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eDealer and Quota Monitoring of Atlantic HMS

HMS Advisory Panel Meeting
March 11, 2015



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Atlantic HMS Electronic Dealer (eDealer) Reporting

**Since January 1, 2013, all Federal Atlantic HMS dealers
have been required to report electronically to:**

- Increase the timeliness and accuracy of dealer reporting
- Improve quota monitoring for Atlantic HMS
- Improve data coordination for Atlantic HMS

* includes only shark, swordfish, and bigeye, albacore, yellowfin, and skipjack (BAYS) tuna dealers; does not include bluefin tuna dealers.



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Sources of Atlantic HMS Landings Data

Dealers report on a weekly basis using a variety of programs:

- HMS electronic reporting program (eDealer; HMS only)
- SAFIS eDr (file upload dealers) (state and federal requirements)
- SAFIS e-1ticket (Georgia / South Carolina) (federal requirements)

Trip Tickets

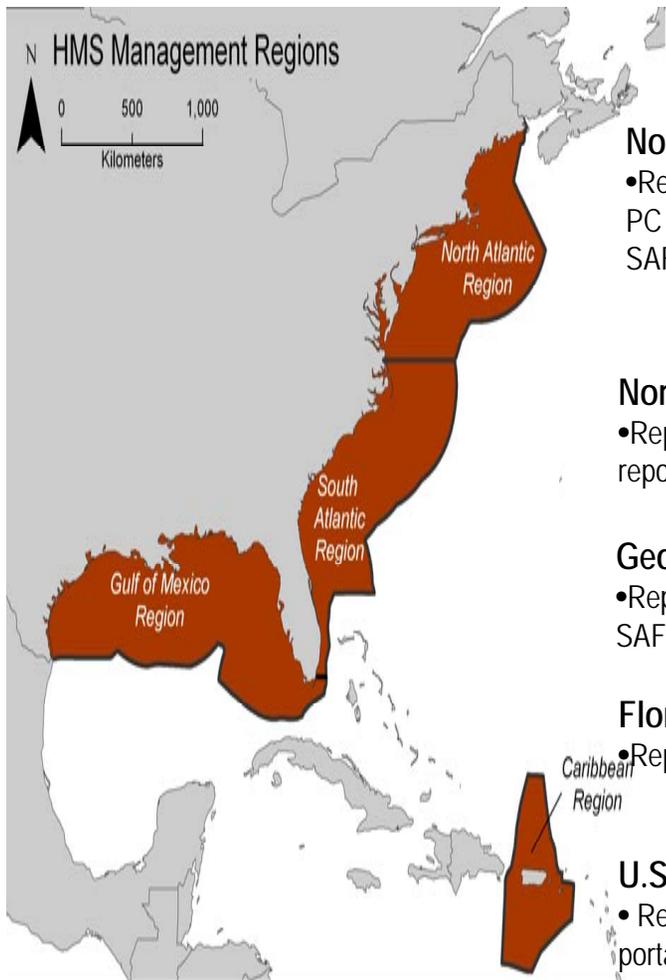
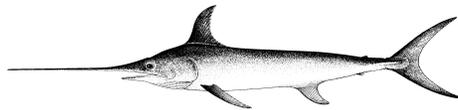
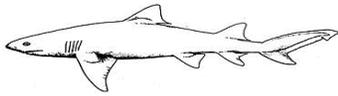
- PC-1ticket (Georgia / South Carolina) (federal requirements)
- Northeast (state and federal requirements)
- North Carolina (state and federal requirements)
- Florida (state and federal requirements)
- Alabama (state and federal requirements)
- Mississippi (state and federal requirements)
- Louisiana (state and federal requirements)
- Texas (state and federal requirements)

eDealer (HMS only)

