

NOTICE OF OFFICE OF MANAGEMENT AND BUDGET ACTION

Date 03/12/2007

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

In accordance with the Paperwork Reduction Act, OMB has taken action on your request received 03/12/2007

ACTION REQUESTED: Revision of a currently approved collection  
TYPE OF REVIEW REQUESTED: Regular  
ICR REFERENCE NUMBER: 200703-0648-005  
TITLE: Northeast Region Permit Family of Forms  
LIST OF INFORMATION COLLECTIONS: See next page

OMB ACTION: Approved without 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: 11/30/2009

DISCONTINUE DATE:

BURDEN:	RESPONSES	HOURS	COSTS
Previous	6,433,645	27,484	1,776,000
New	7,560,172	29,258	2,091,776
Difference			
Change due to New Statute	0	0	0
Change due to Agency Discretion	1,126,527	1,774	315,776
Change due to Agency Adjustment	0	0	0
Change Due to Potential Violation of the PRA	0	0	0

TERMS OF CLEARANCE:

OMB Authorizing Official: John F. Morrall III  
Acting Deputy Administrator,  
Office Of Information And Regulatory Affairs

List of ICs

IC Title	Form No.	Form Name	CFR Citation
Northeast Region Permit Family of Forms			50 CFR 648.9
Limited access permit application and renewal	NA	Herring limited access permit application	
Replacement/upgrade, permit history, permit appeals	NA	Herring replacement/upgrade permit application	
Haddock bycatch notification of landing			50 CFR 648.15
Georges Bank Cod Research Set-aside Total Allowable Catch			50 CFR 648.14
LOA for WGOM Closure Area Rod/Reel Haddock SAP Participants			50 CFR 648.14
Western Gulf of Maine Closure Area Rod/Reel Haddock Special Access Program VMS polling			50 CFR 648.14
WGOM Closure Area Rod/Reel Haddock SAP Area and Days and Sea Declaration			50 CFR 648.14
WGOM Closure Area Rod/Reel Haddock SAP Observer Notification			50 CFR 648.14
Herring Vessel Observer Program Notification			50 CFR 648.14
Herring Vessel Office of Law Enforcement Landings Notification			50 CFR 648.14
Vessels Standing by Entangled Whales - Notification			50 CFR 648.14
DAS Credit for Standing By Entangled Whale			50 CFR 648.14
Northeast Region Vessel Monitoring: Position Reporting			50 CFR 648.9
Northeast Region Vessel Monitoring: Request for Exemption			50 CFR 648.9

# 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
	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
	6. Requested expiration date a. <input type="checkbox"/> Three years from approval date b. <input type="checkbox"/> Other Specify: _____ / _____
7. Title	
8. Agency form number(s) ( <i>if applicable</i> )	
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 PERMIT FAMILY OF FORMS  
OMB CONTROL NO.: 0648-0202**

**INTRODUCTION:**

This submission requests Office of Management and Budget (OMB) approval of the information collection requirements contained in Amendment 1 to the Atlantic herring (herring) Fishery Management Plan (FMP) (Amendment 1).

**New collections that will increase the annual budget**

Amendment 1 contains the following provision that would slightly increase the annual budget for the Northeast Region Permit Family of Forms (OMB Control No.: 0648-0202): herring limited access permit application and related processes.

**New collections that will not increase the annual budget**

Amendment 1 contains the following provisions that would modify, but not increase, approved collections: (1) A Vessel Monitoring System (VMS) requirement for vessels fishing under limited access permits; (2) reporting requirements for vessels fishing under the limited access permits; (3) a reporting requirement for weir fishermen west of Cutler, ME; and (4) a research set-aside (RSA) program.

(1) There are currently 111 full-time herring permit holders that are required to have VMS (OMB Control No.: 0648-0404, Northeast Region Vessel Monitoring and Communications, to be merged with OMB Control No.: 0648-0202 as part of this revision). It is estimated that 90 vessels would qualify for a limited access herring permit. Therefore, the requirement for all limited access herring permit holders to have VMS would not increase the collection budget.

(2) There are currently 111 full-time herring permit holders that have observer and enforcement notification requirements (OMB Control No.: 0648-0521, Northeast Multispecies Framework Adjustment 40-B Permit, to be merged with OMB Control No.: 0648-0202 as part of this revision). It is estimated that 90 vessels would qualify for a limited access herring permit. Therefore, the notification requirement for all limited access herring permit holders would not increase the collection budget.

(3) Amendment 1 would require weir fishermen west of Cutler, ME to report their catch via Interactive Voice Report (IVR) each time they harvest their net(s). However, since open access incidental catch permit holders must currently report through the IVR system if they land more than 2000 lb and weir harvests are often in excess of 2000 lb, this requirement would not likely affect the collection budget. There are currently less than 10 weir fishermen west of Cutler, ME.

(4) Amendment 1 would create a herring RSA program under which 0-3% of the annual herring total allowable catch (TAC) would be set aside to fund research that would increase the knowledge of the herring resource. The Northeast Fishery Management Council (Council) would establish research priorities annually, and issue a Request for Proposals (RFP) for herring

research/surveys to be conducted under the TAC set-aside. Researchers could then submit a research proposal in response to the RFP using the existing NOAA Grant application process. The forms included in the NOAA Grant application, Standard Forms 424, 424A, 424B, and SF-LLL are already approved under OMB Control Numbers: 0348-0043, 0348-0044, 0348-0040, and 0348-0046, respectively. The required certification forms, CD-511 and CD-512, are exempt from PRA requirements. The TAC set-aside program proposed in Amendment 2 would not involve a new collection or increase the current information collection budget, for the previously approved collections.

## **A. JUSTIFICATION**

### **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 Councils and the National Oceanic and Atmospheric Administration's (NOAA's) NOAA National Marine Fisheries Service (Fisheries).

Amendment 1 to the herring FMP is needed to improve resource conservation, minimize the potential for excess harvesting capacity in the fishery, and provide a platform to promote long-term economic stability for harvesters, processors, and fishing communities. This amendment is designed to meet all the requirements of the Magnuson-Stevens Fishery Conservation and Management Act, as well as other applicable laws.

#### **Limited access justification:**

Management of a number of fisheries in the Northeast Region is complicated by excess fishing capacity, which makes it difficult to reduce fishing mortality to levels necessary for stock rebuilding. In order to avoid the problems experienced in these fisheries, we would like to implement a limited access system for the herring fishery to address existing capacity problems in Area 1A and avoid such problems in other areas as the fishery continues to develop.

Although the overall herring TAC is often not harvested, the TAC in the inshore Gulf of Maine (Area 1A) represents at least 60% of the total landings and has triggered a closure of the herring fishery in this area every year. Harvesting capacity in this area may need to be restricted to avoid problems that result from excess fishing capacity.

