

North Carolina Consolidated Appropriations Act Fisheries Relief Program (CARES Act II)



Final Report

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**NOAA
FISHERIES**



**North Carolina Consolidated Appropriations Act Fisheries Relief Program
(CARES Act II)**

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ABSTRACT

The first case of coronavirus disease 2019 (COVID-19) was reported in Wuhan, China in December 2019. On January 21st, 2020, the United States reported its first case. Since then, every state in the nation has reported cases of the coronavirus outbreak, including North Carolina, which reported its first case on March 6th, 2020. Beginning March 10th, 2020, Governor Roy Cooper of North Carolina issued a series of executive orders, including Executive Order 118 on March 17th that closed restaurants and bars for dine-in service and Executive Order 121 on March 27th that declared a Stay-at-Home Order. The Stay-at-Home Order and restaurant closure for dine-in services remained in effect until May 20th, 2020. The COVID-19 pandemic and subsequent closures placed a strain on the United States' economy, as well as North Carolina's economy. In response to this public health and economic crisis, the federal government passed the bipartisan Coronavirus Aid, Relief, and Economic Security (CARES) Act on March 27th, 2020, providing over two trillion dollars in economic relief to residents impacted by the pandemic. Section 12005 of the CARES Act allocated \$300 million of the relief funds to fisheries participants. North Carolina was allocated \$5,416,773 of these funds. After administrative costs, \$5,255,486 was distributed to three separate approved stakeholder groups within the state's fishing industry: 1) commercial fishermen and marine aquaculture operations, 2) seafood dealers and processors, and 3) for-hire operations. In 2021, the federal government passed the Consolidated Appropriations Act which provided an additional \$255 million in fisheries assistance. North Carolina received \$4,545,946 of these funds, which were distributed through the NC Consolidated Appropriations Act Fisheries Relief Program (CARES Act II), minus administrative fees. The CARES Act II program covered losses from March 1st through December 31st, 2020, to account for continued economic impacts of the pandemic. North Carolina Division of Marine Fisheries (NCDMF) prequalified applicants based on their state trip ticket data to increase the expediency of the application review process. Application packets were mailed out to all 6,934 license, eligible fisheries participants, and the program received 364 applications. Of these 364 applications, 265 were approved following the appeals process. Commercial fishermen and aquaculture operations received ~\$2.8 million and had 28.95% of their loss covered; seafood dealers and processors received ~\$1.1 million and had 9.93% of their loss covered, and for-hire fishing operations received ~\$439,000 and had 100% of their loss covered. Funds were distributed to applicants across 25 North Carolina counties. Carteret County had the highest number of approved applicants (67) and received the largest amount of aid (\$612,763).

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INTRODUCTION

COVID-19

In December 2019, reports of a potential disease outbreak, began circulating in Wuhan, China (World Health Organization [WHO] 2020a). Chinese officials determined the disease, known as COVID-19, was caused by a novel form of the coronavirus (WHO 2020b). On January 21st, 2020, the first case of COVID-19 was reported in the United States (Centers for Disease Control and Prevention [CDC] 2021). On January 30th, 2020, the WHO declared a Public Health Emergency of International Concern, their highest level of alarm (WHO 2020a). COVID-19 is a flu-like respiratory disease caused by the severe acute respiratory syndrome coronavirus 2 (SARS-CoV-2) (WHO 2020b). Nearly 2.9 million cases have occurred in North Carolina, resulting in more than 25,000 deaths as of July 2022 (North Carolina Department of Health and Human Services [NCDHHS] 2022). These numbers continue to climb and may no longer be accurate at the time this report is published.

To protect citizens and prevent the spread of the virus, many states began mandating preventative measures such as social-distancing, restaurant and business closures, and curfews. Many states even issued stay at home orders. In North Carolina, Governor Cooper issued a series of executive orders, including:

- E.O. 116 – March 10th – Declared a state of emergency.
- E.O. 118 – March 17th – Closed dine-in option for restaurants and bars.
- E.O. 121 – March 27th – Issued Stay-at-Home Order.
- E.O. 141 – May 20th – Lifted Stay-at-Home order and initiated Safer-at-Home recommendations.

Additionally, Dare and Hyde counties, two coastal counties largely dependent on fisheries and tourism, each closed their borders to visitors for approximately the same period as the Stay-at-Home order. The COVID-19 pandemic, the executive orders, and the closure of Dare and Hyde counties created an economic strain on the state, and significantly altered the economic landscape of the fishing industries. Demand for both commercially harvested seafood and recreational fishing access changed rapidly and dramatically, resulting in economic losses and hardships for various stakeholders.

THE CARES ACT

To assist with the United States' effort against the COVID-19 pandemic, the Coronavirus Aid, Relief, and Economic Security (CARES) Act was signed into law on March 27th, 2020 (P.L. 116-136). The CARES Act allowed the U.S. Secretary of Commerce to assign \$2.2 trillion for economic relief, with \$300 million assigned specifically to the National Oceanic and Atmospheric Administration (NOAA) for fisheries assistance. Funds for the Atlantic coastal states were awarded to the Atlantic States Marine Fisheries Commission (ASMFC) who provided sub-awards to the individual states. North Carolina's sub-award provided \$5.4 million to assist fisheries participants, including commercial fishermen, aquaculture operations, seafood dealers and processors, and for-hire operations (National Oceanic and Atmospheric Association

[NOAA] 2020), thus initiating the North Carolina CARES Act Fisheries Relief Program (CARES Act I). North Carolina’s fisheries participants were separated into three stakeholder groups: 1) Commercial fishermen and marine aquaculture operations, 2) Seafood dealers and processors, and 3) For-hire fishing operations. Distribution of funds and summary statistics are shown below (Table 1).

Table 1. Summary statistics of CARES Act I check amounts¹ by stakeholder category.

Summary Statistic	Stakeholder Categories		
	Fishermen/Aquaculture Operations	Seafood Dealers/Processors	For-Hire Fishing Operations
Total Amount Paid	\$3,374,022	\$1,447,221	\$434,243
Average Check Amount	\$23,929	\$51,686	\$12,772
Percent of Claimed Loss Recovered via Checks	79%	40%	100%

¹All values are rounded to the nearest whole dollar.

CARES ACT II

On March 29, 2021, NOAA Fisheries announced the allocation of an additional \$255 million in assistance (NOAA 2021) through the Consolidated Appropriations Act of 2021 to supplement original CARES Act I funds. Of this \$255 million, North Carolina received \$4,545,946 (Appendix A), which initiated the North Carolina Consolidated Appropriations Act Fisheries Relief Program II (CARES Act II). Like CARES Act I funds, CARES Act II funds were used to provide financial relief to affected commercial fishermen and aquaculture operations, seafood dealers and processors, and for-hire operations. Upon review of 2020 NC commercial landings data, program staff determined that the most effective use of relief monies would be to compensate stakeholders for losses occurring from the start of the COVID-19 pandemic through the rest of 2020. For this reason, the timeframe for CARES Act II relief was extended from March 1, 2020, to December 31, 2020. However, to avoid doubly compensating stakeholders for losses covered in CARES Act I, the North Carolina Division of Marine Fisheries (NCDMF) subtracted the value received by each individual applicant through CARES Act I from the approved loss amount for that applicant through CARES Act II, prior to calculating CARES Act II payments.

For both CARES Act I and CARES Act II, NCDMF distributed the funds through direct payments to applicants. However, the CARES Act II programs used a prequalification process based on NC Trip Ticket Program (NCTTP) data for commercial fishermen, aquaculture operations, and seafood dealers. This prequalification procedure streamlined both the application process for stakeholders and the review process for NCDMF staff. More details on eligibility requirements and prequalification are included in the next section of this report.

ELIGIBILITY

ELIGIBILITY REQUIREMENTS

Following the same requirements outlined in Section 12005 of the CARES Act, CARES Act II applicants were required to demonstrate a loss of revenue greater than 35% as compared to the average revenue from the same time period in the previous five years, 2015-2019. However, CARES Act II covered a longer timeframe, March 1st to December 31st, 2020, to account for the ongoing economic impacts of the pandemic. Additionally, the North Carolina spending plan for CARES Act II (NCDMF 2021) required that applicants:

- Were over the age of 18.
- Were a registered business or resident of North Carolina through the NCDMF license database.
- Were physically located in NC if applying as a processor.
 - Only North Carolina locations were eligible for relief funds if the processor was headquartered in another state.
- Held a license, permit, or lease in their legal name or business name.
- Held a license, permit, or lease that was active, not expired, and not suspended or revoked during March-December over the 2015-2020 period, or during the period they were in business (if less than five years).
- Had been in business for a minimum of one year.
- Had provided copies of all federal and out of state permits and licenses held during 2020 and the previous five years if applicable.

The March 1st to December 31st timeframe was chosen to cover economic impacts caused by COVID-19, including closures from gubernatorial executive orders, from the start of the pandemic in North Carolina through the end of the year. The 2015 to 2019 timeframe was established by Section 12005 of the CARES Act to calculate a five-year average to determine 2020 revenue loss. Applicants were considered active if they held a valid license during these times, regardless of fishing activity.

Pre-Qualification

North Carolina requires commercial fishermen to sell their catch through licensed dealers, who are required to report these landings monthly via trip tickets. The NCTTP also collects ex-vessel price data from seafood dealers when possible. The values are averaged and provide a general estimate of prices throughout the state. The combination of a participant's landings and the estimated prices are used to calculate the ex-vessel value for each trip, which is the estimated dollar amount paid to fishermen upon transferring seafood to a dealer. As a result, the NCTTP is a comprehensive source for commercial fishing and aquaculture landings and ex-vessel data throughout the state. These values are not adjusted for inflation. Commercial fishermen, aquaculture operations, and seafood dealers could request to use NCTTP data if they did not want to or were unable to provide their own revenue documentation.

NCDMF analyzed NCTTP commercial landings data to determine which commercial fishermen/aquaculture operation participants and seafood dealer participants could be “prequalified” for receiving relief funds, meaning their trip ticket data demonstrated more than a 35% loss. Staff compared the total value of landings reported from each license holder from March 1, 2020, to December 31, 2020, to the annual average revenue over the same time period from 2015 to 2019. These stakeholders were then characterized as “prequalified” or “initially denied.” Even if characterized as “initially denied” using estimates of revenue calculated from trip tickets, stakeholders could still be approved to receive relief funds if they provided their own documentation showing a loss of revenue more than 35% in 2020.

