



STATE OF MAINE  
DEPARTMENT OF  
MARINE RESOURCES  
MARINE RESOURCES LABORATORY  
P.O. BOX 8, 194 MCKOWN POINT RD  
W. BOOTHBAY HARBOR, MAINE 04575-0008

JANET T. MILLS  
GOVERNOR

PATRICK C. KELIHER  
COMMISSIONER

August 17, 2020

Atlantic Coastal Cooperative Statistics Program  
1050 N. Highland St. Ste. 200 A-N  
Arlington, VA 22201

Dear ACCSP:

We are pleased to submit the proposal titled “FY21: Managing Mandatory Dealer Reporting in Maine” for your consideration. This is a maintenance proposal which has not changed in the scope of work. The Maine Department of Marine Resources (MEDMR) has required mandatory swipe card reporting for elver dealers since the 2014 season; which the MEDMR fully funded. The MEDMR has required the sea urchin industry to use eDR mobile (ACCSP’s swipe card program) for the past four seasons. This is the swipe card program that MEDMR worked collaboratively with the Massachusetts Division of Marine Fisheries (MADMF), National Marine Fisheries Service Greater Atlantic Regional Office (NMFS GARFO), ACCSP and HarborLight Software LLC. The MEDMR brought its experience with the Elver System swipe card project to this effort in the hope that other partners may benefit from the new swipe card system and we could use our “lessons learned” to make this project a success. The roll-out during the first two seasons did not go as smooth as intended; however, the past two seasons were greatly improved. The MEDMR also continued to monitor compliance and suspend those dealers who fail to report on time. The threat of a license suspension has improved the timeliness and quality of data submitted. Please view all graphs in color. **This proposal addresses the following 2021 ranking criteria: catch and effort, sociological and economic data, data delivery plan, regional impact, funding transition plan, in-kind contribution, improvement in data quality and timeliness, impact on stock assessment and properly prepared.** For a summary of the proposal for ranking purposes, please see page 22. **During the pre-proposal process no questions were asked for this particular grant. However, after further review there were a few calculation errors identified within the budget that have been addressed.** Please contact Robert Watts at the MEDMR with any questions. Thank you for your consideration of this proposal.

Sincerely,

Robert B. Watts II  
Marine Resources Scientist III  
[rob.watts@maine.gov](mailto:rob.watts@maine.gov)  
(207) 633-9412

Lessie L. White Jr  
Marine Resources Scientist II  
[lessie.l.white@maine.gov](mailto:lessie.l.white@maine.gov)  
(207) 633-9509



Atlantic Coastal Cooperative Statistics Program  
1050 N. Highland Street. Suite. 200A-N  
Arlington, VA 22201

## **FY21: Managing Mandatory Dealer Reporting in Maine**

**Total Cost: \$61,263.40 (revised)**

Submitted by:

Robert B. Watts II  
Maine Department of Marine Resources  
PO Box 8  
West Boothbay Harbor, ME 04575  
[rob.watts@maine.gov](mailto:rob.watts@maine.gov)

Lessie L. White Jr.  
Maine Department of Marine Resources  
PO Box 8  
West Boothbay Harbor, ME 04575  
[lessie.l.white@maine.gov](mailto:lessie.l.white@maine.gov)

Erin L. Summers  
Maine Department of Marine Resources  
PO Box 8  
West Boothbay Harbor, ME 04575  
[erin.l.summers@maine.gov](mailto:erin.l.summers@maine.gov)

**Applicant Name:** Maine Department of Marine Resources (MEDMR)

**Principal Investigator:** Robert Watts, Marine Resource Scientist

**Project Title:** FY21: Managing Mandatory Dealer Reporting in Maine

**Project Type:** Maintenance Project

**Requested Award Amount (without the NOAA administration fee):** \$61,263.40 (revised)

**Requested Award Period:** One year after receipt of funds

**Change in Scope/Cost from Previous Year Project:**

This is a maintenance proposal which has not changed its scope from the FY20 proposal. **The dealer reporting objectives have largely remained unchanged since 100% of licensed dealers must report trip level information on 100% species they purchase from harvesters, which meets ACCSP standards.** However, since 2014 the MEDMR required that all elver dealers report daily using a MEDMR initiated and funded swipe card reporting program called the “Elver System” for dealers to report. Elver dealers were required to report daily using the Elver System. Since 2015, the Elver System was modified to start tracking of dealer to dealer transactions. Not only are harvesters required to swipe a card at the initial point of sale, but also dealers are required to swipe a card for any dealer to dealer elver transactions. The MEDMR implemented swipe card reporting in the sea urchin fishery during the 2016-2017 season. The program used for sea urchins was the swipe card program (eDR mobile) that MEDMR worked collaboratively with the Massachusetts Division of Marine Fisheries (MADMF), National Marine Fisheries Service Greater Atlantic Regional Office (NMFS GARFO), ACCSP and HarborLight Software LLC. The MEDMR required all 11 sea urchin dealers to report for the 2019-2020 season through the eDR mobile program for the third season. This was the second consecutive season that the program had very few issues within the season. The MEDMR continues to bring its experience with the Elver System and now eDR mobile swipe card projects to the current effort in the hope that other partners may benefit from the new swipe card system. The MEDMR currently does not have any plans to expand swipe card reporting to other fisheries unless there are management needs that swipe cards would justify. The MEDMR staff was again able to present data on this past season within a week of seasons end. Industry was impressed with how fast MEDMR could provide them with accurate data. The use of swipe cards in the sea urchin fishery allowed MEDMR to continue their management approach towards fishing days in the sea urchin fishery. In past years, harvesters were provided with set days they could fish. For the past three seasons, the MEDMR allowed harvesters to pick their own days from a list of open fishing days. It was the hope of the MEDMR that allowing this flexibility will allow harvesters to stay home on foul weather days. **The MEDMR also continued to suspend dealer licenses for those who fail to report on time which has greatly improved the timeliness and quality of the data submitted.** The MEDMR continues to fund the position that administers this suspension authority. These costs are not included in this grant proposal. See Attachment 1 for a summary of the project history and Attachment 2 (view in color) for a graph of previous grant costs.

**Objectives:**

**The objective of this proposal is to collect trip level landings information from all licensed dealers who buy directly from harvesters. The primary tasks will be regulation compliance, data entry and auditing. Staff will also focus on dealer outreach to help industry understand the importance of the accurate and timely reporting. Electronic reporting will be encouraged for those still opting to report on paper. The continuous expansion of electronic reporting requires the MEDMR to spend a significant amount of time on outreach, explaining each system to dealers and troubleshooting any issues that might arise.** In 2014 Maine State Legislature passed a law requiring that all elver dealers report using a swipe card program. Another law was passed in 2015 that provides the MEDMR the authority to require scallop and sea urchin dealers to report with swipe cards. **The results of the Elver System have proven successful and the MEDMR feels that swipe**

**cards only be used where there is a fisheries management need.** Currently the MEDMR does not anticipate any new fisheries be required to report via swipe card. The MEDMR used their swipe card program experience as a learning process to help create a more complete swipe card program in collaboration with MADMF, NOAA GARFO, ACCSP and HarborLight Software LLC. Since the 2016-2017 sea urchin season the MEDMR required all sea urchin dealers to use eDR mobile to report all sea urchin transactions. There is no plan to mandate electronic reporting for all other dealers at this time, as this is not an ACCSP requirement.

**Need:**

**Maine has many dealers who can buy directly from harvesters, and spends significant resources tracking compliance, entering and auditing many records. In 2019, approximately 600 dealers were licensed to buy from harvesters and 193 (33%) of them were required to report to National Marine Fisheries Service (NMFS). Regardless of their federal permit status, MEDMR works with all dealers to ensure all landings are reported either to MEDMR or to SAFIS, and staff audits all records with a state landed of Maine.** Of the dealers, 246 (38%) chose to report on paper; 162 (25%) chose Trip Ticket (electronic reporting software developed by Bluefin Data LLC); 115 (18%) chose file upload; 66 (10%) chose key entry SAFIS; 45 (7%) were required to use VESL (swipe card reporting program developed by Bluefin Data LLC and used exclusively by MEDMR elver dealers, the number of dealers will fluctuate from year to year); 11 (2%) were required to use eDR mobile (swipe card program created jointly by ACCSP, MADMF, MEDMR and NOAA GARFO) and 5 (1%) would report using the NMFS quahog database (Table 1).

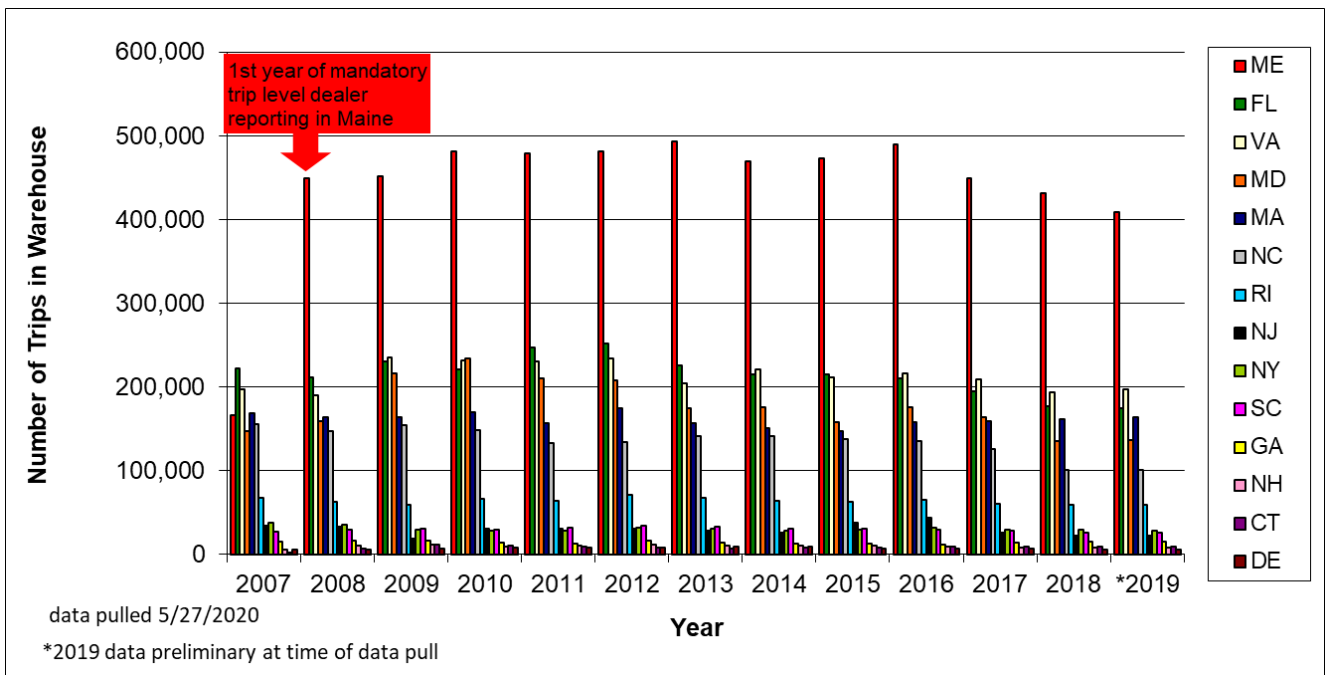
**Table 1: Reporting Methods Chosen for the 2019 Primary Buyers in Maine**

<b>Reporting Method</b>	<b>Combo Dealers</b>	<b>State Dealers</b>	<b>Total Dealers</b>
Paper	11	235	<b>246</b>
Trip Ticket	105	57	<b>162</b>
VESL Program	0	45	<b>45</b>
eDR Mobile	5	6	<b>11</b>
SAFIS Key Entry	39	27	<b>66</b>
File Upload	57	58	<b>115</b>
Quahog Electronic Logbook	5	0	<b>5</b>
<b>Total Electronic*</b>	<b>211</b>	<b>193</b>	<b>404</b>
<b>Grand Total</b>	<b>222</b>	<b>428</b>	<b>650</b>

\*Data submitted via Trip Ticket, SAFIS Key Entry, eDR Mobile, VESL, File Upload and Quahog Electronic Logbook are data electronically reported.

