

**SUPPORTING STATEMENT  
INDIVIDUAL FISHING QUOTAS FOR PACIFIC HALIBUT AND SABLEFISH  
IN THE ALASKA FISHERY  
OMB CONTROL NO. 0648-0272**

**INTRODUCTION**

The Halibut and Sablefish Individual Fishing Quota (IFQ) Program was developed to reduce fishing capacity that had increased during years of management as an open access fishery, while maintaining the social and economic character of the fixed gear fishery that is relied on as a source of revenue for coastal communities in Alaska. The Halibut and Sablefish IFQ Program provides economic stability for the commercial hook-and-line fishery while reducing many of the conservation and management problems commonly associated with open access. The IFQ Program for sablefish and Pacific halibut fixed gear provides each fisherman a catch quota that can be used any time during the open season. Individual shares are intended to allow fishermen to set their own pace and adjust their fishing effort. The program is intended to reduce the premium that was traditionally placed on speed, allowing fishermen to pay more attention to efficiency and product quality. The IFQ Program consists of three parts: IFQ halibut and sablefish, Western Alaska Community Development Quota (CDQ) halibut, and Gulf of Alaska (GOA) IFQ community quota share. This action is a request for renewal for the collection-of-information.

Individual Fishery Quota (IFQ) Program

The IFQ Program was implemented under the Magnuson Stevens Fishery Conservation and Management Act ([Magnuson-Stevens Act](#)). The Fishery Management Plan (FMP) for the Groundfish Fishery of the Bering Sea and Aleutian Islands Management Area (BSAI) and the Fishery Management Plan for Groundfish of the Gulf of Alaska (GOA FMP) were prepared by the North Pacific Fishery Management Council (Council) and are implemented by regulations at [50 CFR part 679](#).

The International Pacific Halibut Commission (IPHC) and National Marine Fisheries Service (NMFS) manage fishing for Pacific halibut (*Hippoglossus stenolepis*) through regulations established under the authority of the Convention between the United States Halibut Fishery of the Northern Pacific Ocean and Bering Sea (Convention) and the Northern Pacific Halibut Act of 1982 (Halibut Act). The IPHC promulgates regulations pursuant to the Convention at 50 CFR 300.60 through 300.65.

Western Alaska Community Development Quota (CDQ) Halibut

The goals and purpose of the CDQ Program are to allocate a portion of the quotas for groundfish, halibut, crab, and prohibited species in the BSAI to Western Alaska communities to provide the means for starting or supporting commercial fisheries business activities that will result in an ongoing, regionally-based, fisheries-related economy. This document supports required permitting and reporting related to CDQ halibut allocations as described under 679.32(f). These requirements include: electronic reporting of CDQ halibut; a CDQ halibut permit which must be on board a CDQ halibut harvesting vessel; a CDQ hired master permit issued to individuals making halibut CDQ landings; and a Registered Buyer permit issued to persons who are receiving CDQ halibut from harvesters or for harvesters making their own landings under certain

conditions. The collections of information related to all other CDQ species is addressed in OMB Control No.: 0648-0269.

### Gulf of Alaska (GOA) Community Quota Share (QS) Program

The IFQ Program provides management measures designed to respond to chronic concerns about effectively managing the halibut and sablefish commercial fixed-gear fisheries while maintaining an efficient use of the resource. However, since the implementation of the IFQ Program and initial issuance of QS, a substantial decline has occurred in the amount of QS and the number of QS holders in rural communities that are located adjacent to the coast of the GOA. This trend may have an effect on employment and reduce the diversity of fisheries to which fishermen in rural communities have access.

To provide additional opportunities for community fishermen and indirectly address concerns about the economic viability of those communities, a new group of non-profit entities was specified to hold QS on behalf of residents of eligible communities. A non-profit corporate entity that meets specific criteria receives transferred halibut or sablefish QS on behalf of an eligible community and leases the resulting IFQ to fishermen who are residents of the eligible community. Communities eligible to participate in this program need to meet all of the following criteria:

- ◆ Have a population of less than 1,500 persons based on the 2000 United States Census;
- ◆ Have direct saltwater access;
- ◆ Lack direct road access to communities with a population greater than 1,500 persons;
- ◆ Have historic participation in the halibut and sablefish fisheries; and
- ◆ Be specifically designated on a list adopted by the Council.

The NMFS requires information to establish the eligibility of the Community Quota Entity (CQE) to hold QS, monitor the participation of the eligible communities in this program, gather information on the distribution of QS and IFQ among these communities, and receive an annual report from each CQE. This information will be analyzed to determine whether the goals envisioned by the Council are met. Regulations implementing the Halibut and Sablefish IFQ Program are at 50 CFR part 679.

## **A. JUSTIFICATION**

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

The Council, under the authority of the Halibut Act (with respect to Pacific halibut) and the Magnuson-Stevens Act (with respect to sablefish), adopted the IFQ Program in 1991. The Halibut and Sablefish IFQ Program established a limited access system for managing the fixed gear Pacific halibut fishery in Convention waters in and off Alaska and sablefish fisheries in waters of the exclusive economic zone (EEZ), located between 3 and 200 miles off Alaska. Fishing under the Halibut and Sablefish IFQ Program began on March 15, 1995, ending the open access fisheries which preceded its implementation.

The Halibut and Sablefish IFQ Program was developed to reduce fishing capacity that had increased during years of management as an open-access fishery, while maintaining the social and economic character of the fixed-gear fisheries that coastal communities in Alaska rely on as

a source of revenue. The Council and the Secretary concluded that the Halibut and Sablefish IFQ Program would provide economic stability for the commercial hook-and-line fishery while reducing many of the conservation and management problems commonly associated with open access fisheries.

The Council and NMFS also intended the IFQ Program to improve the long-term productivity of the sablefish and halibut fisheries by further promoting the conservation and management objectives of the Magnuson-Stevens Act and the Halibut Act while retaining the character and distribution of the fishing fleets as much as possible. The IFQ Program includes several provisions, such as ownership caps and vessel use caps that are intended to protect small producers, part-time participants, and entry-level participants that otherwise could be adversely affected by excessive consolidation. The IFQ Program also includes other restrictions intended to prevent the halibut and sablefish fisheries from being dominated by large boats or by any particular vessel class. These and other types of requirements were designed to maintain predominantly owner-operated fisheries, which was a key characteristic of the halibut and sablefish fisheries prior to the implementation of the IFQ Program.

Under the IFQ Program, quota share (QS) represents a harvesting privilege for a person. On an annual basis, QS holders are authorized to harvest specified poundage which is issued by NMFS as IFQ. The specific amount of IFQ held by a person is determined by the number of QS units held, the total number of QS units issued in a specific regulatory area, and the total pounds of sablefish or halibut allocated for the IFQ fisheries in a particular year. Fishermen may harvest the IFQ over the entire fishing season, which in 2007 was March 10 through November 15 for halibut and sablefish. Generally, an IFQ permit holder must be onboard a vessel at the time his or her IFQ is fished.

IFQ regulations also restrict the type of QS and IFQ transfers that may occur including restrictions against the transfer of most types of QS if the QS is subject to a lease or condition of repossession or resale by the person transferring the QS. This effectively precludes temporary transfers of QS and IFQ between parties. QS is categorized by vessel size and type. IFQ derived from QS associated with processing vessels (vessel category A) may be temporarily transferred or leased, while much of the IFQ derived from QS associated with catcher vessels (vessel categories B, C, and D) may not be temporarily transferred or leased, with limited exception.

The requirements that catcher vessel QS holders be onboard a vessel while conducting IFQ fishing operations and present during an IFQ landing, as well as the restrictions against temporary transfers of IFQ, are conditionally excepted by other IFQ Program regulations.

**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.**

This collection-of-information describes permit applications and reports. The permits in this program are free of charge.

Reports are required, when applicable, to monitor catches of halibut and sablefish to determine: individual compliance; that the amount of fish being taken does not fall under the definition of

overfishing for the fishery; and that the program is effective in accomplishing the goal of reducing fishing effort in the halibut and sablefish fisheries in the waters off Alaska. These reports are prior notice of landing; landing report, shipment report, transshipment authorization, vessel clearance, and departure report.

The IFQ Program was implemented to both maintain rigorous safeguards on use of fishing privileges for a public resource and to provide safeguards for program constituents. Use of notarized signatures (on certain applications) is the best way for NMFS to ensure that only authorized persons are granted privileges and that NMFS can act in certainty in accordance with requests for program services (such as issuance of a hired master permit) or commercial transactions (for transfers). By employing this widely accepted means of unequivocally establishing the identity of submitters, this requirement removes ambiguity about whether constituents have specific knowledge of the terms and conditions of requested benefits. Notary certification is especially helpful to program participants in that it bars unauthorized persons from access to individual fishing and processing account privileges and business information, and from conducting highly valuable transfers of privileges. The requirement has in fact proven invaluable in enforcement investigations of fraud and in at least one adjudication about a high-value commercial transaction for which a NMFS program action was defensible based on its absolute certainty of the identity of the requestor afforded by the Notary signature.

#### **a. Application for Eligibility to Receive QS/IFQ**

Those persons who wish to receive QS/IFQ by transfer but did not have QS initially awarded to them must submit this application to receive a Transfer Eligibility Certificate (TEC). Only those who have 150 or more days of experience working as part of a harvesting crew in any United States (U.S.) commercial fishery are eligible. Work in support of harvesting but not directly related to it is not considered harvesting crew work.

Note: The currently approved Tax Identification Number (TIN) requirement is included on this application form in this renewal request: Collection of TIN is necessary on program fee submission forms (covered under OMB Control No. 0648-0398) to ensure that we are collecting from the person who owes the debt. Collection of TIN is required also required on this application for eligibility form because the debt is established prior to the time that the fee submission forms are due to the agency. If the fee submission and payment are not received, the agency must begin collection processes and those collection processes cannot be initiated or accomplished without the TIN.

