

National Marine Fisheries Service Constituency Services Branch (Permit Office) Presentation

March 5, 2019

Background

Kevin McIntosh - Supervisor - Permit Office

- Started with NOAA in 2001
- Northeast Fisheries Science Center - Woods Hole, MA: 2001- 2012
- Southeast Regional Office: 2012 - present
 - Information Technology Branch in support of Permit Office: 2012 - April 2018
 - Permit Office: April 2018 - present

Questions for the Permit Office

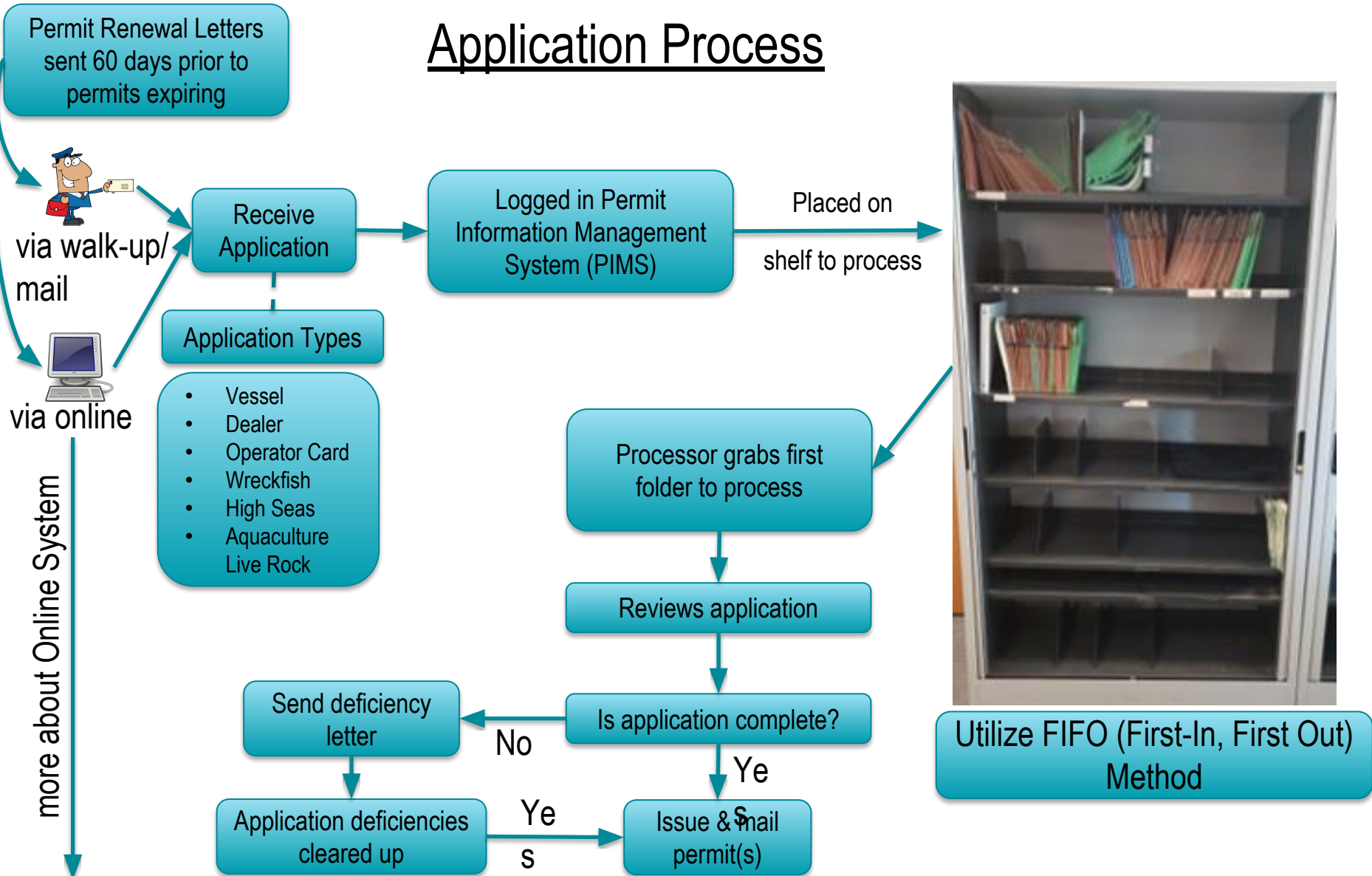
Question 1

Provide an overview of the permit program. When was it established, how many permits are being managed, etc?

