

**SUPPORTING STATEMENT  
APPLICATION FOR COMMERCIAL FISHERIES AUTHORIZATION UNDER  
SECTION 118 OF THE MARINE MAMMAL PROTECTION ACT  
OMB CONTROL NO. 0648-0293**

**A. JUSTIFICATION**

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

This request is for extension of a current information collection.

The [Marine Mammal Protection Act](#) (16 U.S.C. 1361 et seq.; MMPA) mandates the protection and conservation of marine mammals. The taking of marine mammals, except under limited exceptions, is a violation of the MMPA. MMPA section 118 provides an exception to this prohibition for taking of marine mammals incidental to commercial fishing operations and this exception is subject to requirements listed in section 118. The owner of any fishing vessel engaged in a fishery identified by the National Marine Fisheries Service (NMFS) as having either frequent (Category I) or occasional (Category II) taking of a marine mammal must register with the Secretary of Commerce (as described in the MMPA) in order to obtain an authorization for taking marine mammals and to be legally operating in that fishery. Fishermen operating in fisheries identified by NMFS as having only a remote chance (Category III) to take marine mammals need not apply.

**2. Explain how, by whom, how frequently, and for what purpose the information will be used. If the information collected will be disseminated to the public or used to support information that will be disseminated to the public, then explain how the collection complies with applicable NOAA Information Quality Guidelines.**

The information to obtain an authorization is supplied by the vessel owner operating in a Category I and II fishery as mandated by section 118 (c)(2)(A) of the MMPA. The MMPA states: “An authorization shall be granted by the Secretary in accordance with this section for a vessel engaged in a commercial fishery listed under paragraph (1)(A)(i) or (ii) upon receipt by the Secretary of a completed registration form providing the name of the vessel owner and operator, the name and description of the vessel, the fisheries in which it will be engaged, the approximate time, duration, and location of such fishery operations, and the general type and nature of use of the fishing gear and techniques used.”

A valid certificate of authorization protects the vessel owner from prosecution under the MMPA for violation of the moratorium on taking marine mammals. The information needed to register or update a commercial fishery authorization is found at 50 C.F.R 229.4 and includes the following:

- a. Name, address, and telephone number of the owner(s) of a vessel or non-vessel gear and name and address of the operator if other than the owner;
- b. Name and length of the vessel, home port, United States Coast Guard (USCG)

- documentation number or State registration number, State commercial license number of the fishing vessel which will operate under the authorization, and for a non-vessel fishery, a description of the gear and state commercial license number;
- c. A list of the fishery(s) in which the fisher will be engaged;
  - d. Social security number and date of birth of the owner(s) of a vessel or non-vessel gear; and
  - e. Corporation name, tax identification number and date of incorporation.

Modifications to (a), (b), and (c) above must be submitted within 10 days of any change. Social security number or tax identification number is not mandatory. To facilitate the application process, NMFS has integrated the authorization application and renewal with Federal and State commercial fishing license application and renewal.

Most of the information requested above is required by statute. NMFS determined that the home port and the length of the vessel were necessary information. This information is vital for the mandatory observer program for Category I and II fisheries. Information concerning the time, duration, and location of fishery operations, and the type and nature of gear is mandated by the MMPA. The MMPA requires NMFS to establish an observer program for Category I and II fisheries; therefore the home port and the size of the vessel is required because NMFS will need to know the location for boarding the vessel, and whether the vessel is large enough to take an observer. While this additional information is required only for participants in Category I and II fisheries, the categories are subject to change.

Certain information available elsewhere may be used to assist and /or verify the information collection request for registrations. For example, copies of existing State fishing licenses, federal fishing license applications, or foreign fishing permit applications may be used for this information request. Not all vessel owners have interaction with marine mammals. Therefore, short of registering all United States (U.S.) vessel owners through State licenses and requiring all U.S. vessel owners to send in annual reports, the authorization program is the best alternative for keeping the burden to a minimum.

NMFS will retain control over the information and safeguard it from improper access, modification, and destruction, consistent with NOAA standards for confidentiality, privacy, and electronic information. See response to Question 10 of this Supporting Statement for 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.**

Vessel owners can get a copy of the fillable authorization form by contacting NMFS regional offices. Fishermen need only to e-mail, mail, or fax in the authorization form. Authorization

forms must be returned to NMFS accompanied by the required registration fee, unless authorization is integrated with the license/permit renewal process.

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

Vessel owners in Category I or II fisheries are statutorily required to submit the information in the authorization form to lawfully take marine mammals' incidental to fishing operations. The authorization is granted on an annual basis. Registration is now completely integrated, taking place over the last several years, with all existing federal and state commercial fishing license/permit registration, and a separate MMAP registration is only required for non-permitted fisheries. This integrated process has reduced the burden for vessel owners by automatically registering them through the existing federal or state commercial fishing permit process.