*Because the TIN in this instance is collected for NMFS cost recovery, there is demonstrable practical utility. In addition, cost recovery is mandated by the Magnuson-Stevens Act (16 U.S.C. 1852 et seq.) as amended in 2006, and the collection of TIN in such an instance is supported by 31 U.S.C. Section 7701. See also applicable NMFS Alaska Region regulations: 50 CFR 679.45(d) and 50 CFR 679.5(l).*

#### **Application for Eligibility to Receive QS/IFQ**

##### Block A – Applicant Information

Name and NMFS Person ID

Taxpayer ID No. (Employer ID No. or Social Security Number (SSN))

Business mailing Address (indicate whether permanent or temporary address)

Business telephone number, fax number, and e-mail address

Indicate YES or NO whether applicant is a U.S. citizen

If YES, enter date of birth

Indicate YES or NO whether applicant is a U.S. corporation, partnership, association, or other business entity

If YES, enter date of incorporation

**Block B – Freezer Shares**

Indicate YES or NO whether this TEC is intended for an entity that wishes to buy or lease only category A QS

If YES, and you are a corporation, partnership, association, or other non-individual entity,

complete and submit a QS holder: Identification of Ownership Interest form.

**Block C – Notary Certification**

Printed name and signature of applicant and date signed

If completed by an authorized agent, attach authorization

Signature, commission expiration date, and stamp of notary

**Blocks D & E –Commercial Fishing Experience**

Species

Gear type

Location

Begin date and end date of fishing experience

Number of actual days spent harvesting fish

Duties performed while directly involved in the harvesting of fish

Name and Alaska Department of Fish and Game (ADF&G) vessel registration number or U.S. Coast Guard

(USCG) documentation number of vessel

Name of vessel owner and name of operator

Reference name, reference’s relationship to applicant, business address, and telephone number

A person applies for eligibility only once, rather than annually or every three years. The total number of Persons Eligible to Receive QS by Transfer from the beginning of the IFQ Program is 7,377. Dividing by 6 (to represent number of years), obtains 1,229.5. Therefore, the number 1,200 is used as a round number for the estimated number of participants for this form.

<b>Application for Eligibility to Receive QS/IFQ, Respondent</b>	
<b>Total number of respondents</b>	1200
<b>Total annual responses</b>	<b>1200</b>
Number of responses per year = 1	
<b>Total Time burden</b> (1200 x 2)	<b>2400 hr</b>
Time per response = 2 hr	
<b>Total personnel cost</b> (2400 x\$25)	<b>\$60,000</b>
<b>Total miscellaneous cost</b>	<b>\$6,612</b>
Postage (0.41 x 1200 = 492)	
Photocopy (0.10 x 1200 = 120)	
Notary (5 x 1200 = 6000)	

<b>Application for Eligibility to Receive QS/IFQ, Federal Government</b>	
<b>Total annual responses</b>	1200
<b>Total Time burden</b>	<b>600 hr</b>
Time per response = 0.5 hr	
<b>Total personnel cost</b> (600 x\$25)	<b>\$15,000</b>
<b>Total miscellaneous costs</b>	<b>0</b>

**b. IFQ/CDQ hired master permit (formerly IFQ/CDQ landing card)**

This hired master permit is required for persons (hired masters or skippers) who are harvesting IFQ halibut, IFQ sablefish, or CDQ halibut for a permit holder. This application must be used to obtain Pacific halibut and sablefish Individual Fishing Quota/Community Development Quota (IFQ/CDQ) permits for hired skippers and to obtain permits for halibut CDQ fishing. A separate application must be completed for each vessel, each IFQ permit number, or CDQ permit number.

IFQ permit holders who are not individuals must designate a hired master to fish their IFQ or obtain a permit to access their account. With few exceptions, persons holding catcher vessel QS/IFQ hiring masters must own (either directly or indirectly) at least 20 percent of the vessel upon which their hired master will fish the IFQ. Proof of vessel ownership is required to be submitted each year. Federal regulations at 50 CFR 679.42(i) and (j) define acceptable proof of ownership as:

- ◆ For a documented vessel, owns a minimum 20-percent interest in the vessel as shown by the U.S. Abstract of Title issued by the U.S. Coast Guard that lists the permit holder as an owner and, if necessary to prove the required percentage ownership, other written documentation;
- ◆ For an undocumented vessel, owns a minimum 20-percent interest in the vessel as shown by a State of Alaska vessel license or registration that lists the permit holder as an owner and, if necessary to show the required percentage ownership interest,
- ◆ Category "A" (freezer vessel) permit holders do not need to send proof of vessel ownership but must provide the vessel information requested in Block C of the application.
- ◆ CDQ permit holders are not required to provide the vessel information requested in Block C of the application.

The Abstract of Title is necessary to determine percentage of vessel ownership for purposes of the hired master provisions of the IFQ program.

**Application for IFQ/CDQ Hired Master Permit**

Block A – Purpose of application

- Indicate whether hired master is being added or removed
- Indicate permit(s) that this action applies to
  - Sablefish permit number and category
  - Halibut permit number and category

Block B – Permit Holder Information

- Name and NMFS person ID
- Business mailing address (indicate whether temporary or permanent)
- Business telephone number, fax number, and e-mail address

Block C – Identification of Vessel upon which IFQ/CDQ Halibut or Sablefish Will be Fished

- Name, length overall, ADF&G vessel registration number, and USCG documentation number of vessel
- Indicate YES or NO whether IFQ permit holder holds an ownership interest of at least 20% in the named vessel
  - If YES, submit a current copy of USCG Abstract of Title or Documentation showing the percentage of the permit holder's ownership interest in the named vessel.

Block D – Hired Master Information

- Name and NMFS person ID
- Business mailing address (indicate whether temporary or permanent)
- Business telephone number, fax number, and e-mail address

Block E – Certification of Permit Holder & Notary

- Signature and printed name of applicant, and date signed
- Signature, commission expiration date, and stamp of notary public

The number of hired master halibut/sablefish permits is estimated to be 200, with an estimated 500-600 CDQ halibut hired masters.

<b>Application for IFQ/CDQ Hired Master Permit, Respondent</b>	
<b>Estimated number of respondents</b> IFQ = 200 CDQ halibut = 550	<b>750</b>
<b>Total annual responses</b> Number of responses per year = 1	<b>750</b>
<b>Total Time burden</b> Time per response (30 min/60 min = 0.5)	<b>375</b>
<b>Total personnel cost</b> (375 x \$25)	<b>\$9,375</b>
<b>Total miscellaneous cost</b> (4132.50) Postage (0.41 x 750 = 307.50) Photocopy (0.10 x 750 = 75) Notary (\$5 x 750 = 3750)	<b>\$4,133</b>

<b>Application for IFQ/CDQ Hired Master, Federal Government</b>	
<b>Total annual responses</b>	<b>750</b>
<b>Total Time burden</b> (750 x 0.5) Time per response (30 min/60 min = 0.5)	<b>375</b>
<b>Total personnel cost</b> (375 x \$25)	<b>\$9,375</b>
<b>Total miscellaneous cost</b>	<b>0</b>

### c. Application for Registered Buyer Permit

This permit authorizes a person to receive IFQ halibut or sablefish or CDQ halibut from the person that harvested the fish. The permit is also required of any person who harvests IFQ halibut or sablefish or CDQ halibut and transfers such fish: in a dockside sale; outside of an IFQ regulatory area; or outside of the State of Alaska. Permits are non-transferable, renewed annually or issued on request, and at no cost. Each buying station, mothership, shoreside processor, or stationary floating processor that receives IFQ fish or CDQ halibut is required to have its own Registered Buyer permit. Entities receiving IFQ fish or CDQ halibut at locations outside Alaska do not need these permits, because the deliverer is required to be a Registered Buyer.

#### **Application for Registered Buyer Permit**

Indicate YES or NO whether this application a renewal

If YES, indicate Registered Buyer number

#### Block A -- Applicant Identification

Name and NMFS Person ID

Taxpayer ID No. (EIN or SSN)

Date of birth or date of incorporation

Name of contact person

Business mailing address (indicate whether permanent or temporary)

Physical location of facility

Business telephone number, business fax number, and e-mail address

#### Block B – Type of Activity

Check all that apply

Hired Master making dockside sales (catcher-seller)

Hired Master transferring IFQ/CDQ fish outside Alaska (permit holder or vessel operator)

Person receiving fish from harvester (check all that apply)

#### Block C – Password

Indicate YES or NO whether you currently have a password  
 If YES, provide password

**Block D – Signature**

Signature and printed name of applicant and date signed  
 If completed by an authorized agent, attach authorization

Note: The currently approved TIN requirement is included on this application form in this renewal request: Collection of TIN is necessary on program fee submission forms (covered under OMB Control No. 0648-0398) to ensure that we are collecting from the person who owes the debt. Collection of TIN is required also required on this application for eligibility form because the debt is established prior to the time that the fee submission forms are due to the agency. If the fee submission and payment are not received, the agency must begin collection processes and those collection processes cannot be initiated or accomplished without the TIN.

*Because the TIN in this instance is collected for NMFS cost recovery, there is demonstrable practical utility. In addition, cost recovery is mandated by the Magnuson-Stevens Act (16 U.S.C. 1852 et seq.) as amended in 2006, and the collection of TIN in such an instance is supported by 31 U.S.C. Section 7701. See also applicable NMFS Alaska Region regulations: 50 CFR 679.45(d) and 50 CFR 679.5(l).*

452 Registered Buyer Permits are currently active, which changes the former estimate from 800 to read 500, rounded up to account for possible small increase.

<b>Application for Registered Buyer Permit, Respondent</b>	
<b>Estimated number of respondents</b>	500
<b>Total annual responses</b>	<b>500</b>
Number of responses per year = 1	
<b>Total Time burden</b> (500 x 0.5)	<b>250 hr</b>
Time per response (30 min/60 min = 0.5)	
<b>Total personnel cost</b> (250 x \$25)	<b>\$6,250</b>
<b>Total miscellaneous cost</b>	<b>\$255</b>
Postage (0.41 x 500 = 205)	
Photocopy (0.10 x 500 = 50)	

<b>Application for Registered Buyer Permit, Federal Government</b>	
<b>Total annual responses</b>	<b>500</b>
<b>Total Time burden</b> (500 x 0.5)	<b>250 hr</b>
Time per response = 0.5	
<b>Total personnel cost</b> (250 x \$25)	<b>\$6250</b>
<b>Total miscellaneous cost</b>	<b>0</b>

**d. Application for Quota Share (QS) Permit [NO LONGER ISSUED]**

QS was initially issued to persons who owned or leased vessels that made legal commercial fixed-gear landings of Pacific halibut or sablefish during 1988-1990 off Alaska. QS is transferable to other initial issues or to those who have become transfer-eligible on NMFS' approval of an Application for Transfer Eligibility Certificate. Once issued to a person (at no charge), QS is held by that person until it is transferred, suspended, or revoked.



