

**SUPPORTING STATEMENT  
ALASKA PACIFIC HALIBUT AND SABLEFISH FISHERIES  
INDIVIDUAL FISHING QUOTAS (IFQs)  
OMB CONTROL NO. 0648-0272**

This request is for revision and extension for this collection of information. The revision entails removal of some duplicative information collections and changes in notarization requirements.

**INTRODUCTION**

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 (Convention) and the [Northern Pacific Halibut Act of 1982](#) (Halibut Act).

The North Pacific Fisheries Management Council (Council), under the authority of the Halibut Act (with respect to Pacific halibut) and the [Magnuson-Stevens Conservation Act](#), 16 U.S.C. 1801 *et seq.*, as amended in 2006 (Magnuson-Stevens Act) (with respect to sablefish), manages the fixed gear Pacific halibut and sablefish Individual Fishing Quota (IFQ) Program. The IFQ Program provides a limited access system for Pacific halibut in Convention waters in and off Alaska and sablefish fisheries in waters of the Exclusive Economic Zone off Alaska. Fishing under the IFQ Program began on March 15, 1995, ending the open-access fisheries that preceded its implementation.

NMFS Alaska Region administers the IFQ Program. Regulations pursuant to the Convention are set forth at [50 CFR 300.60 through 300.65](#). Regulations implementing the IFQ program are set forth at [50 CFR 679 Subpart D](#).

**A. JUSTIFICATION**

NMFS established 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 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 to prevent the halibut and sablefish fisheries from domination by large boats or by any particular vessel class. NMFS designed the requirements to maintain a predominantly owner-operated fishery, which was a key characteristic of the halibut and sablefish fisheries prior to the implementation of the IFQ Program. The IFQ Program provides each fisherman an IFQ that can be used any time during the open season to allow each fisherman to set his/her own pace and fishing effort. Under the IFQ Program, quota share (QS) represents a harvesting privilege for a person. Annually, NMFS issues IFQ to QS holders to harvest specified poundage. 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 extends approximately from March through November 15.

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

NMFS and the Council developed the IFQ Program to reduce fishing capacity that had increased during years of management as an open-access fishery. The IFQ Program provides coastal Alaska communities a source of revenue, while maintaining the social and economic character of fixed-gear sablefish and halibut fisheries. The IFQ Program provides economic stability for the commercial fixed gear fishery while reducing many of the conservation and management problems commonly associated with open-access fisheries.

**2. 1Explain how, by whom, how frequently, and for what purpose the information will be used. 1If 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.**

An IFQ permit authorizes participation in fixed-gear harvests of Pacific halibut off Alaska, and most sablefish fisheries off Alaska. The IFQ permits are not specific to vessels and are issued annually to persons holding fishable Pacific halibut and sablefish QS. IFQ permits also are issued to those who are recipients of IFQ-only transfers from QS holders.

Required reports include prior notice of landing; landing report, shipment report, transshipment authorization, vessel clearance, and departure report. Reports are required to monitor catch of halibut and sablefish to determine:

- ◆ Individual compliance;
- ◆ The amount of fish being taken does not fall under the definition of overfishing for the fishery; and
- ◆ The program is effective in accomplishing the goal of reducing fishing effort in the halibut and sablefish fisheries in the waters off Alaska.

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

NMFS initially issued QS to persons who owned or leased vessels that made legal commercial fixed-gear landings of Pacific halibut or sablefish during 1988-1990 off Alaska. The application period for QS ended on July 15, 1994. Once issued to a person by NMFS, QS is held by that person until it is transferred, suspended, or revoked. Currently, QS may only be obtained through transfer. QS is transferable to other initial issuees or to those who have become transfer-eligible through obtaining NMFS' approval.

Those persons applying to receive QS or IFQ by transfer must submit to the Regional Administrator an Application for Eligibility to Receive QS/IFQ to obtain a Transfer Eligibility Certificate (TEC). To be eligible, persons must have 150 or more days of experience working as

part of a harvesting crew in any U.S. commercial fishery. Work in support of harvesting but not directly related to it is not considered harvesting crew work.

An application for eligibility may be submitted to NMFS by mail or delivery. Fax submittal is not acceptable due to the Notary requirements.

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

**Block A – Applicant Information**

Name and NMFS Person ID  
Taxpayer ID No. (Employer ID No. or SSN)  
Business mailing address (indicate whether permanent or temporary)  
Business telephone number, business fax number, and business e-mail address  
If applicant is a U.S. citizen, enter date of birth  
If applicant is a U.S. corporation, partnership, association, or other non-individual business entity, enter date of incorporation

**Block B – Freezer Shares<sup>8888</sup>**

If this TEC is for an entity that intends to buy or lease only category A QS and participant is a corporation, partnership, association, or other non-individual entity, attach and complete a QS holder: Identification of Ownership Interest form.

**Block C – Notary Certification-**

Printed name and signature of applicant and date signed  
If authorized representative, attach authorization  
Notary Public signature, commission expiration date, and notary stamp or seal

**Blocks D – 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  
Vessel name  
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  
Relationship to applicant  
Business mailing address, and business 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 (1995) is 7,514. Dividing by 16 (to represent number of years), obtains 469.625. The number 470 is used for the estimated annual number of participants submitting this form.

<b>Application for Eligibility to Receive QS/IFQ, Respondent</b>	
<b>Total number of respondents</b>	<b>470</b>
<b>Total annual responses</b>	<b>470</b>
Number of responses per year = 1	
<b>Total Time burden</b> (470 x 2)	<b>940 hr</b>
Time per response = 2 hr	
<b>Total personnel cost</b> = 940 x \$25	<b>\$23,500</b>
<b>Total miscellaneous cost</b> = \$2627.30	<b>\$2,627</b>
Postage (0.44 x 470 = \$206.80)	
Photocopy (0.05 x 3pp x 470 = \$70.50)	
Notary (5 x 470 = \$2350)	

<b>Application for Eligibility to Receive QS/IFQ, Federal Government</b>	
<b>Total annual responses</b>	<b>470</b>
<b>Total Time burden</b>	<b>235 hr</b>
Time per response = 30 min	
<b>Total personnel cost</b> = 235 x \$25	<b>\$5,875</b>
<b>Total miscellaneous costs</b>	<b>0</b>

### **b. Quota Share (QS) Holder: Identification of Ownership Interest**

A corporation, partnership, association, or other non-individual entity, except for a publicly held corporation, that receives an allocation of QS must provide annual updates through this ownership form to the Regional Administrator identifying all current shareholders, partners, or members to the individual person level and affirming the entity's continuing existence as a corporation, partnership, association, or other non-individual entity.

Collection of ownership interest information enables NMFS to determine compliance with the following requirements:

- ◆ identify first-time applicants;
- ◆ identify those who hold QS that exceed their allowable use limits;
- ◆ identify change in a corporation or partnership that holds catcher vessel QS. An entity must notify NMFS of any change within 15 days of its effective date and must then transfer its QS to a qualified individual;
- ◆ affirm an entity's continuing existence;
- ◆ ensure corporations and partnerships are not erroneously issued annual IFQ resulting from the collectively held QS;
- ◆ identify indirect ownership of vessels for purposes of the IFQ hired master provisions;

Proof of vessel ownership must be submitted by non-individual respondents 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 USCG 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.

An ownership interest application may be submitted to NMFS by mail or delivery. Fax submittal is not acceptable due to the Notary requirements.

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

Block A – Identification of QS holder

Name of QS holder

Indicate whether this business is a publicly held corporation; **if YES** go to Block C

If a corporation, association, partnership, or other non-individual entity indicate whether still active

If an estate that has been probated, provide date probate was finalized

Block B – Identification of Members, Shareholders, Partners, Joint Venturers, Successors-In-Interest

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/partnerships must be listed

Name of owner(s)

Percent of interest held

Indicate whether ownership percentages represent the addition of any new owners since QS was initially issued

Block C – Certification

Signature, printed name, title, and date of signature of respondent

Signature of notary public, commission expiration date, and notary public stamp or seal

Currently, there are 2,977 halibut and/or sablefish QS holders. Of those, 2,811 are individuals and only 166 are non-individuals.