- Permit Office was established in the early 90's.
- We currently manage over 19,000 permits in the Gulf of Mexico, Atlantic (ME to TX), and Caribbean.

Constituency Services Branch – Permit Office

Application Process



The “Shelf”



Pre-Shutdown



Post-Shutdown



Current



Shutdown

- Online System stayed up during shutdown.
- Received 515 applications during the shutdown. (357 paper, 158 online)
- Issued Fishery Bulletin (FB19-003) Extended Validity of Vessel and Dealer Permits.

Question 2

What is done to track individuals who attempt to obtain/renew a permit when there's been a violation on a previous permit?

Permit System Alerts

- Permit Office is informed by General Counsel that a violation has resulted in either a Notice of Permit Sanction or a Notice of Intent to Deny Permit relative to a vessel and entity (business or individual)
- “Permit Sanction means suspension, revocation, or modification of a permit....” 15 C.F.R. 904.2

Permit System Alerts - continued

An alert is created in the permit processing system for that vessel and/or entity (based on FEIN/SSN or Vessel Num).

- If an application is received for that vessel or from the entity, the alert will appear with the necessary guidance (i.e. contact GC).

Permit System Alerts - continued

- Only active alerts appear in the system. If the violation has been resolved, then the alert is ended and will no longer appear in the system.

Question 3

If a permit were to be tied to an individual rather than a vessel, would this help in tracking violations?

- No, alerts for violations can already be associated with an entity (business or individual), not just vessels. Therefore, any permit(s) or vessel the entity is associated with, whether individually owned by them, or if they are part of a corporation that owns the permit(s) or vessel, the alert will come up in the system.

Question 4

Could a permit be issued on a multi-year basis?

- Would need to be consistent for all permits
- Limit logbook compliance enforcement:
 - Historically, withholding permit renewal is the best logbook compliance tool
 - Decrease the incentives to submit logbooks timely would decrease accuracy of the logbooks
 - Analyses based on logbooks would be affected by late (up to 2 years) submissions
 - Reduced ability to determine latent (non-fishing) permits
- Limited Access Permits
 - Increases time before termination; potential unintended consequences when striving to reduce overcapacity

- Reduce reliability of information used in analyses
 - **Contact Information:** Often, address/phone changes are only made upon renewal. May result in return of certified mail, delay in providing permit holder with timely information, and reduce socio/economic analyses
 - **Impacts to Socio-Economic Analyses:**
 - Inability to determine changes to ownership of corporations, vessel port counts, permit holder locations, small business information required by Regulatory Flexibility Act
- Dealers: state wholesale licenses are annual and needed for a federal dealer permit

Question 5

What would happen if a permit were revoked in a limited access or an open access fishery?

