

**GENERAL INSTRUCTIONS FOR ALL APPLICATIONS FOR  
COMMERCIAL USE AUTHORIZATION  
U.S. DEPARTMENT OF THE INTERIOR**



**Cape Lookout National Seashore  
Attention: Katherine Cushinberry, Administrative Officer  
131 Charles Street  
Harkers Island, NC 28531  
(252) 728-2250 extension 3019  
Fax: (252) 728-2160**

*A multi-part application form must be completed to apply for a Commercial Use Authorization (“CUA”).*

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*Section A: General Instructions*

**Who May Apply?**

Federal laws and regulations prohibit engaging in or soliciting business in areas of the National Park System unless explicitly authorized, through a permit, contract, or other authorization.

Commercial Use Authorizations (“CUAs”) are one means by which the National Park Service may authorize commercial services. Use of CUAs is strictly limited by law, however, both as to the type of commercial operation that may be authorized and as to the conditions under which the CUA may be granted. The criteria for issuance of CUAs and the limitations on their use was set out by Congress in Section 418 of the National Parks Omnibus Management Act of 1998 (Public Law 105-391) and codified in 16 U.S.C. §5966.

Two types of commercial operations are eligible to apply for CUAs: (1) those with annual gross receipts of not more than \$25,000 resulting from services originating and provided solely with a unit of the National Park System pursuant to such authorization; and (2) the incidental use of resources of the unit by commercial operations which provide services originating and terminating outside of the boundaries of the unit.

The National Park Service is allowed to issue CUAs to an eligible applicant only if specified criteria are met. Among other things, the National Park Service must determine that the commercial service will have minimal impact on resources and values of the unit of the National Park System and are consistent with the purpose for which the unit was established and with all applicable management plans and park policies and regulations. In addition, the National Park Service is required to include terms and conditions in CUAs that address specified statutory criteria, including (for example) the preservation and conservation of park resources and values, protection of visitors, the liability of the United States arising from authorized services, and fees to be paid in connection with the CUA. The National Park Service is prohibited by law from issuing more CUAs than are consistent with the preservation and proper management of park resources and values.

### **Terms and Conditions of CUA**

Issuance of any CUA is subject to terms and conditions, which must be accepted in writing by the CUA holder. The terms and conditions applicable to each of the various types of commercial service for which CUAs may be issued are appended to the CALO Specific Forms for commercial services.

Applicants must agree in advance, as part of their application, to accept (if the CUA is issued) the terms and conditions applicable to the CUA for which the applicant is applying. **Applicants should carefully review these terms and conditions, as they set out the CUA holder's rights and obligations in the event that a CUA is issued.** Among other things, CUA holders are required to carry specified types and levels of insurance and to indemnify and hold harmless the United States from liabilities in connection with the CUA. Applicants must accept any issued CUA in writing no later than thirty working days after that CUA is issued by the National Park Service.

### **Duration of CUA**

Terms will vary depending upon the type or category of commercial service for which the CUA is sought. The maximum term allowed for a CUA at CALO is one year. The law prohibits any preferential right of renewal or similar provisions for renewal of a CUA.

### **Fees**

The National Park Service is required by law to charge a reasonable fee for issuance of a CUA, at a minimum to recover associated management and administrative costs. In addition, the National Park Service may charge fees to recover the costs for the maintenance and repair of park area resources impacted by the CUA holder's activities. Some units of the National Park System also may charge entrance fees. All of these fees must be submitted at the time of application for a

CUA: (1) an Application Fee, to recover the costs incurred by the National Park Service in mailing, distribution and initial review of the application for completeness, (2) an Administrative Fee, to recover the costs associated with substantive review of the application and decision to approve or deny the CUA, (3) a Management/Monitoring Fee charged by some units of the National Park System to recover the costs incurred by all unit divisions involved in monitoring, supporting or cleanup and restoring after the use; and (4) a Sticker Fee to cover the costs of CUA Sticker creation, the sticker will identify authorized permittees to law enforcement rangers.

### **What Must Be Submitted To Apply**

To be considered, applicants must submit to the National Park Service (1) a completed: General Information Form; (2) Completed CALO Specific Forms for the particular type of commercial service for which authorization is sought; and (3) the required fees, in the amount specified in the CALO Specific Form. Fees may be paid by credit card, cashier's check, certified check or money order, and should include the applicant's employer identification number and be made payable to the National Park Service.