Consistent with other limited access programs established by the Councils, initial eligibility for a herring limited access permit must be established during the first year after the implementation of Amendment 1. To prove that a vessel is eligible for the limited access program under any landings criteria established through Amendment 1, applicants would have to submit third-party verification of landings history, such as dealer receipts. To qualify for a Limited Access Directed Fishery Permit for Area 1 (allows access to all management areas), a vessel must currently possess a herring permit and have landed at least 500 metric tons (mt) of herring in any one calendar year between January 1, 1988 and September 16, 1999. To qualify for a Limited Access Directed Fishery Permit for Areas 2/3 (allows access to Areas 2 and 3 only), a vessel must currently possess a herring permit and have landed 250 mt of herring in any consecutive twelve

months between January 1, 1988 and December 31, 2003. Vessels that do not qualify for either Limited Access Directed Fishery Permits could qualify for a Limited Access Incidental Catch Permit to fish for herring in any management area if they currently possess a permit to fish for squid, mackerel, butterfish, and/or whiting and have landed at least 15 mt of herring in any calendar year between January 1, 1993 and December 31, 2002.

An appeals procedure will be developed similar to that established for previous limited access programs. An applicant who has been denied a limited access Atlantic herring permit may appeal in writing to the Regional Administrator.

### **Vessel Replacements and Upgrades**

The term vessel replacement, in general, refers to replacing an existing limited access vessel with another vessel. In addition to addressing increases in vessel size and horsepower, the consistency amendment also established a restriction that requires that the same entity must own both the limited access vessel (and fishing history) that is being replaced, and the replacement vessel. In order to maintain consistency with the other regional limited access programs, this provision would be adopted for the Atlantic herring limited access program. A vessel must submit a replacement application to transfer limited access permits from one vessel to another vessel.

This measure would also establish vessel upgrade restrictions for the herring fishery that are consistent with vessel upgrade restrictions in the Multispecies FMP and other limited access fisheries in the Northeast Region. Upgrade restrictions limit the ability of a qualified vessel to increase fishing power. Upgrading a vessel requires the submission of an upgrade application.

### **Permit Renewals and Confirmation of Permit History (CPH)**

A vessel owner must maintain the limited access permit status for an eligible vessel by renewing the permits or applying for issuance of 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. 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.

A person who does not currently own a fishing vessel, but who has owned a qualifying vessel that has sunk, been destroyed, or transferred to another person, must apply for and receive a CPH if the fishing and permit history of such vessel has been retained lawfully by the applicant. To be eligible to obtain a CPH, the applicant must show that the qualifying vessel meets the eligibility requirements for the limited access herring permit in question. Issuance of a valid CPH preserves the eligibility of the applicant to apply for a limited access permit for a replacement vessel based on the qualifying vessel's fishing and permit history at a subsequent time. A CPH application must be received by the Regional Administrator no later than 30 days prior to the end of the first full fishing year in which a vessel permit cannot be issued. Failure to do so is considered abandonment of the permit.



**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.**

Vessel permit information is available to the public via the web site for the Northeast Regional Office at [www.nero.noaa.gov](http://www.nero.noaa.gov), and is also available upon request. In most cases, vessel permit information is provided in aggregate form. However, there are cases, such as for law enforcement or mailings, that individual permit information is required. The individual vessel information used for mailings that is derived from the vessel permit application provides NOAA Fisheries with the assurance of reaching all affected constituents with notices of fishery closures, regulatory changes, and other important information. Thus, this information is used frequently; at least once a month.

Vessels applying for a limited access herring permit under the proposed limited access program would be required to complete an application for the limited access permit category for which they are applying and submit proof of landings that meet the criteria for that permit category. This information will be used by NOAA Fisheries to qualify the vessel for the applicable limited access permit category. The initial application for a limited access permit is a one-time occurrence. However, once a vessel is determined to qualify for a limited access permit, it is required to renew that permit annually. Further, the permit category itself will be used by NOAA Fisheries to identify these new limited access vessels, on a case-by-case basis, to ensure compliance with the restrictions associated with possessing a limited access permit.

It is anticipated that the information collected will be disseminated to the public or used to support publicly disseminated information. As explained in the preceding paragraphs, the information gathered has utility. NOAA Fisheries 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 #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 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 initial permit issuance, permit renewal is made as easy as possible for both the public and the issuing office. The information obtained from the vessel's initial permit application is used to prepare a computer generated pre-printed renewal form. This pre-printed form is sent directly the vessel owner each year along with permit renewal instructions. If there are no changes to the information contained on the pre-printed renewal form, renewal only requires the applicant's signature. This feature minimizes the reporting burden on the public and administrative burden on the agency. Furthermore, vessel owners may also request a pre-printed renewal form at any time during the year to make necessary changes to their permit or contact information.

In addition to being available upon request, vessel permit information and all initial permit

applications and forms are available on the Northeast Regional Office's web site at [www.nero.noaa.gov/nero/permits/index.html](http://www.nero.noaa.gov/nero/permits/index.html). Posting this information on the web makes it easier for the general public to obtain necessary forms and instructions, and eases the administrative burden on the agency.

**4. Describe efforts to identify duplication.**

NOAA Fisheries is aware of all related fishery management activities, and these requirements do not duplicate any in existence.

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

The proposed collection of information will not have a significant impact on small entities. Only the minimum data to meet the requirements of the above data needs are requested from all participants. Furthermore, detailed instructions are included with all required applications and forms to help facilitate proper completion. Since all of the respondents are small businesses, separate requirements based on the size of the business have not been developed.

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

The limited access herring permit application is a one-time application. However, vessels would be required to renew this limited access permit on an annual basis or lose the permit permanently. To require vessels to renew their applications less frequently would result in necessary information not being updated in a timely manner. Furthermore, the information collected on the vessel permit form provides valuable fishery information (fishing power, gears used, etc.) that is used annually to describe the herring fleet and conduct the necessary analysis of impacts of changes in management measures. Because an application is essential to identify the vessel applying for a limited access permit, the program could not occur if the collection is not conducted.

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

This collection request is consistent with OMB guidelines.

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

The Council has held many meetings that received public comment during the development of Amendment 1 to the FMP. These meetings took place from April, 2003 through the present. The information collections contained in this submission are part of a proposed rule, RIN 0648-

AQ87, scheduled to publish in September 2006.

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

No payment or gift will be made to respondents.

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

All data will be kept confidential as required by Section 402(b) of the Magnuson-Stevens Act, will be maintained 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.)

**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.

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

Table 1 summarizes the time burden of this new reporting requirement.

Limited access application process:

It is estimated that there will be 200 applicants for a limited access herring permit with an average processing time of 45 minutes for a total burden of 151 hours. Only 90 are expected to qualify and consequently renew their application each year. The renewal application is estimated to take 30 minutes on average to process for a burden of 45 hours. Up to 10 applicants are expected to appeal the denial of their permit application. The appeals process is estimated to take 2 hours to complete, on average, with a burden of 20 hours.

Replacement / Upgrade / CPH

New limited access herring vessels would be subject to the same replacement, upgrade, and permit history restrictions as other limited access vessels. Completion of a replacement or upgrade application requires an estimated 3 hours per response. It is estimated that no more than 20 of the 90 vessels possessing these limited access permits will request a vessel replacement or upgrade annually. This resultant burden would be up to 20 hours. Completion of a confirmation of permit history (CPH) application requires an estimated 30 minutes per response. It is estimated that no more than 10 of the 90 vessels possessing these limited access permits will request a CPH annually. The resultant burden would be up to 5 hours.

**Total annualized responses would be 167, and hours, 165.**

The 3 year average total public cost burden for permit applications, appeals and renewals, at an hourly rate of \$15, is \$1,300. At the same rate, the total public cost burden for replacement/upgrade and CPH applications is \$975.