Once pre-qualifications were determined, NCDMF mailed application packets to individuals who held a Standard Commercial Fishing License (SCFL), Retired Standard Commercial Fishing License (RSCFL), Shellfish License without a SCFL, seafood Dealer’s License, or any in-state for-hire license. Application packets included a cover letter, an application form, a self-certifying affidavit, and a NC Substitute W-9 form (Appendix C).

To expedite the relief payment process, 17 different cover letter templates were developed, which served to alert the stakeholders about their pre-qualification status across all potential categories in which they held eligible licenses. Applicants who participated in the NCTTP were informed of their prequalification status in their cover letter, while those who did not were simply invited to participate in the program via the cover letter. Examples of these cover letters are included in Appendix C.

MAILINGS

NCDMF staff mailed application packets 6,934 licensed, eligible fisheries participants in the state’s Fisheries Information Network (FIN) database. The mailed application packet included: a cover letter explaining the CARES Act II program and the participant’s pre-qualification status, an application, a self-certifying affidavit, and a substitute W-9 form (Appendix C). The mailings were sent out on August 16th, 2021, and the participants had until October 1st, 2021, to apply for CARES Act II relief funds. Application materials were also available on the NCDMF website for any fisheries participants who did not receive a mailed application packet.

Applicants were notified by mail of their approval or denial decision (Appendix I). Approved applicants were sent a letter stating they had been approved and checks were expected to be mailed in the spring of 2022. Denied applicants were sent a letter via certified mail stating the reason for their denial and explaining the appeals process. Similar letters were sent for appeals decisions; however, the appeal denial letter stated the decision was final and the applicant could no longer appeal. The final mailing occurred February 15th, 2022 and included both the assistance checks and a brief letter reminding applicants of the purpose of the program.

PROCESSING

NCDMF CARES ACT II TEAM

To assist with the added workload from CARES Act II, two temporary, full-time employees were hired by NCDMF. An Administrative Assistant was hired to handle phone calls and manage incoming applications, along with various other administrative tasks. A Biologist I was hired to review applications, present at review committee meetings, and assist in writing the final report for the program. Other members of the NCDMF CARES Act II team included the NCDMF License and Statistics Section Chief, Administrative Specialist I, Commercial Statistics Program Manager, Socioeconomist, and three NCTTP biologists. These employees assisted with a multitude of tasks, such as preparing the spending plan, reviewing applications, contacting applicants, verifying revenue data with trip tickets, creating and maintaining tracking reports, and sitting on the review committee. The CARES Act II team met on a weekly basis to discuss current and upcoming tasks, as well as difficult application situations.

APPLICATIONS

The application period began when applications were mailed on August 16th, 2021 and remained open until October 1st, 2021. Applicants were required to submit completed application forms, revenue documentation for March to December 2015 to 2020 (or the years they held licenses within that time frame), and other required documents, such as their state driver's licenses or identification cards. Once applications were received, the CARES Act II Administrative Assistant logged application information such as contact information and self-reported revenue values into a summary report and prepared a tracking sheet (Appendix D). The tracking sheet and a decision recommendation form (Appendix E) were attached with each application and applications were stored in individual folders designated for each applicant. The tracking sheet contained sections for recording applicant information, license and permit numbers, and revenue values. The recommendation form contained sections for the approval or denial recommendation, the reason for denial (if applicable), relevant notes, and a section for the review committee's final decision and additional comments. Application folders were stored in a secure filing cabinet unless the CARES Act II team members were actively working on the applications.

NCDMF received 364 applications. Commercial fishermen and aquaculture operations submitted the most applications, with 303. Seafood dealers and processors submitted 43 applications, and for-hire operators submitted 18 applications (Table 2). The CARES Act II team reviewed these applications to determine if the applicant met all the requirements. If applications were incomplete, staff made at least two courtesy calls to the applicant to request the missing information. These courtesy calls were recorded in a call log. If the applicant could not be contacted, the application was processed as incomplete and recommended for denial. Denied applicants had one opportunity to appeal the committee's decision.

Table 2. Initial number of approvals and denials for CARES Act II by stakeholder group.

	Commercial Fishermen/Aquaculture Operations	Seafood Dealers/Processors	For-hire Operators	Grand Total
Approved	213	35	12	260
Denied	90	8	6	104
Totals	303	43	18	364

REVENUE LOSS VERIFICATION

Applicants were asked to provide documentation supporting their claims of lost revenue. Common forms of revenue documentation supplied included NC trip tickets, profit-loss statements, accounting software summary reports, invoices, bank statements, and annotated calendars. The CARES Act II team used this documentation to verify the reported values were accurate and that the applicant showed a qualifying revenue loss. When the documented revenue values did not match the applicant's self-reported values (e.g., the applicant claimed \$6,000 of revenue, but the checks provided only showed \$4,500), the CARES Act II team used values supported by the provided documentation. To evaluate application documentation consistently, the CARES Act II team established two categories of documentation, formal and informal, and created a hierarchy chart classifying revenue document types (Appendix F). based on relative levels of perceived reliability. The documentation hierarchy defines formal document types as those that could be verified through a third party, such as bank statements, trip tickets, and invoices. Informal documents included items such as handwritten notes or ledgers. Additionally, the CARES Act II team created a documentation flow chart to establish a consistent course of action depending on the type of documentation provided (Appendix G).

Revenue documentation provided by commercial fishermen, aquaculture operations and seafood dealers were verified with NCTTP data when possible. If applicants did not provide their own documentation but did not explicitly request to use NCTTP data, or if the documentation provided was considered informal, staff made at least two courtesy calls to the applicant offering the options of either providing formal documentation or using NCTTP data. If the applicant could not be reached, NCTTP data were used to determine eligibility. NCDMF does not regularly collect economic data from for-hire operators or seafood processors who are not licensed dealers, so for-hire operators and seafood processors without a dealer's license did not have the option of using NCTTP data. They were required to provide their own revenue documentation.

REVIEW COMMITTEE MEETINGS

All were reviewed by members of the CARES Act II team. "Prequalified" applications (from applicants that met or exceeded the 35% revenue loss using NCTTP data) and "initially denied" applications (from applicants that did not meet the 35% revenue loss threshold using NCTTP data) that requested to use NCTTP data, or "initially denied" applications that did not provide

their own documentation include or other supporting documentation were sent directly to the Deputy Director, for automatic approval or denial. These applications were not reviewed by the review committee.

Applications that did not meet the requirement to be sent directly to the Deputy Director were given an approval or denial recommendation by the CARES Act II Biologist. The recommendation and relevant notes were subsequently entered into a PowerPoint slide. Each PowerPoint slide contained the following:

- The application's reference number.
- The applicant's stakeholder group.
- The biologists' approval or denial recommendation.
- The revenue loss percentage.
- A table listing the revenue values by source, including:
 - The applicant's self-reported values.
 - The values supported by documentation.
 - The NCTTP values (if applicable).
- The biologists' recommended revenue values source.
- Other relevant application notes or comments.

Applications were presented to a review committee on a weekly basis. Each individual application was presented to the committee via PowerPoint, outlining relevant data and other pertinent information. The review committee consisted of NCDMF management including the Deputy Director, Marine Patrol Investigator, License and Statistics Section Chief, Commercial Statistics Program Manager, Socioeconomist, and NCTTP biologists. The review committee discussed each application and followed the prepared documentation hierarchy and flow charts to make an approval or denial decision. Meeting notes were recorded by a CARES Act II team member each week for future reference. Another CARES Act II team member documented the review committee's decisions in a review committee summary report and provided weekly status updates containing application, appeal, and approval and denial statistics by stakeholder group (Appendix H). Of the 364 applications, 260 were initially approved. Of the 260 initial approvals, 213 were commercial fishermen and aquaculture operations, 35 were seafood dealers and processors, and 12 were for-hire operators (Table 2).

APPEALS

Once the review committee made its eligibility determination, applicants were notified via a phone call. All approval and denial calls were recorded in a call log. Once the applicant was contacted, or after two unsuccessful contact attempts, the applicants were sent a notification letter (Appendix I). If the applicant was denied, they were given the opportunity to appeal the committee's decision by submitting an appeal letter, along with any new documentation to support their case. The CARES Act II team then reviewed the new documentation and combined it with the original documentation, if applicable. The biologists updated the recommendations

and notes accordingly. The appeals were presented to the review committee for discussion and the final decision. Notification letters were again sent to appealing applicants. Denied applicants were informed that the appeal decision was final, and the option to file a second appeal was not available.

NCDMF received seven appeals, and five were approved (Table 3). Commercial fishermen and aquaculture operations filed six appeals with four approvals. Seafood dealers and processors filed one appeal with one approval, and for-hire operators filed zero appeals (Table 3). Of the appeals, five were related to revenue loss, with the applicants initially failing to show greater than 35% loss. One of these five appeals attempted to provide more documentation to prove they experienced greater than 35% loss but was not successful; three appeals asked to use NCTTP values, and all but one was approved. The other appeal regarding revenue loss did not provide more documentation or ask to use NCTTP data. Instead, the applicant used NCTTP data for years 2015 through 2019 and supplied documentation for the year 2020. The two remaining appeals were commercial fisherman who met the greater than 35% revenue loss requirement but did not initially provide all the required application forms. Both appeals were successful after they provided the missing forms.

Table 3. Appeal decisions for CARES Act II by stakeholder group.

	Commercial Fishermen/Aquaculture Operations	Seafood Dealers/Processors	For-hire Operators	Grand Total
Approved	4	1	0	5
Denied	2	0	0	2
Totals	6	1	0	7

After the appeals process, 265 applicants were approved. Within each stakeholder category, 217 commercial fishermen and aquaculture operations, 36 seafood dealers and processors, and 12 for-hire operators were approved (Table 4).

Table 4. Final number of approvals and denials for CARES Act II by stakeholder group.

