**

Dealer permits are issued annually or more frequently if changes are requested by the applicant. There are two types of applications, initial and renewal. Section 1 of the Dealer permit application requests information on the dealer including vessel permit number, company name, owner name, company street and mailing address, and telephone and FAX number where applicable. In section 2, the applicant selects the fisheries for which he/she wants dealer permits. Section 3 is the signature block section where the applicant attests to the truth and accuracy of the information provided. Dealer information can be used by enforcement officers to check for regulatory infractions in all of the fisheries, and by NMFS scientists and economists as a basis for sampling. The dealer permit requirement ensures complete reporting from dealers for federally permitted fisheries. Reports furnished by permitted dealers are used to gather important information on the volume, value, and distribution of high value, overfished stocks at the point of first purchase.

A revised dealer/processor permit application will be included in the will be included in the submission associated with the final rule for this action.

#### **Operator Application (Initial and Renewal):**

Any operator of a vessel fishing for or possessing: Atlantic sea scallops, NE multispecies, spiny dogfish, monkfish, Atlantic herring, Atlantic surfclam, ocean quahog, Atlantic mackerel, squid, butterfish, scup, black sea bass, or Atlantic bluefish, harvested in or from the EEZ; tilefish harvested in or from the EEZ portion of the Tilefish Management Unit; skates harvested in or from the EEZ portion of the Skate Management Unit; or Atlantic deep-sea red crab harvested in or from the EEZ portion of the Red Crab Management Unit, issued a permit, including carrier and processing permits, must carry a valid operator permit on board. These permits are renewed every three years. The Operator Permit Application requires that the applicant provide the following information: Name, address, city, state and zip code, telephone number, birth date, hair color, eye color, height, and weight. The applicant must include one passport-sized

photograph with their application to ensure positive identification and aid in enforcement actions.

The vessel operator permit enables NMFS to send notices of proposed or approved regulatory changes to vessel operators as well as vessel owners, improving the flow of information to the industry and their ability to stay informed of regulatory changes. In addition, the issuance of permits to vessel operators serves as a compliance tool.

A revised operator permit application will be included in the will be included in the submission associated with the final rule for this action.

### **Vessel Replacement and Confirmation of Permit History (RPH):**

In order to replace a vessel holding limited access permits with another vessel or retain a vessel's limited access permit history, a vessel owner or authorized representative must complete an RPH application. The purpose of this form is to formalize procedures necessary to insure that vessel owners replace vessels within the required parameters (10 percent for length overall and 20 percent for horsepower), with the exception of limited access Handgear A permitted vessels (§648.4(a)(E)). This form also formalizes the procedures by which vessel owners may retain their vessel's limited access permit history.

Applicants are asked to indicate the type of action being requested on the first page of the application. The instructions listed on this page then direct the applicant to the appropriate section of the application. All applicants must complete the information listed on page 2 of the application: Name of the old vessel, permit number, USCG or state registration number, current owner of vessel or permit history, street and mailing address of owner, telephone number of owner, and owner signature. In cases where the owner no longer owns the vessel, but has retained the fishing history, a bill of sale stating the retention of history signed by both the buyer and seller must be submitted.

Section A is to be completed by applicants wishing to replace their old vessel. This section requests information pertaining to the name of the new vessel, permit number (if applicable), USCG or state registration number, and the type of limited access permits being transferred. Applicants must submit proof of size and horsepower for both old and new vessels to ensure the replacement is within the required parameters. The original vessel is that which first received the limited access permit for a particular fishery. The baseline is established according to the year when that fishery's limited access permits were first issued.

Section B is completed by applicants wishing to retain their vessel's limited access permit history. In the event that the vessel was sold, the applicant must submit a bill of sale signed by both the buyer and seller stating that the fishing history was retained by the seller. In the instance the vessel sank or was destroyed, the applicant must submit proof of this with a USCG marine casualty report, other proof of casualty, or insurance document. Once the application and supporting documents are received by NMFS, a Confirmation of Permit History certificate will be processed and sent to the applicant.

Section D lists the acceptable forms and sources of verification for vessel specifications, vessel ownership, vessel history retention, and vessel sinkage or destruction. This information is necessary so that the regulations can be administered as they were written and to further the conservation goals and objectives of these fisheries (§648.4(a)(1)(i)(F)).

The number of vessel owners replacing, upgrading, or retaining their vessel's fishing history varies depending on circumstance. Thus, it is difficult to estimate how many vessel owners will need to complete an RPH application on an annual basis. The regulations state that a vessel owner with a limited access or moratorium fishing permit is limited to one vessel replacement per permit year (§648.4(a)(E)). This prevents "stacking" of permits.

### **VMS Requirements:**

The data collected through the VMS are used in many analyses by NMFS, the Councils, states, Departments of State and Commerce, OMB, Corps of Engineers, Congressional staffs, academics, researchers, the fishing industry and the public. The VMS declarations are used by vessel owners and agency representatives to monitor and enforce area based management measures and to track fishing effort relative to catch.

Vessels required to have an operational VMS unit on board must complete a form supplied by NMFS verifying that a VMS unit has been installed on the vessel and is operational. The form requests information regarding vessel name, Federal permit number, vessel documentation or state registration number, information (name, address, and telephone number) on the installing dealer, date of installation, serial number of unit, and e-mail address of vessel. The form also requests responses to questions regarding whether or not the unit is operational, if operating instructions have been provided to the vessel owner, and if the vessel owner has been trained on use of the VMS unit by the vendor. Once the form has been completed, the vessel owner or authorized representative signs and dates the form, and returns it to the address listed on the form. In addition, in order to ensure VMS unit connectivity, all vessel owners required, or choosing to use, VMS units would be required to call NMFS OLE to confirm connectivity of new and replacement VMS units.

### **VMS Reporting:**

#### Activity declaration:

The owner or operator of a vessel issued a permit type with a VMS requirement must use their VMS unit to declare into the fishery and declare the gear type they are using for the following fishing trips: limited access scallop, general category scallop, multispecies sector or DAS, monkfish DAS, herring, surfclam, ocean quahog, Maine mahogany quahog, longfin squid, or mackerel. This information collection also includes when vessels declare out of fishery using their VMS units.

#### Atlantic herring vessels:

The owner or operator of a vessel issued a limited access permit to fish for herring must report catches (retained and discarded) of herring daily via VMS, unless exempted by the Regional Administrator. The report includes at least the following information, and any other information required by the Regional Administrator: Fishing Vessel Trip Report serial number; permit number; month, day, and year herring was caught; pounds retained

for each herring management area; and pounds discarded for each herring management area. The owner or operator of any vessel issues a limited access herring permit that fishes any part of a tow with midwater trawl gear (including midwater pair-trawl gear) in Management Areas 1A, 1B, and/or 3 must also report the estimated total amount of all species retained (in pounds, landed weight) from each of the Gulf of Maine (GOM) and George's Bank (GB) modified haddock stock areas via the required reporting method specified for Atlantic herring owners or operators at §648.7(b)(2)(i), unless otherwise specified by §648.201. VMS catch reports must be submitted in 24-hr intervals for each day and must be submitted by 0900 hr of the following day. Daily Reports are required even if herring caught that day has not yet been landed.

All vessels on a declared herring trip are required to notify NMFS Law Enforcement via VMS of the time and place of offloading at least six hours prior to crossing the VMS demarcation line on their return trip to port (or six hours prior to landing if the vessel does not fish seaward of the demarcation line).

Atlantic mackerel and longfin squid/butterfish limited access vessels:

The owner or operator of a vessel issued a limited access Atlantic mackerel (Tier 1,2 and 3) and/or longfin squid/butterfish permit must report catches (retained and discarded) of mackerel and longfin squid via VMS daily, unless exempted by the Regional Administrator. The report shall include at least the following information, and any other information required by the Regional Administrator: Fishing Vessel Trip Report serial number; permit number; month, day, and year fish was caught; and pounds retained and discarded. Daily Atlantic mackerel and longfin squid/butterfish VMS catch reports must be submitted in 24-hr intervals for each day and must be submitted by 0900 hr of the following day. Reports are required even if mackerel or longfin squid caught that day has not yet been landed.

Limited access mackerel vessels on trips that land more than 20,000 lb are also required to notify NMFS Law Enforcement via VMS of the time and place of offloading at least six hours prior to crossing the VMS demarcation line on their return trip to port (or six hours prior to landing if the vessel does not fish seaward of the demarcation line).

NE multispecies limited access vessels:

The owner or operator of a vessel issued a limited access permit to fish for NE multispecies must report catches (retained and discarded) of NE multispecies either daily or per-trip via VMS, unless exempted by the Regional Administrator. The report includes at least the following information, and any other information required by the Regional Administrator: Fishing Vessel Trip Report serial number; permit number; month, day, and year fish was caught; and pounds retained and discarded. Daily reporting is required if the vessel is declared into the GOM broad stock area plus any other BSA, any part of the Eastern US/Canada Area, or the Redfish Exemption Area, otherwise trip-level reporting is acceptable. In addition to daily reporting, a catch report must be sent before switching codends when fishing under the Redfish Exemption, and upon completion of the large-mesh portion of the trip when fishing under the Small-Mesh exemption in Southern New England. Daily VMS catch reports must be submitted in 24-hr intervals for each day and must be submitted by 0900 hr of the following day. Daily

reports are required regardless of the area actually fished, even if no fish are caught, and even if fish caught that day have not yet been landed.

Limited access sector vessels going on a declared groundfish trip must send a trip start hail when fishing on an NMFS exemption. All vessels on a groundfish-declared trip must send a multi-species trip end hail through their VMS unit at least 6 hours before arrival.

Monkfish:

Those vessels on monkfish-declared trips that exceed their DAS charge must submit a monkfish trip limit overage DAS adjustment through VMS before crossing the VMS demarcation line on return to port.

Sea Scallop:

All limited access and LAGC IFQ scallop-permitted vessels must submit a scallop daily catch report by 0900 daily. Limited access and General Category vessels must submit a scallop pre-landing notification at least 6 hours before arrival when on the following trips: a declared LACG scallop trip, a declared limited access scallop access area trip, a vessel with an LAGC IFQ or NGOM scallop permit declared trip outside the scallop fishery when scallops are kept, or when declaring out of the limited access scallop day-at-sea fishery to transit to a port south of 39 degrees North with scallops onboard.

RSA and EFP trips:

Vessels on RSA or EFP trips must send VMS trip start hail and trip end hail messages if specifically required in their RSA or EFP LOA.

**DAS Credits**

There is one DAS credit request form with three options that is used by NMFS to determine if a DAS credit is warranted. All DAS credit requests require the following information: Vessel name, owner name, permit number, USGC documentation or state registration number, vessel operator, trip departure and landing date, and fishery. A signature is required on all forms for legal accountability and protection of the applicant. The number of vessel owners requesting DAS credits varies depending on circumstance. Thus, it is difficult to estimate how many vessel owners will need to complete a DAS credit request form on an annual basis.

Good Samaritan DAS Credits:

Limited access vessels fishing under DAS requirements that have assisted in USCG search and rescue operations or assisted in towing a disabled vessel may apply for Good Samaritan credits . This provision enables such vessels to not accrue DAS for the documented time of their assistance efforts. Vessel may request DAS credit for time assisting USCG search and rescue via the DAS credit request form. This option requires at least the following information: Date and time when the vessel began assisting in search and rescue activities, date and time when the vessel recommenced fishing, vessel information for the assisted vessel, and the location of the incident. Vessels may, in theory, assist in search and rescue activities multiple times per year and request DAS credit for such efforts. This information would then be used by NMFS OLE staff to

verify that the vessel met the provision's requirements and to provide DAS credit for time spent, if appropriate.

#### DAS Credit for Standing by an Entangled Whale:

Vessels standing by an entangled whale would be required to notify the USCG and/or the Center for Coastal Studies of the location of the entangled whale and that the vessel intends to stand by the entangled whale until a response team arrives. The vessel would be required to remain available to answer questions on the condition of the animal, possible species identification, severity of entanglement, etc., and take photographs of the whale, if possible. Once a response team arrives or the vessel is notified that a response team is not available to conduct a rescue operation, the vessel may discontinue standing by the entangled whale and can resume fishing operations. The vessel could then request DAS credit for time spent standing by the entangled whale via the DAS credit request form. This option requires at least the following information: Date and time when the vessel began its stand-by status, date of first communication with the USCG and/or the Center for Coastal Studies, and date and time when the vessel terminated its stand-by status. Vessels may, in theory, stand by multiple entangled whales per year and request DAS credit for such efforts.

Information provided by the vessel to the USCG and/or the Center for Coastal Studies would be used by these organizations to identify the species of the whale, track the position of the animal, and monitor the condition of its entanglement. This information would then be used by NMFS OLE staff to verify that the vessel had stood by an entangled whale and to provide DAS credit for time spent standing by an entangled whale, if appropriate.

#### DAS Credit for a Canceled Trip:

Vessels will request a DAS credit if they have declared a trip, but have not engaged in any fishing activity. The vessel's VMS will provide data that will help determine whether or not the vessel had engaged in setting or hauling fishing gear. To ensure the enforceability of this provision, vessels seeking a canceled trip DAS credit are required to notify NMFS Office of Law Enforcement to coordinate a monitored landing event. The initial notification method depends upon the reporting requirements of the vessel's permit type. The credit request form requires the date and time of initial notification and reason for ending the trip for this option.