Note: Fourteen dealers chose multiple methods of reporting, so they were counted two or more times on this table.

Some dealers opted to report using multiple methods, (largely due to the exemption of certain species in the federal reporting requirement). **Of the 1.355 million trips for 2019 in the data warehouse, 30% of them were landed in Maine which exceeds any other state (Figure 1 – view in color). These records were submitted by both “state-only” dealers (those that only report to MEDMR) as well as “combo” dealers (those that report to fulfill both NMFS and MEDMR requirements). Because MEDMR cooperatively works with NMFS to collect and audit data from federally permitted dealers, MEDMR staff devotes time and resources to help these “combo” dealers submit data and MEDMR staff audits all these records.**



**Figure 1: Number of Reported Trip Records by State Landed in ACCSP Data Warehouse**

**The number of trip records that MEDMR staff uploaded into SAFIS or data entered into MARVIN (MEDMR’s database that contains all sampling, biological and landings data that MEDMR collects) has increased 145% since 2007 (Figure 2 – view in color). When dealers submit reports on paper, they are entered into the MARVIN database. MARVIN is used for reports submitted on paper because it is a faster method of data entry and MEDMR wishes to use this tool to audit the data before sending a copy of it to ACCSP. Routines are configured to convert the MARVIN data to ACCSP codes before they are uploaded to the ACCSP warehouse.**

The numbers in Figures 1 and 2 differ because they contain different data sets. Figure 1 shows the Maine-landed data in the warehouse which contains data from: MARVIN dealer data, MARVIN harvester data, SAFIS data, the federal ocean quahog data, and highly migratory species data. Figure 2 only shows Maine-landed records from MARVIN dealer data and SAFIS data.

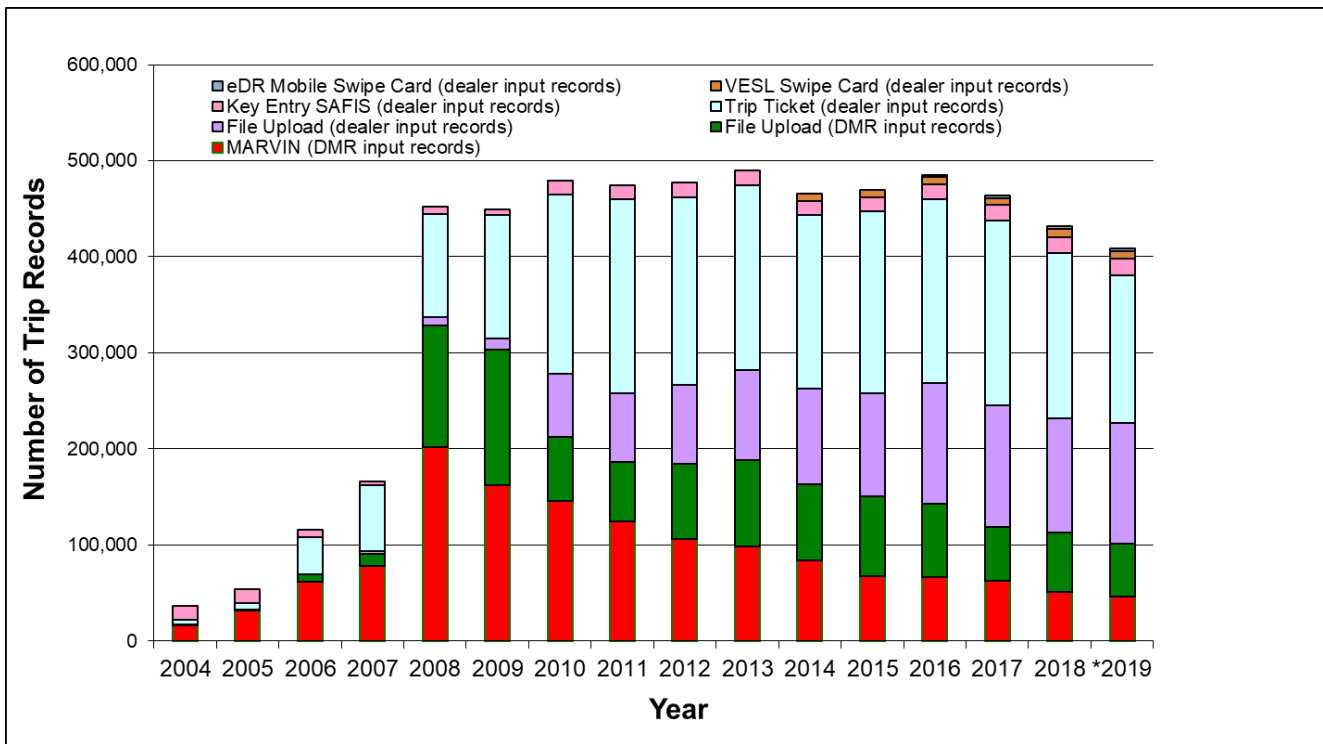


Figure 2: Number of Dealer Reported Trip Records entered in MARVIN and SAFIS

Landings data entered in MARVIN are uploaded to the ACCSP data warehouse. The significant increase in the amount of data entry and auditing is the single greatest challenge for the dealer program staff. Within the past few years, MEDMR absorbed the cost of three of the four positions (and 8 months for the last position) previously funded by ACCSP grants, and MEDMR is also funding the position who will administer the license suspension process of the program. MEDMR is now requesting partial funding (four months) for one existing position: one Specialist I who audits data, helps set up dealers with electronic reporting (trip ticket, file upload, key entry SAFIS and swipe card programs), uploads data for “state-only” dealers, trains and supports “combo” dealers to report their own data, and provides the personal outreach with industry. **It is essential that this dealer reporting program continue as it is an important tool for monitoring Maine’s commercial fisheries which are large and economically important to the U.S. seafood industry. According to the NMFS commercial fisheries database (as of 5/20/2020), Maine was ranked as the second highest state on the Atlantic Coast in commercial value (\$673 million) and fourth highest in whole pounds landed (206.1 million) in 2019. This comprehensive dealer reporting program is also an ASMFC (Atlantic States Marine Fisheries Commission) compliance issue for several fisheries, including American lobster which is Maine’s largest fishery.**

Summary of staffing:

*MEDMR Landings Program staff involved in dealer reporting who are fully funded by MEDMR:*

- Scientist IV: makes decisions on the general Landings Program direction.
- Scientist III: oversees the Landings Program, participates in ACCSP committees, transfers data to ACCSP; reporting technology development and responds to data requests.
- Scientist II: manages the day-to-day operations of the Landings Program, is responsible for database development, responds to data requests and updates the Landings Program web page. This position also audits data, and monitors licenses and compliance.
- Specialist II: provides one-on-one outreach with the seafood dealers; trains dealers how to report electronically or on paper; follows up on compliance issues; uploads data from “state-only” dealers who choose to file upload; and audits data. This position trains “combo” dealers how to file upload their own data, maintains dealer upload conversion tables, troubleshoots uploading errors, and installs Trip Ticket at dealer locations. This position not only audits data from “state-

only” dealers, but also data submitted electronically by “combo” dealers. This position frequently works with federally permitted dealers because the dealers are also submitting this information in order to fulfill MEDMR reporting requirements. See the *Approach* section below for further details on auditing. This position is also assigned tasks in the harvester-reporting project.

- Office Associate II: corresponds with industry regarding new suspension authority for failure to report on time; identifies and notifies delinquent reporters; follows protocols for suspending licenses; works with the licensing division to ensure licenses are re-issued when reports have been submitted.
- Office Associate I: opens and processes mail and enters data into MARVIN.