Burden added from 0648-0404: VMS reporting of 150 vessels, 684,000 responses (4,560 responses per vessel), at 5 seconds per transmission, totaling 957.6 hours annually; 10 requests for letters of authorization for VMS exemption, at 2 minutes per request, totally 30 minutes:  
**Total responses = 684,010; total annualized burden rounded to 958 hours.**

Burdens added from 0648-0521:

a) Burden transferred from 0648-0525, Haddock Bycatch Notification of Landing, when merged into 0648-0521: landing notifications for 105 vessels x 5 minutes, averaging 6.37 trips per vessel, **totaling 669 responses and 56 hours** (5 minutes per response).

b) Original 0648-0521 burden:

(1) Georges Bank cod research total allowable catch (TAC) Set-Aside (for researchers):  
5 respondents x 1 annual request x 30 minutes = 3 hours.

(2) Request for letter of authorization (LOA) for Western Gulf of Maine (WGOM) closure area rod/reel haddock special access program: 50 respondents x 1 annual request x 5 minutes = 4 hours.

(3) WGOM closure area rod/reel haddock special access program VMS polling: 50 respondents x 8,784 responses = 439,200 responses x 0.6 seconds = 439 hours.

(4) WGOM closure area rod/reel haddock special access program area and days at sea declaration time: 200 respondents x 1 response x 5 minutes = 17 hours.

(5) WGOM closure area rod/reel haddock special access program observer notification: 200 respondents x 1 response x 2 minutes = 7 hours.

(6) Herring vessel observer notification: 105 respondents x 12.74 responses on average = 1,337 responses x 2 minutes = 44 hours.

(7) Herring vessel observer waiver landings notification: 105 respondents x 6.37 responses = 669 responses and 56 hours.

(8) Vessels notifying of standing by entangled whales: 10 vessels x 1 response x 2 hours = 20 hours.

(9) Days at sea credit request by vessels standing by entangled whales: 10 vessels x 1 response x 30 minutes = 5 hours.

**Total responses = 441,681 and total hours = 593 for original 0648-0521: 593.**

**Total responses for this request: 1,126,527. Total hours: 1,774.**

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

With the exception of burden hours, there would be no annual cost burden as a result of this new collection.

Costs added from 0648-0404: messaging costs of \$1,500 per vessel total **\$225,000** annually.

Costs added from 0648-0521:

a) Costs transferred from 0648-0525, Haddock Bycatch Notification of Landing, when merged into 0648-0521: landing notifications 669 transmissions x \$0.50 = **\$335**.

b) Original 0648-0521 costs:

(1) Georges Bank cod research total allowable catch (TAC) Set-Aside (for researchers): 5 respondents x 1 annual request x \$0.40 = \$2.

(3) WGOM closure area rod/reel haddock special access program VMS polling: 50 respondents x \$1,800 annual operations costs = \$90,000.

(4) WGOM closure area rod/reel haddock special access program area and days at sea declaration time: 200 respondents x 1 response x \$0.50 = \$100.

(5) Herring vessel observer waiver landings notification: 105 respondents x 6.37 responses = 669 responses x \$0.50 = \$335.

(6) Days at sea credit request by vessels standing by entangled whales: 10 vessels x 1 response x 30 minutes x \$0.40 = \$4.

Total costs: **\$90,441**.

All other burden requirements for 0648-0521 listed in #12 have no public costs.

**Total costs from this request: \$315,776.**

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

A full summary of the cost to the Federal Government associated with this new collection of information can be found in Table 1.

The estimated average cost to the Federal Government to issue a Federal fishery permit is \$33 per permit, including labor, printing, distribution, computer time, and handling. It is estimated that there will be 200 initial permit applications and 90 annual permit renewals, resulting in an average 3 year government cost burden of \$4,180.

The annual estimated cost to the Federal Government is estimated to be \$25 for processing appeals, vessel replacements, vessel upgrades, and confirmations of permit history applications. It is estimated that there will be up to 30 replacement/upgrade/CPH applications processed annually, which will increase the annual government burden total to **\$5,180**.

Costs from original 0648-0521, using \$25 per hour wage rate = **\$7,868**.

Costs transferred from 0648-0525 when merged into 0648-0521, using \$25 per hour wage rate = **\$836**.

Costs from 06480-0404, using \$25 per hour wage rate = **\$38,960**.

**Total federal costs from this request: \$52,844.**

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

Respondents have not changed since the last approved action (merger of 0648-0481 into 0648-0202).

A total increase of 1,126,527 responses has been added from the new collection and the merging collections.

An increase of 1) 165 in burden hours is due to Amendment 1. Additional burden hour increases due to merges as part of this request are: 2) 958 from 0648-0404, for VMS operations and maintenance and 3) 649 from 0648-0521 for requests for allocation of Georges Bank cod to facilitate research projects; the Western Gulf of Maine Rod/Reel Haddock Special Access Program; herring vessel observer and law enforcement notifications; request for Days-at-Sea credit from standing by an entangled whale and haddock bycatch notification of landing.

A cost increase of \$225,000 for VMS operations and maintenance has been transferred from 0648-0404 (capital and start-up costs from that collection have expired) and a cost increase of \$90,776 for recordkeeping and reporting has been transferred from 0648-0521.

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

The results from this collection may be used in scientific, management, technical or general information publications such as the Fisheries of the United States, which follows prescribed statistical tabulations and summary table format, and the annual Stock Assessment and Fishery Evaluation (SAFE) Report prepared by the New England Fishery Management Councils (NEFMC) for the herring fishery. Data obtained from this collection would be available to the public upon request in summary form only. Furthermore, data are available to NOAA Fisheries 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.**

All forms will display the OMB Control Number and Expiration Date along with information relevant to the Paperwork Reduction Act of 1995.

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

All instances of this submission comply with 5 CFR 1320.9.

**B. COLLECTIONS OF INFORMATION EMPLOYING STATISTICAL METHODS**

No statistical methods are employed in the information collection procedures.

**TABLE 1 NEW Reporting Requirements**

Requirement	# of Entities	Items Per Entity	Total # of Items	Response Time (Hours)	Total Burden (Hours)	Cost to:	
						Public (labor) <sup>(1)</sup>	Govt. <sup>(2)</sup>
<b>Limited Access Permits</b>							
Year 1 Initial application for limited access permit	200	1	200	0.75	150	\$2,250	\$6,600
Year 2 Permit Renewal	90	1	90	0.50	45	\$675	\$2,970
Year 3 Permit Renewal	90	1	90	0.50	45	\$675	\$2,970
<b>3 Year Average Burden</b>	<b>127</b>	<b>1</b>	<b>127</b>	<b>.58</b>	<b>80</b>	<b>\$1,200</b>	<b>\$4,180</b>
Permit Denial Appeals	10	1	10	2.0	20	\$300	\$250
Replacement/Upgrade applications	20	1	20	3.0	60	\$900	\$500
Confirmation of Permit History applications	10	1	10	0.5	5	\$75	\$250
<b>Total</b>	<b>167</b>		<b>167</b>		<b>165</b>	<b>\$2,475</b>	<b>\$5,180</b>

(1) The cost to the Public is estimated to be \$15 / burden hour

(2) The cost to the Government is estimated to be \$33 per permit application or renewal and \$25 per appeal, replacement, upgrade or CPH application.



