

NOTICE OF OFFICE OF MANAGEMENT AND BUDGET ACTION

Linda Engelmeier 07/17/2000
Department of Commerce
14th and Constitution Avenue NW
Room 5327
Washington, DC 20230

In accordance with the Paperwork Reduction Act, OMB has taken the following action on your request for approval of a new information collection received on 04/18/2000.

TITLE: Alaska Scallop License Limitation Program
Application and Transfer Forms

AGENCY FORM NUMBER(S): None

ACTION : APPROVED
OMB NO.: 0648-0420
EXPIRATION DATE: 07/31/2003

BURDEN	RESPONSES	BURDEN HOURS	BURDEN COSTS
Previous	0	0	0
New	14	31	0
Difference	14	31	0
Program Change		31	0
Adjustment		0	0

TERMS OF CLEARANCE: None

NOTE: The agency is required to display the OMB control number and inform respondents of its legal significance (see 5 CFR 1320.5(b)).

OMB Authorizing Official Title

Donald R. Arbuckle Deputy Administrator, Office of
Information and Regulatory Affairs

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 b. <input type="checkbox"/> None 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 or head of MB staff for L.O.s, or of the Director of a Program or Staff Office)

Signature

Date

Signature of NOAA Clearance Officer

Signature

Date

Supporting Statement License Limitation Program for the Scallop Fisheries

Introduction

The Fishery Management Plan for the Scallop Fisheries Off Alaska (FMP) delegates to the State of Alaska the authority to manage all aspects of the scallop fishery, except limited access. The North Pacific Fishery Management Council (Council) and NMFS developed the license limitation program (LLP) to limit access in the scallop fishery. The scallop fishery off Alaska has been characterized as an overcapitalized fishery.

The Council took final action to adopt a scallop license limitation program, Amendment 4 to the FMP, in February, 1999. The LLP will replace the existing federal moratorium on the entry of new vessels which is scheduled to expire on June 30, 2000. In February 1998, the Council reviewed participation and other data from the scallop fishery and developed a problem statement and alternatives for analysis of an LLP to replace the existing vessel moratorium. The scallop LLP program is scheduled to be in place in June, 2000.

The Council developed six alternatives and two options for the scallop LLP. These alternatives ranged from no action to a program that would issue 9 licenses, which is half the number of moratorium permits. The alternatives are developed in the Environmental Assessment/Regulatory Impact Review/Initial Regulatory Flexibility Analysis (EA/RIR/IRFA) for Amendment 4 to the Scallop FMP. The Council adopted the most restrictive alternative to decrease overcapitalization in the scallop fishery. The preferred alternative would issue licenses to holders of either Federal or State moratorium permits that used their moratorium permits to make legal landings of scallops in two of the three years (1996, 1997, 1998 through October 9, 1998). The Federal or State moratorium qualification period would serve as the historic qualifying period and two of the three years 1996, 1997, and 1998 would serve as the recent qualifying period. Under this alternative, a total of 9 licenses would be issued; one for each vessel.

1. Why the information collection is necessary

The LLP must have some basic information in order that decisions can be made regarding which owners of vessels will be issued licenses and which will not. These decisions will be based on the fishing history of the vessel and on the vessel's size. Once the selection process has been completed, licenses must be issued to qualifying vessel owners. The LLP is necessary to reduce overcapitalization in the scallop fishery.

This information collection would be implemented under regulations effecting Amendment 4 to the Fishery Management Plan (FMP) for the Scallop Fishery Off Alaska. This FMP amendment and its implementing regulations are authorized under The Magnuson-Stevens Fishery Conservation and Management Act (16 U.S.C. 1801 et seq.).

2. How the information will be used

The LLP will utilize two applications--one for a scallop license and one for license transfers. The information collected may also be used in the appeals process if an applicant appeals the decision of the Regional Administrator. The appeals process is detailed in 50 CFR 697.43.

In the case of the license application, the following type information must be provided.

