



NOAA FISHERIES

Sector Incident Report Guide



FISHING YEAR 2020

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NOAA FISHERIES
NATIONAL OCEANIC AND ATMOSPHERIC ADMINISTRATION

| Greater Atlantic Region



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Introduction

The final rule implementing Amendment 16 to the Northeast Multispecies Fishery Management Plan includes requirements for incident reporting.

The Greater Atlantic Region Fisheries Office (GARFO) has provided this guidance document to assist you in reporting incidents. Before proceeding with the rest of this document, read this page to learn the answers to the following questions:

- [What Types of Incidents Must Be Reported?](#)
- [Who Must Report Incidents to NMFS?](#)
- [How Are Incidents Reported to NMFS?](#)

What Types of Incidents Must Be Reported?

NMFS requires that the following types of incidents be reported:

- Compliance / enforcement concerns
- Sector enforcement issues
- Enforcement actions
- Incident / non-compliance reports

Who Must Report Incidents to NMFS?

NMFS requires that sectors report incidents of the types listed above. [Table 1](#) lists the methods by which you must report these incidents.

Table 1: Incident Reporting

Method:	Submitted by:
Trip Issue Report	Sector
Sector Incident Report	Sector
Sector Annual Year-end Report	Sector

How Are Incidents Reported to NMFS?

The remainder of this document provides additional instructions on how to report incidents.

Sector Requirements

NMFS requires that the sector must record each incident using the following methods:

- Sector Trip Issue Report
- Incident Report
- Sector Year-end Report

The following sections define the requirements for reporting incidents in each of these reports.

Sector Manager Report Requirements

The Sector Manager Report is composed of the Sector Detail Report, the Sector ACE Status Report, and the Sector Trip Issue Report. Each sector is responsible for completing and submitting a Sector Manager Report to NMFS on a weekly basis, unless certain thresholds trigger daily reporting. (In this case, you must submit the ACE Status Report on a daily basis until the sector no longer exceeds any threshold.) Descriptions of these reports are outlined in the “Sector Report Guide” available online at the following link under the **Sector > Reporting** tab:

[SFD sector documents Web page](#)

The regulations (§ 648.87(b)(1)(vi)(B)) require that the Sector Manager Report include catch and discard data, and any sector enforcement issues or “compliance concerns.” The Sector Trip Issue Report includes this information.

Trip Issue Reporting Form Requirements

Trip Issue Report allows sectors to briefly describe to NMFS any enforcement or reporting compliance issues, violations of sector operations and regulations, and general problems with monitoring or sector operations during the reporting period. Issues may pertain to a specific trip or apply generally to sector operations. Issues to report in the Trip Issue Report include, but are not limited to:

- Monitoring issues (e.g., refusals) and a description of each occurrence, if applicable.
- Violations or non-compliance with operational standards, including but not limited to fishery regulations and sector operation plan provisions.
- General problems with sector operations and/or corrective actions taken by the sector during the reporting period.

Sectors should submit one Trip Issue Report per reporting period. In FY 2019, NMFS developed a new Trip Issue Report form to improve reporting for both managers and the agency.

Additional details on the Trip Issue Reporting process can be found in the Sector Report Guide for the current fishing year.

Sectors must also continue to use the online issue tracking system named JIRA in order to report and track data quality issues. JIRA is maintained by the Analysis and Program Support Division (APSD).

Sector Incident Report Requirements

Following the initial reporting of an incident in the Trip Issue Report, sectors must provide the details of the violation in a Sector Incident Report. Submit the Sector Incident Report as follows:

1. Conduct an investigation of the incident as soon as possible after its occurrence.
2. Write up the Sector Incident Report during the fishing year, no more than 15 days after the sector has concluded its investigation.

For an example of such a report, see the section Sector Incident Report (Example) later in this document.

3. Email the report to SFD (at this writing, to [Kyle Molton](#) and [Claire Fitz-Gerald](#)).

Required Information in a Sector Incident Report

The Sector Incident Report should include a full description and discussion of the investigations, the conclusions, and any resultant actions taken by the sector manager in response to the enforcement issue.

For each violation, prepare a Sector Incident Report that provides the details, an overview describing the violation, a chronology explaining what was determined to have happened, the action taken (if any) by the sector or NMFS Office of Law Enforcement (OLE) if known, and the outcome.

Details must include:

- Date
- Vessel
- Captain
- Owner
- Investigator
- Violation
- Outcome

Sector Incident Report (Example)

See an example of a Sector Incident Report immediately following this Note:

NOTE: Amendment 16 allows for monitoring providers, in accordance with the monitoring service provider requirements, to generate and submit weekly reports. The final rule implementing Amendment 16 specified that the sector must submit weekly reports, but does not prohibit submission of weekly reports by a company hired by the sector. Therefore, a sector may hire a company to handle its weekly reporting requirements, but the sector is ultimately responsible for meeting all reporting requirements.

PUT_NAME_OF_YOUR_SECTOR_HERE

INCIDENT REPORT

Infraction Date: May 10, 2018

Infraction Description: ASM Refusal

Vessel Name: F/V My Boat

Captain Name: Bob Cooper

Owner Name: Joe Smith

Investigated by sector manager

Overview

The captain of the F/V My Boat proceeded with a fishing trip after refusing to take the assigned at-sea monitor (ASM) to sea on the trip.

Chronology of Events

On May 1, 2018, the captain logged into PTNS and indicated a planned trip for May 10, 2018. On May 3, 2018, the captain received notification that the trip was assigned an ASM.

On May 10, 2018, the captain and crew were preparing the vessel for departure. The assigned ASM arrived, but the captain refused to allow the monitor aboard. The captain subsequently proceeded on the scheduled fishing trip.

On May 10, 2018, the assigned ASM contacted his/her company, which subsequently submitted an incident report to the Northeast Fisheries Observer Program (NEFOP) regarding the situation. The Office of Law Enforcement (OLE) subsequently contacted the sector manager regarding the situation.

On May 12, 2018, the vessel returned to port. The sector manager met the vessel at the dock and informed the captain that if a trip was selected for any kind of monitoring, the vessel was required to submit to that monitoring. The captain was informed that the Infractions Committee would be notified.

On May 13, 2018, the members of the Infractions Committee were notified via telephone of the incident.

Decision of the Infractions Committee

On May 18, 2018, the Infractions Committee met to review the above outlined infraction. After reviewing the circumstances, the Committee elected to send the captain and vessel owner a written warning.

On May 19, 2018, the written warning was sent, closing out the infraction.

Sector Annual Year-end Report Requirements

The Sector Annual Year-end Report must contain the necessary information to evaluate the biological, economic, and social impacts of sectors and their fishing operations.

To fully evaluate the operations of a sector in a given fishing year, the Sector Annual Year-end Report must also include a description of “enforcement actions.” Since Sector Incident Reports are now required to be submitted in-season, the Sector Annual Year-end Report should include a brief description of each incident, and include a copy of each Sector Incident Report.

NOTE: NMFS provides additional detailed guidance for you when you need to report incidents in the Sector Annual Year-end Report. Look for this guidance in the document “Preparing the NE Multispecies Sectors Annual Year-end Report” at the following link under the **Sector > Reporting** tab: [SFD sector documents Web page](#).