**e. Request for Application for Quota Share (Forms A through D) [NO LONGER AVAILABLE]**

Prior to the end of the application period for IFQ Quota Share which ended July 15, 1994, the “QS Application” was used to assess eligibility to receive QS. That form was replaced by the “Request for Application for Quota Share (Forms A through D)” and is used by persons who still may wish to claim eligibility, while providing NMFS with a means to issue an initial administrative determination on such claims. No persons are expected to file this application because the application period has passed. Applicants submit Form D plus one of Forms A, B, or C, depending on the type of “person” represented by each applicant.

**Request for Application for Quota Share**

Form A: Form for Individuals

- Name, social security number (SSN), and date of birth of applicant
- Business address, telephone number, and fax number
- Signature of Applicant, date signed
- If this application is made on behalf of the estate of a deceased fishermen:
  - Date of death
  - SSN of decedent
  - Name and address of Estate’s authorized representative
  - Signature of Estate representative, date signed

Form B: Form for Existing Corporations or Partnerships

- Name of corporation or partnership and Federal Tax ID number
- Business mailing address, telephone number, fax number
- Date of incorporation or partnership agreement
- Name and signature of registered agent or partner and date signed

Form C: Form for Dissolved Corporations or Partnerships

- Business name and Tax ID number
- Whether business was a corporation or partnership
- Date of incorporation or partnership agreement
- Date of dissolution
- Names, SSNs, Business addresses, and ownership percentage shareholders or partners
- Name and signature of applicant, Date signed

Form D: Vessel Information Form

- Vessel name, ADF&G vessel number, USCG vessel number
- Registration number in other states: state and registration number
- Owner’s name and business address
- Vessel purchase date, if sold, date of sale, length overall
- Whether vessel is a processor
- Freezer capacity (in cubic feet)
- Whether leased to or by the applicant
- Lessees’ name, address, and telephone number
- Begin and end date of lease
- Name and signature of applicant and date signed

<b>Request for Application for Quota Share (Forms A through D), Respondent</b>	
<b>Estimated number of respondents</b>	<b>0</b>
<b>Total annual responses</b>	<b>0</b>
<b>Total Time burden</b>	<b>0</b>
<b>Total personnel cost</b>	<b>0</b>
<b>Total miscellaneous cost</b>	<b>0</b>

<b>Request for Application for Quota Share (Forms A through D), Federal Government</b>	
<b>Total annual responses</b>	<b>0</b>
<b>Total Time burden</b>	<b>0</b>
<b>Total personnel cost</b>	<b>0</b>
<b>Total miscellaneous cost</b>	<b>0</b>

## **f. Letter of Appeal**

New information in the QS application is compared with data compiled by NMFS. If any new data presented in an application are not consistent with the NMFS-compiled data, the applicant is notified of insufficient documentation and is provided 90 days opportunity to support his or her claim. The applicant is offered 60 days in which to appeal. This appeals process provides the necessary due process for aggrieved applicants. A printed form is not used for an appeal. The applicant is required to request by letter that the IFQ Appeals Officer review the case of the QS applicant. NMFS' Office of Administrative Appeals recently completed the last received IFQ appeal and no new appeals have been submitted in several years.

<b>Letter of Appeal, Respondent</b>	
<b>Estimated number of respondents</b>	<b>2</b>
<b>Total annual responses</b>	<b>2</b>
Number of responses per year = 1	
<b>Total Time burden (2 x 4)</b>	<b>8 hr</b>
Time per response = 4 hr	
<b>Total personnel cost (8 x \$25)</b>	<b>\$200</b>
<b>Total miscellaneous cost (\$0.94)</b>	<b>\$1</b>
Postage (0.41 x 2 = 0.82)	
Photocopy (0.10 x 2 = 0.20)	

<b>Letter of Appeal, Federal Government</b>	
<b>Total annual responses</b>	<b>2</b>
<b>Total Time burden (2 x 4)</b>	<b>8 hr</b>
Time per response = 4 hr	
<b>Total personnel cost (4 x \$75)</b>	<b>\$300</b>
<b>Total miscellaneous cost</b>	<b>0</b>

## **g. QS/IFQ Designated Beneficiary Form**

The Designated Beneficiary form provides options for survivorship privileges of QS and IFQ to immediate family members. QS holders may provide NMFS with the name of a designated beneficiary to receive survivorship transfer privileges in the event of the QS holder's death. If the QS holder does not leave a surviving spouse, he/she may name an immediate family member to be the beneficiary.

NMFS allows the transfer of IFQ only (lease) of any QS/IFQ transferred to the beneficiary by right of survivorship, for a period of 3 years following the death of the original QS holder. This information is necessary to provide temporary transfer privileges to families of deceased QS holders in the absence of a surviving spouse.

### **QS/IFQ Designated Beneficiary Form**

Block A – Instructions

Block B – Identification of QS holder

Name and NMFS Person ID  
 Business mailing address  
 Business telephone number, business fax number, and business e-mail address

**Block C – Name of beneficiary**

Name and NMFS person ID  
 Business mailing address  
 Business telephone number and fax number

**Block D – Relationship of Beneficiary to QS Holder**

Indicate YES or NO whether beneficiary named on this form is the spouse of the QS holder  
 If NO, provide immediate relationship of the beneficiary to the QS holder

**Block E – Signature**

Signature and printed name of QS holder, and date signed  
 If completed by an authorized agent, attach authorization  
 Signature, commission expiration date, and stamp of notary public

<b>QS/IFQ Designated Beneficiary Form, Respondent</b>	
<b>Estimated number of respondents</b>	<b>500</b>
<b>Total annual responses</b>	<b>500</b>
Number of responses per year = 1	
<b>Total Time burden</b> (500 x 0.5)	<b>250 hr</b>
Time per response = 0.5 hr	
<b>Total personnel cost</b> (250 x \$25)	<b>\$6,250</b>
<b>Total miscellaneous cost</b>	
Postage (0.41 x 500 = 205)	<b>\$305</b>
Photocopy (0.10 x 2 x 500 = 100)	

<b>QS/IFQ Designated Beneficiary Form, Federal Government</b>	
<b>Total annual responses</b>	<b>500</b>
<b>Total Time burden</b> (500 x 0.5)	<b>250 hr</b>
Time per response = 0.5 hr	
<b>Total personnel cost</b> (250 x \$25)	<b>\$6250</b>
<b>Total miscellaneous cost</b>	<b>0</b>

**h. QS Holder Form: Identification of Ownership Interest**

Corporations, partnerships, and other non-individual entities are required to submit the ownership form annually [679.42(j)(8)]. The information is necessary for the application of the individual and collective quota share use caps [679.42(e) and (f)] as well as to monitor whether changes have occurred [679.42(j)9)].

The information requested in this form is needed by Restricted Access Management Program (RAMP) to determine compliance with two IFQ program requirements:

- ◆ **Limitations On Use of QS and IFQ.** This information is needed to determine if persons who hold QS have exceeded their allowable use limits under the “individually and collectively” language set out in the IFQ regulations at 50 CFR 679.42(e) and (f); and,
- ◆ **Changes in corporations or partnerships.** This information is also needed to determine if a Corporation or Partnership has changed. Under Sec. 679.42(j)(1) - (4), upon a “change” (i.e., the addition of a new member) to a corporation or partnership that holds catcher vessel QS, the entity may no longer hire a master to fish the IFQ resulting from the QS it holds; further, such an entity must notify NMFS of the change within 15 days of its effective date and must then transfer its QS to a qualified individual.

In addition to the information needs to identify first-time applicants, collection of ownership interest information enables NMFS to determine compliance with the following requirements:

- ◆ to affirm the entity’s continuing existence;
- ◆ to ensure corporations and partnerships are not erroneously issued annual IFQ resulting from the collectively held QS; and
- ◆ to determine indirect ownership of vessels for purposes of the hired skipper provisions of the IFQ program.

**QS Holder form: Identification of Ownership Interest**

Indicate name of QS holder

Block A – Identification of QS holder

Indicate YES or NO whether this business is a publicly held corporation

Indicate YES or NO whether this is a corporation, association, or partnership

If YES, indicate YES or NO whether this corporation or partnership is still active

Indicate YES or NO whether this is an estate that has been probated

If YES, provide date probate was finalized

Block B – Identification of Members, Shareholders, Partners, Joint Venturers, Successor-In-Interests

If ownership consists of separate or additional corporations or partnerships, the individual owners of those entities and the percentage of interest those individuals hold in their respective corporations or partnerships must also be listed

Name

Percent of interest held

Indicate Yes or NO whether these ownership percentages represent the addition of any new owners since QS was initially issued

Block C – Signature Block

Signature, printed name, title, and date of signature

Signature, commission expiration date, and stamp of notary public

Although the requirement is to notify NMFS within 15 days, we usually find out about changes with the annual submission of the ownership form. The ownership form can be used to provide us with changes; or a letter can be submitted. The estimated number of respondents is estimated to be 150-200 per year; the number used in the analysis below is 175.