### **Limited Possibility For Refund Of Fees Submitted With Application**

The Application Fee is non-refundable.

### **Where and How To Submit Applications and Fees**

The completed application forms and fees should be sent by regular or express mail or other means of method of delivery to the unit of the National Park System in which the commercial service, if authorized, is to occur and should be sent to the attention of that unit's CUA Program Manager ("Park CUA Program Office"), as identified in the instructions to the CALO Specific Forms applicable to the particular type of commercial service for which authorization is sought.

### **When To Submit Applications**

Applicants are responsible for submitting applications and any fees and certifications required to accompany the applications so as to reach the Park CUA Program Office by the time specified in the instructions to the CALO Specific Forms applicable to the particular type of commercial service for which authorization is sought.

### **Completion Of Forms**

Unless otherwise specified in instructions to the application forms, each item in each form must be answered. To indicate that each item has been considered, enter "NA," for not applicable, if a particularly item does not fit the circumstances or characteristics of the particular type of commercial service for which authorization is sought.

### **If Limited Number Of CUAs, A Multi-Step Process Applies To Issuance**

The National Park Service is prohibited by law from issuing more CUAs than are consistent with the preservation and proper management of park resources and values. In the event that it is necessary to limit the number of CUAs to be issued for a particular type of commercial service,

the number of available CUAs will be identified in the instructions to the applicable CALO Specific Form and a multi-step process will be used to select the applicants to whom the available CUAs will be issued.

In the first step of the selection process, applications will be reviewed for completeness and timely submission. An application for a CUA is complete when the applicant has furnished (1) all of the information required by the General Information Form; (2) all of the information required by applicable CALO Specific Form; and (3) the fees, in the amount specified in the CALO Specific Forms. An application for a CUA is timely when it is received by the National Park Service at the Park CUA Program Office by the time specified in the instructions to the applicable CALO Specific Forms.

Applications that are determined in the first step of the selection process to be complete and to be timely submitted (“Qualifying Application(s)”) qualify, depending on their number, either for issuance of a CUA or further consideration in a second step, or round, of the selection process. If the number of Qualifying Applications is equal to or less than the total number of CUAs available for a particular type of commercial service, then a CUA will be issued to each of the applicants who submitted a Qualifying Application. If, however, the number of Qualifying Applications is greater than the total number of CUAs available for issuance for that type of commercial service, there will be a second step to the selection process.

In the second step of the selection process, Qualifying Applications will be evaluated and their relative qualities assessed on the factors specified in the instructions to the applicable CALO Specific Forms. The Qualifying Applications will be ranked by the National Park Service in an order that reflects this evaluation and assessment. CUAs then will be issued to the top ranked applicants in order of their ranking and in number corresponding to that set in the CALO Specific Forms as the number of available CUAs.

**If Limited Number Of CUAs, Other Conditions Apply**

In the event that it is necessary to limit the number of CUAs to be issued for a particular type of commercial service, the National Park Service must take appropriate measures to ensure that any authorized services are provided to visitors at reasonable rates and under appropriate operating conditions. These measures are included in the terms and conditions appended to the CALO Specific Forms for each commercial service

**Limitation On Number Of Applications**

The National Park Service will accept only one application per category of commercial service from any individual, company or other legally recognized entity intending to engage in a commercial operation for which a CUA is required.

**Not Assignable or Transferable**

Neither the application for a CUA nor the CUA, once issued, may be transferred or assigned. Subcontracts or other third party agreements for the provision of any commercial services authorized by a CUA are prohibited.

*Section B: Instructions for General Information Form*

*This form must be completed by all applicants.*

**Completing This Form**

Please type or print in ink.

Further Instructions and Explanations Regarding Individual Items in the Part 1 Form (numbered instructions/explanations correspond to item numbers on the form)

1. Indicate the year of issuance and requested duration or term of the CUA requested. The maximum term allowed will be specified in the CALO Specific Forms applicable to the particular type of commercial service for which authorization is sought.
2. Give the name, as it is legally referred to, of the person, firm, company or other legally recognized entity that operates the commercial operation for which the CUA is sought. In addition, clearly identify any secondary name under which you are doing business (*e.g.* any d/b/a)
3. Check the box that identifies your type of business and supply the information requested in any box you have checked.