# Northeast Region Federal Fisheries Initial Permit Application



UNITED STATES DEPARTMENT OF COMMERCE  
NATIONAL OCEANIC & ATMOSPHERIC ADMINISTRATION  
NATIONAL MARINE FISHERIES SERVICE  
PERMIT OFFICE  
ONE BLACKBURN DRIVE  
GLOUCESTER, MA 01930-2298  
Tel: (978) 281-9370



## Section 1 - Vessel/Owner Information

Is this application for a vessel permit transfer? Yes No

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

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

Vessel Name:

Owner Name:

Street Address:

City: State: Zip: Owner Telephone:( )

CG Documentation or State Registration Number:

Home Port:

Principal Port:

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: 1 = wood 2 = fiberglass 3 = Steel 4 = Other  
(please circle the number that applies to your vessel)

Main Engine HP: \_\_\_\_\_  
The vessel engine horsepower.

Propulsion: 1 = gasoline 2 = diesel 3 = Other  
(please circle the number that applies to your vessel)

Fish Hold Capacity: \_\_\_\_\_  
Measured to the nearest 100 pounds.

Number of Charter/Party Passengers: \_\_\_\_\_  
Number of passengers the vessel is licensed to carry.  
(See Section 5D of instructions for additional documents required)

Signature required on back of form

OMB Control No.: 0648-0202, Expiration Date: 06/30/2007

### Section 3 - Fishery Information

#### Gear Codes

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

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

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

Fisheries	Category		Category							Gear Code(s)	
	Open Access	Limited Access	2	3	4	5	6	7	8		9
Atlantic Sea Scallop	1A 1B		2	3	4	5	6	7	8	9	
Northeast Multispecies	HB I J K		A	C	D	E	F	HA			
Monkfish	E		A	B	C	D	F	G	H		
Surf Clam/Ocean Quahog	1 6										410 - Dredge only
Maine Mahogany Quahog			7								410 - Dredge only
Summer Flounder	2		1								
Scup	2		1								
Black Sea Bass	2		1								
Squid, Mackerel, Butterfish	2 3 4		1	5							
Spiny Dogfish	1										
Atlantic Bluefish	1 2										
Atlantic Herring	1 2 3										
Tilefish	D		A	B	C						
Atlantic Deep-Sea Red Crab	A		B	C							
Skate	1										
American Lobster - Non Trap			1	2							
American Lobster - Trap			A1	A2(A2/3)	A3(A2/3)						800 - Pots and Traps only
			A4	A5	A6	AOC					
			If you select A2 or A3, A2/3 will automatically be issued to your vessel								

### Section 4 - Owner's Signature

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

Signature: \_\_\_\_\_

Print Name: \_\_\_\_\_

Date: \_\_\_\_\_

Public reporting burden for this collection of information is estimated to average 30 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, One Blackburn Drive, Gloucester, MA 01930-2298. 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 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 to limited entry, and (6) 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. Any information submitted by any person to obtain a permit is not confidential, and may be disclosed upon request. Revised: 08/26/2005, OMB Control No.: 0648-0202, Expiration Date: 06/30/2007



**NATIONAL MARINE FISHERIES SERVICE**  
**Northeast Regional Office/Fisheries Statistics Office**



**Initial Vessel Application**  
**Instructions for Northeast Federal Fishing Vessel Permits**

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Mail the completed application package to: National Marine Fisheries Service, Northeast Permit Operations, One Blackburn Drive, Gloucester, MA 01930-2298. 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 [www.nero.nmfs.gov/permits](http://www.nero.nmfs.gov/permits) for applications, instructions, fisheries regulations, and other important information, or call 978-281-9278 or e-mail [Permits.ne@noaa.gov](mailto:Permits.ne@noaa.gov).

❖ **Section 1: Vessel and Owner Information**

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

**Vessel Name:** Current name of vessel, or enter "unnamed" if not applicable.

**Owner Name:** Include name **exactly** as it appears on the vessel ownership documentation (US Coast Guard Documentation, State Registration, or Title of Vessel Ownership). If the vessel is owned by a corporation, submit a **current** copy of the Articles or Incorporation or Organization verifying corporate status. If the vessel is owned by a partnership, submit a **current** copy of the Partnership agreement. See Section 5A for additional documents required.

**Address and Telephone Number:** Include 4-digit addition to zip code (if known) and area code for phone number.

**U.S. Coast Guard Documentation or State Registration Number:** You **must include a copy** of a valid US Coast Guard document or State registration for your vessel in your application package. (See Section 5C for additional documents required.)

**Hailing Port:** City and State where vessel is moored.

**Principal Port:** City and State where the majority of your landings occur.

❖ **Section 2: Additional Vessel Information**

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

**Vessel length:** Overall length in feet.

**Crew Size:** Average number of crew, **including** the captain.

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

**Year Built:** The year the vessel was built.

**Main Engine HP:** The vessel engine horsepower.

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

**Dredge Size:** Dredge size in **feet**.

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

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

**Construction:** 1=Wood, 2=Fiberglass, 3=Steel, 4=Other. (Circle applicable number)

**Propulsion:** 1=Gasoline, 2=Diesel, 3=Other. (Circle applicable number)

**Number of Passengers for Charter or Party:** Number of passengers the vessel is licensed to carry. (See Section 5D for additional documents required.)

**In Sections 1 and 2 of the initial vessel application, fill in all items.**

### ❖ Section 3: Fishery Information

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

**Category:** For each fishery you want to apply for, select the category that best describes your fishing operations, and circle the category numbers or letters in the column marked "Category". A description of Northeast fisheries permits and categories is contained in this document on pages 3 – 9.

**Gear Code:** For each fishery permit and category you select, you must write in the applicable gear codes from the Gear Code table below. 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 no gear code is selected, the application cannot be processed and will be returned to you.**

#### Gear codes and explanations for section 3 of application

Gear Type	Code	Gear Type	Code	Gear Type	Code
Purse Seines	120	Other Trawls	330	Rod and Reel	912
Beach Seines	210	Dredge	410	Tub Trawl	913
Boat Seines	220	Gill/Entangling Nets	700	Longlines or Setlines	920
Bottom Trawls	310	Pots and Traps	800	Harpoons	1010
Mid-water Trawls	320	Hand Lines	911	Other Gears	1200
				Diving Gear	1400

### ❖ Section 4: Owner's Signature

Please sign and date the form. Unsigned, or otherwise incomplete applications, will be returned. Your signature is an affirmation, under penalty of perjury, that all the information provided in obtaining 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]

### ❖ Section 5: Additional Documents Required

#### 5A - Certificate of incorporation, partnership agreement or annual reports

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

- A copy of the Certificate of Incorporation must be submitted once. Each year, documents showing current corporate status and all officers and shareholders owning 25% or more of the shares in the corporation must be submitted.
- The list of corporate officers and shareholders must include their addresses (examples of acceptable documentation include Minutes from the Corporation Annual Meeting listing the names and addresses of the officers and stockholders, or a signed and dated letter from a Corporate Officer listing the names and addresses of current officers and stockholders).
- Partnerships must submit a copy of the partnership agreement once. Each year, the names and addresses of all partners must be submitted.