*MEDMR Landings Program staff currently funded by ACCSP and in need of additional ACCSP funding:*

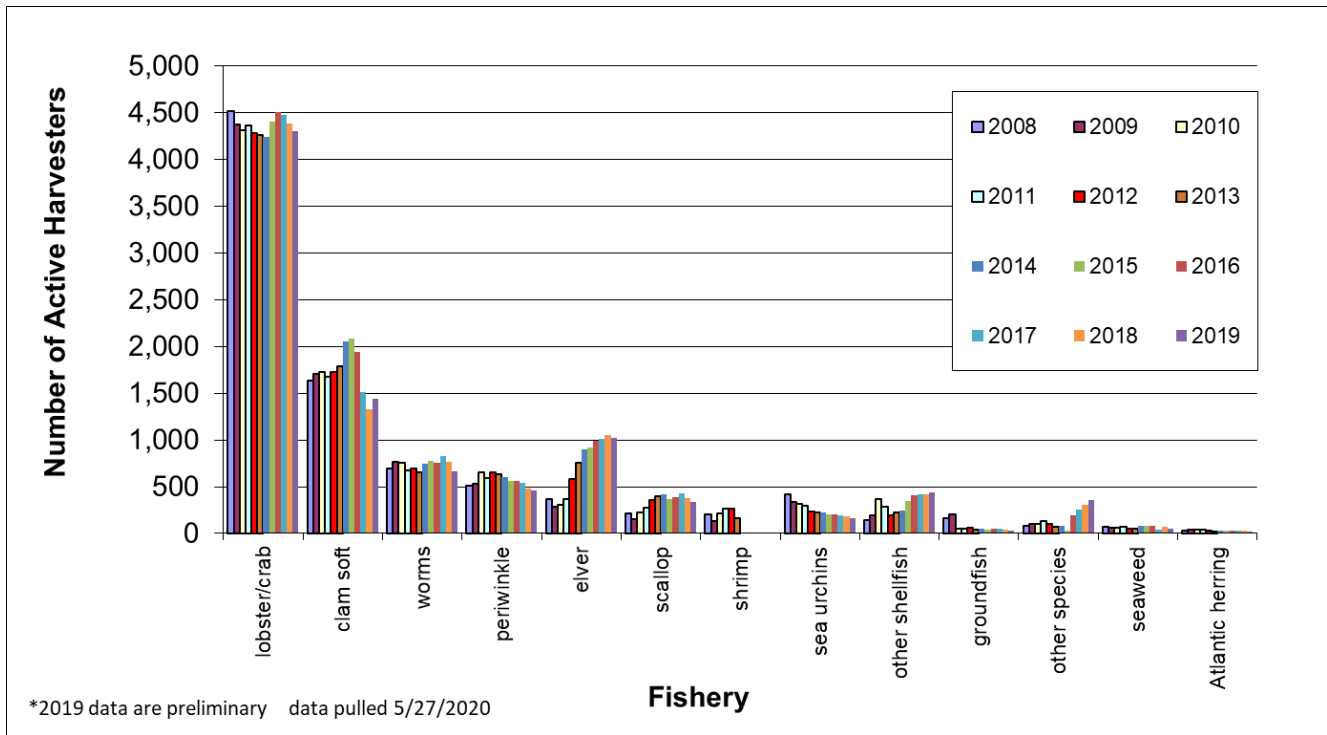
- Specialist I (four months): provides one-on-one outreach with the seafood dealers; trains dealers how to report electronically or on paper; follows up on compliance issues; uploads data from “state-only” dealers who chose to file upload; and audits data. This position trains “combo” dealers how to file upload their own data, maintains dealer upload conversion tables, troubleshoots uploading errors, and installs Trip Ticket at dealer locations. This position not only audits data from “state-only” dealers, but also data submitted electronically by “combo” dealers. This position frequently works with federally permitted dealers because the dealers are also submitting this information in order to fulfill MEDMR reporting requirements. MEDMR staff help federally permitted dealers to submit data and staff audit the data submitted to ensure the data are as accurate as possible, even though the data may have been submitted under the NMFS partner ID. See the *Approach* section below for further details on auditing.

The FY14 through FY20 grant did not include any funding for the elver swipe card program. The MEDMR fully funded the original programming, programmatic updates and maintenance costs associated with this project. The MEDMR will continue to fund the monthly maintenance fees.

### **Results and Benefits:**

The data collected so far have shown how valuable this information is for Maine’s fisheries. In the lobster industry, MEDMR scientists have learned more about the fleet characteristics and number of active full time and part time fishermen involved in this fishery than they have been able to with the current sampling programs. Other fishery managers are now analyzing landings data to learn more about the fishing fleet and the makeup of other fisheries. MEDMR has learned how many harvesters are active in each fishery (Figure 3 – view in color).





**Figure 3: Number of Active Harvesters Reported in Dealer Data**

**This grant will allow MEDMR to complete an 14<sup>th</sup> year of mandatory trip level reporting for all dealers. More data auditing and follow up with dealers will help to ensure the data reported are as accurate as possible. MEDMR continues to encourage more dealers to move from paper reporting to electronic reporting as dealers become more comfortable with trip level reporting and will continue to mandate electronic swipe card reporting in the elver and sea urchin fishery. The MEDMR participated in a collaborative effort that created a complete swipe card program with MADMF, NOAA GARFO, ACCSP and HarborLight Software LLC that was used for sea urchin reporting the past two seasons. The MEDMR expects other fisheries will eventually be required to use the swipe card program. MEDMR is already uploading data reported to MARVIN to ACCSP every six months and intends to start uploading every month; which benefits all partners.**

**Metadata for the dealer program will be updated as needed according to the Federal Geographic Data Committee (FGDC) and the Content Standard for Digital Geospatial Metadata (CSDGM) standards where appropriate. The resulting metadata will be reported to ACCSP as text and XML.**

**This project will help MEDMR meet the data collection standards of ACCSP. All partners will benefit, as all data will be uploaded to ACCSP and many of the species landed in Maine have a broad geographic range which includes many other agencies in their management. Partners have also benefited from the technologies built and lessons learned from the elver dealer swipe card/mobile app project that was rolled out to elver dealers in 2014 and the ACCSP eDR mobile app project in 2016.**

**Approach:**

**1. Enforce compliance**

**MEDMR staff will enforce compliance of the trip level reporting regulation through these methods:**

- Provide initial outreach and technical support needed for dealers to report trip level landings to MEDMR. Meet with dealers individually as needed to explain reporting procedures, load software, troubleshoot problems with reporting, and explain consequences for failing to report.

- Review reports submitted for completeness and log the submissions in the compliance database. If reports are incomplete, MEDMR will contact industry to correct reporting mistakes. If a dealer cannot be contacted by phone, the report will be returned for correction.
- **Complete suspension notices monthly to those dealers that are delinquent enough to meet the minimum notification criteria as outlined in the suspension law (Attachment 4).**
- Complete follow-up suspension notices monthly to those dealers that are delinquent enough to meet the minimum notification criteria as outlined in the suspension law (Attachment 4).
- **MEDMR will suspend dealer licenses for those who fail to report in a timely manner. See Attachment 4 for the law, which dictates suspension procedures MEDMR will follow.**

## 2. Data entry

**Paper reports will be entered into MARVIN. Staff will file upload all data through the SAFIS interface for those “state-only” dealers who choose to report from their own accounting systems.**

## 3. Encourage electronic reporting

**MEDMR staff will encourage dealers reporting on paper to report using one of the three electronic reporting methods (SAFIS key entry, Trip Ticket, or file upload).** Currently only certain fisheries are required to report using swipe card technology, so the swipe card report type is not counted above. MEDMR staff will train “combo” dealers who are required to report electronically according to NMFS regulation to upload their own data and will help them maintain their conversion tables so the correct fishermen, vessels, ports and species-grade-market-unit combinations are reported. MEDMR staff will install Trip Ticket at those dealer locations where file uploading is not an option. Staff will also customize the Trip Ticket program so that only the correct harvesters, vessels, species, ports and gears pertinent to the dealer can be chosen.

MEDMR believes the electronic reporting can benefit many in the industry as much as it benefits MEDMR by reducing the amount of key entry required of staff. Starting with the 2014 elver season and continuing through 2020 season, the MEDMR required all elver dealers report daily using the “VESL” (formally the “Elver System”), which was created by Bluefin Data LLC. The MEDMR required VESL to be used to record and report all harvester to dealer transactions. In 2015 through 2020, the Elver System and VESL also tracked dealer to dealer transactions. The MEDMR paid for and supplied each dealer with an Elver System or VESL (starting in 2017) program and swipe card reader and training. There was a total of 18 buying stations that could have purchased directly from harvesters in 2020, 16 in 2019, 36 in 2018, 24 in 2017, 22 in 2016 and 27 in 2015. Starting in September 2016 MEDMR required that all sea urchin dealers use eDR Mobile (created through collaborative effort with MEDMR, MADMF, ACCSP, NOAA GARFO and HarborLight Software) to purchase sea urchins directly from harvesters. During the 2019 – 2020 season, 11 dealer locations were set up and required to use swipe card technology to purchase sea urchins from licensed harvesters. This figure is down slightly from the 12 sea urchin dealers that reported through eDR Mobile for the 2018-2019 and 2017-2018 seasons. A total of 15 that were set up for the 2016 – 2017 season. While the initial roll-out for the first two seasons did not come without glitches, the rollout for the past two seasons (2019-2020 and 2018-2019) were very smooth. **The use of the swipe cards in the elver and sea urchin fishery has eliminated the need of MEDMR staff to manually enter approximately 10,000 transactions between both fisheries each year while also providing staff with the most up to date data available. Dealers were required to report daily which allowed the MEDMR to monitor each harvester’s individual quota (elver only) and the overall quota (elver only). For the past three sea urchin seasons the MEDMR was able to utilize eDR mobile to allow for harvesters to pick which days they fished based off a pre-determined calendar of fishing days. It was the hope to make this fishery safer for all involved by allowing harvesters to stay home on bad weather days.**

## 4. Continue outreach with industry to promote buy-in.

MEDMR staff will continue to work with dealers to explain the purpose and benefits of this reporting system. Staff will attend the annual Maine Fishermen's Forum and present a Landings Program poster explaining the importance of accurate reporting as well as displaying preliminary data by fishery. At this years Fishermen's Forum, MEDMR released its "Landings Data Portal" ([https://mainedmr.shinyapps.io/Landings\\_Portal/](https://mainedmr.shinyapps.io/Landings_Portal/)) which provides the public with non-confidential data summarized by species and port. This portal also includes all historical data currently available in .PDF form on our website (<https://www.maine.gov/dmr/commercial-fishing/landings/historical-data.html>). It is the hope that providing more accessibility to our non-confidential data will reduce the amount of time MEDMR staff spend on basic queries while providing the public with better access to the data collected. Staff will work with established industry organizations, such as the MEDMR advisory councils, lobster zone councils, and dealer and harvester associations to reiterate the program goals and show results of mandatory reporting. Staff will also focus on explaining the new statutory authority for suspending licenses for those who fail to report on time, and how this will help gather more accurate data.

#### **5. Audit of dealer data submitted.**

**Staff will audit data submitted monthly. Paper data will be audited twice per month; electronic audits sent via email from SAFIS will be corrected weekly. SAFIS audits for "state-only" dealers will be corrected via an ODBC connection to a view of the Maine data. Audits concerning "combo" dealers will also be vetted through the NMFS Northeast Region. MEDMR staff audit data submitted by "combo" dealers because these dealers submit data in order to also fulfill MEDMR reporting requirements.** MEDMR performs basic audits of records to catch potential oversights from NMFS audits, audits data exempted from the federal reporting rule (e.g. softshell clams, razor clam, mussels, oysters, quahog, elver, and worm data), and performs additional audits that NMFS does not. For example, MEDMR audits all records to flag those harvesters selling without a license for that species. MEDMR also compares dealer-reported landings with harvester-reported landings and identifies dealers with discrepancies. In these audits, MEDMR contacts dealers when discrepancies are discovered and works to correct records or recover missing data.