Give the name, title and other requested contact information of a person who is thoroughly familiar with the commercial services for which authorization is sought and with the facts reported in this application and who can be contracted by reviewing offices if necessary.

4. Give the complete mailing address (both for the summer and the winter) where correspondence should be sent. This information may also be published in the NPS Commercial Services Directory.
5. Provide your Employer Identification Number (EIN). This is a requirement of the 1996 Debt Collection Act. The EIN that you provide will be used as needed to collect debts.
6. If the Applicant is a corporation, firm, partnership, association, or institution, give the name(s) of the registered agent for the service of process.
7. National Park Service Management Policy prohibits employees of the National Park Service and their spouses and minor children from acquiring or retaining any authorization conducting commercial services in a Park area.
8. Enclose a copy of the business license issued from the city or county in which the business is located. If your city or county does not require a business license, please provide this information in response to this item.

9. Provide emergency contact names and numbers for employees who you have designated as a person(s) to whom we may speak to in case no person is available at the regular business hour's phone number.
10. Provide the requested information.
11. Provide the requested information.
12. Provide the requested information.
13. Federal law provides for severe penalties for submitting false information on this application form. The Applicant must sign and date the application and print or type its name below the signature line. Applications signed by an agent must be accompanied by evidence of that agent's authority.

**Section C: Instructions for CALO Specific Forms**

***In addition to completing the General Information Form, each applicant must complete all CALO-Specific Forms that relates to your type of tour. These forms should be completed only by applicants for a CUA Permit.***

***Commercial Services Included In This Category***

The specific type of commercial service that will be authorized is referred to as Tour, Vehicle Ferry, Tour Guide services, etc. within Cape Lookout National Seashore Area.

***Number of CUAs For This Specific Category Is Not Limited***

The National Park Service has determined the number of CUAs for this category of commercial service will not be limited to be consistent with the preservation and proper management of Park resources and values. The number of available CUAs for this commercial service is unlimited.

***Applicant Selection Process***

- (1) ***Resource protection.*** The National Park Service is required by law when issuing any CUA to require that the commercial services provided be accomplished in a manner consistent to the highest practicable degree with the preservation and conservation of park resources and values. The National Park Service will evaluate and assess the impacts on preservation and conservation of the Park in general of the operations and any mitigating measures proposed in the Qualifying Applications.
- (2) ***Visitor safety.*** The National Park Service will evaluate any safety programs proposed and any examples provided as a measure of the Applicant's plan for

and ability to safely manage incidents and emergencies in a manner minimizing injury.

- (3) *Past performance.* The National Park Service will evaluate past performance as a measure of the degree to which an Applicant has satisfied its customers in the past and complied with Federal, State and Local laws and regulations. An Applicant who states it has no record of relevant past performance will not be evaluated favorably or unfavorably on past performance. The National Park Service may (but is not obligated to) contact sources listed by the Applicant or otherwise available regarding Applicant's past performance.
- (4) *Relevant experience.* The National Park Service will evaluate that experience of the Applicant that is direct participation in comparable projects.
- (5) *Qualifications and Experience of Key Personnel.* The National Park Service will evaluate key personnel qualifications and experience based on scope, magnitude, and relevance to the commercial services that will be authorized under the CUA.

#### **Duration of CUA**

The term of the CUA for Commercial Services within Cape Lookout National Seashore Area will be limited to the term stated on the CUA, from January 1, 2016 through December 31, 2016 unless revoked by Cape Lookout National Seashore.

At the end of the earlier of either (i) the term referenced above or (ii) the \$25,000 gross receipt limit for in-park Commercial Use Authorizations, this Commercial Use Authorization will expire.

#### **Where to Submit Applications and Application Fees**

Completed applications should be submitted together with all required application and permit fees to the following Park CUA Program Office:

Cape Lookout National Seashore  
Attention: Katherine Cushinberry, Administrative Officer  
131 Charles Street  
Harkers Island, NC 28531

#### **Deadline for Submission of Applications and Application Fees**

Applications and any fees required to accompany Tour services CUA application must be submitted so as to reach the Park CUA Program Office at least 30 days in advance of your requested CUA issuance date.