#### 5B - Scallop Vessels Owned

If applying for a limited access sea scallop permit, all owners of the vessel must attach a completed NMFS scallop ownership form listing all vessels in which they personally have ownership interests that also have limited access permits in the Atlantic Sea Scallop fishery.

### 5C - USCG Documentation/State Registration

A copy of the vessel's valid US Coast Guard Documentation, or, if undocumented, a copy of the vessel's current State Registration. Permit applications will not be accepted if the vessel registration has expired before National Marine Fisheries Service receives it.

### 5D - Charter/Party Permit

If you are applying for a charter/party permit, you must submit a copy of one of the following documents:

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

### 5E - Atlantic Herring Fishery

If you catch or land or intend to catch or land more than 500mt of Atlantic Herring during this calendar year, or, if your vessel caught or landed more than 500 mt of Atlantic herring in the previous fishing year, submit a signed statement verifying that you did so, or that you intend to do so, and attach a copy of a vendor installation receipt from a NMFS-approved Vessel Monitoring System (VMS) vendor, as described in Section 648.9 of the regulations for the Fisheries of the Northeastern United States.

## Description of Northeast Fisheries Permits – Categories Are Shaded

### ❖ Atlantic Sea Scallop

**Open Access Permit:** Further restrictions may apply. Refer to Northeast Fisheries Regulations.

<b>1A</b>	<b>General non-VMS:</b> Fish for, possess or land no more than 40 lbs of shucked or 5 bu of in-shell scallops per trip. This category includes all gear types.
<b>1B</b>	<b>General VMS required:</b> Fish for, possess or land no more than 400 lbs of shucked or 50 bu of in-shell scallops per trip. Vessel Monitoring System (VMS) required to be installed onboard vessel. This category includes all gear types.

**Limited Access Permits:** 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. If you are applying for a limited access scallop permit, you must attach a completed NMFS scallop ownership (see section 5B for details). Further restrictions may apply, refer to Northeast Fisheries Regulations.

<b>2</b>	<b>Full-Time:</b> * This category includes all gear types except bottom trawl.
<b>3</b>	<b>Part-Time:</b> * This category includes all gear types except bottom trawl.
<b>4</b>	<b>Occasional:</b> This category includes all gear types except bottom trawl.
<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 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>7</b>	<b>Full-Time: Authorized to use trawl nets:</b> * This category is limited to bottom trawl nets (gear code <b>310</b> ) gear only.
<b>8</b>	<b>Part-Time: Authorized to use trawl nets:</b> * This category is limited to bottom trawl nets (gear code <b>310</b> ) gear only.
<b>9</b>	<b>Occasional: Authorized to use trawl nets:</b> This category is limited to bottom trawl nets (gear code <b>310</b> ) gear only.

**\* Vessel Monitoring System (VMS) required to be installed and in continuous operation onboard the vessel.**

**❖ Northeast Multispecies**

“Regulated” species: Cod, haddock, yellowtail flounder, pollock, redfish (ocean perch), winter flounder (blackback), American plaice (dab), witch flounder (grey sole), windowpane flounder (sand dab) and white hake

Other Northeast multispecies: Silver hake (whiting), red hake (ling), offshore hake, ocean pout, and Atlantic halibut.

\*\*\*\*\*

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

<b>A</b>	<b>Individual 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> (Vessels in this category may not change category) This category includes all gear types except a dredge.
<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 providing the vessel meets 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> (Vessels in this category may not change category) The vessel may possess and land up to 300 lb cod, one Atlantic halibut, and daily possession limit restrictions allowed for the remaining regulated species. 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.

**Open Access Permits:** Further restrictions may apply to specific categories. Refer to Northeast Fisheries Regulations.

<b>HB</b>	<b>Handgear B:</b> The vessel may possess and land up to 75 lb cod, one Atlantic halibut, and the daily possession limit restrictions allowed for the remaining regulated species. This category includes rod and reel (gear code <b>912</b> ), handline ( <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. This category is limited to rod and reel (gear code <b>912</b> ) and handline (gear code <b>911</b> ) gear only. See Section 5D for additional information.
<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 to qualify for this category.</b> This category includes all gear types.
<b>K</b>	<b>Open Access Multispecies:</b> The vessel may fish for silver hake (whiting), red hake (ling), offshore hake, ocean pout, or Atlantic halibut when participating in an exempted fishing program. This category includes all gear types.

## ❖ Monkfish

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

<b>A</b>	Vessels may elect this category that were issued permits in this category in the previous fishing year and that do not possess a limited access multispecies permit or a limited access scallop permit. This category includes all gear types except dredge gear.
<b>B</b>	Vessels may elect this category that were issued permits in this category in the previous fishing year and that do not possess a limited access multispecies permit or a limited access scallop permit 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.
<b>C</b>	Vessels may elect this category that were issued permits in this category in the previous fishing year and that do not possess a limited access multispecies permit or a limited access scallop permit. This category includes all gear types except dredge.
<b>D</b>	Vessels may elect this category that were issued permits in this category in the previous fishing year and that also possess a limited access multispecies permit or a limited access scallop permit that are less than 51 Gross Registered Tons (GRT) and do not qualify for a Category C permit. This category includes all gear types except dredge.
<b>F</b>	<b>Offshore Fishery Program:</b> Vessels may elect this category that were issued permits in any of the other monkfish limited access permit categories in the previous fishing year. Vessels electing this category must have an operational vessel monitoring system (VMS) installed on the vessel, and are restricted to fishing under a monkfish DAS during the specified season of October 1 – April 30 each year and within the Offshore Fishery Program area. This category includes all gear types.

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

<b>G</b>	Vessels that do not qualify for a monkfish limited access Category A, B, C, or D permit that landed at least 50,000 lb tail-weight or 166,000 lb whole weight of monkfish in the area south of 38°N. lat. during the period March 15 through June 15 in the years 1995 to 1998, may elect this permit category with proof of monkfish landings. The application deadline for this permit is April 30, 2006. This category includes all gear types.
<b>H</b>	Vessels that do not qualify for a monkfish limited access Category A, B, C, D, or G permit that landed at least 7,500 lb tail-weight or 24,900 lb whole weight of monkfish in the area south of 38°N. lat. during the period March 15 through June 15 in the years 1995 to 1998, may elect this permit category with proof of monkfish landings. The application deadline for this permit is April 30, 2006. This category includes all gear types.

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

<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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**Area Declaration:** Please note that vessels fishing exclusively in the Northern Fishery Management Area for monkfish may request a Southern Fishery Management Area Exemption Certificate. Contact Northeast Permit Operations at 978-281-9370.

### ❖ Surfclam/Ocean Quahog

**Open Access Permits:** Further restrictions may apply to specific categories. Refer to Northeast Fishery Regulations.

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

\* To possess and land surfclams or ocean quahogs from the EEZ, an allocation of quota is required. For more information call 978-281-9315.