<b>QS Holder Form: Identification of Ownership Interest and Status Update, Respondent</b>	
<b>Estimated number of respondents</b>	<b>175</b>
<b>Total annual responses</b>	<b>175</b>
Number of responses per year = 1	
<b>Total Time burden (25 x 2)</b>	<b>350 hr</b>
Time per response = 2 hr	
<b>Total personnel cost (350 x \$25)</b>	<b>\$8,750</b>
<b>Total miscellaneous cost (964.25)</b>	<b>\$964</b>
Postage (0.41 x 175 = 71.75)	
Photocopy (0.10 x 175 = 17.50)	
Notary (5 x 175 = 875)	

<b>QS Holder Form: Identification of Ownership Interest and Status Update, Federal Government</b>	
<b>Total annual responses</b>	<b>175</b>
<b>Total Time burden</b>	<b>175 hr</b>
Time per response = 1 hr	
<b>Total personnel cost (175 x \$25)</b>	<b>\$4,375</b>
<b>Total miscellaneous costs</b>	<b>0</b>

## **i. Application to Become a Community Quota Entity (CQE)**

A non-profit corporate entity that meets specific criteria to receive transferred halibut or sablefish QS on behalf of an eligible community may lease the resulting IFQ to fishermen who are residents of the eligible community. Communities eligible to participate in this program would need to meet all of the following criteria:

- ◆ Have a population of less than 1,500 persons based on the 2000 United States Census;
- ◆ Have direct saltwater access;
- ◆ Lack direct road access to communities with a population greater than 1,500 persons;
- ◆ Have historic participation in the halibut and sablefish fisheries; and
- ◆ Be specifically designated on a list adopted by the Council.

NMFS requires information to establish the eligibility of the CQEs to hold QS, monitor the participation of the eligible communities in this program, gather information on the distribution of QS and IFQ among these communities, and receive an annual report from each CQE. This information is used both to evaluate the ability of the specific CQE to represent an Eligible GOA community and to augment fisheries management efforts.

This application procedure is required for each non-profit entity seeking to become a CQE representing a specific community. The Application to Become a CQE is submitted prior to the transfer of any QS to a CQE representing any community. This application is due only once, unless a particular eligible community withdraws support from a specific CQE. For purposes of estimating burden hours, this situation is unlikely to arise, and the application process would not need to be resubmitted more than once every five years.

### **Application for a Non-profit Corporation to be Designated as a Community Quota Entity (CQE)**

#### **Block A—Identification of applicant**

- Name of nonprofit organization
- Permanent business mailing address
- Name of contact person
- Business telephone number, fax number, and e-mail address
- Name of community represented by nonprofit organization
- Name of contact for community governing body

#### **Block B – Required Information**

##### Checklist of required attachments

The non-profit organization applying to become a Community Quota Entity must provide all of the documentation listed in this section. This information is used both to evaluate the ability of the non-profit applicant to represent an Eligible GOA community and to ensure the non-profit has the support of the community's government body.

Applicant's Articles of Incorporation

Applicant's Corporate By-laws

A list of the applicant's key personnel, including its Board of Directors and Officers

The applicant's Organizational Chart or, at a minimum, a written explanation that fully reveals the applicant's line and staff responsibilities and relationships

A statement designating the eligible Gulf of Alaska coastal community(ies) that the entity seeks to represent

An explanation of how the applicant will manage QS/IFQ on behalf of the community(ies) it seeks to represent

An explanation of the applicant's administrative stability and competence, including the resumes of key management personnel

A statement that explains the procedures that will be used to solicit requests from community residents to use (lease) annual IFQ held by the applicant and that sets out the criteria and procedures to be used to select from among those who have expressed a desire to use the IFQ

Formal resolution from the community governing body (i.e., the city council if a municipality, the tribal governing body if not a municipality, or the non-profit community association if neither a municipality or a tribe) that unambiguously designates the applicant as the community's representative and CQE

**Block C -- Certification**

Printed name, signature, and date signed  
Signature, date when commission expires, and stamp of Notary

The current number of CQEs is 20, down from the estimate of 42. And, because this analysis is done every 3 years, the annual number is determined by dividing by 3.

<b>Application to Become an CQE, Respondent</b>	
<b>Estimated number of respondents</b> (20/3 = 6.67)	<b>7</b>
<b>Total annual responses</b>	<b>7</b>
Number of responses per year = 1	
<b>Total Time burden</b>	<b>1,400 hr</b>
Time per response = 200 hr	
<b>Total personnel cost</b> (\$150 x 1400)	<b>\$210,000</b>
<b>Total miscellaneous cost</b> (43.61)	<b>\$44</b>
Postage (7 x 1.23 = 8.61)	
Photocopy (7 x 50 pages x 0.10 = 35)	

<b>Application to Become an CQE, Federal Government</b>	
<b>Total annual responses</b>	<b>7</b>
<b>Total Time burden</b>	<b>28 hr</b>
Time per response = 4 hr	
<b>Total personnel cost</b> (28 x \$25)	<b>\$700</b>
<b>Total miscellaneous cost</b>	<b>0</b>

**j. Application for Transfer of QS/IFQ to or from a Community Quota Entity (CQE)**

This application form is only used to apply for a transfer of QS or IFQ to or from a CQE. Any party to whom the QS/IFQ is proposed to be transferred must hold a Transfer Eligibility Certificate (TEC). If the application is to permanently transfer QS from a CQE to another party, the application must be signed by a representative of the community for whom the CQE holds the QS.

The following determinations are required for each eligible community represented by that CQE:

- ◆ An individual applying to receive IFQ from QS held by a CQE is an eligible community resident of the eligible community in whose name the CQE is holding QS;
- ◆ The CQE applying to receive or transfer QS, has submitted a complete annual report(s);
- ◆ The CQE applying to transfer QS has provided information on the reasons for the transfer;
- ◆ The CQE applying to receive QS is eligible to hold QS on behalf of the eligible community in the halibut or sablefish regulatory area designated for that eligible community in Table 21 to 50 CFR part 679;
- ◆ The governing body of the eligible community has authorized the transfer of QS; and
- ◆ The CQE applying to receive QS has received notification of approval of eligibility to receive QS/IFQ for that community

**Application for Transfer of QS/IFQ to or from a CQE**

Block A – General Requirements

Block B – Identification of Proposed Transferor (Seller)

Full name as it appears on QS Certificate or TEC and NMFS Person ID number  
If proposed transferor is a CQE, name of community represented by the CQE  
Business mailing address (indicate whether permanent or temporary)  
Business telephone number, fax number and e-mail address

Block C – Identification of Proposed Transferee (Buyer)

Name and NMFS Person ID number

If proposed transferee is a CQE, name of community represented by the CQE

Business mailing address (indicate whether permanent or temporary)

Business telephone number, fax number, and e-mail address

Block D – Questions for Transferee (Buyer)

Indicate YES or NO whether QS is to be included in a sweep-up

If YES, list the identifier on the QS certificate into which this new piece should be combined

If this is a transfer of Catcher vessel CDQ compensation QS that has not been assigned a catcher vessel length, designate the category. Indicate the QS vessel length to which you wish the QS assigned.

Block E – Identification of QS/IFQ to be Transferred

Complete Block E if QS and IFQ are to be transferred together or to transfer QS only.

Number of QS units to be transferred

Designation of QS, as shown on the QS certificate: from and to

Indicate YES or NO whether all remaining IFQ pounds from the current fishing year should be transferred with the QS

If NO, indicate the number of pounds to be transferred

Block F – Transfer of IFQ only (lease of IFQ)

Pertains only to proposed transfers from CQEs to qualifying community members

Identification of IFQ to be transferred: Permit number and year

Name of the community to which QS are currently assigned

Block G – Required Supplemental Information

(to be completed by proposed transferor, if a CQE)

Indicate the reason(s) transfer being proposed

(check all that apply and provide a brief explanation on a separate sheet)

Block H – Required Supplemental Information

(to be completed by proposed transferor, if a CQE)

Provide the price per unit of QS and the price per pound of IFQ

Indicate total amount paid for the QS/IFQ in this transactions, including all fees

Indicate YES or NO whether a broker is used for this transaction

If YES, indicate amount paid in brokerage fees or percentage of total price

Indicate reason applying to transfer QS/IFQ (check all that apply)

Block I – Required Supplemental Information

(to be completed by proposed transferee)

Indicate YES or NO whether the QS/IFQ will have a lien attached

If YES, identify the person who will hold the lien

Indicate primary source of financing for this transfer (check one)

Indicate how the QS/IFQ was located (check all that apply)

Indicate relationship to the transferor (check all that apply)

Indicate YES or NO whether an agreement exists to return the QS or IFQ to the transferor or any other person or a condition place on resale.

If YES, explain

Certification of Transferor (Seller)

Printed name and signature of Transferor and date signed

If completed by an authorized agent, attach authorization

Signature, commission expiration date, and stamp of notary

Certification of Transferee (Buyer)

Printed name and signature of Transferee and date signed.

If completed by an authorized agent, attach authorization.

Signature, commission expiration date, and stamp of notary

Certification of CQE Community Representative

(required when CQE proposes to permanently transfer QS)

Printed name, title, and signature of Community Representative and date signed

Signature, commission expiration date, and stamp of notary

The current number of CQEs is 20, down from the previous estimate of 42.

<b>Application for Transfer of QS/IFQ to or from a CQE, Respondent</b>	
<b>Estimated number of respondents</b>	<b>20</b>
<b>Total annual responses</b>	<b>40</b>
Number of responses per year = 2	
<b>Total Time burden (40x 2)</b>	<b>80 hr</b>
Time per response = 2 hr	
<b>Total personnel cost (80 x \$25)</b>	<b>\$2,000</b>
<b>Total miscellaneous cost (224.20)</b>	<b>\$224</b>
Postage (20 x .41 = 8.20)	
Photocopy (4 pages x 0.10 x 40 = 16)	
Notary (\$5 x 40 = 200)	

<b>Application for Transfer of QS/IFQ to or from a CQE, Federal Government</b>	
<b>Total annual responses</b>	<b>40</b>
<b>Total Time burden (40x 0.5)</b>	<b>20 hr</b>
Time per response = 0.5 hr	
<b>Total personnel cost (42 x \$25)</b>	<b>\$1,050</b>
<b>Total miscellaneous cost</b>	<b>0</b>

### **k. Application for Transfer of QS/IFQ**

The information required by this application is necessary to ensure that quota share (QS) and individual fishing quota (IFQ) are transferred in compliance with the regulations governing the buying and selling of QS and the leasing of IFQ. This application for transfer must be completed, signed by both the buyer and seller, and notarized. Collectively held QS must be transferred to a qualified individual upon any change in a corporation or partnership.

The form allows NMFS to monitor the transfer of QS, both purchased and sold. Transfers of QS and IFQ are regulated:

- ◆ to prevent over-consolidation,
- ◆ to accommodate divestiture requirements at 50 CFR part 679.42(j),
- ◆ to promote an owner-operator IFQ fleet, and
- ◆ to allow new entrants into the fishery.