1

<b>QS Holder Form: Identification of Ownership Interest, Respondent</b>	
<b>Estimated number of respondents</b>	<b>166</b>
<b>Total annual responses</b>	<b>166</b>
Number of responses per year = 1	
<b>Total Time burden</b>	<b>332 hr</b>
Time per response = 2 hr	
<b>Total personnel cost</b> = 332 x \$25	<b>\$8,300</b>
<b>Total miscellaneous cost</b> = \$919.64	<b>\$920</b>
Postage (0.44 x 166 = \$73.04)	
Photocopy (0.05 x 2pp x 166 = \$16.60)	
Notary (5 x 166 = \$830)	

<b>QS Holder Form: Identification of Ownership Interest, Federal Government</b>	
<b>Total annual responses</b>	<b>166</b>
<b>Total Time burden</b>	<b>166 hr</b>
Time per response = 1 hr	
<b>Total personnel cost</b> = 166 x \$25	<b>\$4,150</b>
<b>Total miscellaneous costs</b>	<b>0</b>

### **c. Application for IFQ/CDQ hired master permit**

Non-individual IFQ permit holders must designate a hired master to fish their IFQ or obtain a permit to access their account. To obtain a hired master, non-individual permit holders must own (either directly or indirectly) at least 20 percent of the vessel upon which their hired master will fish the IFQ. A hired master permit is required for harvest of IFQ halibut, IFQ sablefish, or Western Alaska Community Development Quota (CDQ) halibut on behalf of a permit holder. The applicant must complete a separate application for each vessel, each IFQ permit number, and each CDQ permit number.

To demonstrate percent of vessel ownership by IFQ permit holder -- documentation of ownership must be included with this application, except for Category A IFQ permit holders and CDQ permit holders.

- ◆ Proof of vessel ownership by the IFQ permit holder:
  - For USCG documented vessels, a complete copy of the USCG Abstract of Title;
  - For an undocumented vessel, a copy of the State of Alaska vessel license or registration.
- ◆ If the IFQ permit holder is not the person named on the USCG Abstract of Title or State of Alaska vessel license or registration, documentation establishing indirect ownership such as corporate annual reports, meeting minutes, stock certificates, etc.

The application for a hired master permit may be submitted by mail, fax, or delivery.

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

##### Block A – Purpose of application

Indicate if adding or removing hired master

Indicate whether the hired master permit should be mailed directly to the hired master

Indicate permit number(s) and categories to which this action applies

##### Block B – IFQ/CDQ Permit Holder Information

Name and NMFS person ID

Business mailing address (indicate whether temporary or permanent)

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

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

Vessel name, length overall, ADF&G vessel registration number, and USCG documentation number of vessel

If IFQ permit holder holds an ownership interest of at least 20% in the named vessel, attachments are required

##### Block D – Hired Master Information

Name and NMFS person ID

Business mailing address (indicate whether temporary or permanent)

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

##### Block E – Certification of Permit Holder

Signature and printed name of applicant, and date signed

If representative, attach authorization

<b>Application for IFQ/CDQ Hired Master Permit, Respondent</b>	
<b>Estimated number of respondents</b>	<b>750</b>
IFQ = 375	
CDQ halibut = 375	
<b>Total annual responses</b>	<b>750</b>
Number of responses per year = 1	
<b>Total Time burden</b>	<b>375 hr</b>
Time per response = 30 min	
<b>Total personnel cost</b> (= 375 x \$25)	<b>\$9,375</b>
<b>Total miscellaneous cost</b>	<b>\$1,239</b>
Postage (0.44 x 600 = \$264)	
Fax (\$6 x 150 = \$900)	
Photocopy (0.05 x 2pp x 750 = \$75)	

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

#### **d. Application for IFQ/CDQ Registered Buyer Permit**

A Registered Buyer permit authorizes the person identified on the permit to receive and make:

- ◆ an IFQ landing by an IFQ permit holder or IFQ hired master permit holder;
- ◆ a CDQ halibut landing by a CDQ permit holder or CDQ hired master permit holder.

A Registered Buyer permit is required of:

- ◆ Any person who receives IFQ halibut, CDQ halibut, or IFQ sablefish from the person(s) who harvested the fish;
- ◆ Any person who harvests IFQ halibut, CDQ halibut, or IFQ sablefish and transfers such fish in a dockside sale, outside of an IFQ regulatory area, or outside the State of Alaska;
- ◆ A vessel operator who submits a Departure Report (see § 679.5(l)(4)).

**NOTE:** NMFS does not issue a Registered Buyer permit to entities receiving IFQ Pacific halibut, IFQ sablefish, or CDQ Pacific halibut at locations outside Alaska. In such cases, the vessel operator must be a Registered Buyer.

A Registered Buyer permit is issued on a 3 year cycle upon approval by the Regional Administrator. A Registered Buyer permit is in effect from the first day of the year for which it is issued or from the date of issuance, whichever is later, through the end of the current NMFS 3-year cycle, unless it is revoked, suspended, surrendered, or modified.

An application may be submitted to NMFS by mail, fax, delivery, or online. If the application is submitted to NMFS online using an electronic application available on the NMFS Alaska Region website at <http://alaskafisheries.noaa.gov>, the NMFS Person ID, password, and transfer key take the place of a signature and certify that all information is true, correct, and complete.

**Application for Registered Buyer Permit**

If requesting a permit renewal, enter Registered Buyer permit number

Block A -- Applicant Identification

- Name and NMFS Person ID of Registered Buyer
- 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 activities that apply

Block C – Signature

Signature and printed name of applicant or authorized representative and date signed  
If authorized representative, **attach** authorization

<b>Application for Registered Buyer Permit, Respondent</b>	
<b>Estimated number of respondents</b>	<b>445</b>
<b>Total annual responses</b>	<b>445</b>
Number of responses per year = 1	
<b>Total Time burden</b> = 222.50	<b>223 hr</b>
Time per response = 30 min	
<b>Total personnel cost</b> = 223 x \$25	<b>\$5,575</b>
<b>Total miscellaneous cost</b> = \$373.50	<b>\$374</b>
Postage (0.44 x 100 = \$44)	
Fax (\$6 x 45 = \$270)	
Online (0.05 x 300 = \$15)	
Photocopy (0.05 x 2pp x 445 = \$44.50)	

<b>Application for Registered Buyer Permit, Federal Government</b>	
<b>Total annual responses</b>	<b>445</b>
<b>Total Time burden</b> = 222.50	<b>223 hr</b>
Time per response = 30 min	
<b>Total personnel cost</b> = \$223 x \$25	<b>\$5,575</b>
<b>Total miscellaneous cost</b>	<b>0</b>

**e. QS/IFQ Designated Beneficiary Form**

Quota Share (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.

A designated beneficiary form may be submitted to NMFS by mail or delivery. Fax submittal is not acceptable due to the Notary requirements.



**QS/IFQ Designated Beneficiary Form**

Block A – Identification of QS holder

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

Block B – Identification of beneficiary

Name and NMFS person ID  
Business mailing address  
Business telephone number, fax number, and e-mail address+

Block C – Relationship of Beneficiary to QS Holder

If beneficiary is not the spouse of the QS holder, explain immediate relationship of the beneficiary to the QS holder

Block D – Signature

Signature and printed name of beneficiary, and date signed  
If authorized representative, **attach** authorization  
Signature, commission expiration date, and stamp or seal 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 (500 x 0.5)</b>	<b>250 hr</b>
Time per response = 30 minutes	
<b>Total personnel cost = 250 x \$25</b>	<b>\$6,250</b>
<b>Total miscellaneous cost</b>	<b>\$2,770</b>
Postage (0.44 x 500 = \$220)	
Photocopy (0.05 x 2pp x 500 = \$50)	
Notary (5 x 500 = \$2500)	

<b>QS/IFQ Designated Beneficiary Form, Federal Government</b>	
<b>Total annual responses</b>	<b>500</b>
<b>Total Time burden</b>	<b>250 hr</b>
Time per response = 30 min	
<b>Total personnel cost = 250 x \$25</b>	<b>\$6,250</b>
<b>Total miscellaneous cost</b>	<b>0</b>

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

The IFQ Program allocates a portion of the quotas for groundfish, halibut, crab, and prohibited species in the Bering Sea and Aleutian Islands Management Area (BSAI) to Western Alaska communities. The allocations provide communities the means for starting or supporting commercial fisheries business activities that will result in an ongoing, regionally based, fisheries-related economy.

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 persons who are residents of the eligible community. Communities eligible to participate in this program must 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 for a Non-profit Corporation to be Designated as a CQE must be 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. The application process would not need to be resubmitted more than once every five years.

An application may be submitted to NMFS by mail or delivery. Fax submittal is not acceptable due to the Notary requirements.

**Application for a Non-profit Corporation to be Designated as a CQE**

Block A – Identification of applicant

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

Block B – Required Information -- Checklist of required attachments

Block C – Notary Certification

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

Currently, 21 CQE non-profit corporations represent 21 unique Alaskan communities. In this revision, NMFS Alaska Region is correcting the number of communities, which was previously incorrectly shown as seven. To be able to receive benefits under the program an eligible community must form a non-profit cooperation, under the applicable State laws, and submit a complete application to NMFS. Only one approved submittal is necessary to become a CQE.

