



DEPARTMENT OF COMMERCE RESEARCH PERFORMANCE PROGRESS REPORT (RPPR)

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AWARD INFORMATION	
1. Federal Agency: Department of Commerce / NOAA	2. Federal Award Number: NA17NMF4740146
3. Project Title: FY17 Managing Mandatory Dealer Reporting in Maine	
4. Award Period of Performance Start Date: 10/01/2017	5. Award Period of Performance End Date: 09/30/2022
PRINCIPAL INVESTIGATOR/PROJECT DIRECTOR	
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8. Title: Marine Resource Scientist III	
9. Email: rob.watts@maine.gov	10. Phone Number: 207-633-9412
AUTHORIZING OFFICIAL	
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13. Title: Resource Administrator	
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REPORTING INFORMATION	
Signature of Submitting Official: N/A	
16. Submission Date and Time Stamp:	17. Reporting Period End Date: 09/30/2021
18. Reporting Frequency: <input type="radio"/> Annual <input checked="" type="radio"/> Semi-Annual <input type="radio"/> Quarterly	19. Report Type: <input checked="" type="radio"/> Not Final <input type="radio"/> Final
RECIPIENT ORGANIZATION	
20. Recipient Name: MARINE RESOURCES, MAINE DEPARTMENT OF	
21. Recipient Address: 32 BLOSSOM LN, AUGUSTA, ME 04330-5780 USA	
22. Recipient DUNS: 809045826	23. Recipient EIN: 016000001

ACCOMPLISHMENTS

24. What were the major goals and objectives of this project?

The objective of this proposal was to continue to implement a comprehensive dealer reporting regulation in Maine for the approximately 550 dealers that buy directly from harvesters. Regulation enforcement, data entry into MARVIN (MEDMR's database that contains all sampling, biological and landings data MEDMR collects), data uploading to SAFIS (Standard Atlantic Fisheries Information System), and data auditing were the primary tasks for this project. Staff focused on outreach with dealers to ensure records submitted with "unknown fisherman" and "unknown vessels" were corrected and that dealers had the current license information so they could report accurately. Electronic reporting was encouraged for those still opting to report on paper.

25. What was accomplished under these goals?

1. Enforce compliance

Staff worked closely with dealers during this time to answer questions about reporting. MEDMR fielded phone calls from dealers and provided assistance in troubleshooting software problems, answered questions on how to report, and provided license numbers or hull IDs for certain harvesters. Staff also rejected incomplete reports as they were submitted. MEDMR contacted dealers by phone to let them know why their reports were rejected and how to fix them. In some cases, the reports were corrected over the phone. Staff continued to make compliance calls to delinquent dealers and reminded them to submit missing reports. The two swipe card programs that the MEDMR has utilized have built-in compliance requirements that restrict dealers from purchasing product if they have not reported during the required timeframe (often every 2 days). Having this compliance component built into the software has removed any potential compliance issues within these two fisheries. Staff also mailed suspension notices to dealers then followed up by suspending dealers for failing to report in a timely manner after mailing two notices.

2. Data entry

During this period, 224,989 positive trip records were entered into SAFIS and MARVIN (MEDMR's database that houses all catch and sampling data for the Department). Of those, 30,137 records (13%) were key entered in MARVIN for "state dealers" (those who did not have requirements to NMFS - National Marine Fisheries Service); and 194,852 (87%) were entered into SAFIS by MEDMR staff, "state dealers" or "combo dealers" (those who had to report to MEDMR and NMFS).

3. Encourage electronic reporting

MEDMR staff encouraged as many new dealers as possible to report electronically. Of the 61 new dealers who bought licenses during this period, 37 (61%) chose a form of electronic reporting. It should be noted that if a dealer does not respond to MEDMR's notification letter, they are automatically sent paper reporting forms after two or three weeks of issuance.

MEDMR requires that all elver (36 total reporting set-ups) and sea urchin (8 total set-ups) report via swipe card programs that were developed by Bluefin Data LLC (elver) and Harborlight Software (eDR mobile for sea urchins). During this reporting period, a total of 4,336 elver records and 76 sea urchin records were collected through these swipe card programs.

4. Continue outreach with industry to promote buy-in

MEDMR performed dealer visits at which staff discussed reporting options and set up dealers for reporting trip level data, switched dealers to a different reporting method, or helped train dealers to use reporting software. The MEDMR has been actively trying to switch dealers that report on paper to a form of electronic reporting. MEDMR set up the 61 new dealers with a method for reporting trip data to MEDMR during this time period. MEDMR will continue to promote electronic reporting as the first option provided to dealers.

Attach a separate document if more space is needed for #6-10, or #24-50.

