

PROPOSED PROTOCOL FOR REVIEWING EXEMPTED FISHING PERMITS  
FOR HIGHLY MIGRATORY SPECIES

Section 8.4.12 of the August 2003 Fishery Management Plan (FMP) and Final Environmental Impact Statement for U.S. West Coast Fisheries for Highly Migratory Species (HMS) states that the Highly Migratory Species Management Team (HMSMT) will develop a protocol for submission and Council review of exempted fishing permits (EFPs), which will be adopted as a Council Operating Procedure (COP). At the September meeting the HMSMT provided two draft protocols. The first draft protocol (Attachment 1) is applicable to EFP proposals submitted after March 31, 2006, for EFPs that are proposed to begin on or **after** April 1, 2007. An interim protocol (Attachment 2) applies to EFP proposals submitted before April 1, 2006, for EFPs that would begin **before** April 1, 2007. (These dates are consistent with the April 1–March 31 fishing year in the HMS FMP.) The Council adopted these two protocols for public review.

At this meeting, the Council should take final action to adopt the protocols as COPs with any recommended changes. The interim protocol, if adopted as a COP, would be used to review an EFP proposal submitted to the Council and included under Agenda Item J.3, Drift Gillnet Management.

**Council Action:**

**Adopt Interim and Final EFP Review Protocols.**

**Reference Materials:**

1. Agenda Item J.2.a, Attachment 1: Protocol for Consideration of Exempted Fishing Permits for HMS Fisheries.
2. Agenda Item J.2.a, Attachment 2: **Interim** Protocol for Consideration of Exempted Fishing Permits for HMS Fisheries.
3. Agenda Item J.2.b, HMSMT Report.

**Agenda Order:**

- a. Agenda Item Overview
- b. Reports and Comments of Advisory Bodies
- c. Public Comment
- d. **Council Action:** Adopt Interim and Final EFP Review Protocols

Kit Dahl

PFMC  
10/14/05

Draft for Public Review  
Protocol for Consideration of Exempted Fishing Permits for HMS Fisheries  
(Effective April 1, 2006)

**DEFINITION**

An exempted fishing permit (EFP) is a federal permit, issued by the National Marine Fisheries Service, which authorizes a vessel to engage in an activity that is otherwise prohibited by the Magnuson-Stevens Fishery Conservation and Management Act or other fishery regulations for the purpose of collecting limited experimental data. EFPs can be issued to federal or state agencies, marine fish commissions, or other entities, including individuals. An EFP applicant need not be the owner or operator of the vessel(s) for the EFP is requested.

**PURPOSE**

The specific objectives of a proposed exempted fishery may vary. The Pacific Fishery Management Council's fishery management plan (FMP) for West Coast HMS fisheries provides for EFPs to promote increased utilization of underutilized species, realize the expansion potential of the domestic HMS fisheries, and increase the harvest efficiency of the HMS fisheries consistent with the Magnuson-Stevens Act and the management goals of the FMP. However, EFPs are commonly used to explore ways to encourage innovation and efficiency in the fisheries, measure bycatch associated with different fishing gears and/or fishing strategies (e.g., during certain times or in certain areas), and to evaluate current and proposed management measures.

**PROTOCOL**

A. Submission

1. The Pacific Fishery Management Council and its advisory bodies [HMS Management Team (HMSMT), HMS Advisory Subpanel (HMSAS) and Scientific and Statistical Committee (SSC)] should review EFP proposals prior to issuance; the advisory bodies may provide comment on methodology and relevance to management data needs and make recommendations to the Council accordingly. The public may also comment on EFP proposals.
2. Completed applications for EFPs from individuals or non-government agencies for Council consideration must be received by the Council for review, at least two weeks prior to the June Council meeting.
3. Applications for EFPs from federal or state agencies must meet the briefing book deadline for the June Council meeting.

B. Proposal Contents

1. EFP proposals must contain sufficient information for the Council to determine:
  - a. There is adequate justification for an exemption to the regulations;
  - b. The potential impacts of the exempted activity have been adequately identified;
  - c. The exempted activity would be expected to provide information useful to management and use of HMS fishery resources.

