

NOTICE OF OFFICE OF MANAGEMENT AND BUDGET ACTION

Date 10/31/2012

Department of Commerce
National Oceanic and Atmospheric Administration
FOR CERTIFYING OFFICIAL: Simon Szykman
FOR CLEARANCE OFFICER: Diana Hynek

In accordance with the Paperwork Reduction Act, OMB has taken action on your request received 08/16/2012

ACTION REQUESTED: Extension without change of a currently approved collection
TYPE OF REVIEW REQUESTED: Regular
ICR REFERENCE NUMBER: 201207-0648-011
AGENCY ICR TRACKING NUMBER:
TITLE: Annual Economic Survey of Federal Gulf and South Atlantic Shrimp Permit Holders
LIST OF INFORMATION COLLECTIONS: See next page

OMB ACTION: Approved with change
OMB CONTROL NUMBER: 0648-0591

The agency is required to display the OMB Control Number and inform respondents of its legal significance in accordance with 5 CFR 1320.5(b).

EXPIRATION DATE: 10/31/2015

DISCONTINUE DATE:

BURDEN:	RESPONSES	HOURS	COSTS
Previous	800	600	0
New	800	600	0
Difference			
Change due to New Statute	0	0	0
Change due to Agency Discretion	0	0	0
Change due to Agency Adjustment	0	0	0
Change Due to Potential Violation of the PRA	0	0	0

TERMS OF CLEARANCE:

OMB Authorizing Official: Kevin F. Neyland
Deputy Administrator,
Office Of Information And Regulatory Affairs

List of ICs

IC Title	Form No.	Form Name	CFR Citation
Annual Economic Survey of Federal Gulf and South Atlantic Shrimp Permit Holders	NA	Gulf and South Atlantic Shrimp Economic Survey 2011	

PAPERWORK REDUCTION ACT SUBMISSION

Please read the instructions before completing this form. For additional forms or assistance in completing this form, contact your agency's Paperwork Clearance Officer. Send two copies of this form, the collection instrument to be reviewed, the supporting statement, and any additional documentation to: Office of Information and Regulatory Affairs, Office of Management and Budget, Docket Library, Room 10102, 725 17th Street NW, Washington, DC 20503.

1. Agency/Subagency originating request	2. OMB control number b. <input type="checkbox"/> None a. _____ - _____
3. Type of information collection (<i>check one</i>) a. <input type="checkbox"/> New Collection b. <input type="checkbox"/> Revision of a currently approved collection c. <input type="checkbox"/> Extension of a currently approved collection d. <input type="checkbox"/> Reinstatement, without change, of a previously approved collection for which approval has expired e. <input type="checkbox"/> Reinstatement, with change, of a previously approved collection for which approval has expired f. <input type="checkbox"/> Existing collection in use without an OMB control number For b-f, note Item A2 of Supporting Statement instructions	4. Type of review requested (<i>check one</i>) a. <input type="checkbox"/> Regular submission b. <input type="checkbox"/> Emergency - Approval requested by _____ / _____ / _____ c. <input type="checkbox"/> Delegated
7. Title	5. Small entities Will this information collection have a significant economic impact on a substantial number of small entities? <input type="checkbox"/> Yes <input type="checkbox"/> No
8. Agency form number(s) (<i>if applicable</i>)	6. Requested expiration date a. <input type="checkbox"/> Three years from approval date b. <input type="checkbox"/> Other Specify: _____ / _____
9. Keywords	10. Abstract
11. Affected public (<i>Mark primary with "P" and all others that apply with "x"</i>) a. ___ Individuals or households d. ___ Farms b. ___ Business or other for-profit e. ___ Federal Government c. ___ Not-for-profit institutions f. ___ State, Local or Tribal Government	12. Obligation to respond (<i>check one</i>) a. <input type="checkbox"/> Voluntary b. <input type="checkbox"/> Required to obtain or retain benefits c. <input type="checkbox"/> Mandatory
13. Annual recordkeeping and reporting burden a. Number of respondents _____ b. Total annual responses _____ 1. Percentage of these responses collected electronically _____ % c. Total annual hours requested _____ d. Current OMB inventory _____ e. Difference _____ f. Explanation of difference 1. Program change _____ 2. Adjustment _____	14. Annual reporting and recordkeeping cost burden (<i>in thousands of dollars</i>) a. Total annualized capital/startup costs _____ b. Total annual costs (O&M) _____ c. Total annualized cost requested _____ d. Current OMB inventory _____ e. Difference _____ f. Explanation of difference 1. Program change _____ 2. Adjustment _____
15. Purpose of information collection (<i>Mark primary with "P" and all others that apply with "X"</i>) a. ___ Application for benefits e. ___ Program planning or management b. ___ Program evaluation f. ___ Research c. ___ General purpose statistics g. ___ Regulatory or compliance d. ___ Audit	16. Frequency of recordkeeping or reporting (<i>check all that apply</i>) a. <input type="checkbox"/> Recordkeeping b. <input type="checkbox"/> Third party disclosure c. <input type="checkbox"/> Reporting 1. <input type="checkbox"/> On occasion 2. <input type="checkbox"/> Weekly 3. <input type="checkbox"/> Monthly 4. <input type="checkbox"/> Quarterly 5. <input type="checkbox"/> Semi-annually 6. <input type="checkbox"/> Annually 7. <input type="checkbox"/> Biennially 8. <input type="checkbox"/> Other (describe) _____
17. Statistical methods Does this information collection employ statistical methods <input type="checkbox"/> Yes <input type="checkbox"/> No	18. Agency Contact (person who can best answer questions regarding the content of this submission) Name: _____ Phone: _____