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

7	<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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### ❖ Summer Flounder (Fluke)

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

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

2	<b>Charter/Party:</b> May fish for or possess summer flounder in the EEZ while carrying passengers for hire. See Section 5D for additional information. This category includes all gear types.
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### ❖ Scup (Porgy)

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

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

2	<b>Charter/Party:</b> May fish for or possess scup in the EEZ while carrying passengers for hire. See Section 5D for additional information. This category includes all gear types.
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### ❖ Black Sea Bass

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

1	<b>Black Sea Bass Commercial Moratorium:</b> This category includes all gear types.
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**Open Access Permit:** Further restrictions may apply to this category. Refer to Northeast Fisheries Regulations.

2	<b>Charter/Party:</b> The vessel may fish for or possess black sea bass in the EEZ north of 35° 15.3' N. latitude while carrying passengers for hire. See Section 5D for additional information. This category includes all gear types.
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### ❖ Squid, Atlantic Mackerel, and Butterfish

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

<b>1</b>	<b>Loligo/Butterfish Moratorium:</b> This category includes all gear types.
<b>5</b>	<b>Illex Squid Moratorium:</b> This category includes all gear types.

**Open Access Permits:** Further restrictions may apply to specific categories. Refer to Northeast Fisheries Regulations.

<b>2</b>	<b>Squid/Mackerel/Butterfish Charter/Party:</b> May fish for or possess <b>Loligo</b> or <b>Illex</b> squid, mackerel or butterfish in the EEZ while carrying passengers for hire. See Section 5D for additional information. 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>Loligo</b> squid or butterfish and 10,000 lb of <b>Illex</b> squid per trip. This category includes all gear types.
<b>4</b>	<b>Atlantic Mackerel:</b> May commercially fish for Atlantic mackerel in the EEZ. This category includes all gear types. <b>Atlantic mackerel at-sea processing vessels must apply for a permit as a dealer/processor. Contact Northeast Permit Operations at (978) 281-9370 for information.</b>

### ❖ Spiny Dogfish

**Open Access Permit:** Further restrictions may apply to this category. Refer to Northeast 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 Permits:** Further restrictions may apply to specific categories. Refer to Northeast Fisheries Regulations.

<b>1</b>	<b>Commercial:</b> May possess or harvest Atlantic bluefish from the EEZ in excess of the daily possession limit. This category includes all gear types.
<b>2</b>	<b>Charter/Party:</b> Vessel may fish for or possess Atlantic bluefish from the EEZ while carrying passengers for hire. See Section 5D for additional information. This category includes all gear types.

### ❖ Atlantic Herring

**Open Access Permits:** Further restrictions may apply to specific categories. Refer to Northeast Fisheries Regulations.

<b>1</b>	If you catch or land or intend to catch or land more 500 mt of Atlantic herring during this calendar year, or did catch or did land more than 500 mt of Atlantic herring in the last calendar year. <b>An operational Vessel Monitoring System is required to be onboard the vessel for this category.</b> See Section 5E for additional information. This category includes all gear types.
<b>2</b>	For vessels that did not catch more than 500 mt of Atlantic herring in the previous calendar year or will not catch more than 500 mt of Atlantic herring during the current calendar year. This category includes all gear types.
<b>3</b>	<b>Processing permit:</b> A vessel of the United States that is > 165 feet (50.3m) LOA, or > 750 GRT (680.4 mt) is eligible to obtain an Atlantic herring processing permit to receive and process Atlantic herring subject to the U.S. at-sea processing (USAP) allocation published by the Regional Administrator pursuant to § 648.200. This category does not authorize the harvest of Atlantic herring, only the receiving and processing of Atlantic herring.

## ❖ Tilefish

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

<b>A</b>	<b>Full-time tier 1:</b> This category includes all gear types.
<b>B</b>	<b>Full-time tier 2:</b> This category includes all gear types.
<b>C</b>	<b>Part-time:</b> This category includes all gear types.

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

<b>D</b>	<b>Incidental Catch:</b> A vessel may possess or land tilefish in or from the EEZ up to 133 lb per trip for fishing year 2005. This category includes all gear types.
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## ❖ 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:** Further restrictions may apply to this category. Refer to Northeast 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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## ❖ Atlantic Deep-Sea Red Crab

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

<b>B</b>	Vessel in this category are subject to a baseline trip limit of 75,000 lb. This category is limited to pots and traps ( <b>800</b> ) gear only.
<b>C</b>	Upon demonstrating proof of a trip with landings higher than 75,000 lb, the vessel qualifies for a trip limit equal to the larger trip, rounded to the nearest 5,000 lb. This category is limited to pots and traps ( <b>800</b> ) gear only.

**Open Access Permit:** 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 Permits:** 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 trap area, you will be subject to the most restrictive trap allocation of all of the areas selected. Further restrictions may apply to specific categories. Refer to Northeast Fisheries Regulations.

<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. 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.
<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.
<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.

**Note:** Northeast Fisheries Regulations require NMFS to issue a Commercial Trap Gear Area 2/3 overlap permit to any vessels that renew a Commercial Trap Gear Area 2 and (or) Area 3 permit.

## ❖ American Lobster Historical Participation

**Limited Access Permits:** For information on the American Lobster Historical Participation program contact the NMFS Northeast Region at (978) 281-9144.

<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. <b>**See eligibility requirements below.</b>
<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. <b>**See eligibility requirements below.</b>
<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. <b>**See eligibility requirements below.</b>

**Note:** Northeast Fisheries Regulations require NMFS to issue a Commercial Trap Gear Area 2/3 overlap permit to any vessels that renew a Commercial Trap Gear Area 2 and (or) Area 3 permit.

**\*\* You may only select Areas 3, 4 or 5 on your application under the following circumstances:**

1. You have received a written Final Determination of Lobster Trap Area Eligibility letter that declares your eligibility and specifies an approved trap allocation.

2. You submitted a Lobster Trap Area Eligibility Application prior to July 31, 2003, and were subsequently issued an interim permit (LOI) to continue fishing in Area 3, 4 or 5 until the end of the 2004 fishing year or until notified by NMFS of your eligibility. If you fall into this category and have not yet been notified of your eligibility, your interim permit can be carried over into the 2005 fishing year.

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Public reporting burden for this collection of information is estimated to average 45 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining data needed, and completing & reviewing the information. Send comments regarding this burden estimate or suggestions for reducing this burden to: National Marine Fisheries Service, Northeast Permit Operations, One Blackburn Drive, Gloucester, MA 01930-2298. 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 (MSFCMA) 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 entry, and (6) 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. Any information submitted by any person to obtain a permit is not confidential, and may be disclosed upon request.



US Department of Commerce  
NOAA/National Marine Fisheries Service  
One Blackburn Drive  
Gloucester, MA 01930-2298

## Application for Vessel Replacement, Upgrade, and Confirmation of Permit History

### Instructions

You can use this application to request a vessel replacement, a vessel upgrade, or a confirmation of permit history. Each of these actions is defined below. Please read this carefully and check the action(s) for which you are applying. You may apply for more than one action on this application.

Which of the following actions are being requested?

- Vessel replacement. **(Section A)** This is a replacement of one vessel by another vessel and the transfer of fishing histories and limited access permit eligibility from the old vessel to the new vessel. **Please read the vessel replacement information on page two of the instructions prior to completing Section A.**
  
- Vessel Upgrade. **(Section B)** This is an increase in the vessel's length, tonnage, or horsepower as the result of alterations made to the vessel. **Note:** There are no upgrade restrictions for vessels that hold **only** limited access lobster and/or handgear permits.
  