ACCOMPLISHMENTS (cont'd)

26. What opportunities for training and professional development has the project provided?

This project has allowed individuals that were hired into entry level positions the ability to hone their skills and show management that they possess the ability to handle duties that are more complex and deserve to be challenged with these duties. Currently one staff member was just promoted within our project to a higher-level position within the group.

27. How were the results disseminated to communities of interest?

MEDMR has a comprehensive website where summarized data by species (historical and current year), port (for certain species), total landings by port and active license by fisheries are posted. MEDMR also created a new web portal for the public to query summarized non-confidential landings for all species by ports from 2008 to 2020. It is the intent of the MEDMR landings program to release updates to this portal bi-monthly. Landings program staff also fulfill hundreds of data requests (see Attachment I, table 2 for number of requests per year) per year from industry, local/state/federal entities, media, academia and private organizations.

ACCOMPLISHMENTS (cont'd)

28. What do you plan to do during the next reporting period to accomplish the goals and objectives?

MEDMR will continue to deny licenses for those dealers who failed to report one or more months and will complete compliance calls and send compliance notices to delinquent dealers each month and remind them to submit their missing reports. Staff will continue to set up new dealers with a reporting method as needed and will encourage dealers to switch from paper reporting to electronic reporting. Staff will meet twice a month to run full audits the paper data submitted and will continue to audit the electronic data when notified by email. Staff will also assist NMFS to audit data with unknown vessels reported and will work with dealers to identify those vessels. MEDMR will continue to upload data to ACCSP.

The MEDMR will continue to use the "VESL" swipe card program to track elver dealer transactions for the remainder of the 2021 season and eDR mobile for the 2021-22 sea urchin season. It is the intent of the MEDMR to eventually require other fisheries to report using swipe card technology where a management need is identified.

***Please see Attachment 1 #28: Activities planned for next reporting period for the "Milestone Schedule".

PRODUCTS

29. Publications, conference papers, and presentations

Nothing to Report

PRODUCTS (cont'd)

30. Technologies or techniques

Nothing to Report

31. Inventions, patent applications, and/or licenses

Nothing to Report

Attach a separate document if more space is needed for #6-10, or #24-50.

PRODUCTS (cont'd)

32. Other products

Nothing to Report

PARTICIPANTS & OTHER COLLABORATING ORGANIZATIONS

33. What individuals have worked on this project?

Robert B Watts II - Marine Resource Scientist III, Project Lead
Lessie L. White Jr - Marine Resource Scientist II
Marissa L. DeCosta - Marine Resource Scientist II
Eileen Greenleaf - Marine Resource Specialist I - Funded through this grant
Bentley Simpson - Office Associate II (left in August, currently position is vacant)
Susan Kelly - Office Associate I (Previously funded through this grant, no longer as of Oct 1, 2020)

PARTICIPANTS & OTHER COLLABORATING ORGANIZATIONS (*cont'd*)

34. Has there been a change in the active other support of the PD/PI(s) or senior/key personnel since the last reporting period?

Nothing to Report

35. What other organizations have been involved as partners?

Nothing to Report

Attach a separate document if more space is needed for #6-10, or #24-50.

PARTICIPANTS & OTHER COLLABORATING ORGANIZATIONS (cont'd)

36. Have other collaborators or contacts been involved?

Nothing to Report

IMPACT

37. What was the impact on the development of the principal discipline(s) of the project?

Nothing to Report

IMPACT (cont'd)

38. What was the impact on other disciplines?

Nothing to Report

39. What was the impact on the development of human resources?

Nothing to Report

IMPACT (cont'd)

40. What was the impact on teaching and educational experiences?

Nothing to Report

41. What was the impact on physical, institutional, and information resources that form infrastructure?

Nothing to Report

IMPACT (cont'd)

42. What was the impact on technology transfer?

From the start of this project one of the greatest developments was the use of swipe card technology and how it impacts the speed and accuracy of data being supplied from industry. Requiring swipe cards has eliminated "unknown" harvesters from the sea urchin and elver fishery. The harvesters identifying information is captured through the card. The data are submitted and audited on a daily basis and allow the MEDMR to question any potential data issues within 48 hours of the transaction occurring.

