PAPERWORK REDUCTION ACT
DOC/NOAA/NMFS SURVEY CLEARANCE FORM
Economic Surveys for U.S. Commercial Fisheries
OMB CONTROL NUMBER 0648-0369

This form should be used if you are submitting a collection of information for approval under the NOAA customer survey clearance assigned OMB control number 0648-0369. E-mail this form, full Supporting Statement (including Part B), the collection instrument, and any additional documentation to: **Rita.Curtis@noaa.gov**

If the collection does not satisfy the requirements of the program clearance, you should follow the regular PRA clearance procedures described in 5 CFR 1320.

NOAA Subagency NMFS

Title (Please be specific)

West Coast Limited Entry Trawl (Fixed Gear) Cost Earnings Survey

Burden Hour Estimates

Number of respondents 98

Total Burden Hours 98

Hours per response 1

Cumulative Burden Hours under Program Clearance 1,436

Agency Contact *(person who can best answer questions about the content of the submission)*

Name Carl Lian (Carl.Lian@noaa.gov)

Phone (206)302-2414 Cell: 503-730-6555

Certification: The collection of information requested by this submission meets the requirement of the OMB approval for OMB control number 0648-0369.

Rita Curtis 10/20/2005

Signature of Program Official Date

Sarah Brabson 10/20/2005

Signature of NOAA Paperwork Clearance Officer Date

OIRA Date

OMB Review of Individual Instruments

NOAA will submit each individual instrument for OMB review. OIRA will inform the agency when each instrument is cleared, after which the agency may use OMB number 0648-0369. The information provided along with each instrument must address the following items:

1. The potential respondent universe and any sampling or other respondent selection method to be used and the expected response rate.
2. The collection procedures, including the statistical methodology for stratification and sample selection, the estimation procedure, the degree of accuracy needed for the intended purpose, expected dates of survey implementation, and any unusual problems requiring specialized sampling procedures.
3. The methods used to maximize response rates address non-response. The accuracy and reliability of the information collected must be shown to be adequate for the intended uses.
4. How the survey instrument was developed, including the steps taken to validate the questionnaire design.
5. The reporting and use of the results of the survey.
6. Contact information for agency coordinator and principle investigator.
7. Estimated burden and number of respondents.

The agency must submit annually response rates for all the surveys conducted and the formula used to calculate these response rates.

Responses to Supplemental Questions for PRA Clearance
OMB Review of Individual Instruments

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1. The potential respondent universe and any sampling or other respondent selection method to be used and the expected response rate.

Potential Respondent Universe

The population of interest for this survey is all active commercial fishing vessels holding a limited entry permit with a fixed gear (either pot or long line) endorsement. Active fishing vessels are defined as having at least $1,000 of West Coast (Washington, Oregon, and California) landings during 2004. Vessels with less than $1,000 landings are considered to have too low of level of activity to provide useful cost earnings data. Fishticket data obtained through the PacFIN (Pacific Coast Fisheries Information Network) system indicates that there are 150 vessels in the population of interest.

Sampling and Other Respondent Selection Methods

This survey will be performed on a census of the 150 vessels in the population of interest. There will be no sampling to determine which vessels in the survey population receive the survey.

Expected Response Rate

The only recent effort to collect survey information from the survey population was the National Employment Survey. This national survey collected employment information from commercial vessel owners via a mail questionnaire. This survey was sent to all 150 members of the west coast limited entry fixed gear fleet. The response rate for this mail survey among the west coast limited entry fixed gear fleet was 42%.

In contrast to the National Employment Survey, this cost earnings survey of the limited entry fixed gear fleet will be conducted via in-person interviews. In-person surveys typically yield substantially higher response rates than mail surveys. Repeated mail and telephone follow-ups will be attempted with non-respondents in order to further increase the response rate. Because of the use of in-person interviews and extensive follow up with non-respondents, a response rate of 65% is expected. Because cost earnings data has not been previously collected from this fleet, this expected response rate has a considerable degree of uncertainty.

2. Data collection procedures, including the statistical methodology for stratification and sample selection, the estimation procedure, the degree of accuracy needed for the intended purpose, expected dates of survey implementation, and any unusual problems requiring specialized sampling procedures.