	Commercial Fishermen/Aquaculture Operations	Seafood Dealers/Processors	For-hire Operators	Grand Total
Approved	217	36	12	265
Denied	92	8	6	106
Totals	309	44	18	371

TIMELINE

The spending plan (NCDMF 2021) outlined the projected timeline for CARES Act II (Table 5). In the spending plan, the tasks were separated by discrete time periods (i.e., one task did not start until the previous task was finished) with allotted completion times. The overall projected time to complete CARES Act II was 345 days. With a start date of August 16th, 2021, the projected end date for CARES Act II was July 27, 2022 (Table 5). Some tasks took much longer to complete than their projected times. These tasks included: ‘Develop Letters, Application, Outreach, and Mail Applications’; ‘Process and Validate Applications – Notification Eligibility’; and ‘Develop and Finalize the Report’ (Table 5). Despite the longer individual completion times, CARES Act II was officially closed on June 22nd, 2022, when the final check was deposited. The CARES Act II team was proactive and began tasks as early as possible, therefore overlapping time-periods resulting in the program to be as time-efficient as possible. Additionally, other tasks, such as ‘[Receive] Appeals’ and ‘Resolve Appeals and Make Final Decision’ required less time to complete than projected (Table 5).

Table 5. Timeline of key CARES Act II tasks with the allotted number of days to complete each task, established in the NC CARES Act II Spending Plan.¹

Timeline and Tasks ²	Calculate Initial Losses and Prepare Mailings	Application Period	Processing Applications, Notification of Eligibility, and Start Receiving Appeals	Resolve Appeals and Make Final Decision	Deliver Final Results to ASMFC	NCDEQ Issues Checks	Finalize and Develop Report
60 Days	X						
45 Days		X					
90 Days			X				
30 Days				X			
30 Days					X		
30 Days						X	
60 Days							X

¹ Tax information (e.g., 1099 forms) will be issued to anyone who receives economic relief, and CARES Act II will need to pay for those costs. If any funds are issued in the 2022 calendar year, the tax information will be issued during the first quarter of 2023, and reports cannot be finalized until 2023.

² The spending plan separated tasks into discrete time periods. The CARES Act II team overlapped tasks to expedite the process. Some individual tasks took longer to complete than their projected time, but the CARES Act team still finished ahead of the projected schedule.

The ‘Calculate Initial Losses and Prepare Mailing’ and ‘Finalize and Develop Report’ tasks took longer than their projected times because the CARES Act II team began working on them before their projected start date but did not prioritize them until necessary. The ‘Processing Applications, Notification of Eligibility, and Start Receiving Appeals’ task, however, was worked on daily and took much longer to complete than initially expected due to the number of incomplete applications the CARES Act II team received. As mentioned above, the CARES Act II team worked diligently to verify applicant eligibility, and often had to contact applicants to request more documentation. Because of this effort by the CARES Act II team during this period, not many appeals were submitted, leading to a shorter than expected ‘Resolve Appeals and Make Final Decision’ period

DISBURSEMENT

At the completion of the appeals period, NCDMF supplied ASMFC with all approved application documents, tracking documents and reports, and calculated check amounts. Once ASMFC approved the check amounts, NCDMF invoiced for the assistance funds. The CARES Act II team wrote a letter to be included with the checks reminding the applicant of the purpose of the checks (Appendix J). North Carolina Department of Environmental Quality (NCDEQ) wrote and mailed the checks with the attached letter during a single check write on February 15, 2022 (Table 5). After \$160,295 was set aside for NCDMF administrative costs, \$4,385,651 was distributed to the three stakeholder groups as follows (Table 6).

Initial allocation was based on NOAA Fisheries’ published ratio of each stakeholder group’s average annual revenue relative to the average annual revenue for all stakeholder groups in North Carolina (NOAA 2020; Table 6; Appendix B). Following the precedent set with CARES Act I, NCDMF included language in the spending plan that allowed excess funds to be transferred from a fully compensated category to the category with the lowest proportional compensation. Therefore, funds from the 100% compensated For-Hire Operations stakeholder category were moved to the Seafood Dealers and Processors category, which raised the compensation for the Seafood Dealers and Processors from 4.5% of approved losses to 9.93% of approved losses. This reallocation occurred because the for-hire group had 100% of their claimed losses covered with \$613,357.56 remaining in the fund, so the extra money was added to the seafood dealer and processor pool to increase that group’s total compensation. In other words, prior to this amendment, eligible seafood dealers were being compensated \$0.04 for every \$1.00 of claimed loss. However, following the reallocation, eligible seafood dealers were then compensated \$0.10 for every \$1.00 of claimed loss. Commercial fishermen and aquaculture operations did not have any allocation adjustments and ended with 28.95% claimed loss coverage. Each participant in an individual stakeholder group received the same percent of loss coverage, unless the applicant only qualified for \$50, requested less money, or received money from CARES Act I. The percent of loss covered for each stakeholder group was calculated by dividing the allocation amount by the total loss for the stakeholder group and multiplying by 100. The average check amount for the program was \$16,549.63. For-hire fishing operations had the largest average check amount of \$36,599.87, seafood dealers and processors had an average check amount of \$31,412.90, and

commercial fishermen and aquaculture operations had the smallest average check amount of \$12,975.06.

Table 6. Breakdown of the final allocation of CARES Act II funds per stakeholder group with original allocation percentage, amended allocation percentage, allocation amount in dollars and percent of loss covered.

	Original Allocation Percentage	Amended Allocation Percentage	Allocation Amount	Percent of Loss Covered
Commercial Fishermen/Aquaculture Operations	64%	64%	\$2,815,588.00	28.95%
Seafood Dealers/Processors	12%	26%	\$1,130,864.56	9.93%
For-Hire Operators	24%	10%	\$439,198.44	100%
Grand Total	100%	100%	\$4,385,651.00	N/A

Once all the checks were mailed, NCDEQ provided weekly check status updates to the CARES Act II team so they could call and make sure checks were being received and deposited. This occurred until June 22, 2022, when the final check was deposited.

SUMMARY

North Carolina CARES Act II assistance funds were distributed to 265 approved participants in 25 North Carolina counties (Table 7). The amount of relief distributed to the 265 approved applicants totaled \$4,385,651 for claimed fisheries revenue losses from March to December 2020. Carteret County received the most funding from the program (\$612,763), which was distributed to 67 participants. Dare County received the second highest amount of funding with \$590,577 distributed amongst 26 participants, and Onslow County had the second most approved participants, with 38 (\$403,691).

Table 7. Total check counts, amounts, and percentages by county for CARES Act II.

Mailing County	Total Number of Approved Applicants	Total Amount Paid	Percent of Total
Beaufort	14	\$160,422.81	3.7%
Brunswick	18	\$324,276.20	7.4%
Buncombe	1	***	***
Camden	13	\$246,574.05	5.6%
Carteret	67	\$612,763.32	14.0%
Craven	4	\$541,838.00	12.4%
Cumberland	1	***	***
Currituck	5	\$14,754.89	0.3%
Dare	26	\$590,577.05	13.5%
Gates	1	***	***
Hyde	22	\$528,030.14	12.0%
Mecklenburg	1	***	***
New Hanover	8	\$59,825.06	1.4%
Onslow	38	\$403,691.07	9.2%
Pamlico	4	\$381,199.66	8.7%
Pasquotank	9	\$208,280.37	4.7%
Pender	6	\$12,178.49	0.3%
Perquimans	8	\$109,717.57	2.5%
Pitt	7	\$22,401.72	0.5%
Randolph	1	***	***
Rowan	1	***	***
Tyrrell	5	\$57,860.89	1.3%
Wake	2	***	***
Washington	2	***	***
Wilson	1	***	***
***Confidential Data	-	\$111,259.69	2.5%
Grand Total	265	\$4,385,651.00	100%

LITERATURE CITED

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APPENDIX

Appendix A: CARES Act II NC Sub-Award

SUB-AWARD
ATLANTIC STATES MARINE FISHERIES COMMISSION

SUB-AWARDEE: NORTH CAROLINA DEQ, DIVISION OF MARINE FISHERIES
SUB-AWARD NUMBER: 21-0906
PERIOD OF PERFORMANCE: 8/01/2021-7/30/2022
AMOUNT OF AWARD: \$4,545,946

THIS SUB-AWARD, ENTERED INTO THIS 23RD DAY OF SEPTEMBER 2021 BY THE ATLANTIC STATES MARINE FISHERIES COMMISSION (ASMFC OR THE COMMISSION) AND STATE OF NORTH CAROLINA DEQ, DIVISION OF MARINE FISHERIES, HEREINAFTER CALLED THE SUB-AWARDEE, WITNESSES THAT THE PARTIES HERETO DO AGREE AS FOLLOWS:

ARTICLE 1. STATEMENT OF WORK: THE SUB-AWARDEE SHALL FURNISH THE NECESSARY PERSONNEL, FACILITIES, AND MATERIALS FOR PERFORMANCE OF THE FOLLOWING WORK:

NC DMF WILL ADMINISTER FEDERAL CARES ACT II FISHERY RELIEF FUNDS TO NORTH CAROLINA'S FISHERIES PARTICIPANTS NEGATIVELY AFFECTED BY THE COVID-19 PANDEMIC AS ALLOWABLE UNDER THE CONSOLIDATED APPROPRIATIONS ACT, 2021.

THE SUB-AWARDEE HAS CHOSEN TO DISTRIBUTE THE FUNDS TO THEIR FISHERMEN OR FISHERY-RELATED BUSINESSES DIRECTLY. ASMFC WILL PROVIDE THE FUNDS ALLOCATED TO THE STATE BY NMFS UPON RECEIPT OF AN INVOICE, OR INVOICES FROM THE STATE AS DETAILED IN ARTICLE 8. SEE ATTACHED NORTH CAROLINA SPEND PLAN FOR DETAILS ON PROJECT BUDGET, AID ELIGIBILITY AND DISTRIBUTION JUSTIFICATION.

ARTICLE 2. COST: THE TOTAL SUB-AWARD TO NORTH CAROLINA DEQ DMF IS NOT TO EXCEED \$4,545,946.

ARTICLE 3. PERIOD OF CONTRACT: WORK SHALL COMMENCE ON AUGUST 1, 2021 AND SHALL BE COMPLETED NOT LATER THAN JULY 30, 2022.