<b>Application to Become an CQE, Respondent</b>	
<b>Estimated number of respondents</b>	<b>21</b>
<b>Total annual responses</b>	<b>7</b>
Number of responses = 1 initial 21/3yr = 7	
<b>Total Time burden</b>	<b>1,400 hr</b>
Time per response = 200 hr	
<b>Total personnel cost = \$150 x 1400</b>	<b>\$210,000</b>
<b>Total miscellaneous cost = \$55.58</b>	<b>\$56</b>
Postage (0.44 x 7 = \$3.08)	
Photocopy (0.05 x 50pp x 7 = \$17.50)	
Notary (5 x 7 = \$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 = 28 x \$25</b>	<b>\$700</b>
<b>Total miscellaneous cost</b>	<b>0</b>

## Transfers

IFQ regulations 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.

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

This application is used to apply for a transfer of QS or IFQ to or from a CQE. The receiving party of the QS/IFQ transfer 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.

A CQE may transfer QS:

- ◆ To generate revenues to provide funds to meet administrative costs for managing the community QS holdings;
- ◆ To generate revenue to improve the ability of residents within the community to participate in the halibut and sablefish IFQ fisheries;
- ◆ To generate revenue to purchase QS to yield IFQ for use by community residents;
- ◆ To dissolve the CQE; or
- ◆ As a result of a court order, operation of law, or as part of a security agreement.

For a sweep-up (i.e., to combine two blocks that you currently hold) transfer, the original QS Certificates of both the transferor and the transferee must be attached to the application.

The following determinations are required:

- ◆ Resident  
An individual applying to receive IFQ from QS held by a CQE is a resident of the eligible community in whose name the CQE is holding QS;
- ◆ Governing Body  
The governing body of the eligible community has authorized the transfer of QS.
- ◆ The CQE

Applying to receive or transfer QS has submitted a complete annual report(s);

Applying to transfer QS has provided information on the reasons for the transfer;

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.

has received notification of approval of eligibility to receive QS/IFQ for that community.

An application for transfer may be submitted to NMFS by mail or delivery. Fax submittal is not acceptable due to the Notary requirements.

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

##### Block A – Identification of Transferor

- Name and NMFS Person ID
- Name of community represented by the CQE
- Business mailing address (indicate whether permanent or temporary)
- Business telephone number, business fax number, and business e-mail address

##### Block B – Identification of Transferee

- Name and NMFS Person ID
- Name of community represented by the CQE
- Business mailing address (indicate whether permanent or temporary)
- Business telephone number, business fax number, and e-mail address

##### Block C – QS Questions for Transferee

- If QS is to be included in a sweep-up, list the identifier on the QS certificate into which this new piece should be combined
- For sweep-up, **attach** the original QS Certificates of both the transferor and the transferee

If this is a transfer of Catcher vessel CDQ compensation QS and the vessel category has never been declared, designate the catcher vessel category in which QS should be issued

##### Block D – Identification of QS/IFQ to be Transferred

Complete Block D if QS and IFQ transfer together or to transfer QS only

Quota Share to be transferred

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

Indicate 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 E – 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 F – Required Transferor Supplemental Information**

Indicate the reason(s) transfer being proposed

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

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

If a broker is used for this transaction, indicate amount paid in brokerage fees or percentage of total price

Indicate reason for transferring QS/IFQ

**Block G – Required Transferee Supplemental Information**

If QS/IFQ will have a lien attached, identify the lien holder

Primary source of financing for this transfer

How was the QS/IFQ located

Relationship to the transferor

If an agreement exists to return the QS or IFQ to the transferor or any other person or a condition placed on resale, explain

**Block H -- Certification of Transferor**

Printed name and signature of Transferor and date signed

If authorized representative, **attach** authorization

Signature, commission expiration date, and stamp of notary

**Block I -- Certification of Transferee**

Printed name and signature of Transferee and date signed.

If authorized representative, attach authorization.

Signature, commission expiration date, and stamp of notary

**Block J -- Certification of CQE Community Representative**

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

Signature, commission expiration date, and stamp of notary

<b>Application for Transfer of QS/IFQ to or from a CQE, Respondent</b>	
<b>Estimated number of respondents</b>	<b>21</b>
<b>Total annual responses</b>	<b>42</b>
Number of responses per year = 2	
<b>Total Time burden</b>	<b>84 hr</b>
Time per response = 2 hr	
<b>Total personnel cost = 84 x \$25</b>	<b>\$2,100</b>
<b>Total miscellaneous cost = \$236.88</b>	<b>\$237</b>
Postage (.44 x 42 = \$18.48)	
Photocopy (0.05 x 4 pp x 42 = \$8.40)	
Notary (\$5 x 42 = \$210)	

<b>Application for Transfer of QS/IFQ to or from a CQE, Federal Government</b>	
<b>Total annual responses</b>	<b>42</b>
<b>Total Time burden</b>	<b>21 hr</b>
Time per response = 30 min	
<b>Total personnel cost = 21 x \$25</b>	<b>\$525</b>
<b>Total miscellaneous cost</b>	<b>0</b>

**h. Approval of Transfer from governing body of the eligible community [REMOVED]**

The governing body of an eligible community, as that governing body is identified in Table 21 to

50 CFR part 679, must provide authorization for any transfer of QS by the CQE that holds QS on behalf of that eligible community prior to that transfer of QS being approved by NMFS. That authorization consists of a signature on the Application for Transfer of QS/IFQ to or from a CQE by a representative of the governing body that has been designated by that governing body to provide such authorization to approve the transfer of QS.

This item is removed as a separate requirement, because the approval of transfer from a governing body is submitted as part of the Application for Transfer of QS/IFQ to or from a CQE.

**i. Application for Transfer of QS/IFQ (includes transfer by sweep-up, see below)**

The information required by this application is necessary to ensure that QS and 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. 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 may not use the IFQ resulting from it to harvest sablefish or halibut with fixed gear until a QS transfer is approved by NMFS. Any person that wishes to transfer title to the QS on behalf of the deceased person or his/her estate, must:

- ◆ Notify NMFS and request a transfer ;
- ◆ Provide an affidavit, court order, or some other form of substantiating evidence supporting the transaction (establish the death or dissolution of the QS holder);
- ◆ Provide proof of representation to conduct such business as authorized by the Court or other appropriate authorizing body.

Catcher Vessel CDQ compensation QS. If this is a transfer of Catcher Vessel CDQ compensation QS, there is a **one-time** opportunity at the time of the first transfer to **permanently** designate the catcher vessel category of the QS being transferred. CDQ compensation QS is QS issued as compensation for halibut and sablefish harvest privileges foregone due to the CDQ Program

Persons issued CDQ compensation QS in a catcher vessel category and in an IFQ regulatory area in which they do not hold QS other than CDQ compensation QS, may use that CDQ compensation QS on any catcher vessel. This exemption from catcher vessel categories ends upon the first transfer of the CDQ compensation QS. CDQ compensation QS being transferred will be permanently assigned to a specific catcher vessel category as designated by the person receiving the transfer.

Transfer Sweep-up. A separate “Sweep-up” Form must be used by a person who wishes to combine his/her own individual holdings. The regular Application for Transfer of QS and IFQ is for use by two different parties who are transferring from one person to another.

An application for transfer may be submitted to NMFS by mail or delivery. Fax submittal is not acceptable due to the Notary requirements.

### **Application for Transfer of QS and IFQ**

#### Attachment Checklist

Use this list to ensure application is complete.

#### Block A – Identification of Transferor (Seller)

Full name as it appears on QS Certificate or TEC and NMFS Person ID  
Date of birth  
Business mailing address (indicate whether permanent or temporary)  
Business telephone number, Business fax number, and business e-mail address

#### Block B – Identification of Transferee (Buyer)

Indicate whether transferee holds a TEC  
Name and NMFS Person ID  
Date of birth  
Business mailing address (indicate whether permanent or temporary)  
Business telephone number, business fax number, and business e-mail address

#### Block C – QS Questions for Transferee

If QS is to be included in a sweep-up, list the QS Group Number on the QS Holder Summary Report into which this new piece should be combined

If this is a transfer of Catcher vessel CDQ compensation QS and the vessel category was never declared, indicate the vessel category in which you would like to have your QS issued

#### Block D – Identification of QS and IFQ to be Transferred

Complete Block D 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  
Transferor IFQ permit number  
Start and end serial numbers of QS to be transferred  
Indicate whether all remaining pounds for the current fishing year should be transferred  
**If NO**, number of pounds to be transferred

#### Block E – Transfer of IFQ only

Complete Block E 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  
Transferor IFQ permit number  
Fishing year

#### Block F – Required Transferor Supplemental Information

Price per unit of QS  
Price per pound of IFQ

Total amount paid for the QS/IFQ, including all fees  
Reasons for transferring the QS/IFQ (check all that apply)  
If a broker is used for this transaction, enter amount paid in brokerage fees or % of total price

**Block G – Required Transferee supplemental information**

Indicate whether QS/IFQ being purchased will have a lien attached; **if YES**, name of lien holder  
Primary source of financing for this transfer (check one)  
How the QS/IFQ was located (check all that apply)  
Buyer's relationship to the QS/IFQ Holder (check all that apply)  
If an agreement exists to return QS or IFQ to Transferor or any other person, or a condition placed on resale, explain

**Block H – Certification of Transferor**

Printed name and signature of Transferor and date signed  
If authorized representative, **attach** authorization  
Signature, commission expiration date, and stamp of notary

**Block I -- Certification of Transferee**

Printed name and signature of Transferee and date signed  
If authorized representative, **attach** authorization.  
Signature, commission expiration date, and stamp of notary

## **Application for Transfer of QS/IFQ by Sweep-up**

This application is for use by a person who wishes to combine (sweep-up) two blocks that are held. Blocked QS may be combined 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.