19. Certification for Paperwork Reduction Act Submissions

On behalf of this Federal Agency, I certify that the collection of information encompassed by this request complies with 5 CFR 1320.9

NOTE: The text of 5 CFR 1320.9, and the related provisions of 5 CFR 1320.8(b)(3), appear at the end of the instructions. *The certification is to be made with reference to those regulatory provisions as set forth in the instructions.*

The following is a summary of the topics, regarding the proposed collection of information, that the certification covers:

- (a) It is necessary for the proper performance of agency functions;
- (b) It avoids unnecessary duplication;
- (c) It reduces burden on small entities;
- (d) It used plain, coherent, and unambiguous terminology that is understandable to respondents;
- (e) Its implementation will be consistent and compatible with current reporting and recordkeeping practices;
- (f) It indicates the retention period for recordkeeping requirements;
- (g) It informs respondents of the information called for under 5 CFR 1320.8(b)(3):
 - (i) Why the information is being collected;
 - (ii) Use of information;
 - (iii) Burden estimate;
 - (iv) Nature of response (voluntary, required for a benefit, mandatory);
 - (v) Nature and extent of confidentiality; and
 - (vi) Need to display currently valid OMB control number;
- (h) It was developed by an office that has planned and allocated resources for the efficient and effective management and use of the information to be collected (see note in Item 19 of instructions);
- (i) It uses effective and efficient statistical survey methodology; and
- (j) It makes appropriate use of information technology.

If you are unable to certify compliance with any of the provisions, identify the item below and explain the reason in Item 18 of the Supporting Statement.

Signature of Senior Official or designee

Date

Agency Certification (signature of Assistant Administrator, Deputy Assistant Administrator, Line Office Chief Information Officer, head of MB staff for L.O.s, or of the Director of a Program or StaffOffice)

Signature

Date

Signature of NOAA Clearance Officer

Signature

Date

**SUPPORTING STATEMENT
ANNUAL ECONOMIC SURVEY OF FEDERAL GULF AND SOUTH ATLANTIC
SHRIMP PERMIT HOLDERS
OMB CONTROL NO. 0648-0591**

INTRODUCTION

We are requesting the extension of a currently approved data collection.

Economic data is collected from shrimp vessel owners who operate in federal waters of the Gulf of Mexico and South Atlantic. These fishermen are required to have one or more federal permits for the commercial catch of shrimp depending on species (penaeid or rock) and water body fished.

