

North Carolina Coronavirus Aid, Relief, and Economic Security (CARES) Act Fisheries Relief Program



Final Report

June 2021



**NOAA
FISHERIES**



**North Carolina Coronavirus Aid, Relief, and Economic Security (CARES)
Act Fisheries Relief Program**

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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 Trump administration 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. Applicants in all three stakeholder groups were required to meet eligibility requirements, which included proving a greater than 35% fisheries revenue loss between March 1st, 2020, and May 31st, 2020, compared to their average March 1st to May 31st revenue of the previous five-years, 2015-2019. In total, 6,731 applications were mailed to fisheries participants on October 26th, 2020. From this, 291 applications were submitted and, after appeals, 203 were approved. Commercial fishermen and aquaculture operations received ~\$3.4 million and had 79% of their loss covered, seafood dealers and processors received ~\$1.4 million and had 40% of their loss covered, and for-hire fishing operations received ~\$430,000 and had 100% of their loss covered. Funds were distributed to applicants across 25 North Carolina counties and one out of state county (one participant). Carteret County had the highest number of approved applicants (33), while Pamlico County received the highest amount of aid (~\$2.2 million).

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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] 2020). Chinese officials determined the disease, known as COVID-19, was caused by a novel form of the coronavirus (WHO 2020). On January 21st, 2020, the first case of COVID-19 was reported in the United States (Centers for Disease Control and Prevention [CDC] 2021) and on January 30th, 2020. The WHO declared a public health emergency of international concern, their highest level of alarm (WHO 2020). COVID-19 is a flu-like respiratory disease caused by the severe acute respiratory syndrome coronavirus 2 (SARS-CoV-2) virus (WHO 2020). As of April 1st, 2021, approximately 16 months after the first reported case, there have been ~129.1 million reported cases and ~2.8 million deaths worldwide because of COVID-19 (WHO 2021). In America, there have been ~30.2 million reported cases and ~550,000 deaths, with ~905,500 and ~12,000, respectively, occurring in North Carolina (CDC 2021). These numbers continue to climb and may no longer be accurate at the time this report is published.

In an effort to protect citizens and prevent the spread of the virus, many states began mandating orders 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. 110 – 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 of time 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, President Donald Trump signed the Coronavirus Aid, Relief, and Economic Security (CARES) Act into law on March 27th, 2020 (P.L. 116-136). The CARES Act allowed the U.S. Secretary of Commerce to assign ~\$2 trillion for economic relief, with \$300 million assigned specifically to 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 was \$5,416,773 to assist its fisheries participants, including

commercial fishermen, aquaculture operations, seafood dealers and processors, and for-hire operations (National Oceanic and Atmospheric Association [NOAA] 2020; Appendix A), 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.

ELIGIBILITY

ELIGIBILITY REQUIREMENTS

Section 12005 of the CARES Act required an applicant to have experienced a loss of revenue greater than 35% from March 1st to May 31st, 2020 compared to their average March to May revenue of the previous five-year period (2015-2019). Additionally, the North Carolina spending plan for CARES Act I [North Carolina Division of Marine Fisheries (NCDMF) 2020] required that applicants must:

- Have been over the age of 18.
- Have been a registered business or resident of North Carolina through the NCDMF license database.
- If a processor, must have had a physical location in North Carolina.
 - Only North Carolina locations were eligible for relief funds if the processor was headquartered in another state.
- Have a license, permit, or lease in their legal name or business name.
- Have a license, permit, or lease that was active, not expired, and not suspended or revoked during March-May over the 2015-2020 period, or during the period they were in business (if less than five years).
- Have been in business for a minimum of one year.
- Have 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 May 31st timeframe was chosen due to the economic closures caused by North Carolina's executive orders during that time. 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. An applicant was considered active if they held a valid license during these times, regardless of fishing activity.

MAILINGS

NCDMF staff mailed application packets to all 6,731 licensed, eligible fisheries participants in the state's Fisheries Information Network (FIN) database. Application materials were also available on the NCDMF website for any fisheries participants who did not receive a mailed application packet for any reason. The mailed application packet included: a cover letter explaining the CARES Act I and its requirements; an application with a section for each

stakeholder group; a self-certifying affidavit (as required by NOAA); and a substitute W-9 form (Appendix C). The mailings were sent out on October 26th, 2020 and the participants had until November 30th, 2020 to apply for CARES Act I relief funds.

Applicants were notified by mail of their approval or denial decision. Approved applicants were sent a letter stating they had been approved and the checks were expected to be mailed in the spring of 2021. Denied applicants were sent a letter stating the reason for their denial and explaining the appeals process. Denial letters were sent via certified mail. 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 on April 30th, 2021 and included both the assistance checks and a brief letter reminding applicants of the purpose of the program.

PROCESSING

NCDMF CARES ACT TEAM

To assist with the added workload from CARES Act I, 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 and present applications and assist in writing the final report for the program. Other members of the NCDMF CARES Act team included the NCDMF License and Statistics Section Chief, Administrative Specialist I, Trip Ticket Coordinator, Socioeconomist, and Quota Monitoring Biologist. These employees assisted in a multitude of tasks, such as preparing the spending plan, reviewing applications, verifying revenue data via the North Carolina Trip Ticket Program (NCTTP), creating and maintaining tracking reports, and sitting on the review committee. The CARES Act team met on a weekly basis to discuss current and upcoming tasks, as well as discuss difficult application situations.

APPLICATIONS

The application period began when applications were mailed on October 26th, 2020 and remained open until November 30th, 2020. Applicants were required to submit completed application forms, revenue documentation for March to May 2015 to 2020 (or the years they held a license within that time frame), and other required documents, such as their state driver's license or identification card and their federal and out of state licenses and permits. Once applications were received, the CARES Act 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) and decision recommendation form (Appendix E) to be attached with the application in a folder. 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, including March to May 2020 percent loss; and a section for the review committee's final decision and additional comments. Application folders were stored in a

secure filing cabinet until the CARES Act team members were able to begin reviewing the application.