#### **Further Instructions and Explanations Regarding Individual Items in the CALO Specific Forms for Tour services**

1. Applicants must agree in advance, as part of their application, to accept (if the CUA is issued) the terms and conditions applicable to the CUA for which the applicant is applying. A copy of the CUA for Commercial Services within Cape Lookout National Seashore Area is

attached to the CALO Specific Forms. Applicants should review that CUA and initial the block provided in item 2, further indicating their awareness and acceptance of this provision. The Applicant's signature at the end of the Part 2 form evidences the Applicant's agreement, if selected for issuance of the CUA, to (1) accept the terms and conditions applicable to the CUA for which the Applicant is applying and (2) accept any issued CUA in writing no later than thirty working days after that CUA is issued by the National Park Service.

2. Supply all of the required information and check the appropriate boxes to indicate the information has been attached or is otherwise enclosed with the application.
3. Federal law provides for severe penalties for submitting false information on this application form. The Applicant must sign and date the application and print or type its name below the signature line. Applications signed by an agent must be accompanied by evidence of that agent's authority.

## **Cape Lookout Commercial Tour Requirements**

The following criteria must be met for all Commercial Use Authorization Tour permits:

### **I. All Tours**

1. Provide brief description of the type of tour (ie, marsh ecology tour, shelling tour, horse tour, etc.)
2. Tour educational objectives must be applicable to the interpretive themes and objectives of the park as documented in the park's Long Range Interpretive Plan (LRIP) located at [www.nps.gov/caloparkmgmt/upload/CALO-LRIP-2011\\_small.pdf](http://www.nps.gov/caloparkmgmt/upload/CALO-LRIP-2011_small.pdf)
  - a. The Applicant must provide the park with its interpretative and educational plans for its proposed tour. The plans must show how the proposed tour relates to the park's themes and objectives, and the specific informative points that are presented during the course of the tour in support of those objectives. In addition, the plans must include the qualifications of the person conducting the tours by listing their knowledge, skills, and abilities.
  - b. These plans shall be submitted to National Park Service (NPS), Cape Lookout National Seashore (CALO) for review and approval with the Commercial Use Authorization Application.
  - c. The NPS, CALO reserves the right to periodically accompany the tour on a space available basis (at no cost to the park) with the purpose of providing a review of the tour's presentation.
3. The tour must have an operational plan that includes at minimum the following:
  - a. Departure Site/Return Site
  - b. Destination Points within Cape Lookout National Seashore
  - c. Tour Itinerary and include duration of each location visited
  - d. Maximum number of participants
  - e. Number of guides per tour
  - f. Proposed dates and times of tour
  - g. Overall tour length
  - h. How will participants be transported to the park
  - i. How will the participants move on land
  - j. List cost of tour tickets (i.e., adult, child, etc.), where will participants pay for the tour tickets
  - k. Safety plan to address potential risks

### **II. Additional Criteria for Tours Utilizing Transportation Other Than That Provided By the NPS Concessionaire, Island Express Ferry Service, LLC**

1. The tour duration must be six (6) hours or more if any destination point is within the

western three (3) miles of Shackleford or in the vicinity of Cape Lookout Lighthouse (any area on South Core Banks, South of mile marker forty (40). All other tours must be a minimum of four (4) hours or more. Tour hours include round-trip time on vessel plus time on shore.

2. The tour itinerary must include two (2) or more stops within the park, where passengers disembark from the vessel and receive a presentation.
  - a. Tours that substantially follow the route of the NPS Concessionaire, Island Express Ferry Service, LLC, departing from Beaufort, or Harkers Island and points in between, and arriving at CALO, where the transportation is only incidental to the tour, **will not** be authorized. Such tours must use the NPS Concession Ferry.
3. The tour vessel and person(s) conducting the tour must remain with the tour (however the vessel may not stay continuously moored at NPS docks; the tour vessel must give way to all other vessels that need to use the dock.)
4. On-shore time within CALO must be an integral part of the tour purpose and tour presentation. In other words, the person conducting the tour and tour participants must get off as a group and participate in continued presentation on shore for the purpose of the stop.
  - a. Simply dropping off passengers for “free time” on-shore is considered to be the same as or equivalent to a point-to-point ferry operation, and **will not** be authorized.
  - b. The tour presentation, as documented in the tour plan and itinerary, must occupy the majority of the time while on shore.