#### **Vessel Monitoring System Power Down Exemption:**

Vessels carrying permits that require VMS and vessels choosing to use VMS may apply for a power down exemption to stop position transmission under certain provisions provided the vessel would be out of the water for a minimum of 72 hours, or at dock/mooring and not engaging in any fisheries for a minimum of one month. The information required on the VMS Power Down Exemption Form is necessary to maintain compliance with area closures and DAS provisions. The form requests the vessel name, Federal permit number, vessel documentation or state registration number, duration of the exemption period (the dates that the VMS unit will be turned on and off), and either 1) the shipyard address where the vessel will be out of the water for more than 72 consecutive hours, or 2) the port location at which the vessel will be

docked/moored for a minimum one month period. There is no limit to either the length of time a VMS unit may be turned off or the number of times a vessel may participate in this program.

### **Exemption Programs Authorized for Federal Permit Holders:**

In addition to permits, this family of forms includes requirements for participation in Northeast exemption programs.

Federally permitted vessel operators/owners seeking to participate in the exemption programs for all fisheries where such programs are authorized, may be required to obtain either a Letter of Authorization or an exemption permit/certificate for their vessel from NMFS during period of the exemption program. For admittance into an exemption program, the entrant may be required to notify NMFS of intent to participate, or for some exemption programs, the entrant may provide entry and exit notice via a telephone call or VMS. These LOAs or exemption permits are to be kept on board the vessel during the extent of program participation in order to verify enrollment in the exemption program. This documentation is used by OLE to determine what regulations are applicable. Data about fishing behavior and performance from exemption programs may also be used in management decisions.

The information collected for participation in exemption programs consists of vessel owner name, NMFS permit number, vessel name, and participation period, which is filled out on the LOA application form. Vessels wishing to withdraw from a program, after the minimum participation period has been met, must provide NMFS with similar information via phone call or a withdrawal form.

### **Change in multispecies permit category (VMS):**

NE multispecies vessels can change their category of DAS used or change the area declared to be fished so that the vessel may fish both inside and outside of the Eastern U.S./Canada Area on the same trip. This is done via an email using their VMS units. This information is necessary so that vessels are able to have the flexibility to change their DAS declaration while remaining subject to the NE multispecies DAS usage requirements during the course of a trip.

### **Transiting to another port (VMS):**

The declaration of the intent to fish outside of the GOM RMA via VMS prior to each trip is necessary to identify which NE Multispecies vessels are exempt from the GOM cod trip limits. Any vessel intending to fish outside of the GOM RMA would be required to declare its intent to do so prior to each fishing trip via an email through their VMS unit.

### **NE Multispecies Gillnet Tagging Program and Day Gillnet Category Designation:**

Vessel owners electing to fish with gillnet gear must complete a gillnet category designation/net tag order form when applying (either through renewal, replacement, or transfer) for a limited access NE multispecies permit. The information requested on this form enables NMFS to monitor and track the level of participation in the gillnet fishery, and its effect on effort reduction and stock rebuilding goals of the NE Multispecies FMP. The first portion of the form requires

that gillnet vessels select one of two gillnet category designations: “Day gillnet” or “Trip gillnet.” Owners that declare their vessel as a “Day gillnet” vessel are subject to a maximum number of gillnets determined by the location fished. Vessel owners who elect to fish in the Day gillnet category must also purchase the appropriate number of uniquely numbered net tags-- currently up to but not exceeding 160 tags. Roundfish nets are required to be tagged with two tags, while flatfish nets require only one tag. If any of the original tags are lost (e.g., weather, gear conflicts), the vessel owner or representative must report the lost tags as soon as possible via letter or fax to the RA. The vessel owner may also make a request for replacement tags in the same letter or fax to the RA, including a check for the cost of the replacement tags. If the maximum number of tags is not requested on the initial form, vessel owners may request additional tags at any time during the fishing year via an additional form. To aid in enforcement and administration of the program, gillnet vessel owners are required to carry a Gillnet Fishing Certificate onboard their vessel. This Certificate identifies the category designation in which the vessel is enrolled and, if enrolled under the day gillnet designation, the amount of tags and tag numbers that were issued.

The use of a restricted number of tags prevents uncontrolled increases in the number of nets used by vessel operators in response to reductions in DAS. Day gillnet vessels typically return to port each night, after trips of 12 to 15 hours. As DAS are calculated in hours away from port, these trips resulted in more DAS than specified in the reduction schedule (e.g., two trips of 12 hours equaled one 24-hour DAS). Under this requirement, if the vessel declares into the Day gillnet category, each trip under a NE multispecies DAS lasting between 3 and 15 hours is counted as a minimum of 15 hours against the annual DAS allocation. Trips lasting more than 15 hours are counted in hours from the time the vessel called into a DAS until it has returned to port and called out of a DAS. Conversely, trip gillnet vessels typically remain at sea for one or more days at a time. As a result, each trip under a NE multispecies DAS is counted in hours from the time the vessel called into a DAS until it has returned to port and called out of a DAS.

Vessel owners that declare their vessel a “Trip gillnet” vessel are required to bring all gear to port at the end of each fishing trip. On the other hand, Day gillnet vessels can leave their gear in the water, but must declare 120 days out of the gillnet fishery, in minimum blocks of 7 days. At least 21 of these days must be taken during the period from June 1 through September 30. The purpose of the 120 day period out of the gillnet fishery is to ensure that operators of Day gillnet vessels remove their gear from the water for a significant period of time.

Section 2 of the form requires the applicant to specify how many tags they are ordering, the total amount enclosed, and contact information for the applicant. Section 3 of the form requires vessel, permit, and fishery information associated with the request, and the applicant signature and date block.

### **Monkfish Gillnet Area Declaration and Tagging Program:**

Prior to making a trip, vessels with limited access monkfish permits will be required to declare, for a 30 days or longer period of time, into the Northern Fishery Management Area (NFMA) to fish under the less restrictive size limit (11-inch tail-length) and trip limits. Vessels do not have to declare into the NFMA if they choose to fish under the more restrictive 14-inch minimum size limit. This declaration will require that the vessel fish only in the NFMA during the 30-day

period beginning with the date of declaration. If the vessel has not made a NFMA declaration, it will be presumed that the vessel fished in the Southern Fishery Management Area (SFMA) during the trip and the more conservative restrictions will apply to the entire trip. A vessel that has declared its intent to fish only in the NFMA may transit the SFMA provided that it complies with the transiting provisions described in section 5.4 of Monkfish FMP and §648.94(e). The area declaration is needed to ensure that vessels do not fish in the SFMA and transit the NFMA to land monkfish under the less restrictive measures that apply in the NMFA. The minimum 30-day declaration period is necessary to improve enforceability. Otherwise, vessels could rapidly switch fishing areas leading to confusion and poor compliance with the more restrictive measures of the SFMA.

Vessels holding limited access monkfish permits while fishing under a monkfish DAS are required to tag all gillnets being fished, up to a maximum of 160 gillnets, depending on permit type. As a result, owners of vessels holding a limited access monkfish permit must complete the above mentioned gillnet category designation/net tag order form. If the vessel holds a limited access NE multispecies permit, vessel owners may complete this form to comply with NE multispecies and monkfish gillnet tagging requirements simultaneously. However, vessels issued a limited access NE multispecies permit designated in the Trip gillnet category that also hold a limited access monkfish permit are not required to tag gillnets used solely under a NE multispecies DAS. The purpose of this requirement is to control and monitor gillnet effort in the directed monkfish fishery.

#### **American Lobster Trap Area Designation and Tagging Program:**

Lobster vessels using trap gear are required to designate trap fishing areas and affix trap tags to their traps. Permit holders designate their trap areas for the year on the annual permit renewal application. The tags must be purchased using the Lobster Trap Tag Order Form. Part A of the form requests the following information: Permit holder name, address, city, state, zip code, telephone number, vessel name, Federal permit number, and vessel documentation number or state registration number. In part B, the permit holder or authorized representative specifies the number of tags being ordered, the total cost of the tags, and the method of payment. In part C, the permit holder or authorized representative signs and dates the form. Federal lobster permit holders with lobster licenses in states that have a trap tag agreement with the RA must purchase their tags using the equivalent state form. In all cases, Federal permit holders are provided annually with information from NMFS on how to purchase their trap tags. The purpose of the trap tagging program and the information collected is to enforce the number of traps that a vessel is authorized to fish based on the lobster trap fishing areas designated on the permit.

#### **State Quota Transfers:**

The summer flounder and bluefish regulations allow one or more states to transfer all or part of their annual commercial quota. Two or more states implementing a state commercial quota for summer flounder or bluefish may also request approval from the RA to combine all or part of their quotas into an overall regional quota. The intent of these regulations is to provide a mechanism within the overall coastwide quota to give the states flexibility in quota management, in order to respond to changes in landing patterns or emergency situations. The states wishing to utilize these provisions must apply to the RA with a letter stating their request. Requests for

transfer or the combination of commercial quotas for summer flounder or bluefish must be made by individual or joint letter(s) signed by the principal state officials with marine fishery management responsibility and expertise, or his/her previously named designee, for each state involved. The letter(s) must certify that all pertinent state requirements have been met and identify the states involved and the amount of quota transferred or combined (§648.100(d), §648.120(e), §648.160(f)). Such requests must meet the approval of the RA. NMFS uses the information collected to process an in-season action that formally and publically transfers the quota. The frequency of requests is dependent upon supply and demand of a state's summer flounder or bluefish quota.

### **Vessel Owner Single Letter Option:**

In order to request a single mailing for a business with multiple commercial fishing permits, the vessel owner must fill out a the vessel owner single letter option form and mail it to the NMFS Northeast region permit office. Vessel owners can request this option so that they receive fewer mailings from NMFS. This reduces the overall burden of paper that is received by vessel owners regarding fisheries regulations on an annual basis. This information collection was used in a one-time action, and there are no current plans to advertise it again, but it may be requested individually.

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 Greater Atlantic Regional Office's (GARFO) web site: <http://www.greateratlantic.fisheries.noaa.gov>. Posting such information on the internet makes it widely available to the public, thereby reducing both public and administrative burden. The Initial Vessel Application, Vessel Operator Permit Application, Initial Dealer Permit, RPH Application, Gillnet Tag Order Form, DAS Credit Request Form, LOA Request Form, VMS Power Down Exemption Request, VMS Certification Form, Missing Gillnet Tag Replacement Form, and Lobster Trap Tag Order Form, along with their respective instructions, can currently

be found at <http://www.greateratlantic.fisheries.noaa.gov>. At this time, permit applications, with signature and accompanying documents, must be mailed for legal accountability.

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. None of the results of the information collection are made available to the public over the internet.

**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. 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 burden.**

Only the minimum data needed to meet the permit objectives 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. Detailed instructions are included with the application to help facilitate proper completion of the form.

NMFS has currently certified four 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.**

The consequences of not conducting the collection of information described in Questions 1 and 2 would be immense. Permits and VMS are required by the regulations and if we did not collect the information necessary for the issuance of permits and implementation of VMS programs then no one could legally fish for federally managed species. This collection of information is necessary for a variety of reasons. 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. Information collected during vessel replacements is necessary to ensure that vessel replacements

are not occurring outside of the regulatory requirements. 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. To the extent practicable, frequency of information collection under the Permit Family of Forms has been minimized. To reduce the frequency any further would compromise the intent of each collection of information requirement.

An annual request for tags is required of vessel owners participating in the NE multispecies gillnet, monkfish gillnet, and lobster trap fisheries. It is not useful to conduct this collection less frequently since it is expected that tags will routinely be lost as part of doing business. Furthermore, the number of nets and traps being fished by a vessel frequently changes. In addition, annual adjustments allow for further reductions in the number of gillnets and lobster traps to be implemented if such management measures should prove necessary.

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

There are no circumstances in this collection that require information to be collected in a manner inconsistent with OMB guidelines.

**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 in response to those comments. Describe the efforts to consult with persons outside the agency to obtain their views on the availability of data, frequency of collection, the clarity of instructions and recordkeeping, disclosure, or reporting format (if any), and on the data elements to be recorded, disclosed, or reported.**

A proposed rule seeking public comment on the measures included in the Mid-Atlantic Unmanaged Forage Fish Omnibus Amendment, including the information collections associated with the proposed permit, VTR, and dealer reporting requirements, published in the Federal Register on April 24, 2017 (82 FR 18882), coincident with this revision. Notices soliciting public input on these information collections will also be placed in the “Status Report of Greater Atlantic Region Actions” report for the April 18-20, 2017, New England Fishery Management Council and April 11-13, and June 6-8, 2017, Mid-Atlantic Fishery Council Meetings.

Three organizations supported relying on existing permitting requirements for allowing vessels, operators, and dealers to harvest and purchase Mid-Atlantic forage species and Atlantic chub mackerel, rather than creating new permits for these species. In our response, we stated that the proposed permitting and reporting requirements are necessary to collect information to effectively monitor and manage the catch of forage species. We approved the proposed permitting and reporting requirements and will implement them through the final rule.

**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; however, respondents may use tax-exempt Capital Construction Fund monies to purchase VMS devices because of their safety benefits.

**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.**

A full summary of the burden estimate involved in this collection of information can be found in Table 1. There are no changes in burden expected due to this revision.

**Vessel, Dealer and Operator Permits**

The vessel, dealer, and operator permit information collections are an estimated total burden of 7,392 hours (see details below). The operator permit renewal burden is divided because it is renewed every three years.