43. What was the impact on society beyond science and technology?

Nothing to Report

IMPACT (cont'd)

44. What percentage of the award's budget was spent in foreign country(ies)?

0 , null

CHANGES/PROBLEMS

45. Changes in approach and reasons for change

Nothing to Report

CHANGES/PROBLEMS (cont'd)

46. Actual or anticipated problems or delays and actions or plans to resolve them

COVID-19 has caused many of our daily procedures and protocols to be re-written until it is safe to return to a typical schedule. MEDMR Landings Program staff have worked very hard to overcome all obstacles that have been faced during this current pandemic. Many of the lessons learned during this time will be implemented as part of our standard "non-COVID" procedures. We have been able to work remotely and continue to set up dealers with electronic reporting, albeit in a remote and safe setting. All elver and sea urchin dealers were set up with their swipe card reporting software remotely and dealers wishing to use either Trip Ticket, file upload or key entry SAFIS were instructed either over the phone or through virtual meeting software (MS Teams). Staff are still holding weekly, bi-weekly and monthly group meetings and are being diligent with communications. While COVID-19 has certainly posed challenges; work is still being accomplished at a high level.

47. Changes that had a significant impact on expenditures

Nothing to Report

CHANGES/PROBLEMS (cont'd)

48. Significant changes in use or care of human subjects, vertebrate animals, biohazards, and/or select agents

Nothing to Report

49. Change of primary performance site location from that originally proposed

Nothing to Report

PROJECT OUTCOMES

50. What were the outcomes of the award?

As mentioned in the results section above, this award has allowed MEDMR to complete a 18th year of collecting mandatory dealer data of which 14 years were trip level data. This award has allowed MEDMR to revolutionize how a fishery can be quota monitored through swipe cards. The elver fishery rely on individual fishery quotas (IFQs) and the sea urchin fishery allows harvesters to pick the days they fish based on a predetermined calendar. This award has allowed MEDMR staff to work closely with all state licensed dealers (including "combo" federal/state dealers). The MEDMR are the largest single state supplier of trip level data to the ACCSP Warehouse, typically contributing over 350K records a year. Through this award the timeliness and number of audits performed on the data have increased which benefit all ACCSP partners.

DEMOGRAPHIC INFORMATION FOR SIGNIFICANT CONTRIBUTORS (VOLUNTARY)

<p>Gender:</p> <p><input type="radio"/> Male</p> <p><input type="radio"/> Female</p> <p><input type="radio"/> Do not wish to provide</p>	<p>Ethnicity:</p> <p><input type="radio"/> Hispanic or Latina/o Not</p> <p><input type="radio"/> Hispanic or Latina/o Do not wish to provide</p>
<p>Race:</p> <p><input type="radio"/> American Indian or Alaska Native Asian</p> <p><input type="radio"/> Black or African American</p> <p><input type="radio"/> Native Hawaiian or other Pacific Islander</p> <p><input type="radio"/> White</p> <p><input type="radio"/> Do not wish to provide</p>	<p>Disability Status:</p> <p><input type="radio"/> Yes</p> <p>[] Deaf or serious difficulty hearing</p> <p>[] Blind or serious difficulty seeing even when wearing glasses</p> <p>[] Serious difficulty walking or climbing stairs</p> <p>[] Other serious disability related to a physical, mental, or emotional condition</p> <p><input type="radio"/> No</p> <p><input type="radio"/> Do not wish to provide</p>

Attach a separate document if more space is needed for #6-10, or #24-50.

Table 1: Reporting Methods Chosen for the 2021 Primary Buyers in Maine

Reporting Method	Combo Dealers	State Dealers	Total Dealers
Paper	10	221	231
Trip Ticket	86	64	150
VESL Program	0	36	36
eDR Mobile	4	8	12
SAFIS Key Entry	37	53	90
File Upload	55	62	117
Quahog Electronic Logbook	4	0	4
Total Electronic*	186	223	409
Grand Total	196	444	640

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

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

Sections 5, 6, 7 of Accomplishments (Question 25)

5. Audit of dealer data submitted

Audits were completed once per month on data entered into MARVIN. The audits included, but were not limited to, checking for unknown harvesters, incorrect vessels, weights that exceeded a trip limit, high and low prices, wrong species-gear-disposition combinations, species caught outside of the season, and dealers who reported buying from unlicensed harvesters. Electronic audits on SAFIS data were completed weekly. These audits were built into the SAFIS system and were emailed to MEDMR staff daily. They included basic audits, such as high or low prices and over the trip limits. Staff also queried and audited the SAFIS landings attributed to an “unknown harvester” each week. Dealers were contacted as needed to correct reporting mistakes so that subsequent reports would be submitted with the correct data. Once per month, MEDMR staff queried all the SAFIS data to audit records with unusual species, high or low prices, harvesters without licenses, unknown vessels and wrong gears. Data submitted through “VESL” and “eDR/mobile” were audited daily. Staff looked for duplicate records (harvesters selling twice in one day, dealers creating two tickets if one had incorrect pounds or price, etc), high or low prices and quota monitoring.