### III. Application Requirements

1. CALO will accept all applications to assure we are meeting all visitor services. However, it is the responsibility of the applicant to provide CALO a justification of why the proposed tour cannot use the NPS Concessionaire, Island Express Ferry Service, LLC.
2. All applications must have all required documentation in its packet upon arrival to CALO Administrative Office along with applicable fees. Any incomplete or missing documents will delay processing of the permit. If there are incomplete or missing documents in your application, CALO will notify you and provide you an opportunity resubmit documents to your packet. The packet will be held for five (5) business days before it is returned to the applicant.
3. CALO will review all applications and notify with an approval/disapproval within thirty (30) business days. If there is a high volume of applications received at one given time, CALO has the right to extend this time frame. If this happens, applicants will be notified. If you have questions or concerns about your approval/disapproval or you desire to meet in person, please contact the Administrative Officer, Katherine Cushinberry to make an appointment.

# CERTIFICATE OF LIABILITY INSURANCE

DATE (MM/DD/YY)  
04/06/05

**PRODUCER**  
I Sell Insurance Company  
P. O. Box 1234  
Anytown, USA 12345  
(123) 456-7890

**THIS CERTIFICATE IS ISSUED AS A MATTER OF INFORMATION ONLY AND CONFERS NO RIGHTS UPON THE CERTIFICATE HOLDER. THIS CERTIFICATE DOES NOT AMEND, EXTEND OR ALTER THE COVERAGE AFFORDED BY THE POLICIES BELOW.**

**INSURED**  
I Manage Boats, Inc.  
P. O. Box 1234  
City, WI 12345

COMPANIES AFFORDING COVERAGE	
COMPANY A	XYZ's Group Insurance of USA
COMPANY B	ABC National Insurers
COMPANY C	State Worker's Insurance Company
COMPANY D	Out-to-Sea Vessel Insurance Carriers

**COVERAGES**  
THIS IS TO CERTIFY THAT THE POLICIES OF INSURANCE LISTED ABOVE FOR THE POLICY PERIOD INDICATED, NOTWITHSTANDING ANY REQUIREMENT, TERM OR CONDITION ISSUED OR MAY PERTAIN, THE INSURANCE AFFORDED BY THE POLICIES, LIMITS SHOWN MAY HAVE BEEN REDUCED BY THE TERMS, EXCLUSIONS AND CONDITIONS OF THE POLICIES.

CO LTR	TYPE OF INSURANCE	POLICY NUMBER	POLICY EFFECTIVE DATE (MM/DD/YY)	POLICY EXPIRATION DATE (MM/DD/YY)	LIMITS	
A	GENERAL LIABILITY	XXX123456789AB	1/12/05	1/12/06	GENERAL AGGREGATE	\$ 1,000,000
	<input checked="" type="checkbox"/> COMMERCIAL GENERAL LIABILITY				PRODUCTS - COMP/OP AGG	\$ 1,000,000
	<input type="checkbox"/> CLAIMS MADE				PERSONAL & ADV INJURY	\$ 1,000,000
	<input type="checkbox"/> OWNER'S & CONTRACTOR				Auto (fire)	\$ 500,000
					Auto (non)	\$ 5,000
A	AUTOMOBILE LIABILITY	XXX123456789AB	1/12/05	1/12/06	PERMIT	\$ 300,000
	<input checked="" type="checkbox"/> ANY AUTO					
	<input checked="" type="checkbox"/> ALL OWNED AUTOS					
	<input checked="" type="checkbox"/> SCHEDULED AUTOS					
	<input checked="" type="checkbox"/> HIRED AUTOS					
	<input checked="" type="checkbox"/> NON-OWNED AUTOS					
	GARAGE LIABILITY				AUTO ONLY - EA ACCIDENT	\$
	<input type="checkbox"/> ANY AUTO				OTHER THAN AUTO ONLY	\$
					EACH ACCIDENT	\$
					AGGREGATE	\$
B	EXCESS LIABILITY				EACH OCCURRENCE	\$ 1,000,000
					AGGREGATE	\$ 1,000,000
						\$
C				12/06	<input checked="" type="checkbox"/> WC STATUTORY LIMITS	
					OTHER	
					EL EACH ACCIDENT	\$
					EL DISEASE - POLICY LIMIT	\$
					EL DISEASE EACH EMPLOYEE	\$
D	OTHER:	DDDD12345NMOP		12/0		300,000
	<input checked="" type="checkbox"/> WATERCRAFT LIABILITY					
	<input checked="" type="checkbox"/> OWNED, NON-OWNED AND HIRED					
					PROPERTY DAMAGE	\$