Although NMFS has joint authority with the U.S. Fish and Wildlife Service (USFWS), Department of Interior, to manage marine mammals, the U.S. Department of Interior has not been authorized by statute to promulgate regulations on this matter. Therefore, USFWS has not established its own registration and reporting system. NMFS continues to consult with the USFWS on this matter and a USFWS staff person has attended task force meetings with NMFS, but NMFS remains responsible for the information collection process, distributing authorizations, and maintaining the marine mammal reporting system.

Registration for a marine mammal authorization is coordinated with existing state or Federal fishery or vessel permit or licensing programs. Vessel owners will be notified of this simplified registration process when they apply for their state or Federal permit or license.

For vessels in currently non-permitted fisheries, when applications are received by the regional Sustainable Fisheries (SF) offices, those offices notify the Protected Resources Division, so that they can send information on the MMAP application process to the SF applicants.

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

This collection will not have a significant impact on small entities. The MMPA instructs the Secretary to develop, in consultation with the appropriate states, Regional Fishery Management Councils, and other interested parties, the means by which the granting and administration of authorizations shall be integrated and coordinated with existing fishery licenses, registrations, and related programs, to the maximum extent practicable.

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

Commercial fishery authorization applications are required annually as mandated by statute ([16 U.S.C. 1387 \(c\)\(2\)\(A\)](#)). Without the registrations, NMFS would be unable to execute its observer program and to determine the impact of U.S. commercial fisheries on marine mammal populations and stocks.

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

The collection is consistent with the guidelines.

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

A Federal Register Notice published on July 11, 2018 (83 FR 32081) solicited public comment on this submission. No comments were received.

Additionally, NMFS solicited comments from three non-NOAA stakeholders and received the following comments.

The first comment we received was that there has been some confusion in the past with the language on the form referencing the \$25 registration fee. The commenter recommends removing the \$25 registration fee since all states automatically enroll commercial fishermen in the Marine Mammal Authorization Program. NMFS appreciates this comment. Registration is now completely integrated with all existing federal and state commercial fishing license/permit registration, and a separate MMAP registration is only required for non-permitted fisheries. Through the integrated process, commercial fishermen do not have to pay the \$25 registration fee when automatically enrolled. The \$25 registration fee is required for commercial fishermen participating in a non-permitted fishery who complete the form and submit it to NMFS.

The second comment we received stated concern for including a social security number (SSN) on a form that may be seen by many people. The commenter recommended including another mechanism to request this date only if needed. NMFS acknowledges this concern. The SSN/TIN information on the form is not mandatory except for fisheries in Alaska. It is used to verify the identity of the applicant(s) and to accurately retrieve confidential records related to federal permits. The primary purpose for requesting the SSN/TIN is for the collection and reporting on any delinquent amounts arising out of such person's relationship with the government pursuant to the Debt Collection Improvement Act of 1996 (Public Law 104-134). Personal information is confidential and protected under the Privacy Act (5 U.S.C. 552a). Business information may be disclosed to the public.

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

There is no provision to provide any payment or gift to respondents.

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

As stated on the form, certain information, such as Tax Identification Numbers, may be considered confidential/proprietary and therefore subject to data confidentiality restrictions of [50 CFR 229.11](#) (MMPA regulations).

This information is covered by the Privacy Act System of Record Notice COMMERCE/NOAA-12, Marine Mammals, Endangered and Threatened Species, Permits and Authorizations, Applicants

**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.**

No sensitive questions are asked.

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

All states have integrated the NMFS MMAP registration process into the existing state fishery registration processes and do not need to file a separate federal registration. The annual burden hours for Category I & II fisheries are estimated as:

New applications\*: 100 vessels x 15 minutes/application/year = 25 hours.

\*As Vessel owners are expected to apply for any additional fisheries at the time of the initial application, no additional burden hours are warranted for multiple fishery applicants. Registration is integrated with existing federal and state commercial fishing license/permit registration, separate MMAP registration is only required for non-permitted fisheries. For vessels in currently non-permitted fisheries, when applications are received by the regional Sustainable Fisheries (SF) offices, those offices notify the Protected Resources Division, so that they can send information on the MMAP application process to the SF applicants.

**Total = 100 responses; 25 hours.**

Annual labor cost = \$25 x 25 = \$625.

**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).**

The annual cost to the Category I & II vessel owners to apply for authorization is estimated as follows:

Application fee, \$25 plus postage, \$0.50 = \$25.50 per applicant/year.

100 applications x \$25.50/application = \$2,550.

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

The fee recovers all federal processing costs.

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

Registration is now completely integrated with existing federal and state commercial fishing license/permit registration processes. Through this integrated process, vessel owners do not have to complete this MMAP registration form; they are automatically registered when they submit their commercial fishing license application. Therefore, separate MMAP registration is only required for non-permitted fisheries.

We decreased our response estimate from 600 to 100 based on the form needing only to be filled out in the rare event a vessel owner is part of a non-permitted fishery.

In addition, there is an adjustment to recordkeeping/reporting costs, based on postage rate increase.

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

There are no plans to publish the results of this collection.

**17. If seeking approval to not display the expiration date for OMB approval of the information collection, explain the reasons why display would be inappropriate.**

Not Applicable.

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

There are no exceptions.

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

This collection does not employ statistical methods.