Stratification and Sample Selection

The survey population is all commercial fishing vessels which (i) had a limited entry permit with a fixed gear endorsement and (ii) had at least $1,000 worth of landings on the west coast (Washington, Oregon, and California) during 2004. Since all 150 vessels in the survey population will receive the survey, stratification is not an issue that affects sample design. While future uses of the survey data may involve classifying the data in different ways, such as by participation in the sablefish fishery or groundfish fishery, stratification does not affect the determination of who to sample in this survey design.

Desired Degree of Accuracy and Response Rate

The desired degree of accuracy, and corresponding desired response rate, depends upon the application for which the data is being used. A basic application of the survey data will be the inference of unobserved population mean values from the observed sample mean values. The following table shows the number of responses (and corresponding response rate) needed to get a response sample mean within 10%, 15%, and 25% of the population mean at the 95% confidence level. Obtaining a sample mean within 15% of the population mean at the 95% confidence level requires a response rate of 63%. This is slightly less than the expected 65% response rate. In this calculation, revenues associated with West Coast landings (which are known) are used as a proxy for revenues from other sources and for expenditures (which are not known and are the focus of this survey).

Group	N Population	N 10%	N 15%	N 25%	Response Rate 10%	Response Rate 15%	Response Rate 25%
Limited Entry Fixed Gear	150	119	95	58	80%	63%	38%

Three reasons can be identified for desiring higher response rates than those needed to support inference of population means from sample means. First, data from this survey will be used to develop a variety of economic models covering applications such as fleet efficiency and fishery participation. In these applications, error will arise not only from the representativeness of data used for model development, but also from model specification and estimation. Since it is not possible to completely avoid specification and estimation error in model development, there is good reason to desire a higher response rate and higher degree of accuracy in the data collection process. Second, future applications of the data may require further disaggregating the population into smaller groups according to factors such as state of operation or species targeted. Identification of all such future disaggregated data needs is not possible at the present time. A higher response rate and higher degree of accuracy in the current data collection process will facilitate such future population disaggregation. Third, the size of the limited entry fixed gear fleet is likely to decrease in future years through fleet consolidation. A higher response rate to the current survey will help insure a sufficient number of responses are available for panel data analysis of vessels remaining in the fleet. While a response rate of 63% will support basic statistical inference regarding the entire limited entry trawl fixed gear fleet, a higher response rate is desired for the above reasons.

Survey Fielding

The Pacific States Marine Fisheries Commission (PSMFC) will field the survey. Using the contact information described above, the PSMFC will send a letter to all 150 members of the survey population describing the survey and its purpose. Enclosed with the letter will be a copy of the questionnaire. This will provide survey recipients with an opportunity to (i) see first-hand the data being collected by the survey prior to in-person interviews and (ii) collect the requested data prior to the in-person interview. About one week after the letter/questionnaire mailing, PSMFC will begin making telephone calls to schedule in-person interviews with survey recipients for data collection. During the following three weeks, at least five additional attempts will be made to contact each member of the survey population until an interview data is scheduled.

For purposes of survey fielding, information on the vessel owner and mailing address will be taken from federal permit and registration files.

Expected Dates of Survey Implementation

The limited entry fixed gear fleet is most active during the months between June and September. However, seasonal patterns of activity vary by vessel, depending upon factors such as the species targeted most frequently. The target period for survey fielding is March through May 2006.

3. The methods used to maximize response rates and address non-response. The accuracy and reliability of the information collected must be shown to be adequate for the intended uses.

Methods Used To Maximize Response Rates

A number of methods have been used to maximize survey response rate. First, the survey is short. The written version of the questionnaire (which will be sent to members of the survey population prior to the in-person interview) is only three pages long. Second, respondents are only asked to provide information about major cost and earnings categories, thus avoiding what may seem like survey respondents like unnecessary detail. Third, data will be collected through in-person interviews, which typically have higher response rates than mail surveys. Conversations with owners of West Coast fishing vessels have indicated that in-person interviews would be more likely to receive a response than a mail survey. Fourth, there will be extensive follow-up telephone calls and mailings after the initial letter/questionnaire mailing in order to schedule in-person interviews and obtain responses. These follow-up telephone calls will be distributed among weekend/weekday and day/evening time periods to maximize the likelihood of reaching the contact person. About one week after the questionnaire is mailed to all members of the survey population, attempts to schedule in-person interview dates by telephone will begin. Up to six attempts to schedule an interview will be made for each member of the survey population.

