

**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 _____

Title (Please be specific) _____

Burden Hour Estimates

Number of respondents _____

Total Burden Hours _____

Hours per response _____

Cumulative Burden Hours
under Program Clearance _____

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

Name _____

Phone _____

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

Signature of Program Official

Date

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

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.

Potential Respondent Universe

The potential respondent universe consists of the 211 commercial fishermen who have a permit to fish for nearshore groundfish species in California.

Sampling and Other Respondent Selection Methods

The survey will be conducted in the form of a logbook administered to the 211 permit holders.

Expected Response Rate

The expected response rate is 60-70%.

2. Data collection procedures, including the statistical methodology for stratification and sample selection, the estimation procedures, 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

A major objective of the Nearshore Groundfish Fishery Management Plan (FMP) is to develop area-specific management measures that are relevant to the fishing patterns and species that are endemic to each area. The management areas designated in the FMP and the number of individuals who have permits to fish in each area are as follows:

<u>Management Area</u>	<u>Management Area Boundaries</u>	<u># Permits</u>
North Coast	Oregon border to Cape Mendocino (Humboldt County)	36
North Central Coast	Cape Mendocino to Pt. Ano Nuevo (San Mateo County)	51
South Central Coast	Pt. Ano Nuevo to Pt. Conception (Santa Barbara County)	85
South Coast	Pt. Conception to Mexican border	39

Total		211

Harvest of nearshore groundfish is subject to restrictive, statewide quotas that constrain the ability of fishermen to harvest healthy stocks that may be caught in conjunction with depressed stocks. Data are needed to identify actual at-sea locations where fishing occurs, show how the species composition of catch varies among locations, and determine whether different gear configurations are selective for different species. Access to such data, in conjunction with trip-specific economic data - will allow the economic effects of alternative gear restrictions and spatial closures to be evaluated. Given the need for detailed gear, spatial and economic data within each management area and the small size of the potential respondent universe within each area, it was deemed desirable to administer the survey as a census of the 211 permit holders.

Estimation Procedures

The logbook data may be subject to several sources of non-sampling error: (1) reporting error, given that the weight of catch reported in logbooks will (at least in some cases) be based on at-sea estimates rather than actual measurements of weight, and (2) non-response error, given that not all fishermen are likely to participate in the logbook program. A secondary source of data - landings receipts¹ - will be used to address (1) and (2), as follows:

Given that kept fish are reported on landings receipts by trip and will be reported in the logbook for each location per trip, fishermen who fish in one location per trip will be able to rely on their landings receipts for the exact weights of kept fish for that location. In this context, the landings receipts will be used to address (1) as follows: (a) to verify that the poundage of kept fish reported for one-location trips matches the landings receipt, and (b) for multiple-location trips, to calibrate the estimated poundage of kept fish in each location so that the total corresponds to the amount reported on the landings receipt.

To address (2), landings receipts will be used to identify the universe of nearshore groundfish trips made by permit holders; the trip data provided by logbook respondents will then be extrapolated to non-respondents operating from vessels of similar size and delivering to the same port or port complex.

Statistical methods will be used to develop economic profiles of the fishery. Maximum likelihood methods will be used to estimate spatial models of fishing behavior. Cost-benefit and cost-effectiveness analysis will be used to conduct regulatory analyses that evaluate the economic effects of management alternatives.

¹ California fish dealers are required to provide the California Department of Fish and Game with a receipt for every landing delivered to them. These landings receipts provide trip-specific information such as date of landing, dealer ID, vessel ID, port, gear type, area-of-catch, and weight and value of each species landed. The logbook is intended to provide data for the nearshore groundfish fishery that are not available from the landings receipts. For instance, area-of-catch is not consistently reported on landings receipts and is defined in terms of broad geographic areas that (even when reported) are generally too large to be useful for management. Also, the gear types reported on landings receipts are defined too broadly to distinguish among the particular gear configurations used in the nearshore fishery; additionally, the quantity of gear used is not reported on the receipts.

Desired Degree of Accuracy and Response Rate

A minimum sample size of 20 is desired for each of the four management areas. A 60-70% response rate will achieve this for each area. Fishery managers note that the logbook program will be a vast improvement over the current data-poor situation, as there is currently no empirical basis for implementing gear restrictions and area closures or understanding the effects of such measures on the economics of the fishery.