An application for transfer may be submitted to NMFS by mail or delivery. Fax submittal is not acceptable due to the Notary requirements.

## **Application for Transfer of QS/IFQ by Sweep-up**

**Block A – Applicant information**

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

**Block B – First Quota Shore Block**

Halibut or sablefish  
IFQ Regulatory area  
Vessel category  
Number of QS units to be combined  
Start and end serial numbers of QS

**Block C – Second Quota share Block**

Halibut or sablefish  
IFQ Regulatory area  
Vessel category  
Number of QS units to be combined  
Start and end serial numbers of QS

**Block F – Certification of QS Holder**

Signature and printed name of QS holder and date signed  
If authorized representative, attach authorization  
Signature, commission expiration date, and stamp of notary public

In 2009, a total of 435 halibut transfers occurred: 258 QS/IFQ transfers; 136 IFQ only transfers; and 41 sweep-up of small blocks. In 2009, a total of 168 sablefish transfers occurred: 106



QS/IFQ transfers; 50 IFQ only transfers; and 12 sweep-up of small blocks.

<b>Application for Transfer of QS and IFQ, Respondent</b>	
<b>Estimated number of respondents</b>	<b>603</b>
435 halibut transfers	
168 sablefish transfers	
<b>Total annual responses</b>	<b>603</b>
Number of responses per year = 1	
<b>Total Time burden</b>	<b>1,206 hr</b>
Time per response = 2 hr	
<b>Total personnel cost</b> = 1206 x \$25	<b>\$30,150</b>
<b>Total miscellaneous cost</b> = \$3,400.92	<b>\$3,401</b>
Postage (0.44 x 603 = \$265.32)	
Photocopy (0.05 x 4 pp x 603 = \$120.60)	
Notary (\$5 x 603 = \$3015)	

<b>Application for Transfer of QS and IFQ, Federal Government</b>	
<b>Total annual responses</b>	<b>603</b>
<b>Total Time burden</b> = \$301.50	<b>302 hr</b>
Time per response = 30 min	
<b>Total personnel cost</b> = 302 x \$25	<b>\$7,550</b>
<b>Total miscellaneous cost</b>	<b>0</b>

#### **j. Military Transfer Application**

The IFQ military transfer is for use by members of the National Guard and military reserves who are mobilized to active duty. This military transfer of annual halibut and sablefish IFQ to other eligible IFQ recipients allows guardsmen and reservists to accrue some economic benefit from their annual IFQ if unable to harvest halibut or sablefish in the event of a military mobilization affecting a QS holder.

A QS holder may apply for a military transfer by submitting an application to the Alaska Region, NMFS. A military transfer will be approved if the QS holder demonstrates that he or she is unable to participate in the IFQ fishery for which he or she holds QS because of a military mobilization or activation to duty status. A QS holder who has received an approved military transfer may transfer the IFQ derived from his or her own QS to an individual eligible to receive IFQ. Any person that received QS/IFQ as an Initial Issuee or that holds a Transfer Eligibility Certificate (TEC) is eligible to receive QS/IFQ by transfer.

To be eligible to receive a temporary military transfer, a QS holder must:

- ◆ Be a member of a branch of the U.S. National Guard or other U.S. military reserve;
- ◆ Possess one or more catcher vessel IFQ permits;
- ◆ Not qualify for a hired master exception under § 679.42(i). Persons who qualify for a hired master exception are ineligible to receive a temporary military transfer.

The original application must be submitted; an application by fax will not be processed.



**Military Transfer Application**

Block A – Qualifying Questions

Indicate if the Transferor (Military) qualifies for a hired master exception

**If YES**, the military transfer application will be denied

Indicate if the Transferee (Not Military) holds a Transfer Eligibility Certificate (TEC)

**If NO**, the transferee (buyer) must apply for a TEC

Block B – Attachments

Use this list to determine necessary attachments

Block C -- Transferor (Seller) Information

Full name as it appears on QS Certificate and/or TEC

NMFS Person ID

Birth date of applicant

Permanent Business Mailing Address: Include street or P.O. Box number, city, state, and zip code

Temporary Business Mailing Address (provide only if you want the transfer documentation sent if some-where other than to the permanent address. Include street or P.O. Box number, city, state, and zip code)

Business telephone number, business fax number (include area codes), and business E-mail address (if any)

Block D -- Transferee (Buyer) Information

Full name as it appears on QS Certificate and/or TEC

NMFS Person ID

Birth date of applicant

Permanent Business Mailing Address: Include street or P.O. Box number, city, state, and zip code

Temporary Business Mailing Address (provide only if you want the transfer documentation sent if some-where other than to the permanent address. Include street or P.O. Box number, city, state, and zip code)

Business telephone number, business fax number, and business E-mail address (if any)

Block E – Identification of IFQ to be Transferred

Indicate whether halibut or Sablefish IFQ

IFQ Regulatory Area

Number of Units

Numbered To and From (Serial Numbers are shown on the QS Certificate)

Actual Number of IFQ Pounds

Transferor IFQ Permit Number

Fishing Year

Block F -- Certification Of Transferor

Printed name and signature of transferor and date signed

If completed by a representative, **attach** authorization

Notary Public Attest, affix Notary Stamp, and provide date commission expires

The Notary Public cannot be the person(s) submitting this application.

Block G - Certification Of Transferee

Printed name and signature of transferor and date signed

If completed by a representative, **attach** authorization

Notary Public Attest, affix Notary Stamp, and provide date commission expires

The Notary Public cannot be the person(s) submitting this application.

<b>Military Transfer Application, Respondent</b>	
<b>Estimated number of respondents</b>	<b>3</b>
<b>Total annual responses</b>	<b>3</b>
Number of responses per year = 1	
<b>Total Time burden</b>	<b>6 hr</b>
Time requirement per response = 2 hr	
<b>Total personnel cost</b>	<b>\$150</b>
Cost per hour = 6 x \$25	
<b>Total miscellaneous cost = \$16.62</b>	<b>\$17</b>
Postage (0.44 x 3 = \$1.32)	
Photocopy (0.05 x 2pp x 3 = \$0.30)	
Notary (\$5 x 3 = \$15)	

<b>Military Transfer Application, Federal Government</b>	
<b>Total annual responses</b>	<b>3</b>
Number of responses per year = 1	
<b>Total Time burden (1.5)</b>	<b>2 hr</b>
Time requirement per response = 30 min	
<b>Total personnel cost</b>	<b>\$50</b>
Cost per hour = \$25	
<b>Total miscellaneous cost</b>	<b>0</b>

1

#### **k. Military Transfer Application Appeals [REMOVED]**

The IFQ Program provides an appeals process for respondents if an application is denied. This collection has several items referring to the Appeals process. With this renewal request, all Appeal items are combined into one.

#### **l. Emergency Medical Transfer Application**

QS holders not eligible to hire a Skipper and who (themselves or an immediate family member) have a medical condition preventing them from fishing their catcher vessel IFQ may lease out the IFQ. This provision is intended to allow IFQ to be fished while the QS holder has a short-term medical condition. For this reason, a written declaration from a medical professional is required, and the number of times a person may use a medical transfer for the same medical condition is limited. In evaluating use of this provision, NMFS considers all transfers of a QS holder's IFQ in the same year for the same medical condition to be one "use" of the provision.

The requirement for an individual IFQ permit holder to be aboard the vessel during fishing operations and to sign the IFQ landing report may be waived. An emergency medical transfer may be approved if the applicant demonstrates that he or she is unable to participate in the IFQ fishery for which he or she holds IFQ:

- ◆ Because of a severe medical condition that precludes participation; or
- ◆ Because of a severe medical condition involving an immediate family member that requires the IFQ holder's full time attendance.

To be eligible to receive an emergency medical transfer, an individual halibut or sablefish QS holder:

- ◆ Must possess one or more catcher vessel IFQ permits
- ◆ Must not qualify for a hired master exception.