	# of Entities	Items per Entity	Total # of Items	Response Time (hours)	Total Time Burden (hours)
<b>Permit Requirements</b>					
Initial Vessel Permit	1,200	1	1,200	0.750	900
Vessel Permit Renewal	4,600	1	4,600	0.500	2,300
Initial Dealer Permit	134	1	134	0.250	34
Dealer Permit Renewal	900	1	900	0.083	75
Initial Operator Permit	700	1	700	1.000	700
Operator Permit Renewal	8,500	1	8,500	1.000	2,833
<b>Dealer E-mail Collection</b>	350	1	350	0.083	29
<b>RPH Application</b>					
Replacement/CPH	92	1	92	1.500	138

History Retention	1	1	1	1.500	2
Vessel Specification Verification	23	1	23	0.000	0
Unseaworthy vessel (proof of loss)	12	1	12	0.000	0

## VMS Installation and Operation

The VMS installation and operation information collections are an estimated total of 77 burden hours (see details below).

	# of Entities	Items per Entity	Total # of Items	Response Time (hours)	Total Time Burden (hours)
<b>VMS Installation</b>	430	1	430	1.000	430
<b>Proof of VMS Installation</b>					
VMS Certification Form	430	1	430	0.083	36
Industry calling in to confirm reporting to NOAA	430	1	430	0.083	36
<b>VMS Operation</b>					
Total NE VMS Vessel Population	1,000	1	1,000	0.000	0
<b>Automated VMS polling of vessel position</b>					
Scallop-permitted Vessels	430	17,520	7,533,600	0.000	0
All Other-permitted Vessels	470	8,760	4,117,200	0.000	0
<b>VMS for Canadian Herring Transport Vessels</b>					
Installation and Operation Maintenance Fees	0	1	0	0.000	0
VMS certification form and Installation confirmation	0	1	0	0.000	0
Automated VMS polling	4	288	1,152	0.000	0
Emails for US EEZ Arrival/Departure and Transshipment Activity	4	18	72	0.083	6

## VMS Reporting

The VMS reporting information collections are an estimated total burden of 8,354 hours (see details below).

	# of Entities	Items per Entity	Total # of Items	Response Time (hours)	Total Time Burden (hours)
<b>Northeast Multispecies VMS Reporting</b>					
<b>Declaration:</b> Limited Access Multispecies Vessels	6,571	1	6,571	0.083	545
Multispecies Trip Start Hail	1,973	1	1,973	0.083	164
Multispecies Trip End Hail	6,571	1	6,571	0.083	545

Multispecies Catch Report	19,713	1	19,713	0.083	1,636
<b>Atlantic Sea Scallop VMS Reporting</b>					
<b>Declaration:</b> Limited Access & LAGC Scallop Vessels	9,067	1	9,067	0.083	753
Scallop Pre-Landing Notification	5,966	1	5,966	0.083	495
Scallop Catch Report	18,134	1	18,134	0.083	1,505
<b>Herring VMS Reporting</b>					
<b>Declaration:</b> Atlantic Herring Cat A/B/C/E Vessels	1,007	1	1,007	0.083	84
Herring Pre-Landing Notification	1,007	1	1,007	0.083	84
Herring Catch Report	3,021	1	3,021	0.083	251
<b>Atlantic Mackerel and Longfin Squid VMS Reporting</b>					
<b>Declaration:</b> Atlantic Mackerel and Longfin Squid/Butterfish Limited Access Cat 1, T1, T2, T3 Vessels	2,217	1	2,217	0.083	184
Mackerel/Longfin Squid Catch Report	3,568	1	3,568	0.083	296
Atlantic Mackerel Pre-Land Notification	15	1	15	0.083	1
<b>Surfclam and Quahog VMS Reporting</b>					
<b>Declaration:</b> Surfclam, Ocean Quahog and Maine Mahogany Quahog Vessels	4,106	1	4,106	0.083	341
<b>Monkfish VMS Reporting</b>					
<b>Declaration:</b> Monkfish Cat F and Vessels Electing to Use	1,398	1	1,398	0.083	116
Trip Limit Overage Days at Sea Adjustment	362	1	362	0.083	30
<b>Declared Out of Fishery VMS Reporting</b>					
<b>Declaration:</b> DOF-reporting Vessels	15,004	1	15,004	0.083	1,245
<b>RSA/EFP VMS Reporting</b>					
<b>Declaration</b>	0	0	0	0.083	0
RSA/EFP Trip Start Hail	475	1	475	0.083	39
RSA/EFP Trip End Hail	475	1	475	0.083	39

### Good Samaritan DAS Credits

The good Samaritan DAS credit information collection is an estimated total burden of 12 hours (see details below).

	# of Entities	Items per Entity	Total # of Items	Response Time (hours)	Total Time Burden (hours)
Good Samaritan Credits	24	1	24	0.500	12

### DAS Credit for Standing by Entangled Whales

The DAS credit for standing by entangled whales information collection is an estimated total burden of 50 hours (see details below).

	# of Entities	Items per Entity	Total # of Items	Response Time (hours)	Total Time Burden (hours)
<b>DAS Credits for Standing By Entangled Whale</b>					
Notification and Communication with USCG and Center for Coastal Studies	10	2	20	2.000	40
Request for DAS Credit	10	2	20	0.500	10

### DAS Credit for a Canceled Trip

The DAS credit for a canceled trip information collection is an estimated total burden of 388 hours (see details below).

	# of Entities	Items per Entity	Total # of Items	Response Time (hours)	Total Time Burden (hours)
<b>DAS Credit for a Canceled Trip</b>					
VMS Email	845	1	845	0.083	70
Form Submission	1,908	1	1,908	0.166	318

### VMS Power Down Exemption

The VMS power down information collection is an estimated total burden of 71 hours (see details below).

	# of Entities	Items per Entity	Total # of Items	Response Time (hours)	Total Time Burden (hours)
<b>VMS Power Down Exemption</b>					
Multispecies, Monkfish, Scallop, Herring, Surfclam, Ocean Quahog, Maine Mahogany Quahog, Longfin Squid/Mackerel Vessels	283	1	283	0.250	71

### Exemption programs authorized for permit holders

Owners or operators of vessels seeking to participate in any of the exemption programs described in Part A, Question 1 must request a Letter of Authorization (LOA) from the Regional Administrator (RA) at an estimated 5 minutes per request. All exemption requests require either an initial telephone call requesting the LOA or mailing in the LOA request form to the NMFS GARFO permits office. The total burden estimate is estimated to be 73 hours for the exemption programs.

	# of Entities	Items per Entity	Total # of Items	Response Time (hours)	Total Time Burden (hours)
<b>Exemption programs authorized for federal permit holders</b>					
Midwater Trawl Exemption	30	2	60	0.083	5
Purse Seine Exemption	20	2	40	0.083	3
Cultivator Shoals Whiting Exemption	15	2	30	0.083	2
Nantucket Shoals Dogfish Exemption	10	1	10	0.083	1
GOM/Nantucket Lightship Party/Charter Exemption	20	1	20	0.083	2
Raised Footrope Trawl Whiting Fishery [Sept 1 - Dec 31]	20	2	40	0.083	3
Summer Flounder Small-Mesh Exemption	70	2	140	0.083	12
SNE Little Tunny Gillnet Exemption	40	1	40	0.083	3
Winter Flounder State Waters Exemption	1	1	1	0.033	0
State waters Sea Scallop Exemption	50	2	100	0.033	3
NAFO Regulatory Area Request	50	1	50	0.083	4
Monkfish Southern Fishery Management Area Landing Limit & Minimum Fish Size Exemption	8	1	8	0.083	1
WGOM and Cashes Ledge Closed Area Charter/Party Exemption	93	1	93	0.083	8
Herring Carrier Exemption	15	1	15	0.083	1
Herring Transfer at Sea Exemption	35	1	35	0.083	3
Surf Clam/Quahog GB Closed Area Exemption	47	1	47	0.083	4
GOM Cod Landing Limit Exemption	5	1	5	0.083	0
GOM Rolling Closed Area Charter/Party	110	1	110	0.083	9
Skate Bait Exemption	70	1	70	0.083	6
White and Red Hake Transfer at Sea	13	1	13	0.083	1
GOM/GB Transiting	10	1	10	0.083	1
Mackerel, Squid, Butterfish Transfer at Sea	8	1	8	0.083	1

### Change in multispecies permit category and transiting to another port

The change in multispecies permit category and transiting to another port information collections are an estimated total burden of 62 hours (see details below).

	# of Entities	Items per Entity	Total # of Items	Response Time (hours)	Total Time Burden (hours)
<b>Change in Multispecies Permit Category</b>	689	1	689	0.083	57
<b>Transiting to Another Port</b>	139	1	139	0.033	5

## Gillnet tags and designations

The gillnet tag and designation information collections are an estimated total burden of 861 hours (see details below).

	# of Entities	Items per Entity	Total # of Items	Response Time (hours)	Total Time Burden (hours)
<b>Gillnet Designations/Request for tags</b>	300	1	300	0.083	5
Request for tags (\$1.20 x total number of items (tags))	300	160	48,000	0.000	3
Additional tags	300	1	300	0.033	2
Notification of lost tags	300	1	300	0.033	1
Attachment of Gillnet Tags	300	160	48,000	0.017	2

## Lobster Area Designation and Request for Traps, and Lobster Area 5 Waiver

The lobster area designation, request for traps, and Area 5 waiver information collections are an estimated total burden of 304 hours (see details below).

	# of Entities	Items per Entity	Total # of Items	Response Time (hours)	Total Time Burden (hours)
<b>Lobster Area 5 Waiver</b>	20	3	60	0.330	20
<b>Lobster Area Designation and Requests for Trap Tags</b>	1,900	1	1,900	0.083	158
Additional tags - assumes entire allocation isn't ordered initially	950	1	950	0.033	31
Notification of lost tags and replacement of lost tags	1,900	1	1,900	0.050	95

## State Quota Transfers

Requests for state quota transfers in the bluefish and summer flounder fisheries are estimated to require 1 hour. Assuming 10 state quota transfers a year, the total annual time burden is **10 hours**.

## Vessel Owner Single Letter Option

Requests for the single letter option by vessel owners are estimated to require 5 minutes. Assuming 50 vessel owners send in requests a year, the total annual time burden is **4 hours**.

## Total Annual Burden Hours Estimated for the Greater Atlantic Region Permit Family of Forms

The total annual burden hours estimated for the NE Region Permit Family of Forms is 18,125 hours (see Table 1 for details).

**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).**

There are no cost changes expected from this revision.

**Vessel, Dealer and Operator Permits**

Mailing costs for permit applications and renewals and vessel replacement and upgrade requests are \$0.49 per mailing. For the operator applications and renewals, a \$10 cost for a photograph is added to the mailing costs. The costs to applicants wishing to replace an existing vessel with a larger or newer vessel, and subsequently move the limited access permits and fishing history to the replacement vessel will vary. Verification of vessel specifications are required in the case of undocumented vessels or unseaworthy vessels being replaced. Surveys to verify undocumented vessel specifications range in cost \$150 to \$600 (\$375 average) depending on the surveyor, the specifications needed, the vessel size, and if vessel condition is included in the survey. A survey to verify a vessel’s unseaworthy condition costs approximately \$400 per respondent.

	# of Entities	Items per Entity	Total # of Items	Public Cost
<b>Permit Requirements</b>				
Initial Vessel Permit	1,200	1	1,200	\$588
Vessel Permit Renewal	4,600	1	4,600	\$2,254
Initial Dealer Permit	134	1	134	\$66
Dealer Permit Renewal	900	1	900	\$441
Initial Operator Permit	700	1	700	\$343
Operator Permit Renewal	8,500	1	8,500	\$41,650
<b>Dealer E-mail Collection</b>	350	1	350	\$0
<b>Vessel Owner Email Collection</b>	4,600	1	4,600	\$0
<b>RPH Application</b>				
Replacement/CPH	92	1	92	\$45
History Retention	1	1	1	\$0
Vessel Specification Verification	23	1	23	\$11
Unseaworthy vessel (proof of loss)	12	1	12	\$4,500

**VMS Installation and Operation**

Currently, there are four vendors that offer VMS equipment approved for use in the NE Region. The vendors are McMurdo, CLS America, Network Innovations, and Skymate; a majority of the fleet uses systems provided through either McMurdo or Skymate. VMS purchase and installation costs average \$3,100, and \$300 for installation, depending on the model. All vessels currently required to have VMS units already have them installed. Only vessels that choose to use the VMS system versus the call-in system, and those vessels replacing broken or outdated VMS equipment, would incur the initial cost of VMS purchase and installation.

The cost burden for VMS installation confirmation is based on an average of \$1.00 per call for unit confirmation and the cost of a postage stamp (\$0.49) for each VMS Certification Form submission. The cost to operate the VMS (satellite connection fee, etc.) is approximately \$50/month (average for all 4 VMS vendors). VMS polling costs \$0.06 per transmission. All fisheries except the scallop fishery must automatically transmit vessel location via VMS hourly, while participants in the scallop fishery must automatically transmit vessel location via VMS two times per hour. The cost burden for Canadian transport vessels is based on \$3400 for purchase and installation of the VMS unit, \$50/month for operation, \$3 to mail the certification form, and \$1 per VMS report.