NCDMF received 291 applications. Commercial fishermen and aquaculture operations submitted the most applications, with 217. Seafood dealers and processors submitted 35 applications, and for-hire operators submitted 39 applications (Table 1). The CARES Act team reviewed these applications to determine if the applicant met all the requirements, including greater than 35% revenue loss. If applications were incomplete, staff made up to 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.

REVENUE LOSS VERIFICATION

Applicants were asked to provide documentation supporting their claimed revenue loss. 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 team used this documentation to verify the reported values were accurate and the applicant showed a greater than 35% revenue loss in March to May 2020 compared to the average of March to May 2015 to 2019. When the documentation values did not match the applicant's self-reported values, (e.g. the applicant claimed \$6000 of revenue, but the checks provided only showed \$4500), the CARES Act team used values supported by the provided documentation. Due to this prioritization of documentation over self-reported values, the CARES Act team established two categories of documentation, formal and informal, and created a hierarchy of revenue document types to evaluate applications more consistently. Formal document types included those that could be verified through a third party, such as bank statements and invoices, and informal documents included items like handwritten notes or ledgers (Appendix F). Additionally, the CARES Act 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 was verified with NCTTP data when possible. 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 good 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. At the time CARES Act I was conducted, 2020 NCTTP price data were incomplete, so average 2019 ex-vessel values were used to estimate 2020 revenue. These values were 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. 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 up to 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 was used to determine eligibility. NCDMF does not regularly collect economic data from for-hire operators or seafood processors, 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

Once the CARES Act team finished reviewing an application, the CARES Act biologists made an approval or denial recommendation and compiled the recommendation and relevant notes into a PowerPoint. Each PowerPoint slide contained the following:

- The application's reference number.
- The applicant's stakeholder group.
- The biologists' approval or denial recommendation.
- The March to May of 2020 percent loss.
- 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 source.
- Various application notes.

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 Director, Deputy Director, Marine Patrol Colonel, License and Statistics Section Chief, Habitat and Enhancement Section Chief, Trip Ticket Program Coordinator, and Socio Economist. 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 team member each week in case future reference was needed. Another CARES Act team member recorded 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 I). Of the 291 applications, 197 were initially approved. Of the 197 approvals, 137 were commercial fishermen and aquaculture operations, 26 were seafood dealers and processors, and 34 were for-hire operators (Table 1).

Table 1. Initial number of approvals, denials, and appeals for CARES Act I by stakeholder group.

	Commercial Fishermen/Aquaculture Operations	Seafood Dealers/Processors	For-hire Operators	Grand Total
Approved	137	26	34	197
Denied	80	9	5	94
Totals	217	35	39	291

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 H). 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 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 (Appendix H). Denied applicants were informed that the appeal decision was final and the option to file a second appeal was not available.

NCDMF received 16 appeals and six were approved (Table 2). Commercial fishermen and aquaculture operations filed 12 appeals with four approvals. Seafood dealers and processors filed three appeals with two approvals, and for-hire operators filed one appeal, which was denied (Table 2). 13 of the appeals were related to revenue loss, with the applicants initially failing to show greater than 35% loss. Of these 13, nine attempted to provide more documentation to prove they experienced greater than 35% loss, and two were successful. Instead of providing new revenue documentation, three appeals asked to use NCTTP values, and all three were approved. The other appeal regarding revenue loss did not provide more documentation or ask to use NCTTP data; they instead had an attorney attempt to argue which years should be considered active, as their client held a license all six years, but only used the license for three of them. Per the previously established decision to treat a valid license as an active year, regardless of fishing activity, this appeal failed. The three remaining appeals were as follows:

1. **Non-resident:** One seafood dealer did not provide the proper documentation to verify he was a North Carolina resident. His attempt to appeal did not result in a decision change, as he was still unable to verify residency.
2. **Did not hold license for at least one year:** One for-hire applicant did not hold the proper for-hire licensure prior to May 31st, 2019; he was not considered an active participant in the for-hire industry for the one-year minimum. His attempt to appeal did not result in a decision change, as he was unable to provide evidence of the required licensure.

3. **Missing application forms:** One commercial fisherman met the greater than 35% revenue loss requirement but did not initially provide all the required application forms. His attempt to appeal was successful and resulted in a decision change, as he was able to provide the missing forms during the appeals process.

Table 2. Appeal decisions for CARES Act I by stakeholder group.

	Commercial Fishermen/Aquaculture Operations	Seafood Dealers/Processors	For-hire Operators	Grand Total
Approved	4	2	0	6
Denied	8	1	1	10
Totals	12	3	1	16

After the appeals process, 203 applicants were approved. Within each stakeholder category, 141 commercial fishermen and aquaculture operations were approved, 28 seafood dealers and processors were approved, and 34 for-hire operators were approved (Table 3).

Table 3. Final number of approvals and denials for CARES Act I by stakeholder group.

	Commercial Fishermen/Aquaculture Operations	Seafood Dealers/Processors	For-hire Operators	Grand Total
Approved	141	28	34	203
Denied	76	7	5	88
Totals	217	35	39	291

TIMELINE

The spending plan (NCDMF 2020) outlined the projected timeline for CARES Act I (Table 4). 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 completion for CARES Act I was 418 days. With a start date of September 15th, 2020, the projected end date for CARES Act I was November 7th, 2021 (Table 4). In reality, 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 4). Despite the longer individual completion times, CARES Act I was officially closed on June 22nd, 2021 when the final check was deposited, which was earlier than the projected November 7th date. This occurred because the CARES Act team was proactive and began tasks as early as possible, therefore overlapping time-periods. Additionally, other tasks, such as ‘[Receive] Appeals’ and ‘Resolve Appeals and Make Final Decision’ required less time to complete than projected (Table 4).

Table 4. Timeline of key CARES Act I tasks with the allotted number of days to complete each task, established in the NC CARES Act I Spending Plan, and the start dates and end dates for each task.