- (1) Scallop Moratorium Permit Number.
- (2) Applicant information:
 - (a) name,
 - (b) Social Security number or Tax ID number,
 - (c) business address,
 - (d) telephone and fax numbers,
 - (e) agent or managing company, and
 - (f) U.S. citizenship.
- (3) Qualifying Landings:
 - (a) indicate years in which legal landings were made, and
 - (b) registration area where qualified landings were made.
- (4) Vessel information for vessel(s) used as the basis for eligibility:
 - (a) vessel name,
 - (b) state registration number,
 - (c) U.S. Coast Guard documentation number,
 - (d) Length Overall (including submitting proof), and
- (5) Signature of applicant or agent, title of agent, and date.

For the license transfer, the following information must be provided on the application:

- (1) License number,
- (2) total price to be paid for the license, and
- (3) submit original license and sales contract with the transfer application.
- (4) Information on the proposed transferor:
 - (a) Name, business address, social security number or Tax ID number, telephone and FAX number.
- (5) Information on the proposed transferee:
 - (a) U.S. Citizenship
 - (b) Name, business address, social security number or Tax ID number, telephone and FAX number.

- (6) Certification
 - (a) Information regarding whether a broker was used for the transaction
 - (b) Signature of the person transferring the license or agent, printed name of person transferring the license or agent, date, title of agent, notary stamp, notary public, commission expires.
 - (c) Signature of person receiving the license or agent, printed name of person transferring the license or agent, date, title of agent, notary stamp, notary public, commission expires.

All of this information will be used to verify the legitimacy of the applicant, the vessel, and the fishing history. It will also be used to maintain a list of current license holders and to facilitate the transfer of licenses between vessels and vessel owners. The information will also be used to measure program performance as requested by Congress.

For identification purposes, NMFS requests the social security number (SSN) of license applicants on the license application form and the license transfer form because the SSN is the most reliable identifier. NMFS is requesting persons to provide their social security number, a very familiar concept, to help dramatically reduce the potential for identifying persons inaccurately. These persons frequently change addresses, alternating between summer and winter addresses. Additionally, several of these persons are family members living in the same household and often with very similar or same names. The NMFS Person ID Number was introduced this year to the IFQ program to help avoid confusion in identifying such persons. However, it is a new initiative and has not yet been included in the license limitation programs.

3. Consideration of the use of improved information technology to reduce burden

The agency will make license and transfer applications available on the Internet (PDF versions). These will be provided for ease in obtaining applications; however, the agency currently does not have the capability to collect information by means of electronic submission. Therefore, the applicant will need to provide an application in printed form, along with any necessary documentation. Also, an original signature is required. Because of the need for an original signature, converting to electronic submission is not an option within the timeline established for the initial application process. However, if the capability to obtain a reasonable facsimile of a person's signature electronically becomes feasible and cost-effective, the agency may shift to (or at provide the option for) electronic submission of transfer applications.

4. Efforts to identify duplication

The information requested for the license application or the license transfer is necessary to determine the eligibility of the applicant for the harvest privilege. The requests in the license application is specifically tailored to meet the policy and goals of the LLP. These requests are not a duplication because applicants are either verifying information already on file (similar to persons verifying their income to the IRS although information has already been provided through W-2 forms) or providing information that is not on file. To not provide this opportunity to verify

existing information or provide new information for a harvest privilege would disadvantage applicants (incomplete or inaccurate information could affect an applicant's harvest privilege). The requests for transfers are designed to determine the eligibility of the license recipient for the harvest privilege. These license recipients do not have to be prior users of the fisheries resource, therefore NMFS may not have any information on file regarding these recipients.

5. Methods to minimize the burden on small entities

Most applicants for the LLP will be small entities. Consideration was given by NMFS to minimizing the overall burden of the application process as much as possible. In situations where NMFS has information regarding a particular entity, NMFS will provide that information to the entity for verification. If NMFS has no information on file, only information necessary to the issuance of the harvest privilege will be requested.