	# of Entities	Items per Entity	Total # of Items	Public Cost
<b>VMS Installation</b>	430	1	430	\$1,462,000
<b>Proof of VMS Installation</b>				
VMS Certification Form	430	1	430	\$211
Industry calling in to confirm reporting to NOAA	430	1	430	\$430
<b>VMS Operation</b>				
<b>Total NE VMS Vessel Population</b>	1,000	1	1,000	\$600,000
<b>Automated VMS polling of vessel position</b>				
Scallop-permitted Vessels	430	17,520	7,533,600	\$452,016
All Other-permitted Vessels	470	8,760	4,117,200	\$247,032
<b>VMS for Canadian Herring Transport Vessels</b>				
Installation and Operation Maintenance Fees	0	1	0	\$0
VMS certification form and Installation confirmation	0	1	0	\$0
Automated VMS polling	4	288	1,152	\$69
Emails for US EEZ Arrival/Departure and Transshipment Activity	4	18	72	\$72

## VMS Reporting

Each VMS declaration notification is estimated to cost an average of \$0.50 each for each fishery. Herring, Atlantic mackerel, and longfin squid vessels are also required to submit daily catch reports, and pre-landing notifications estimated at \$1 per VMS submission.

	# of Entities	Items per Entity	Total # of Items	Public Cost
<b>Northeast Multispecies VMS Reporting</b>				
<b>Declaration:</b> Limited Access Multispecies Vessels	6,571	1	6,571	\$6,571
Multispecies Trip Start Hail	1,973	1	1,973	\$1,973
Multispecies Trip End Hail	6,571	1	6,571	\$6,571
Multispecies Catch Report	19,713	1	19,713	\$19,713
<b>Atlantic Sea Scallop VMS Reporting</b>				

<b>Declaration:</b> Limited Access & LAGC Scallop Vessels	9,067	1	9,067	\$9,067
Scallop Pre-Landing Notification	5,966	1	5,966	\$5,966
Scallop Catch Report	18,134	1	18,134	\$18,134
<b>Herring VMS Reporting</b>				
<b>Declaration:</b> Atlantic Herring Cat A/B/C/E Vessels	97	13	106	\$106
Herring Pre-Landing Notification	1,007	1	1,007	\$1,007
Herring Catch Report	3,021	1	3,021	\$3,021
<b>Atlantic Mackerel and Longfin Squid VMS Reporting</b>				
<b>Declaration:</b> Atlantic Mackerel and Longfin Squid/Butterfish Limited Access Cat 1, T1, T2, T3 Vessels	2,217	1	2,217	\$2,217
Mackerel/Longfin Squid Catch Report	3,568	1	3,568	\$3,568
Atlantic Mackerel Pre-Land Notification	15	1	15	\$15
<b>Surfclam and Quahog VMS Reporting</b>				
<b>Declaration:</b> Surfclam, Ocean Quahog and Maine Mahogany Quahog Vessels	4,106	1	4,106	\$4,106
<b>Monkfish VMS Reporting</b>				
<b>Declaration:</b> Monkfish Cat F and Vessels Electing to Use	1,398	1	1,398	\$1,398
Trip Limit Overage Days at Sea Adjustment	362	1	362	\$362
<b>Declared Out of Fishery VMS Reporting</b>				
<b>Declaration:</b> DOF-reporting Vessels	15,004	1	15,004	\$15,004
<b>RSA/EFP VMS Reporting</b>				
<b>Declaration</b>	0	0	0	\$0
RSA/EFP Trip Start Hail	475	1	475	\$475
RSA/EFP Trip End Hail	475	1	475	\$475

### Good Samaritan DAS Credits and DAS Credit for Standing by Entangled Whales

Vessels can submit a good Samaritan or standing by entangled whales DAS credit request using their VMS units, which is estimated to cost \$1.44 per transmission.

	# of Entities	Items per Entity	Total # of Items	Public Cost
<b>Good Samaritan Credits</b>	24	1	24	\$35
<b>DAS Credits for Standing By Entangled Whale</b>				
Notification and Communication with USCG and Center for Coastal Studies	62	2	124	\$0
Request for DAS Credit	111	2	222	\$0

### DAS Credit for a Canceled Trip

DAS Credits are estimated to cost a vessel \$1.44 per VMS transmission, or the cost of a stamp (\$0.49) to send in the DAS credit form.

	# of Entities	Items per Entity	Total # of Items	Public Cost
<b>DAS Credit for a Canceled Trip</b>				
VMS Email	845	1	845	\$1,217
Form Submission	1,908	1	1,908	\$935

### VMS Power Down Exemptions

Vessels required to have a fully functional VMS unit at all times may request to turn off the VMS (power-down exemption) at approximately \$0.49 requests (the cost of a postage stamp).

	# of Entities	Items per Entity	Total # of Items	Public Cost
<b>VMS Power Down Exemption</b>				
Multispecies, Monkfish, Scallop, Herring, Surfclam, Ocean Quahog, Maine Mahogany Quahog, Longfin Squid/Mackerel Vessels	283	1	283	\$139

### Exemption programs authorized for permit holders

Owners or operators of vessels seeking to participate in any of the exemption programs must request a Letter of Authorization (LOA) from the Regional Administrator. All exemption requests require either an initial telephone call requesting the LOA or mailing in the LOA request form to the NMFS GARFO permits office, which costs \$0.49 per request. The cost estimates are shown in the table below.

	# of Entities	Items per Entity	Total # of Items	Public Cost
<b>Exemption programs authorized for federal permit holders</b>				
Midwater Trawl Exemption	30	2	60	\$29
Purse Seine Exemption	20	2	40	\$20
Cultivator Shoals Whiting Exemption	15	2	30	\$15
Nantucket Shoals Dogfish Exemption	10	1	10	\$5
GOM/Nantucket Lightship Party/Charter Exemption	20	1	20	\$10
Raised Footrope Trawl Whiting Fishery [Sept 1 - Dec 31]	20	2	40	\$20
Summer Flounder Small-Mesh Exemption	70	2	140	\$69
SNE Little Tunny Gillnet Exemption	40	1	40	\$20
Winter Flounder State Waters Exemption	1	1	1	\$0
State waters Sea Scallop Exemption	50	2	100	\$49
NAFO Regulatory Area Request	50	1	50	\$25
Monkfish Southern Fishery Management Area Landing Limit & Minimum Fish Size Exemption	8	1	8	\$4
WGOM and Cashes Ledge Closed Area Charter/Party Exemption	93	1	93	\$46
Herring Carrier Exemption	15	1	15	\$0

Herring Transfer at Sea Exemption	35	1	35	\$0
Surf Clam/Quahog GB Closed Area Exemption	47	1	47	\$0
GOM Cod Landing Limit Exemption	5	1	5	\$2
GOM Rolling Closed Area Charter/Party	110	1	110	\$54
Skate Bait Exemption	70	1	70	\$34
White and Red Hake Transfer at Sea	13	1	13	\$6
GOM/GB Transiting	10	1	10	\$5
Mackerel, Squid, Butterfish Transfer at Sea	8	1	8	\$4

### Change in multispecies permit category and Transiting to another port

The change in multispecies category VMS form is estimated to cost \$0.50 per VMS email transmission and the transiting to another port VMS email is estimated to cost \$0.20 per transmission.

	# of Entities	Items per Entity	Total # of Items	Public Cost
<b>Change in Multispecies Permit Category</b>	689	1	689	\$345
<b>Transiting to Another Port</b>	139	1	139	\$28

### Gillnet tagging

Gillnet tags are purchased from, and supplied to industry by, an independent contractor. The cost associated with the purchase of gillnet tags is \$1.20 per tag. This price includes shipping and handling, but there is an additional shipping and handling charge of \$5.00 for orders of less than 20 tags.

	# of Entities	Items per Entity	Total # of Items	Public Cost
<b>Gillnet Designations/Request for tags</b>	300	1	300	\$0
Request for tags (\$1.20 x total number of items (tags))	300	160	48,000	\$57,600
Additional tags <sup>(6)</sup>	300	1	300	\$0
Notification of lost tags <sup>(7)</sup>	300	1	300	\$0
Attachment of Gillnet Tags	300	160	48,000	\$0

### Lobster Trap Tags

Lobster trap tags are purchased by Federal lobster permit holders from a designated vendor using the NMFS Lobster Trap Tag Form or state agency equivalent. Permit holders are responsible for the cost of the tags which is currently \$0.14 per tag. The number of tags that may be purchased is based on the areas that the vessel designates on the permit renewal application, and permit holders are authorized to purchase an amount of tags equal to their trap allocation plus an additional 10% to cover routine losses.

	# of Entities	Items per Entity	Total # of Items	Public Cost
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<b>Lobster Area 5 Waiver</b>	20	3	60	\$0
<b>Lobster Area Designation and Requests for Trap Tags</b>	1,900	1	1,900	\$251,978
Additional tags - assumes entire allocation isn't ordered initially <sup>(8)</sup>	950	1	950	\$0
Notification of lost tags and replacement of lost tags <sup>(9)</sup>	1,900	1	1,900	\$22,910

### State Quota Transfers

The cost burden associated with ability of states to transfer or combine summer flounder or bluefish quota is estimated to be \$20/hour to the states, or a total of \$200 for ten requests.

### Vessel Owner Single Letter Option

Vessel owners must mail in the single letter request form, which costs \$0.49 for mailing costs. Assuming 50 vessel owners send in requests a year, the total annual cost burden is \$25.

### Total Annual Public Cost Burden Estimated for the Greater Atlantic Region Permit Family of Forms

The total annual public cost burden estimated for the Greater Atlantic Region Permit Family of Forms is \$3,248,204 (see details in Table 1).

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

All Federal fishery permits, annual renewals for Federal fishery permits, dealer permits, and operator permits are included in this collection of information. Estimated annualized cost to the Federal Government assumes that the average cost for issuance of a permit is \$33/permit, including labor, printing, distribution, computer time, and handling. Estimated annualized cost to process applications for vessel replacement or history retention/CPH assumes a \$25/hour wage and overhead value for the Government. It does not cost the government anything to collect dealer and vessel email addresses.

	# of Entities	Items per Entity	Total # of Items	Govt. Cost
<b>Permit Requirements</b>				
Initial Vessel Permit	1,200	1	1,200	\$39,600
Vessel Permit Renewal	6,000	1	6,000	\$151,800
Initial Dealer Permit	134	1	134	\$4,422
Dealer Permit Renewal	900	1	900	\$29,700
Initial Operator Permit	700	1	700	\$23,100
Operator Permit Renewal <sup>(2)</sup>	10,500	1	10,500	\$280,500
<b>RPH Application</b>				
Replacement/CPH	92	1	92	\$3,450
History Retention	1	1	1	\$38

Vessel Specification Verification <sup>(3)</sup>	23	1	23	\$0
Unseaworthy vessel (proof of loss)	12	1	12	\$0

## VMS Installation and Operation

VMS Installation does not have any burden to the government, however government processing of the VMS certification form and the call-in for unit confirmation takes 10 minute per form/call-in at the rate of \$25/hour. Processing the Canadian transport vessels confirmation takes 15 minutes per confirmation at the rate of \$25/hour. It also takes government employees 5 minutes to review and process each report submitted by the Canadian transport vessels at a rate of \$25/hour.

	# of Entities	Items per Entity	Total # of Items	Govt. Cost
<b>VMS Installation</b>	430	1	430	\$0
<b>Proof of VMS Installation</b>				
VMS Certification Form	430	1	430	\$3,225
Industry calling in to confirm reporting to NOAA	430	1	430	\$896
<b>VMS Operation</b>				
<b>Total NE VMS Vessel Population</b>	1,000	1	1,000	\$0
<b>Automated VMS polling of vessel position<sup>(5)</sup></b>				
Scallop-permitted Vessels	430	17,520	7,533,600	\$0
All Other-permitted Vessels	470	8,760	4,117,200	\$0
<b>VMS for Canadian Herring Transport Vessels</b>				
Installation and Operation Maintenance Fees	0	1	0	\$0
VMS certification form and Installation confirmation	0	1	0	\$0
Automated VMS polling	4	288	1,152	\$0
Emails for US EEZ Arrival/Departure and Transhipment Activity	4	18	72	\$150

## VMS Reporting

Government employees are estimated to take 0.3 hours to process VMS reports at a rate of \$25/hour.

	# of Entities	Items per Entity	Total # of Items	Govt. Cost
<b>Northeast Multispecies VMS Reporting</b>				
<b>Declaration:</b> Limited Access Multispecies Vessels	6,571	1	6,571	\$49,283
Multispecies Trip Start Hail	1,973	1	1,973	
Multispecies Trip End Hail	6,571	1	6,571	
Multispecies Catch Report	19,713	1	19,713	
<b>Atlantic Sea Scallop VMS Reporting</b>				

<b>Declaration:</b> Limited Access & LAGC Scallop Vessels	9,067	1	9,067	\$68,003
Scallop Pre-Landing Notification	5,966	1	5,966	
Scallop Catch Report	18,134	1	18,134	
<b>Herring VMS Reporting</b>				
<b>Declaration:</b> Atlantic Herring Cat A/B/C/E Vessels	97	13	106	\$7,553
Herring Pre-Landing Notification	1,007	1	1,007	
Herring Catch Report	3,021	1	3,021	
<b>Atlantic Mackerel and Longfin Squid VMS Reporting</b>				
<b>Declaration:</b> Atlantic Mackerel and Longfin Squid/Butterfish Limited Access Cat 1, T1, T2, T3 Vessels	2,217	1	2,217	\$16,628
Mackerel/Longfin Squid Catch Report	3,568	1	3,568	
Atlantic Mackerel Pre-Land Notification	15	1	15	
<b>Surfclam and Quahog VMS Reporting</b>				
<b>Declaration:</b> Surfclam, Ocean Quahog and Maine Mahogany Quahog Vessels	4,106	1	4,106	\$30,795
<b>Monkfish VMS Reporting</b>				
<b>Declaration:</b> Monkfish Cat F and Vessels Electing to Use	1,398	1	1,398	\$10,485
Trip Limit Overage Days at Sea Adjustment	362	1	362	
<b>Declared Out of Fishery VMS Reporting</b>				
<b>Declaration:</b> DOF-reporting Vessels	15,004	1	15,004	\$112,530
<b>RSA/EFP VMS Reporting</b>				
<b>Declaration (see Note)</b>	0	0	0	\$2,375
RSA/EFP Trip Start Hail	475	1	475	
RSA/EFP Trip End Hail	475	1	475	

### Good Samaritan Credits and DAS Credits for Standing By Entangled Whales

Cost to the government associated with applications for Good Samaritan Credits and DAS credits for standing by entangled whales are estimated at \$25 per hour for each request.