The Annual Economic Survey of Federal Gulf and Atlantic Shrimp Permit Holders is conducted by the Social Science Research Group of the Southeast Region Fishery Science Center (SEFSC) of the National Marine Fisheries Service (NMFS). The survey collects data about operating expenses and the costs of owning and maintaining shrimp vessels. Each spring, surveys are sent by mail to a random sample of about a third of all vessels with federal permits for the harvest of Gulf of Mexico penaeid shrimp or South Atlantic penaeid or rock shrimp. The survey has been very successful, with high response rates (84% in 2009). Reports summarizing the results for each of the data years 2006 through 2009 are available on the following website:

<http://www.sefsc.noaa.gov/socialscience/shrimp.htm>

The 2010 data is still to be analyzed; the Deepwater Horizon oil spill created some complexities.

A collection of economic information from fishermen affected by the management of federal commercial fisheries is needed to ensure that national goals, objectives, and requirements of the Magnuson-Stevens Fishery Conservation and Management Act (MFCMA) and other laws are met. This information is vital in assessing the economic and social effects of management decisions and regulations on individual fishing enterprises, fishing communities, and the nation as a whole. Since the survey is repeated annually, the data are also used to assess trends in the financial and economic state of the fisheries.

A. JUSTIFICATION

1. Explain the circumstances that make the collection of information necessary.

A collection of economic information from fishermen and fishing businesses affected by the management of federal commercial fisheries in the southeast region is needed to ensure that national goals, objectives, and requirements of the MFCMA, [National Environmental Policy Act](#) (NEPA), [Regulatory Flexibility Act](#) (RFA) and [Executive Order 12866](#) (EO 12866) are met. This information is vital in assessing the economic and social effects of fishery management decisions and regulations on individual fishing enterprises, fishing communities, and the nation as a whole. Due to the persistent fluctuations in the price of fuel and the price of shrimp and other changes in

the southeast shrimp fisheries, analyses and models require up-to-date data to remain valid.

The central goal of this project is to collect up-to-date cost data for the Gulf and South Atlantic commercial shrimp fisheries in federal waters. National Standard Guidelines for social and economic information needs are mandated in [50 CFR 600](#). In the past, legal decisions have gone against Department of Commerce (DOC), National Oceanic and Atmospheric Administration (NOAA), and NMFS based on the lack of social and economic information or the inadequate analysis of existing data. Thus, it is imperative that these data be collected to accurately assess the economic and social impacts on individual shrimp fishing entities as imposed by shrimp fishery management plans and regulations.

The data collection effort is an ongoing annual survey effort. Regular surveying is necessary to capture critical cost data that fluctuate from year to year. Fluctuations are generally due to annual fluctuations in shrimp abundance caused by environmental factors, input and output price variability and adaptations to these.

Economic information on commercial fishing enterprises is also vital to the optimum yield (OY) management of marine fishery resources as mandated under the MFCMA (16 U.S.C. 1802 MS Act § 3). The term “optimum” is defined under section 104-297 (28) of the Act, as: (A) will provide the greatest overall benefit to the Nation, particularly with respect to food production and recreational opportunities, and taking into account the protection of marine ecosystems; (B) is prescribed as such on the basis of the maximum sustainable yield from the fishery, as reduced by any relevant economic, social, or ecological factors; and (C) in the case of an over-fished fishery, provides for the rebuilding to a level consistent with producing the maximum sustainable yield in such a fishery.

2. Explain how, by whom, how frequently, and for what purpose the information will be used. If the information collected will be disseminated to the public or used to support information that will be disseminated to the public, then explain how the collection complies with all applicable Information Quality Guidelines.

Combined with data from existing collections, the information is used by NMFS economists and social scientists to create, develop, and update economic and social models and descriptive reports of these important fisheries. The results support the management of the shrimp fisheries by the South Atlantic and Gulf Fisheries Management Councils and NMFS Southeast Regional Office. Foremost, the data are used to evaluate the economic health of the sector and the potential economic impact of proposed regulations. The data is also used by the academic community studying SE shrimp fisheries.