A license under the LLP is a valuable harvest privilege. All entities, whether small or large, must provide sufficient information to acquire that privilege. Only information necessary to determine eligibility for the harvest privilege is requested from large or small entities. NMFS does not consider 2 hours too burdensome to obtain a valuable harvest privilege.

6. Consequences to the Federal program activities if the collection were conducted less frequently

There could be no LLP without the license and transfer applications. The essence of the LLP is the issuance of a limited number of licenses. In order to issue a license, there must be an application process which includes documentation that the eligibility requirements have been met. For that reason, the one-time collection of the application information is vital to the program. Furthermore, there must be a tracking system in place for transferred licenses in order to maintain a list of current license holders.

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

There are no special circumstances that would require information collection to be conducted in a manner inconsistent with OMB guidelines.

8. Public comment or consultation on the information collection

NMFS has not published a Federal Register notice that solicits advance public comment on the information collection prior to this submission for OMB review and clearance. Public testimony was heard on all aspects of the LLP during the time that it was considered by the Council. Furthermore, opportunity for public comment is assured through the public comment period for the proposed rule to implement the LLP application and transfer processes.

9. Payment or gift to respondents

No payment or gift will be provided under this program. The license is expected to be valuable in itself. Additional incentive is not appropriate.

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

The information collected is confidential under section 402(b) of the Magnuson-Stevens Act (16 U.S.C. 1801 *et seq.*). It is also confidential under NOAA Administrative Order 216.100, which sets forth procedures to protect confidentiality of fishery statistics. These procedures have been implemented under NMFS Operations Manual entitled "Data Security Handbook for the Northwest-Alaska Region, National Marine Fisheries Service".

11. Collection of information of a private and sensitive nature

Information collected for the LLP does not include information of a sensitive nature.

12. Estimate in hours of the burden of the information collection

Two new sets of information will be required under the LLP. There will be the license application and the transfer application.

Burden of license application

The license will have no expiration date; consequently, the application is a one-time procedure. NMFS estimates that there will be approximately 11 applicants (9 eligible applicants plus 2 non-eligible applicants). Reading the instructions, completing the form, and finding and copying the required documentation is estimated to take 2 hours for each applicant. The documentation mentioned above refers to material that any vessel owner would have readily available. It would not require third party involvement, e.g., attorney or accountant searching files or making copies. Total burden to all applicants is estimated to be \$550.

Burden summary

Number of applicants.	11
Estimated completion time per applicant . . .	2 hours
Total time	
(11 applicants x 2 hours each)	22 hours
Cost per hour	\$25.
Total burden to all applicants	
(22 hours x \$25 per hour).	\$550.

Burden of transfer application

License transfers will take place from time to time, but the frequency is subject to the uncertainties of the market. For purposes of this estimate, NMFS assumes that 1 license will be transferred each year. Reading instructions, completing the form, and supplying documentation is estimated to take 1 hour for each transfer application. As is the case for the license application, the required documents are ones that all vessel owners would have readily available. Total annual burden to all applicants is \$25.

Burden summary

Number of transfers (1)	1 per year
Estimated completion time per application . .	1 hour
Annual time requirement	
(1 applications x 1 hour each)	1 hours
Cost per hour	\$25.
Total annual burden to all transfer applicants	
(1 hours x \$25 per hour).	\$25.

Burden of Appeals

NMFS estimates that the total number of appeals for the LLP application process will be approximately 2. NMFS estimates that drafting an appeal and supplying the necessary documentation in support of that appeal will take 4 hours. Total burden to all appellants is \$200. The appeals process is detailed in 50 CFR 679.43.

Burden summary

Number of appeals.	2
Estimated completion time per appeal	4 hour
Annual time requirement	
(2 appeals x 4 hour each).	8 hours
Cost per hour	\$25.
Total annual burden to all appellants	
(8 hours x \$25 per hour).	\$200.

