



## 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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9. Email: amy.swan@maine.gov	10. Phone Number: 207-620-6474
AUTHORIZING OFFICIAL	
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13. Title: Resource Administrator	
14. Email: rochelle.nutting@maine.gov	15. Phone Number: 207-624-6556
REPORTING INFORMATION	
Signature of Submitting Official: N/A	
16. Submission Date and Time Stamp:	17. Reporting Period End Date: 09/30/2022
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 UEI: KQWCK42PT545	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, 175,056 positive trip records were entered into SAFIS and MARVIN (MEDMR's database that houses all catch and sampling data for the Department). Of those, 3,794 records (2%) were key entered in MARVIN for "state dealers" (those who did not have requirements to NMFS - National Marine Fisheries Service); and 171,262 (98%) 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 37 new dealers who bought licenses during this period, 30 (81%) 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 (43 total reporting set-ups) and sea urchin (7 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 1,299 elver records and 41 sea urchin records were collected through these swipe card programs.

\*\*\*See Attachment 1, Table 1 for Reporting methods chosen for Primary Buyers in Maine.

#### 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 37 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

*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 2021. 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 2022 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  
Kory Whittum - Marine Resource Scientist I  
Eileen Greenleaf - Marine Resource Specialist I – Partially funded through this grant  
Dawne Young - Office Associate II  
Christina Young - Office Associate I

**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 19th 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>

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