Expected Dates of Survey Implementation

In the first fishing season after OMB approval is received, the logbook program will be implemented as a pilot study in one port in each of the four management areas.² Pilot study results will be used as follows:

(1) Statistical summaries will be made of the data collected during the pilot. Meetings will be held with fishermen and fishery managers to discuss these data summaries and to get their input on ways to further improve the clarity and efficiency of the logbook form and implementation procedures.

(2) Data collected during the pilot will be used to test various types of software that will be developed to support the logbook program. For instance, software development will be needed to: (a) scan logbook forms into an Access database, (b) ensure data quality control through measures such as error-checking protocols; (b) match fishing trips reported in the logbook to the corresponding trips in the landings receipt database; (c) calibrate logbook catch estimates to actual measured catches reported on landings receipts; (d) correct the logbook results for non-response bias; (e) export the logbook data to spreadsheets that provide logbook participants with summaries of their own fishing activity during the year; and (f) create a website from which query-based data summaries can be downloaded by fishermen and data managers.

Once the pilot study is completed, the logbook survey will be expanded statewide in subsequent years, using the software developed and tested during the pilot phase of the project.

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.

Strategy to Maximize Response Rates

(1) *Collaborate with fishermen on planning and design* - The Fishermen's Information Cooperative (FIC) is an industry group whose goal is to foster collaboration with researchers

² The ports selected for the pilot study are (by management area): Crescent City (north coast), Fort Bragg (north central coast), Morro Bay (south central coast) and Santa Barbara (south coast).

and managers in ways that improve management. The content and format of the logbook was developed in close consultation with the FIC and fishery managers. Both the FIC and managers are highly supportive of the logbook program.

(2) *Collaborate with fishermen on implementation* – NOAA Fisheries is working with Sea Grant’s Port Liaison Project to identify a fisherman in each management region who can serve as a local liaison between logbook respondents and NOAA Fisheries. Efforts will be made to ensure that the logbook liaisons are respected members of the fishing community, have good organizational and communication skills, have expertise in the nearshore groundfish fishery, and are knowledgeable regarding logbook requirements. The liaisons will facilitate logbook implementation in several ways - e.g., encourage logbook participation, answer fishermen’s questions regarding logbook requirements, facilitate distribution and return of logbook forms, and assist in arranging periodic meetings between fishermen and NOAA Fisheries regarding the status of the program and ways to improve it.

(3) *Provide assurances of data confidentiality* - The Pacific States Marine Fisheries Commission (PSMFC) - which is noted for its expertise in fisheries database management and sensitivity to data confidentiality requirements - will be responsible for data management aspects of the logbook program. All data summaries made available to the public will be sufficiently aggregated to avoid compromising the confidentiality of the raw data.

(4) *Provide fishermen with useful and timely data and data summaries* - As an incentive to fishermen to participate in the program, the PSMFC will provide each logbook respondent with an electronic spreadsheet that describes the fishing activity reported in his own logbook during the year. Highliners in particular (who make the most trips and are also most likely to maintain detailed records of their own fishing activity) indicate that they would welcome this service as a way to reduce the time that they spend on this type of personal record keeping. The PSMFC will also provide logbook participants with an annual status report on the logbook program, including a summary description of the data collected during the year.

Strategy to Address Non-Response

Landings receipts will be used to identify the universe of nearshore groundfish trips made by permit holders. Trip data from landings receipts and logbooks will be compared to determine whether logbook non-response varies among ports or among vessels of different size. Any non-response bias found will be corrected in expanding logbook trips to the universe of nearshore groundfish fishing trips.

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

Version 1 of the logbook was developed by NOAA Fisheries in close consultation with the FIC and fishery managers and was pretested in summer of 2004 by a nearshore fisherman

accompanied by a California Department of Fish and Game biologist. Based on results of this pretest and a subsequent meeting with fishermen and managers in September 2004, a modified version of the logbook (version 2) was developed and pretested in February 2005 by eight fishermen (two fishermen in each of the four management areas). Additional refinements to the logbook suggested by the February 2005 pretest participants are reflected in the current version (version 3).