13. Estimate of the total annual cost burden to respondents

No capital or significant start up costs are associated with the information collection under the LLP. Additional costs associated with the LLP application processes include costs associated with mailing or faxing applications and/or documentation required to support the application. These costs are not expected to exceed \$100.

14. Estimates of annualized cost to the Federal government

NMFS will be required to review applications for license applicants. The administrative procedures--review, processing, and issuance--for each license are expected to take ten hours. Those procedures for each license transfer are expected to take five hours.

Cost and Time to Federal Government

License Application

Number of applicants 11
NMFS processing time per application . . 12 hours
Total time requirement
(11 applications x 12 hours each). . . . 132 hours
Cost per hour \$25.
Total cost to Federal government
(132 hours x \$25 per hour) \$3,300.

Transfer Application

Number of transfers annually. 1
NMFS processing time for each
transfer application 5 hours
Annual NMFS time requirement
(1 transfers x 5 hours each). 5 hours
Cost per hour \$25.
Annual cost to Federal government
(5 hours x \$25 per hour). \$125.

Appeals

Number of appeals 2
NMFS processing time for each
appeal 75 hours
Annual NMFS time requirement
(2 appeals x 75 hours each) 150 hours
Cost per hour \$25.
Annual cost to Federal government
(150 hours x \$25 per hour) \$3750.

15. Changes/adjustments reported in Items 13 or 14 of OMB 83-I

The burden estimates are made for new information collections that are included as part of the proposed rule to implement the license limitation program.

16. Plans for tabulation and publication

The information collected will not be published and no statistical sampling of the information is planned.



17. Display of the expiration date for OMB approval of the information collection

In accordance with OMB requirements, the control number and the expiration date of OMB approval will be shown on the license and license transfer applications.

18. Exceptions to certification for Paperwork Reduction Act submission

No exceptions to the certification statement exist except as already noted in this statement under item 16--no statistical sampling--and under item 17--OMB control number and expiration date will be shown on the applications.

Attachments: (1) Draft Application Form and instructions for the Scallop LLP.
 (2) Draft Transfer Form and instructions for the Scallop LLP.
 (3) Draft Proposed Rule for the Scallop LLP.

 <h2 style="margin: 0;">APPLICATION FOR SCALLOP LICENSE</h2>	U.S. Dept. of Commerce/NOAA National Marine Fisheries Service Restricted Access Management Division P.O. Box 21668 Juneau, AK 99802-1668	
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BLOCK A - Scallop Moratorium Permit Number.	THIS BLOCK FOR NMFS USE ONLY
	Assigned License Number

BLOCK B - APPLICANT	
1. Name(s)	2. SSN or Tax ID
3. Business Mailing Address (street or P.O. Box, city, state, zip code)	4. Business Telephone
5. Agent or Managing Company, if any	6. Business FAX
7. Is the applicant a U.S. citizen, or a U.S. business (corporation, partnership, or other association)? <input type="checkbox"/> Yes <input type="checkbox"/> No	

BLOCK C - QUALIFYING LANDINGS
1. Recent Landings: indicate in which the following years you made legal landings of scallops under the Scallop Moratorium Permit. <input type="checkbox"/> 1996 <input type="checkbox"/> 1997 <input type="checkbox"/> 1998 (through October 9, 1998 only)
2. Indicate Registration Area(s) in which you are claiming qualifying landings. <input type="checkbox"/> Registration Area H (Cook Inlet) _____ <input type="checkbox"/> Outside Registration Area H _____

BLOCK D - LIST VESSELS USED FOR QUALIFYING LANDINGS			
1. Vessel Name	2. ADF&G Number	3. U.S. Coast Guard Number	4. Length Overall (in feet) on 2/8/99
1. Vessel Name	2. ADF&G Number	3. U.S. Coast Guard Number	4. Length Overall (in feet) on 2/8/99
1. Vessel Name	2. ADF&G Number	3. U.S. Coast Guard Number	4. Length Overall (in feet) on 2/8/99

BLOCK E - CERTIFICATION		
Under penalties of perjury, I declare that to the best of my knowledge and belief, the information presented on this Application is true, correct and complete.		
1. Signature	2. Applicant's name (print or type)	3. Date
4. Title, if Agent		



INSTRUCTIONS

Application for Scallop License

General Information

The scallop license limitation program is authorized in Federal regulations at 50 CFR Part 679, and provides that, effective July 1, 2000, any vessel that is deployed in the scallop fisheries in Federal waters off Alaska must carry a valid Scallop License at all times.