2. Applicants must submit a completed application in writing that includes, but is not limited to, the following information:
  - a. Date of application
  - b. Applicant's names, mailing addresses, and telephone numbers
  - c. A statement of the purpose and goals of the experiment for which an EFP is needed, including a general description of the arrangements for the disposition of all species harvested under the EFP
  - d. Valid justification explaining why issuance of an EFP is warranted
  - e. A statement of whether the proposed experimental fishing has broader significance than the applicant's individual goals
  - f. An expected total duration of the EFP (i.e., number of years proposed to conduct exempted fishing activities)
  - g. Number of vessels covered under the EFP
  - h. A description of the species (target and incidental) to be harvested under the EFP and the amount(s) of such harvest necessary to conduct the experiment; this description should include harvest estimates of overfished species and protected species
  - i. A description of a mechanism, such as at-sea fishery monitoring, to ensure that the harvest limits for targeted and incidental species are not exceeded and are accurately accounted for
  - j. A description of the proposed data collection and analysis methodology
  - k. A description of how vessels will be chosen to participate in the EFP
  - l. For each vessel covered by the EFP, the approximate time(s) and place(s) fishing will take place, and the type, size, and amount of gear to be used
  - m. The signature of the applicant
  - n. The HMSMT, HMSAS, SSC, and/or Council may request additional information necessary for their consideration

### C. Review and Approval

1. The HMSMT will review EFP proposals in June and make recommendations to the Council for action; the Council will consider those proposals for preliminary action. Final action on EFPs will occur at the September Council meeting. Only those EFP applications that were considered in June may be considered in September; EFP applications received after the June Council meeting for the following calendar year will not be considered.
2. EFP proposals must contain a mechanism, such as at-sea fishery monitoring, to ensure that the harvest limits for targeted and incidental species are not exceeded and are accurately accounted for. Also, EFP proposals must include a description of the proposed data collection and analysis methodology used to measure whether the EFP objectives will be met.
3. The Council will give priority consideration to those EFP applications that:
  - a. Emphasize resource conservation and management with a focus on bycatch reduction (highest priority)
  - b. Encourage full retention of fishery mortalities
  - c. Involve data collection on fisheries stocks and/or habitat
  - d. Encourage innovative gear modifications and fishing strategies to reduce bycatch

- e. Encourage the development of new market opportunities
  - f. Explore the use of incentives to increase utilization of underutilized species while reducing bycatch of non-target species and/or interactions with protected species
4. The HMSMT review will consider the following questions:
- a. Is the application complete?
  - b. Is the EFP proposal consistent with the goals and objectives of the West Coast HMS FMP?
  - c. Does the EFP account for fishery mortalities, by species?
  - d. Can the harvest estimates of overfished species and/or protected species be accommodated?
  - e. Does the EFP meet one or more of the Council's priorities listed above?
  - f. Is the EFP proposal compatible with the federal observer program effort?
  - g. What infrastructure is in place to monitor, process data, and administer the EFP?
  - h. How will achievement of the EFP objectives be measured?
  - i. Is the data ready to be applied? If so, should it be used, or rejected? If not, when will sufficient data be collected to determine whether the data can be applied?
  - j. What are the benefits to the fisheries management process to continue an EFP that began the previous year?
  - k. If propose integrating data into management, what is the appropriate process?
  - l. What is the funding source for at-sea monitoring?
  - m. Has there been coordination with appropriate state and federal enforcement, management and science staff?
5. SSC Review:
- a. All EFP applications should first be evaluated by the HMSMT for consistency with the goals and objectives of the HMS FMP.
  - b. When a proposal is submitted to the HMSMT that includes a significant scientific component that would benefit from SSC review, the HMSMT can refer the application to the SSC for comment.
  - c. In such instances, the SSC will evaluate the scientific merits of the application and will specifically evaluate the application's (a) problem statement; (b) data collection methodology; (c) proposed analytical and statistical treatment of the data; and (d) the generality of the inferences that could be drawn from the study.