#### **6. Transmission of dealer data to ACCSP.**

**MEDMR will try to upload dealer data from MARVIN to the ACCSP data warehouse once every two months but at a minimum every 6 months.** In each data feed, the following fields are uploaded to the warehouse according to ACCSP protocols: supplier dr id, supplier dealer id, supplier trip id, supplier cf id, supplier vessel id, unload year, unload month, unload day, state code, county code, port code, primary gear, data source, data supplier, reported quantity, live pounds, dollars, disposition code, grade code, unit measure, species ITIS, market code, supplier action flag, dr seq id, fishing mode. **MEDMR enters data daily and audits data weekly, so the data uploaded to the warehouse are a mix of pre- and post-audited records. MEDMR does not keep track of what percentage of the uploaded records are "reloads" due to errors, but simply reloads all the data in MARVIN to the warehouse once every three months. In addition, the data supplied by the Elver System are sent directly to SAFIS daily during elver season.**

The MEDMR does not upload data from MARVIN to SAFIS because MEDMR staff continually audit data each week, so the data that are uploaded to the warehouse are a mix of pre- and post-audited records. The reloading of data from MARVIN to the Warehouse is an automated process that the MEDMR loads into a temporary table provided by the Warehouse. If we were to perform the same upload method to SAFIS we would need the ability to mass delete records from SAFIS (which we do not have the ability to do at this time) before records are reloaded to avoid creating duplicate records. In addition, quahog data are loaded into the warehouse and not into SAFIS, so all Maine dealer data would still reside in the warehouse and not SAFIS.

#### **7. Report metadata to ACCSP.**

**Metadata will be created with ESRI ArcCatalog 10 in order to conform to the FGDC (Federal Geographic Data Committee) standards and specifications.** As specified by the federal standard, MEDMR metadata will include the following main sections with detailed information on: identification information, data quality information, spatial data organization information, spatial reference information, entity and attribute information, distribution information, metadata reference information, citation information, time period information and contact information. Created metadata will be available in text and XML formats.

**Geographic Location: Operations will be based out of Boothbay Harbor, Maine and the project will take place throughout Maine.**

**Milestone Schedule:**

	<u>Months</u>											
	<u>1</u>	<u>2</u>	<u>3</u>	<u>4</u>	<u>5</u>	<u>6</u>	<u>7</u>	<u>8</u>	<u>9</u>	<u>10</u>	<u>11</u>	<u>12</u>
1. Enforce dealer compliance	X	X	X	X	X	X	X	X	X	X	X	X
2. Data enter dealer reports	X	X	X	X	X	X	X	X	X	X	X	X
3. Encourage electronic dealer reporting	X	X	X	X	X	X	X	X	X	X	X	X
4. Industry outreach to promote dealer buy-in	X	X	X	X	X	X	X	X	X	X	X	X
5. Audit dealer data	X	X	X	X	X	X	X	X	X	X	X	X
6. Upload dealer data to ACCSP		X		X		X		X		X		X
7. Report metadata to ACCSP												X
8. Semi-annual reports							X					X
9. Annual reports												X

**Project Accomplishments Measurement:**

\*2019 and 2020 data are incomplete at the time of proposal submission

Goal	Measurement	2004	2005	2006	2007	2008	2009	2010	2011	2012	2013	2014	2015	2016	2017	2018	2019*	2020*
Enforce Dealer Compliance	Number of dealer licenses rejected due to failure to report	43	155	48	56	66	81	16	35	15	115	407	-	-	-	-	-	-
Enforce Dealer Compliance	Frequency of referrals to Marine Patrol due to missing reports	-	-	-	-	-	4X per yr	4X per yr	4X per yr	4X per yr	4X per yr	4X per yr through 6/1/14	-	-	-	-	-	-
Enforce Dealer Compliance	Number of compliance calls to delinquent dealers	-	-	-	-	166	297	259	451	523	420	269	208	45	37	25	25	8
Enforce Dealer Compliance	Number of suspension letters to delinquent dealers	-	-	-	-	-	-	-	-	-	-	407	567	177	876	532	421	16
Enforce Dealer Compliance	Number of dealers suspended for failing to report timely	-	-	-	-	-	-	-	-	-	-	27	57	38	32	29	89	11
Dealer Data Entry	Number of trip records by year landed in data warehouse	15,858	27,455	127,936	166,468	449,216	451,056	481,668	478,819	481,116	493,314	469,430	473,185	489,166	448,825	431,533	408,639	22,233
Dealer Data Entry	Number of positive trip records by year landed in MARVIN	15,824	31,486	61,656	76,744	197,289	159,437	143,766	124,057	105,760	98,195	83,942	67,871	66,656	62,447	51,061	46,579	4,218
Dealer Data Entry	Number of positive trip records by year landed in SAFIS	21,602	26,382	59,452	91,551	250,656	290,155	333,132	350,232	371,391	391,192	381,413	401,520	418,957	383,235	377,101	361,857	41,656
Encourage Electronic Reporting	Number of dealers submitting positive reports in SAFIS	69	78	98	142	204	230	275	291	312	328	342	330	339	329	340	320	245
Transmit Dealer Data to Data Warehouse	Frequency of data submitted by year landed	Yearly	Yearly	Yearly	Yearly	yearly to twice per month	twice per month	twice per month	twice per month	twice per month	twice per month	twice per month	bi-monthly	once every 6 months	once every 6 months	once every 6 months	once every 6 months	once every 6 months
Outreach	Number of custom data requests	-	11	95	155	204	269	275	281	302	419	434	569	806	720	532	477	462

MEDMR does not consider data complete until the end of the following year. This is a standard practice we have always worked under. Example: 2019 data will be considered complete in January of 2021.

**Cost Summary: FY21 Managing Mandatory Dealer Reporting in Maine**

**10/1/2021 - 9/30/2022**

<b>Personnel<sup>A</sup></b>	<b>Description</b>	<b>Cost</b>
1 Specialist I (Eileen Greenleaf)	full time position for 4 months	15,248.27
	<b>Subtotal</b>	<b>15,248.27</b>
<b>Fringe Benefits<sup>A</sup></b>		
1 Specialist I (Eileen Greenleaf)	Includes health, dental, workers comp, FICA, life insurance and retirement	9,684.42
	<b>Subtotal</b>	<b>9,684.42</b>
	<b>Total Personnel</b>	<b>24,932.69</b>
<b>Travel</b>		
Mileage Reimbursement	1000 miles @ \$0.44/mile	440.00
5 Overnight stays <sup>B</sup>	5* \$150/night	750.00
Per diem (includes extended days)	(5 overnights @ \$65/day & 12 extended days @ \$24/day)	613.00
	<b>Total Travel</b>	<b>1,803.00</b>
<b>Supplies</b>		
Filing Supplies	folders, folder labels, year labels	300.00
<b>Other</b>		
Printing and binding of dealer report forms	500 logbooks * \$3.50 per logbook	1,750.00
Postage for logbooks	Mail 500 logbooks * \$4.00 per logbook	2,000.00
Postage for info packets and letters	(\$0.50*300 compliance letters)	150.00
Technology (computer programs, equipment)		350.00
Telecommunication charges <sup>C</sup>	4 phones * \$50/mo * 12 mo	2,400.00
	<b>Total Supplies</b>	<b>6,950.00</b>
<b>Contractual</b>		
Trip Ticket 1 yr maintenance (Software support and upgrades)	\$1,120/mo fee * 12 mo	13,440.00
	<b>Total Contractual</b>	<b>13,440.00</b>
	<b>Subtotal</b>	<b>22,193.00</b>
<b>Total Direct Costs</b>		<b>47,125.69</b>
<b>Indirect Costs (30%)</b>		<b>14,137.71</b>
<b>Total Award to DMR</b>		<b>61,263.40</b>

A: Cost includes salary and benefits, which are dictated by contract with State of Maine and are non-negotiable.

B: DMR staff meet with and train dealers how to electronically report to DMR and/or NMFS.

C: One cell phone for each of the two specialists and one each for the two scientists working on the project.

**Partner Contribution For ACCSP Purposes**

Scientist IV (15% time)	\$9,115
Scientist III (50% time)	\$51,837
Scientist II (50% time)	\$57,484
Specialist II (75% time)	\$59,364
Specialist I (67% time)	\$51,906
Office Associate I (15% time)	\$11,704
<b>Office Associate II (85%)</b>	<b>\$66,654</b>
<b>Elver Mobile Swipe Card Project</b>	<b>\$9,500</b>

**\$317,564**

### **Budget Narrative for FY-2021 proposal:**

**Personnel and Fringe Benefits:** The Specialist I named in the grant is Eileen Greenleaf. The position is in transition from being fully funded (100%) by this award to only 4 months then MEDMR will assume the remainder of the salary on an annual basis. This position is a Department of Marine Resources' employee. Salary and benefits for this employee are dictated by contract with the State of Maine and are non-negotiable. Benefits include retirement benefits, FICA, health insurance, dental insurance, workers compensation and life insurance. The benefits are determined by a formula the state uses which is variable dependent upon the position classification, the pay grade of the employee (e.g. the number of years the person has been employed by the State of Maine) and type of coverage the employee selects. The total cost for this position is approximately \$75,500/year. The remainder of this position is captured within the in-kind calculation.

**Travel:** The Specialists are the employees who will be travelling. The travel is for visiting dealers to install reporting software, training dealer staff how to electronically report or troubleshooting reporting problems. Staff provide dealers with one-on-one training on these reporting systems and help troubleshoot electronic reporting problems. Travel occurs throughout the coast of Maine, although trips to the interior are not unusual if the dealer headquarters is located inland. These dealers must be trained in the use of electronic reporting and in some cases given reporting software to submit their landings information.

The mileage reimbursement rate is set by the State of Maine and are not negotiable.

Occasional extended day travel or overnight stays are necessary. If multiple dealer appointments to these remote areas are made for the same day, or appointments are made for consecutive days, overnight travel may be necessary. The rates were calculated through the GSA website for posted rates. **The breakdown of overnight stays and extended days are now split because their costs are different. The number of extended days have increased to accommodate the extra trips the Specialists have made for dealer set ups for swipe card reporting.**

**Supplies:** Filing supplies are needed each year. The MEDMR does not require paper dealers to use the supplied bound logbook. Many of our paper dealers download the electronic version of their form from our website. We do accept forms via email, fax or U.S. mail. The bound logbook includes a carbon copy that dealers use for their records, or to resend should the original gets lost in the mail. Many dealers like this carbon copy feature, which is one of the main reasons why we choose to continue to purchase these bound logbooks.