Licenses will be issued to the person (or to the successor in interest to the person) who owned a qualifying vessel at the time that the vessel was most recently used to make a qualifying landing. If a person owned two or more qualifying vessels at the time of each vessels' most recent qualifying landing, the person may receive more than one Scallop License.

Scallop Licenses have no area endorsements, all licenses are statewide.

Definitions: For purposes of implementation of the Scallop License Program, the term

"Person" means: an individual who is a citizen of the United States or any U.S. corporation, partnership, association or other entity, whether or not organized or existing under the laws of any state.

"Eligible Applicant" means: a person that held either a federal or state scallop moratorium permit and used that permit to make legal landings of scallops in two of the three years 1996, 1997, and 1998 (through October 9, 1998).

Restrictions:

Gear: Vessels that fished with a "Registration Area H" (Cook Inlet) moratorium permit endorsement in 1 of the 3 years 1996, 1997, 1998 (through October 9, 1998) are limited to a single 6 foot (1.8 m) dredge in all waters.

Maximum Length Overall (MLOA): Each license will display an MLOA (in feet). The MLOA is restricted to 100% of the LOA of the qualifying vessel or, 100% of the LOA of the largest vessel used in the recent qualifying period.

Completing the Application

These instructions provide you with general information about the application process, and specific instructions for completing each block on the application form. Remember, you must

prepare and submit a separate application for each scallop license. Feel free to duplicate the blank application and attach additional sheets as necessary. Remember:

- ✓ Please type or print legibly in ink.
- ✓ Make a copy of the completed application for your records.
- ✓ Send completed forms together with any supporting documents to RAM (see address at the end of these instructions).
- ✓ If you have any questions about this application, please contact RAM at the address and phone number set out at the end of these instructions.

Block A - Scallop Moratorium Permit Number

Enter the number of the Scallop Moratorium Permit.

Block B - Applicant

1. Enter the name(s) of the person(s) who was the most recent holder of the scallop moratorium permit.
2. Enter the Social Security Number (SSN) or Tax Identification Number of the applicant(s).

Privacy Act Statement: Federal regulations (at 50 CFR Part 679) authorize collection of this information. This information is used to verify the identity of the applicant and to accurately retrieve confidential records related to federal commercial fishery permits. Where the requested information is your Social Security Number (SSN), disclosure of your SSN is voluntary; in the event that you do not provide it, NMFS will assign a unique code that will identify your records.

3. Enter the complete business mailing address of the applicant. Include the street or Post Office Box number, and the city, state, and zip code.
4. Enter the applicant's business telephone number.
5. Enter the name of the Agent or company (other than the applicant) that manages the operations of the applicant.
6. Enter the applicant's business facsimile (fax) number.
7. Indicate if the applicant is a U.S. citizen, or a U.S. business (corporation, partnership, or other association).

Block C - Qualifying Landings

1. Indicate that you made legal landings in at least 2 of the 3 years 1996, 1997, and 1998 (through 10/9/98).
2. Indicate that you made landings outside Area H (Cook Inlet) to qualify for a 12 foot dredge.

Block D - List Vessels Used for Qualifying Landings

1. Enter the name(s) of the vessel(s) that made qualifying landings.
2. Enter the vessel(s) Alaska Department of Fish and Game (ADF&G) number.
3. Enter the vessel(s) official U.S. Coast Guard number.
4. Enter the vessel(s) length overall (LOA) in feet on 2/8/99 and attach proof.

Block E - Certification

- 1-3. Sign and print your name, and date this application.
4. If you are an agent completing this application on behalf of the vessel owner, enter your title.