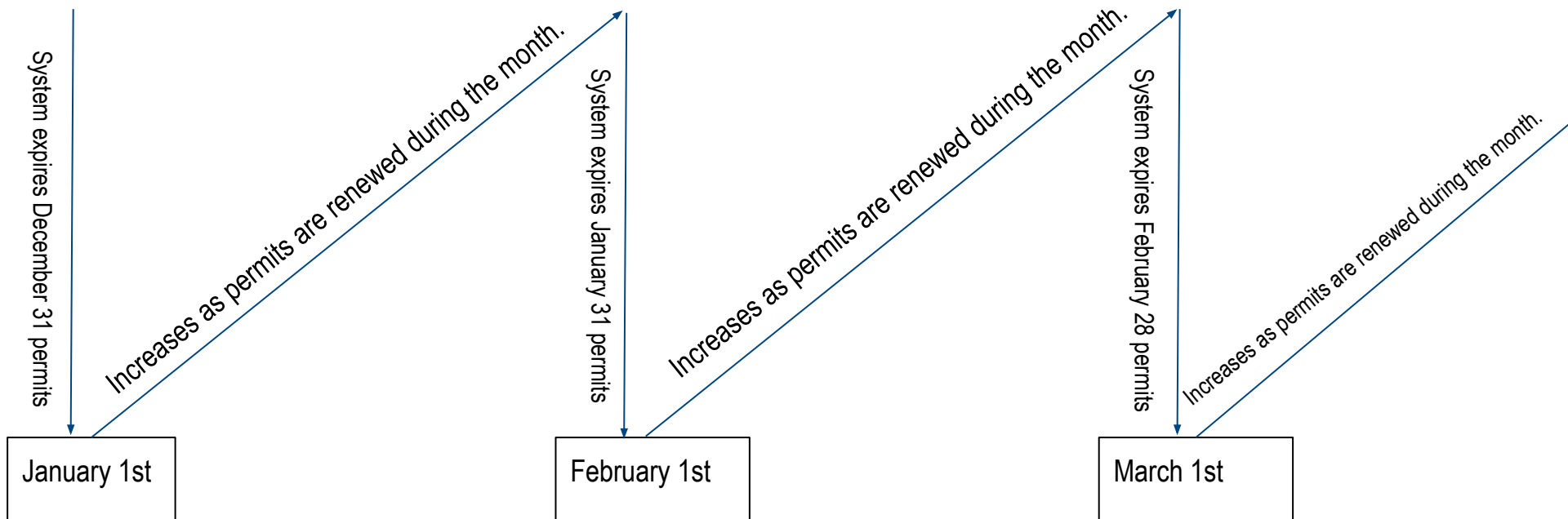
- Limited Access – The total number of permits for that fishery is decreased. However, the entity may be able to purchase another permit from an existing permit holder.
- Open Access – Can apply for another permit for \$25 for the first permit and \$10 for each additional permit. No effect on the total number of permits that can fish.

Question 6

How do the renewal schedules affect the number of active permits?

- Renewal schedules are based on individual permit holders birth month, month of the incorporation of the business, or last full month of a lease agreement. Only exceptions are Golden Crab (12/31) & Wreckfish (1/14). Overall, the expiration dates are pretty random.
- You have 1 year after the permit expires to renew, except for Golden Crab (6 months).
- On a monthly basis the number of valid permits starts off lower in the beginning of the month and increases until the last day of the month. **see graph on next page**
- Permit validity does not indicate activity (fishing)

Number of valid permits each month



Question 7

Clarify how the renewal process differs for for-hire and commercial permits.

- The same application is used to renew commercial and for-hire permits.
- Depending on the permit, there might be different sections to complete or provide additional required documents, but overall, the process is very similar.
- Additional fees for Gulf Charter/Headboat permits to cover decal fees.

Question 8

Clarify the process for incorporating a business/permit and, particularly, the time it takes to complete the process.

- We don't actively check the validity of the corporation.
- New business/corporation information is entered into the permit system per what's written on the application.
- However, if something does come up that throws up a red flag (i.e. Same FEIN #, but different date of incorporation from the previous year or different FEIN #), we will look on the state website (i.e. Sunbiz) to validate information. If company shows, "Inactive" on website, we require applicant to provide document to prove the company is active.

Question 9

Explain the process for permit application/renewal to identify areas that need improvement.