- Caribbean



Dealer Data Pathways



Dealers

North of North Carolina

- Report through file upload, PC based program, or SAFIS

North Carolina

- Report through state reporting program

Georgia & South Carolina

- Report through PC based program or SAFIS

Florida to Texas

- Report through state reporting programs

U.S. Caribbean

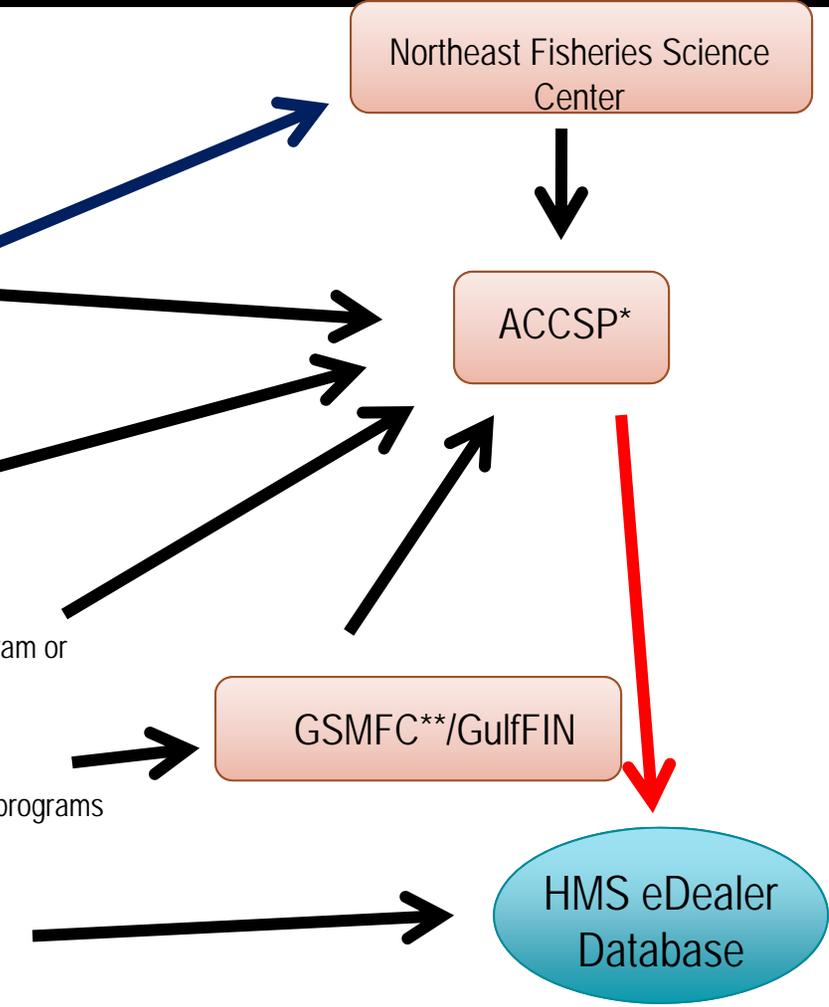
- Report through HMS eDealer portal

Northeast Fisheries Science Center

ACCSP*

GSMFC**/GulfFIN

HMS eDealer Database



Data quality assurance and control (QA/QC)

- System checks for QA/ QC at different steps and notifies us of data issues via email notifications (received ~ a total of 8,000 notifications in 2014):

No Fishing Vessel Logbook ID	Expired HMS Permit
Report doesn't contain a Federal Permit ID	Prohibited Species Reported
Shark Fins are not naturally attached	Fish Reported from Closed Fishery
Report is overdue and not yet submitted	Price is Outside of Range Triggers
New Vessel ID Reported	Weigh is Higher than Maximum
Observer report ID number omitted after y days	Purchase / Sale Price Omitted even after 30 days
Report submitted after a due date	Landing date is updated after initial submission
Submitted report modified by the dealer	

Data quality assurance and control (QA/QC)

- System checks for completeness of dealer reports
- Staff checks for data accuracy on a weekly basis
- Dedicated Database Analyst on staff
- All changes are documented



Customer Service

Dedicated Customer Service phone line and email

301-427-8590

HMS.DealerReports@noaa.gov



- Staff support available Monday through Friday (8:00 am to 5:00 pm)
- We have handled:

