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# **2021 Trawl Rationalization (TRat) Compliance Summary**

**NOAA Office of Law Enforcement  
West Coast Division**

**March 2022**

# 2021 TRAWL RATIONALIZATION (TRat) COMPLIANCE SUMMARY

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The Pacific Coast Groundfish Trawl Catch Share Program, also called the Trawl Rationalization (TRat) Program, consists of an Individual Fishing Quota (IFQ) Program for the shorebased trawl fleet, and cooperative programs for the at-sea mothership and catcher/processor trawl fleets. NOAA Office of Law Enforcement (OLE) West Coast Division (WCD) conducted a review of permit and law enforcement data for calendar year 2021 to summarize compliance statistics for both the shorebased nonwhiting IFQ (Table 1) and shorebased and at-sea cooperative IFQ whiting (Table 2) TRat programs. The 2021 TRat Compliance Summary is the first year that statistics for the whiting and nonwhiting sectors are reported separately. Future reports will continue this separation of sectors and include previous years' data for comparison. Pacific States Marine Fisheries Commission (PSMFC) information included in this report provide additional TRat statistics pertaining to participation and landing rates among the different fishery sectors over the past three years (Tables 3-5). Data submitted by the United States Coast Guard Districts 11 and 13 (USCG-D11/D13) offer a snapshot of their West Coast Living Marine Resources (LMR) and general living marine resource enforcement effort over the same time period (Table 6).

Compliance review of the shorebased groundfish IFQ (nonwhiting) and whiting trawl sectors was implemented through separate searches of NOAA's Pacific Coast Fisheries Permit System and OLE's case management system (CMS) databases to identify commercial fishing vessels and fish processors registered with a West Coast Groundfish Limited Entry Permit (LEP) that were also connected to a recorded enforcement incident in 2021. Each of the enforcement incidents were then examined to 1) determine which sector the vessel or processor was participating in, and 2) assess the disposition of the action(s) subsequently taken.

The compliance rate is calculated as the ratio of the number of incidents that *did not* result in enforcement actions beyond compliance assistance (i.e., written warning, notice of violation and assessment (NOVA), summary settlement, settlement agreement), to the total number of incidents investigated by OLE. Analysis of the 73 enforcement incidents associated with the shorebased groundfish IFQ trawl fishery in 2021 yielded an 88% compliance rate for the nonwhiting trawl sector; and a 75% compliance rate for first receiver sites. The top five categories of all groundfish LEP regulation violations investigated were: 1) *Vessel Monitoring System (VMS)*: 16; 2) *Observer-Impede/Interfere/Resist/Oppose*: 8; 3) *Fishing in Deficit*: 8; 4) *Economic Data Collection (EDC) Form Not Submitted*: 4; 5) *Recordkeeping and Reporting Requirements*: 3.

For the groundfish LEP whiting assignment trawl fleet that includes catcher vessels delivering to both mothership and shorebased IFQ first receiver sites, mothership vessels, and catcher processor vessels, 15 enforcement incidents were identified in the OLE CMS; all of which were attributed to west coast catcher vessels. Complaints and investigations associated with mothership and catcher processor vessels were connected to incidents occurring in Alaska waters, which were therefore not included in this report. The 2021 compliance rate for the whiting catcher vessel fleet is 87%. The top five regulation violations investigated, one in each category, were: *Observer - Impede/Retain Prohibited Species, Closed Area, Permit Not On Board, Fishing In Deficit, and VMS Issue*.

Table 1. 2021 Trawl Rationalization (TRat) Compliance Statistics - NONWHITING



Groundfish Limited Entry Permit (LEP)	GroundfishTrawlers	First Receiver Sites
<b>PERMITS</b>		
General Groundfish	134	29
Groundfish and Whiting		13
Whiting-Only		1
<b>CONTACTS</b>		
Complaints / Referrals	21	7
Investigations / Audits	32	5
Dockside Boardings	20	
<b>INCIDENTS</b>		
Non-Whiting Enforcement Incidents	73	12
<b>ACTIONS</b>		
No Violation / Nolle Prossed	29	5
Compliance Assistance	35	4
Written Warning	1	
Summary Settlement	2	1
Settlement Agreement		1
Ongoing Investigation	6	1
<b>VIOLATIONS</b>		
Vessel Monitoring System (VMS) Issue	16	
Observer-Impede / Interfere/Resist / Oppose	8	
Fishing in Deficit	8	
Economic Data Collection (EDC) Form Not Submitted		4
Recordkeeping and Reporting Requirements	3	
Permit	3	
Declaration Issue	2	
Retention of Prohibited Species	2	
Noncompliant Discard	1	
Sablefish Overage	1	
Catch Monitor Not Present During Offload		1
Observer - Sexual Harassment		1
Current First Receiver Site License (FRSL) Not Posted		1
<b>COMPLIANCE RATE</b>		
Non-Whiting Enforcement Incidents	73	12
No Violation / Nolle Prossed	29	5
Compliance Assistance	35	4
	<b>88%</b>	<b>75%</b>