ARTICLE 4. AUTHORITY: THIS SUB-AWARD IS NEGOTIATED UNDER THE PROVISIONS OF COOPERATIVE AGREEMENT NUMBER NA21NMF4540291 BETWEEN THE UNITED STATES DEPARTMENT OF COMMERCE, NOAA FISHERIES AND THE ATLANTIC STATES MARINE FISHERIES COMMISSION. THE SUB-AWARDEE SHALL COMPLY WITH ALL PROVISIONS OF THE COMMISSION'S COOPERATIVE AGREEMENT, INCLUDING APPLICABLE COST PRINCIPLES, ADMINISTRATIVE AND AUDIT REQUIREMENTS, AS OUTLINED IN THE DOC FINANCIAL ASSISTANCE STANDARD TERMS AND CONDITIONS: (https://www.commerce.gov/sites/default/files/2020-11/Department%20of%20Commerce%20Standard%20Terms%20Conditions%2030%20April%202019_1.pdf)

ARTICLE 5. AGENTS: THE PRINCIPAL AGENT FOR THE ATLANTIC STATES MARINE FISHERIES COMMISSION ON ADMINISTRATIVE MATTERS SHALL BE LAURA C. LEACH, DIRECTOR OF FINANCE AND ADMINISTRATION, AND ON TECHNICAL MATTERS SHALL BE ROBERT E. BEAL, EXECUTIVE DIRECTOR. THE AGENT FOR THE SUB-AWARDEE ON ADMINISTRATIVE MATTERS SHALL BE BETH GOVONI AND ON TECHNICAL MATTERS SHALL BE BRANDI SALMON.

ARTICLE 6. REPORTING: A REPORT DETAILING THE FUNDS EXPENDED BY SUB-AWARDEE MUST BE SUBMITTED ELECTRONICALLY TO THE COMMISSION'S TECHNICAL AGENT, IDENTIFIED IN ARTICLE 5, AT THE CONCLUSION OF THE PERFORMANCE PERIOD.

ARTICLE 7. CHANGES: REVISIONS TO THIS SUB-AWARD, WHEN MUTUALLY AGREED UPON, MAY BE AWARDED BY AMENDMENT FROM ATLANTIC STATES MARINE FISHERIES COMMISSION TO SUB-AWARDEE STATING THE REASON FOR THE REVISION; BE IT RELATED TO PERIOD OF PERFORMANCE, STATEMENT OF WORK OR BUDGET.

ARTICLE 8. PAYMENTS: SUB-AWARDEE SHALL INVOICE ATLANTIC STATES MARINE FISHERIES COMMISSION FOR THE FUNDS AS DETAILED IN THEIR SPEND PLAN APPROVED BY NOAA FISHERIES AND ONCE THEY HAVE PROCESSED SPECIFIC DISTRIBUTIONS TO EACH FISHERY PARTICIPANT OR FISHERY-RELATED BUSINESS. ASMFC WILL PROCESS THE REQUEST IMMEDIATELY AND SEND THE FUNDS ELECTRONICALLY VIA AUTOMATED CLEARING HOUSE OR BY CHECK.

ARTICLE 9. LAW APPLICABLE: THIS SUB-AWARD SHALL BE INTERPRETED BY A COURT OF COMPETENT JURISDICTION, AND THE SUB-AWARDEE SHALL COMPLY WITH ALL APPLICABLE FEDERAL, STATE AND LOCAL LAWS, ORDERS AND REGULATIONS RELATING TO THE PERFORMANCE OF THIS SUB-AWARD. THIS SUB-AWARD SUPERSEDES ALL PRIOR OFFERS, NEGOTIATIONS, OR AGREEMENTS CONCERNING THE SUBJECT MATTER HEREOF AND CONSTITUTES THE ENTIRE CONTRACT BETWEEN THE PARTIES.

IN WITNESS THEREOF, THE PARTIES HERETO HAVE EXECUTED THIS SUB-AWARD AS OF THE DAY AND YEAR FIRST ABOVE WRITTEN:


KATHY RAWLS, DIRECTOR
NORTH CAROLINA DEQ DMF
3441 ARENDELL STREET
MOREHEAD CITY, NC 28557
FEIN # 56-6000372

Laura Leach
Laura Leach (Oct 6, 2021 13:00 EDT)
LAURA C. LEACH
DIRECTOR OF FINANCE AND ADMINISTRATION
ATLANTIC STATES MARINE FISHERIES COMMISSION
1050 N. HIGHLAND STREET
ARLINGTON, VA 22201
(703) 842-0711

Appendix B: NOAA Average Annual Stakeholder Revenue Explanation and Allocation Ratios

Form 1: Average Annual Stakeholder Revenue Explanation

To allocate the Sec. 12005 funds, NOAA Fisheries used readily available multi-year averages to estimate the total average annual revenues from commercial fishing operations, aquaculture firms, the seafood supply chain (processors, dealers, wholesalers and distributors) and charter fishing businesses from each coastal state, Tribe, and territory. Additional details regarding the sources of revenue data are included below:

- 1) *Commercial fishing revenues:* For most states, five year average commercial fishing revenues from 2014-2018 were based on data obtained from NOAA Fisheries' Office of Science and Technology's [commercial landings database](#). For U.S. territories, five year average commercial fishing revenues from 2014-2018 were obtained from the [Fisheries of the United States](#) report.
- 2) *Aquaculture revenues:* Most aquaculture revenue data was embedded within the [commercial landings revenue data](#) used to calculate five year average commercial fishing revenues. Updated [USDA Census of Aquaculture data](#) was used to account for aquaculture sales not accounted for within commercial fishing landings data (e.g., oysters, mussels, clams from select states). Multi-year averages were not available for aquaculture sales derived from the USDA Census of Aquaculture data.
- 3) *Seafood Sector Revenues:* The commercial fishing landings revenue and aquaculture sales (defined as described above) were used to calculate direct value-added estimates for the seafood sector (i.e., processors, dealers, and wholesalers/distributors) using NOAA Fisheries' [Commercial Fishing & Seafood Industry Economic Impact Model](#), while Alaska and West Coast direct value added estimates were calculated from regional models. In layman's terms, direct value added is essentially sales revenue less the cost of seafood inputs. This metric essentially ensures that revenue was not double counted in both the commercial and seafood sectors and that expenditures that flow out of the country from imported seafood products were not included in any revenue estimates.
- 4) *For-hire fishing revenues:* For most states, average for-hire fishing revenues from 2015-2019 were based on angler payments to for-hire operations for fishing trips. Data on angler payments were based on NOAA Fisheries' [Angler Expenditures Surveys](#) and data on directed for-hire fishing trips were derived from NOAA Fisheries' [Marine Recreational Information Program](#). For Hawaii, Alaska and the Caribbean territories, NOAA Fisheries used charter vessel cost earnings surveys.

Additional notes: All sales and value added data was converted into 2019 dollars. Several additional adjustments were made to the data described above in order to accommodate the unique needs of allocating Sec. 12005 funds. For example:

- *Homeporting Adjustment:* Average annual landings revenue data from Alaska, New England, and Mid-Atlantic states were adjusted to attribute landings in those regions to a vessel owner's state of residence to better reflect where fishing income accrues. These adjustments were made by determining the proportion of landings in a particular state attributed to vessel owners residing in another state and distributing revenue accordingly. A similar adjustment was also applied to at-sea processors on the West Coast.

Form 2: Stakeholder Allocation Revenues

Sec. 12005 Allocation: Sector-Based Revenues

NOAA Fisheries is providing this data for informational purposes only. Please note that states, Tribes, and territories are not obligated to utilize this data when developing their spend plans for their allocated Sec. 12005 funds. Specifically, allocated funds are not required to be distributed based on the proportions outlined below, as the number of eligible fishery participants across sectors may vary based on the CARES Act requirement that fishery participants must have incurred a 35% economic revenue loss or negative impacts to subsistence, cultural, or ceremonial fisheries in order to be eligible for Sec. 12005 funds.

Entity	Percentage of Total Annual Revenue (All Sectors)				Allocation
	For-Hire Fishing	Commercial Fishing and Aquaculture	Seafood Sector	Tribal Commercial Fishing, Aquaculture & For Hire	
Alaska	5.5%	35.2%	59.3%		\$50,000,000
Washington	0.6%	67.8%	31.6%		\$50,000,000
Massachusetts	1.5%	47.3%	51.2%		\$28,004,176
Florida	27.0%	30.7%	42.3%		\$23,636,600
Maine	0.4%	81.5%	18.1%		\$20,308,513
California	18.6%	30.6%	50.8%		\$18,350,586
Oregon	2.1%	45.6%	52.3%		\$15,982,827
Louisiana	11.4%	74.2%	14.4%		\$14,785,244
New Jersey	6.0%	64.2%	29.8%		\$11,337,797
Texas	10.6%	64.3%	25.1%		\$9,237,949
New York	11.6%	31.4%	57.1%		\$6,750,276
North Carolina	24.0%	64.2%	11.8%		\$5,460,385
Federally Recognized Tribes on the West Coast				100.0%	\$5,097,501
Virginia	4.9%	52.8%	42.3%		\$4,520,475
Hawaii	13.8%	69.4%	16.8%		\$4,337,445
Maryland	13.0%	42.2%	44.8%		\$4,125,118
Pennsylvania	0.0%	0.0%	100.0%		\$3,368,086
Alabama	25.9%	46.3%	27.7%		\$3,299,821
Rhode Island	3.5%	68.0%	28.5%		\$3,294,234
New Hampshire	4.3%	40.1%	55.6%		\$2,732,492
American Samoa	0.0%	8.0%	92.0%		\$2,553,194
Georgia	4.8%	23.5%	71.8%		\$1,921,832
Connecticut	6.4%	41.9%	51.7%		\$1,835,424
Mississippi	16.2%	51.9%	31.9%		\$1,534,388
South Carolina	46.4%	45.2%	8.4%		\$1,525,636
Delaware	9.1%	50.3%	40.6%		\$1,000,000
Puerto Rico	20.8%	42.1%	37.2%		\$1,000,000
United States Virgin Islands	27.8%	38.4%	33.9%		\$1,000,000
Federally Recognized Tribes in Alaska*				100.0%	\$1,000,000
Guam	0.0%	53.1%	46.9%		\$1,000,000
Commonwealth of the Northern Mariana Islands	0.0%	53.1%	46.9%		\$1,000,000

*Encompasses the only Federally-recognized Tribe in the state with a Tribally managed commercial fishery

Appendix C: Application Forms

Form 1.1: Cover Letter-Prequalified



«Name»
«MailAddress1»
«MailAddress2»
«MailCity», «MailState» «MailZip»

Date

ROY COOPER
Governor

ELIZABETH S. BISER
Secretary

KATHY B. RAWLS
Director

Dear Potential Applicant:

The Consolidated Appropriations Act of 2021 (CARES Act II) authorized the U.S. Secretary of Commerce to provide a second round of economic assistance to affected fishery participants due to the coronavirus (COVID-19) pandemic. North Carolina received approximately \$4.5 million from this funding to provide financial relief to fishery-related stakeholder groups affected by the COVID-19 pandemic through direct payout. The affected stakeholder categories approved for payments are commercial fishermen (including shellfish license holders), marine aquaculture operations, seafood processors and dealers, and for-hire fishing operators.