**DESCRIPTIONS OF OPERATIONS/LOCATIONS/VEHICLES/SPECIAL ITEMS**  
Certificate Holder is additional Insured. RE: Water transportation and towing services. Commercial watercraft liability is included.  
OFFICE LOCATION: 123 SOUTH STREET, Madison, WI 12345

CERTIFICATE HOLDER	ADDITIONAL INSURED: INSURER LETTER	CANCELLATION
United States of America National Park Service, Park Unit Attn: Your Name 415 Washington Avenue Bayfield, Wisconsin 54814		<p><b>SHOULD ANY OF THE ABOVE DESCRIBED POLICIES BE CANCELLED BEFORE THE EXPIRATION DATE THEREOF, THE ISSUING COMPANY WILL ENDEAVOR TO MAIL 30-DAYS WRITTEN NOTICE TO THE CERTIFICATE HOLDER NAMED TO THE LEFT BUT FAILURE TO MAIL SUCH NOTICE SHALL IMPOSE NO OBLIGATION OR LIABILITY OF ANY KIND UPON THE INSURER, ITS AGENTS OR REPRESENTATIVES</b></p> <p>AUTHORIZED REPRESENTATIVE</p>

(Figure 1)

**2016 APPLICATION FORM  
COMMERCIAL USE AUTHORIZATION  
U.S. DEPARTMENT OF THE INTERIOR**



**National Park Service  
Cape Lookout National Seashore  
Attention: Katherine Cushinberry, Administrative Officer  
131 Charles Street  
Harkers Island, NC 28531  
(252) 728-2250 extension 3019**

1) **For which year(s) is the Commercial Use Authorization (CUA) being requested?** 2016  
*Please type or print in ink. Answer all questions completely or mark "N/A" if not applicable*

2) **Applicant** (Legal Business Name)

\_\_\_\_\_

\_\_\_\_\_

3) **What is your Business Type** (Please check one below):

A. Sole Proprietor

B. Corporation: (State: \_\_\_\_\_ Entity Number \_\_\_\_\_)

C. Non-Profit (Please attach a copy of your IRS Ruling or Determination Letter)

D. Partnership/Association. *Print the names of each partner. If there are more than two partners, please attach a complete list of their names.*

( Name \_\_\_\_\_ )

( Name \_\_\_\_\_ )

E. Other (Specify) \_\_\_\_\_

4) **Mailing Addresses for Winter and Summer:**

**SUMMER CONTACT INFO** (Dates at this address \_\_\_\_\_)

Address: \_\_\_\_\_

City, State, Zip: \_\_\_\_\_

Email: \_\_\_\_\_

Internet: \_\_\_\_\_

Day Phone: \_\_\_\_\_ Evening Phone: \_\_\_\_\_

Fax: \_\_\_\_\_

**WINTER CONTACT INFO** (Dates at this address \_\_\_\_\_)

**If same as "Summer Contact Info", check here  and go to number 4.**

Address: \_\_\_\_\_

City, State, Zip: \_\_\_\_\_

Email: \_\_\_\_\_

Internet: \_\_\_\_\_

Day Phone: \_\_\_\_\_ Evening Phone: \_\_\_\_\_

Fax: \_\_\_\_\_

5) **Employer’s Identification Number:** \_\_\_\_\_

6) **Provide the name(s) of the authorized agent(s) for this business.**  
 \_\_\_\_\_

7) **(a) Are you employed with the National Park Service?**   **Yes**   **No**  
**If “yes”, please complete below:**  
 Title \_\_\_\_\_  
 Park / Office where employed \_\_\_\_\_