The results of this survey (summary statistics) are disseminated to the public through annual economic reports available on the SEFSC’s website. An example annual report for the Gulf shrimp fishery, based on the survey, is attached at the end as Table 2. Data may be reported for various groups of fishermen (by vessel size, state, etc.). This will allow vessel owners to compare and evaluate their operations relative to others in the same group in terms of ability to generate revenues, cost efficiency, and profitability.

Statistical models that predict or forecast various characteristics, such as fleet size, fishing activity or effort, cost versus benefits of fishing, market activity, and efficiencies of proposed

fishing regulations are further uses of these data. Gross revenues and costs can vary across time and geographic areas as a result of changes in a number of different factors, including fishery management regulations (e.g. gear modifications, time/area closures, etc.), fluctuations in abundance (due to changes in various environmental factors), market conditions (such as fuel or seafood prices), and behavioral responses by fishermen.

The following is a detailed description of justifications for the collection of these data. In general, the survey instrument asks questions pertaining to the annual total of variable costs, fixed costs, and other financial and production factors. These data are necessary to generate cost, profit, input demand, and production functions. Such functions and the results generated from their estimation are typically used in financial analyses (used to determine a business' cost efficiency and profitability), economic impact analyses (used to determine the economic value of a particular activity to a particular locale, community, or region), bio-economic models (used to predict how the biological and economic components of a fishery will respond to exogenous shocks, such as policy changes), cost-benefit analyses (used, in part, to determine the net economic benefits of a particular action), and behavioral models (such as those that explain or predict exit or entry decisions and decisions regarding spatial or temporal allocation of effort). These data can also be used to determine the relative efficiency of the various participating vessels in a fishery and thus whether the aggregate harvesting costs are in fact being minimized. Such models and analyses are critical to guiding fisheries management decisions whose general purpose is to maximize net national benefits and optimally distribute those benefits.

The survey is divided into three parts. It starts on page 1 with a pre-filled header section that serves to identify the respondent. The second section, also on page 1, collects information on annual financial expenditures ("cash costs"). These should correspond to receipts and invoices and the associated payments and should be readily available from regular business accounting. Page 1 is set up to add up to the total financial expenditures of one calendar year. This should reduce the cognitive load and enhance internal consistency.

Expenditures do not fully reflect the economic concepts of costs (and hence profit); therefore, in order to facilitate economic analysis, further information is necessary, and this is collected on page 2. For example, loan principal payments are real financial transfers but do not constitute a cost in the economic sense. Depreciation charges are an example of the reverse, where real economic costs produce no corresponding financial transaction. Please see the attached survey instrument and its instructions for an in-depth explanation of the intent of each question.

Header: Vessel information

This pre-filled section lists and verifies the identity of the respondent, including owner name, permit number, vessel name, and vessel registration number. Respondents are requested to make any changes if there is an error. This information will allow NOAA Fisheries to link this vessel's responses with other pertinent data, such as permit, revenue, vessel and gear, and catch information, located in other datasets.

Total YEAR Expenses (Page 1)

The first 11 questions elicit total annual expenditures associated with the vessel. They are arranged into three blocks corresponding to variable costs (Questions 1 to 6), fixed costs (Questions 7 to 10) and a check for completeness (Question 11). These questions can generally be used to construct input demand function, cost functions, and production functions, all of

which are needed to conduct the types of analyses mentioned previously. Distinguishing between variable and fixed costs is necessary for conducting analyses with different time horizons.

Questions 1 to 6 - Annual Variable Costs

These questions ask for total annual expenditures for labor inputs (crew and captain) and non-labor inputs (fuel and other trip expenditures). The categories are chosen as they each reflect a substantial part of the costs in this industry. Since these expenditures vary directly with the annual number of trips taken, they are generally related to, or a function of, the annual level of fishing effort, and hence variable costs in the economic sense.

Question 1 to 3 are meant to obtain total annual payments to the crew and captain. Labor is a major input to the production function and hence economic models. Further, these payments represent the flow of annual income to the crew members and captains associated with the vessel. From the captain and crew's perspective, their share of the vessel revenues determines the incomes of their respective households. Changes in annual income received can affect the captain's and crew members' decisions to continue working in this particular fishery, and/or in fishing as a vocation. These data will allow analysts to determine how various factors, such as changes in regulations, may affect the incomes of crew. Question 2 seeks to elicit expenditures, common in this industry, that actually represent payments to owner-operators. Such payments are more akin to income or profit than costs. For economic analysis we must have the ability to identify these.