Similar to the CARES Act (CARES Act I), the National Oceanic and Atmospheric Administration (NOAA) Fisheries guidance requires applicants for CARES Act II to demonstrate a sustained reduction in revenue greater than thirty-five percent (35%) due directly to COVID-19 during the period between March 1 and Dec 31, 2020, as compared to the average revenue for that same period of March 1 – Dec 31 for the five preceding years of 2015-2019. Note that the time period included is different from CARES Act I and approval or denial for CARES Act I does not exclude you from applying for CARES Act II.

Based on North Carolina Trip Ticket Program (NCTTP) data, we have determined you **may qualify** for these relief funds as a commercial fisherman. If you would like to apply, please complete the enclosed forms:

- Program Self-Certification and Assurances (Affidavit)
- Program Application
- State of North Carolina Substitute W-9 Form

Please submit all three documents, as well as a copy of valid photo identification. If you do not wish to use NCTTP data, or if you wish to apply as a commercial fisherman using your own documentation, please provide your own revenue values and supporting documentation. If you do not provide documentation, NCTTP data will be used. Applications and supporting documentation must be delivered in person to the NCDMF Headquarters Office located in Morehead City or mailed and postmarked by 5pm on **[Insert Date]**. Applications and supporting documentation cannot be submitted to other NCDMF offices. Applications and supporting documentation that are submitted after 5pm on **[Insert Date]** will not be considered. Please note you may only apply for one stakeholder group.

If you have any questions about the Program, you may send an email to covid19relief@ncdenr.gov or call NCDMF staff in Morehead City, NC at (252) 503-3091 or 1-800-682-2632 (toll-free in N.C. only).

Sincerely,

A handwritten signature in black ink that reads "Kathy B. Rawls".

Kathy B. Rawls
Director

Form 1.2: Cover Letter- Not Prequalified



ROY COOPER
Governor
ELIZABETH S. BISER
Secretary
KATHY B. RAWLS
Director

Date

«Name»
«MailAddress1»
«MailAddress2»
«MailCity», «MailState» «MailZip»

Dear Potential Applicant:

The Consolidated Appropriations Act of 2021 (CARES Act II) authorized the U.S. Secretary of Commerce to provide a second round of economic assistance to affected fishery participants due to the coronavirus (COVID-19) pandemic. North Carolina received approximately \$4.5 million from this funding to provide financial relief to fishery-related stakeholder groups affected by the COVID-19 pandemic through direct payout. The affected stakeholder categories approved for payments are commercial fishermen (including shellfish license holders), marine aquaculture operations, seafood processors and dealers, and for-hire fishing operators.

Similar to the CARES Act (CARES Act I), the National Oceanic and Atmospheric Administration (NOAA) Fisheries guidance requires applicants for CARES Act II to demonstrate a sustained reduction in revenue greater than thirty-five percent (35%) due directly to COVID-19 during the period between March 1 and Dec 31, 2020, as compared to the average revenue for that same period of March 1 – Dec 31 for the five preceding years of 2015-2019. Note that the time period included is different from CARES Act I and approval or denial for CARES Act I does not exclude you from applying for CARES Act II.

Based on North Carolina Trip Ticket Program (NCTTP) data, we have determined you **may not qualify** for these relief funds as a seafood dealer. This does not exclude you from applying with your own revenue values as a seafood dealer or as a For-Hire operation. If you would like to apply, please complete the enclosed forms:

- Program Self-Certification and Assurances (Affidavit)
- Program Application
- State of North Carolina Substitute W-9 Form

Please submit all three documents, as well as proof of identity. Please provide your own revenue values and supporting documentation. If you do not provide documentation, your application will be denied. Applications and supporting documentation must be delivered in person to the NCDMF Headquarters Office located in Morehead City or mailed and postmarked by 5pm on **[Insert Date]**. Applications and supporting documentation cannot be submitted to other NCDMF offices. Applications and supporting documentation that are submitted after 5pm on **[Insert Date]** will not be considered.

If you have any questions about the Program, you may send an email to covid19relief@ncdenr.gov or call NCDMF staff in Morehead City, NC at (252) 503-3091 or 1-800-682-2632 (toll-free in N.C. only).

Sincerely,

Handwritten signature of Kathy B. Rawls in black ink.

Kathy Rawls
Director

Form 2: Application



STATE OF NORTH CAROLINA – DIVISION OF MARINE FISHERIES NC Consolidated Appropriations Act Fisheries Relief Program (CARES Act II) Application

Please read the following information carefully before beginning this application.

This application will be used to assist the North Carolina Department of Environmental Quality, Division of Marine Fisheries (NCDMF) to distribute approximately \$4.6 million in federal relief money, less administrative costs, to select fishing industry stakeholders through the Consolidated Appropriations Act of 2021 (CARES Act II). Eligible applicants for relief assistance include commercial fishermen (including shellfish license holders) and marine aquaculture operations, licensed seafood dealers and seafood processors, and for-hire fishing operations.

Potential affected stakeholder groups will be separated into three different application categories: 1) commercial fishermen and marine aquaculture operations; 2) seafood dealers and processors; and 3) for-hire fishing operations. To assist as many stakeholders as possible, applicants will only be allowed to apply for relief within one category regardless of whether an applicant qualifies under the other two categories. Each license holder must submit their own application, and only landings attributed to their license will be considered (if applicable).

Funds were made available through Division M of the Consolidated Appropriations Act of 2021 to support activities previously included in Sec. 12005 of the CARES Act. Applicants are required to demonstrate a reduction in revenue greater than thirty-five percent (35%) during the period between March 1 and December 31, 2020, as compared to the average revenue for that same period of March 1 – December 31 for the five preceding years of 2015-2019. NOAA Fisheries also requires that any relief monies received from the Program cannot result in a participant's annual 2020 earnings (January 1 to December 31) exceeding their five-year average annual (January to December) revenue between the years 2015-2019. Participants may be required to pay back some or all of the relief monies that exceed this limit, as NCDMF is unable to verify this information independently. Acceptable revenue documentation is described in Section 2. You will also be required to sign the Self-Certification and Assurances (Affidavit) form verifying that your claimed losses are accurate.

If you were not pre-qualified and you do not think you experienced a sustained revenue loss greater than thirty-five percent (35%) due to COVID-19 between March 1 and December 31, 2020, or you cannot provide supporting documentation to demonstrate your loss, you are unlikely to qualify for a relief payment. You must be a resident or registered business of the State of North Carolina and 18 years or older in order to be eligible for relief. Please note that bait and tackle shop owners, gear and vessel suppliers, employees, crew members, and those who are assigned but do not own any individual fishing licenses, are not eligible to apply for relief.

All applicants, regardless of pre-approval status, must complete and sign all application forms in order to be eligible for relief. Please read all directions carefully. Applications and supporting documentation must be delivered in person to the NCDMF Headquarters Office located in Morehead City or postmarked by 5pm on October 1st, 2021. Applications and supporting documentation cannot be submitted to other NCDMF offices.

State of North Carolina | Division of Marine Fisheries
3441 Arendell Street | PO Box 769 | Morehead City, NC 28557
Covid19relief@ncdenr.gov 252-503-3091



STATE OF NORTH CAROLINA – DIVISION OF MARINE FISHERIES
NC Consolidated Appropriations Act Fisheries Relief Program (CARES Act II)
Application

SECTION 1: PRELIMINARY INFORMATION – ALL APPLICANTS MUST COMPLETE THIS SECTION

Legal Name: (Last, First, Middle- Suffix)			
Residential Mailing Address:		Residential Physical Address:	
		Check if same as mailing address []	
Business Mailing Address:		Business Physical Address:	
Check if N/A []		Check if same as mailing address []	
Date of Birth (MM/DD/YYYY):		Please list all active out-of-state of federal licenses you own, as well as the corresponding license number:	
Please provide the following, all that apply:		Please list all active NCDMF-issued licenses/permits you own:	
Cell phone number		Type	License/Permit Number
Home phone number			
Business phone number			
Email address			
Which category will you be applying for CARES Act II relief through? (ONLY CHOOSE ONE CATEGORY)			
Commercial Fisherman or Marine Aquaculture Operation			
Seafood Dealer or Processor			
For-Hire Operation (Proceed to Section 2)			
Are you using NCDMF TT data or are you supplying your own documentation? (Please Circle) For-hire operators and seafood processors must provide own documentation.		NCDMF TT Data	Own Documentation



**STATE OF NORTH CAROLINA – DIVISION OF MARINE FISHERIES
NC Consolidated Appropriations Act Fisheries Relief Program (CARES Act II)
Application**

SECTION 2: SUPPORTING DOCUMENTATION

Required by ALL applicants:

- Copy of current North Carolina Driver's License or North Carolina-issued identification
- Copies of business permits or licenses issued by government agencies outside of NCDMF showing the physical location of the processor in North Carolina
- Copies of any corporation, limited liability, registered 'doing business as' or other legal documentation showing the physical location of the processor in North Carolina

Required by applicants providing SELF-REPORTED VALUES and their OWN DOCUMENTATION*:

- Copy of out-of-state or federal commercial fishing licenses or permits if reporting out-of-state landings
- Supporting revenue documentation:
 - Personal Trip Tickets showing actual prices
 - Receipts
 - Invoices
 - Accounting software reports (e.g. QuickBooks)
 - Calendars with for-hire trip dates and prices
 - Bank Statements for business accounts
 - Profit & Loss Statements

*If you are a commercial fisherman or seafood dealer and do not provide your own revenue documentation, you are accepting the information NCDMF has on record in the Trip Ticket Database as your supporting documentation. If you are a seafood processor without a NC seafood dealer permit or a for-hire operation and do not provide your own revenue documentation, you will be denied.