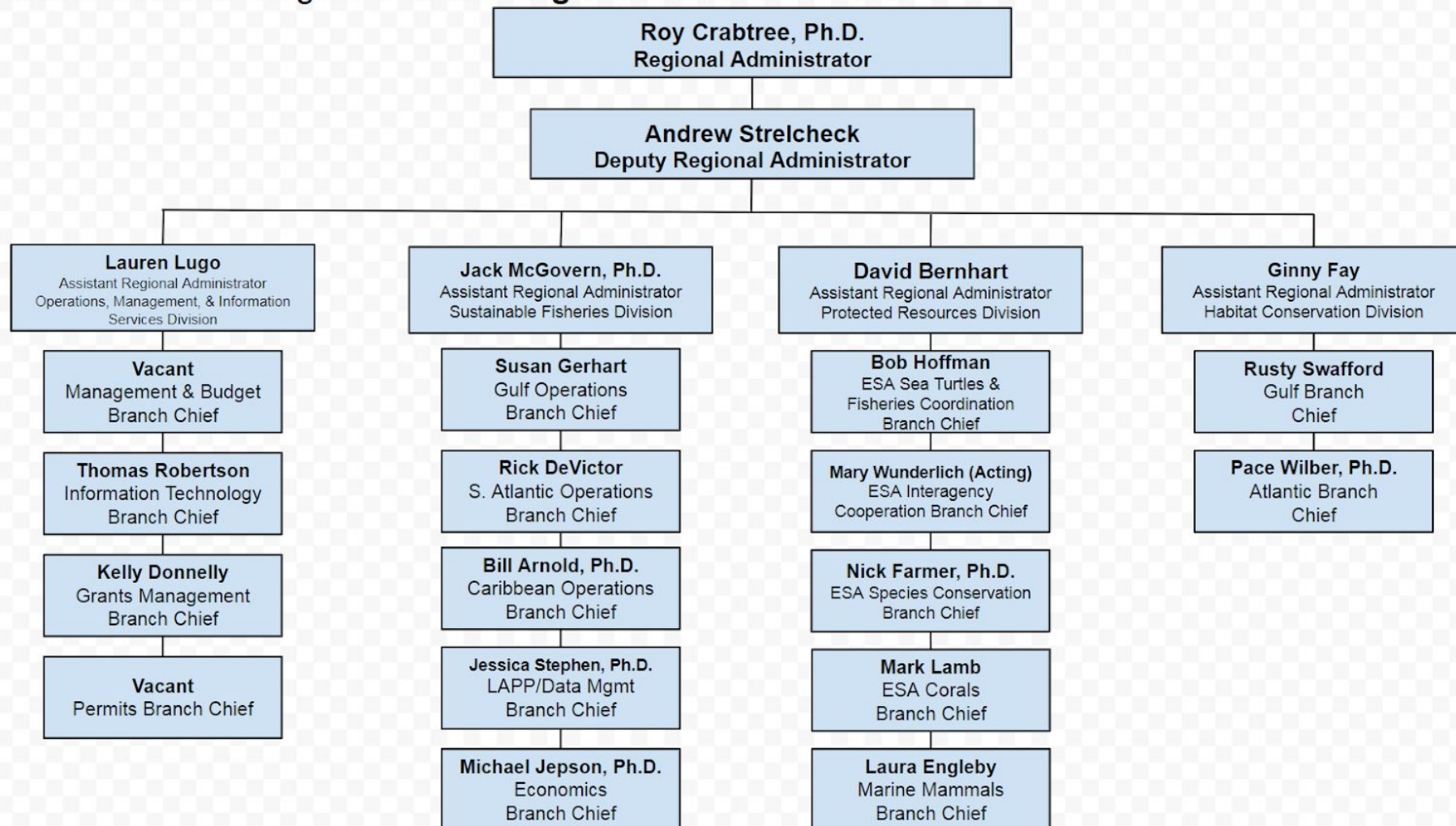
- Moving all permit application/renewal process online.
 - Added 25 new permit renewals to the online system in 2018.
 - Looking to add Dealer permit renewals in FY19 or FY20.
 - Online system already has vessel, permit, and entity data pre-filled on each screen.
 - Can pay application fees via credit card or bank account
 - Can submit required documents for applications online.
- Update online system in the next 2-4 years. Looking to add the ability to submit an application to request new open access permits, new dealer permits, transfer limited access permits, and renew/request operator cards.

Question 10

Explain how changes could be made in terms of governance. How is the agency structured and where does the Permit Office fit in?

- Permit Office was originally in SFD

NMFS Southeast Regional Office - Organizational Structure



Question 11

Explain how permit leasing works. How many permits are currently being leased?

- There is no provision in the federal regulations to lease *permits*.
- Permit holders may lease a *vessel* and obtain/transfer permits on the vessel as the lessee. Note that vessel *lessor* and *lessee* cannot independently hold permits for the same vessel at the same time.
- Permit Office FAQ Webpage (see the next slide) is a great resources for information related to leases.
- There are currently 681 vessels being leased.

Leases

What does the Southeast Permits Office require for a vessel lease agreement?