Suggested Evidence to Support Your Claims

The following describes the types of evidence that you may be required to submit to support statements made in the application, if your claim differs from NMFS official scallop LLP record; or, if required by regulations at 50 CFR Part 679:

To establish vessel ownership as of a certain date: U.S. Coast Guard documentation or registration, copy of a bill of sale, or other sales agreement;

To establish a vessel's length overall (LOA): reliable documentation of the vessel's qualifying LOA such as a vessel survey, builder's plan, state or Federal registration certificate, or other reliable or probative documents that clearly identify the vessel and its LOA; for the original qualifying length such documents must be dated before February 8, 1999.

To establish qualifying landings: State of Alaska Fish Tickets for legal scallop landings, clearly showing if the harvest area was inside or outside the Cook Inlet Regulatory Area;

To establish successor-in-interest: copies of death certificates and wills, or other documents that clearly name and show the status of a successor to the qualifying person.

Application Processing

In most cases, RAM will be able to process your application in a matter of days; however, the volume of applications and other responsibilities may result in delays. Therefore, please allow at least 10 days for processing of your permit. **Do not wait until right before an opening to apply for your permit as you may not receive it on time.** You may submit your application by facsimile.

The claims on your application will be compared with the data and other information available to RAM. If your claims cannot be verified (due to insufficient evidence or none at all), you will be notified and allowed 60 days during which to supply additional evidence. If the evidence you provide is sufficient to establish your claim, a permit (or a component thereof) will be issued. If not, your application will be denied, and you will receive an Initial Administrative Determination that explains, in detail, the reasons for the denial. Any such Determination may be appealed to the NMFS Office of Administrative Appeals.

Under the regulations, an interim-use permit may be issued at the time an Initial Administrative Determination denying a permit application is prepared.

When processing has been completed, and if your claims have been verified, RAM will mail your permit via first class mail, **unless** you enclose a pre-paid express envelope, you provide an account number for a private express carrier, or you have arranged to have your permit expedited by a private facilitator or courier.

For additional information, please contact:

**National Marine Fisheries Service
Restricted Access Management Program
P.O. Box 21668
709 W. 9th St., Suite 420
Juneau, AK 99802-1668
Tel: 800-304-4846 or 907-586-7202
Fax: 907-586-735**

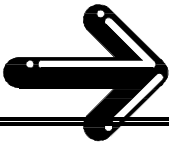


The information provided on this application will be used to determine the eligibility of the applicant(s) for a scallop license under the license limitation program regulations which can be found at 50 CFR 679.4(l).

PUBLIC REPORTING BURDEN STATEMENT

Public reporting burden for this collection of information is estimated to average 2.0 hours per response, including the time for reviewing the instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing the burden, to the Assistant Regional Administrator, Sustainable Fisheries Division, NOAA National Marine Fisheries Service, P.O. Box 21668, Juneau, AK 99802 (Attn: Lori Gravel).

ADDITIONAL INFORMATION

Before completing this form please note the following: 1) Notwithstanding any other provision of 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; 2) This information is being used to manage the Scallop License Limitation Program; 3) Responses to this information request are confidential under section 402(b) of the Magnuson-Stevens Act (16 U.S.C. 1801, et seq.). They are also confidential under NOAA Administrative Order 216-100, which sets forth procedures to protect confidentiality of fishery statistics. These procedures have been implemented under the NMFS Operations Manual entitled, "Data Security Handbook for the Northwest-Alaska Region National Marine Fisheries Service."

	APPLICATION FOR TRANSFER OF SCALLOP LICENSE		U.S. Dept. of Commerce/NOAA National Marine Fisheries Service Restricted Access Management P.O. Box 21668 Juneau, AK 99802-1668	
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BLOCK A - LICENSE INFORMATION
1. License Number: _____
2. What is the total PRICE (if any), including all fees, being paid for this license? \$ _____

Note: The original license to be transferred must be included with this application, together with a copy of the sales contract or other agreement between the parties, that sets out the terms and conditions of the proposed transfer.