During the time period from March 1, 2020 to December 31, 2020 , what was your pre-tax revenue from fishing activities?				
(A) \$				
Record your pre-tax revenue from commercial fishing/aquaculture for the time period of March 1 – December 31 for each year, 2015 – 2019, in the spaces below.				
2015 (B)	2016 (C)	2017 (D)	2018 (E)	2019 (F)
\$	\$	\$	\$	\$
Considering your average annual revenue from 2015-2019 and your expected total revenue for 2020, including CARES Act II, Section 12005 assistance, and other relief programs in the CARES Act, what is the maximum amount of money you estimate you could receive from this program and not be made more than 100% whole, as described in the attached cover letter? (NOTE: the amount you provide in the box below may or may not be the amount that you receive from this program)				
\$				

Thank you for completing the NC Consolidated Appropriations Act Fisheries Relief Program (CARES Act II) Application! You will be contacted by NCDMF staff to notify you of your status in this relief program once your application has been reviewed.

Form 3: Self-certification Affidavit



**STATE OF NORTH CAROLINA – DIVISION OF MARINE FISHERIES
NC Consolidated Appropriations Act Fisheries Relief Program (CARES Act II)
Self-Certification and Assurances (Affidavit)**


[_____] hereby requests
Last Name, First Name MI
federal assistance from the Department of Commerce, National Oceanic and Atmospheric Administration, National Marine Fisheries Service; through the Atlantic States Marine Fisheries Commission.

As the Organization’s Authorized Representative, I self-certify and attest that (please initial each statement below):

- _____ This organization is a Fishery Participant that is an eligible recipient of assistance under the Consolidated Appropriations Act (P.L. 116-260) Division M.
- _____ Direct payments will not be directed to minors.
- _____ Funds will not be used to compensate state, local, or tribal governments for lost municipal or government tax revenue.
- _____ Funds will be used to address fishery-related direct or indirect losses or subsistence/cultural/ceremonial impacts.
- _____ The Fishery Participant applying for assistance is: (initial only if all statements below are true)
 - not de-barred
 - not on the government’s “do not pay” list
 - in good standing with the Federal and State Government
- _____ The Fishery Participant is aware that direct payments are taxable and may potentially be subject to federal auditing processes.
- _____ The Fishery Participant verifies that all information submitted in the application, affidavit, and supporting documentation is true, accurate, and complete.
- _____ The Fishery Participant understands that the combination of financial assistance from section 12005 of the CARES Act, other programs in the CARES Act, CARES Act II, and the Fishery Participant’s traditional revenue earnings in 2020 must not exceed the Fishery Participant’s total average annual revenue from the previous five years, or the time-period the Fishery Participant held a license if the Fishery Participant has been in business for less than five years, thus making the Fishery Participant “more than whole” in annual revenue as a result of this relief program.
- _____ The Fishery Participant understands that they may be required to pay back some or all the relief monies received if the Fishery Participant’s total earnings from the sources described above exceeds the Fishery Participant’s five-year average earning from 2015-2019, or the time-period the Fishery Participant held a license if the Fishery Participant has been in business for less than five years.
- _____ If applying as a commercial fisherman or seafood dealer, the Fishery Participant agrees to use North Carolina Trip Ticket data if they fail to provide supporting revenue documentation (profit & loss statements, invoices, receipts, etc.).
- _____ If applying as a seafood processor without a NC seafood dealer permit or a for-hire operation, the Fishery Participant understands they will be denied if they fail to provide supporting revenue documentation (calendars, profit & loss statements, bank statements, etc.).

State of North Carolina | Division of Marine Fisheries
3441 Arendell Street | PO Box 769 | Morehead City, NC 28557
Covid19relief@ncdenr.gov 252-503-3091

Form 4: Substitute W-9

NC Office of the State Controller (IRS Form W-9 will not be accepted in lieu of this form) *Denotes a Required Field	STATE OF NORTH CAROLINA SUBSTITUTE W-9 FORM Request for Taxpayer Identification Number			
Section 1 – Taxpayer Identification	*1. <input type="checkbox"/> Social Security Number (SSN), OR <input type="checkbox"/> Employer Identification Number (EIN), OR <input type="checkbox"/> Individual Taxpayer Identification Number (ITIN) *2.		Please select the appropriate Taxpayer Identification Number (EIN, SSN, or ITIN) type and enter your 9-digit ID number. The U.S. Taxpayer Identification Number is being requested per U.S. Tax Law. Failure to provide this information in a timely manner could prevent or delay payment to you or require The State of NC to withhold 28% for backup withholding tax.	
	*4. Legal Name (as shown on your income tax return):		3. Dunn & Bradstreet Universal Numbering System (DUNS) (see instructions)	
	5. Business Name/DBA/Disregarded Entity Name, if different from Legal Name:			
	Contact Information			
	*6. Legal Address		7. Remittance Address (Location specifically used for payment that is different from Legal Address, if applicable)	
	*Address Line 1:		Address Line 1:	
	Address Line 2:		Address Line 2:	
	*City	*State	*Zip (9 digit)	City State Zip (9 digit)
	*County		County	
	*8. Contact Name:			
	*9. Phone Number:			
10. Fax Number:				
11. Email Address:				
*12. Entity Type <input type="checkbox"/> Individual/Sole Proprietor/Single-member LLC <input type="checkbox"/> C-Corporation <input type="checkbox"/> S-Corporation <input type="checkbox"/> Partnership <input type="checkbox"/> Trust/Estate <input type="checkbox"/> Other _____ <input type="checkbox"/> Limited liability company. Enter the tax classification (C=C corporation, S=S corporation, P=Partnership) _____ Note: Check the appropriate box in the line above for the tax classification of the single-member owner. Do not check LLC if the LLC is classified as a single-member LLC that is disregarded from the owner unless the owner of the LLC is another LLC that is not disregarded from the owner for U.S. federal tax purposes. Otherwise, a single-member LLC that is disregarded from the owner should check the appropriate box for the tax classification of its owner.		*13. Entity Classification <input type="checkbox"/> Medical Services <input type="checkbox"/> Legal/Attorney Services <input type="checkbox"/> NC Local Govt <input type="checkbox"/> Federal Govt <input type="checkbox"/> NC State Agency <input type="checkbox"/> Other Govt <input type="checkbox"/> Other (specify) _____	14. Exemptions (see instructions) Exempt payee code (if any): _____ Exemption from FATCA reporting code (if any): _____	
Section 2 -Certification	Under penalties of perjury, I certify that: 1. The number shown on this form is my correct taxpayer identification number (or I am waiting for a number to be issued to me), and 2. I am not subject to backup withholding because: (a) I am exempt from backup withholding, or (b) I have not been notified by the Internal Revenue Service (IRS) that I am subject to backup withholding because of a failure to report all interest or dividends, or (c) the IRS has notified me that I am no longer subject to backup withholding, and 3. I am a U.S. citizen or other U.S. person (defined later in general instructions), and 4. The FATCA code(s) entered on this form (if any) indicating that I am exempt from FATCA reporting is correct.			
	Certification instructions: Please refer to the IRS Form W-9 located on the IRS Website (https://www.irs.gov/):			
	*Printed Name:		*Printed Title:	
*Authorized U.S. Signature:		* Date:		

Please complete the "Modification to Existing Vendor Records" section below if there have been any changes to the following: Tax Identification Number (TIN), Legal Name, Business Name, Remittance Address

Return to the NC State Agency from which you are requesting payment.

NC Office of the State Controller
***Denotes a Required Field**
 This form is to be completed by the vendor.

**STATE OF NORTH CAROLINA
 SUBSTITUTE W-9 FORM
 Modification to Existing Vendor Records**



This form is to be completed by the vendor if one or more of the following have changed:

1. Change of remittance address.
2. Change of Social Security Number (SSN), or Employer Identification Number (EIN), or Individual Taxpayer Identification Number (ITIN).
3. Change of Vendor Name.

Please complete the applicable sections below.

Section 1:

CHANGE FROM: Remittance Address	CHANGE TO: Remittance Address
*Address Line 1:	*Address Line 1:
Address Line 2:	Address Line 2:
*City *State *Zip (9 digit)	*City *State *Zip (9 digit)
*County	*County

NOTE: If you would like to receive your payments electronically, please complete the [Vendor Electronic Payment Form](#)

Section 2:

* CHANGE FROM: SSN, or EIN, or ITIN	* CHANGE TO: SSN, or EIN, or ITIN
-------------------------------------	-----------------------------------

Section 3:

CHANGE FROM: Vendor Name	CHANGE TO: Vendor Name
*Legal Name:	*Legal Name:
Business Name/DBA/Disregarded Entity Name, if different from Legal Name:	Business Name/DBA/Disregarded Entity Name, if different from Legal Name:
*Printed Name:	*Printed Title:
*Authorized U.S. Signature:	* Date:

General Instructions

For General Instructions, please refer to the IRS Form W-9 located on the IRS Website (<https://www.irs.gov/>).

Specific Instructions

Section 1 -Taxpayer Identification

1. **Taxpayer Identification Type.** Check the type of identification number provided in box 2.
2. **Taxpayer Identification Number (TIN).** Enter taxpayer's nine-digit Employer Identification Number (EIN), Social Security Number (SSN), or Individual Taxpayer Identification Number (ITIN) without dashes.

Note: If an LLC has one owner, the LLC's default tax status is "disregarded entity". If an LLC has two owners, the LLC's default tax status is "partnership". If an LLC has elected to be taxed as a corporation, it must file IRS Form 2553 (S Corporation) or IRS Form 8832 (C Corporation).
3. **Dunn and Bradstreet Universal Numbering System (DUNS).** Vendors are requested to enter their DUNS number, if applicable.
4. **Legal Name.** Enter the legal name as registered with the IRS or Social Security Administration. In general, enter the name shown on your income tax return. Do not enter a Disregarded Entity Name on this line.
5. **Business Name.** Business, Disregarded Entity, trade, or DBA ("doing business as") name.

Contact Information

6. Enter your **Legal Address**.
7. Enter your **Remittance Address, if applicable.** A **Remittance Address** is the location in which you or your entity receives business payments.
8. Enter the **Contact Name**.
9. Enter your **Business Phone Number**.
10. Enter your **Fax Number, if applicable**.
11. Enter your **Email Address, if applicable**.

For clarification on IRS Guidelines, see www.irs.gov.