Timeline and Tasks	Hire Staff and Purchase Supplies	Develop Letters, Application, Outreach, Mail Applications	Application Process Open	Process and Validate Applications Notification Eligibility	Appeals ¹	Resolve Appeals and Make Final Decision	Issue Checks and Confirm Deposit	Develop And Finalize Report
Allotted Time ² (Days)	60	60	30	90	14	90	14	60
Start Date	9/15/20	6/15/20	10/27/20	11/02/20	-	2/16/21	4/30/21	10/26/20
End Date	10/22/20	10/26/20	11/30/20	3/08/21	-	4/05/21	6/22/21	6/23/21 ²

¹ Appeals began arriving throughout the Process and Validate Applications and Notification Eligibility task, so there was not a separate Appeals period (receiving appeals).

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

The ‘Develop Letters, Application, Outreach, and Mail Applications’ and ‘Develop and Finalize Report’ tasks took longer than their projected times because the CARES Act team began working on them before their projected start date but did not prioritize them until necessary. The ‘Process and Validate Applications – Notification Eligibility’ 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 team received. As mentioned above, the CARES Act team worked diligently to verify applicant’s eligibility, and often had to contact applicants to request more documentation. Because of this effort by the CARES Act team during the process and validate applications 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 team wrote a letter to be included with the checks reminding the applicant of the purpose of the checks (Appendix J). NCDEQ wrote and mailed the checks with the attached letter during a single check write on April 30, 2021 (Table 4). After \$161,287 was set aside for NCDMF administrative costs, \$5,255,486 was distributed to the three stakeholder groups as follows (Table 5).

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 5; Appendix B). On April 6th, 2021, the ASMFC approved a ratio amendment for the seafood dealer and processor and the for-hire categories from their original values of 11.8% and 24% to their current values of 27.54% and 8.26%, respectively. This amendment occurred because the for-hire group had 100% of their claimed losses covered with \$827,074.44 remaining in the fund, so the extra money was added to the seafood dealer and processor pool to increase that group’s total compensation. Seafood dealers and processors originally only had 17% of claimed losses covered, but now have 40% coverage. In other words, prior to this amendment, eligible seafood dealers were being compensated \$0.17 for every \$1.00 of claimed loss. However, following the amendment, eligible seafood dealers were then compensated \$0.40 for every \$1.00 of claimed loss.

Commercial fishermen and aquaculture operations did not have any allocation adjustments and ended with 79% claimed loss coverage. Each participant in an individual stakeholder group received the same percent of loss coverage. Again, this means that for every \$1.00 of revenue loss eligible commercial fishermen and aquaculture operators experienced, they received \$0.79 in compensation. 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 \$25,889.09. Seafood dealers and processors had the largest average check amount of \$51,686.48, commercial fishermen and aquaculture operations had an average check amount of \$23,929.23, and for-hire operators had the smallest average check amount of \$12,771.84.

Table 5. Breakdown of the final allocation of CARES Act I 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	64.2%	64.20%	\$3,374,022	79%
Seafood Dealers/Processors	11.8%	27.54%	\$1,447,221.44	40%
For-Hire Operators	24%	8.26%	\$434,242.56	100%
Grand Total	100%	100%	\$5,255,486	N/A

Once all the checks were mailed, NCDEQ provided weekly check status updates to the CARES Act team so they could call and make sure checks were being received and deposited. This occurred until June 22, 2021, when the final check was deposited.

SUMMARY

North Carolina CARES Act I assistance funds were distributed to 203 approved participants in 25 North Carolina counties, and one out of state county (one participant, Table 6). The out of state participant was eligible for funds because their application was for their business, which was registered in North Carolina during this program. The amount of relief distributed to the 203 approved applicants totaled \$5,255,486 in claimed fisheries revenue losses from March to May 2020. Pamlico County received the most funding from the program (~\$2.2 million), which was distributed to 10 participants. Pasquotank County received the second highest amount of funding with \$450,100.73 distributed amongst 8 participants, and Carteret County had the most approved participants, with 33 (\$338,954.61).

Table 6. Total check counts, amounts, and percentages by county for CARES Act I in dollars.

Mailing County	Total Number of Approved Applicants	Total Amount Paid	Percent of Total
Beaufort	8	\$59,020.72	1.12%
Brunswick	13	\$94,551.53	1.80%
Camden	16	\$269,609.78	5.13%
Carteret	33	\$338,954.61	6.45%
Craven	4	\$425,044.98	8.09%
Currituck	4	\$63,384.22	1.21%
Dare	27	\$427,523.93	8.13%
Hyde	15	\$274,744.45	5.23%
Jones	2	***	***
Martin	1	***	***
New Hanover	14	\$84,387.16	1.61%
Onslow	16	\$178,266.96	3.39%
Pamlico	10	\$2,245,512.76	42.73%
Pasquotank	8	\$452,100.73	8.60%
Pender	6	\$22,118.53	0.42%
Perquimans	6	\$82,286.42	1.57%
Pitt	3	\$29,397.55	0.56%
Randolph	1	***	***
Rowan	1	***	***
Tyrrell	5	\$47,677.96	0.91%
Wake	2	***	***
Warren	1	***	***
Washington	3	\$17,676.67	0.34%
Wayne	1	***	***
Wilson	2	***	***
Out of State	1	***	***
***Confidential Data	-	\$143,227.04	2.73%
Grand Total	203	\$5,255,486	100%

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APPENDIX

Appendix A: NMFS Letter and North Carolina Allocations



UNITED STATES DEPARTMENT OF COMMERCE
National Oceanic and Atmospheric Administration
NATIONAL MARINE FISHERIES SERVICE
Silver Spring, MD 20910

Mr. Robert Beal
1050 N. Highland Street
Suite 200 A-N
Arlington, VA 22201

Dear Mr. Beal,

Sec. 12005 of the Coronavirus Aid, Relief, and Economic Security Act (CARES Act) authorizes the Secretary of Commerce (Secretary) to provide \$300 million in appropriated funds to assist fishery participants affected by the novel coronavirus (COVID-19). (See below for complete text). Given the definition of "fishery participant" identified in Sec. 12005 of the CARES Act, the National Marine Fisheries Service (NOAA Fisheries) used readily available total annual revenue information from the commercial fishing, charter fishing, aquaculture, and processor sectors of coastal states, Tribes, and territories to allocate Sec. 12005 funding. NOAA Fisheries also took into consideration negative impacts to subsistence, cultural, and ceremonial fisheries during the allocation process.