A lease must have:

1. Vessel Name
2. Vessel Coast Guard Documentation or State Registration number
3. Lessor's name - if a corporation or business owns the vessel, the lessor's name is the corporation or business
4. Lessee's name - if a corporation or business owns the vessel, the lessee's name is the corporation or business
5. Specific start date
6. Specific end date - make the end date a few years in the future if you anticipate a long-term arrangement. The last full month of the lease will be the month the permits expire every year.
7. Lessor's signature - An officer of the corporation or business must sign the lease if a business or corporation owns the vessel
8. Lessee's signature - An officer of the corporation or business must sign the lease if a business or corporation owns the vessel.

The Florida Fish & Wildlife Conservation Commission has a [Vessel Lease Agreement template](#) that we do not require to be notarized.

Does a lease have to be notarized?

Can someone lease a permit?



Question 12

Clarify the need for a unique
Invitation Code for the online
renewal?

- Invitation Code is included on the renewal letter sent out 60 days prior to your permit(s) expiring.
- Invitation Code is associated with the permit holder, so when the code is redeemed via the online system, the permit holder's name (individual or business) is displayed.
- Once the code has been redeemed and the online account is created, you don't have to do it again.
- The renewal letter you receive the next year, will have the email address used when creating the account.

Renewal Letter - New User



UNITED STATES DEPARTMENT OF COMMERCE
National Oceanic and Atmospheric Administration
NATIONAL MARINE FISHERIES SERVICE
Southeast Regional Office
263 13th Avenue South
St. Petersburg, Florida 33701-5505
<http://sero.nmfs.noaa.gov>

December 31, 2018

Vessel Number:

Renewal Notice and Online Renewal Invitation

Dear Permit Holder:

This serves as a reminder that the following permits issued to your vessel will soon expire:

Fishery	Permit Code	Expiration Date
ATLANTIC DOLPHIN/WAHOO COMMERCIAL	ADW	02/28/2019
GULF REEF FISH	RR-169	02/28/2019
KING MACKEREL	KM-214	02/28/2019

To renew these permits you must submit a complete application, with appropriate fees and supporting documentation.

Submit Your Permit Renewal Application Online Today!

- **Get Your Permits Sooner** - All applications are processed in the order in which they are received. Therefore, once you submit your online application, we have received it and you are in line
- **Fast** - the online application process takes less than 15 minutes to complete
- **Fewer deficiencies** - completing the application online insures fewer deficiencies that could delay your permit getting renewed
- **Upload supporting documents** - you can upload any applicable supporting documents right from your computer
- **Easy to pay** - you can pay for your permit renewal via credit card or ACH

Please note that this online system allows for permit **renewal** only. If you want to obtain new or transferred permits please submit a paper application. Also, please note that online applicants may only make changes to vessel owner (and lessee) address information. Applicants should submit a paper application to make other changes to the vessel owner(s), vessel lessee(s), and/or officers/shareholders of a business that owns or leases the vessel.

Let's get started. Create your online account.

To renew your permits online, you must first redeem your personalized Invitation Code and create an online account. To do this, complete the following steps:

1. Navigate to the online system home page at <https://portal.southeast.fisheries.noaa.gov/seroapplication/>
2. Click the **Enter Invitation Code** button in the upper right corner of the home page.
3. Enter the following personalized invitation code in the **Enter Invitation Code Here** box

ABATrg

← Invitation Code

Renewal Letter - Existing User



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ATLANTIC DOLPHIN/WAHOO CHARTER/ HEADBOAT	CDW	02/28/2019
S. ATLANTIC CHARTER/HEADBOAT FOR PELAGIC FISH	CHS	02/28/2019
S. ATLANTIC CHARTER/HEADBOAT FOR SNAPPER-GROUPER	SC	02/28/2019

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Great news! You already have an online account

To renew your permits online, you must log into the Southeast Fisheries Permit System at <https://portal.southeast.fisheries.noaa.gov/seroapplication/>

Your account username is:

@bellsouth.net

[Forgot Password](#)

← Email used for online account.



NOAA FISHERIES

Southeast Region Online Permit System

The screenshot displays the NOAA Fisheries Southeast Regional Office website. The header includes navigation links for NOAA HOME, WEATHER, OCEANS, FISHERIES, CHARTING, SATELLITES, CLIMATE, RESEARCH, COASTS, and CAREERS, along with a search bar for NMFS Site. The main content area is titled "Welcome to the Southeast Fisheries Permit System" and features a "Submit Your Permit Renewal Application Online Today!" section. This section lists benefits: getting permits sooner, fewer deficiencies, uploading supporting documents, and easy payment. A "Terms of Use" box is also present. On the right, there are sections for "Redeem your Invitation Code" and "Account Login" with fields for email and password, and a "Reset Password" link. The footer contains links for Permit Applications, SEFSC Logbook Office, Vessel Application Status, and FOIA Page.