Year	Customer service calls / emails
2013	1,261
2014	1,285
2015	196 (to date)

- All calls and emails are documented

Dealer Reporting Compliance

- Every week, staff ensures all 610 dealers have reported; non-compliance identified in real-time
- Dealers notified of non-compliance via email and prohibited from purchasing HMS until delinquent reports submitted

Average number of late HMS Reports per week in 2014	1,148		
	458 (40%) negative	642 (56%) non-HMS	48 (4%) positive
Average number of HMS Dealers Reporting Late per week in 2014	204 (33%); 44 shark dealers		
Total number of late HMS Reports in 2014 by shark dealers	1,812 (74% had shark landings)		
Average time shark dealer reports are submitted late in 2014	16 days		

Dealer Reporting Compliance

- HMS Division staff have developed a protocol with enforcement to document and address non-compliance and record action taken
- Enforcement action may include assessment of monetary penalties* and/or permit sanctions

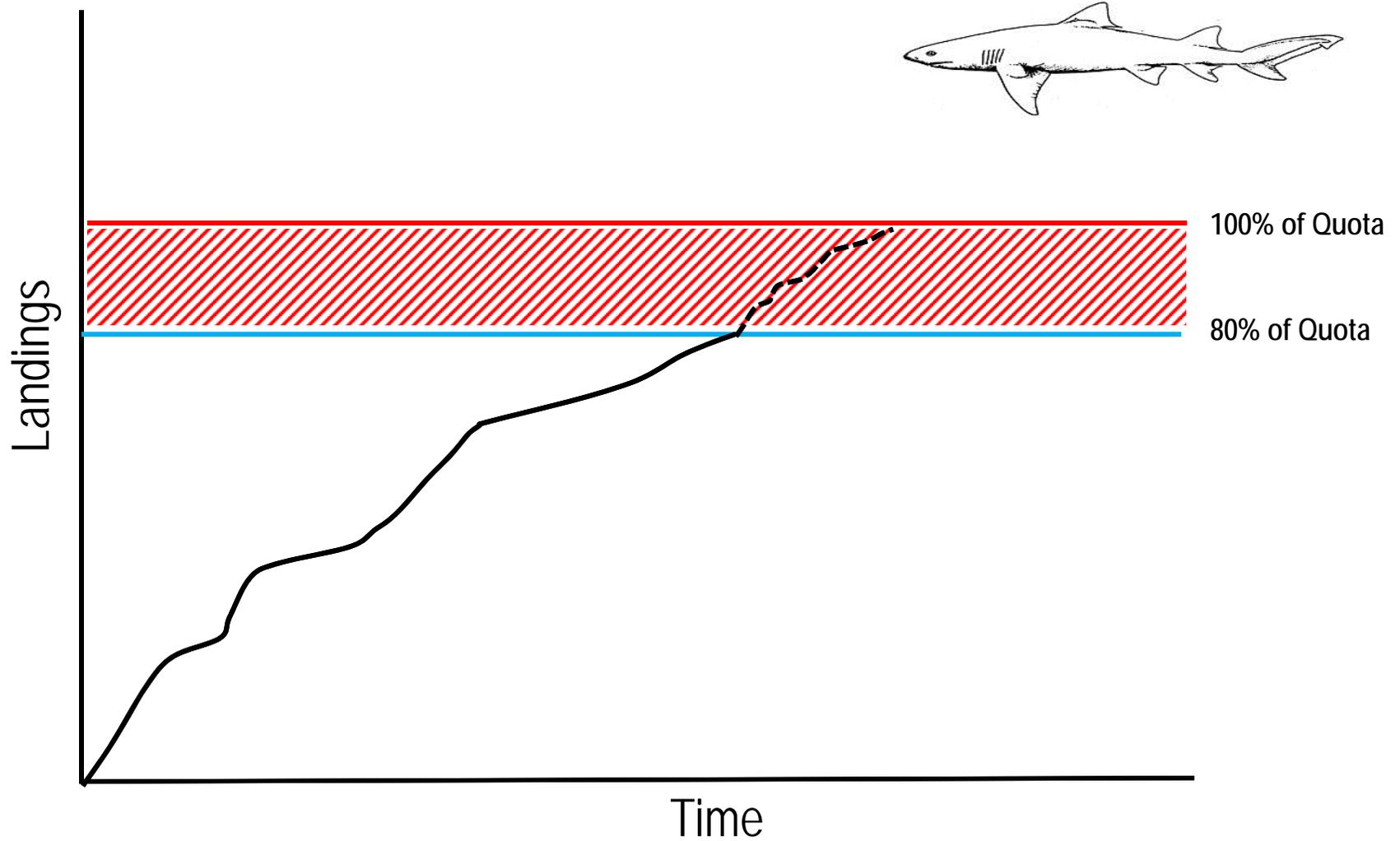
Penalty	Referred to OLE	Issued	Paid
Summary Settlement	55	37	12
Permit Blocks	77 blocks on HMS Dealer's permit renewals		