6. Transmission of dealer data to ACCSP

Staff uploaded MARVIN data to the ACCSP data warehouse about once every six months during this time for the information to be shared with all ACCSP partners according to the established confidential policies agreed upon by ACCSP partners and according to state law.

7. Dealer suspensions

Staff continued to implement the daily suspension protocol for elver dealers through the elver season. All dealers that were at least one-day delinquent received a phone call. If the missing data were not received by the following day, the MEDMR would send a letter to the delinquent dealer informing them of their delinquency and the timeframe they had to fulfill their reporting obligations. If the dealer did not respond within 12 hours of receipt of this letter their license

was suspended. No dealers received a suspension letter during this reporting period. The MEDMR also continued the other suspension protocols that included all other Maine licensed dealers. The monthly protocol requires that the MEDMR send out a notice to any dealer that are two or more months' delinquent advising them they have 45 days to submit their missing data or they will receive a follow-up letter providing them 3 days to submit their data or their license would be suspended until all missing data were received and a \$25 administrative fee paid. A total of 347 letters were mailed to delinquent dealers and 34 dealers were suspended during this time period.

#28 – Activities planned for next reporting period:

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 compliance	X	X	X	X	X	X	X	X	X	X	X	X
2. Data entry	X	X	X	X	X	X	X	X	X	X	X	X
3. Encourage electronic 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. Transmission of dealer data to ACCSP	X			X			X			X		
7. Metadata												
8. Semi-annual report				X						X		

Table 2: Summary of Project Accomplishments

Goal	Measurement	2004	2005	2006	2007	2008	2009	2010	2011	2012	2013	2014	2015	2016	2017	2018	2019	2020*	2021*
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 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	18	45
Enforce Dealer Compliance	Number of suspension letters to delinquent dealers	-	-	-	-	-	-	-	-	-	-	407	567	177	876	532	421	338	358
Enforce Dealer Compliance	Number of dealers suspended for failing to report timely	-	-	-	-	-	-	-	-	-	-	27	57	38	32	29	89	43	65
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	481,204	493,212	469,200	473,185	489,166	448,825	430,529	412,568	354,857	69,905
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	51,055	47,003	48,634	32,318
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	383,234	376,085	365,249	306,977	232,105
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	321	349	319
Transmit Dealer Data to Data Warehouse	Frequency of data submitted by year landed	Yearly	Yearly	Yearly	Yearly	yearly to twice per month	bi-monthly	once every 6 months											
Outreach	Number of custom data requests	-	11	95	155	204	269	275	281	302	419	434	569	806	720	532	479	946	647
Outreach	Number of custom data requests from portal	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	362	566

Table 3. MEDMR Expenditures between 4/1/2021 – 9/30/2021

NA17MNF4740146 - DMR 4306				
Expense Report from 04/01/2021 through 09/30/2021				
Payroll:				
4306	13A	32	671.36	LIMIT PER HOLIDAY PAY
4306	13A	32	152.11	LIMIT PER SICK PAY
4306	13A	32	1,856.74	LIMIT PER VACATION PAY
4306	13A	32	19,139.01	LIMITED PERIOD REGULAR
4306	13A	36	624.00	LONGEVITY PAY
4306	13A	36	1,200.03	RECRUIT/RETENTION STIPEND
4306	13A	39	175.20	DENTAL INSURANCE
4306	13A	39	384.00	EMPLOYEE HLTH SVS/WORKERS COMP
4306	13A	39	237.90	EMPLOYER GROUP LIFE
4306	13A	39	2,211.20	EMPLOYER RETIREE HEALTH
4306	13A	39	1,003.90	EMPLOYER RETIREMENT COSTS
4306	13A	39	4,527.56	HEALTH INSURANCE
4306	13A	39	4,209.37	RETIRE UNFUNDED LIABILTY-REG
Payroll Total:			36,392.38	
4306	13A	42	12.94	MEALS-EXTENDED WORK DAY
4306	13A	42	9.67	OTHER TRANSPORTATION
4306	13A	46	1,807.05	RENT OF STATE VEHICLE
Travel Total:			1,829.66	
Miscellaneous:				
4306	13A	49	398.69	STAMPS
4306	13A	53	120.32	MINOR IT EQUIPMENT
4306	13A	55	6,000.00	3RD PARTY CONTRACTED SERVICES, NON STATE - IT RELATED
4306	13A	55	1,195.21	CELL PHONE SERVICES
4306	13A	56	276.53	OFFICE SUPPLIES
Miscellaneous Total:			7,990.75	
Total Direct Expenses			46,212.79	
Indirect (30%)			13,863.84	
Total Expenses 4/1/21 - 9/30/21			60,076.63	