BACKGROUND AND PROCESS:

NOAA Fisheries has determined that the Atlantic States Marine Fisheries Commission will be a recipient of \$118,983,017 for the purpose of assisting fishery participants affected by COVID-19 in the Atlantic States. NOAA Fisheries will provide you with these funds, after we receive, review, and approve a grant application. Your grant application must reflect the appropriate use of funds and considerations as outlined here, in the allocation table (see attachment) and consistent with the requirements of the CARES Act. Your award will include a special award condition that will require you to develop a detailed spend plan for sub-awards with the states for NOAA Fisheries review before you may disburse funds to sub-awardees for the purpose of providing assistance to fisheries participants. Funds may be expended for administrative processes of the grantee, as well as to sub-awardees for the purpose of economic analyses that may be necessary for a detailed spend plan.

Section 12005 of the CARES Act defines "fishery participants" to include Tribes, persons, fishing communities, aquaculture businesses not otherwise eligible for assistance under part 1416 of title 7 of the Code of Federal Regulations for losses related to COVID-19, processors, or other fishery-related businesses, who have incurred, as a direct or indirect result of the coronavirus pandemic:

- (1) economic revenue losses greater than 35 percent as compared to the prior 5-year average revenue (2015-2019); or
- (2) any negative impacts to subsistence, cultural, or ceremonial fisheries.

REQUIRED CONTENTS

In addition to the requirements outlined in the GrantsOnline application portal, your application for this award must:

- Describe how you will identify and determine fishery participants eligible for funding. For the purposes of carrying out the provisions in Section 12005 of the CARES Act, "fishery-related businesses" are limited to commercial fishing businesses, charter/for-hire fishing businesses, qualified aquaculture operations, processors, and dealers.
 - NOAA does not consider businesses farther down the supply chain (e.g., vessel repair



businesses, restaurants, or seafood retailers) “fishery-related businesses” for the purposes of this funding. While NOAA Fisheries generally does not expect bait and tackle operations and gear and vessel suppliers to be eligible for Section 12005 funding, individual states, Tribes, and territories will have the discretion to determine how they will identify eligible fishery participants, consistent with the requirements of the CARES Act, in their spend plans.

- Qualified aquaculture operations include privately owned aquaculture businesses growing products in state or federal marine waters of the United States and the hatcheries that supply them. This includes all molluscan shellfish and marine algae. Non-salmonid marine finfish grown in marine waters not covered by USDA are also included.
 - All eligible participants must, consistent with the requirement under Section 12005 of the CARES Act, have incurred economic revenue losses greater than 35 percent as compared to the applicable prior five year average revenue (2015-2019) or negative impacts to subsistence, cultural, or ceremonial fisheries.
 - Entities that have been in business less than five years are still eligible for assistance. If needed, NOAA Fisheries can provide revenue loss estimates and five year average revenue estimates in each state. Participants can only be eligible for assistance from their state/territory of residence.
- Describe the main categories for funding by state as applicable (e.g., direct payments, fishery-related infrastructure, fishery-related education) that address direct and indirect COVID-19 impacts to commercial fishermen, charter businesses, qualified aquaculture operations, subsistence/cultural/ceremonial users, processors, and dealers.
 - Direct payments are expressly allowed by the CARES Act. However, applications must address direct payments as follows:
 - Direct payments may not be directed to minors.
 - Funds cannot be used to compensate state, local, or tribal governments for lost municipal or government tax revenue.
 - Funds must be used to address fishery-related direct or indirect losses or subsistence/cultural/ceremonial impacts.

Your application should also, if applicable, identify funds available from other Federal programs for disaster relief and describe the process you use to coordinate across Federal assistance programs from multiple agencies. While eligible fishery participants under this award may apply for other Federal assistance programs under the CARES Act or other Federal programs, they should not apply to other Federal programs for assistance to address the same impacts resulting from COVID-19. Funds provided by NOAA under this award shall not be used for activities for which the recipient has received Federal or other funds. DOC will not pay for costs that are funded by other sources (*Department of Commerce, Standard Terms and Conditions, Other Federal Awards with Similar Programmatic Activities, Section A.03*).

As soon as possible, please have a member of your staff contact Daniel Namur from the Fisheries Financial Assistance Division to begin the grant application process via the grants.gov website. You may contact him at 301-742-7475 or Dan.Namur@NOAA.gov.

We look forward to working with you to expedite the distribution of this much needed assistance to the affected fishing industry and affiliated constituents.

Sincerely,

Paul N. Doremus
Deputy Assistant Administrator for Operations at NOAA Fisheries

Note from NCDMF: NOAA Fisheries allocations listed in this letter have the NOAA Fisheries administrative fee of (~0.7%) removed but the ASFMC administrative fee has not been calculated nor removed from allocations listed in this table.

Attachment:

Allocation for States

Massachusetts	\$27,808,315
Florida	\$23,471,286
Maine	\$20,166,476
New Jersey	\$11,258,500
New York	\$6,703,065
North Carolina	\$5,422,195
Virginia	\$4,488,859
Maryland	\$4,096,267
Pennsylvania	\$3,344,529
Rhode Island	\$3,271,194
New Hampshire	\$2,713,381
Georgia	\$1,908,391
Connecticut	\$1,822,587
South Carolina	\$1,514,966
Delaware	\$993,006
Total	\$118,983,017

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: Cover Letter



ROY COOPER
Governor

MICHAEL S. REGAN
Secretary

STEPHEN W. MURPHEY
Director

November 1, 2020

Dear Potential Applicant:

The Coronavirus Aid, Relief, and Economic Security (“CARES”) Act authorized the U.S. Secretary of Commerce to provide \$300 million for economic assistance to affected fishery participants due to the coronavirus (“COVID-19”) pandemic. The North Carolina CARES Act Fisheries Relief Program (“Program”) received approximately \$5.4 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.