Addressing Non-Response

A considerable amount of information is currently available about vessel characteristics and landings for the survey population. This information will be used to compare the survey population with survey respondents, and to make any adjustments for systematic bias in survey response.

Available information on vessel characteristics includes vessel length, weight, and horsepower. Information on vessel length is available for almost all vessels. Information on vessel weight and horsepower is available on most, but not all, vessels.

PacFIN provides individual vessel landing information, both pounds landed and value of landings, for West Coast (Washington, Oregon, and California) landings by date (starting in 1981 through the present), species, port and gear for all vessels in the survey population. As a result, it is possible to compare respondents and non-respondents with regard to seasonal patterns, species landed, and location of landings. In addition, some information is available from AKFIN (Alaska Fisheries Information Network) regarding landings in Alaska by population members. This information will be used to compare the activities of respondents and non-respondents in Alaskan waters. This information is important, as some members of the population are believed to earn considerable revenue in Alaskan waters. Available information on Alaska landings includes (i) whether each vessel had any landings in Alaska and (ii) whether revenue from landings in Alaska was greater or smaller than revenue from landings in Washington, Oregon, and California.

Adequacy of Accuracy and Reliability of Information for Intended Uses

NOAA Fisheries needs to measure the economic performance of west coast commercial fisheries in order to meet legal and regulatory requirements, support fisheries management decision making, and undertake economic research. Currently available cost earnings data is very limited and does not meet these needs. The Northwest Fisheries Science Center's Cost Earnings Program will collect the additional data that is needed to construct key economic performance measures such as profitability, capacity utilization, efficiency, productivity, and economic impacts. The data gathered and performance measures constructed will be used to address a wide range of issues; these issues include (but are not limited to) the effect of the recent buyback program, the effect of alternative ITQ programs, and predicting fishery participation under alternative regulatory regimes.

While the data will be used to comply with legal and regulatory requirements, these requirements do not specify a level of data accuracy. Minimum target response sizes for each population stratum are based on the objective of having a sample mean within 15% of the population mean at the 95% confidence level. It is believed that this provides a sufficient level of precision for inference of population means from sample means. As explained in the response to question 2, even greater precision is highly desirable for other anticipated applications of the data.

4. How the survey instrument was developed, including the steps taken to validate the questionnaire design.

This survey is the second survey to be conducted as part of the Northwest Fisheries Science Center's comprehensive Cost Earnings Program Plan. Survey development began with the formulation of the Cost Earnings Program Plan. This plan outlines the reasons for collecting cost earnings data, identifies the population(s) of interest among west coast vessel owners, and prioritizes data needs. Based on this long-term plan, objectives for this survey and survey content were developed through a series of meetings by representatives of the Northwest Fisheries Science Center (NWC), Northwest Regional Office (NWR), Southwest Fisheries

Science Center (SWC), and Pacific States Marine Fisheries Commission (PSMFC). These meetings identified key objectives as collecting data which could be used to measure fisheries profitability, economic impacts, efficiency, and economic benefits of regulatory measures. The academic literature, both within and outside of fisheries, was reviewed in order to determine the data requirements of models which would likely be used to measure fisheries profitability, economic impacts, efficiency, and economic benefits of regulatory measures.

This process allowed prioritization of data needs and the choice of survey content for the three survey populations of interest for the federal management of West Coast groundfish --- the limited entry trawl fleet, the limited entry fixed gear fleet, and the open access groundfish fleet. Survey procedures and a questionnaire for the limited entry trawl fleet have already received PRA clearance from OMB. This application for PRA clearance concerns the limited entry fixed gear fleet.

The draft questionnaire for the limited entry fixed gear fleet is very similar to that used for the limited entry trawl fleet. This questionnaire has been discussed with members of the survey population by NOAA and PSMFC personnel. In addition, NOAA personnel provided a presentation on survey content and timing to the Pacific Fisheries Management Council Groundfish Advisory Panel (a group of fishing industry members including harvesters and processors) and the Pacific Fisheries Management Council Scientific and Statistical Committee (a group responsible for reviewing the methodology used in scientific and statistical studies). Comments received through these discussions and presentations improved questionnaire content and format.

5. The reporting and use of the results of the survey.

Use of Survey Results

NOAA Fisheries needs to measure the economic performance of west coast commercial fisheries in order to meet legal and regulatory requirements, support fisheries management decision making, and undertake economic research. Currently available cost earnings data is very limited and does not meet these needs. The Northwest Fisheries Science Center's Cost Earnings Program will collect the additional data that is needed to construct key economic performance measures such as profitability, capacity utilization, efficiency, productivity, and economic impacts.