#### D. Other considerations

1. EFP candidates or participants may be denied future EFP permits under the following circumstances:
  - a. If the applicant/participant (fisher/processor) has violated past EFP provisions; or has been convicted of a crime related to commercial fishing regulations punishable by a maximum penalty range exceeding \$1,000 within the last three years; or within the last three years assessed a civil penalty related to violations of commercial fishing regulations in an amount greater than \$5,000; or, has been convicted of any violation involving the falsification of fish receiving tickets including, but not limited to, mis-reporting or under-reporting of HMS. Documented fish receiving tickets indicating mis-reporting or under-reporting of HMS will not qualify for consideration when fish reporting documents are used as part of the qualifying criteria for EFPs.

### E. Report Contents

1. The EFP applicant must present a preliminary report on the results of the EFP and the data collected (including catch data) to the HMSMT at the June Council meeting of the following year.
2. A final written report on the results of the EFP and the data collected must be presented to the HMSMT and the Council at the September Council meeting. Those EFPs containing data analysis that could benefit from a scientific review may be forwarded to the SSC for comment.
3. The final report should include:
  - a. A summary of the work completed
  - b. An analysis of the data collected
  - c. Conclusions and/or recommendations
  - d. Timely presentation of results is required to determine whether future EFPs will be recommended

Draft for Public Review  
**INTERIM Protocol for Consideration of Exempted Fishing Permits for HMS Fisheries  
(Effective November 2005–March 31, 2006)**

**DEFINITION**

An exempted fishing permit (EFP) is a federal permit, issued by the National Marine Fisheries Service, which authorizes a vessel to engage in an activity that is otherwise prohibited by the Magnuson-Stevens Fishery Conservation and Management Act or other fishery regulations for the purpose of collecting limited experimental data. EFPs can be issued to federal or state agencies, marine fish commissions, or other entities, including individuals. An EFP applicant need not be the owner or operator of the vessel(s) for the EFP is requested.

**PURPOSE**

The specific objectives of a proposed exempted fishery may vary. The Pacific Fishery Management Council's fishery management plan (FMP) for West Coast HMS fisheries provides for EFPs to promote increased utilization of underutilized species, realize the expansion potential of the domestic HMS fisheries, and increase the harvest efficiency of the HMS fisheries consistent with the Magnuson-Stevens Act and the management goals of the FMP. However, EFPs are commonly used to explore ways to encourage innovation and efficiency in the fisheries, measure bycatch associated with different fishing gears and/or fishing strategies (e.g., during certain times or in certain areas), and to evaluate current and proposed management measures.

**PROTOCOL**

A. Submission

1. The Pacific Fishery Management Council and its advisory bodies [HMS Management Team (HMSMT), HMS Advisory Subpanel (HMSAS) and Scientific and Statistical Committee (SSC)] should review EFP proposals prior to issuance; the advisory bodies may provide comment on methodology and relevance to management data needs and make recommendations to the Council accordingly. The public may also comment on EFP proposals.
2. Completed applications for EFPs from individuals or non-government agencies for Council consideration must be received by the Council for review, at least two weeks prior to the November 2005 Council meeting.
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B. Proposal Contents

1. EFP proposals must contain sufficient information for the Council to determine:
  - a. There is adequate justification for an exemption to the regulations;
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HIGHLY MIGRATORY SPECIES MANAGEMENT TEAM REPORT ON  
PROPOSED PROTOCOLS FOR CONSIDERATION OF EXEMPTED FISHING PERMITS  
FOR HMS FISHERIES

The Highly Migratory Species Management Team (HMSMT) recommends that the Council adopt the proposed Protocols for Consideration of Exempted Fishing Permits (EFPs) for HMS Fisheries—both the interim protocol (attachment 1) and the longer-term protocol (attachment 2). As noted in the drafts for public review, the interim protocol would be in effect from November 2005 through April 2006, and would apply to EFP applications for the 2006 fishing year. The longer-term protocol would be in effect from April 2006, until changed, and would apply to EFP applications affecting fisheries beginning in the 2007 fishing year.