**Contract:** The Trip Ticket reporting software is custom-made software only available from Bluefin Data LLC and was purchased in a previous grant. This is the only vendor that can provide the software support and maintenance, this is the only outside vendor providing these services to ACCSP and NMFS as well as MEDMR. In this grant segment, this award will pay for a maintenance contract for Bluefin Data LLC to provide backup support, to be available for troubleshooting software problems and provide program upgrades as needed. This program is essential, as seafood dealers in Maine use the software to comply with MEDMR regulations. The information is used by MEDMR, National Marine Fisheries Service and other state agencies for fisheries management. The increase in cost for FY21 reflects that in 2019, NMFS stopped their support agreement with Bluefin and shifted the cost to the dealer. The additional cost will cover all of the state-only and "combo" dealers.

**Other:** Cell phones for the Specialists and the Scientists are necessary for communication and safety when on travel to dealer locations. The Scientist positions are not mentioned in the personnel costs because the positions are paid for with state money (not grant money), although staff members travel while working on this grant award. Staff often needs to call NMFS or Bluefin Data LLC when installing software or troubleshooting reporting issues at the dealer locations. Dealer reporting logbooks are printed every year and distributed to those who opt to report on paper. Some dealers use many logbooks per year, depending on the logbook type they choose and the number of harvesters with which they do business.

**Indirect costs:** The Department of Marine Resources has an indirect cost rate of 30%. See Attachment 3 for the Negotiated Indirect Cost Agreement. (A new agreement was not available at time of submission, will submit new agreement before final proposal submission).

**Cost Summary: FY20 Managing Mandatory Dealer Reporting in Maine**

**10/1/2020 - 9/30/2021**

<b>Personnel<sup>A</sup></b>	<b>Description</b>	<b>Cost</b>
1 Specialist I (Eileen Greenleaf)	full time position for 12 months	\$46,207
	<b>Subtotal</b>	<b>\$46,207</b>
<b>Fringe Benefits<sup>A</sup></b>		
1 Specialist I (Eileen Greenleaf)	Includes health, dental, workers comp, FICA, life insurance and retirement	\$29,289
	<b>Subtotal</b>	<b>\$29,289</b>
	<b>Total Personnel</b>	<b>\$75,496</b>
<b>Travel</b>		
Mileage Reimbursement	2500 miles @ \$0.44/mile	\$1,100
5 Overnight stays <sup>C</sup>	5* \$150/night	\$750
Per diem (includes extended days)	(5 overnights + 5 extended days) * \$65/day	\$650
	<b>Total Travel</b>	<b>\$2,500</b>
<b>Supplies</b>		
Filing Supplies	folders, folder labels, year labels	\$300
<b>Other</b>		
Printing and binding of dealer report forms	500 logbooks * \$2.50 per logbook	\$1,250
Postage for logbooks	Mail 500 logbooks * \$4.00 per logbook	\$2,000
Postage for info packets and letters	(\$0.50*600 compliance letters)	\$300
Technology (computer programs, equipment)		\$250
Telecommunication charges <sup>D</sup>	4 phones * \$40/mo * 12 mo	\$1,920
	<b>Total Supplies</b>	<b>\$6,020</b>
<b>Contractual</b>		
Trip Ticket 1 yr maintenance	\$850/mo fee * 12 mo	\$10,200
(Software support and upgrades)		
	<b>Total Contractual</b>	<b>\$10,200</b>
	<b>Subtotal</b>	<b>\$18,720</b>
<b>Total Direct Costs</b>		<b>\$94,216</b>
<b>Indirect Costs (30%)</b>		<b>\$28,265</b>
<b>Total Award to DMR</b>		<b>\$122,480</b>

A: Cost includes salary and benefits, which are dictated by contract with State of Maine and are non-negotiable.

B: All state agencies must rent vehicles through state's Central Fleet Agency which is non-negotiable. Vehicle costs include the following services and costs: maintenance, repairs, insurance, and gasoline.

C: DMR staff meet with and train dealers how to electronically report to DMR and/or NMFS.

D: One cell phone for each of the two specialists and one each for the two scientists working on the project.

**Partner Contribution For ACCSP Purposes**

Scientist IV (7% time)	\$9,115
Scientist III (50% time)	\$51,837
Scientist II (50% time)	\$57,484
Specialist II (75% time)	\$59,364
Office Associate I (15% time)	\$11,704
Office Associate II (100%)	\$78,417
<u>Elver Mobile Swipe Card Project</u>	<u>\$21,900</u>

\$289,821

Text in bold indicate where proposal hit on ranking criteria.



**Budget Narrative for FY-2020 proposal:**

**Personnel and Fringe Benefits:** The Specialist I named in the grant is Eileen Greenleaf. The position is funded full time (100%) by this award and are a Department of Marine Resources' employee. Salary and benefits for this employee are dictated by contract with the State of Maine and are non-negotiable. Benefits include retirement benefits, FICA, health insurance, dental insurance, workers compensation and life insurance. The benefits are determined by a formula the state uses which is variable dependent upon the position classification, the pay grade of the employee (e.g. the number of years the person has been employed by the State of Maine) and type of coverage the employee selects.

**Travel:** The Specialists are the employees who will be travelling. The travel is for visiting dealers to install reporting software, training dealer staff how to electronically report or troubleshooting reporting problems. Staff provide dealers with one-on-one training on these reporting systems and help troubleshoot electronic reporting problems. Travel occurs throughout the coast of Maine, although trips to the interior are not unusual if the dealer headquarters is located inland. These dealers must be trained in the use of electronic reporting and in some cases given reporting software to submit their landings information.

The mileage reimbursement rate is set by the State of Maine and are not negotiable.

Occasional extended day travel or overnight stays are necessary. If multiple dealer appointments to these remote areas are made for the same day, or appointments are made for consecutive days, overnight travel may be necessary. The rates were calculated through the GSA website for posted rates.

**Supplies:** Filing supplies are needed each year. The MEDMR does not require paper dealers to use the supplied bound logbook. Many of our paper dealers download the electronic version of their form from our website. We do accept forms via email, fax or U.S. mail. The bound logbook includes a carbon copy that dealers use for their records, or to resend should the original gets lost in the mail. Many dealers like this carbon copy feature, which is one of the main reasons why we choose to continue to purchase these bound logbooks.

**Contract:** The Trip Ticket reporting software is custom-made software only available from Bluefin Data LLC and was purchased in a previous grant. This is the only vendor that can provide the software support and maintenance and this is the only outside vendor providing these services to ACCSP and NMFS as well as MEDMR. In this grant segment, this award will pay for a maintenance contract for Bluefin Data LLC to provide backup support, to be available for troubleshooting software problems and provide program upgrades as needed. This program is essential, as seafood dealers in Maine use the software to comply with MEDMR regulations. The information is used by MEDMR, National Marine Fisheries Service and other state agencies for fisheries management.

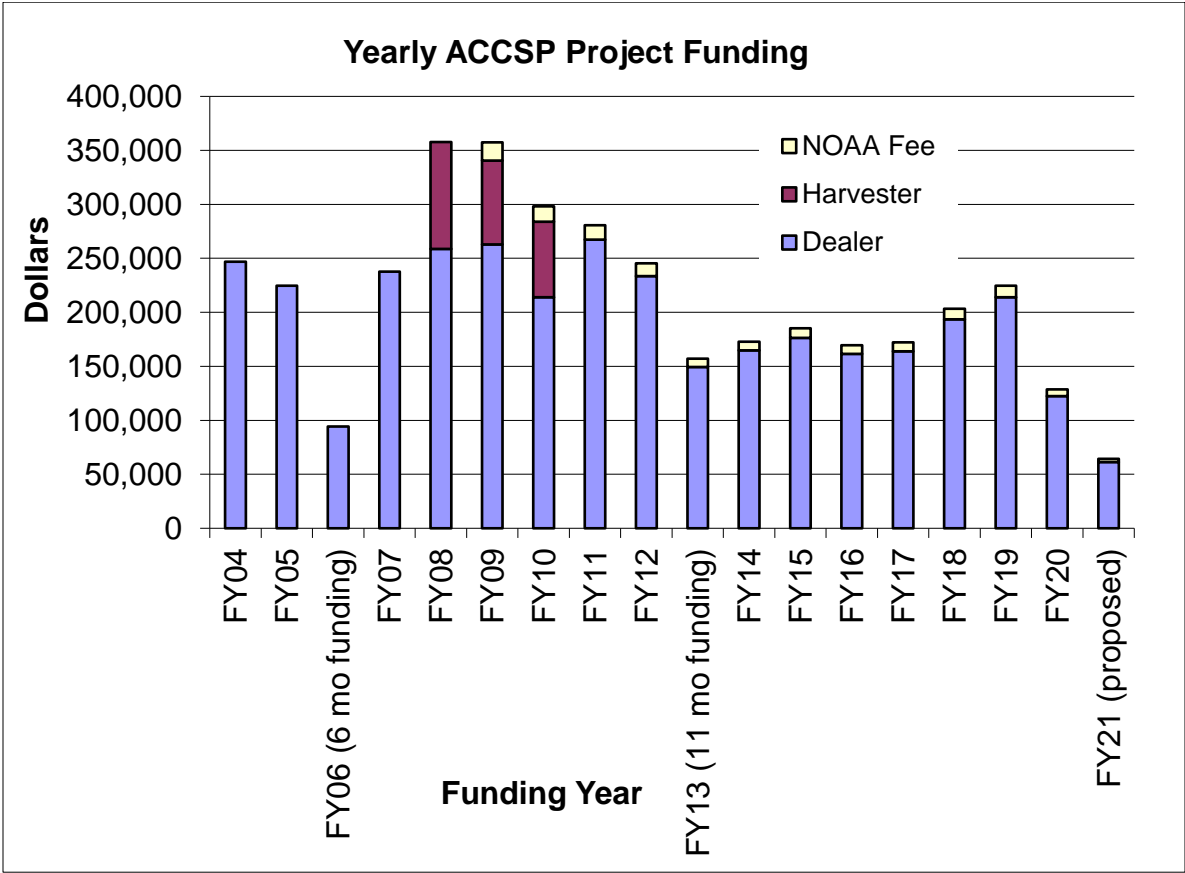
**Other:** Cell phones for the Specialists and the Scientists are necessary for communication and safety when on travel to dealer locations. The Scientist positions are not mentioned in the personnel costs because the positions are paid for with state money (not grant money), although staff members travel while working on this grant award. Staff often needs to call NMFS or Bluefin Data LLC when installing software or troubleshooting reporting issues at the dealer locations. Dealer reporting logbooks are printed every year and distributed to those who opt to report on paper. Some dealers use many logbooks per year, depending on the logbook type they choose and the number of harvesters with which they do business.

**Indirect costs:** The Department of Marine Resources has an indirect cost rate of 30%. See Attachment 3 for the Negotiated Indirect Cost Agreement.