*Information on the national Penalty Policy and Summary Settlement schedule is available at <http://www.gc.noaa.gov/enforce-office3.html>

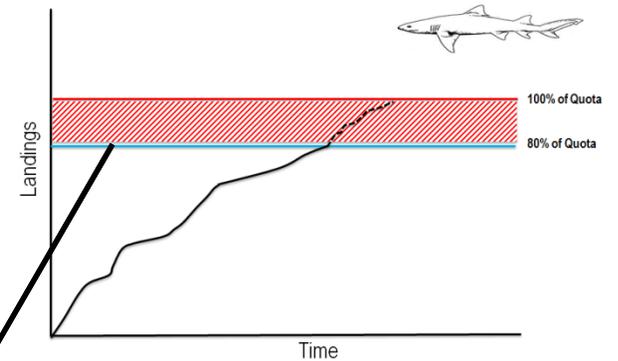
How does Quota monitoring work?



Quota Monitoring of Atlantic Sharks



Quota Monitoring of Atlantic Sharks



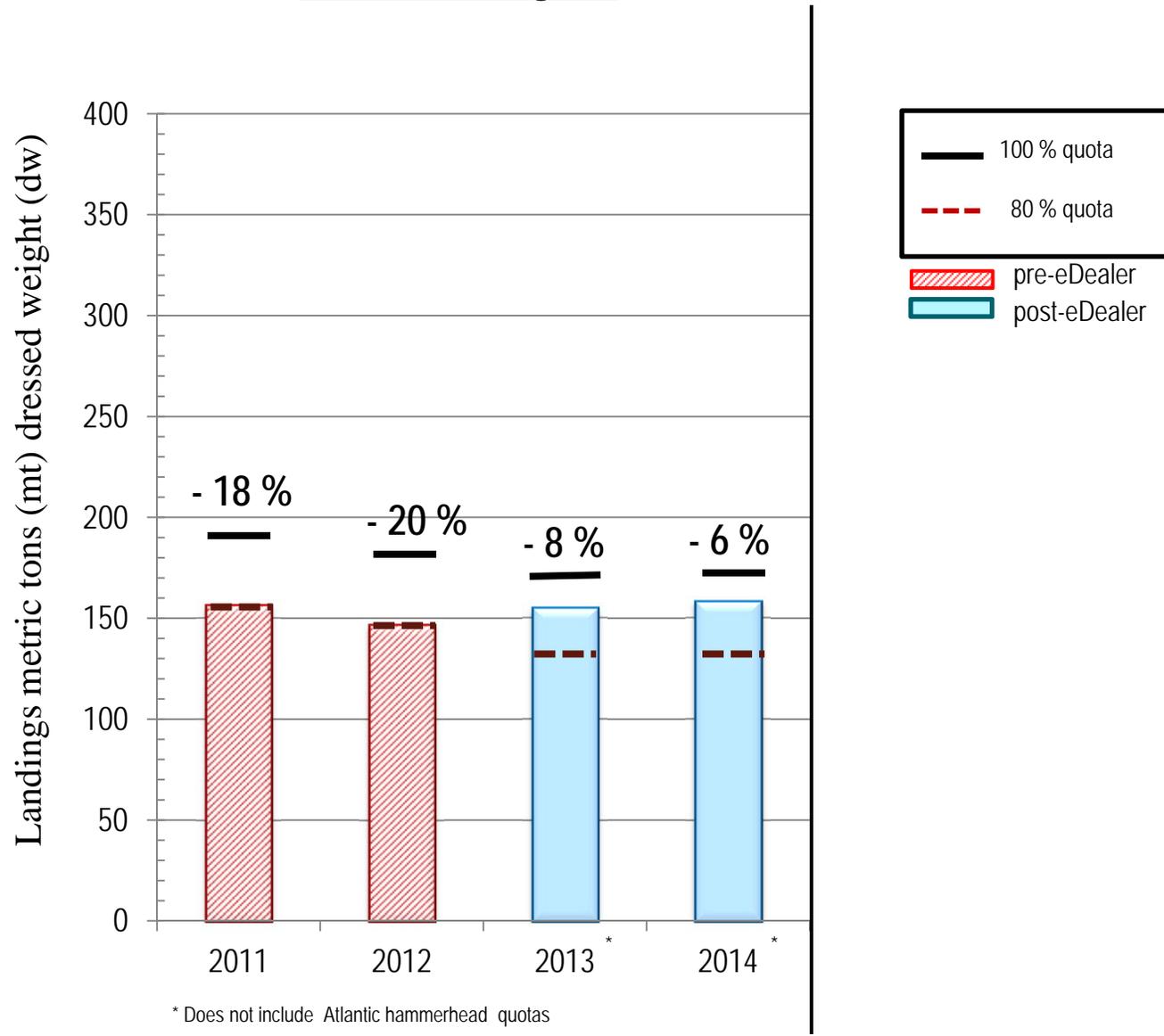
- Paper-based trip ticket information submitted by state-only dealers to different states (e.g., 3 – 6 months to receive)
- Shark landings allowed by some states following federal closure of shark management groups
- Late dealer reports
- Five days notice once closure notice is filled with Office of Federal Register