NOAA HOME WEATHER OCEANS FISHERIES CHARTING SATELLITES CLIMATE RESEARCH COASTS CAREERS Search NMFS Site

NOAA FISHERIES | Southeast Regional Office
NATIONAL OCEANIC AND ATMOSPHERIC ADMINISTRATION

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Apply to Renew your Permits Online

To renew your permits online, you must first redeem your personalized Invitation Code and create an account Username and Password. The invitation code is case sensitive and has the following format: ABCDwxyz1234. If you receive an invalid Invitation Code message, ensure the format of your code is correct.

After you have redeemed your invitation code and established an account, please use your Username and Password to log into the online renewal system.

Terms of Use

This U.S. Government system is to be used by authorized users only. Information from this system resides on computer systems funded by the Government. The data and documents on this system include Federal records that contain sensitive information protected by various Federal statutes, including the Privacy Act, 5 U.S.C. § 552a. All access or use of this system constitutes user understanding and acceptance of these terms and constitutes unconditional consent to review and action by all authorized Government and law enforcement personnel. Unauthorized user attempts or acts to (1) access, upload, change, or delete information on this system, (2) modify this system, (3) deny access to this system, (4) accrue resources for unauthorized use or (5) otherwise misuse this system are strictly prohibited. Such attempts or acts are subject to action that may result in criminal, civil, or administrative penalties.

Applicants using this online system agree to submit their non-refundable application fee online, via third party vendor Pay Gov. Notification of missing documents, document uploads, and notification of tracking information for mailed permits will be sent to the email address associated with their account.

Account Login

My e-mail address is:

Password:

☐ Accept Terms of Use

[Reset Password](#)

[Redeem your Invitation Code to setup your online renewal account.](#)

Permit Applications
Permit Information

SEFSC Logbook Office
Current Permit Holders

Vessel Application Status
Dealer Application Status

FOIA Page
IEQ Program

- Launched in 2015
- Now can renew 30 of 33 vessel permits
- Eligibility & instructions included in Renewal Letter
- Takes 10 minutes to complete
 - System pre-populates vessel, permit, and entity information
 - Compliance data and required documents to complete application are identified.
 - Can pay online using credit card or ACH
- Get your permits sooner
- Application deficiencies emailed to user once/week
- Future:
 - Request new or transfer vessel and dealer permits, and operator cards

<https://portal.southeast.fisheries.noaa.gov/seroapplication/>

Question 13 from December meeting

South Atlantic Unlimited Snapper-Grouper (SG1)
and South Atlantic 225 LB Tip Limit
Snapper-Grouper (SG2) Discussion

SG-1 - 50 CFR § 622.171 - South Atlantic snapper-grouper limited access

- Total permits (including expired) - 534
- Total valid permits (not including expired) on March 3, 2019 - 479

SG-1 Transfers

- An owner of a vessel with a transferable permit may request that the RA transfer the permit to another vessel owned by the same entity.
- A transferable permit may be transferred upon a change of ownership of a permitted vessel with such permit -
 - From one to another of the following: husband, wife, son, daughter, brother, sister, mother, or father; or

SG-1 Transfers - continued

- From an individual to a corporation whose shares are all held by the individual or by the individual and one or more of the following: husband, wife, son, daughter, brother, sister, mother, or father.
- Must obtain and exchange two such permits for one new permit.

SG-1 - Corporation/Business Purchase

- Purchase a business/corporation that owns a SG-1.(Don't need a two for one)
 - Business/corporation can't be family owned as described above.
 - FEIN # has to remain the same.

SG-2 - 50 CFR § 622.171 - South Atlantic snapper-grouper limited access

- Total permits (including expired) - 107
- Total valid permits (not including expired) on March 3, 2019 - 92
- Total number leased vessels with SG-2 on them: 31

SG-2 Transfers

- May request to transfer the permit to another vessel owned by the same entity.

SG-2 History

- Business/Corporate owned SG-2: 23