Although small in number, a substantial percentage of persons who have used medical transfers are initial issues of QS not otherwise eligible to use a Hired Master (that is, those who held QS only in 2C or southeast or did not own a suitable vessel). In 2009, 27 initial issue transferors composed 41 percent of all medical transferors of catcher vessel IFQ. In 2008, 20 initial issue transferors held QS only in 2C (halibut), southeast (sablefish), or both of these IPHC areas. In 2009, 19 held QS only in these areas. RAM anticipates that initial issues will continue using the

limited IFQ medical lease provision to fish their catcher vessel IFQ during short-term medical needs.

Tables 1.1 through 1.3 provide numbers and types of medical leases, comparisons with other catcher vessel QS holders, transfers, transferors, and uses of medical leases. Specifically, Table 1.1 provides the number of leases and distinct transferors and transferees since the provision began. Table 1.2 provides a comparison with other catcher vessel and IFQ leases and percentages of those distinct catcher vessel QS holders using medical lease transactions. Table 1.3 shows the numbers of persons using medical leases compared with all catcher vessel QS holders. During 2009 the number of medical leases and transferors increased five times over the numbers in 2007. The number of transferees increased fourfold. In these tables, the numbers of persons are not additive across years.

Table 1.1 Medical lease transactions by year, Sep 2007–Dec 31, 2009

Year	Number of Transactions	Number of Distinct Transferors	Number of Distinct Transferees
2007	17	13	14
2008	71	54	52
2009	98	66	59
Overall	186	102	94

Table 1.2 Medical vs. other IFQ lease transactions, Sep 10, 2007–Dec 31, 2009 and percent of comparable data for all catcher vessel lease transactions

Type of Transaction	Number of Transactions	Number of Distinct Transferors	Number of Distinct Transferees
All IFQ leases	434	156	161
All CV leases	302	132	132
All CV medical leases	186	102	94
Percent of All leases	42.9%	65.4%	58.4%
Percent of All CV leases	61.6%	77.3%	71.2%

Table 1.3 Comparison of medical transferors by number of unique persons and percentages of CV QS holders, Sep 10, 2007–Dec 31, 2009

Year	Number of All Persons Holding CV QS at Year-end	Number of Persons Using Medical Leases and Percent of Persons Holding CV QS
2007	3,232	13 (0.4%)
2008	3,064	54 (1.8%)
2009	2,998	66 (2.2%)

9		
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The original application must be submitted; an application by fax will not be processed.

**Emergency Medical Transfer Application**

Block A – Qualifying Questions

Indicate if the Transferor (Medical condition) qualifies for a hired master exception

**If YES**, the medical transfer application will be denied

Indicate if the Transferee (No Medical condition) holds a TEC

**If NO**, the transferee (buyer) must apply for a TEC

Block B – Attachments

Use this list to determine necessary attachments

Block C -- Transferor Information (Medical Condition)

Name of Transferor

NMFS Person ID

Birth date of applicant

Permanent Business Mailing Address: Include street or P.O. Box number, city, state, and zip code

Temporary Business Mailing Address (provide only if you want the transfer documentation sent if some-where other than to the permanent address. Include street or P.O. Box number, city, state, and zip code)

Business telephone number, business fax number (include area codes), and business E-mail address (if any)

Block D -- Transferee Information (No medical Condition)

Name of Transferee

NMFS Person ID

Birth date of applicant

Permanent Business Mailing Address: Include street or P.O. Box number, city, state, and zip code

Temporary Business Mailing Address (provide only if you want the transfer documentation sent if some-where other than to the permanent address. Include street or P.O. Box number, city, state, and zip code)

Business telephone number, business fax number, and business E-mail address (if any)

Block E – Identification of IFQ to be Transferred

Indicate whether halibut or Sablefish IFQ

IFQ Regulatory Area

Number of Units

Numbered To and From (Serial Numbers are shown on the QS Certificate)

Actual Number of IFQ Pounds

Transferor IFQ Permit Number

Fishing Year

Block F – Transferor Supplemental Information

Price per pound, including fees

Total amount paid for the IFQ, including fees

Block G – Transferee Supplemental Information

Primary source of financing for this transfer

Indicate how IFQ was located

Transferee's relationship to the IFQ Holder

Block H – Medical Declaration

Name of Treating Medical Professional

Business Telephone Number

Permanent Business Mailing Address

Type of Medical Professional

Description of the medical condition affecting the applicant or applicant's family member

**(attach** documentation of the medical condition and a description of the care required)

Signature of Treating Medical Professional and date signed

Block I – Certification Of Transferor

Printed name and signature of transferor and date signed

If completed by a representative, **attach** authorization

Notary Public Attest, affix Notary Stamp, and provide date commission expires

The Notary Public cannot be the person(s) submitting this application.

Block J - Certification Of Transferee

Printed name and signature of transferor and date signed  
 If completed by a representative, **attach** authorization  
 Notary Public Attest, affix Notary Stamp, and provide date commission expires  
 The Notary Public cannot be the person(s) submitting this application.

The number of persons using medical leases has continually increased since 2007 when the program was initiated (see tables above). It is expected that this increasing trend will continue. Based on 66 medical transfers occurring in 2009, it is estimated that 70 medical transfers will occur in the future.

<b>Emergency Medical Transfer Application, Respondent</b>	
<b>Estimated number of respondents</b>	<b>70</b>
<b>Total annual responses</b>	<b>70</b>
Number of responses per year = 1	
<b>Total Time burden</b>	<b>140 hr</b>
Time requirement per response = 2 hr	
<b>Total personnel cost</b>	<b>\$3,500</b>
Cost per hour = 140 x \$25	
<b>Total miscellaneous cost = \$387.80</b>	<b>\$388</b>
Postage (0.44 x 70 = \$30.80)	
Photocopy (0.05 x 2pp x 70 = \$7)	
Notary (\$5 x 70 = \$350)	

<b>Emergency Medical Transfer Application, Federal Government</b>	
<b>Total annual responses</b>	<b>70</b>
Number of responses per year = 1	
<b>Total Time burden</b>	<b>35 hr</b>
Time requirement per response = 30 min	
<b>Total personnel cost</b>	<b>\$875</b>
Cost per hour = 35 x \$25	
<b>Total miscellaneous cost</b>	<b>0</b>

**m. Emergency Medical Transfer Application Appeals [REMOVED]**

The IFQ Program provides an appeals process for respondents if an application is denied. This collection has several items referring to the Appeals process. With this renewal request, all Appeal items are combined into one.

**n. Appeals**

The appeals office in the Alaska Regional Office is part of the National Appeals Office (NAO), a division within NMFS Office of Management and Budget. NAO operates out of NOAA's headquarters in Silver Spring, MD and maintains an office in NMFS's Alaska Regional office. NAO is the successor to the Office of Administrative Appeals, Alaska Region, and is charged with processing appeals that were filed with the Office of Administrative Appeals, Alaska Region. The Alaska Region Administrative Appeals website is provided at <http://www.fakr.noaa.gov/appeals/default.htm>

The appeals process provides the necessary due process for aggrieved applicants when applying for any of the permits in the IFQ Program. 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. After an appeal is filed, the appeal status can have one of the following outcomes:

- ◆ affirmed RAM's denial
- ◆ vacated RAM's denial
- ◆ case dismissed
- ◆ no decision published by NAO (71.5%)

The IFQ program started in 1994 with fishing in 1995; NMFS has not seen a new appeal since 2006.

1

<b>Letter of Appeal, Respondent</b>	
<b>Estimated number of respondents</b>	<b>1</b>
<b>Total annual responses</b>	<b>1</b>
Number of responses per year = 1	
<b>Total Time burden</b>	<b>4 hr</b>
Time per response = 4 hr	
<b>Total personnel cost = 4 x \$25</b>	<b>\$100</b>
<b>Total miscellaneous cost = \$0.69</b>	<b>\$1</b>
Postage (0.44 x 1 = \$0.44)	
Photocopy (0.05 x 5pp x 1 = \$0.25)	

<b>Letter of Appeal, Federal Government</b>	
<b>Total annual responses</b>	<b>1</b>
<b>Total Time burden</b>	<b>4 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>

**o. Application for replacement of certificates, permits, or licenses**

This form is used to request a replacement for a certificate, permit, or license that was previously issued by NMFS and that subsequently was lost, destroyed, or stolen.

An application for replacement may be submitted to NMFS by mail, delivery, or fax.