The pretest resulted in several significant improvements to the logbook form and to operational aspects of the logbook program, as follows:

(1) Version 1 of the logbook required fishermen to fill out the 2nd page of the log each time they set their gear. Given that the optimal strategy for nearshore fishermen is to make frequent, short sets, this requirement was deemed unduly burdensome and was subsequently changed so that the 2nd page had to be filled out once for each location fished. This meant that multiple sets made at the same location would be recorded together and that most fishermen would have to fill out the 2nd page only once per trip (as the size of boats used in the nearshore fishery constrains most fishermen to one-day trips and fishermen are unlikely to change location on a single day).

(2) The released fish categories included in version 1 of the logbook were modified and simplified in subsequent versions to better reflect the market factors that motivate nearshore fishermen to release fish.

(3) Due to wet and busy conditions at sea and the fact that some nearshore fishermen operate from vessels without cabins, fishermen prefer to fill out the logbook after they return to port. Pretest results indicated that fishermen's preferences in this regard can be accommodated, as follows:

(a) In addition to trip limits, nearshore fishermen are also subject to cumulative two-month landings limits that require them to keep a running tab of the kept fish reported on their landings receipts throughout each two-month management period. Due to this pre-existing regulatory requirement, the marginal burden associated with filling out the kept fish columns on the 2nd page of the log is expected to be modest.

(b) Fishermen indicate that the information requested on the 1st page of the log would be easy to recall and could easily be filled out at the same time they do their post-trip tabulation of kept fish described under (3a).

(c) Some fishermen may have difficulty recalling the gear and released fish information requested on the 2nd page of the log after the trip is done. Based on recommendations from pretest participants, fishermen will be provided with an abbreviated, large-type version of the 2nd page of the log (on waterproof paper) that can be filled out at sea. Because fishermen are likely to catch only 3-5 of the species listed on the logbook on any given trip, the species column on the abbreviated log will be left blank, as it will be more efficient for them to fill in whatever species they release than to scan the existing list. Gear and released fish information can then be transcribed

from the waterproof sheets to the logbook at the same time fishermen do their post-trip tabulation of kept fish.

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

A descriptive report on survey results will be prepared annually and posted on a dedicated website to be established by the PSMFC. Fishery managers and nearshore permit holders who participate in the survey will be notified via email when the report is posted. In addition, a paper copy of the summary report will be mailed to survey participants.

The survey data will be used to develop economic profiles of the fishery, to estimate economic models of fishing behavior, to devise management alternatives that reflect differences in species distribution and fishing behavior among management regions, and to evaluate the economic effects of these alternatives.

6. Contact information for agency coordinator and principal investigator.

Agency Coordinator:
Cynthia Thomson
NOAA Fisheries
Southwest Fisheries Science Center
110 Shaffer Road
Santa Cruz, CA 95060
831-420-3911
Cindy.Thomson@noaa.gov

Principal Investigator:
Dave Colpo, EFIN Program Manager
Pacific States Marine Fisheries Commission
200 SE Spokane Street
Portland, OR 97202
503-595-3100
dave_colpo@psmfc.org

7. Estimated burden and number of respondents

Total # permit holders	211
Expected logbook response rate	65%
Expected # logbook respondents	137 (=211*65%)
Average annual trips/respondent	19
Average burden hours/trip	0.2 (based on pretest results)
Total annual burden hours	521 (=137*19*.2)

Note: The nearshore permit system includes several features that are intended to reduce the number of permit holders over time: (1) 29 of the 211 permits are nontransferable and will be permanently retired when the permit holder leaves the fishery; (2) The remaining 182 permits are subject to a 2-for-1 transferability requirement, with new entrants required to buy out two existing permit holders in order to enter the fishery. Reduction in the number of permit holders is expected to ease the highly restrictive trip limits currently in place and thus allow permit holders who remain in the fishery to exhaust their two-month cumulative limits by taking fewer trips. Due to this anticipated reduction in the number of permit holders and number of trips per permit holder, total annual burden hours is expected to decline over time.

INSTRUCTIONS FOR NEARSHORE LOGBOOK FORM (V3)

NOTE: All data provided are CONFIDENTIAL. Consistent and accurate reporting is critical for achieving conservation and management objectives for this fishery.