12. **Entity Type.** Select the appropriate entity type.
13. **Entity Classification.** Select the appropriate classification type.

Exemptions

If you are exempt from backup withholding and/or FATCA reporting, enter in the Exemptions box, any code(s) that may apply to you. See Exempt payee code and Exemption from FATCA reporting code below.

14. **Exempt payee code.** Generally, individuals (including sole proprietors) are not exempt from backup withholding. Corporations are exempt from backup withholding for certain payments, such as interest and dividends. Corporations are not exempt from backup withholding for payments made in settlement of payment card or third party network transactions.

Note. If you are exempt from backup withholding, you should still complete this form to avoid possible erroneous backup withholding.

The following codes identify payees that are exempt from backup withholding:

- 1 - An organization exempt from tax under section 501(a), any IRA, or a custodial account under section 403(b)(7) if the account satisfies the requirements of section 401(f)(2)
- 2 - The United States or any of its agencies or instrumentalities
- 3 - A state, the District of Columbia, a possession of the United States, or any of their political subdivisions, or instrumentalities
- 4 - A foreign government or any of its political subdivisions, agencies, or instrumentalities
- 5 - A corporation
- 6 - A dealer in securities or commodities required to register in the United States, the District of Columbia, or a possession of the United States
- 7 - A futures commission merchant registered with the Commodity Futures Trading Commission
- 8 - A real estate investment trust
- 9 - An entity registered at all times during the tax year under the Investment Company Act of 1940
- 10 - A common trust fund operated by a bank under section 584(a)
- 11 - A financial institution
- 12 - A middleman known in the investment community as a nominee or custodian
- 13 - A trust exempt from tax under section 664 or described in section 4947.

The following chart shows types of payments that may be exempt from backup withholding. The chart applies to the exempt payees listed above, 1 through 13.

If the payment is for...	THEN the payment is exempt for...
Interest and dividend payments	All exempt payees except for 7
Broker transactions	Exempt payees 1 through 4 and 6 through 11 and all C corporations. S corporations must not enter an exempt payee code because they are exempt only for sales of noncovered securities acquired prior to 2012.
Barter exchange transactions and patronage dividends	Exempt payees 1 through 4
Payments over \$600 required to be reported and direct sales over \$5,000 ¹	Generally, exempt payees 1 through 5 ²
Payments made in settlement of payment card or third party network transactions	Exempt payees 1 through 4

¹ See Form 1099-MISC, Miscellaneous Income, and its instructions.

² However, the following payments made to a corporation and reportable on Form 1099-MISC are not exempt from backup withholding: medical and health care payments, attorneys' fees, gross proceeds paid to an attorney, and payments for services paid by a federal executive agency.

Exemption from FATCA reporting code. The following codes identify payees that are exempt from reporting under FATCA. These codes apply to persons submitting this form for accounts maintained outside of the United States by certain foreign financial institutions. Therefore, if you are only submitting this form for an account you hold in the United States, you may leave this field blank. Consult with the person requesting this form if you are uncertain if the financial institution is subject to these requirements.

- A - An organization exempt from tax under section 501(a) or any individual retirement plan as defined in section 7701(a)(37)
- B - The United States or any of its agencies or instrumentalities
- C - A state, the District of Columbia, a possession of the United States, or any of their political subdivisions or instrumentalities
- D - A corporation the stock of which is regularly traded on one or more established securities markets, as described in Reg. section 1.1472-1(c)(1)(i)
- E - A corporation that is a member of the same expanded affiliated group as a corporation described in Reg. section 1.1472-1(c)(1)(i)
- F - A dealer in securities, commodities, or derivative financial instruments (including notional principal contracts, futures, forwards, and options) that is registered as such under the laws of the United States or any state
- G - A real estate investment trust
- H - A regulated investment company as defined in section 851 or an entity registered at all times during the tax year under the Investment Company Act of 1940
- I - A common trust fund as defined in section 584(a)
- J - A bank as defined in section 581
- K - A broker
- L - A trust exempt from tax under section 664 or described in section 4947(a)(1)
- M - A tax exempt trust under a section 403(b) plan or section 457(g) plan

Section 2 - Certification

To establish to the paying agency that your TIN is correct, you are not subject to backup withholding, or you are a U.S. person, or resident alien, sign the certification on NC Substitute Form W-9. You are being requested to sign by the State of North Carolina.

For additional information please refer to the IRS Form W-9 located on the IRS Website (<https://www.irs.gov/>).

Appendix D: Application Tracking Sheet

CARES Act II Relief Program Tracking & Routing Sheet

Prequalify: Application Appeal
 Yes No

A D M I N	Date Received:		Received By:		Method?	Mail/ Dep Box	Drop Off	Email/ Phone/ Fax		
	Name of Applicant				PID#	Contact info: Phone & Email				
	If Business - Name of business/owner				18 years or older?	Yes	No	NC Residence	Yes	No
								Business registration	Yes	No
	Amount Requested				Amount received from CARES I					
C A T	Category	Comm Fishermen/Marine Aquaculture (Harvester)			Seafood Dealers/Processors		For-Hire Fishing Operations			
	Document Received	Application	W-9	Affidavit	Sales Records	Tax Document:				
		NC-issued ID	Other:							
B I O L O G I S T	License/ Permit/ Lease numbers	2015	2016	2017	2018	2019	2020			
	Marine Patrol - violations									
	Processor - Physical Address of plant in NC:									
R E V E N U E	Total Revenue Mar-Dec	2015	2016	2017	2018	2019	2020	%		
	Applicant Claims									
	Applicant Documentation									
	DMF Trip Ticket									
A D M I N	Correspondence									
	<input type="checkbox"/> Incomplete		<input type="checkbox"/> Approved		<input type="checkbox"/> Denied		<input type="checkbox"/> Appeal			
	Date Called									
	Certified Mail	Date:				Number:				
	Comments:									
	<input type="checkbox"/> Added to Check Log		<input type="checkbox"/> Added to Denial Log		<input type="checkbox"/> Scan completed					

Appendix E: Application Recommendation Form



CARES ACT FISHERIES RELIEF PROGRAM – APPLICATION RECOMMENDATION

Application

Appeal

Name of Applicant: _____ PID# _____

Business – Name of Owner: _____

Recommendation:

Approve

Deny

Using DMF data

Using applicant's data

Reason(s) for Denial (Check all that apply):

- Under 18 years of age
- Invalid or suspended license/permits
- Incomplete application/missing documentation
- Nonresident of North Carolina
- Failed to prove 35% loss for March – May 2020
- Other

Details/Comments: _____

Recommendation by: _____

Date: _____

Review Committee (Steve Murphy, Dee Lupton, Brandi Salmon, Alan Bianchi, Carter Witten, Jacob Boyd, David Dietz)

Approve

Deny

Date: _____

Using DMF data

Using applicant's data

Details/Comments: _____

Authorized By: _____ **Date:** _____

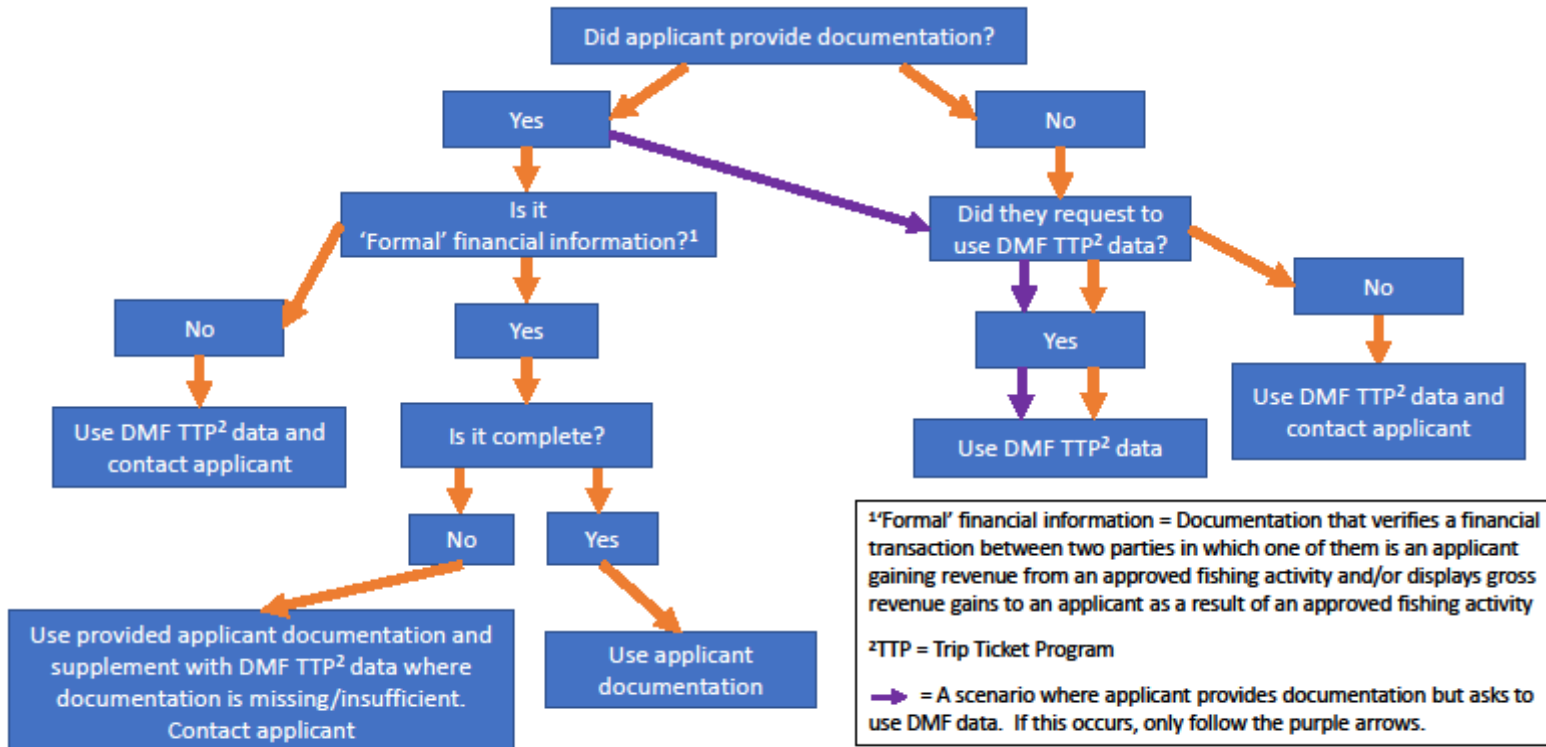
Appendix F: Revenue Documentation Hierarchy Chart