Reporting of Survey Results

A descriptive summary of results from the survey will be prepared and posted on the PSMFC web site. This summary will include descriptive statistics (such as mean and standard deviation) of the various cost and earnings categories being collected. This descriptive summary will also be distributed to survey respondents via paper mail.

Survey results will be reported over time through a series of studies prepared for fisheries management. It is anticipated that results will also be reported through academic publications, presentations at conferences, and technical guides. All reporting of survey results will conform to data confidentiality requirements.

Information Quality Guidelines and Confidentiality

It is anticipated that the information collected will be disseminated to the public or used to support publicly disseminated information. As explained in the previous paragraphs, the information gathered has utility. NMFS will retain control over the information and safeguard it from improper access, modification, and destruction, consistent with NOAA standards for confidentiality, privacy, and electronic information. In particular, the data collected will be kept confidential as required by section 402(b) of the Magnuson-Stevens and NOAA Administrative Order 216-100, Confidentiality of Fisheries Statistics, and will not be released for public use except in aggregate statistical form without identification as to its source.

The information collection is designed to yield data that meet all applicable information quality guidelines. Prior to dissemination, the information will be subjected to quality control measures and a pre-dissemination review pursuant to Section 515 of Public Law 106-554.

6. Contact information for agency coordinator and principle investigator.

Agency Coordinator:
Carl Lian
Northwest Fisheries Science Center
2725 Montlake Boulevard East
Seattle, WA 98112
206-302-2414 (voice)
206-860-6792 (fax)
carl.lian@noaa.gov (email)

Principal Investigator:
Dave Colpo
Pacific States Marine Fisheries Commission
205 SE Spokane Street
Portland, OR 97202
503-595-3100 (voice)
503-595-3232 (fax)
dave_colpo@psmfc.org (email)

7. Estimated burden and number of respondents.

Reviewing the survey, collecting requested data, and the in-person interview is expected to take one hour per respondent. With the expected 65% response rate, a total of 98 responses will be received. As a result, the survey is expected to impose a total of 98 burden hours on the west coast limited entry fixed gear fleet.

This survey is provided so that you know what information to have available during the interview. The survey will be conducted in person and we will contact you to schedule a time and place to meet.

OMB No. 0648-0369 Expiration Date: 5/31/06

CONTACT INFORMATION FOR SURVEY RESPONDENT

1. Name: _____ 2. Email: _____

3. Date (Month/Day/Year): _____ 4. Telephone: (____)_____

5. Mailing Address (Street, City, State, and Zip Code): _____

_____

VESSEL OWNERSHIP AND CHARACTERISTICS

6. Please verify the following information on record about your vessel's characteristics. If the information on record is correct, please place a check mark in the Corrections column. If the information on record is incorrect or there is no information on record, please provide the correct information in the Corrections column.

Item	Information on Record	Corrections
a. Owner's Name	*Charles Smith*	
b. Owner's Address	*333 1st Street, Waldport, OR 97005*	
c. USCG Vessel ID	*33221843*	
d. State Vessel ID	*OR33214*	
e. Home Port	*Newport, OR*	
f. Length (feet)	*75*	
g. Fuel Capacity	*300*	
h. Engine Make and Model	*No Information on Record*	

7. For each of the following activities, please provide this vessel's average fuel consumption and speed. If this vessel does not engage in an activity, please check "NA" in the Fuel Consumption and Speed columns for that activity.

Activity	Fuel Consumption (Gallons Per Hour)	Speed (Knots Per Hour)
a. Longlining	NA ☐	NA ☐
b. Crabbing	NA ☐	NA ☐
c. Trolling	NA ☐	NA ☐
d. Steaming (fully loaded)	NA ☐	NA ☐
e. Steaming (empty)	NA ☐	NA ☐

REVENUE AND EXPENDITURES

Questions 8 through 10 collect information about this vessel's revenue sources and expenditures **while operating in all fisheries** (groundfish, sablefish, crab, salmon, etc.).

This survey's primary objective is to collect data on revenue and expenditures for 2005. However, we recognize that conditions in the fishery change from year to year and that two years of data can provide a more complete picture than a one-year snapshot. If possible, we would appreciate receiving your revenue and expenditure data for both 2004 and 2005.