**Table 2. 2021 TRat Compliance Statistics - WHITING**

Groundfish Whiting Assignment LEP Permits	Catcher Vessels*	Mothership Vessels	Catcher Processor Vessels
<b>PERMITS</b>			
Whiting Assignment / Endorsement	33	6	10
<b>CONTACTS</b>			
<b>(Operated only in Alaska in 2021)</b>			
Complaints / Referrals	2	<b>No Contacts</b>	
Investigations	2		
Dockside Boardings	11		
<b>INCIDENTS</b>			
Enforcement Incidents	15	<b>No Incidents</b>	
<b>ACTIONS</b>			
No Violation / Nolle Prossed	11	<b>No Actions</b>	
Compliance Assistance	2		
Summary Settlement	1		
Ongoing Investigation	1		
<b>VIOLATIONS</b>			
Observer-Impede / Retain Prohibited Species	1	<b>No Violations</b>	
Closed Area	1		
Permit Not On Board	1		
Fishing In Deficit	1		
Vessel Monitoring System (VMS) Issue	1		
<b>COMPLIANCE RATE</b>			
Enforcement Incidents	15		
No Violation / Nolle Prossed	13		
Compliance Assistance			
<b>87%</b>		<b>N/A</b>	

\*Vessels delivering to both mothership and shorebased IFQ first receiver sites.

**Table 3. TRat Participation**

ALL SHOREBASED SECTORS		
	Vessels	Landings*
2021	78	2,101
2020	82	2,252
2019	93	2,476

Shorebased IFQ Whiting		
	Vessels	Landings*
2021	25	1,023
2020	28	1,243
2019	27	1,242

Shorebased IFQ Trawl		
	Vessels	Landings*
2021	63	977
2020	65	890
2019	68	1,094

Shorebased IFQ Fixed Gear		
	Vessels	Landings*
2021	9	102
2020	10	119
2019	16	140

Mothership Catcher Vessels		
	Vessels	Trips**
2021	17	27
2020	15	21
2019	19	26

Catcher Processor Vessels			
	Vessels	Trips**	Hauls
2021	10	18	1,514
2020	10	19	1,502
2019	9	16	1,938

\*\*Trips = Unique Seasons (i.e., spring & fall)

\*Landings = Individual Fish Tickets



**Table 4. TRat Electronic Monitoring Participation**

**ALL SHOREBASED SECTORS**

	Vessels	Trips
2021	42	1,361
2020	44	1,599
2019	42	1,524

**Shorebased IFQ Whiting**

	Vessels	Trips
2021	25	984
2020	27	1,215
2019	25	1,141

**Shorebased IFQ Trawl**

	Vessels	Trips
2021	11	154
2020	9	154
2019	10	187

**Shorebased IFQ Fixed Gear**

	Vessels	Trips
2021	7	80
2020	8	105
2019	7	95



**Mothership Catcher Vessels**

	Vessels	Trips*
2021	16	25
2020	13	18
2019	17	24

\*Trips = Unique Seasons (i.e., spring & fall)

**Table 5. TRat Accounts / Licenses / E-Tickets**

Accounts	
	Quota Share
2021	166
2020	168
2019	182



  

	Vessel
2021	144
2020	157
2019	157

	First Receiver Sites
2021	43
2020	43
2019	44

E-Tickets				
	Total Landings	California	Oregon	Washington
2021	2,102	404	1,305	393
2020	2,252	360	1,546	346
2019	2,476	373	1,697	406

E-Ticket Transmission Rate	
	≤ 48 Hours
2021	98.0%
2020	98.1%
2019	98.8%




**Table 6. United States Coast Guard (D11/D13) TRat Enforcement**

Commercial Groundfish Vessel Boardings		
	Boardings	Trawlers
2021	66	3
2020	58	9
2019	81	8

TRat Related Violations		
	Violations	Trawlers
2021	0	0
2020	2	2
2019	4	0

Combined Boat, Cutter, and Aircraft Resources	
	Hours*
2021	18,337
2020	12,133
2019	10,719