- Confirmation of Permit History. **(Section C)** A confirmation of permit history is required when a vessel that has been issued a limited access permit has sunk, been destroyed, or been sold to another person without its permit history and a new vessel has not been purchased. **Possession of a confirmation of permit history will allow the applicant to maintain permit eligibility without owning a vessel. An application for a confirmation of permit history must be received by the Regional Administrator no later than 30 days prior to the end of the first full fishing year in which a vessel's permit cannot be issued.**

Unless otherwise stated, the word "permit" means a limited access or moratorium permit.

**You must complete and sign page 3, "General Information" or your application will be returned. After completing page 3, also complete the appropriate section applicable to your request. You must send all of the required verifying documents or your application will not be processed.**

## Supplemental Information for Vessel Replacements and Upgrades

### Vessel Baseline Specifications and Allowed Upgrades

For all vessels with limited access permits (except lobster and handgear), the vessel size and engine horsepower may only be increased once, either through upgrade or replacement. A **10%** increase in length overall, gross registered tonnage, and net tonnage, and a **20%** increase in engine horsepower are allowed. Vessel size and engine horsepower upgrades may be done separately. Any increase in vessel size, including length overall, gross registered tonnage and net tonnage must be done at the same time. **Note:** If your vessel has **only** a lobster and/or handgear limited access permit, there are no size restrictions on the replacement vessel; however, if you have either of those permits and another limited access permit, the replacement vessel is subject to the above restrictions.

A limited access permit cannot be “split” from another limited access permit. This means if two or more limited access permits are on one boat they may not be divided and put on two boats. Please call 978-281-9300 for additional explanation if you have any questions about this restriction.

To determine whether your new vessel (or upgraded vessel) may be issued a limited access permit, the size of the new vessel is compared to the “vessel baseline.” A vessel baseline is the vessel’s length overall, gross registered tonnage, net tonnage, and engine horsepower as of:

- A. The date the vessel which was initially issued a multispecies or scallop permit applied for that permit; or
- B. March 22, 1999, for the following limited access permits: Black sea bass, *Loligo* squid/butterfish, *Illex* squid, scup, summer flounder, and Maine mahogany quahog.
- C. The effective date of the permit for subsequent limited access fisheries (e.g., monkfish, tilefish, etc.).

If you have both a multispecies or scallop permit **and** any one of the following permits: Black sea bass, *Loligo* squid, *Illex* squid, scup, summer flounder, monkfish, tilefish, or Maine mahogany quahog, you may have multiple baselines. The statement of accuracy, on pages 3 and 4 of this package, is needed to verify the vessels’ specifications.

Please be aware that fishing histories are directly related to the permits. If you wish to retain the fishing history of a species for which there is NOT a specific permit then the bill of sale must indicate this desire.

### Scallop Trawl Net Authorization (Replacements Only)

Scallop vessels holding a permit authorization to fish for scallops with trawl nets can be replaced, and the scallop trawl net authorization passed to the replacement vessel. However, the replacement vessel must meet the same limitations on fishing for scallops with scallop dredges that the vessel it is replacing met. If the limitations are not met then the replacement vessel may have to relinquish the scallop trawl net authorization. These limitations include NOT having fished for scallops with a scallop dredge after December 31, 1987; NOT having fished for scallops with a scallop dredge on no more than 10 trips from January 1, 1988, through December 31, 1994; and having an engine with no greater than 450 horsepower.

**General Information**  
**This page must be completed by all applicants**

**Provide all verifying documentation, as requested (see Section D for acceptable forms).**

Vessel Name: \_\_\_\_\_  
(for Replacements: **old vessel**; for Confirmation of Permit History: **sold or sunken vessel**;  
for Upgrades: vessel information **before the upgrade**)

Federal Northeast Fisheries Permit Number: \_\_\_\_\_

Coast Guard (CG) Documentation or State Registration Number: \_\_\_\_\_

Current owner of vessel or permit history: \_\_\_\_\_  
*Supporting document required:* You must supply proof that you own the vessel (See Section D, Item 2) **or** that you own the fishing history and limited access permit eligibility of that vessel (See Section D, Item 3).

Owner's Address: \_\_\_\_\_  
\_\_\_\_\_

Owner's Phone Number: \_\_\_\_\_

All vessels: **You must submit documentation verifying the following (See Section D, Item 1):**

- |                   |                             |
|-------------------|-----------------------------|
| -- Length Overall | -- Gross Registered Tonnage |
| -- Net tonnage    | -- Engine Horsepower        |

Statement of Accuracy

Please mark the appropriate box for the baseline (old) vessel:

- The information I am submitting in order to establish my vessel's baseline accurately represents the vessel specifications as of March 22, 1999 (and/or as of the date of my first application for a limited access permit).
- The information I *previously* submitted in order to establish the 1994 (or 1996 hook gear) baseline for my vessel's multispecies or scallop moratorium permit also represents the vessel specifications as of March 22, 1999 (and/or as the date of my first application for a limited access permit).

**Signature of vessel owner or authorized agent:** \_\_\_\_\_

**Printed Name:** \_\_\_\_\_ **Date:** \_\_\_\_\_

## Section A--Replacement

Applicants requesting a vessel replacement must complete this section.

### Replacement Vessel (new vessel to be permitted)

Vessel Name: \_\_\_\_\_

Federal Northeast Permit Number (if issued): \_\_\_\_\_

Coast Guard (CG) Documentation or State Registration Number: \_\_\_\_\_  
(Submit copy of CG documentation or State registration).

CG documented vessels: **You must** submit a copy of the CG documentation papers and proof of engine horsepower (See Section D, Item 1).

Other vessels: **You must** submit documentation verifying the following (See Section D, Item 1):

- Length Overall
- Gross Registered Tonnage
- Net tonnage
- Engine Horsepower

### Statement of Accuracy

Please mark the appropriate box for the **replacement** vessel:

- The information I am submitting in order to establish my vessel's size and horsepower specifications accurately represents the vessel specifications as of today's date.
- Information *previously* submitted to NOAA Fisheries for the replacement vessel accurately represents the vessel's specifications as of today's date.

Please mark the **limited access permit histories** that you are transferring. You may only select the limited access permits for which the vessel being replaced is currently qualified. Please keep in mind that all limited access permits must be transferred together and cannot be separated (See the definition of splitting above).

- |  |   |
|--|---|
| <input type="checkbox"/> Multispecies            | <input type="checkbox"/> Scup                           |
| <input type="checkbox"/> Scallop                 | <input type="checkbox"/> Black Sea Bass                 |
| <input type="checkbox"/> Lobster                 | <input type="checkbox"/> <i>Loligo</i> squid/Butterfish |
| <input type="checkbox"/> Summer Flounder         | <input type="checkbox"/> <i>Illex</i> Squid             |
| <input type="checkbox"/> Maine Mahogany Quahog   | <input type="checkbox"/> Monkfish                       |
| <input type="checkbox"/> Red Crab                | <input type="checkbox"/> Tilefish                       |
| <input type="checkbox"/> Multispecies Handgear A |   |

- Scallop Type 7, 8, or 9 (authorized to use trawl nets). By checking this box you are also indicating that you have read the supplemental vessel replacement information regarding scallop trawl net authorizations on page 2 of the application.