	# of Entities	Items per Entity	Total # of Items	Govt. Cost
<b>Good Samaritan Credits</b>	24	1	24	\$600
<b>DAS Credits for Standing By Entangled Whale</b>				
Notification and Communication with USCG and Center for Coastal Studies	62	2	124	\$1,550
Request for DAS Credit	111	2	222	\$2,775

### DAS Credit for a Canceled Trip

Cost to the government associated with DAS Credit for a Canceled Trip is estimated at \$25 per hour for each request.

	# of Entities	Items per Entity	Total # of Items	Govt. Cost
<b>DAS Credit for a Canceled Trip</b>				
VMS Email	845	1	845	\$1,753
Form Submission	1,908	1	1,908	\$7,950

### VMS Power Down Exemption

Government processing of VMS power down exemption requests is estimated to be 0.3 hours per request at a rate of \$25/hour.

	# of Entities	Items per Entity	Total # of Items	Govt. Cost
<b>VMS Power Down Exemption</b>				
Multispecies, Monkfish, Scallop, Herring, Surfclam, Ocean Quahog, Maine Mahogany Quahog, Longfin Squid/Mackerel Vessels	283	1	283	\$2,123

### Exemption programs authorized for permit holders

The cost burden associated with issuing LOAs for exemption programs authorized for permit holder is estimated to be \$25/hour to the Government.

	# of Entities	Items per Entity	Total # of Items	Govt. Cost
<b>Exemption programs authorized for federal permit holders</b>				
Midwater Trawl Exemption	30	2	60	\$125
Purse Seine Exemption	20	2	40	\$83
Cultivator Shoals Whiting Exemption	15	2	30	\$62
Nantucket Shoals Dogfish Exemption	10	1	10	\$20.75
GOM/Nantucket Lightship Party/Charter Exemption	20	1	20	\$41.50
Raised Footrope Trawl Whiting Fishery [Sept 1 - Dec 31]	20	2	40	\$83
Summer Flounder Small-Mesh Exemption	70	2	140	\$291
SNE Little Tunny Gillnet Exemption	40	1	40	\$83
Winter Flounder State Waters Exemption	1	1	1	\$0.83
State waters Sea Scallop Exemption	50	2	100	\$82.50
NAFO Regulatory Area Request	50	1	50	\$103.75
Monkfish Southern Fishery Management Area Landing Limit & Minimum Fish Size Exemption	8	1	8	\$16.60

WGOM and Cashes Ledge Closed Area Charter/Party Exemption	93	1	93	\$193
Herring Carrier Exemption	15	1	15	\$31
Herring Transfer at Sea Exemption	35	1	35	\$73
Surf Clam/Quahog GB Closed Area Exemption	47	1	47	\$100
GOM Cod Landing Limit Exemption	5	1	5	\$10
GOM Rolling Closed Area Charter/Party	110	1	110	\$228
Skate Bait Exemption	70	1	70	\$145
White and Red Hake Transfer at Sea	13	1	13	\$27
GOM/GB Transiting	10	1	10	\$21
Mackerel, Squid, Butterfish Transfer at Sea	8	1	8	\$17

### Change in multispecies permit category and Transiting to another port

The cost to government from the change in multispecies permit category and transiting to another port information collections are an estimated at 0.25 hours per request at a rate of \$25/hour (see details below).

	# of Entities	Items per Entity	Total # of Items	Govt. Cost
<b>Change in Multispecies Permit Category</b>	689	1	689	\$4,306
<b>Transiting to Another Port</b>	139	1	139	\$869

### Gillnet and Lobster Trap tagging

The cost to the Federal Government associated with NE multispecies and monkfish gillnet category designation, the issuance of initial and replacement tags, and the act of updating the tag database to account for lost tags are estimated to be \$25/hour. No cost is associated with the attachment of tags to gillnets. Similarly, the cost associated with lobster area designation and issuance of lobster trap tags, and responses to notification of lost tags is \$25 per hour.

	# of Entities	Items per Entity	Total # of Items	Govt. Cost
<b>Gillnet Designations/Request for tags</b>	300	1	300	\$623
Request for tags (\$1.20 x total number of items (tags))	300	160	48,000	\$0
Additional tags <sup>(6)</sup>	300	1	300	\$248
Notification of lost tags <sup>(7)</sup>	300	1	300	\$248
Attachment of Gillnet Tags	300	160	48,000	\$0

### Lobster Area 5 Waivers

The cost to the Federal Government associated with lobster waiver requests and request for tags are estimated at 1 hour per request at a rate of \$25/hour .

	# of Entities	Items per Entity	Total # of Items	Govt. Cost
<b>Lobster Area 5 Waiver</b>	20	3	60	\$495
<b>Lobster Area Designation and Requests for Trap Tags</b>	1,900	1	1,900	\$3,943

Additional tags - assumes entire allocation isn't ordered initially <sup>(8)</sup>	950	1	950	\$784
Notification of lost tags and replacement of lost tags <sup>(9)</sup>	1,900	1	1,900	\$2,375

**State Quota Transfer**

Assuming 10 quota transfers per year, the total annual cost to the Federal Government is **\$250 at \$25/hour.**

**Vessel Owner Single Letter Option**

Government processing of the vessel owner single letter option form is estimated to cost \$25/hour for a total of \$100.

**Total Annual Government Cost Burden Estimated for the NE Region Permit Family of Forms**

The total cost to the Government for all items included in the Permit Family of Forms is \$865.220.

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

No changes or adjustments to previously estimated burdens or costs associated with the existing permit requirements are made as a result of this action to implement the Mid-Atlantic Unmanaged Forage Fish Omnibus Amendment. While this action would add a new requirement for vessel operators, vessels, and dealers that fish for, catch, or purchase Mid-Atlantic forage species and Atlantic chub mackerel caught from Mid-Atlantic Federal waters to be issued a Federal operator, commercial fishing vessel, or dealer permit by GARFO, respectively, it is unlikely that the number of respondents will change as a result because these species are rarely caught in Federal waters. Further, most if not all commercial fishing vessels that operate in Mid-Atlantic Federal waters have already been issued a Federal commercial fishing permit from GARFO because they are already catching regulated species managed under one or more of the aforementioned FMPs.

**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.**

Not Applicable.

**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.

	# of Entities	Items per Entity	Total # of Items	Response Time (hours)	Total Time Burden (hours)	Public Cost	Govt. Cost
<b>Permit Requirements</b>							
Initial Vessel Permit	1,200	1	1,200	0.750	900	\$588	\$39,600
Vessel Permit Renewal	4,600	1	4,600	0.500	2,300	\$2,254	\$151,800
Initial Dealer Permit	134	1	134	0.250	34	\$66	\$4,422
Dealer Permit Renewal	900	1	900	0.083	75	\$441	\$29,700
Initial Operator Permit	700	1	700	1.000	700	\$343	\$23,100
Operator Permit Renewal	8,500	1	8,500	0.033	2,833	\$41,650	\$280,500
<b>RPH Application</b>							
Replacement/CPH	92	1	92	1.500	138	\$45	\$3,450
History Retention	1	1	1	1.500	2	\$0	\$38
Vessel Specification Verification	23	1	23	0.000	0	\$11	\$0
Unseaworthy vessel (proof of loss)	12	1	12	0.000	0	\$4,500	\$0
<b>VMS Installation</b>	430	1	430	1.000	430	\$1,462,000	\$0
<b>Proof of VMS Installation</b>							
VMS Certification Form	430	1	430	0.083	36	\$211	\$3,225
Industry calling in to confirm reporting to NOAA	430	1	430	0.083	36	\$430	\$896
<b>VMS Operation</b>							
<b>Total NE VMS Vessel Population</b>	1,000	1	0	0.000	0	\$600,000	\$0
<b>Automated VMS polling of vessel position</b>							
Scallop-permitted Vessels	430	17,520	0	0.000	0	\$452,016	\$0
All Other-permitted Vessels	470	8,760	0	0.000	0	\$247,032	\$0
<b>VMS for Canadian Herring Transport Vessels</b>							
Installation and Operation Maintenance Fees	0	1	0	0.000	0	\$0	\$0
VMS certification form and Installation confirmation	0	1	0	0.000	0	\$0	\$0
Automated VMS polling	4	288	0	0.000	0	\$69	\$0
Emails for US EEZ Arrival/Departure and Transshipment Activity	4	18	72	0.083	6	\$72	\$150
<b>Northeast Multispecies VMS Reporting</b>							
<b>Declaration:</b> Limited Access Multispecies Vessels	6,571	1	6,571	0.083	545	\$6,571	\$49,283
Multispecies Trip Start Hail	1,973	1	1,973	0.083	164	\$1,973	
Multispecies Trip End Hail	6,571	1	6,571	0.083	545	\$6,571	
Multispecies Catch Report	19,713	1	19,713	0.083	1,636	\$19,713	
<b>Atlantic Sea Scallop VMS Reporting</b>							
<b>Declaration:</b> Limited Access & LAGC Scallop Vessels	9,067	1	9,067	0.083	753	\$9,067	\$68,003
Scallop Pre-Landing Notification	5,966	1	5,966	0.083	495	\$5,966	
Scallop Catch Report	18,134	1	18,134	0.083	1,505	\$18,134	

<b>Herring VMS Reporting</b>							
<b>Declaration:</b> Atlantic Herring Cat A/B/C/E Vessels	97	13	1266	0.083	106	\$1266	\$7,553
Herring Pre-Landing Notification	1,007	1	1,007	0.083	84	\$1,007	
Herring Catch Report	3,021	1	3,021	0.083	25	\$3,021	
<b>Atlantic Mackerel and Longfin Squid VMS Reporting</b>							
<b>Declaration:</b> Atlantic Mackerel and Longfin Squid/Butterfish Limited Access Cat 1, T1, T2, T3 Vessels	2,217	1	2,217	0.083	184	\$2,217	\$16,628
Mackerel/Longfin Squid Catch Report	3,568	1	3,568	0.083	296	\$3,568	
Atlantic Mackerel Pre-Land Notification	15	1	15	0.083	1	\$15	
<b>Surfclam and Quahog VMS Reporting</b>							
<b>Declaration:</b> Surfclam, Ocean Quahog and Maine Mahogany Quahog Vessels	4,106	1	4,106	0.083	342	\$4,106	\$30,795
<b>Monkfish VMS Reporting</b>							
<b>Declaration:</b> Monkfish Cat F and Vessels Electing to Use	1,398	1	1,398	0.083	116	\$1,398	\$10,485
Trip Limit Overage Days at Sea Adjustment	362	1	362	0.083	30	\$362	
<b>Declared Out of Fishery VMS Reporting</b>							
<b>Declaration:</b> DOF-reporting Vessels	15,004	1	15,004	0.083	1,250	\$15,004	\$112,530
<b>RSA/EFP VMS Reporting</b>							
<b>Declaration (see Note)</b>	0	0	0	0.083	0	\$0	\$2,375
RSA/EFP Trip Start Hail	475	1	475	0.083	39.6	\$475	
RSA/EFP Trip End Hail	475	1	475	0.083	39.5	\$475	
<b>Good Samaritan Credits</b>	24	1	24	0.500	12	\$35	\$600
<b>Credits for Standing By Entangled Whale</b>							
Notification and Communication with USCG and Center for Coastal Studies	10	2	20	2.000	40	\$0	\$1,000
Request for DAS Credit	10	2	20	0.500	10	\$0	\$250
<b>DAS Credit for a Canceled Trip</b>							
VMS Email	845	1	845	0.083	70	\$1,217	\$1,753
Form Submission	1,908	1	1,908	0.166	318	\$935	\$7,950
<b>VMS Power Down Exemption</b>							
Multispecies, Monkfish, Scallop, Herring, Surfclam, Ocean Quahog, Maine Mahogany Quahog, Longfin Squid/Mackerel Vessels	283	1	283	0.250	71	\$139	\$2,123
<b>Exemption programs authorized for federal permit holders</b>							
Midwater Trawl Exemption	30	2	60	0.083	5	\$29	\$125
Purse Seine Exemption	20	2	40	0.083	3	\$20	\$83
Cultivator Shoals Whiting Exemption	15	2	30	0.083	2	\$15	\$62
Nantucket Shoals Dogfish Exemption	10	1	10	0.083	1	\$5	\$20.75
GOM/Nantucket Lightship Party/Charter Exemption	20	1	20	0.083	2	\$10	\$41.50