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

Block A – Identification of Applicant

- Name and NMFS Person ID
- Date of birth, if an individual; Date of incorporation, if a corporation, association, partnership, or other non-individual entity
- Business mailing address (indicate whether temporary or permanent)
- Business telephone number, business fax number, and business e-mail address

Block B – Replacement Request

Indicate certificate, permit, or license to be replaced (check only items that apply)

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 authorized representative, **attach** authorization

<b>Application for Replacement of Certificates, Permits, or Licenses, Respondent</b>	
<b>Estimated number of respondents</b>	<b>350</b>
<b>Total annual responses</b>	<b>350</b>



Number of responses per year = 1	
<b>Total Time burden</b>	<b>175 hr</b>
Time per response = 30 min	
<b>Total personnel cost</b> = 175 x \$25	<b>\$4,375</b>
<b>Total miscellaneous cost</b> = \$189.00	<b>\$189</b>
Postage (0.44 x 350 = \$154)	
Photocopy (0.05 x 2pp x 350 = \$35)	

<b>Application for Replacement of Certificates, Permits, or Licenses, Federal Government</b>	
<b>Total annual responses</b>	<b>350</b>
<b>Total Time burden</b>	<b>175 hr</b>
Time per response = 30 min	
<b>Total personnel cost</b> = 175 x \$25	<b>\$4,375</b>
<b>Total miscellaneous cost</b>	<b>0</b>

### k. Registered Buyer landings report [formerly Electronic Landing Report]

A Registered Buyer permit is required for any person who receives 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, issued annually, on request, and at no cost. Many Registered Buyers hold more than one permit.

Registered Buyers must report IFQ halibut/sablefish landings and CDQ halibut landings to NMFS electronically using eLandings or the Internet (with permission, a backup paper submission system is available). Real-time accounting of individual harvests contributes significantly to accurate and timely management of each permit holder's IFQ accounts and supports inseason transfers.

Landings may be reported using either eLandings or online, using the NMFS IFQ/CDQ web application. To make landing reports online, using the NMFS IFQ/CDQ web application, a Registered Buyer must have a NMFS ID and password issued by RAM. NMFS intends to phase out the landings feature of this web application and replace it with the eLandings web application.

The following table displays the number and types of Registered Buyer permits issued by RAM for 2009 and the number of Registered Buyers that reported landings. Twenty-two percent of permit holders were active in 2009, compared with 34 percent in 2004 and 32 percent in 1999.

Type and number of Registered Buyer permits and permit holders with landings, 2009

Type of Registered Buyer	Permits Issued	Permits with landings	Percent permits with landings	Number Distinct Permit-holders	Number Distinct Permit-holders with Landings	Percent of RB Permit-holders with Landings
Buyer-Broker	108	25	23	103	24	23
Catcher-Seller	241	39	16	239	39	16
Retail	47	15	32	45	14	31
Mothership	7	1	14	7	1	14
Tender	15	2	13	14	1	7
Catcher/	100	22	22	94	17	18

Processor						
Restaurant	17	3	18	17	3	18
Shoreplant	130	52	40	87	41	47
Other	39	10	26	39	10	26
Total (not additive)	536	123	23%	476	107	22%

The Registered Buyer and the IFQ permit holder, IFQ hired master permit holder, or CDQ hired master permit holder must sign the groundfish IFQ landing receipt within six hours after all IFQ halibut, CDQ halibut, and IFQ sablefish are offloaded from a harvesting vessel and prior to shipment or transfer of the fish from the landing site.

The Registered Buyer must submit a completed IFQ landing report within six hours after all IFQ halibut, CDQ halibut, and IFQ sablefish are offloaded from a specific vessel and prior to shipment or transfer of said fish from the landing site.

This report may be submitted electronically via the Web or the Interagency Electronic Reporting System (IERS) (described in OMB Control No. 0648-0515).

**Registered Buyer landing report**

- UserID and password of person assigned for that system
- Landing date (mm/dd/yyyy)
- Location (port code) of the landing
- Permit number of the IFQ permit holder, and any IFQ hired master permit holder, or CDQ hired master permit holder harvesting the fish and permit number of Registered Buyer receiving the IFQ halibut, IFQ sablefish, or CDQ halibut.
- Delivery information as reported by the IFQ permit holder, IFQ hired master permit holder, or CDQ hired master permit holder
- Harvesting vessel's ADF&G vessel registration number
- Gear code of gear used to harvest IFQ halibut, IFQ sablefish, or CDQ halibut
- ADF&G fish ticket number(s) for the landing (after the initial eLandings report is submitted, eLandings assigns an ADF&G fish ticket number to the landing report)
- ADF&G statistical area of harvest
- If ADF&G statistical area is bisected by a line dividing two IFQ regulatory areas, provide the IFQ regulatory area of harvest
- Initial accurate scale weight(s) (to the nearest pound) made at the time of offloading for IFQ halibut, IFQ sablefish, or CDQ halibut. Includes sold and retained (where retained includes fish intended for personal use, fish weighed and reloaded for delivery to another processor, and fish landed but rejected at the dock by the Registered Buyer).
- Species codes, delivery condition code, and disposition code for each ADF&G statistical area of harvest
- NOTE: Accurate weight of IFQ sablefish processed product obtained before the offload may be substituted for the initial accurate scale weight at time of offload, if the vessel operator is a Registered Buyer reporting an IFQ sablefish landing
- Indicate whether initial accurate scale weight is given with or without ice and slime.
  - Fish which have been washed prior to weighing or which have been offloaded from refrigerated salt water are not eligible for a 2% deduction for ice and slime and must be reported as fish weights without ice and slime. The 2% deduction is made by NMFS, not the submitter
- Indicate whether IFQ halibut is incidental catch concurrent with legal landing of salmon or concurrent with legal landing of lingcod harvested using dinglebar gear
- Signatures for IFQ halibut, CDQ halibut, or IFQ sablefish deliveries

**Manual landing report**

If the Registered Buyer is unable to submit commercial fishery landings of IFQ crab, IFQ halibut, CDQ halibut, or IFQ sablefish due to hardware, software, or Internet failure for a period longer than the required reporting time, or a change must be made to information already submitted, the Registered Buyer must complete an IFQ manual landing report. Manual landing instructions must be obtained from OLE, Juneau, AK, at 800-304-4846 (Select Option 1).

The Registered Buyer must fax the IFQ manual landing report to 907-586-7313.

The Registered Buyer must retain paper copies of IFQ manual landing reports and make them available upon request of NMFS observers and authorized officers.

The Registered Buyer must complete all questions on the manual report, even if only one item has changed. The following additional information is required: whether the report is original or revised, name, telephone number, and fax number of individual submitting the manual landing report.

**Manual landing report**

- 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
- 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
- NOAA Enforcement signature

Since the 2008 fishing season, NMFS Web and manual reporting have each slightly decreased, and reporting through eLandings has increased one percent. In 2008, reporting through eLandings jumped to 96 percent from 61 percent due to NMFS outreach through several statewide workshops. It is of note in 2009 that more users reported manually than with the NMFS Web. Although reporting methods have changed significantly in just a few years, some users will continue to depend on both manual and NMFS Web reporting. During 2009, Registered Buyers reported 7,338 vessel landings: 7,082 through IERS, 106 by the NMFS Web, and 150 manually.

<b>Registered Buyer Landing Report, Respondent</b>	
Estimated number of Registered Buyers	<b>476</b>
<b>Total annual responses</b>	<b>7,338</b>
IERS = 7082	
NMFS Web = 106	
Manual = 150	
<b>Total Time burden = 2201.4</b>	<b>2,201 hr</b>
Time per response = 18 min	
<b>Total personnel cost = 2201 x \$25</b>	<b>\$55,025</b>
<b>Total miscellaneous cost = \$1266.90</b>	<b>\$1,267</b>

IERS & Web (0.05 x 7188 = \$359.40)	
Fax (\$6 x 150 = \$900)	
Photocopy fax (0.05 x 150 = \$7.50)	

<b>Registered Buyer Landing Report, Federal Government</b>	
<b>Total annual responses</b>	<b>7,338</b>
<b>Total Time burden</b> = 6 x 150/60	<b>15 hr</b>
Time for each manual report = 6 min	
<b>Total personnel cost</b> = 15 x \$25	<b>\$375</b>
<b>Total miscellaneous cost</b>	<b>0</b>

## I. IFQ Administrative Waiver

A waiver is completed by NOAA Fisheries 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

OLE receives a request for an administrative waiver by telephone at a NMFS-provided toll-free number (or, in rare cases, by marine radio) from participants in IFQ fisheries. No form exists for this waiver (the form included in this submission is a worksheet for the respondent).