- Use #2 pencil or ballpoint pen (press firmly).
- The forms are two-sided. Fill out the front page of one form for each trip. Fill out the back page of the same form for the first location fished on that trip. If needed, fill out the back page of additional forms for additional locations fished on the same trip. (The method used to define fishing locations is described below under "Effort & Catch by Microblock")
- By the 10th of each month, send a copy of all completed forms for the preceding month in the stamped, pre-addressed envelopes provided by the Pacific States Marine Fisheries Commission.

FISHERMAN INFORMATION: Enter your name and commercial fishing license number. Check the type(s) of nearshore permits that you have.

VESSEL INFORMATION: Enter F&G vessel registration number that appears on the landings receipt(s) for this trip. Enter vessel type and length.

TRIP INFORMATION: Enter date (month/day/year) and time (am or pm) you departed from and returned to port. Check whether or not you carried an observer on this trip. Enter landings date (month/day/year) and landings receipt number(s) on which this trip's catch is reported.

Labor/Boat Shares - Enter number of persons paid as crew on this trip (excluding the skipper). If vessel is owner-operated, enter payments to crew and owner/operator for this trip, in dollars. If vessel is not owner-operated, enter payments to crew, skipper and boat owner, in dollars.

Non-Labor Costs – Enter amount spent for fuel, tackle, bait, groceries, transportation of catch and minor boat maintenance (<\$100) in preparation for this trip. For instance, if you'll be using fuel for this trip that was purchased on a previous trip, enter zero fuel cost for this trip. Conversely, if you purchased fuel for this trip that may last you for several trips, attribute the entire amount spent for fuel to this trip. The same applies to the other expense categories.

Check market destination of catch, if you know this information – see map 1.

Trip Notes – Optional. Record swell, wind and water temperature, only if you would like to keep this information for your own records.

EFFORT & CATCH BY MICROBLOCK: *Note* - For purposes of the logbook, a fishing location is defined as a microblock or group of adjacent microblocks where fishing occurred - see map 2. If you fished in more than one microblock/microblock group on the same trip, fill out the back side of a separate logbook form for each additional microblock/microblock group fished on the trip. Provide information for each microblock/microblock group fished, regardless of whether you caught any fish.

Enter your last name and landing date (month/day/year) for this trip. Enter the F&G block number and the numbers of all adjacent microblocks within that block that comprise your fishing location. In cases where adjacent microblocks cross multiple F&G blocks, provide microblock information for each relevant block.

Gear Type - If "Stick" gear was used in this location, check type of stick gear used. If "Line" gear was used, check type of line gear used.

Gear Quantity - For each gear used, record number of times the gear was pulled in this location. For instance, if you pulled 10 sticks twice in the same location, # sticks pulled would be 20.

Soak Time - For trap, stick, line, and "other" gear, enter average soak time for each piece of gear pulled. For rod & reel gear, enter total soak time for all gear pulled. Thus for instance, if you pulled rod & reel gear 6 times in one location and the gear was in the water an average of 3 minutes, total soak time would be 18 minutes.

Bottom Depth - For each gear type, enter average bottom depth of the area where the gear was pulled.

Catch Information – For all catch made in the same location, enter:

- total weight (in pounds) of fish landed, live and dead
- total number of fish released, according to reason for release.

NEARSHORE FISHERY LOGBOOK (V3)

SERIAL # _____

OMB # 0648-0369, Exp. Date: May 31, 2006

FISHERMAN INFORMATION	
Fisherman's Name: _____	<input type="checkbox"/> Nearshore Fishery Permit
Fisherman's License #: L _____	<input type="checkbox"/> Deeper Nearshore Fishery Permit

VESSEL INFORMATION
DFG Vessel # on Landing Receipt (if applicable): _____
Vessel Type: <input type="checkbox"/> Boat with cabin <input type="checkbox"/> Boat without cabin <input type="checkbox"/> Kayak <input type="checkbox"/> Other
Vessel Length (feet): _____