National Oceanic and Atmospheric Administration (“NOAA”) Fisheries guidance requires applicants 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 May 31, 2020, as compared to the average revenue for that same period of March 1 – May 31 for the five preceding years of 2015-2019. Instructions and an example of how to calculate this reduction are included on Page 2 of the Program Self-Certification and Assurances (Affidavit) included in this application package. One of the objectives of the Program is to make participants whole; that is, to put them in the same position financially as they would have been had COVID-19 not occurred. NOAA Fisheries also requires that any relief monies received from the Program cannot result in a participant’s annual (January to December) 2020 earnings exceeding their five-year average annual (January to December) revenue between the years 2015-2019. Participants will not be allowed to retain any fisheries relief monies that advance their annual (January to December) 2020 earnings beyond their previous annual (January to December) five-year average and may be required to pay back some or all of the relief monies that exceed their annual (January to December) five-year average earnings from years 2015-2019. If you feel that your annual 2020 earnings may exceed your previous annual five-year average, you will need to consider whether or not you should apply for assistance from the Program.

If you feel that you qualify and would like to participate in the Program, please complete the enclosed forms:

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

Please include all three documents, as well as all supporting documentation showing proof of identity and revenue loss as described on the application. Applications and supporting documentation must be delivered in person to the NCDMF Headquarters Office located in Morehead City or postmarked by 5pm on November 30, 2020. Applications and supporting documentation cannot be submitted to other NCDMF offices. Applications and supporting documentation that are submitted after 5pm on November 30, 2020 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) 808-8105 or 1-800-682-2632 (toll-free in N.C. only).

Sincerely,

Stephen W. Murphey
Director

State of North Carolina | Division of Marine Fisheries
3441 Arendell Street | P.O. Box 769 | Morehead City, North Carolina 28557
252-726-7021

Form 2: Application



STATE OF NORTH CAROLINA – DIVISION OF MARINE FISHERIES

NC CARES Act Fisheries Relief Program 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 \$5.4 million in federal relief money, less administrative costs, to select fishing industry stakeholders through the Coronavirus Aid, Relief and Economic Security (“CARES”) Act. Eligible applicants for relief assistance include commercial fishermen (includes shellfish license holders), commercial aquaculture operators, licensed seafood dealers, seafood processors, and for-hire fishing operators.

Potential affected stakeholder groups will be separated into three different application categories: 1) commercial fishermen and aquaculture operators; 2) seafood dealers and processors; and 3) for-hire fishing operators. In order to assist as many stakeholders as possible, applicants will only be allowed to apply for relief as a single stakeholder within any one category regardless of whether an applicant may qualify under the other two categories.

Section 12005(b)(1)-(2) of the CARES Act establishes criteria administered by National Oceanic and Atmospheric Administration (“NOAA”) Fisheries for eligibility of relief money. This provision guidance requires applicants 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 May 31, 2020, as compared to the average revenue for that same period of March 1 – May 31 for the five preceding years of 2015-2019. Instructions and an example of how to calculate this reduction are included on Page 2 of the Program Self-Certification and Assurances (Affidavit) included in this application package. One of the objectives of the Program is to make participants whole; that is, to put them in the same position financially as they would have been had COVID-19 not occurred. NOAA Fisheries also requires that any relief monies received from the Program cannot result in a participant’s annual (January to December) 2020 earnings exceeding their five-year average annual (January to December) revenue between the years 2015-2019. Participants will not be allowed to retain any fisheries relief monies that advance their annual (January to December) 2020 earnings beyond their previous annual (January to December) five-year average and may be required to pay back some or all of the relief monies that exceed their annual (January to December) five-year average earnings from years 2015-2019. Approved documentation is described below and is based on the stakeholder application category you select. You will also be required to sign the Self-Certification and Assurances (Affidavit) form verifying that your claimed losses are accurate.

If you do not feel that you experienced a sustained revenue loss greater than thirty-five percent (35%) due to COVID-19 between March 1 and May 31, 2020, or you cannot provide supporting documentation of a revenue loss compared to the previous five-year average for this same time period, you are unlikely to qualify for this relief. You must be a resident of the State of North Carolina and 18 years or older in order to be eligible for relief. If you are not a North Carolina resident or 18 years or older, your application will be rejected. While you must be a resident of North Carolina, you can still be eligible with an out-of-state industry license or permit if your claimed homeport is within North Carolina. Your application will be rejected if North Carolina has not been designated as your state of homeport when you were operating under a license or permit that is not issued by North Carolina. Please note that bait and tackle shop owners, gear and vessel suppliers, employees, crew members, and those who are assigned any individual fishing licenses, are not eligible to apply for relief.

The application form must be completed and signed by you in order to be eligible for relief. Each of the three categories of potential applicants will have their own section in the application that is specific to their respective industry. Please read all directions carefully and only complete sections that are relevant to your application. Applications and supporting documentation must be delivered in person to the NCDMF Headquarters Office located in Morehead City or postmarked by 5pm on November 30, 2020. Applications and supporting documentation cannot be submitted to other NCDMF offices. Applications and supporting documentation that are submitted after 5pm on November 30, 2020 will not be considered.