BLOCK B - TO BE COMPLETED BY THE PROPOSED TRANSFEROR (SELLER)		
1. Name(s)	2. Business Mailing Address (street or PO Box; city; state; zip)	
3. SSN or Tax ID	4. Business Telephone	5. Business Fax

BLOCK C - TO BE COMPLETED BY THE PROPOSED TRANSFEREE (BUYER)		
1. Are you a U.S. Citizen, or a U.S. corporation, partnership, or other association? <input type="checkbox"/> Yes <input type="checkbox"/> No If " No ," STOP . Only U.S. citizens may hold a Scallop License.		
2. Name(s)	3. Business Mailing Address (street or PO Box; city; state; zip)	
4. SSN or Tax ID	5. Business Telephone	6. Business Fax

BLOCK D - CERTIFICATION

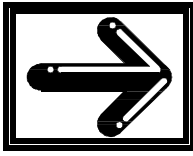
NOTE: All parties to the requested transfer must complete and sign this Application for Transfer of Scallop Permit and signatures must be notarized. **Failure to have signatures properly notarized will result in processing delays.**

NOTE: If an agent is signing on behalf of a party, authorization (in the form of a Power of Attorney or other legally sufficient documentation) must be submitted with this application, or be on file with the RAM Division.

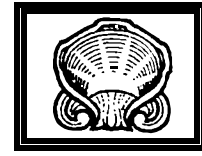
Under Penalty of perjury, I declare that, to the best of my knowledge and belief, the information presented on this application is true, correct, and complete.

1. Signature of Transferor(s) (or Agent)	2. Printed name of Transferor(s) (or Agent)	3. Date
4. Title, if Agent	5. Affix Notary Stamp or Seal Here	
ATTEST 6. Notary Public		
7. Commission Expires		

1. Signature of Transferee(s) (or Agent)	2. Printed name of Transferee(s) (or Agent)	3. Date
4. Title, if Agent	5. Affix Notary Stamp or Seal Here	
ATTEST 6. Notary Public		
7. Commission Expires		



INSTRUCTIONS



Application for Transfer of Scallop License

General Information

The scallop license limitation program is authorized in Federal regulations at 50 CFR Part 679, and provides that, effective July 1, 2000, any vessel that is deployed in the scallop fisheries in Federal waters off Alaska must carry a valid Scallop License.

A license is transferable; i.e., once issued, it may be transferred by its holder(s) to another person(s) who may then use the license aboard a vessel deployed in the Federal scallop fishery in the waters off Alaska (subject to the restrictions of the License).

Scallop Licenses have no area endorsements, all licenses are statewide.

Restrictions:

Gear: If a vessels did not make a legal landing of scallops outside Cook Inlet (State of Alaska Registration Area H) in 1 of the 3 years 1996, 1997, or 1998, through October 9, 1998, the license would be restricted to a single 6 foot (1.8 m) dredge.

Maximum Length Overall (MLOA): Each license displays an MLOA (in feet). MLOA is restricted to 100% of the LOA of the qualifying vessel or, 100% of the LOA of the largest vessel used in the recent qualifying period.

Completing the Application

Block A -- License Information

1. Enter the number of the license to be transferred.
2. Enter the total price, including brokerage fees, being paid for the license. Enter "zero" if the transfer is being proposed pursuant to a gift agreement or for non-monetary consideration.

Note: The original license **must** be included with the application, together with a complete copy of the sales contract, or other agreement between the parties, that sets out the terms and conditions of the proposed transfer.

Block B -- To be Completed by the Proposed Transferor (Seller)

1. Enter the proposed transferor's name(s).
2. Enter the proposed transferor's business mailing address, including street or P.O. Box, city, state, and zip code.
3. Enter the proposed transferor's Social Security Number (SSN) or Tax Identification Number.