TRIP INFORMATION	
Departure Date (mo/day/yr): _____	Landing Date (mo/day/yr): _____
Departure Time: _____ <input type="checkbox"/> am <input type="checkbox"/> pm	Landings Receipt #(s): _____
Return Date (mo/day/yr): _____	_____
Return Time: _____ <input type="checkbox"/> am <input type="checkbox"/> pm	_____
Carried Observer? <input type="checkbox"/> No <input type="checkbox"/> Yes	_____
<p style="text-align: center;"><i>Labor/Boat Shares</i></p> # Crew (excluding skipper): _____	<p style="text-align: center;"><i>Non-Labor Costs (\$ spent in prep for trip, even if all purchases not used up on this trip)</i></p> Fuel \$ _____
Owner Operated? <input type="checkbox"/> Yes <input type="checkbox"/> Crew Share \$ _____ Owner/operator share \$ _____	Tackle \$ _____
<input type="checkbox"/> No <input type="checkbox"/> Crew Share \$ _____ Skipper share \$ _____ Boat share \$ _____	Bait \$ _____
	Groceries \$ _____
	Transportation of Catch \$ _____
	Boat Maintenance (<\$100) \$ _____
	Other (specify: _____) \$ _____
Market Destination of Catch (check one, if known – see map 1):	
<input type="checkbox"/> Northern CA (1)	<input type="checkbox"/> South Central Coast (4)
<input type="checkbox"/> Sacramento Area (2)	<input type="checkbox"/> San Diego Area (7)
<input type="checkbox"/> San Francisco Bay (3)	<input type="checkbox"/> South Central Inland (5)
	<input type="checkbox"/> Los Angeles Area (6)
	<input type="checkbox"/> Out of State (8)
Trip Notes (optional, provide only if you want to retain for your own records)	
Swell: _____ feet; Wind: _____ mph; Water Temperature: _____ degrees	

Fill out this page once for each trip. Fill out the back page of this form for the first microblock/microblock group where you fished on this trip. Use back page of additional forms for additional microblocks/microblock groups fished on the same trip. Fill out a form for every microblock/microblock group fished, regardless of whether you caught any fish.

PAPERWORK REDUCTION ACT STATEMENT: The nearshore logbook provides fishing effort, catch and economic data for the nearshore groundfish fishery. This information will be used to improve research and management of the nearshore fishery. Public reporting burden for this information collection, including time for reviewing instructions and collecting the needed data, is estimated to average 10-15 minutes per fishing trip. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden to: Cindy Thomson, NOAA Fisheries, Cindy.Thomson@noaa.gov, 831-420-3911.

Confidential name and address information will 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

Last Name _____ ; Landing Date (mo/day/yr) _____

EFFORT & CATCH BY MICROBLOCK/ADJACENT MICROBLOCK GROUPS

Fishing Location - see map 2 (enter 2nd F&G block only if adjacent microblocks cross F&G blocks)

F&G Block # _____ ; Associated Microblock(s) _____

F&G Block # _____ ; Associated Microblock(s) _____

Gear Type	Gear Quantity	Soak Time	Avg Bottom Depth
Trap	# Traps Pulled _____	Avg Time Per Set: _____ hrs, _____ min	_____ feet
Stick: <input type="checkbox"/> Hard Stick <input type="checkbox"/> Cable Stick	# Sticks Pulled _____ Avg # Hooks Per Stick _____	Avg Time Per Set: _____ hrs, _____ min	_____ feet
Line: <input type="checkbox"/> Set Longline <input type="checkbox"/> Vertical H&L	# Lines Pulled _____ Avg # Hooks Per Line _____	Avg Time Per Set: _____ hrs, _____ min	_____ feet
Rod & Reel (R&R)	# R&R Gear Pulled _____ Avg # Hooks Per R&R _____	<u>Total Time</u> All Sets: _____ hrs, _____ min	_____ feet
Other	# Times Gear Pulled _____	Avg Time Per Set: _____ hrs, _____ min	_____ feet

Catch Information	Kept Fish (Total Lbs)		Released Fish (#Fish) – by Reason for Release						
			<i>Regulations</i>			<i>Fisherman's Preference</i>			
	Live	Dead	Size Limit	Trip Limit	Fishery Closed	Too Small	Too Big	Undesirable Species	Other
Black Rockfish (RF)									
Black-and-yellow RF									
Blue RF									
Brown RF									
Cabezon									
Calico RF									
CA Scorpionfish									
CA Sheephead									
China RF									
Copper RF									
Gopher RF									
Grass RF									
Kelp Greenling									
Kelp RF									
Olive RF									
Quillback RF									
Treefish									
Lingcod									
Bocaccio									
Canary RF									
Vermilion RF									
Other: _____									
Other: _____									
Other: _____									

Repeat for each microblock/microblock group fished on this trip.