## Attachment 1: Project History

Fund Year	Title	Cost	Extension through	Actual dates funding covered	Results
2004	Implementation of a Mandatory Dealer Reporting System for Maine Commercial Landings According to ACCSP Standards	\$246,965	Apr-06	Jul 2004-Apr 2006 (extension required when Ops Committee asked MEDMR not to hire Office Associate I with this grant and salary savings when Specialist I quit)	Established Reporting Advisory Committee; drafted trip level reporting regulation; extensive outreach with industry including 10 state-wide meetings and 11 industry-specific meeting; worked with SCBI to develop and deploy "Trip Ticket" to state dealers; 1174 dealer visits; recruited dealers to report voluntarily; defeated a legislative bill to stop MEDMR's reporting program; see Completion Report for more info.
2005	Continuation of Implementation of a Mandatory Dealer Reporting System for Maine Commercial Landings According to ACCSP Standards	\$224,749	Jun-07	May 2006-Jun 2007 (extension required because FY04 was extended and a Specialist I was promoted in MEDMR, leaving vacant position for a number of months)	Worked with ACCSP to make SAFIS usable for Maine state dealers; began file uploading voluntary dealer data; began collecting voluntary paper trip tickets; 380 dealer visits; 67 dealers actively reporting; worked to modify report options in "Trip Ticket" software to benefit dealers; began phasing out duplicative reporting by dealers; passed comprehensive trip level reporting regulation for all dealers in June 2007 which will give momentum to project.
2006	Interim Support for Mandatory Dealer Reporting in Maine	\$94,093	Dec-07	Jun 2007-Dec 2007	Worked to get remaining 404 dealers set up with a trip level reporting method. Notified dealers to begin reporting trip level data as of Jan 1, 2008. Began uploading harvester license & vessel data weekly to SAFIS.
2007	FY07 – Mandatory Dealer Reporting for Maine Commercial Landings	\$237,548	8-Oct	Jan 2008 -Oct 2008	Began enforcing trip level reporting; begin audit dealer data; began monthly compliance calls to delinquent dealers; encouraged more electronic reporting; staff entering paper data from 433 dealers and uploading electronic data from 58 dealers.
2008	FY08- Managing Mandatory Dealer and Harvester Reporting in Maine	\$357,574	9-Oct	Nov 2008-Sept 2009	Complete 1 <sup>st</sup> year of mandatory dealer reporting regulation; enter, audit and transmit data to ACCSP; year 1 of 10% lobster and dogfish harvester reporting; begin to implement scallop harvester reporting.
2009	FY09 – Managing Mandatory Dealer and Harvester Reporting in Maine	\$357,415	10-Nov	Oct 2009-Sept 2010	Complete 2 <sup>nd</sup> year of mandatory dealer reporting; enter, audit and transmit data to ACCSP; year 2 of 10% lobster and dogfish harvester reporting; year 2 of scallop harvester reporting. Enter, audit and transmit data to ACCSP.
2010	FY10- Managing Mandatory Dealer and Harvester Reporting in Maine	\$298,129	11-Nov	Oct 2010-Oct 2011	Complete 3 <sup>rd</sup> year of mandatory dealer reporting; enter, audit and transmit data to ACCSP; year 3 of 10% lobster and dogfish harvester reporting; year 3 of scallop harvester reporting. Enter, audit and transmit data to ACCSP.
2011	FY11- Managing Mandatory Dealer Reporting in Maine	\$280,605	12-Nov	Aug 2011 – July 2012	Complete 4 <sup>th</sup> year of mandatory dealer reporting; enter, audit and transmit data to ACCSP. Work on more audits, including dealer data vs. harvester data submitted.
2012	FY12 – Managing Mandatory Dealer Reporting in Maine	\$245,303	13-Nov	Aug 2012-July 2013	Complete 5 <sup>th</sup> year of mandatory dealer reporting; enter, audit and transmit data to ACCSP. Expanding audits, including dealer data vs. harvester data submitted.
2013	FY13- Managing Mandatory Dealer Reporting in Maine	\$156,966	14-Oct	Aug 2013-June 2014	Complete 6 <sup>th</sup> year of mandatory dealer reporting; enter, audit and transmit data to ACCSP. Expanding audits, including dealer data vs. harvester data submitted for different fisheries.
2014	FY14- Managing Mandatory Dealer Reporting in Maine	\$164,663		July 2014 – Sep 2015	Complete 7 <sup>th</sup> year of mandatory dealer reporting; enter, audit and transmit data to ACCSP. Enforce timely reporting with license suspension and implement new swipe card program for elver dealers.
2015	FY15- Managing Mandatory Dealer Reporting in Maine	\$176,373		Oct 2015 – Sep 2016	Complete 8 <sup>th</sup> year of mandatory dealer reporting; enter, audit and transmit data to ACCSP. Enforce timely reporting with license suspension and help develop new swipe card program for multiple fisheries.
2016	FY16- Managing Mandatory Dealer Reporting in Maine	\$161,558		Oct 2016 – Sep 2017	Complete 9 <sup>th</sup> year of mandatory dealer reporting; enter, audit and transmit data to ACCSP. Enforce timely reporting with license suspension and implement new swipe card program for sea urchin dealers.
2017	FY17- Managing Mandatory Dealer Reporting in Maine	\$161,001		Oct 2016 – Sep 2017	Complete 10 <sup>th</sup> year of mandatory dealer reporting; enter, audit and transmit data to ACCSP. Enforce timely reporting with license suspension and continue swipe card reporting for sea urchin and elver dealers.
2018	FY18- Managing Mandatory Dealer Reporting in Maine	\$193,516		Oct 2017 – Sep 2018	Complete 11 <sup>th</sup> year of mandatory dealer reporting; enter, audit and transmit data to ACCSP. Enforce timely reporting with license suspension and continue swipe card reporting for sea urchin and elver dealers.
2019	FY19- Managing Mandatory Dealer Reporting in Maine	\$213,951		Oct 2018 – Sep 2019	Complete 12 <sup>th</sup> year of mandatory dealer reporting; enter, audit and transmit data to ACCSP. Enforce timely reporting with license suspension and continue swipe card reporting for sea urchin and elver dealers.
2020	FY20- Managing Mandatory Dealer Reporting in Maine	\$122,480		Oct 2019 – Sep 2020	Complete 13 <sup>th</sup> year of mandatory dealer reporting; enter, audit and transmit data to ACCSP. Enforce timely reporting with license suspension and continue swipe card reporting for sea urchin and elver dealers.

**Attachment 2: Yearly Breakdown of ACCSP Funding**



### Attachment 3: Negotiated Indirect Cost Agreement

**U.S. Department of Commerce**  
Office of Acquisition Management – Grants Management Division  
1401 Constitution Ave., NW, HCHB Rm 6412  
Washington, DC 20230, Attn: Indirect Cost Program

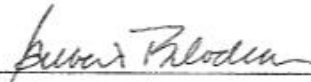
#### CERTIFICATE OF INDIRECT COSTS

This is to certify that I have reviewed the indirect cost rate proposal prepared and maintained herewith and to the best of my knowledge and belief:

- (1) All costs included in this proposal dated 3/18/20 to establish indirect cost billing rates for July 1, 2019 through June 30, 2020 are allowable in accordance with the requirements of the federal awards to which they apply and 2 CFR Part 200, "Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards". This proposal does not include any costs which are unallowable as identified in the applicable federal cost principles. For example, advertising contributions and donations, bad debts, entertainment costs or fines and penalties.
- (2) All costs included in this proposal are properly allocable to federal awards on the basis of a beneficial or causal relationship between the expenses incurred and the agreements to which they are allocated in accordance with applicable requirements. Further, the same costs that have been treated as indirect costs have not been claimed as direct costs. Similar types of costs have been accounted for consistently and the Federal Government will be notified of any accounting changes that could affect the rate.
- (3) The indirect cost rate calculated within the proposal is 34.30%, which was calculated using an indirect cost rate base type of Modified Total Direct Costs. The calculations were based on actual costs from fiscal year July 1, 2018 thru June 30, 2019 to obtain a federal indirect cost billing rate for fiscal year beginning July 1, 2019.

Subject to the provisions of the Program Fraud Civil Remedies Act of 1986, (31 USC 3801 et seq.), the False Claims Act (18 USC 287 and 31 USC 3729); and the False Statement Act (18 USC 1001), I declare to the best of my knowledge that the foregoing is true and correct.

Organization Name: State of Maine, Department of Marine Resources

CFO Signature:  Date: 3/18/2020

Name/Title Authorized Official: Gilbert M. Bilodeau, Director, Natural Res Ser Ctr

Dept Head Signature:  Date: 03/18/2020

Name/Title Authorized Official: Patrick Keliher, Commissioner



# Department of Marine Resources

## INTEROFFICE MEMORANDUM

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**TO:** FILE  
**FROM:** PATRICK KELIHER, COMMISSIONER  
**SUBJECT:** RATE USED FOR COST ALLOCATION  
**DATE:** 6/5/2020

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In accordance with OMB Circular A-87, the Department of Marine Resources has submitted to the U.S. Department of Commerce a departmental cost allocation plan for use during state fiscal year 2019 ending June 30, 2019. The indirect cost rate proposal is 34.30%. I am authorizing the use of the lesser rate of 30% to be used during this period.

**ACCSP**  
"FY21: Managing Mandatory Dealer Reporting in Maine"  
(Oct 1, 2021 – Sept 30, 2022)

  
Patrick Kelihier, Commissioner

6/8/2020

#### **Attachment 4: Authority to Suspension Licenses for Delinquent Reporters**

An Act to Improve the Quality of the Data Used in the Management of Maine's Fisheries

Be it enacted by the People of the State of Maine as follows:

Sec. 1. 12 MRSA §6301, sub-§6 is enacted to read:

6. Ownership identified. If a license issued under chapter 625 is issued to a firm, corporation or partnership, the individual who owns the highest percentage of that firm, corporation or partnership must be identified on the license application. When 2 or more individuals own in equal proportion the highest percentages of a firm, corporation or partnership, each of those owners must be identified.

Sec. 2. 12 MRSA §6412 is enacted to read:

§ 6412. Suspension of license or certificate for failure to comply with reporting requirements

1. Authority to suspend. The commissioner, in accordance with this section, may suspend a license or certificate issued under this Part if the holder of the license or certificate fails to comply with reporting requirements established by rule pursuant to section 6173. A license or certificate suspended under this section remains suspended until the suspension is rescinded by the commissioner. The commissioner shall rescind a suspension when:

A. The commissioner determines and provides notice to the holder of the suspended license or certificate that the holder has come into compliance with the reporting requirements established by rule pursuant to section 6173; and

B. The holder pays to the department a \$25 administrative fee.

When a suspension is rescinded, the license or certificate is reinstated. Until the suspension is rescinded, the holder of the suspended license or certificate is not eligible to hold, apply for or obtain that license or certificate.