Transfer Upon Deceased QS Holder (Formerly Notification of Inheritance of QS). Any person that receives title to QS by inheritance or court order must notify NMFS and provide an affidavit, court order, or some other form of substantiating evidence supporting the transaction. Any person that receives title to QS in this manner may not use the IFQ resulting from it to harvest sablefish or halibut with fixed gear until the QS transfer is approved by NMFS. Any person that wishes to substantiate the death or dissolution of a QS holder, or that receives title to QS by inheritance or court order and that wishes to transfer title to the QS on behalf of the deceased person or his/her estate, must:

- ◆ Request a transfer to NMFS for approval under rules that govern the IFQ program;



- ◆ Establish the death or dissolution of the QS holder; and
- ◆ Provide proof of representation to conduct such business as authorized by the Court or other appropriate authorizing body.

Transfer Sweep-up. A separate “Sweep-up” Form is to be used by a single person who wishes to combine his/her own individual holdings by sweeping them together -- a "self sweep-up". The regular transfer form is for two different parties who are transferring from one person to another. They can request on this form that QS be swept up with QS already held by the buyer (transferee).

**Application for Transfer of QS and IFQ**

Block A -- Transfer Eligibility Certificate (TEC)

Indicate YES or NO whether transferee (buyer) holds a TEC

Block B – Attachment Checklist

Use this list to ensure application is complete.

Block C – Transferor (Seller) Information

Full name as it appears on QS Certificate or TEC and NMFS Person ID number

Date of birth

Business mailing address (indicate whether permanent or temporary)

Business telephone number, Business fax number, and business e-mail address

Block D – Transferee (Buyer) Information

Name and NMFS Person ID number

Date of birth

Business mailing address (indicate whether permanent or temporary)

Business telephone number, business fax number, and business e-mail address

Block E – Questions for Transferee (Buyer)

Indicate YES or NO whether QS is to be included in a sweep-up

If YES, list the identifier on the QS certificate into which this new piece should be combined

If this is a transfer of Catcher vessel CDQ compensation QS and the vessel category was not declared, indicate the QS vessel category in which you would like to have your QS issued.

Block F – Identification of QS and IFQ to be Transferred

Complete Block F if QS and IFQ are to be transferred together or to transfer QS only.

Whether Halibut or sablefish

IFQ Regulatory area

Vessel category

Number of QS units to be transferred

Seller IFQ permit number

Start and end serial numbers of QS to be transferred

Indicate YES or NO whether all remaining pounds for the current fishing year should be transferred

If NO, number of pounds to be transferred

Block G – Transfer of IFQ only

Complete Block G if requesting transfer of IFQ only (applies only to Category A and surviving Spouse IFQ)

Whether Halibut or sablefish

IFQ regulatory area

Number of units to be transferred

Start and end serial numbers of IFQ to be transferred

Actual number of IFQ pounds being transferred

Seller IFQ permit number

Fishing year

Block H – Required Supplemental Information (completed by seller)

Indicate YES or NO whether a broker is used for this transaction

If YES, how much is paid in brokerage fees or % of total price

Total amount being paid for the QS/IFQ in this transaction, including all fees

Price per unit of QS

Price per pound of IFQ

Reasons for transferring the QS/IFQ (check all that apply)

**Block I – Required supplemental information** (completed by buyer)

Indicate YES or NO whether QS/IFQ being purchased will have a lien attached

Indicate primary source of financing for this transfer (check one)

Indicate how the QS/IFQ was located (check all that apply)

Indicate Buyer's relationship to the QS/IFQ Holder (check all that apply)

Indicate YES or NO whether an agreement exists to return QS or IFQ to Seller or any other person, or a condition placed on resale

If YES, explain

**Block J – Transferor (Seller) Signature Block**

Printed name and signature of Transferor and date signed

If completed by an authorized agent, attach authorization

Signature, commission expiration date, and stamp of notary

**Block K – Transferee (Buyer) Signature Block**

Printed name and signature of Transferee and date signed.

If completed by an authorized agent, attach authorization.

Signature, commission expiration date, and stamp of notary

**Application for Transfer of QS/IFQ by Sweep-up (short form)**

This form is a short form of the Application for Transfer of QS/IFQ to be used by persons who wish to combine (sweep-up) the transferred block together with a block already held. Blocked QS may be swept up into one block if the total amount of QS being combined is less than or equal to established amounts of QS units per area. To be combined, QS must be in the same vessel category, and the resulting block size must not exceed the sweep-up limits.

**Application for Transfer of QS/IFQ by Sweep-up (short form)**

**Block A -- Instructions**

**Block B -- Sweep-up limits**

**Block C -- Applicant information**

Applicant name and date of birth

Business mailing address (indicate whether permanent or temporary)

Business telephone number, business fax number, and business e-mail address

**Block D -- First Quota Shore Block**

Halibut or sablefish

IFQ Regulatory area

Vessel category

Number of QS units to be swept up

Start and end serial numbers of QS to be transferred

**Block E -- Second Quota share Block**

Halibut or sablefish

IFQ Regulatory area

Vessel category

Number of QS units to be swept up

Start and end serial numbers of QS to be transferred

**Block F – Signature Block**

Signature and printed name of QS holder and date signed

If completed by an authorized agent, attach authorization

Signature, commission expiration date, and stamp of notary public

In 2007, the following transfers occurred in the halibut fishery: 209 in Area 2C; 326 in Area 3A; 90 in Area 3B; 83 in Area 4A; 19 in Area 4B; 14 in Area 4C; and 10 in Area 4D. This totals 751 transfers in the IFQ Halibut fishery.

In 2007, the following transfers occurred in the sablefish fishery: 14 in Aleutian Islands; 18 in Bering Sea; 63 in Central Gulf of Alaska; 78 in Southeast Gulf of Alaska; 45 in Western Gulf of Alaska; and 41 in West Yakutat. This totals 259 transfers in the IFQ Sablefish fishery.

<b>Application for Transfer of QS and IFQ, Respondent</b>	
<b>Estimated number of respondents</b>	<b>1010</b>
751 halibut transfers	
259 sablefish transfers	
<b>Total annual responses</b>	<b>1010</b>
Number of responses per year = 1	
<b>Total Time burden</b>	<b>2020 hr</b>
Time per response = 2 hr	
<b>Total personnel cost (2020 x \$25)</b>	<b>\$50,500</b>
<b>Total miscellaneous cost</b>	<b>\$5,868</b>
Postage (1010 x .41 = 414.10)	
Photocopy (4 pages x 0.10 x 1010 = 404)	
Notary (\$5 x 1010 = 5050)	

<b>Application for Transfer of QS and IFQ, Federal Government</b>	
<b>Total annual responses</b>	<b>1010</b>
<b>Total Time burden (1010x 0.5)</b>	<b>505 hr</b>
Time per response = 0.5 hr	
<b>Total personnel cost (505 x \$25)</b>	<b>\$12625</b>
<b>Total miscellaneous cost</b>	<b>0</b>

## **I. Application for replacement of certificates, permits, or licenses**

This form allows for replacement of Certificates, Permits, or Licenses in the IFQ program as well as replacement of all other management programs permits or licenses offered by NMFS Alaska Region.

### **Application for replacement of certificates, permits, or licenses**

#### Block A – Identification of Applicant

- Name, date of birth, NMFS Person ID
- Business mailing address (indicate whether temporary or permanent)
- Business telephone number, business fax number, and business e-mail address

#### Block B – Replacement Request

Indicate certificates, permits, or licenses to be replaced (check only items that apply)

##### Part I – BSAI Crab Permits and Scallop Permits

- Crab QS Reports
  - Units and Fishery
  - Indicate whether this QS Report is requested for a pending QS/IFQ transfer
- Crab PQS Report
  - Units and Fishery
  - Indicate whether this PQS Report is requested for a pending PQS/IFQ transfer
- Crab Annual IFQ Fishing Permit: Permit Number
- Crab Annual IPQ Fishing Permit: Permit Number
- Registered Crab Receiver: Permit Number
- Crab Federal Vessel Permit
  - Permit Number and Vessel ADF&G Number
- Crab IFQ Hired Master Permit
  - Permit Number and Skipper Name
- Crab QS or PQS Transfer Eligibility Certificate
- Crab License Limitation License (LLP): License Number
- Scallop License Limitation License (SLLP): License Number

PART II – Pacific Halibut and Sablefish IFQ Program Permits

Halibut/Sablefish QS Certificate

Units, Area, and Species

Indicate whether this QS Certificate is requested for pending QS/IFQ transfer

Halibut/Sablefish IFQ Fishing Permit: Permit Number

Halibut/Sablefish IFQ/CDQ hired master permit for individual permit holder

Permit Number and Species

Halibut/Sablefish Transfer Eligibility Certificate (TEC): NMFS Person ID

Registered Buyer Permit: Permit Number

PART III – Federal Groundfish Permits

Federal Fisheries Permit (FFP): Permit Number

Federal Processor Permit (FPP):

Permit Number

Vessel ADF&G Number (if stationary floating processor)

Groundfish License Limitation License (LLP)

American Fisheries Act (AFA) Inshore Cooperative: Permit Number

AFA Catcher Vessel Permit:

Permit Number

Vessel USCG No., ADF&G No., and Name

AFA Catcher/Processor Permit

Permit Number

Vessel USCG No., ADF&G No., and Name

AFA Inshore Processor: Permit Number

AFA Mothership:

Permit Number

Vessel USCG No., ADF&G No., and Name

PART IV – Halibut Subsistence

Subsistence Halibut Registration Certificate (SHARC)

Tribal SHARC Number

Rural Resident SHARC Number

Subsistence Halibut Ceremonial Permit: Permit Number

Block C – Reason for replacement Request

Check one; if checked “other” describe

Block D – Certification of Applicant

Signature and printed name of applicant and date signed

If completed by authorized agent, attach authorization

Signature, commission expiration date, and stamp of notary public

The number of replacement requests currently is estimated to be 300 for IFQ permits, and 250 for the other permits. No records are kept of the requests.