State of North Carolina | Division of Marine Fisheries
3441 Arendell Street | PO Box 769 | Morehead City, NC 28557
Covid19relief@ncdenr.gov 252-808-8105



**STATE OF NORTH CAROLINA – DIVISION OF MARINE FISHERIES
NC CARES Act Fisheries Relief Program Application**

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

Legal Name: (Last, First, Middle- Suffix)			
Residential Mailing Address:		NCDMF Participant ID Number, if known:	
		Which of the following categories do you hold a valid license/lease/permit to operate in? (Select all that apply)	
		Commercial Fisherman <i>(SCFL, RSCFL, Shellfish license without a SCFL)</i>	
Residential Physical Address: Check if same as mailing address []		Seafood Dealer	
		Aquaculture Operator	
		For-Hire Operator	
		Out-of-state License or Business Certification	
Date of Birth (MM/DD/YYYY):		Please list all active out-of-state or federal licenses you own, as well as the corresponding license number:	
Please provide the following, all that apply:			
Cell phone number		Please list all active NCDMF-issued licenses/permits you own:	
Home phone number		Type	License/Permit Number
Business phone number			
Fax number			
Email address			
Which category will you be applying for CARES Act relief through (ONLY CHOOSE ONE CATEGORY)?			
Commercial Fisherman or Aquaculture Operator		(Proceed to Section #2 on Page 3)	
Seafood Dealer or Processor		(Proceed to Section #3 on Page 4)	
For-Hire Operator		(Proceed to Section #3 on Page 5)	
Have you applied for and/or received any assistance from other Section 12005 relief programs in the CARES Act? Please circle: YES / NO - If Yes: Please provide type & amount applied for and/or received:			



**STATE OF NORTH CAROLINA – DIVISION OF MARINE FISHERIES
NC CARES Act Fisheries Relief Program Application**

SECTION 2: COMMERCIAL FISHERMEN AND AQUACULTURE OPERATORS ONLY

Please complete all parts of this section and attach all supporting documentation to the application.

Documentation required with this application includes (Please check each box that describes the documentation you have attached to this application):				
<input type="checkbox"/> Copy of North Carolina Driver's License or North Carolina-issued identification				
<input type="checkbox"/> Copy of NCDMF-issued commercial fishing licenses or permits or ensure license or permit numbers are recorded on Page 1				
<input type="checkbox"/> Copy of out-of-state or federal commercial fishing licenses or permits				
<input type="checkbox"/> Shellfish lease holders must attach or ensure lease numbers are recorded on Page 1				
<input type="checkbox"/> Tax documents such as W-2, 1099, 1040 tax return, including Schedule C, or other state and federally recognized tax documentation showing revenue				
<input type="checkbox"/> Sales records such as, but not limited to, receipts or book-keeping ledgers (paper or electronic)				
<input type="checkbox"/> Other supporting documentation, such as payment records, notarized statements from buyers, shellfish lease production reports, federal vessel trip reports, trip tickets, or others will be accepted if the documentation substantiates your claim of lost revenue. If you do not provide your own copies of trip tickets or lease production reports, you are accepting the information NCDMF has on record in the Trip Ticket Database and/or Lease Production Database as your supporting documentation.				
Business Mailing Address: Check if N/A [<input type="checkbox"/>]		Business Physical Address: Check if same as mailing address [<input type="checkbox"/>]		
During the time period from March 1, 2020 to May 31, 2020 , what was your pre-tax revenue from commercial fishing/aquaculture?				
(A) \$				
Record your pre-tax revenue from commercial fishing/aquaculture for the time period of March 1 – May 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 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 CARES Act Fisheries Relief Program Application! You will be contacted by NCDMF staff to notify you of your status in this relief program once your application has been reviewed.



**STATE OF NORTH CAROLINA – DIVISION OF MARINE FISHERIES
NC CARES Act Fisheries Relief Program Application**

SECTION 3: SEAFOOD DEALERS AND PROCESSORS ONLY

Please complete all parts of this section and attach all supporting documentation to the application.

Documentation required with this application includes (Please check each box that describes the documentation you have attached to this application):				
<input type="checkbox"/> Copy of North Carolina Driver's License or North Carolina-issued identification				
<input type="checkbox"/> Copy of NCDMF issued Fish Dealer Licenses or ensure license numbers are recorded on Page 1				
<input type="checkbox"/> Copies of business permits or licenses issued by local and municipal government agencies outside of NCDMF that may have been issued to you that shows the physical location of the processor in North Carolina				
<input type="checkbox"/> Copies of any corporation, limited liability, registered 'doing business as' or other legal documentation that shows the physical location of the processor in North Carolina				
<input type="checkbox"/> Tax documents such as W-2, 1099, 1040 tax return, including Schedule C, or other state and federally recognized tax documentation showing revenue				
<input type="checkbox"/> Sales records such as, but not limited to, receipts or book-keeping ledgers (paper or electronic)				
<input type="checkbox"/> Other supporting documentation such as payment records, payroll files, notarized statements from buyers, trip tickets or others will be accepted if the documentation substantiates your claim of lost revenue. If you do not provide your own copies of trip tickets or lease production reports, you are accepting the information NCDMF has on record in the Trip Ticket Database as your supporting documentation.				
Registered name of seafood dealership or processing business:				
Business Mailing Address: Check if N/A [<input type="checkbox"/>]		Business Physical Address: Check if same as mailing address [<input type="checkbox"/>]		
During the time period from March 1, 2020 to May 31, 2020 , what was your pre-tax revenue from seafood dealing or processing?				
(A) \$				
Record your pre-tax revenue from seafood dealing or processing for the time period of March 1 – May 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 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 CARES Act Fisheries Relief Program 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 CARES Act Fisheries Relief Program
Self-Certification and Assurances (Affidavit)**

[_____] hereby requests federal assistance from the
Last Name, First Name MI
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 (initial each statement below):

- _____ This organization is a Fishery Participant that is an eligible recipient of assistance under the CARES Act (P.L. 116-136) Section 12005;
- _____ 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, other programs in the CARES Act, 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 a minimum of one year 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 agrees that they may be required to pay back some or all of 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.