**(b) Do you have a spouse or minor children employed with the National Park Service?**  
  **Yes**   **No**  
**If “yes”, please complete below:**  
 Title \_\_\_\_\_  
 Park / Office where employed \_\_\_\_\_

8) **Expiration date of Business License:** \_\_\_\_\_ **License Number:** \_\_\_\_\_

9) **Business Emergency Contact Numbers:**

Name:	Number:

10) Currently or within the **past 5 years**, have you or any individual serving as an officer, principal, partner or employee with this business entity, **been convicted of or forfeited collateral for any violations of state, federal, or local law or regulation?**   **Yes**   **No**  
**If "yes", please give a description of each violation. Attach additional sheets if necessary.**

Date of Violation: \_\_\_\_\_  
 Was this a conviction? \_\_\_\_\_ Was Collateral forfeited? \_\_\_\_\_  
 Name of Business or person(s) \_\_\_\_\_  
 Place of Violation? \_\_\_\_\_  
 Court Name \_\_\_\_\_  
 Provide Details? \_\_\_\_\_

(Results) Action Taken by Court \_\_\_\_\_

11) **\*Within the past 5 years, have any of your current or proposed employees been convicted of or forfeited collateral for any state, federal, or local law or regulation; OR are they now under charges for any violation of state, federal or local law or regulation?**  
  **Yes**   **No**

If "yes", please give a description of each violation. Attach additional sheets if necessary.

(\*Employees identified below may be precluded from working for the operator)

Date of Violation: \_\_\_\_\_ Place of Violation: \_\_\_\_\_

Was this a conviction? \_\_\_\_\_ Was Collateral forfeited? \_\_\_\_\_

Name of Employees or Proposed Employees Involved \_\_\_\_\_

Place of Violation? \_\_\_\_\_

Court Name \_\_\_\_\_

Give Details? \_\_\_\_\_

Current Status \_\_\_\_\_

12) Within the past 5 years, have any of your current or proposed employees been involved with a diving accident that resulted in injury or death?

Yes  No

If "yes", please give a description of each accident. Attach additional sheets if necessary.

Date of accident: \_\_\_\_\_ Place of Accident: \_\_\_\_\_

Did accident result in a Fatality?  Yes  No

Did the victim(s) make a full recovery?  Yes  No

Name of Employees or Proposed Employees Involved \_\_\_\_\_

Was there litigation resulting from the accident?

Court Name \_\_\_\_\_

Give Details? \_\_\_\_\_

Current Status \_\_\_\_\_

13) Signature: False, fictitious or fraudulent statements of representations made in this application may be grounds for denial or revocation of the Commercial Use Authorization and may be punishable by fine or imprisonment (U.S. Code, Title 18, Section 1001). All Information provided will be considered in reviewing this application. Authorized Agents must attach proof of authorization to sign below.

By my signature, I hereby attest that all my statements and answers on this form and any attachments are true, complete, and accurate to the best of my knowledge.

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Printed Name

\_\_\_\_\_  
Title

# Cape Lookout National Seashore

## Requirements to obtain a 2016 Commercial Use Authorization (CUA) Permit

**Note – Permits will not be issued until all copies of items below have been submitted.** For questions about the application process, please call the Administrative Office at (252) 728-2250 ext. 3019