### 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.

<b>IFQ Administrative Waiver, Respondent</b>	
<b>Estimated number of respondents</b>	<b>800</b>
<b>Total annual responses</b>	<b>800</b>
Number of responses per year	
<b>Total Time burden</b>	<b>80 hr</b>
Time per response = 6 min	
<b>Total personnel cost</b> = 80 x \$25	<b>\$2,000</b>
<b>Total miscellaneous cost</b>	<b>0</b>

<b>IFQ Administrative Waiver, Federal Government</b>	
<b>Total annual responses</b>	<b>800</b>

<b>Total Time burden</b>	
Time per response = 6 min	<b>80 hr</b>
<b>Total personnel cost</b> = 80 x \$25	<b>\$2,000</b>
<b>Total miscellaneous cost</b>	<b>0</b>

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

The operator of any vessel making an IFQ landing must submit a PNOL to OLE, Juneau, AK, no fewer than 3 hours before landing IFQ halibut, CDQ halibut, or IFQ sablefish, unless permission to commence an IFQ landing within 3 hours of notification is granted by a clearing officer. The PNOL alerts the IPHC monitoring personnel and NOAA Fisheries Office for Law Enforcement (OLE) personnel to legal landings. In addition, the submittal of a PNOL

- ◆ 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.

Data on gear type are necessary to ensure compliance with the PNOL requirement, because some reporting exemptions are gear-based.

- ◆ Halibut. An IFQ landing of halibut of 500 lb or less of IFQ weight and concurrent with a legal landing of salmon harvested using hand troll gear or power troll gear is exempt from the PNOL;
- ◆ Lingcod. An IFQ landing of halibut of 500 lb or less of IFQ weight and concurrent with a legal landing of lingcod harvested using dinglebar gear is exempt from the PNOL.

IPHC uses gear type data to assist with harvest monitoring. NMFS and the Council use gear information to project bycatch rates for non-IFQ fish in the IFQ fishery and support analyses for seasonal apportionments and other allocation proposals.

The operator of any vessel wishing to make an IFQ landing before the date and time (A.l.t.) reported in the PNOL or later than 2 hours after the date and time (A.l.t.) reported in the PNOL must submit a new PNOL. No form exists for this item.

**Prior notice of landing (PNOL)**

Toll-free telephone call to OLE

Vessel name and ADF&G vessel registration number

Landing information

Port of landing and port code (Tables 14a and 14b to CFR part 679)

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

Species and estimated weight (lb) of IFQ halibut, CDQ halibut or IFQ sablefish to be landed

IFQ regulatory area(s) in which IFQ halibut, CDQ halibut, or IFQ sablefish were harvested

IFQ permit number(s) used to land the IFQ halibut, CDQ halibut, or IFQ sablefish

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

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 2,977 active IFQ fishermen.

<b>Prior notice of landing, Respondent</b>	
<b>Estimated number of respondents</b>	<b>2,977</b>
<b>Total annual responses</b>	<b>11,908</b>
Number of responses per year = 4	
<b>Total Time burden = 2381.60</b>	<b>2,382 hr</b>
Time per response = 12 min	
<b>Total personnel cost = 2382 x \$25</b>	<b>\$59,550</b>
<b>Total miscellaneous cost</b>	<b>0</b>
<b>Prior notice of landing, Federal Government</b>	
<b>Total annual responses</b>	<b>11,908</b>
<b>Total Time burden = 2381.60</b>	<b>2,382 hr</b>
Time per response = 12 min	
<b>Total personnel cost = 2382 x \$25</b>	<b>\$59,550</b>
<b>Total miscellaneous cost</b>	<b>0</b>

**q. IFQ Departure Report**

The IFQ Departure Report is 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.

A vessel operator submitting an IFQ Departure Report

- ◆ for CR crab must have a Registered Crab Receiver permit;
- ◆ for IFQ halibut, CDQ halibut, or IFQ sablefish must have a Registered Buyer permit and must submit IFQ landing reports for all IFQ halibut, CDQ halibut, and IFQ sablefish on board at the same time and place as the first landing of any IFQ halibut, CDQ halibut, or IFQ sablefish.

A vessel operator who intends to make an IFQ landing at a location different from the location named on the IFQ Departure report must submit a revised report naming the new location at least 12 hours in advance of the offload. Revisions must be submitted by telephone, to OLE, Juneau, AK (800-304-4846 or 907-586-7163) between the hours of 0600 hours, Alaska local time (A.l.t.), and 2400 hours, A.l.t.

**IFQ Departure report**

- Intended date, time (Alaska local time), and location of landing
- Vessel name and ADF&G vessel registration number
- Halibut IFQ, halibut CDQ, sablefish IFQ, and CR crab permit numbers of IFQ and CDQ permit holders on board
- Vessel operator's name
- Registered Buyer permit or Registered Crab Receiver permit number
- Area of harvest.
  - If IFQ or CDQ halibut, provide halibut regulatory areas (Figure 15 to 50 CFR part 679)
  - If IFQ sablefish, provide sablefish regulatory areas (Figure 14 to 50 CFR part 679)
  - If CR crab, provide CR fishery code (Table 1 to part 680)
  - Estimated total weight as appropriate of IFQ halibut, CDQ halibut, IFQ sablefish, or CR crab on board (lb/kg/mt).

<b>IFQ Departure Report, Respondent</b>	
<b>Estimated number of respondents</b>	<b>75</b>
<b>Total annual responses</b>	<b>75</b>
Number of responses = 1	
<b>Total Time burden = 18.75</b>	<b>19 hr</b>
Time per response = 15 min	
<b>Total personnel cost = 19 x \$25</b>	<b>\$475</b>
<b>Total miscellaneous cost</b>	<b>0</b>

<b>IFQ Departure Report, Federal Government</b>	
<b>Total annual responses</b>	<b>75</b>
<b>Total Time burden = 18.75</b>	<b>19 hr</b>
Time per response = 15 min	
<b>Total personnel cost = 19 x \$25</b>	<b>\$475</b>
<b>Total miscellaneous cost</b>	<b>0</b>

#### **r. Transshipment Authorization**

No person may transship processed IFQ halibut, CDQ halibut, IFQ sablefish, or CR crab between vessels without authorization by a local clearing officer. Authorization from a local clearing officer must be obtained for each instance of transshipment at least 24 hours before the transshipment is intended to commence.

The authorization is requested from OLE by telephone at 800-304-4846. The request must be made at least 24 hours before the transshipment is intended to commence.

To obtain a Transshipment Authorization, the vessel operator must provide the following information to the clearing officer.

#### **Transshipment authorization**

- Time and date of transshipment
- Location of transshipment
- Name and ADF&G vessel registration number of vessel offloading transshipment
- Name of vessel receiving the transshipment
- Product destination
- Species code and product type code
- Total product weight
- Time (A.l.t.) and date of request
- Name, telephone number, fax number for person making the request

<b>Transshipment Authorization, Respondent</b>	
<b>Estimated number of respondents</b>	<b>20</b>
<b>Total annual responses</b>	<b>20</b>
Number of responses per year = 1	
<b>Total Time burden</b>	<b>4 hr</b>
Time per response = 12 min	
<b>Total personnel cost = 4 x \$25</b>	<b>\$100</b>
<b>Total miscellaneous cost</b>	<b>0</b>

<b>Transshipment Authorization, Federal Government</b>	
<b>Total annual responses</b>	<b>20</b>
<b>Total Time burden</b>	<b>4 hr</b>

Time per response = 12 min	
<b>Total personnel cost</b> = 4 x \$25	<b>\$100</b>
<b>Total miscellaneous cost</b>	<b>0</b>

**s. Dockside sales receipt**

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.

A person holding a valid IFQ permit, or IFQ hired master permit, and a Registered Buyer permit may conduct a dockside sale of IFQ halibut or IFQ sablefish with a person who has not been issued a Registered Buyer permit after all IFQ halibut and IFQ sablefish have been landed and reported.

A person holding a valid halibut CDQ hired master permit and Registered Buyer permit may conduct a dockside sale of CDQ halibut with a person who has not been issued a Registered Buyer permit after all CDQ halibut have been landed and reported.

A Registered Buyer conducting dockside sales must issue a receipt to each individual receiving IFQ halibut, CDQ halibut, or IFQ sablefish in lieu of a product transfer report (see OMB Control No. 0648-0213).

**Dockside sales receipt**

Date of sale

Registered buyer permit number

Weight by product of the IFQ halibut, CDQ halibut, or sablefish IFQ transferred

<b>Dockside Sales Receipt, Respondent</b>	
<b>Estimated number of respondents</b>	<b>250</b>
<b>Total annual responses</b>	<b>1,250</b>
Number of responses per year = 5	
<b>Total Time burden</b>	<b>125 hr</b>
Time per response = 6 min	
<b>Total personnel cost</b> = 125 x \$25	<b>\$3,125</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 Reports [REMOVED]**

CQE annual reports are required to be submitted to NMFS and the governing body of the community that the CQE represents. These annual reports serve as a means of tracking the progress of the CQEs that have received LLP licenses and to assess whether the issuance of LLP licenses is meeting the overall goal of providing its residents access to the Pacific cod resource. The Council requested that the CQE provide information in its annual reports describing the use of LLP licenses during a calendar year.