State of North Carolina | Division of Marine Fisheries
3441 Arendell Street | PO Box 769 | Morehead City, NC 28557
Covid19relief@ncdenr.gov 252-808-8105




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

Complete if you are applying for assistance due to incurred economic revenue losses greater than 35%:

During the time period from March 1, 2020 to May 31, 2020, what was your pre-tax revenue?				
(A) \$				
During this same time period of March 1st to May 31st, what was your total annual pre-tax revenue from the previous 5 years (2015-2019)?				
2015 (B)	2016 (C)	2017 (D)	2018 (E)	2019 (F)
\$	\$	\$	\$	\$
Directions on how to calculate your average 2020 revenue loss percentage:				
<p>Step 1 - Add items (B) thru (F): \$ _____ (G)</p> <p>Step 2 - Divide the total calculated in line (G) by the number of years you reported revenue in boxes (B - F): \$ _____ (H)</p> <p>Step 3 – Divide item (A) by item (H): _____ (I)</p> <p>Step 4 – Subtract the total in Step 3 from 1: _____ (J)</p> <p>Step 5 – Multiply item (J) by 100 to get your final loss percentage _____ %</p>				
Example:				
For March 1, 2020 – May 31, 2020 (A) – you made \$5,567. For 2015 (B) - \$12,341, 2016 (C) - \$14,287, 2017 (D) - \$14,932, 2018 (E) - \$13,599, and 2019 (F) - \$13,007.				
Step 1 – Add \$12,341 + \$14,287 + \$14,932 + \$13,599 + \$13,007 = \$68,166				
Step 2 - \$68,166 divided by 5 (for the five years reported) = \$13,633				
Step 3 - \$5,567 divided by \$13,633 = 0.4083				
Step 4 – 1 - 0.4083 = 0.5917				
Step 5 - Multiply 0.5917 by 100 = 59.17%				
**NOTE: Must be above 35% to qualify for relief.				

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 Relief Program Tracking & Routing Sheet

A D M I N	I N F O	Date Received:		Received By:		Method?	Mail/Dep Box	Email	Drop Off	Other:		
		Name of Applicant					PID#	Added to CARES				
		If Business - Name of business/owner					18 yrs or older? Yes/N	Yes	No	NC Residence Business registration	Yes	No
	C A T	Category	Comm Fishermen/Marine Aquaculture (Harvester)		Seafood Dealers/Processors (Supplier)		For-Hire Fishing Operations					
		Items Rec'd:	Application	W-9	Affidavit	Sales Records	Tax Document:					
	E V E N U		NC-issued ID	DMF-issued ID	Federal Permit:		Other:					
Total Revenue Made Mar/May		2015	2016	2017	2018	2019	2020					
35% or greater loss?		Yes	No	Percentage of Loss (Min 35%)		Amount Request(\$)						
B I O L O G I S T	V E R I F I C A T I O N	License/Permit / Lease numbers	2015	2016	2017	2018	2019	2020				
		License / Permit / Lease confirmed	NC DMF	NOAA	Other	Other	Other	Other				
	M A R I N E	Marine Patrol - Any violations?	2015	2016	2017	2018	2019	2020				
		Confirm Totals (Trip Ticket, other)	2015	2016	2017	2018	2019	2020				
	If Processor - Physical Address of plant in NC											
	A D M I N	S T A T U S	Correspondence									
Incomplete			Approved		Denied		Appeal					
Date Called												
Reason For Denial			Proof of Loss less than 35%	Not a Resident of NC	Incomplete Application/documentation							
Certified Mail			Date:				Certified #					
Comments:												
Added to Check Log				Added to Denial Log				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:** _____

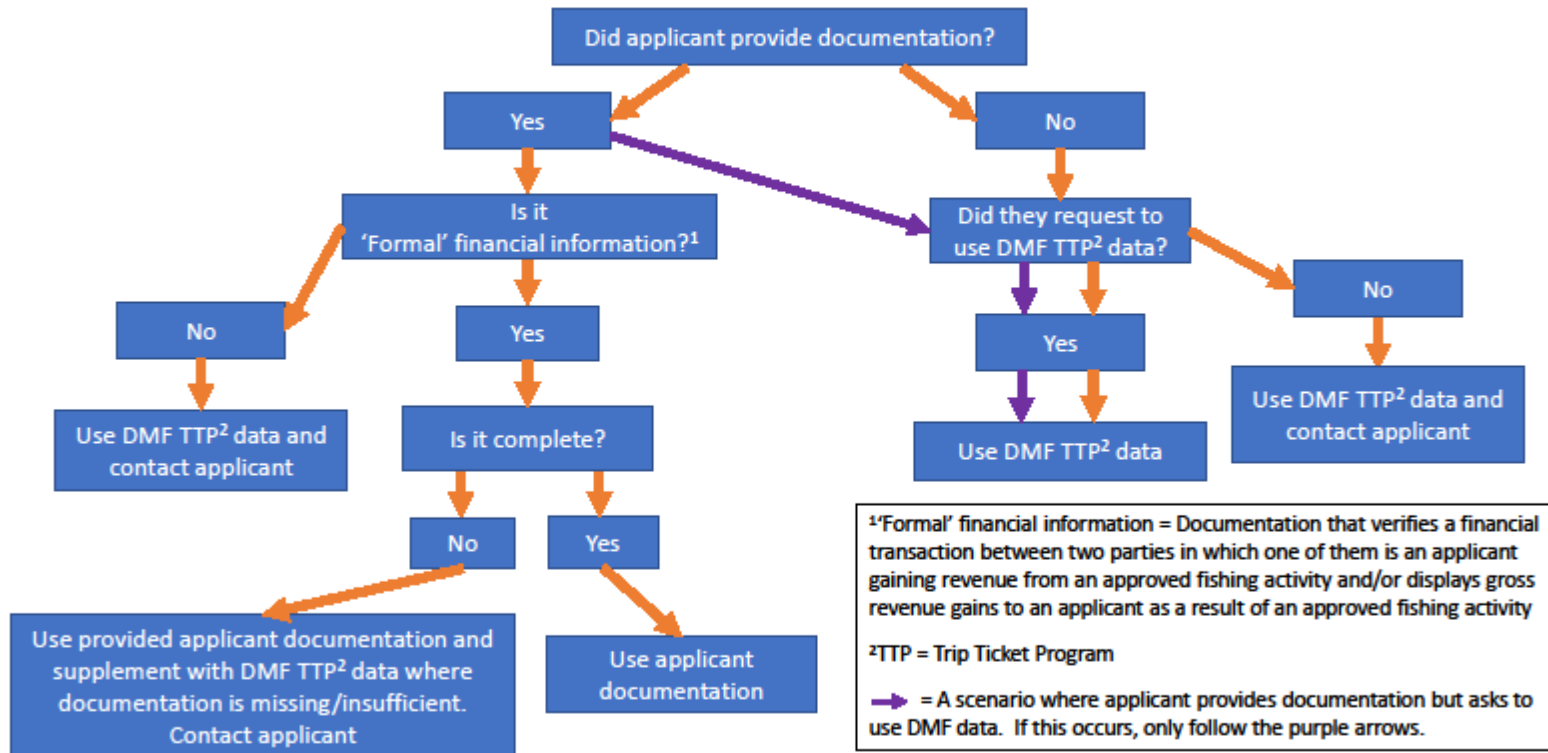
Appendix F: Revenue Documentation Hierarchy Chart