## Section B--Upgrade

All applicants requesting a vessel upgrade must complete the following section.

The engine horsepower or size of a vessel with a limited access permit may be increased only once. A **10%** upgrade for length overall, gross registered tonnage, and net tonnage, and a **20%** upgrade for engine horsepower are allowed. Vessel size and engine horsepower upgrades may be done separately. Any increase in vessel size, including length overall, gross registered tonnage, and net tonnage must be done at the same time. Increases are compared to the information required under the General Information section of this package (page 3).

*All changes in vessel specifications indicated below require verifying documentation. (See Section D, Item 1).*

New Length Overall (LOA) \_\_\_\_\_ New Gross Registered Tonnage (GRT) \_\_\_\_\_

New Net Tonnage (NT) \_\_\_\_\_ New Horsepower (HP) \_\_\_\_\_

Note: Instead of gross registered tonnage and net tonnage information, you may submit verification of vessel breadth and depth, and length overall. This information will then be used to calculate GRT and NT using the simplified calculation method.

## Section C--Confirmation of Permit History

All applicants requesting a Confirmation of Permit History (CPH) must complete the following section.

Indicate the permits requiring issuance of a Confirmation of Permit History. The following are the only fisheries for which CPH certificates are required or available. You may only apply for those permits for which the vessel is currently qualified:

- |  |   |
|--|---|
| <input type="checkbox"/> Multispecies            | <input type="checkbox"/> Scup                           |
| <input type="checkbox"/> Scallop                 | <input type="checkbox"/> Black Sea Bass                 |
| <input type="checkbox"/> Lobster                 | <input type="checkbox"/> <i>Loligo</i> squid/Butterfish |
| <input type="checkbox"/> Summer Flounder         | <input type="checkbox"/> <i>Illex</i> Squid             |
| <input type="checkbox"/> Maine Mahogany Quahog   | <input type="checkbox"/> Monkfish                       |
| <input type="checkbox"/> Red Crab                | <input type="checkbox"/> Tilefish                       |
| <input type="checkbox"/> Multispecies Handgear A |   |

Please check all that apply:

- Vessel sold, but I have retained the permit history in the Bill of Sale (*Supporting documentation required. See Section D, Item 3*)
- Vessel destroyed (*Supporting documentation required. See Section D, Item 4*)

## Section D--Supporting Documentation Required

The following are acceptable forms of verification. You are only required to submit one of the acceptable forms of documentation for any category.

**1. Vessel specification documentation (Please Note: All documentation must include the name and documentation number of the vessel)**

- < For all vessels, you must verify total engine horsepower by providing one of the following:
  - Marine survey documentation showing the name and location of the marine surveyor;
  - Mechanic certification on the mechanic's letterhead; or
  - Engine manufacturer specification and proof that the engine is installed on your vessel.
- < For Coast Guard documented vessels, you must provide a copy of the documentation papers.\*
- < For State registered vessels, you must verify length overall, gross registered tonnage, and net tonnage by providing one of the following:
  - Marine survey documentation showing the name and location of the marine surveyor (survey may indicate either gross and net tons or provide information on the vessel's breadth and depth (not draft), and length overall); or
  - US Bureau of Shipping document.

**2. Vessel ownership documentation**

- < To verify the ownership of a vessel, please provide a copy of one of the following:
  - Current Coast Guard documentation; or
  - Current State registration.
- Scallop vessel owners must include a list of all vessel names and permit numbers in which you have an ownership interest.

**3. Vessel permit history ownership**

- < To verify that you have retained the permit history of a vessel you no longer own, please provide one of the following:
  - A bill of sale or document stating that the permit history has been retained by you (the seller) and signed by you and the buyer; or
  - A copy of the confirmation of permit history.

**4. Vessel destruction**

- < To verify that the vessel has been destroyed or is no longer seaworthy, please provide one of the following:
  - Coast Guard accident report;
  - Insurance adjustor's report; or
  - Verification from certified marine surveyor that vessel is no longer seaworthy.

\* By submitting this documentation, you confirm that the vessel length overall is correct as indicated on the CG documentation. If it is not, please submit additional documentation to confirm the length overall of the vessel.

**NOTE: Submission of fraudulent or inaccurate information could result in enforcement action, up to and including fines, permit sanctions, or the revocation of limited access permits.**

**YOUR COMPLETED APPLICATION SHOULD INCLUDE THE FOLLOWING:**

**APPLICATION FOR VESSEL REPLACEMENT**

1. You should complete and submit:
  - < Page 3 - General Information
  - < Page 4 - Section A--Replacement
2. You should submit the following supporting documentation for BOTH\* the vessel being replaced (old vessel) and the replacement vessel:
  - < Vessel specification documentation (See Section D-Item 1)(not necessary for vessels holding only limited access lobster and/or handgear permits)
  - < Vessel/History ownership verification (See Section D-Items 2 or 3 as applicable) or proof of vessel destruction (See Section D-Item 4)
3. You will need to submit an Initial Vessel Application for the replacement vessel.

\* **Note:** If you have already established a baseline for the old vessel by submitting information verifying your vessel's baseline specifications, you will not need to submit additional verification. You should submit information about the replacement vessel.

**APPLICATION FOR A VESSEL UPGRADE**

1. You should complete and submit:
  - < Page 3 - General Information
  - < Page 5 - Section B--Upgrade
2. You should submit the following supporting documentation:
  - < Vessel specification documentation (See Section D-Item 1)

**APPLICATION FOR A CONFIRMATION OF PERMIT HISTORY**

1. You should complete and submit:
  - < Page 3 - General Information
  - < Page 5 - Section C--Confirmation of Permit History
2. You should submit the following supporting documentation:
  - < History ownership verification (See Section D-Item 3) or proof of vessel destruction (See Section D-Item 4)

Rev.: 05/20/2004

OMB Control No.: 0648-0202, Expiration Date: 06/30/2007

**Request for a replacement, upgrade notification, or history retention:**

The application to allow the respondent to request a replacement of one vessel by another, change vessel specifications due to an upgrade, or retain a vessel's history, and is meant to aid in the administration and enforcement of the regulations that relate to these programs. This form will save the respondent time and effort in that all the requirements relating to the interrelated actions are included on one form. These requirements have been adopted as part of the effort reduction programs under the Fishery Management Plans (FMPs) that govern the fisheries involved, and are consistent with the conservation goals of the FMPs. The information provided on this application will allow industry members to replace older vessels with new vessels or retain histories, in a manner consistent with the effort reduction requirements of the FMPs. The information provided through any requests to upgrade a vessel specification will be used for the purposes of monitoring compliance with effort reduction programs.

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

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**BURDEN STATEMENT:** Public reporting burden for this collection of information is estimated to average three hours per response for vessel replacements and upgrades, and 30 minutes for vessel history retention. These estimated response times include the time for reviewing 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 suggestions for reducing this burden to National Marine Fisheries Service, Sustainable Fisheries Division, 1 Blackburn Drive, Gloucester, MA 01930-2298.

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Notwithstanding any other provision of law, no person is required to respond to nor shall a person be subject to 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 current valid OMB Control Number.