Questions 4 and 5 collect annual fuel expenditures, the quantity of fuel used, and (an estimate of) the average price of fuel. After labor and the vessel itself, fuel is a major input for a trawl fishery; for some vessels it may even be the largest one. Given the importance of fuel to this fishery and the substantial fluctuations of its price, we are also requesting information on the annual quantity used. This will allow for policy simulations that explicitly take account of the price of fuel (since variation in total annual costs can be due to a change in quantity purchased or due to a change in the price per unit). The average fuel price for each vessel will serve as a test of the two other numbers. It is also hoped that the respondents will 'do the math' themselves and so enhance the quality of the data.

Question 6 intends to capture any other trip related costs not covered by previous questions and is needed to account for all variable costs.

Questions 7 to 10 - Annual Fixed Costs

These questions ask for total annual expenditures related to physical capital (vessel, gear and equipment), including maintenance and repair costs, insurance, loan, and overhead (including all other expenditures). These costs are paid regardless of whether the vessel is used or not, or has generated revenue, and are borne entirely by the owner. Since these costs do not vary according to the level of fishing activity they are referred to as fixed costs by economists. If sufficiently high, fixed costs can affect the probability of entry and exit into and out of a fishery.

Question 7 collects information pertaining to costs related to vessel, gear and equipment maintenance, repair, replacement, and new purchases. These expenses all pertain to physical capital employed in fishing and are separated from the more business related expenses, loosely called overhead. While question 7 a) collects the total annual expenditures, with the help of question 7 b), we will try, at the population level, to roughly break them into average regular

maintenance and repair expenditures, average major or haul-out expenditures, and average new investments which expand the functionality of the physical capital. We are not asking for dollar amounts in question 7 b), merely expense type, in order to keep the survey simple and short, and because retrieving exact amounts would be extremely difficult.

Questions 8 collects information on the cost of insuring the vessel. Vessel insurance, if purchased, is one of the largest elements of fixed costs for Southeast shrimp vessels. There is much policy interest in insurance-related questions; see also question 12.

Questions 9 collects information on payments on vessel loans. Loan payments, if the owner borrowed money to purchase the vessel, are a further large element of fixed costs for SE shrimp vessels. See also question 14.

Question 10 is intended to collect business and indirect costs pertaining to the vessel and any remaining costs not listed elsewhere. Typical examples are annual costs associated with docking or mooring arrangements, utilities while at the dock, fees, professional services, office expenditures, etc. This question is needed to account for all fixed costs.

Question 11 - Total Expenditure Verification

This question adds no additional information. Instead its purpose is to enhance the quality of the data collection by inducing the respondent to be comprehensive and avoid duplication while s/he is accounting for all expenses in questions 1 through 10. If the sum of questions 1 through 10 does not add up to the known or estimated total expenditures for the year, a conscientious respondent will find and correct the inaccuracies. It will also help with identifying data entry errors.

Other Important Economic Information

Question 12 - Insurance

This question collects information on the type of vessel insurance and the total amount for which the vessel is insured (coverage level). The lack of hull and other related vessel insurance is indicative of the industry's economic health. Further, the level of insurance coverage is a measure of how exposed this industry is toward risk, such as losses due to hurricanes. There is much policy interest in insurance-related questions.

Questions 13-15 - Capital, Net-Equity and Depreciation

Questions 13 to 15 try to discern the total amount of financial capital invested in the vessel, the current value of that capital, the owner's net equity in the vessel, and the annual amount the capital is depreciating by. This information is required to estimate economic profit and then to calculate various rates of return on the owner's investment. The expected rate of return is a critical factor in the owner's decision to invest further in the vessel, and whether to remain in the fishing industry. Changes in the levels of net equity should be indicative of the industry's economic health.