8. In what month did your vessel's fiscal year begin in 2004_____ & 2005? _____

9. For each of the revenue sources listed below, please indicate the revenue earned during your fiscal year 2004 and fiscal year 2005. If no revenue was earned from a particular source during a particular year, please write NA in the appropriate box.

Revenue Source	2004 ($)	2005 ($)
a. Landings in Alaska		
b. Landings in Hawaii		
c. Landings outside of the United States		
d. West Coast at-sea deliveries		
e. Chartering/Tendering		
f. Sale of permits associated with this vessel		
g. Leasing out of permits associated with this vessel		
h. Other (please specify)_____		

10. For each expense category below, please provide total annual expenditures during your fiscal year 2004 and fiscal year 2005. If you do not have separate data on expenditures for captain (part a) and crew (part b), please write combined expenditures in part *a* and write "NA" in part b. If no expenditures were incurred in a particular category during a particular year, please write NA in the appropriate box.

Expense Category	2004 ($)	2005 ($)
a. Captain (including bonuses and payroll taxes)		
b. Crew (including bonuses and payroll taxes)		
c. Fuel and Lube		
d. Food and crew provisions		
e. Ice		
f. Bait		
g. Purchase of permits used with this vessel		
h. Leasing of permits used with this vessel		
i. Repair, maintenance, and improvements for vessel, gear, and equipment		

CREW COMPENSATION

Questions 11 through 15 collect information about crew payments when this vessel is participating in the West Coast (Washington, Oregon, and California) **groundfish (including sablefish) fishery**.

11. Does this vessel use a crew share system to pay its crew when operating in West Coast **groundfish (including sablefish) fisheries**?

a. Yes (proceed to question 12).
b. No (proceed to the Survey Conclusion after question 15).

12. Which of the following expenses were deducted from total revenue before calculating the crew share when this vessel operated in West Coast **groundfish (including sablefish) fisheries**?

		Deducted Before Calculating Crew Share?	
a.	Fuel and lube.	Yes	No
b.	Food and other crew provisions.	Yes	No
c.	Landing taxes.	Yes	No
d.	Unloading expenses	Yes	No
e.	Trucking expenses	Yes	No
f.	Other. Please specify _____.	Yes	No

13. On what percentage of fishing trips does the vessel owner serve as captain? _____%

14. On trips when the vessel owner serves as captain, please indicate the share of net revenue (revenue minus the deductions listed in question 12) going to the vessel, captain, and crew. If the vessel owner does not serve as captain on any trips, please circle "NA".

Vessel share_____% Captain share _____% Crew share_____% NA

15. On trips when the vessel owner does not serve as captain, please indicate the share of net revenue (revenue minus the deductions listed in question 12) going to the vessel, captain, and crew. If the vessel owner always serves as captain, please circle "NA".

Vessel share_____% Captain share _____% Crew share_____% NA

Survey Conclusion

Thank you for participating in this survey. The information you have provided will improve studies of the economic performance and economic impact of the West Coast limited entry trawl fishery.

A report summarizing limited entry trawl fleet responses to this survey will be prepared upon completion of this survey. As a participant in this survey, you will automatically be sent a copy of this report. If you want, we will also send you a comparison of your responses to those for the entire limited entry trawl fleet. If you would like to receive this comparison, please ask during your in-person interview for this comparison to be sent to you by registered mail (as this comparison will contain confidential information you have provided).

Paperwork reduction act statement: This survey requests information on fishing costs in the West Coast limited entry trawl fishery. This information will be used to assess a wide range of management issues, including (but not limited to) the effect of the recent buyback program and assessments of the effect of alternative ITQ programs. Public reporting burden for this collection of information is estimated to average 1 hour per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other suggestions for reducing this burden to Carl Lian, Northwest Fisheries Science Center, 2725 Montlake Boulevard East, Seattle, WA 98112; Phone: 206-302-2414 Email: Carl.Lian@noaa.gov.

Confidential name and address information may be released via a NOAA Fisheries website for informational purposes. All other data submitted will be handled as confidential material in accordance with NOAA Administrative Order 216-100, Protection of Confidential Fishery Statistics. Notwithstanding any other provisions of the law, no person is required to respond to, nor shall any person be subjected to a penalty for failure to comply with, a collection of information subject to the requirements of the Paperwork Reduction Act, unless that collection of information displays a currently valid OMB Control Number.