<b>Application for Replacement of Certificates, Permits, or Licenses, Respondent</b>	
<b>Estimated number of respondents</b>	<b>550</b>
<b>Total annual responses</b>	<b>550</b>
Number of responses per year = 1	
<b>Total Time burden (550 x 0.5)</b>	<b>275 hr</b>
Time per response = 0.5 hr	
<b>Total personnel cost (275 x \$25)</b>	<b>\$6,875</b>
<b>Total miscellaneous cost (3030.50)</b>	<b>\$3,031</b>
Postage (0.41 x 550 = 225.50)	
Photocopy (0.10 x 550 = 55)	
Notary (5 x 550 = 2750)	

<b>Application for Replacement of Certificates, Permits, or Licenses, Federal Government</b>	
<b>Total annual responses</b>	<b>550</b>
<b>Total Time burden</b> (550 x 0.5) Time per response = 0.5 hr	<b>275 hr</b>
<b>Total personnel cost</b> (275 x \$25)	<b>\$6,875</b>
<b>Total miscellaneous cost</b>	<b>0</b>

**m. Request for Automated Transaction Terminal/Printer [REMOVED]**

**n. IFQ Administrative Waiver**

A request for an administrative waiver is received by telephone at a Government-provided toll-free number (or, in rare cases, by marine radio) from fishermen participating in IFQ fisheries. No form exists for this item. A waiver is completed by NMFS, Office of Law Enforcement (OLE), Juneau to document a request for an administrative waiver from one of the following requirements. The waiver is granted at the discretion of the clearing officer:

- ◆ Six-hour Prior of Notice of Landing: issued to a vessel to land fish before the required 6 hours
- ◆ 12-hour IFQ Landing Window: issued to a vessel that lands fish after hours: after 1800 and before 0600.
- ◆ Electronic Landing Report requirement -- issued due to eLandings failure.
- ◆ IFQ hired master onboard requirement -- issued for the IFQ hired master to not be on board in extreme personal emergencies.

**IFQ Administrative Waiver**

Toll-free telephone call to OLE; completed by OLE  
Date and time of waiver  
Vessel name and ADF&G vessel registration number  
All IFQ permit numbers  
Prior Notice confirmation number (if applicable)  
Registered Buyer name and permit number (if applicable)  
Requirement being waived.

IFQ administrative waivers were issued as follows: 2004, 726; 2005, 757; 2006, 720; and 2007, 772. The rounded-up number used in the analysis is 745.

<b>IFQ Administrative Waiver, Respondent</b>	
<b>Estimated number of respondents</b>	<b>745</b>
<b>Total annual responses</b>	<b>745</b>
Number of responses per year	
<b>Total Time burden</b> (745 x 0.1) Time per response = 0.1 hr (6 min)	<b>75 hr</b>
<b>Total personnel cost</b> (75 x \$25)	<b>\$1,875</b>
<b>Total miscellaneous cost</b>	<b>0</b>

<b>IFQ Administrative Waiver, Federal Government</b>	
<b>Total annual responses</b>	<b>745</b>
<b>Total Time burden</b> (745 x 0.1) Time per response = 0.1 hr	<b>75 hr</b>
<b>Total personnel cost</b> (75 x \$25)	<b>\$1875</b>
<b>Total miscellaneous cost</b>	<b>0</b>

#### **o. Prior Notice of Landing (PNOL)**

The objective of the PNOL is to provide the IPHC monitoring personnel and NMFS, Office for Law Enforcement (OLE) personnel advance notice of vessel IFQ landings. Unless an administrative waiver is granted by a clearing officer, no fewer than three hours prior to making an IFQ landing, the operator of any vessel intending to make a landing of IFQ halibut, CDQ halibut, or IFQ sablefish must submit a PNOL to OLE. The PNOL alerts OLE of legal landings and allows monitoring personnel to query the IFQ data center to determine if the permit holder has enough IFQ pounds available in the account to cover the amount being landed and to afford the opportunity to observe the offload. No form exists for this item.

A PNOL is submitted to OLE by toll-free telephone number 800-304-4846 or 1-907-586-7163 between the hours of 0600 hours, Alaska Standard Time (AST), and 2400 hours, AST

The operator of any vessel wishing to make an IFQ landing before the date and time (AST) reported in the PNOL or later than 2 hours after the date and time (AST) reported in the PNOL must submit a new PNOL.

Data on gear type are necessary to ensure compliance with the PNOL requirement, because some reporting exemptions are gear-based. Also, such data are used by the International Pacific Halibut Commission to assist with harvest monitoring, and by NMFS and the Council to show gear use, project bycatch rates for non-IFQ fish in the IFQ fishery, and to support analyses for seasonal apportionments and other allocation proposals.

#### **Prior notice of landing (PNOL)**

Toll-free telephone call to OLE

Vessel name and ADF&G vessel registration number

Landing information

Port of landing

Exact location of landing within the port

(dock name, harbor name, facility name, or geographical coordinates)

Date and time that the landing will take place

Estimated halibut weight

Estimated sablefish weight

IFQ regulatory area(s) in which the IFQ halibut or IFQ sablefish were harvested;

IFQ or CDQ permit number(s) that will be used to land the IFQ halibut or IFQ sablefish

Gear type reported by the hired master

PNOL were submitted as follows: 2004, 8012; 2005, 9154; 2006, 9068; and 2007, 9854. The average of these four years is used, 9022. The number used below is 9000. Each IFQ permit holder must submit a PNOL prior to landing. The number of IFQ permit holders is different from the number of permits; some people have multiple IFQ permits. Currently, there are approximately 2,250 active IFQ fishermen.

<b>Prior notice of landing, Respondent</b>	
<b>Estimated number of respondents</b>	<b>2250</b>
<b>Total annual responses</b>	<b>9,000</b>
Number of responses per year = 4	
<b>Total Time burden</b> (9000 x 0.2)	<b>1,800 hr</b>
Time per response = 0.2 hr	
<b>Total personnel cost</b> (1800 x \$25)	<b>\$45,000</b>
<b>Total miscellaneous cost</b>	<b>0</b>

<b>Prior notice of landing, Federal Government</b>	
<b>Total annual responses</b>	<b>9000</b>
<b>Total Time burden</b> (9000 x 0.2)	<b>1,800 hr</b>
Time per response = 0.2 hr	
<b>Total personnel cost</b> (1800 x \$25)	<b>\$45,000</b>
<b>Total miscellaneous cost</b>	<b>0</b>

**p. Electronic Landing report**

The IFQ hired master must initiate a landing report of sablefish and halibut landed upon arrival at the dock by using his or her own magnetic card and personal identification number (PIN). A properly concluded transaction terminal receipt or manual landing report receipt received by FAX from OLE, Juneau, constitutes confirmation that NMFS received the landing report and that the cardholder’s account was properly debited. After the Registered Buyer enters the landing data in the transaction terminal and a receipt is printed, the IFQ hired master must sign the receipt. Legible copies of the receipt must be retained by both the Registered Buyer and the IFQ hired master.

The automated template module (ATM) information is automatically provided to the NMFS database for timely fishery monitoring driven by custom-designed software, provided and/or specified by NMFS, Alaska Region. The ATMs are equipped with printers so that copies of the transaction are available for the Registered Buyer. Some information is automatically derived from the IFQ card, CDQ halibut card, or the IFQ/CDQ database when the ATM procedure is used. This electronic system enables immediate confirmation that adequate IFQ pounds exist in the account to cover the landing and affords the cardholder instant access to updated account information.

The fish ticket number provides important management information. ADF&G vessel number is used for enforcement of the regulations imposing a cap on the amount of IFQ that may be used by any one vessel. The ADF&G statistical area information is needed so that the fisherman may verify that IFQ species were harvested only in areas for which cardholders making the landing have IFQ. Information on gear-type is necessary to distinguish long-liners from trollers, who in certain instances are exempt from the Six-hour Prior Notice of IFQ Landing Requirement and the 12-hour IFQ landing window.

The ATM system with card swipe was replaced completely by use of Internet reporting February 2005.

**Electronic landing report**

- Date and time (AST) of landing
- Location of IFQ landing (port code or if at sea, latitude and longitude)
- Name, permit number, and PIN number of IFQ hired master or CDQ hired master

Name, permit number, and password of Registered Buyer receiving the IFQ halibut, IFQ sablefish, or CDQ halibut

Harvesting vessel's name and ADF&G vessel registration number

Initial accurate scale weight (lb or nearest 0.001mt) with or without ice and slime at the time of offloading

Gear code used to harvest IFQ species

ADF&G statistical area of harvest

Species and product codes

ADF&G Fish ticket number

If vessel operator is the Registered Buyer reporting the landing, accurate weight of IFQ sablefish processed product obtained before the offload may be substituted for the initial accurate scale weight

Registered Buyer and IFQ hired master or CDQ hired master must sign printed receipt

**Manual landing report**

If a waiver from use of an electronic landing report is granted by OLE, Juneau, AK, the manual landing report must contain the following information

Whether manual landing report is original or revised

Date, time, and location (lat and long if at sea) of the IFQ landing

Name of the IFQ hired master and Registered Buyer

Halibut IFQ/CDQ permit number, Sablefish IFQ/CDQ Permit No., and Registered Buyer permit number

Harvesting vessel's name, ADF&G vessel registration number, and gear code

ADF&G statistical area of harvest

If ADF&G statistical area is bisected by a line dividing two IFQ regulatory areas, the IFQ regulatory area of harvest reported by the IFQ cardholder

For each ADF&G statistical area

Whether ice and slime is present

Whether halibut is incidental

Alaska State fish ticket number(s)

Species code and product code,

Product weight sold (lb), and

Product weight retained (lb)

Registered Buyer signature, FAX number, and contact number

IFQ/CDQ hired master's signature

NMFS Enforcement signature

<b>Electronic Landing Report, Respondent</b>	
Estimated number of respondents	2250
<b>Total annual responses</b>	<b>33,750</b>
Number of responses per year = 15	
<b>Total Time burden</b> (33750 x 0.3)	<b>10,125 hr</b>
Time requirement for each report = 0.3 hr	
<b>Total personnel cost</b> (10125 x\$25)	<b>\$253,125</b>
<b>Total miscellaneous cost</b>	<b>\$17,150</b>
33,700 Internet submittal (\$0.5 x 33,700=16850)	
50 FAX submittal (\$6 x 50=300)	

<b>Electronic Landing Report, Federal Government</b>	
<b>Total annual responses</b>	<b>33,750</b>
<b>Total Time burden</b> (33750 x 0.1)	<b>3375 hr</b>
Time requirement for each report = 0.1 hr	
<b>Total personnel cost</b> (3375 x\$25)	<b>\$84,375</b>
<b>Total miscellaneous cost</b>	<b>0</b>

**q. IFQ Departure Report**

The IFQ Departure Report may be submitted only after completion of all IFQ fishing and prior to departing the waters of the EEZ adjacent to the jurisdictional waters of the State of Alaska, the territorial sea of the State of Alaska, or the internal waters of the State of Alaska. If intending to



make an IFQ landing at any location other than in an IFQ regulatory area or in the State of Alaska, the vessel operator must submit an IFQ Departure Report to OLE by toll-free telephone.