2. Process for suspension for failing to comply with weekly reporting. If the commissioner determines that a person who holds a license or certificate under this Part has failed to comply with a weekly reporting requirement established by rule pursuant to section 6173, the commissioner shall notify the person at the telephone number provided on the application for the license or certificate and by e-mail if an e-mail address is provided on the application. If the license or certificate holder has not complied with the reporting requirements within 2 days after the commissioner has provided the notice, the commissioner shall mail a notice of suspension to the license or certificate holder by certified mail or the notice must be served in hand. The notice must:

A. Describe the information that the license or certificate holder is required to provide pursuant to this Part that the department has not received; and

B. State that, unless all the information described in paragraph A is provided to the department or the license or certificate holder requests a hearing, the license or certificate will be suspended in 3 business days after the license or certificate holder's receipt of the notice.

If the license or certificate holder has not complied with the reporting requirements or requested a hearing within 3 business days after receipt of the notice, the commissioner shall suspend the license or certificate.

3. Process for suspension for failing to comply with monthly reporting. If the commissioner determines that a person who holds a license or certificate under this Part has failed to comply with a monthly reporting requirement established by rule pursuant to section 6173, the commissioner shall notify the person at the telephone number provided on the application for the license or certificate and by e-mail if an e-mail address is provided on the application. If the license or certificate holder has not complied with the reporting requirements within 45 days after the commissioner has provided the notice,

the commissioner shall mail a notice of suspension to the license or certificate holder by certified mail or the notice must be served in hand. The notice must:

A. Describe the information that the license or certificate holder is required to provide pursuant to this Part that the department has not received; and

B. State that, unless all the information described in paragraph A is provided to the department or the license or certificate holder requests a hearing, the license or certificate will be suspended in 3 business days after the license or certificate holder's receipt of the notice.

If the license or certificate holder has not complied with the reporting requirements or requested a hearing within 3 business days after receipt of the notice, the commissioner shall suspend the license or certificate.

4. **Hearing.** A license or certificate holder receiving a written notice of suspension pursuant to this section may request a hearing on the suspension by contacting the department within 3 business days of receipt of the notice. If a hearing is requested, the suspension is stayed until a decision is issued following the hearing. The hearing must be held within 3 business days of the request, unless another time is agreed to by both the department and the license or certificate holder. The hearing must be conducted in the Augusta area. The hearing must be held in accordance with:

A. Title 5, section 9057, regarding evidence, except the issues are limited to whether the license or certificate holder has complied with reporting requirements established by rule pursuant to section 6173;

B. Title 5, section 9058, regarding notice;

C. Title 5, section 9059, regarding records;

D. Title 5, section 9061, regarding decisions, except the deadline for making a decision is one business day after completion of the hearing; and

E. Title 5, section 9062, subsections 3 and 4, regarding a presiding officer's duties and reporting requirements, except that notwithstanding Title 5, section 9062, subsection 1, the presiding officer must be the commissioner or the commissioner's designee.

## **Summary of Proposal for ACCSP Ranking**

**Proposal Type:** Maintenance

### **Primary Program Priority and Percentage of Effort to ACCSP modules:**

*Catch and Effort (10 points):* 100% of licensed dealers must report trip level information on 100% species they purchase from harvesters.

*Social and Economic (2 points):* The data collected by 100% of licensed dealers collects the majority of fields required for commercial fisheries.

*Data Delivery Plan (2 Points):* All electronic data are submitted into SAFIS daily. All data reported on paper reports are entered into MEDMR's MARVIN database and will be sent to the ACCSP Data Warehouse on at least a bi-annual basis after all data have been thoroughly audited.

### **Project Quality Factors:**

*Regional Impact (5 Points):* all partners will benefit, as all the data collected will be uploaded to ACCSP. Regional management organizations, such as ASMFC, will benefit from the trip level information from Maine. Partners may also benefit from the technologies/procedures tested in the elver swipe card/mobile app reporting project. MEDMR contracted to have a mobile app built for dealers to use in conjunction with swipe card technology and required elver dealers to use since the 2014 season. MEDMR paid for all start-up costs associated with this project and shared findings with ACCSP.

*Funding transition plan (4 Points):* through MEDMR's reorganization, the cost of two positions was absorbed by state and MEDMR is no longer asking for funding for salary and benefits. MEDMR also funds the Office Associate II that is responsible for license suspensions for those who fail to report, and all costs associated with that additional position. MEDMR paid for the development of a "limited species" version of the Trip Ticket software and a mobile app that will be used in conjunction with harvester swipe cards for elver dealers to report with swipe card technology. MEDMR will pay for the ongoing monthly maintenance fee associated with this program. Currently, the MEDMR does not have any plans to require electronic reporting for all fisheries. Geographical restrictions prevent all dealers from having reliable high-speed internet access at this time.

*In-kind Contribution (4 Points):* the partner contribution is listed on page 12.

*Improvement in Data Quality/Timeliness (4 Points):* MEDMR can audit data at a more detailed level, including checking dealer reported data against harvester reported data. MEDMR encourages reporting timeliness through outreach with dealers and is working with Marine Patrol to ensure industry understands the importance of submitting accurate and timely information. The Maine State Legislature also passed a new law that authorizes license suspensions for those who fail to report on time which will improve the timeliness and quality of the data submitted. MEDMR mandated electronic reporting through a swipe card system for the elver fishery starting with the 2014 season and in 2015 started requiring dealer to dealer transactions. In 2016 MEDMR required sea urchin dealers to report through swipe cards, which improved timeliness and data quality.

*Potential secondary module as a by-product (in program priority order) (3 points):* This project has led to the development of swipe card reporting which has proven to be a great data collection tool. This project helped develop eDR mobile which was used to successfully collect timely data and change how the MEDMR manages a fishery.

*Impact on Stock Assessment (3 Points):* Regional management organizations which carry out stock assessments will benefit from the detailed landings data reported from Maine. This information is used in stock assessments for many species that are managed by regional agencies.

*Properly Prepared (1 Points):* MEDMR followed ACCSP guidelines and pertinent documents when preparing this proposal.



*Merit (3 points):* This proposal allows MEDMR to comply with mandatory ASMFC requirements. The MEDMR currently provides more data to the data warehouse than any other state and accounts for over 31% of all records landed in the Data Warehouse. MEDMR are always looking for ways to collect data in a timely and efficient manner.

### **Summary of Proposal for ACCSP Ranking (Abridged Ranking Process)**

*Properly Prepared (1 Points):* MEDMR followed ACCSP guidelines and pertinent documents when preparing this proposal.

*Merit (3 points):* This proposal allows MEDMR to comply with mandatory ASMFC requirements. The MEDMR currently provides more data to the data warehouse than any other state and accounts for over 21% of all records landed in the Data Warehouse. MEDMR are always looking for ways to collect data in a timely and efficient manner.

*Achieved Goals (3 points):* The MEDMR has always achieved the goals they have outlined in their proposals. Current goals for this grant cycle have been clearly outlined and how MEDMR intends to achieve have been discussed within this proposal.

*Data Delivery Plan (2 Points):* All electronic data are submitted into SAFIS daily. All data reported on paper reports are entered into MEDMR's MARVIN database and will be sent to the ACCSP Data Warehouse on at least a bi-annual basis after all data have been thoroughly audited.

*Level of Funding (1 Point):* The MEDMR are asking for the exact amount of the mandated 33% cut. The decrease was achieved by removing two thirds of a full-time position from the grant. The MEDMR still has a larger in-kind contribution than what is being asked for in this grant proposal.

**Robert B. Watts II**  
**Maine Department of Marine Resources**  
**(207) 633-9412**  
[\*\*rob.watts@maine.gov\*\*](mailto:rob.watts@maine.gov)

June, 2020

**PROFILE:**

- Knowledge of Maine and federal regulations pertaining to commercial fishing and associated reporting requirements through working with the Department of Marine Resources and the National Marine Fisheries Service.
- Knowledgeable of Maine's fishing industries and how they operate.

**EDUCATION:**

B.S. Marine Science, Maine Maritime Academy, Castine, ME 2002

**EMPLOYMENT EXPERIENCE:**

**May 2016 – Present**                      **Marine Resource Scientist III**  
**Maine Department of Marine Resources**  
**West Boothbay Harbor, ME**

- Manages daily operations of Maine's Commercial Landings Program, which collects, compiles and distributes commercial fishery statistics for Maine's commercial fisheries.
- Supervises Landings Program personnel.
- Maintain Microsoft Access databases for licensing information, compliance and data entry.
- Communicates with industry regarding reporting requirements, monitors reporting compliance and works with the licensing division in order to ensure all mandatory reporting requirements are met and licenses are issued accordingly.
- Oversees DMR's landings suspension authority and process.
- Oversees DMR's swipe card reporting program.
- Maintains dealer and harvester auditing databases.
- Oversees Maine's Interactive Voice Response (IVR) reporting program.
- Oversees Maine's Environmental Monitoring Program.
- Serves as key contact for Maine commercial landings information.
- Promotes Maine's partnership with Atlantic Coastal Cooperative Statistical Program (ACCSP), serving on the Operations Committee, Commercial Technical Committee, Information Systems Technical Committee, Standard Codes Committee and Outreach Committee; working to bring the Landings Program into compliance with ACCSP standards.

**Jan 2014 – Jan 2016**                      **Marine Resource Scientist III (Acting Capacity)**

**June 2015 – Apr 2016**                      **Marine Resource Scientist II**  
**Maine Department of Marine Resources**  
**West Boothbay Harbor, ME**

- Manages daily operations of Maine's Commercial Landings Program, which collects, compiles and distributes commercial fishery statistics for Maine's commercial fisheries.
- Supervises Landings Program personnel.
- Maintain Microsoft Access databases for licensing information, compliance and data entry.
- Communicates with industry regarding reporting requirements, monitors reporting compliance and works with the licensing division in order to ensure all mandatory reporting requirements are met and licenses are issued accordingly.

- Oversees DMR's landings suspension authority and process.
- Oversees DMR's swipe card reporting program.
- Maintains dealer and harvester auditing databases.
- Oversees Maine's Interactive Voice Response (IVR) reporting program.
- Serves as key contact for Maine commercial landings information.
- Promotes Maine's partnership with Atlantic Coastal Cooperative Statistical Program (ACCSP) through serving on the Commercial Technical Committee, Information Systems Technical Committee and Outreach Committee; working to bring the Landings Program into compliance with ACCSP standards.