Privacy Act Statement: Federal regulations (at 50 CFR Part 679) authorize collection of this information. This information is used to verify the identity of the applicant and to accurately retrieve confidential records related to federal commercial fishery licenses. Where the requested information is your Social Security Number (SSN), disclosure of your SSN is voluntary; in the event that you do not provide it, NMFS will assign a unique code that will identify your records.

4. Enter the proposed transferor's business telephone number.
5. Enter the proposed transferor's business facsimile (fax) number.

Block C -- To be Completed by the Proposed Transferee (Buyer)

1. Indicate if the proposed transferee is a U.S. citizen, or a U.S. business (corporation, partnership, or other association). If "No," **STOP**. Only U.S. citizens may hold a Scallop License.
2. Enter the proposed transferee's name(s) .
3. Enter the proposed transferee's business mailing address, including Street or P.O. Box number, and city, state, and zip code.
4. Enter the proposed transferee's Social Security Number (SSN) or Tax Identification (note the Privacy Act statement set out above).
5. Enter the proposed transferee's business telephone number.
6. Enter the proposed transferee's business facsimile (fax) number.

Block D -- Certification

Proposed Transferor

- 1-3. The proposed transferor (or an authorized Agent) must sign, print his/her name(s), and date the application in the presence of a Notary Public.

4. Enter the title of the Agent, if any.

Note: if an Agent is signing on behalf of the license holder, authorization (in the form of a Power of Attorney or other legally sufficient documentation) must be submitted with the application or be currently on file with the RAM Division.

- 5-7. To be completed by a Notary Public.

Proposed Transferee

- 1-3. The proposed transferee (or authorized Agent) must sign, print his/her name(s), and date the application in the presence of a Notary Public.

4. Enter the title of the Agent, if any.

Note: if an Agent is signing on behalf of the proposed transferee, authorization (in the form of a Power of Attorney or other legally sufficient documentation) must be submitted with the application or be currently on file with the RAM Division.

- 5-7. To be completed by a Notary Public.

Applications Processing

Please allow at least 10 days for processing of your application. We require an original notarized Application for Transfer and any required attachments, including the original license. We regret a license cannot be returned to you by fax.

Upon approval of an Application for Transfer, RAM will void the license in the name of the transferor and mail a new license to the new holder's address via first class mail, **unless** a pre-paid express envelope or an account number for a private express carrier has been provided, or arrangements have been made to have the transaction expedited by a private facilitator or courier.

For additional information, please contact:

**National Marine Fisheries Service
Restricted Access Management
P.O. Box 21668
709 W. 9th St., Suite 420
Juneau, AK 99802-1668**

**Tel: 800-304-4846 or 907-586-7202
Fax: 907-586-7354**

The information requested on this application is for the express purpose of ensuring that transfers of Scallop Licenses are properly executed as requested by the parties to the transfer and to ensure that all provisions of the federal regulations governing the transfer of such licenses, 50 CFR 679.4(l)(4), have been met.

PUBLIC REPORTING BURDEN STATEMENT

Public reporting burden for this collection of information is estimated to average 1.0 hour per response, including the time for reviewing the instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing the burden, to the Assistant Regional Administrator, Sustainable Fisheries Division, Alaska Region, National Marine Fisheries Service, P.O. Box 21668, Juneau, AK 99802 (Attn: Lori Gravel).

ADDITIONAL INFORMATION

Before completing this Application, please note the following: 1) Notwithstanding any other provision of 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; 2) This information is being used to manage the Scallop License Limitation Program; 3) Submission of an Application for Transfer of Scallop License is required of those seeking to obtain such a transfer; 5) Responses to this information request are confidential under section 402(b) of the Magnuson-Stevens Act (16 U.S.C. 1801, et seq.). They are also confidential under NOAA Administrative Order 216-100, which sets forth procedures to protect confidentiality of fishery statistics. These procedures have been implemented under the NMFS Operations Manual entitled, "Data Security Handbook for the Northwest-Alaska Region National Marine Fisheries Service."