**IFQ Departure report**

- Intended date, time (AST), and location of landing
- Vessel name and ADF&G vessel registration number
- Halibut IFQ, halibut CDQ, and Sablefish IFQ permit numbers
- Vessel operator’s name and IFQ Registered Buyer permit number
- Estimated total weight of IFQ halibut or CDQ halibut on board (lb/kg/mt)
- Estimated total weight of IFQ sablefish on board (lb/kg/mt)
- Halibut Regulatory Areas or Sablefish Regulatory Areas of harvest or both

IFQ Departure Reports were submitted as follows: 1996, 198; 1997, 147; 1998, 180; 1999, 156; 2000, 91; 2001, 72; 2002, 61; 2003, 60; 2004, 62; 2005, 65; 2006, 54; and 2007, 70. The rounded-up average of the last four years is used in the analysis, 63.

<b>IFQ Departure Report, Respondent</b>	
<b>Estimated number of respondents</b>	<b>63</b>
<b>Total annual responses</b>	<b>63</b>
Number of responses = 1	
<b>Total Time burden</b> (63 x 0.25 = 15.75)	<b>16 hr</b>
Time per response = 0.25 hr (15 min.)	
<b>Total personnel cost</b> (16 x \$25)	<b>\$400</b>
<b>Total miscellaneous cost</b>	<b>0</b>

<b>IFQ Departure Report, Federal Government</b>	
<b>Total annual responses</b>	<b>63</b>
<b>Total Time burden</b> (63 x 0.25)	<b>16 hr</b>
Time per response = 0.25 hr	
<b>Total personnel cost</b> (16 x \$25)	<b>\$400</b>
<b>Total miscellaneous cost</b>	<b>0</b>

**r. Transshipment Authorization**

If a person intends to transship processed IFQ halibut, IFQ sablefish, or CDQ halibut between vessels, authorization from an OLE clearing officer to do so must be obtained for each instance of transshipment. The authorization is requested from OLE by telephone at 1-800-304-4846. The request should be made at least 24 hr before the transshipment is intended to commence.

**Transshipment authorization**

- Time, date, and location of transshipment
- Vessel name and ADF&G vessel registration number transshipment from
- Vessel name transshipment to
- Product destination
- Registered Buyer name and number
- IFQ/CDQ permit numbers
- Species and Product type codes and product weight of transshipment
- Request date and time
- Requestor’s name, telephone number and fax number

Transshipment Authorization were issued as follows: 1999, 20; 2000, 26; 2001, 26; 2002, 19; 2003, 11; 2004, 5; 2005, 7; 2006, 11; and 2007, 15. The rounded-up average of the last four years is used in the analysis, 10.

<b>Transshipment Authorization, Respondent</b>	
<b>Estimated number of respondents</b>	<b>10</b>
<b>Total annual responses</b>	<b>10</b>
Number of responses per year = 1	
<b>Total Time burden</b> (10 x 0.2)	<b>2 hr</b>
Time per response = 0.2 hr	
<b>Total personnel cost</b> (2 x \$25)	<b>\$50</b>
<b>Total miscellaneous cost</b>	<b>0</b>

<b>Transshipment Authorization, Federal Government</b>	
<b>Total annual responses</b>	<b>10</b>
<b>Total Time burden</b> (10 x 0.2)	<b>2 hr</b>
Time per response = 0.2 hr	
<b>Total personnel cost</b> (2 x \$25)	<b>\$50</b>
<b>Total miscellaneous cost</b>	<b>0</b>

### s. Dockside sales receipt

A person holding a valid IFQ permit, IFQ hired master permit, and Registered Buyer (RB) permit may conduct a dockside sale of IFQ halibut or IFQ sablefish to a person who has not been issued a Registered Buyer permit and must issue a dockside sales receipt in lieu of a shipment report. The purpose of reporting the amount of IFQ fish involved in a dockside sale is to provide OLE with the ability to monitor and inspect the shipment of IFQ fish to determine whether there was proper accounting for all IFQ fish landed.

#### Dockside sales receipt

- Date of sale or transfer
- Registered buyer permit number
- Fish product weight of the IFQ sablefish or IFQ/CDQ halibut transferred to each individual
- Species code
- Product type
- Number of shipping units
- Name of shipper
- Details of the shipping means and route
- Confirmation number issued by the credit card transaction

The estimated number of dockside Sales Receipts in 2007 is 235, based on a count of IFQ landings and CDQ halibut landings received from RB permit holders as catcher-sellers.

<b>Dockside Sales Receipt, Respondent</b>	
<b>Estimated number of respondents</b>	<b>235</b>
<b>Total annual responses</b>	<b>1175</b>
Number of responses per year = 5	
<b>Total Time burden</b> (1175 x 0.1 = 117.50)	<b>118 hr</b>
Time per response = 0.1 hr	
<b>Total personnel cost</b> (118 x \$25)	<b>\$2,950</b>
<b>Total miscellaneous cost</b>	<b>0</b>

<b>Dockside Sales Receipt, Federal Government</b>	
<b>Total annual responses</b>	<b>0</b>
<b>Total Time burden</b>	<b>0</b>
<b>Total personnel cost</b>	<b>0</b>
<b>Total miscellaneous cost</b>	<b>0</b>

**t. CQE Annual Report**

Each CQE must submit an annual report by January 31 summarizing halibut and sablefish IFQ activities for the prior fishing year, for each community represented by the CQE to NMFS and to the governing body. This report will provide NMFS and the community with a means of assessing the efficacy of the program on an annual basis and during the 5 year review scheduled for this program. Much of the information on this report will be available for participants through a review of the CQE records and should not require extensive new data collection or gathering. A complete annual report must contain the following information:

**CQE Annual Report**

- Identification of the eligible community, or communities, being represented by the CQE (optional);
- Total amount of halibut QS and sablefish QS held by the CQE at the start of the calendar year and at the end of the calendar year (optional);
- Total amount of halibut QS and sablefish QS held by the CQE at the start of the calendar year and at the end of the calendar year (optional)
- Total amount of halibut and sablefish IFQ leased from the CQE (optional);
- Name, business addresses, and amount of halibut and sablefish IFQ received by each individual to whom the CQE leased IFQ (optional).
- Name, ADF&G vessel registration number, USCG documentation number, length overall, and homeport of each vessel from which the IFQ leased from community owned QS was fished.
- Name and business addresses of those individuals employed as crew members when fishing the IFQ derived from the QS held by the CQE.
- Detailed description of the criteria used by the CQE to distribute IFQ leases among eligible community residents;
- Description of efforts made to employ crew members who are eligible community residents of the eligible community aboard vessels on which IFQ derived from QS held by a CQE is being fished;
- Description of the process used to solicit lease applications from eligible community residents of the eligible community on whose behalf the CQE is holding QS;
- Names and business addresses and amount of IFQ requested by each individual applying to receive IFQ from the CQE
- Any changes in the bylaws of the CQE, board of directors, or other key management personnel
- Copies of minutes and other relevant decision making documents from CQE board meetings
- The number of vessels that fished for IFQ derived from QS held by a CQE (optional)

The current number of CQEs is 20, down from the previous estimate of 42.

<b>CQE Annual Report, Respondent</b>	
<b>Estimated number of respondents</b>	<b>20</b>
<b>Total annual responses</b>	<b>20</b>
Number of responses per respondent = 1	
<b>Total Time burden (20 x 40)</b>	<b>800 hr</b>
Time per response = 40 hr	
<b>Total personnel cost (800 x \$50)</b>	<b>\$40,000</b>
<b>Total miscellaneous cost</b>	<b>\$120</b>
Postage (\$5 x 20 = 100)	
Photocopy (0.10 x 20 x 10 = 20)	

<b>CQE Annual Report, Federal Government</b>	
<b>Total annual responses</b>	<b>20</b>
<b>Total Time burden</b> (20 x 20) Time per response = 20 hr	<b>400 hr</b>
<b>Total personnel cost</b> (400 x \$25)	<b>\$10,000</b>
<b>Total miscellaneous cost</b>	<b>0</b>

**u. Approval of Transfer from governing body of the eligible community**

As part of the transfer application, the governing body of the eligible community must provide an authorization for the transfer (see 2i, above). This authorization is intended to ensure that the community is fully aware of the transfer. Certain restrictions apply to future transfers if the transfer of QS is for a reason other than to sustain, improve, or expand the program (i.e., the CQE would be prohibited from holding QS on behalf of that community for a period of three years, and the CQE must divest itself of all QS held on behalf of that community).

<b>Approval of Transfer from Governing Body, Respondent</b>	
<b>Estimated number of respondents</b>	<b>20</b>
<b>Total annual responses</b> Number of responses per respondent = 2	<b>40</b>
<b>Total Time burden</b> (40x 0.5) Time per response = 0.5 hr	<b>20 hrs</b>
<b>Total personnel cost</b> (20 x \$25)	<b>\$500</b>
<b>Total miscellaneous cost</b> Postage (\$0.41 x 40 = 16.40) Photocopy (.10 x 2 x 20 = 4)	<b>\$20</b>

<b>Approval of Transfer from Governing Body, Federal Government</b>	
<b>Total annual responses</b>	<b>40</b>
<b>Total Time burden</b> Time per response = 0.25 hr	<b>10 hr</b>
<b>Total personnel cost</b> (10 x \$25)	<b>\$250</b>
<b>Total miscellaneous cost</b>	<b>0</b>

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. NMFS will retain control over the information and safeguard it from improper access, modification, and destruction, consistent with National Oceanic and Atmospheric Administration (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 a pre-dissemination review pursuant to Section 515 of Public Law 106-554.