Raised Footrope Trawl Whiting Fishery [Sept 1 - Dec 31]	20	2	40	0.083	3	\$20	\$83
Summer Flounder Small-Mesh Exemption	70	2	140	0.083	12	\$69	\$291
SNE Little Tunny Gillnet Exemption	40	1	40	0.083	3	\$20	\$83
Winter Flounder State Waters Exemption	1	1	1	0.033	0	\$0	\$0.83
State waters Sea Scallop Exemption	50	2	100	0.033	3	\$49	\$82.50
NAFO Regulatory Area Request	50	1	50	0.083	4	\$25	\$103.75
Monkfish Southern Fishery Management Area Landing Limit & Minimum Fish Size Exemption	8	1	8	0.083	1	\$4	\$16.60
WGOM and Cashes Ledge Closed Area Charter/Party Exemption	93	1	93	0.083	8	\$46	\$193
Herring Carrier Exemption	15	1	15	0.083	1	\$0	\$31
Herring Transfer at Sea Exemption	35	1	35	0.083	3	\$0	\$73
Surf Clam/Quahog GB Closed Area Exemption	47	1	47	0.083	4	\$0	\$100
GOM Cod Landing Limit Exemption	5	1	5	0.083	0	\$2	\$10
GOM Rolling Closed Area Charter/Party	110	1	110	0.083	9	\$54	\$228
Skate Bait Exemption	70	1	70	0.083	6	\$34	\$145
White and Red Hake Transfer at Sea	13	1	13	0.083	1	\$6	\$27
GOM/GB Transiting	10	1	10	0.083	1	\$5	\$21
Mackerel, Squid, Butterfish Transfer at Sea	8	1	8	0.083	1	\$4	\$17
<b>Change in Multispecies Permit Category</b>	689	1	689	0.083	57	\$345	\$4,306
<b>Transiting to Another Port</b>	139	1	139	0.033	5	\$28	\$869
<b>Gillnet Designations/Request for tags</b>	300	1	300	0.00	0	\$0	\$623
Request for tags (\$1.20 x total number of items (tags))	300	160	48,000	0.083	25	\$57,600	\$0
Additional tags	300	1	300	0.033	10	\$0	\$248
Notification of lost tags	300	1	300	0.033	10	\$0	\$248
Attachment of Gillnet Tags	300	160	48,000	0.017	816	\$0	\$0
<b>Lobster Area 5 Waiver</b>	20	3	60	0.330	20	\$0	\$495
<b>Lobster Area Designation and Requests for Trap Tags</b>	1,900	1	1,900	0.083	158	\$251,978	\$3,943
Additional tags - assumes entire allocation isn't ordered initially	950	1	950	0.033	31	\$0	\$784
Notification of lost tags and replacement of lost tags	1,900	1	1,900	0.050	95	\$22,910	\$2,375
<b>State Quota Transfers</b>	10	1	10	1.000	10	\$200	\$250
<b>Vessel Owner Single Letter Option</b>	50	1	50	0.083	4	\$25	\$100
<b>TOTALS</b>	135,938	26,992	224, 765	18	17,481	\$3,248,423	\$865,220



**United States Department of Commerce**  
National Oceanic and Atmospheric Administration  
National Marine Fisheries Service  
Greater Atlantic Regional Fisheries Office  
55 Great Republic Drive  
Gloucester, MA 01930

Revised 11/23/16

## Permit Application for Vessels Fishing in the Exclusive Economic Zone (EEZ)

### Greater Atlantic Region

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#### General Information

If you are a new owner of a vessel or your vessel is new to our region, please review and complete the initial vessel application provided herein.

Applicants with specific questions are encouraged to contact the Permit Office at **(978) 282-8438** between 8:00 a.m. and 4:30 p.m. ET or by email at: [NMFS.GAR.Permits@noaa.gov](mailto:NMFS.GAR.Permits@noaa.gov). Applicants are also encouraged to visit our website at <http://www.greateratlantic.fisheries.noaa.gov/aps/permits>



#### What to include with your application

1. Signed and dated **initial application**;
2. Signed and dated **owner form** with the names of each owner and/or shareholder of the vessel and;
3. A copy of the vessel's valid **Coast Guard Documentation or State Registration**. Expired USCG Documentation or State registrations will not be accepted.
4. **For party/charter permits**: include a copy of your **valid** Captain's License **or** a copy of your Coast Guard Documentation with a *Coastwise* endorsement.
5. If the vessel is owned by a company or LLC, include a copy of the articles of incorporation or organization showing the members of the business.
6. **If applying for a NE multispecies category A, E, or F or a limited access monkfish** permit and you intend to fish with gillnets or you need to order more tags, request a gillnet tag form.
7. If applying for a **letter of authorization (LOA)**, complete and request an LOA Form.

If your application is not complete when we receive it, we will return it to you for completion or correction. This will delay the issuance of your permit. You cannot fish without an active permit.



#### Where to send your completed application (email, fax or mail)

**Fax** completed forms to: (978) 281-9161

**Mail** completed forms to: NMFS Permit Office  
55 Great Republic Drive  
Gloucester, MA 01930

**Email** scanned forms to: [NMFS.GAR.Permits@noaa.gov](mailto:NMFS.GAR.Permits@noaa.gov)

### **Reporting Requirements**

The owner or operator of a fishing vessel that has been issued a Greater Atlantic Region Fishing Vessel Permit has VTR reporting requirements for all fishing trips taken, regardless of species targeted or waters fished. Federal surf clam and ocean quahog permit holders must complete clam/quahog log reports when fishing for those species. Vessels that only possess an American lobster permit are not required to submit VTRs. For more information, please call the Vessel Reporting Office at (978) 281-9246 or visit our website at: [www.greateratlantic.fisheries.noaa.gov/aps/evtr/doc/vtr\\_inst.pdf](http://www.greateratlantic.fisheries.noaa.gov/aps/evtr/doc/vtr_inst.pdf)

### **Federal Vessel Operator Permit**

It is the responsibility of the vessel owner to ensure that his/her vessels issued Greater Atlantic Region permits are operated by an individual with a valid Federal Vessel Operator Permit. Any individual operating a vessel issued Greater Atlantic Federal Fishing Vessel Permit is subject to the vessel operator permit requirements. Vessel operators are required to report their operator permit number when completing their VTRs.

The Federal Vessel Operator Permit is a photo ID that must be carried by the operator of the vessel. Operator permits are issued for a 3-year period and renewal applications are mailed 35 to 45 days before the expiration of the permit. If you already have an operator permit issued by the Southeast Region (SERO), you do not need to get one from us, the Greater Atlantic Region. Either permit is valid for all of the Southeast and Greater Atlantic fisheries that require an operator permit.

**Be sure to keep your address up to date. This will ensure you receive your renewal at the correct address and in a timely manner. Address changes can be made by sending us a written request signed and dated by the owner.**

To ensure that your operator has a valid operator permit or to obtain an application, please call the Permit Office at 978-282-8437, or online at <http://www.greateratlantic.fisheries.noaa.gov/aps/forms.html>.

### **Tuna Permit Holders**

Atlantic tuna vessel permits are issued through a separate permitting system, which can be accessed by phone at (888) 872-8862 (888-USA-TUNA) or via the Internet at <https://hmspermits.noaa.gov/>. Atlantic tunas regulations can also be found on this same website, or can be answered at 978-281-9260.

### **Sale of Your Catch Requirements**

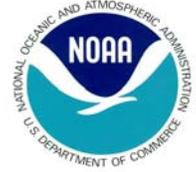
All vessels issued a Federal Greater Atlantic Region Fishing Vessel Permit are required to sell their catch of federally managed species only to seafood dealers with a valid Federal Greater Atlantic Region dealer permit for that species. Federally permitted vessels with Greater Atlantic Region permits may not sell their catch of federally managed species to persons or seafood dealers that do not have valid Federal Greater Atlantic Region dealer permits.

**Federal Regulations:** This letter and the enclosures only summarize the legal requirements. Please consult the U.S. Code of Federal Regulations whose guidance for application requirements, permit eligibilities, and related information will always prevail. For a complete understanding of your obligations, consult the regulations at: [www.greateratlantic.fisheries.noaa.gov/regs/fr.html](http://www.greateratlantic.fisheries.noaa.gov/regs/fr.html) or call 978-281-9315.

# Greater Atlantic 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) 282-8438



## 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: \_\_\_\_\_

Telephone: \_\_\_\_\_

CG Doc. or State Registration Num: \_\_\_\_\_

Alternate Phone: \_\_\_\_\_

Home Port: City \_\_\_\_\_

ST \_\_\_\_\_

Principal Port: City \_\_\_\_\_

ST \_\_\_\_\_

Previously permitted Vessel Permit # \_\_\_\_\_ (if applicable)

## 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)

Signature required on back of form    OMB# 0648-0202    Expires 08/31/2019

### Section 3 – Fishery Information

<b>Gear Codes</b>	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 or check 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 the Permit Office at (978) 282-8438.

Fisheries	Open Access Categories	Limited Access Categories <span style="color: red;">Qualified Vessels Only</span>	Gear Code(s)
Atlantic Sea Scallop		2 3 4 5 reset 6 7 8 9	
Atlantic Sea Scallop – General		A B C reset	
Northeast Multispecies	HB I* J K	A C D reset E F HA	
Monkfish	E	A B C D F G H reset	
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 reset	
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 reset	
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 11/23/2016 OMB # 0648-0202 Expires: 8/31/19



# Owner Form

- Completion of this form is required with each application for a Greater Atlantic Federal Vessel or Dealer permit.
- List all persons who have an ownership interest in the business that is the subject of this application.
- Owners or persons who have an ownership interest in a business 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 business.

**Section A** – Dealer or Vessel name and Federal Permit Number. If this application is for a new or initial permit, then leave permit number blank.

Dealer or Vessel Name:	Permit Number:
------------------------	----------------

USCG documentation or State Registration Number (Vessel Permit Applicants):
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**Section B** - All persons who have an ownership interest in the business must be listed below. Do not include employees of the business unless they are also an owner or shareholder.

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

**Additional space provided on the back of this form to list all persons with an ownership interest in the business.**

<p>I, the undersigned, am the owner or legally authorized agent of the owner of the business named in <i>Section A</i> 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.</p>	
OMB# 0648-0202 Expires 08/31/2019	
Name of Applicant (print clearly) _____	
Signature of Applicant _____	Date _____

**Page 2 - Section B Continued** - All persons who have an ownership interest in the business must be listed below. Do not include employees of the business unless they are also an owner or shareholder.

Mr/Mrs/Ms	First Name	Middle Name	Last Name	Suffix: Jr, Sr, III, etc
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: Jr, Sr, III, etc
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: Jr, Sr, III, etc
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: Jr, Sr, III, etc
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: Jr, Sr, III, etc
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: Jr, Sr, III, etc
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 business 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 08/31/2019

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 business in Section A.



## 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



### Initial Vessel Application

#### Instructions for Greater Atlantic Federal Fishing Vessel Permits

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Enclosed are the instructions for completing the Initial Fishing Vessel Application for Federal Greater Atlantic 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 978-282-8438 or e-mail [Permits.ne@noaa.gov](mailto:Permits.ne@noaa.gov).

#### Mail the completed application package to:

National Marine Fisheries Service  
Greater Atlantic 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

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

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

<b>Section 3 - Fishery Information</b>
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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 Greater Atlantic Fisheries Regulations.

<b>2*</b>	<b>Full-Time:</b> This category is limited to dredge gear where the combined width in use or in possession does not exceed 31 feet.
<b>3*</b>	<b>Part-Time:</b> This category is limited to dredge gear where the combined width in use or in possession does not exceed 31 feet.
<b>4</b>	<b>Occasional:</b> This category is limited to dredge gear where the combined width in use or in possession does not exceed 31 feet.
<b>5*</b>	<b>Full-Time Small Dredge:</b> 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 <b>410</b> ) gear only.
<b>6*</b>	<b>Part-Time Small Dredge:</b> 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 <b>410</b> ) gear only.
<b>7*</b>	<b>Full-Time: Authorized to use trawl nets:</b> This category is authorized to use bottom trawl nets (gear code 310) to fish for scallops under a scallop DAS.
<b>8*</b>	<b>Part-Time: Authorized to use trawl nets:</b> This category is authorized to use bottom trawl nets (gear code 310) to fish for scallops under a scallop DAS.
<b>9</b>	<b>Occasional: Authorized to use trawl nets:</b> This category is authorized to use bottom trawl nets (gear code 310) to fish for scallops under a scallop DAS.

\* An approved Vessel Monitoring System (VMS) is required as a condition of this permit.

**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 Greater Atlantic 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.

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

\* An approved Vessel Monitoring System (VMS) is required as a condition of this permit.

**VMS Information**

For further information on the Greater Atlantic Region Vessel Monitoring System (VMS) Program, please go to this link: <http://www.greateratlantic.fisheries.noaa.gov/vms/index.html>.

❖ **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 Greater Atlantic Fisheries Regulations.

<b>A*</b>	<b>Day-at-Sea (DAS):</b> This category includes all gear types except dredge gear.
<b>C</b>	<b>Small Vessel Exemption</b> (less than or equal to 30 feet): This category includes all gear types except dredge gear.
<b>D*</b>	<b>Hook Gear:</b> (Vessels in this category may not change category) This category is limited to handlines (gear code <b>911</b> ), rod and reel (gear code <b>912</b> ), tub trawl (gear code <b>913</b> ) and longlines (gear code <b>920</b> ) gear only.
<b>E*</b>	<b>Combination Vessels:</b> This category includes all gear types except dredge gear and is only applicable for vessels that have a limited access scallop permit. Vessels in this category may not change category.
<b>F*</b>	<b>Large Mesh Individual DAS:</b> 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 <b>120, 210, 220, 310, 320, 330</b> and <b>700</b> only.
<b>HA**</b>	<b>Handgear A:</b> This category is limited to rod and reel (gear code <b>912</b> ), handline (gear code <b>911</b> ) or tub trawl (gear code <b>913</b> ) gear only. Vessels in this category may not change category.