**Feb 2012 – Apr 2015                      Marine Resource Scientist I  
Maine Department of Marine Resources**

- Manages daily operations of Maine's Commercial Landings Program, which collects, compiles and distributes commercial fishery statistics for Maine's commercial fisheries.
- Supervises five Landings Program personnel.
- Maintain Microsoft Access databases for licensing information, compliance and data entry.
- Communicates with industry regarding reporting requirements, monitors reporting compliance and works with the licensing division in order to ensure all mandatory reporting requirements are met and licenses are issued accordingly.
- Oversees outreach to industry.
- Maintains dealer and harvester auditing databases.
- Oversees Maine's Interactive Voice Response (IVR) reporting program.
- Serves as key contact for Maine commercial landings.

**Oct 2007 – Jan 2012                      Marine Resource Specialist II  
Maine Department of Marine Resources**

- Oversee daily operations of the harvester landings program.
- Notify new harvesters about reporting requirements.
- Maintain databases used for data audits and data entry.
- Monitor reporting compliance database and notifies harvesters if they are delinquent.
- Supervise two Landings Program personnel.
- Oversees IVR reporting.
- Prepare data requests from various sources

**Jul 2005 – Oct 2007                      Marine Resource Specialist I  
Maine Department of Marine Resources**

- Interviewed marine recreational anglers all over the Maine coast to help determine fish stocks. Identified, weighed, measured and recorded fish caught by anglers.
- Created publications, updated regulation handouts and updated the recreational fishing website as needed.

**May 2001 – Jun 2005                      Conservation Aid  
Maine Department of Marine Resources**

- Interviewed marine recreational anglers all over the Maine coast to help determine fish stocks. Identified, weighed, measured and recorded fish caught by anglers.
- Acted as a liaison between the State of Maine and the recreational anglers, answered anglers questions about fishing regulations.

**Lessie White Jr.**  
**Maine Department of Marine Resources**  
**(207) 633-9412**  
[lessie.l.white@maine.gov](mailto:lessie.l.white@maine.gov)

June, 2020

**PROFILE:**

- Knowledge of tracking systems and applications to retrieve fishing intensity.
- Knowledge of and working relationship with many fishing industries in Maine.

**EDUCATION:**

M.S. Marine Biology, University of Maine/Orono Campus, Orono, ME 2000

B.S. Marine Science/Biology, Long Island University/Southampton Campus, Southampton, NY 1997

**EMPLOYMENT EXPERIENCE:**

**Jul 2016 – Present**                      **Marine Resource Scientist II**  
**Maine Department of Marine Resources**  
**West Boothbay Harbor, ME**

- Manages daily operations of Maine’s Commercial Landings Program, which collects, compiles and distributes commercial fishery statistics for Maine’s commercial fisheries.
- Supervises Landings Program personnel.
- Maintain Microsoft Access databases for licensing information, compliance and data entry.
- Communicates with industry regarding reporting requirements, monitors reporting compliance and works with the licensing division in order to ensure all mandatory reporting requirements are met and licenses are issued accordingly.
- Oversees DMR’s landings suspension authority and process.
- Oversees DMR’s swipe card reporting program.
- Maintains dealer and harvester auditing databases.
- Oversees Maine’s Interactive Voice Response (IVR) reporting program.
- Serves as key contact for Maine commercial landings information.

**Jul 2000 – Jul 2016**                      **Marine Resource Scientist I**  
**Maine Department of Marine Resources**  
**West Boothbay Harbor, ME**

- Implemented the RockSeven tracker project; Tracked boats using GPS trackers to determine fishing activity; Worked with Rock Seven to develop application to show fishing intensity at different speed ranges; Managed the funds;
- Participated in Locus Traxx project; Tracked boats using GPS trackers to determine daily movement and fishing activity; Checked for daily trip reports of fishing activity; Called fishermen to confirm fishing activity; Constructed a spreadsheet to show the performance of the on board reporting system.
- Responsible for implementation of the sea urchin and shrimp port sampling programs; Coordinating sampling schedule; Supervised employee during winter months; Conduct interviews; Collect samples; Process samples in the field and in the lab; Run data quality checks; Maintaining sampling gear; Train other scientists in urchin and shrimp procedures for working up sample; Data analysis on Maine, Massachusetts and New Hampshire’s shrimp data; Participate in the stock assessment for shrimp.

- Participated in scallop, quahog and sea cucumber port sampling program; Sample catches at the docks; Interview the vessel captains for fishing and effort information; Process samples.
- Participated in a Fishing Gear Technology Working Group trying to look at all gear technology advancements for all fisheries; my primary focus was shrimp and lobsters.
- Participated in a Trawl Gear Workshop entitled “Working Together to Improve Fishing Technology”. This workshop looked at different ways to improve otter trawl selectivity through technological advances in materials and trawl designs.
- Participated in Bycatch in Northeast Fisheries: Moving Forward Workshop, where I participated at observing the roadblocks facing researchers and fishermen in trying to get new gear technology into fisheries management.
- Was responsible for shrimp logbook program; Distributing logbook forms; Developing a database to track compliance; Direct contact with fishermen to obtain correct entries; Answer any question the fishermen may have related to the logbook program.
- Participate in lobster sea sampling and ventless survey trips; Measure carapace length; Determine sex; Determine cull code; Determine V notch code; Determine egg classification code; Determine molt; Determine shell disease prevalence; Interviewing the vessel captains for fishing and effort information; Enter data into database.
- Participate in the summer shrimp trawl survey as lead shrimp biologist to assess the status of the stock; Train other scientists in shrimp identification, sex and stage identification, and procedures for working up samples; Work on a limited basis with FSCS (Fisheries Scientific Computing System).
- Implemented whiting gear research; supervised two contract positions; Observed and sorted the catch; Processed catch; analyzed data.
- Acted as DMR liaison and lead scientist on the NEC New Generation Trawl groundfish gear project. This included supervising four contract positions and two observer positions, overseeing data collection, collecting data, data entry, data checking, data analysis and writing the final report.
- Implemented the shrimp combination grate and cod end research; Sorted, identified, and measured the catches; Data analysis; Partial report writing; used underwater camera to video shrimp grate in action. Supervised one contract position.
- Participated as a member of the New England Fishery Management Council’s Plan Development Team for deep-sea red crabs; Assisting in the initial development of a Fishery Management Plan for deep-sea red crabs.
- Participated as an observer in the experimental Atlantic halibut fishery; conducted a literature search on the tagging methods in the halibut fishery.
- Implemented a green crab trapping experiment looking at catchability, retention and cost of five different traps; Looked at converting current gear with the least amount of effort and cost; Set up sampling schedule and area; obtained the equipment; ran the experiments; partial data analysis.

**Oct 1997 – Dec 2000**

**Graduate Student Research  
University of Maine/Orono Campus  
Orono, ME**

- Graduate research project on cod energetics; Ran a small closed water aquaculture system; Raised larval and juvenile cod; Raised live food for larval cod; Conducted water quality tests; Gave presentations; Analyzed data; Did minor repairs and cleaned system; Gave tours.

**Erin L. Summers**  
**Maine Department of Marine Resources**  
**(207) 633-9556**  
[erin.l.summers@maine.gov](mailto:erin.l.summers@maine.gov)

June, 2020

**Profile:**

- Work collaboratively with state, federal, academic, conservation, and industry partners to reduce whale entanglements and mortality in marine mammals and sea turtles through bodies such as the Atlantic Large Whale Take Reduction team and Atlantic Large Whale Disentanglement Network.
- Build research programs to provide baseline data on large whale life history, ecology, and habitat use in Maine's coastal rocky bottom habitats. Design new and emerging methodologies to inform management decisions.
- Oversee research and monitoring programs within the Division of Biological Monitoring at DMR, including the lobster programs, surveys for scallops, sea urchin, shrimp, and herring, recreational fisheries program, inshore trawl survey, and the landings and reporting group.
- Represent the Department of Marine Resources in stakeholder meetings, including those for wind energy permitting, Natural Resource Damage Assessments, department wide research and priority setting, etc.
- Member of the Atlantic Scientific Review Group advising NOAA Fisheries on marine mammal stock assessments

**Education:**

MA Biology: Boston University Marine Program                      Woods Hole, Ma. 5/02  
BA Biology, Spanish minor: Truman State University              Kirksville, Mo. 5/00

**Employment:**

**Jan 2017 – present:**                      **Marine Resource Scientist IV**  
   **Maine Department of Marine Resources**  
   **West Boothbay Harbor, Me**

- Oversee Division of Biological Monitoring, including Commercial Landings Program, Benthic group (lobster, scallops, urchins), and Pelagic group (herring, groundfish, shrimp, and recreational fishing)
- Lead Scientist for DMR's Large Whale Conservation Program
- Member of the Atlantic Large Whale Take Reduction Team

**Feb 2006 – Jan 2017:**                      **Marine Resource Scientist II**  
   **Maine Department of Marine Resources**

- Lead scientist for DMR's Large Whale Conservation Program
- Secured grant funding, wrote reports, tracked budgets to support research projects
- Completed projects to support management decisions for the Atlantic Large Whale Take Reduction Plan, including tagging humpback whales, right whale habitat surveys, passive acoustic surveys, gear density surveys, testing alternative fishing gear, characterizing fishing practices, etc.
- Oil Spill Response Coordinator
- Assist with GIS coordination

**Jan 2010 – May 2010:**      **Adjunct Faculty**  
**Unity College**  
**Unity, Me**

- Taught upper level course in the biology of Marine Mammals

**Feb 2004 – Feb 2006:**      **Marine Mammal Research Specialist**  
**University of New England**  
**Biddeford, Me**

- Lead Research technician on project to track and predict right whale habitat use and distribution
- Analysis of remotely sensed data and right whale sightings in the Bay of Fundy Critical Habitat
- Assisted with report writing and budget tracking
- Completed project and published paper analyzing right baleen using stable isotope analysis
- Completed project and published papers satellite tagging and tracking basking sharks off the coast of New England

**Sept 2002 – Feb 2004:**      **Research Technician**  
**Cetacean and Sea Turtle Team, NOAA Fisheries Service**  
**Beaufort, NC**

- Lead technician tracking and analyzing movements of satellite tagged dolphins
- Perform field work including fishing gear and dolphin aerial surveys, boat-based dolphin biopsy and photo-identification surveys, satellite tagging dolphins, responding to standings, etc.
- Participate in necropsies as needed

**Oct 2000 – June 2002:**      **Laboratory Technician**  
**Marine Biological Laboratories**  
**Woods Hole, Ma**

- Manage daily operations of the laboratory of marine veterinarian, Roxanna Smolowitz
- Run experiments and document methodologies and results
- Prepare media, samples, histology slides, and other lab bench work