Documentation Hierarchy

Source	Type of Documentation	Level of Acceptance	
3 rd Party	Trip Tickets	Very High	<p>Formal</p> <p>These documents should generally be considered 'formal' because they verify a financial transaction between two parties in which one of them is an applicant gaining revenue from an approved fishing activity and/or display gross revenue gains to an applicant as a result of an approved fishing activity. If these documents do not verify either of these statements, then their acceptance level would drop to medium or low.</p>
3 rd Party	Bank Statements	High	
3 rd Party	Receipts	High	
Business Software	Logbooks	High	
Business Software	Profit-Loss statements	High	
3 rd Party	Transaction Reports	High	
3 rd Party	Deposit Slips	High	
3 rd Party	Invoices	High	
3 rd Party	Tax Forms	Medium	
3 rd Party	Calendar of Appointments	Medium	
3 rd Party	Summary Sheets	Medium	
DMF	DMF Trip Ticket Program (TTP)		<p>If the applicant does not provide their own documentation, or the level of acceptance is low, DMF TTP data is used.</p>
Personal	Basic Spreadsheets	Low	<p>These documents are considered 'informal' and should not be considered unless provided in conjunction with other documentation.</p>
Personal	Handwritten Calculations	Low	
Personal	Calendar of Appointments	Low	

Appendix G: Revenue Documentation Flow Chart

Documentation Flow Chart



Appendix H: Weekly Status Update



CARES Act II Relief Program - Application Statistics
Updated 01/07/22

Number of Mailed out applications	Pre-Qualified Fisherman/ Marine Aquaculture	Fisherman/ Marine Aquaculture	Pre-Qualified Seafood Dealer / Processors	Seafood Dealer / Processors	For-Hire Fishing Operations	Pre-Qualified Multiple Categories	Multiple Categories	Total
		1,969	3,497	143	219	485	285	336

SUMMARY OF REQUESTS RECEIVED

	Pre-Qualified Fisherman/ Marine Aquaculture	Fisherman/ Marine Aquaculture	Pre-Qualified Seafood Dealer / Processors	Seafood Dealer / Processors	For-Hire Fishing Operations	Total
Number of Received Applications	214	85	33	10	18	360
Number of Received Late Applications	1	3	0	0	0	4
Number of Received Appeals	2	4	1	0	0	7
Number of Refusals for Aid	7	20	0	0	0	27
Category Totals	224	112	34	10	18	398

SUMMARY OF RECEIVED METHODS

	Drop box / In person	Email	Phone /Fax	Total
Mail	295	60	4	360
	3	1	0	4
	4	1	2	7
	10	0	17	27
	312	62	18	398

SUMMARY OF ACTED ON REQUESTS

	Pre-Qualified Fisherman/ Marine Aquaculture	Fisherman/ Marine Aquaculture	Pre-Qualified Seafood Dealer / Processors	Seafood Dealer / Processors	For-Hire Fishing Operations	Total
Number of Pending Applications	0	0	0	0	0	0
Number of Pending Late Applications	0	0	0	0	0	0
Number of Approved Applications	209	4	31	4	12	260
Number of Denials	6	84	2	6	6	104
Number of Pending Appeals	0	0	0	0	0	0
Number of Approved Appeals	2	2	1	0	0	5
Number of Denied Appeals	0	2	0	0	0	2
Number of Refusals for Aid	7	20	0	0	0	27
Category Totals	224	112	34	10	18	398

CARES I VS CARES II COMPARISON

	Fisherman/ Marine Aquaculture	Seafood Dealer / Processors	For-Hire Fishing Operations	Total
# of Received Applications - CARES I	213	35	39	287
# of Received Applications - CARES II	303	43	18	364

Appendix I: Notification Letters

Form 1: Application Approval Letter



ROY COOPER
Governor
ELIZABETH S. BISER
Secretary
KATHY B. RAWLS
Director

Date

Address 1

Address 2

City, State Zip

RE: CARES Act II Application Approval

Dear,

Thank you for submitting your application to the North Carolina Consolidated Appropriation Act Fisheries Relief Program (CARES Act II) through the North Carolina Division of Marine Fisheries (NCDMF). After careful review of your application, the Review Committee has determined that you qualify for CARES Act II relief funds with this program. Please be patient while waiting for your check to arrive. Determination of disbursement amounts, and subsequent check writing will not be finalized until the end of the appeal process. We estimate that you will receive relief in Spring 2022.

If you have any questions about the program, you may send an email to covid19relief@ncdenr.gov or call NCDMF staff in Morehead City, N.C. at (252) 503-3091 or 1-800-682-2632 (toll-free in N.C. only).

Sincerely,

A handwritten signature in black ink that reads "Kathy B. Rawls".

Kathy Rawls
Director

Form 2: Application Denial Letter



ROY COOPER
Governor
ELIZABETH S. BISER
Secretary
KATHY B. RAWLS
Director

Date

Address 1
Address 2
City, State Zip

RE: CARES Act II Application Denial and Appeal Process

Dear,

Thank you for submitting your application to the North Carolina Consolidated Appropriations Act Fisheries Relief Program (CARES Act II) through the North Carolina Division of Marine Fisheries (NCDMF). After careful review of your application, the Review Committee has determined that you do not qualify for CARES Act II relief funds with this program. This determination was made based on the documentation you provided, along with any documentation NCDMF had on file. Specifically, you did not qualify due to the following reason(s):

- | | |
|---|---|
| <input type="checkbox"/> Under 18 years of age | <input type="checkbox"/> Nonresident of North Carolina |
| <input type="checkbox"/> Invalid or suspended license/permits | <input type="checkbox"/> Failed to prove 35% loss for March – December 2020 |
| <input type="checkbox"/> Incomplete application/missing documentation | <input type="checkbox"/> Other |

Additional Comments:

If you would like to appeal this determination, you must send an appeal letter, along with additional documentation to supplement any missing or inadequate information. The appeal letter and documentation must be either postmarked or put in the Trip Ticket drop-box outside of the NCDMF Headquarters office within two weeks of receiving and signing for this certified denial letter. Please note, if you do not submit your appeal within two weeks of signing, or you do not sign for the denial letter within two weeks of it being sent, your appeal will not be considered. NCDMF will review your appeal and make the final determination on eligibility within 90 days of receiving the appeal. NCDMF will notify you of its final disposition of the appeal via a phone call followed-up by a letter. NCDMF's appeal determination will be final, and no other appeals can be made.

If you have any questions about the program, you may send an email to covid19relief@ncdenr.gov or call NCDMF staff in Morehead City, N.C. at (252) 503-3091 or 1-800-682-2632 (toll-free in N.C. only).

Sincerely,

Handwritten signature of Kathy B. Rawls in black ink.

Kathy Rawls
Director

Form 3: Appeal Approval Letter



ROY COOPER
Governor
ELIZABETH S. BISER
Secretary
KATHY B. RAWLS
Director

Date

Name
Address 1
Address 2
City, State ZIP

RE: CARES Act II Application Approval

Dear,

Thank you for submitting your appeal of the initial denial of your application for the North Carolina Consolidated Appropriations Act Fisheries Relief Program (CARES Act II) through the North Carolina Division of Marine Fisheries (NCDMF). After careful review of your appeal, the Review Committee has made a final determination that you qualify for CARES Act II relief funds under this program. Please be patient while waiting for your check to arrive. Determination of disbursement amounts, and subsequent check writing will not be finalized until the end of the appeal process. We estimate that you will receive relief in Spring 2022.

If you have any questions about the program, you may send an email to covid19relief@ncdenr.gov or call NCDMF staff in Morehead City, N.C. at (252) 503-3091 or 1-800-682-2632 (toll-free in N.C. only).

Sincerely,

A handwritten signature in black ink that reads "Kathy B. Rawls".

Kathy Rawls
Director

Form 4: Appeal Denial Letter



ROY COOPER
Governor
ELIZABETH S. BISER
Secretary
KATHY B. RAWLS
Director

Date

Name
Address
City, State ZIP

RE: CARES Act II Application Denial Determination

Dear,

Thank you for submitting your appeal of the initial denial of your application for the North Carolina Consolidated Appropriations Act Fisheries Relief Program (CARES Act II) through the North Carolina Division of Marine Fisheries (NCDMF). After careful review of your appeal, the Review Committee has made a final determination that you do not qualify for CARES Act II relief funds with this program. This determination was made based on the documentation you provided, along with any documentation NCDMF had on file. Specifically, you did not qualify due to the following reason(s):

- Under 18 years of age
- Invalid or suspended license/permits
- Incomplete application/missing documentation
- Nonresident of North Carolina
- Failed to prove 35% loss for March – December 2020
- Other

Additional Comments:

No other appeals can be made at this time as NCDMF appeal determinations are final. Please do not attempt to provide any further evidence for your case, as it will not be considered.

If you have any questions about the program, you may send an email to covid19relief@ncdenr.gov or call NCDMF staff in Morehead City, N.C. at (252) 503-3091 or 1-800-682-2632 (toll-free in N.C. only).

Sincerely,

Kathy Rawls
Director

Appendix J: Check Disbursal Letter



ROY COOPER
Governor

ELIZABETH S. BISER
Secretary

KATHY B. RAWLS
Director

Date

Dear Sir Ma'am,

The North Carolina Division of Marine Fisheries (NCDMF) has concluded the North Carolina Coronavirus Aid, Relief, and Economic Security (CARES II) Act Fisheries Relief Program. NCDMF is now in the process of distributing over \$4.3 million of relief funds to North Carolina fishing participants. You are receiving a portion of these funds because you applied for this relief program and showed a greater than 35% revenue loss from March to December of 2020 compared to your previous five-year March to December average revenue. Attached to this letter is your check. This amount is final, and no more checks will be sent out for this program. We thank you for your patience in waiting for this check to arrive.

If you have any questions about the program, you may send an email to covid19relief@ncdenr.gov or call NCDMF staff in Morehead City, NC at (252) 808-8179 or 1-800-682-2632 (toll-free in NC only).

Sincerely,

Kathy Rawls
Director