EXAMPLE

Quota Monitoring of Large Coastal Sharks

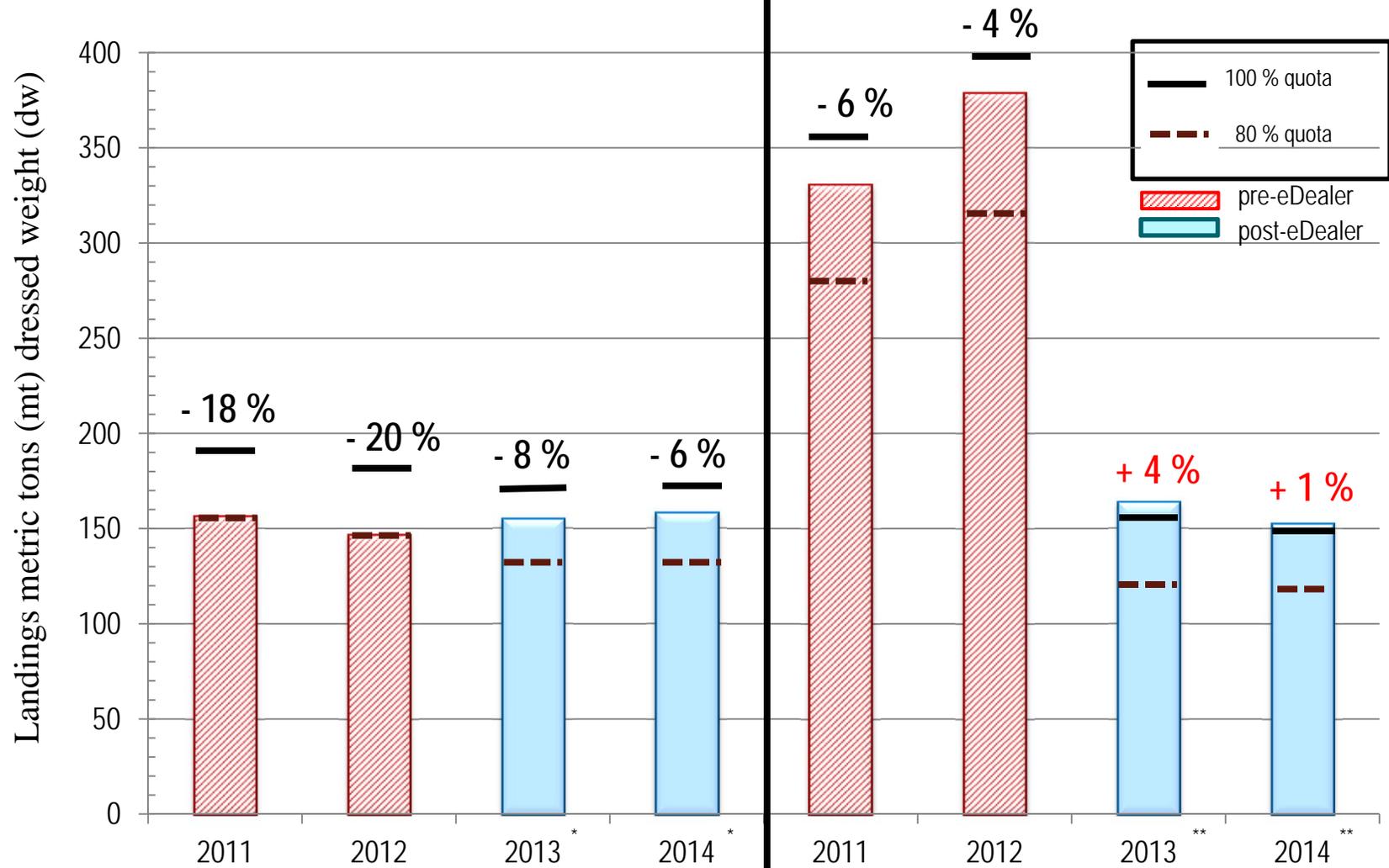


Atlantic Region



Atlantic Region

Gulf of Mexico Region



* Does not include Atlantic hammerhead quotas

** Does not include Gulf of Mexico hammerhead and blacktip shark quotas



Key points- eDealer

- Increased timeliness and accuracy of dealer reporting for Atlantic HMS
- Improved tracking of dealer reports in real-time
- Improved compliance, but still tracking numerous late and/or incomplete dealer reports on a weekly basis

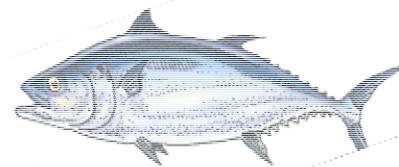
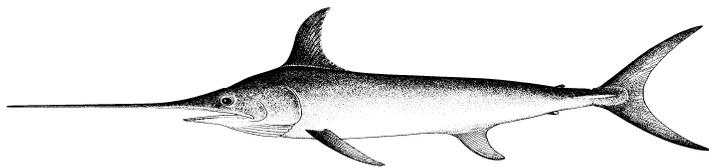
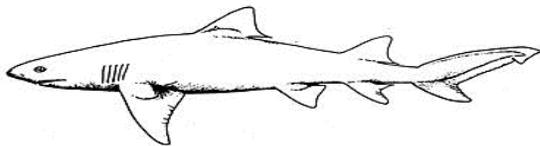
Key points-Quota Monitoring

- Improved quota monitoring
- Maintained 80% federal fishery closure trigger due to:
 - Landings data being delayed:
 1. late reports
 2. paper-trip tickets
 3. state exemptions
 - Smaller quotas can be exceeded
 - Future management changes (e.g., Amendment 6)

Thank you!

Questions?

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