This requirement is moved to OMB Control No. 0648-0334, Alaska License Limitation Program



for Groundfish, Crab, and Scallops, due to the Gulf of Alaska Fishery Management Plan Amendment 66, where it will be used for tracking activity related to licenses issued to CQEs.

1 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 Question 10 of this Supporting Statement for more information on confidentiality and privacy. The information collection is designed to yield data that meet all applicable information quality guidelines. Prior to dissemination, the information will be subjected to quality control measures and a pre-dissemination review pursuant to [Section 515 of Public Law 106-554](#).

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

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 via the telephone. These forms and applications may be completed on the computer screen by the participant, downloaded, printed, and faxed or mailed 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.**

NMFS has defined all IFQ halibut vessels as small businesses, for the purpose of this analysis. 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.**

NA.

**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 April 29, 2011 (76 FR 23993), 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 402(b)) 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-19, Permits and Registrations for United States Federally Regulated Fisheries, was published in the Federal Register on April 17, 2008 (73 FR 20914).

**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: 1,686 (470 entities eligible to receive QS or IFQ by transfer, 750 hired masters, 445 registered buyers, and 21 CQEs), down from 2,470. Estimated total responses: 24,798, down from 49,547. Estimated total burden hours: 9,946 hr, down from 20,263. Estimated total personnel costs: \$423,650, down from \$704,700. 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 Question 12 above).**

Estimated total miscellaneous costs: \$13,486 down from \$38,446, for recordkeeping and recording costs.

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

Estimated total responses: 23,548, down from 48,370. Estimated total burden hours: 4,316 hr, down from 8,169 hours. Estimated total personnel costs: \$108,100, down from \$204,875. 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.**

**Program changes:** removal of duplicative forms/information collections and changes to notarization requirements

IFQ/CDQ hired master permit application

a decrease of \$2,564 miscellaneous costs, \$1,239 instead of \$3,803, due to removal of notarization requirement

Application of Transfer from Governing Body [REMOVED]

- a decrease of 20 respondents, 0 instead of 20
- a decrease of 40 responses, 0 instead of 40
- a decrease of 20 hr burden, 0 instead of 20 hr
- a decrease of \$500 personnel costs, \$0 instead of \$500
- a decrease of \$20 miscellaneous costs, \$0 instead of \$20

Appeals for Military Transfer [REMOVED]

- a decrease of 1 respondents and responses, 0 instead of 1
- a decrease of 4 hr burden, 0 instead of 4 hr
- a decrease of \$100 personnel costs, \$0 instead of \$100
- a decrease of \$1 miscellaneous costs, \$0 instead of \$1

Appeals for Emergency Medical Transfer [REMOVED]

- a decrease of 1 respondents and responses, 0 instead of 1
- a decrease of 4 hr burden, 0 instead of 4 hr
- a decrease of \$100 personnel costs, \$0 instead of \$100
- a decrease of \$1 miscellaneous costs, \$0 instead of \$1

QS/IFQ Designated Beneficiary Form

an increase of \$2,465 miscellaneous costs, \$2,770 instead of \$305, due to notarization now being required

Application for replacement of certificates, permits, or licenses

a decrease of \$2,842 miscellaneous costs, \$189 instead of \$3,031, due to removal of notarization requirement

CQE Annual Report [REMOVED; see OMB Control No. 0648-0334]

- a decrease of 20 respondents and responses, 0 instead of 20
- a decrease of 800 hr burden, 0 instead of 800 hr
- a decrease of \$40,000 personnel costs\*, \$0 instead of \$40,000
- a decrease of \$120 miscellaneous costs, \$0 instead of \$120

**Total net changes (decreases) due to program changes: 62 responses, 828 hours, \$40,700 in personnel costs and \$3,083 in miscellaneous costs.**

\*For annual report, personnel costs were \$50 per hour

**Adjustments** are necessary as follows due to differences in numbers of respondents, in miscellaneous costs, and response times:

IFQ/CDQ Hired Master Permit Application

an increase of 125 hours, 375 instead of 250 (responses are the same; response time estimate changed)

Application for Eligibility to receive QS/IFQ (TEC)

- a decrease of 730 respondents and responses, 470 instead of 1,200
- a decrease of 1,460 hr burden, 940 instead of 2,400 hr
- a decrease of \$36,500 personnel costs, \$23,500 instead of \$60,000
- a decrease of \$3,985 miscellaneous costs, \$2,627 instead of \$6,612

QS holder form: Identification of Ownership Interest

- a decrease of 9 respondents and responses, 166 instead of 175
- a decrease of 18 hr burden, 332 instead of 350 hr
- a decrease of \$450 personnel costs, \$8,300 instead of \$8,750
- a decrease of \$44 miscellaneous costs, \$920 instead of \$964

Registered buyer permit application

- a decrease of 55 respondents and responses, 445 instead of 500
- a decrease of 27 hr burden, 223 instead of 250 hr
- a decrease of \$675 personnel costs, \$5,575 instead of \$6,250
- an increase of \$119 miscellaneous costs, \$374 instead of \$255

Application to become a CQE

- an increase of 14 respondents, 21 instead of 7 (correction)
- an increase of \$12 miscellaneous costs, \$56 instead of \$44

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

- an increase of 1 respondent, 21 instead of 20
- an increase of 2 responses, 42 instead of 40
- an increase of 4 hr burden, 84 instead of 80 hr
- an increase of \$100 personnel costs, \$2,100 instead of \$2,000
- an increase of \$13 miscellaneous costs, \$237 instead of \$224

#### Application for Transfer of QS/IFQ

a decrease of 407 respondents and responses, 603 instead of 1,010  
a decrease of 814 hr burden, 1,206 instead of 2,020 hr  
a decrease of \$20,350 personnel costs, \$30,150 instead of \$50,500  
a decrease of \$2,467 miscellaneous costs, \$3,401 instead of \$5,868

#### Application for Emergency Medical Transfer

an increase of 65 respondents and responses, 70 instead of 5  
an increase of 130 hr burden, 140 instead of 10 hr  
an increase of \$3,250 personnel costs, \$3,500 instead of \$250  
an increase of \$358 miscellaneous costs, \$388 instead of \$30

#### Letter of Appeal

a decrease of 1 respondents and responses, 1 instead of 2  
a decrease of 4 hr burden, 4 instead of 8 hr  
a decrease of \$100 personnel costs, \$100 instead of \$200

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

a decrease of 200 respondents and responses, 350 instead of 550  
a decrease of 100 hr burden, 175 instead of 275 hr  
a decrease of \$2,500 personnel costs, \$4,375 instead of \$6,875

#### Registered Buyer Landing Report

a decrease of 1,774 respondents, 476 instead of 2,250  
a decrease of 26,412 responses, 7,338 instead of 33,750  
a decrease of 7,924 hr burden, 2,201 instead of 10,125 hr  
a decrease of \$198,100 personnel costs, \$55,025 instead of \$253,125  
a decrease of \$15,883 miscellaneous costs, \$1,267 instead of \$17,150

#### IFQ Administrative Waiver

an increase of 55 respondents and responses, 800 instead of 745  
an increase of 5 hr burden, 80 instead of 75 hr  
an increase of \$125 personnel costs, \$2,000 instead of \$1,875

#### IFQ Prior Notice of Landing (PNOL)

an increase of 727 respondents, 2,977 instead of 2,250  
an increase of 2,908 responses, 11,908 instead of 9,000  
an increase of 582 hr burden, 2,382 hr instead of 1,800  
an increase of \$14,550 personnel costs, \$59,550 instead of \$45,000

#### Departure Report

an increase of 12 respondents and responses, 75 instead of 63  
an increase of 3 hr burden, 19 instead of 16 hr  
an increase of \$75 personnel costs, \$475 instead of \$400

Transshipment Authorization

an increase of 10 respondents and responses, 20 instead of 10  
an increase of 2 hr burden, 4 hr instead of 2 hr  
an increase of \$50 personnel costs, \$100 instead of \$50

Dockside Sales Receipt

an increase of 15 respondents, 250 instead of 235  
an increase of 75 responses, 1,250 instead of 1,175  
an increase of 7 hr burden, 125 hr instead of 118 hr  
an increase of \$175 personnel costs, \$3,125 instead of \$2,950

**Total net changes due to adjustments (decreases): 24,687 responses, 9,489 hours, of \$240,350 in personnel costs and 21,877 in miscellaneous costs.**

**Total net changes in the entire collection: 784 fewer unduplicated respondents, 24,749 fewer responses, 10,317 fewer hours, \$281,050 less in personnel costs and \$24,960 less in miscellaneous costs.**

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

The information collected will not be published.

**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.**

The OMB Control Number and the expiration date are not found on the Administrative Waiver, PNOL, Departure Report, Transshipment Authorization, and Dockside Sales Receipt, which are submitted by telephone.

**18. Explain each exception to the certification statement.**

Not applicable.

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

This collection does not employ statistical methods.