\* An operational VMS is required to be on board the vessel to fish for groundfish under a NE multispecies DAS or on a sector trip.

\*\* A Handgear A vessel in the common pool must declare its trips using the Interactive Voice Response (IVR) system, unless it intends to fish in more than one broad stock area (BSA) on a single trip, in which case, it would need a VMS unit to declare its trips.

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

<b>HB</b>	<b>Handgear B:</b> This category includes rod and reel (gear code <b>912</b> ), handline (gear code <b>911</b> ) or tub trawl (gear code <b>913</b> ) gear only.
<b>I</b>	<b>Charter/Party:</b> 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 <b>912</b> ) and handline (gear code <b>911</b> ) gear only.
<b>J</b>	<b>Scallop Multispecies Possession Limit:</b> The vessel may possess and land up to 300 lb of regulated species while fishing under a scallop DAS. <b>Vessel must have a Limited Access Scallop Permit (Categories 2 – 9) to qualify for this category.</b> This category includes all gear types.
<b>K</b>	<b>Open Access Multispecies:</b> The vessel may participate in an exempted fishing program to fish for small-mesh multispecies such as silver hake (whiting), red hake (ling), or offshore hake, among other species. This category includes all gear types.

- See page 3 for a list of Greater Atlantic Fisheries gear types and their codes

❖ **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 Greater Atlantic Fisheries Regulations.

<b>A</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. This category includes all gear types except dredge gear.
<b>B</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.
<b>C</b>	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.
<b>D</b>	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.
<b>F*</b>	<b>Offshore Fishery Program:</b> 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.

\* An approved Vessel Monitoring System (VMS) is required as a condition of this permit.

**Limited Access Permit Categories for Vessels Fishing in the Southern Fishery**

**Management Area (SFMA) –** Vessels issued a limited access Category H permit are restricted to fishing under a monkfish DAS in the monkfish SFMA.

<b>H</b>	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.
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**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 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 Greater Atlantic Fisheries Regulations.

<b>E</b>	<b>Incidental Catch:</b> 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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- See page 3 for a list of Greater Atlantic Fisheries gear types and their codes

❖ **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. 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 Greater Atlantic Fisheries Regulations.

<b>1*</b>	<b>Surfclam:</b> The vessel may fish for surfclams. This category is limited to dredge (gear code <b>410</b> ) gear only. VMS required.
<b>6*</b>	<b>Ocean Quahog:</b> The vessel may fish for ocean quahogs. This category is limited to dredge (gear code <b>410</b> ) 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 Greater Atlantic Fisheries Regulations.

<b>7*</b>	<b>Maine Mahogany Quahog:</b> 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 <b>410</b> ) gear only.
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\* An approved Vessel Monitoring System (VMS) is required as a condition of this permit.

❖ **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 Greater Atlantic Fisheries Regulations.

<b>1</b>	<b>Summer Flounder Commercial Moratorium:</b> This category includes all gear types.
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**Open Access Permit Categories:** Further restrictions may apply to this category. Refer to Greater Atlantic Fisheries Regulations.

<b>2</b>	<b>Charter/Party:</b> May fish for or possess summer flounder in the EEZ while carrying passengers for hire. 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 Greater Atlantic Fisheries Regulations.

<b>1</b>	<b>Scup Commercial Moratorium:</b> This category includes all gear types.
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**Open Access Permit Categories:** Further restrictions may apply to this category. Refer to Greater Atlantic Fisheries Regulations.

<b>2</b>	<b>Charter/Party:</b> May fish for or possess scup in the EEZ while carrying passengers for hire. 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 Greater Atlantic Fisheries Regulations.

<b>1</b>	<b>Black Sea Bass Commercial Moratorium:</b> 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 Greater Atlantic Fisheries Regulations.

<b>2</b>	<b>Charter/Party:</b> May fish for or possess black sea bass in the EEZ north of 35° 15.3´ N. latitude while carrying passengers for hire. This category includes all gear types.
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❖ **Mid-Atlantic Forage Fish Species / Atlantic Chub Mackerel**

To fish for, land or possess Mid-Atlantic forage species (see list below) and Atlantic chub mackerel in or from Federal waters (EEZ) from New York through North Carolina, your vessel must be issued any of the Greater Atlantic Region fishing vessel permits. Please contact us at [\(978\) 281-9315](tel:978-281-9315) if you have any questions about the regulations for forage species.

Mid-Atlantic Forage Species include the following:

- Anchovies
- Argentines
- Atlantic saury
- Atlantic thread herring
- Cusk-eels
- Greeneyes
- Halfbeaks
- Lanternfish
- Pearlsides
- Round herring
- Sand lances
- Scaled sardine
- Silversides
- Spanish sardine
- Pelagic molluscs
- Copepods, krill, amphipods, and other small crustaceans

❖ **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 Greater Atlantic Fisheries Regulations.

<b>1*</b>	<b>Longfin squid/Butterfish Moratorium:</b> This category includes all gear types.
<b>5</b>	<b>Illex Squid Moratorium:</b> This category includes all gear types.
<b>T1*</b>	<b>Atlantic Mackerel Tier 1:</b> May fish commercially in the EEZ for unlimited amounts of mackerel. This category includes all gear types.
<b>T2*</b>	<b>Atlantic Mackerel Tier 2:</b> May fish commercially in the EEZ for up to 135,000 lb of mackerel per trip. This category includes all gear types.
<b>T3*</b>	<b>Atlantic Mackerel Tier 3:</b> 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.

**\* An approved Vessel Monitoring System (VMS) is required as a condition of this permit.**

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

<b>2</b>	<b>Squid/Mackerel/Butterfish Charter/Party:</b> May fish for or possess unlimited amounts of <b>Longfin</b> or <b>Illex</b> squid, mackerel or butterfish in the EEZ while carrying passengers for hire. This category includes all gear types.
<b>3</b>	<b>Squid/Butterfish Incidental Catch:</b> May fish commercially in the EEZ for up to 2,500 lb of <b>Longfin</b> squid per trip, 10,000 lb of <b>Illex</b> squid per trip, or 600 lb of butterfish per trip. This category includes all gear types.
<b>4</b>	<b>Atlantic Mackerel Incidental Catch:</b> 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.

<b>1</b>	<b>Incidental Highly Migratory Species (HMS) Squid Trawl Permit:</b> 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 Greater Atlantic Fisheries Regulations.

<b>1</b>	<b>General:</b> 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 Greater Atlantic Fisheries Regulations.

<b>1</b>	<b>Commercial:</b> May possess or harvest Atlantic bluefish from the EEZ. This category includes all gear types.
<b>2</b>	<b>Charter/Party:</b> May fish for or possess Atlantic bluefish from the EEZ while carrying passengers for hire. This category includes all gear types.

❖ **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 Greater Atlantic Fisheries Regulations.

<b>A*</b>	<b>All Areas:</b> 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>B*</b>	<b>Areas 2/3:</b> 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.
<b>C*</b>	<b>Incidental Catch:</b> Authorizes the harvest of up to 55,000 lb of 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.

\* An approved Vessel Monitoring System (VMS) is required as a condition of this permit.

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

<b>D</b>	<b>Open Access:</b> 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.
<b>E*</b>	<b>Open Access Areas 2/3:</b> Authorizes a vessel to possess up to 20,000 lb of herring per trip, limited to one landing per calendar day, in or from Herring Management Areas 2 and 3. Allowed only for vessels issued a valid limited access mackerel permit but not a limited access herring permit. A vessel may hold both the All Areas Open Access Herring Permit (Category D) and the new Category E permit at the same time. This category includes all gear types.

\* An approved Vessel Monitoring System (VMS) is required as a condition of this permit.

❖ **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 Greater Atlantic Fisheries Regulations.

<b>1</b>	<b>Open Access Commercial/Incidental:</b> May possess or land tilefish in or from the EEZ, north of the VA/NC border, up to 500 lb whole weight, or 458 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.
<b>2</b>	<b>Open Access Charter/Party:</b> May fish for or possess tilefish in the EEZ, north of the VA/NC border, while carrying passengers for hire. 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 Greater Atlantic Fisheries Regulations.

<b>1</b>	<b>General:</b> May commercially fish for, possess, or land skate caught in or from the EEZ. This category includes all gear types.
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**VMS Information**

For further information on the Greater Atlantic Region Vessel Monitoring System (VMS) Program, please go to this link: <http://www.greateratlantic.fisheries.noaa.gov/vms/index.html>.

❖ **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 Greater Atlantic Fisheries Regulations.

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

<b>A</b>	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 Greater Atlantic Fisheries Regulations at 50 CFR 697.

<b>1</b>	<b>Commercial Non-Trap:</b> 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.
<b>2</b>	<b>Charter/Party Non-Trap:</b> May harvest lobster in the EEZ while carrying passengers for hire. This category includes all gear types except pots and traps.
<b>A1</b>	<b>Commercial Trap Gear Area 1:</b> May harvest lobster in Federal Lobster Management Area 1. This category is limited to pots and traps (gear code <b>800</b> ) gear only. Must have Area1 trap gear eligibility.

<b>A2</b>	<b>Commercial Trap Gear Area 2:</b> May harvest lobster in Federal Lobster Management Area 2. This category is limited to pots and traps (gear code <b>800</b> ) gear only. Must have a valid historic allocation to elect this area. Includes Area 2/3 overlap.
<b>A3</b>	<b>Commercial Trap Gear Area 3:</b> May harvest lobster in Federal Lobster Management Area 3. This category is limited to pots and traps (gear code <b>800</b> ) gear only. Must have a valid historic allocation to elect this area. Includes Area 2/3 overlap.
<b>A4</b>	<b>Commercial Trap Gear Area 4:</b> May harvest lobster in Federal Lobster Management Area 4. This category is limited to pots and traps (gear code <b>800</b> ) gear only. Must have a valid historic allocation to elect this area.
<b>A5</b>	<b>Commercial Trap Gear Area 5:</b> May harvest lobster in Federal Lobster Management Area 5. This category is limited to pots and traps (gear code <b>800</b> ) gear only. Must have a valid historic allocation to elect this area.
<b>A6</b>	<b>Commercial Trap Gear Area 6:</b> 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 <b>800</b> ) gear only.
<b>AOC</b>	<b>Commercial Trap Gear Outer Cape Area:</b> May harvest in Outer Cape Federal Lobster Management Area. This category is limited to pots and traps (gear code <b>800</b> ) gear only. Must have a valid historic allocation to elect this area.

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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 names, vessel characteristics, address, phone, and permit information will be posted on a public NOAA Fisheries website or released upon request. All other data submitted will be handled in accordance with NOAA Administrative Order 216-100, Protection of Confidential Fishery Statistics and Section 402(b) of the MSA.

OMB# 0648-0202 Expires: 8/31/2019





**United States Department of Commerce**  
National Oceanic and Atmospheric Administration  
National Marine Fisheries Service  
Greater Atlantic Region Fisheries Office (GARFO)  
55 Great Republic Drive  
Gloucester, MA 01930

February 10, 2016

## **GARFO Vessel Permit Holders**

### **Your Vessel Trip Reporting and Logbook Requirements**

Reporting regulations require that the owner or operator of any vessel issued a Federal fishing permit by the Greater Atlantic Region must submit an accurate and timely VTR for each trip, regardless of area fished, species targeted or permit used. These requirements also pertain to trips made in State waters fishing with State permits. The only exception to this is for vessels that are issued only an American Lobster permit.

**As of August 26, 2015, we no longer require the submission of Did Not Fish (DNF) reports for the weeks or months in which you are inactive. DNF reports for weeks and months prior to August 26, 2015 are still required and may be submitted on the NMFS issued paper VTR or through our secure webpage, "Fish-On-Line" at [www.greateratlantic.fisheries.noaa.gov/apps/login/login](http://www.greateratlantic.fisheries.noaa.gov/apps/login/login)**

If your vessel is issued a permit from the Greater Atlantic Region and you are fishing outside of it (e.g. in the Gulf of Mexico or off the coast of Florida or on the High Seas for Tuna) you are required to submit a VTR to us regardless of where the fishing activity took place or the species targeted. As stated above, the one exception to this is for vessels that are only permitted for American Lobster.

If within a trip you fish in multiple chart areas, change gear or switch to a different mesh/ring size, a separate VTR must be completed for each area, gear or mesh combination. It is extremely important that the correct gear, species and chart area codes be used to record your fishing activity. Incorrect or missing information impacts our processing of your VTR and can result in us having to return it to you for correction.

#### **Additional VTR information:**

- **Weekly VTRs** - any vessel issued a Federal Northeast Multispecies, Surf Clam/Ocean Quahog, Atlantic Mackerel, Squid & Butterfish 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).
- **All other vessels**, except those possessing the permits listed above, are required to 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. Contact the Vessel Trip Reporting office at **(978) 281-9246** for any VTR reporting requirement questions that you may have.



- Vessels that only possess an American Lobster permit are not required to submit VTRs.
- If you need your confidential vessel PIN or cannot access Fish-On-Line please contact NMFS at (978) 281- 9188.
- If submitting paper reports, send the white original (NMFS Copy) to:

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

- Failure to comply with reporting requirements may result in non-renewal of fishing permits and referral to the Office of Law Enforcement for appropriate action. The timely, accurate reporting of your vessel's fishing activity on the VTR represents an integral part of the scientific information required to achieve the goal of sustainable fisheries.