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	<p>These documents could either be 'formal' or 'informal' and should be discussed.</p>
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: Notification Letters

Form 1: Application Approval Letter



ROY COOPER
Governor

DIONNE DELLI-GATTI
Secretary

JOHN G. BATHERSON
Acting Director

Date

Name

Address 1

Address 2

RE: CARES Act Application Approval

Dear ,

Thank you for submitting your application to the North Carolina Coronavirus Aid, Relief, and Economic Security (CARES) Act Fisheries Relief Program 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 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 2021.

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) 808-8105 or 1-800-682-2632 (toll-free in N.C. only).

Sincerely,

A handwritten signature in black ink, appearing to read "John G. Batherson".

John G. Batherson
Acting Director

Form 2: Application Denial Letter



ROY COOPER
Governor

DIONNE DELLI-GATTI
Secretary

JOHN G. BATHERSON
Acting Director

Date

RE: CARES Act Application Denial and Appeal Process

Dear ,

Thank you for submitting your application to the North Carolina Coronavirus Aid, Relief, and Economic Security (CARES) Act Fisheries Relief Program 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 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 – May 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) 808-8105 or 1-800-682-2632 (toll-free in N.C. only).

Sincerely,

A handwritten signature in black ink that reads "John Batherson".

John Batherson
Acting Director

Form 3: Appeal Approval Letter



ROY COOPER
Governor

DIONNE DELLI-GATTI
Secretary

JOHN G. BATHERSON
Acting Director

Date

RE: CARES Act Application - Appeal Approval

Dear ,

Thank you for submitting your appeal of the initial denial of your application for the North Carolina Coronavirus Aid, Relief, and Economic Security (CARES) Act Fisheries Relief Program 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 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 2021.

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) 808-8105 or 1-800-682-2632 (toll-free in N.C. only).

Sincerely,

A handwritten signature in black ink that reads "John Batherson".

John Batherson
Acting Director

Form 4: Appeal Denial Letter



ROY COOPER
Governor

DIONNE DELLI-GATTI
Secretary

JOHN G. BATHERSON
Acting Director

Date

RE: CARES Act Application Denial Determination

Dear Mr. ,

Thank you for submitting your appeal of the initial denial of your application for the North Carolina Coronavirus Aid, Relief, and Economic Security (CARES) Act Fisheries Relief Program 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 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 – May 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) 808-8105 or 1-800-682-2632 (toll-free in N.C. only).

Sincerely,

John Batherson
Acting Director

Appendix I: Weekly Status Update



CARES Act Relief Program - Application Statistics Updated 04/07/21 - FINAL

Number of Mailed out Applications				
Fisherman/Marine Aquaculture	Seafood Dealer / Processors	For-Hire Fishing Operations	Multiple Categories	Total
5349	408	385	594	6736

Number of Received Applications - By Category			
Fisherman/Marine Aquaculture	Seafood Dealer / Processors	For-Hire Fishing Operations	Grand Total
217	35	39	291

Number of Received Applications - By Method				
Mail	Drop box / In person	Email	Other	Total
230	54	6	1	291

Number of Received Appeals - By Category			
Fisherman/Marine Aquaculture	Seafood Dealer / Processors	For-Hire Fishing Operations	Grand Total
12	3	1	16

Number of Received Appeals - By Method				
Mail	Drop box / In person	Email	Other	Total
9	3	1	3	16

Number of Refusal for Aid - By Category			
Fisherman/Marine Aquaculture	Seafood Dealer / Processors	For-Hire Fishing Operations	Grand Total
5	0	0	5

Applications	
Approved	Denied
197	94

Appeals	
Approved	Denied
6	10

Applications					
Fisherman/Marine		Seafood Dealer /		For-Hire Fishing	
Approved	Denied	Approved	Denied	Approved	Denied
137	80	26	9	34	5

Appeals					
Fisherman/Marine		Seafood Dealer /		For-Hire Fishing	
Approved	Denied	Approved	Denied	Approved	Denied
4	8	2	1	0	1

Denial Letter Dates - Possible Appeal Action				
Date	CF/Aqua	Seafood	For Hire	Appeal Due Date
None				

Appendix J: Check Disbursal Letter



ROY COOPER
Governor

DIONNE DELLI-GATTI
Secretary

JOHN G. BATHERSON
Acting Director

April 26, 2021

Dear Sir or Ma'am,

The North Carolina Division of Marine Fisheries (NCDMF) has concluded the North Carolina Coronavirus Aid, Relief, and Economic Security (CARES) Act Fisheries Relief Program. NCDMF is now in the process of distributing over \$5.2 million of relief funds to qualified North Carolina fishing participants. You are receiving a distribution from these funds because you applied for relief and showed a greater than 35% revenue loss from March to May of 2020 compared to your previous five-year March to May average revenue. Your check is enclosed with this letter. This amount is final. You will receive no more checks from this program. We appreciate your patience.

If you have any questions, you may email your inquiry to covid19relief@ncdenr.gov or call NCDMF staff in Morehead City, NC at (252) 808-8105 or 1-800-682-2632 (toll-free in NC only).

Sincerely,

A handwritten signature in black ink that reads "John G. Batherson".

John G. Batherson
Acting Director