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

Forms and applications are “fillable” on the computer screen at the NMFS Alaska Region Home Page at [www.alaskafisheries.noaa.gov](http://www.alaskafisheries.noaa.gov), except for those forms completed by OLE officers.

These forms and applications may be completed on the computer screen by the participant, downloaded, printed, and faxed to NMFS.

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

None of the information collected as part of this information collection duplicates other collections. This information collection is part of a specialized and technical program that is not like any other.

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

This collection of information does not impose a significant impact on small entities.

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

Without the specified reporting scheme described in this Support Statement, the IFQ Program would be unable to proceed.

The lack of adequate information to manage the IFQ program would result in the fishery management decision-making process being less objective, more political, and potentially less equitable. This would decrease the credibility of the fishery management process and result in an unnecessarily costly and ineffective management system. The cost of making decisions based on inadequate information would adversely affect the viability of the IFQ fishing industry.

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

Information is required annually or as frequently as vessels choose to transfer IFQ halibut, IFQ sablefish, or CDQ halibut.

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

A Federal Register notice, published November 8, 2007 (72 FR 63166), solicited public comments on the information collection. No comments were received.

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

No payment or gift will be provided under this program.

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

The information collected is confidential under section 303(d) of the Magnuson-Stevens Act (16 U.S.C. 1801 *et seq.*); and also under NOAA Administrative Order (AO) 216-100, which sets forth procedures to protect confidentiality of fishery statistics. Assurance of confidentiality under these authorities is stated on all forms.

A Privacy Act System of Records Notice, COMMERCE/NOAA System-17, Permits and Registrations for Fisheries of the Exclusive Economic Zone (EEZ) off the Coast of Alaska was published in the Federal Register on March 3, 2005 (72 FR 10362).

A new Privacy Act System of Records Notice, COMMERCE/NOAA System-19, Permits and Registrations for United States Federally Regulated Fisheries, was published for comment on April 17, 2008 (73 FR 20914). If no comments need to be addressed, it is expected that the system will become effective by the end of May, 2008. At that time, this System of Records will supersede COMMERCE/NOAA System-17.

**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.**

This information collection does not involve information of a sensitive nature.

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

Estimated total respondents: 2,470, down from 2,877. Estimated total responses: 49,538, up from 38,273. Estimated total burden hours: 20,364, up from 15,750. Estimated total personnel costs: \$704,100, up from \$393,750. Personnel labor costs are estimated to the average wage equivalent to a GS-9 employee in Alaska, including COLA, at \$25 per hour.

**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).**

Estimated total miscellaneous costs: \$38,727, down from \$44,491.

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

Estimated total burden hours: 8,164, up from 7,258 hours. Estimated total personnel costs: \$204,750, up from \$181,450. Personnel labor costs are estimated to the average wage equivalent to a GS-9 employee in Alaska, including COLA, at \$25 per hour.

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

Adjustments are necessary as follows due to differences in numbers of respondents and in costs:

Request for Application for Quota Share (Forms A through D) [REMOVED]

- a decrease of 6 respondents and responses, 0 instead of 6
- a decrease of 6 hr burden, 0 instead of 6 hr
- a decrease of \$150 personnel costs, \$0 instead of \$150
- a decrease of \$3 miscellaneous costs, \$0 instead of \$3

Request for Automated Transaction Terminal/Printer (ATM) [REMOVED]

- a decrease of 10 respondents and responses, 0 instead of 10
- a decrease of 2 hr burden, 0 instead of 2 hr
- a decrease of \$50 personnel costs, \$0 instead of \$50
- a decrease of \$5 miscellaneous costs, \$0 instead of \$5

IFQ/CDQ hired master permit (formerly IFQ/CDQ landing card) application

- a decrease of 250 respondents and responses, 750 instead of 1,000
- a decrease of 125 hr burden, 375 instead of 500 hr
- a decrease of \$3,125 personnel costs, \$9,375 instead of \$12,500
- a decrease of \$1,337 miscellaneous costs, \$4,133 instead of \$5,470

Registered buyer application

- a decrease of 1,100 respondents and responses, 500 instead of 1,600
- a decrease of 550 hr burden, 250 instead of 800 hr
- a decrease of \$13,750 personnel costs, \$6,250 instead of \$20,000
- a decrease of \$4,438 miscellaneous costs, \$255 instead of \$4,693

Application for Eligibility to receive QS/IFQ (TEC)

- an increase of 1,000 respondents and responses, 1200 instead of 200
- an increase of 2,000 hr burden, 2400 instead of 400 hr
- an increase of \$50,000 personnel costs, \$60,000 instead of \$10,000
- an increase of \$5,518 miscellaneous costs, \$6612 instead of \$1094

Application for Transfer of QS/IFQ

- an increase of 10 respondents and responses, 1,010 instead of 1,000
- an increase of 20 hr burden, 2,020 instead of 2,000 hr
- an increase of \$500 personnel costs, \$50,500 instead of \$50,000
- an increase of \$98 miscellaneous costs, \$5,868 instead of \$5,770

Application of Transfer from Governing Body

- A decrease of \$11 miscellaneous costs, \$20 instead of \$31

Application for replacement of certificates, permits, or licenses

- a decrease of 500 respondents and responses, 550 instead of 1,050
- a decrease of 240 hr burden, 275 instead of 515 hr

a decrease of \$6,000 personnel costs, \$6,875 instead of \$12,875  
a decrease of \$2,758 miscellaneous costs, \$3,031 instead of \$5,789

#### Application to become a CQE

a decrease of 35 respondents, 7 instead of 42  
a decrease of 192 responses, 8 instead of 200  
a decrease of 280 hr burden, 1,400 instead of 1,680 hr  
a decrease of \$42,000 personnel costs, \$210,000 instead of \$252,000  
an increase of \$30 miscellaneous costs, \$44 instead of \$14

#### Application for Transfer of QS/IFQ to or from a CQE

a decrease of 22 respondents, 20 instead of 42  
a decrease of 44 responses, 40 instead of 84  
a decrease of 88 hr burden, 80 instead of 168 hr  
a decrease of \$2,200 personnel costs, \$2,000 instead of \$4,200  
a decrease of \$261 miscellaneous costs, \$224 instead of \$485

#### CQE Annual Report

a decrease of 22 respondents and responses, 20 instead of 42  
a decrease of 880 hr burden, 800 instead of 1,680 hr  
a decrease of \$44,000 personnel costs, \$40,000 instead of \$84,000  
a decrease of \$300 miscellaneous costs, \$120 instead of \$420

#### Letter of Appeal

Corrected multiplication error in respondent calculation  
Corrected error in cost per hour for Federal government calculation  
an increase of \$100 personnel costs, \$200 instead of \$100  
an increase of \$1 miscellaneous costs, \$1 instead of \$0

#### QS/IFQ Designated Beneficiary Form

an increase of \$20 miscellaneous costs, \$305 instead of \$285

#### QS holder form: Identification of Ownership Interest and Status Update

an increase of 150 respondents and responses, 175 instead of 25  
an increase of 300 hr burden, 350 instead of 50 hr  
an increase of \$7,500 personnel costs, \$8,750 instead of \$1,250  
an increase of \$827 miscellaneous costs, \$964 instead of \$137

#### Annual Updates on the Status of Corporations and Partnerships QS [REMOVED]

a decrease of 500 respondents and responses, 0 instead of 500  
a decrease of 250 hr burden, 0 instead of 250 hr  
a decrease of \$1,250 personnel costs, \$0 instead of \$1,250  
a decrease of \$360 miscellaneous costs, \$0 instead of \$361

#### IFQ Administrative Waiver

a decrease of 267 respondents and responses, 745 instead of 1,012  
a decrease of 27 hr burden, 75 instead of 103 hr  
a decrease of \$675 personnel costs, \$1875 instead of \$2550



IFQ Electronic Landing Report

an increase of 1,208 respondents, 2,250 instead of 1,042  
an increase of 18,120 responses, 33,750 instead of 15,630  
an increase of 5,436 hr burden, 10,125 instead of 4,689 hr  
an increase of \$135,900 personnel costs, \$253,125 instead of \$117,225  
a decrease of \$1,630 miscellaneous costs, \$17,150 instead of \$18,780

IFQ Prior Notice of Landing (PNOL)

an increase of 1,208 respondents, 2,250 instead of 1,042  
a decrease of 1,420 responses, 9,000 instead of 10,420  
a decrease of 284 hr burden, 1,800 instead of 2,084 hr  
a decrease of \$7,100 personnel costs, \$45,000 instead of \$52,100

Departure Report

A decrease of 7 respondents and responses, 63 instead of 70  
A decrease of 2 hr burden, 16 instead of 18 hr  
A decrease of \$50 personnel costs, \$400 instead of \$450

Transshipment Authorization

a decrease of 20 respondents and responses, 10 instead of 30  
a decrease of 4 hr burden, 2 hr instead of 6 hr  
a decrease of \$100 personnel costs, \$50 instead of \$150

Dockside Sales Receipt

a decrease of 765 respondents, 235 instead of 1,000  
a decrease of 3,825 responses, 1,175 instead of 5,000  
a decrease of 382 hr burden, 118 hr instead of 500 hr  
a decrease of \$9,550 personnel costs, \$2,950 instead of \$12,500

The above changes account for all but 24 responses and 22 hours of the differences from current responses and hours. This discrepancy is attributed to cumulative small errors.

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

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

**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.**

In accordance with OMB requirements, the control number and the expiration date of OMB approval are shown on the application forms. They are not found, however, on the Administrative Waiver, PNOL, Departure Report, Transshipment Authorization, and Dockside Sales Receipt which are submitted by telephone. The CQE Annual Report also does not have the expiration date because it is not a form.

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

No exceptions.

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

This collection does not employ statistical methods.