<b>Items checked are prepared for submission</b>	<input checked="" type="checkbox"/>
<b>CUA Permit Application and Requirements</b>	
<b>Annual Survey</b> for Prior Year’s Permit Season	
<b>Application</b> for 2016 Commercial Use Authorization Permit – be sure to complete for each permitted activity you are applying for: Ferry, Tour, Guide Service, or Other.	
<b>Certificate of Insurance</b> must list the National Park Service (per Attachment 2). Certificates must include all insurance types required and list all fleet boats with registration and hull numbers. Insurance certificates must come directly from the agency.	
<b>Employee List</b> – Include name, address, telephone number, job title, principle owner/operator, Captains, etc. (See Form 4)	
<b>Captain or Mariner’s License</b> for all applicable employees. <b><u>MUST PROVIDE VALID, CLEAR COPY OF LICENSE and Transportation Workers Identification Card (TWIC).</u></b>	
<b>Drug Consortium</b> membership for all Captains.	
<b>CPR and First Aid cards</b> for <u>all</u> employees.	
<b>Driver’s License</b> copy. (Identification and/or business vehicle use)	
<b>Fleet Requirements</b>	
<b>Certificate of Inspection (COI)</b> for all boats if applicable. Must show periodic inspections by USCG.	
<b>Certificate of Insurance Addendum</b> must list all fleet boats with registration and hull numbers.	
<b>Photos of All Fleet Boats</b> showing operator’s signage and boat NC registration number.	
<b>North Carolina Ferry Tariff</b> copy showing current fee structure and date approved.	
<b>Business Information</b>	
<b>Marketing Materials</b> <u>mentioning the Park or NPS</u> . Copies of advertising brochures, website material, and permitted services you provide.	
<b>Interpretation Plan</b> for tours and guides.	
<b>Calendar of start and end dates</b> for the service season. (By location or service type if multiple)	
<b>Schedule of operating hours</b> by each service and service location.	
<b>Updated Fees</b> schedule for permitted services if not covered by NC Ferry Tariff.	
Annual Permit Fee of \$475.00 paid by Certified Check (payable to National Park Service) or by credit card.	
Application Fee of \$75.00.	
<b>Receipt # for CUA Fee</b> _____ <b>Amount Paid</b> \$ _____ <b>Date of In-Person Meeting</b> _____ <b>Clear to Issue Permit</b> YES    NO <b>Date Permit Issued</b> _____ <b>CALO Permit Number Issued</b> _____ <b>Issued by</b> _____	
<b>REMINDER: A photo ID of Supervising Operator and proof of CUA status must be available upon request while operating within the Park boundaries.</b>	

# Cape Lookout National Seashore

## Liability Insurance Requirements for 2015 Commercial Use Authorization (CUA) Permit

You are required to carry liability insurance to provide protection for visitors you serve within National Park Service areas. The insurance policy must contain a waiver of subrogation clause specifying that the insurance company shall have no right of subrogation against the United States. If this is not possible, the United States of America, National Park Service, Cape Lookout National Seashore must be named on the policy as an additional insured. (See Attachment 2) Original insurance certificates MUST be sent directly from your insurance agent to the Park for ANY notice of insurance change, renewal, or cancelation. Insurance certificates and notices may be electronically sent to [calo\\_administration@nps.gov](mailto:calo_administration@nps.gov).

Applicants must obtain liability coverage BEFORE a Commercial Use Authorization can be issued.

PARTY SIZE	PER OCCURRENCE	AGGREGATE
UP TO 5 people	\$500,000/Occurrence	\$1,000,000
6 TO 12 people	\$500,000/Occurrence	\$1,000,000
13 TO 20 people	\$1,000,000/Occurrence	\$2,000,000
21 TO 50 people	\$1,000,000/Occurrence	\$2,000,000

Will you be using any type of *WATERCRAFT* and/or *VEHICLES* within Park boundaries in your operation?

NO       YES       If YES, please complete the following chart.

WATERCRAFT			
TYPE	MAXIMUM PASSENGER CAPACITY	REGISTRATION NUMBER	NAME

VEHICLES		
TYPE	MAXIMUM PASSENGER CAPACITY	VIN NUMBER

Cape Lookout National Seashore

Permit Holder: \_\_\_\_\_

**CUA Employee List**

**2016 Operating Season**

Name	Address	Phone()-Bus, Home, Cell	Job Title	Captain's License No. & Expiration	First Aid Expiration	CPR Expiration	
		( ) -		# / /	/ /	/ /	Drug Consortium Drivers' License
		( ) -		# / /	/ /	/ /	Drug Consortium Drivers' License
		( ) -		# / /	/ /	/ /	Drug Consortium Drivers' License
		( ) -		# / /	/ /	/ /	Drug Consortium Drivers' License
		( ) -		# / /	/ /	/ /	Drug Consortium Drivers' License
		( ) -		# / /	/ /	/ /	Drug Consortium Drivers' License
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		( ) -		# / /	/ /	/ /	Drug Consortium Drivers' License
		( ) -		# / /	/ /	/ /	Drug Consortium Drivers' License

- Do not fill in captain's information or check drug consortium if employee is not captain