Please visit the NOAA Fisheries Service Greater Atlantic Regional Office (GARFO) online at [www.greateratlantic.fisheries.noaa.gov/aps](http://www.greateratlantic.fisheries.noaa.gov/aps) and click on "Vessel Reporting".

This guide contains a summary of your Vessel Trip Reporting (VTR) requirements. For more comprehensive information please refer to the regulations at 50 CFR part 648.7 at <http://www.greateratlantic.fisheries.noaa.gov/regs/fr.html>.

Please feel free to contact the Vessel Trip Reporting office at 978-281-9246 for any VTR reporting requirement questions that you may have.



**National Marine Fisheries Service  
Greater Atlantic Region/Permit Office  
978-282-8438 or 8437**



**Initial/Renewal\* Application for a 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 Greater Atlantic 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, Atlantic Bluefish, in or from the EEZ and Mid-Atlantic Forage Species or Atlantic Chub Mackerel within the EEZ from New York through North Carolina.

**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 that is current and in color (see back). Please make sure your photo is taken without sunglasses on, that it is clear and not too dark.

**IF USING THIS APPLICATION AS A \*RENEWAL:** Fill in Section 1 below, if available, write your 8-digit number on the line below, sign and date the back of this application, and return it to us (mailing address below) with one (1) passport or ID sized photo that is current and in color (see back).

**Your vessel operator number (if available):** \_\_\_\_\_

\*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. If you mail this application in earlier than 30 days prior to your expiration date it will not be processed until 30 days prior to the expiration date.

**Please complete all sections of this application.  
Incomplete applications will be processed and will be returned.  
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 \_\_\_\_\_

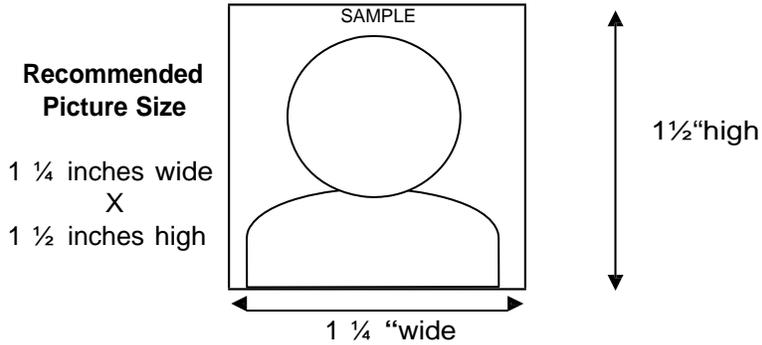
Weight (lbs) \_\_\_\_\_ Height (ft/in) \_\_\_\_\_ / \_\_\_\_\_

\* Jr, Sr, III, IV, etc.

**Please sign and date this application in Section 2 on the back.**

Please enclose ONE color passport or I.D. sized photo of yourself, which is recent and in color. Make sure your picture is taken without sunglasses on, that it is clear and not too dark/light.

**\*PLACE PHOTO IN FOLDED APPLICATION**



(\* PLEASE DO NOT ATTACH IT TO THE APPLICATION WITH TAPE, GLUE OR STAPLES)

<b>Section 2</b>	
<p>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.</p>	
<b>Signature of Applicant:</b>	<b>Date:</b>

**Return completed applications to:**

**NMFS Permit Office**  
**55 Great Republic Drive**  
**Gloucester, MA 01930-2276**  
 Telephone: (978) 282-8438 or 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.



**United States Department of Commerce**  
National Oceanic and Atmospheric Administration  
National Marine Fisheries Service  
Greater Atlantic Regional Fisheries Office  
55 Great Republic Drive  
Gloucester, MA 01930  
Phone: (978) 282-8438

## Initial Dealer Permit Information

Dear Federal Greater Atlantic Region Seafood Dealer:

### **Why are we writing to you?**

You requested a Federal Greater Atlantic Seafood Dealer initial permit application. You will need to complete the enclosed application and ownership form, include the required documentation, and return it to the Greater Atlantic Permit Office.

### **This package includes a(n):**

- Initial permit application
- Owner form
- Application instructions
- Application checklist
- Port Office contact list

### **Application requirements**

You must submit a complete and accurate application. Failure to meet all of the requirements of the application will delay the issuance of your permit(s).

### **Reporting Requirements**

When your permit is issued, you must submit trip-level reports of all lobster, shellfish, and fish purchased or received. Go to: [http://www.nero.noaa.gov/dealer\\_er/](http://www.nero.noaa.gov/dealer_er/) for information on reporting requirements. For questions on the Federal dealer reporting requirements, contact your area Port Agent (list enclosed).

### **Highly Migratory Species**

If you purchase highly migratory species (HMS), specifically Atlantic bigeye, albacore, yellowfin and skipjack (BAYS) tunas, Atlantic sharks and/or Atlantic swordfish, and hold another federal Greater Atlantic Region seafood dealer permit, you must report HMS electronically as well. Beginning January 1, 2013, dealers with a permit for only Atlantic tunas were required to electronically report their purchases of BAYS tunas and other HMS. Atlantic tuna dealers who purchase or receive domestic Atlantic Bluefin tuna have separate reporting requirements. Call (978) 281-9140 if you have questions about Bluefin tuna reporting, and (301) 427-8590 for questions about reporting for other HMS.

Dealers that trade bluefin tuna, swordfish, southern bluefin tuna, or frozen bigeye tuna internationally are required to obtain a Highly Migratory Species International Trade Permit. Information on this permit can be found at: [www.nmfs.noaa.gov/sfa/hms/ITP/index.htm](http://www.nmfs.noaa.gov/sfa/hms/ITP/index.htm) or by calling (727) 824-5326 and pressing 3.

## Why do you need a dealer's permit?

You need to have a Greater Atlantic Region dealer permit for each managed species that you purchase from a federally permitted Greater Atlantic Region or HMS vessel (HMS includes Atlantic bluefin or BAYS tunas, bigeye,). **Additionally, you must have that permit in your possession.** You need a Greater Atlantic dealer permit if:

- You purchase any of the fish or shellfish listed below harvested from Federal waters (EEZ) or;
- You purchase Atlantic tunas harvested from Federal or State waters or;
- You purchase these fish or shellfish from a vessel issued a Greater Atlantic vessel permit.

### List of managed species that require a Greater Atlantic Federal Dealer Permit

American lobster	Northeast Multispecies cont. -	NE Skate complex cont. -
Atlantic bluefish	Atlantic cod	Clearnose skate
Atlantic deep-sea red crab	Atlantic halibut	Little skate
Atlantic herring	Haddock	Rosette skate
Atlantic mackerel	Offshore hake	Smooth skate
Atlantic sea scallop	Ocean pout	Thorny skate
Atlantic tunas -	Pollock	Winter skate
Bluefin tuna	Redfish (Ocean perch)	Squids -
Bigeye tuna	Red hake (Ling)	Illex squid
Albacore tuna	Silver hake (Whiting)	Longfin squid
Yellowfin tuna	White hake	Ocean quahog
Skipjack tuna	Windowpane flounder (Sand dab)	Scup
Black sea bass	Winter flounder (Blackback)	Spiny dogfish
Butterfish,	Witch flounder (Grey sole)	Summer flounder
Monkfish	Yellowtail flounder	Surfclam
Northeast Multispecies -	Northeast Skate complex	Tilefish
American plaice (dab)	Barndoor skate	Atlantic hagfish

### Mid-Atlantic Forage Fish Species / Atlantic Chub Mackerel

To purchase Mid-Atlantic forage species (see list below) and Atlantic chub mackerel in or from Federal waters (EEZ) from New York through North Carolina, you must be issued any dealer permit from the Greater Atlantic Region.

Mid-Atlantic Forage Species include the following:

- Anchovies
- Argentines
- Atlantic saury
- Atlantic thread herring
- Cusk-eels
- Greeneyes
- Halfbeaks
- Lanternfish
- Pearlsides
- Round herring
- Sand lances
- Scaled sardine
- Silversides
- Spanish sardine
- Pelagic molluscs
- Copepods, krill, amphipods, and other small crustaceans

If you have any questions, please call the Greater Atlantic Region Permit Office at 978-282-8442 or your area Port Agent, found here: [www.greateratlantic.fisheries.noaa.gov/sed/portagents/index.html](http://www.greateratlantic.fisheries.noaa.gov/sed/portagents/index.html)



**National Marine Fisheries Service  
Greater Atlantic Regional Office**



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**Application Instructions  
Federal Fisheries Dealer Permit**

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Mail completed application packages to: NOAA Fisheries Service (NMFS), Greater Atlantic Region Permit Office, 55 Great Republic Drive, Gloucester, MA 01930. **Note:** There is a 30-day processing period for all application packages. This 30-day processing period begins when a **correct and complete** application package has been received by the Greater Atlantic Region Permit Office and all required reports have been submitted and accepted by NMFS. Failure to provide the required information will delay processing of your dealer permit.

**For further information, call the Greater Atlantic Permit Office at (978) 282-8438**

➤ **Section 1 - Dealer Information**

If you already have a NE dealer permit, enclosed is a pre-printed application, which is partially completed for you.

If you are applying for an Atlantic Mackerel or Atlantic Herring at Sea Processor permit, you must enter a vessel name and hull number where indicated and include a copy of the vessel's current Coast Guard Documentation or State Registration.

Before submitting your application, review the dealer information placed in Section 1 to ensure it is correct. Make any corrections on the lines provided.

➤ **Section 1A - Additional Dealer Information**

If your company or business purchases or receives regulated species at more than one location, each address must be listed on the application. Space is available on the back of the dealer permit application form for the required listing of additional addresses. You do not need a separate dealer number for the additional locations as long as the businesses at these locations are all the same business entity.

➤ **Section 2 - Selected Fisheries**

If not already marked, place an 'X' next to each of the fisheries for which you are requesting a Federal Fisheries Dealer Permit.

To **add** a fishery not currently held, mark an "X" next to the permit on the application.

To **cancel** a fishery which you currently hold, write "cancel" next to each permit you wish to cancel.

➤ **Section 3 – Applicant's Signature**

Before mailing, carefully review the application form for accuracy and completeness. Sign and date the application in Section 3 and return it to the address listed above.



Please read the important information on the reverse  
before mailing your application

## **Additional Information for Dealers Submitting an Annual Renewal Application**

All dealers, whether operating as a corporation, partnership, or sole proprietorship, must submit the enclosed Owner Form with the annual renewal application. The Owner Form must list the full name of **every** individual who has an ownership interest in a corporation, partnership, or sole proprietorship. **Failure to include a completed Owner Form with your Initial application may delay permit issuance.**

### **A note on Dealer Reporting**

All Federally permitted Greater Atlantic Seafood Dealers must submit weekly trip-level reports required under either CFR § 648.7, § 697.6 and § 635.5 Failure to do so will bar the future issuance of any Greater Atlantic dealer permit. If you have any questions concerning your compliance with the reporting regulations for Greater Atlantic managed species, please contact your local NMFS Port Agent (list enclosed). Questions concerning reporting for bluefin tuna [CFR § 635.5], should be directed to the Highly Migratory Species Office at (978) 281-9140.

The Analysis and Program Support Division may refer dealers to the NOAA Fisheries Service Office of Law Enforcement for:

- Failure to submit all reports
- Submitting incomplete or inaccurate reports
- Failure to report in a timely fashion

Activities that do not comply with the provisions of the Magnuson-Stevens Fishery Conservation and Management Act may subject the violator to fines and/or permit sanctions.

OMB# 0648-0202 Expiration Date: 08/31/2019



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

## Federal Greater Atlantic Seafood Dealer Initial Dealer Permit Application

### SECTION 1 - DEALER INFORMATION

Southeast Dealer # (if available) \_\_\_\_\_

Company name: \_\_\_\_\_

Owner's Name: \_\_\_\_\_

Street 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 or an Atlantic Herring at Sea Processor 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<br>(Yellowfin, Bigeye, Skipjack,<br>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<br>processor | <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     | <input type="checkbox"/> Atlantic Deep-sea Red Crab |
|   | <input type="checkbox"/> ** Atlantic herring At Sea Dealer       |   |

### 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**

<b>Street:</b>		
<b>City:</b>	<b>State:</b>	<b>Zip:</b>
<b>Telephone:</b>		

**Company Address**

<b>Street:</b>		
<b>City:</b>	<b>State:</b>	<b>Zip:</b>
<b>Telephone:</b>		

**Company Address**

<b>Street:</b>		
<b>City:</b>	<b>State:</b>	<b>Zip:</b>
<b>Telephone:</b>		

**Company Address**

<b>Street:</b>		
<b>City:</b>	<b>State:</b>	<b>Zip:</b>
<b>Telephone:</b>		

**For further information, call Greater Atlantic Permit Office at (978) 282-8438**

Owner name, business officers and members, address, phone number, fax number, and permit information may 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.

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.



# Owner Form

- List all persons who have an ownership interest in the business that is the subject of this application.
- Owners or persons who have an ownership interest in a business 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 business.

### Section A – Person(s) or Business applying for permit

Name:	Permit Number:
-------	----------------

**Section B** - All persons who have an ownership interest in the business must be listed below. Do not include employees of the business unless they are also an owner or shareholder.

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 business 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 08/31/2019

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 business.

**Page 2 - Section B Continued** - All persons who have an ownership interest in the business must be listed below. Do not include employees of the business unless they are also an owner or shareholder.

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 business 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 08/31/2019

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 business in Section A.