Question 13 asks for the market value of the vessel with or without commercial fishing permits, either from insurance records or as estimates. These are proxies for the current value of invested capital. Further, the question asks for the purchase price since many used vessels are recently

changing hands at very low prices (due in part to hurricane impact). Since historically the vessel purchase price has been the greatest barrier to entry, we need to quantify this development.

Question 14 gathers information about outstanding loans and the interest and principal payments on these. With the help of this information we can calculate the owner's net equity tied up in the vessel. In terms of cash flow and investment decisions, loan payments can be critical to annual financial performance of the vessel operation and can be used as an indicator of the health of the industry. The amount of principal repaid during the year is required in order to correctly identify economic profits (by reducing total expenditures by this amount). Interest payments will help identify the relevant cost of capital in this industry. Many economic analyses, beyond the ones directly related to this survey, require the applicable cost of capital.

Question 15 serves to help estimate the appropriate economic depreciation that should be added as a further cost to total expenditures for the vessel when calculating profits. Calculating economic depreciation is difficult, and we will attempt, at the population level, to econometrically estimate¹ it with the help of vessel market prices and information about each vessel's age and characteristics. Question 15 will allow for an independent check on our results. Depreciation, as claimed for tax purposes, is a rough proxy for economic depreciation (especially if adjusted for the age of vessel) and is important in its own right for cash-flow analyses.

Question 16 - Vessel Revenues

Question 16 is comprised of six check boxes to indicate revenues received by the vessel from i) any shrimp fishery, ii) any other commercial fishery, iii) BP oil spill-related (any), iv) any non-fishing activities generating income, v) government payments, or vi) none/no activity. This question will allow us to sort vessels into specific categories (e.g. active/inactive, pure shrimpers/crossover to other fisheries).

Question 17 - BP Oil Spill-related Revenues

In the summer of 2010, the BP oil-spill in the Gulf of Mexico had a large effect on the federally-permitted Gulf shrimp harvesting industry. Impacts included the closure of many fishing areas for substantial amounts of time during the prime shrimping season. Many shrimpers made claims against BP/Gulf Coast Claims Facility and received substantial compensation. Further, BP hired shrimp vessels to stand by or actively participate in clean-up work (e.g., vessels of opportunity program). Oil-spill related payments to shrimpers comprised a substantial portion of total 2010 revenue/earnings for a large fraction of vessels in the northern Gulf. Some payments are

¹ Econometrics is a combination of mathematical economics and statistics. The two main purposes of econometrics are to give empirical content to economic theory and to subject economic theory to potentially falsifying tests. For example, economic theory may predict that a given demand curve should slope down. Econometric estimates can either verify or falsify that prediction, and shed light on the magnitude of the effect.

Econometric analysis is divided into time-series analysis and cross-sectional analysis. Time-series analysis examines variables over time, such as the effects of population growth on a nation's GDP. Cross-sectional analysis examines the relationship between different variables at a point in time; for instance, the relationship between individuals' income and food expenditures. When time-series analysis and cross-sectional analysis are conducted simultaneously on the same sample, it is called panel analysis. If the sample is different each time, it is called repeated cross section data. Multi-dimensional panel data analysis is conducted on data sets that have more than two dimensions. For example, some forecast data sets provide forecasts for multiple target periods, conducted by multiple forecasters, and made at multiple horizons. The three dimensions provide more information than can be gleaned from two dimensional panel data sets.

expected in future years, depending on claims status. We anticipate dropping this question as soon as most claims have been settled.

Question 18 - Revenues Beyond Shrimp

Other data collection efforts allow us to calculate the total revenue each vessel generates from shrimp. In the case where a vessel also engages in other commercial fisheries, portions of the reported costs will apply to these activities rather than to the catching of shrimp. This question allows us to identify the portion of costs actually incurred catching shrimp (“pro-rated” costs based on revenue share). The question will also serve as an indicator for how specialized the shrimp industry is.

Question 19 – Anti-Dumping and other Government “Revenues”

In recent years the United States (U.S.) shrimp fishery has seen increasing imports of aquaculture shrimp flooding the market and lowering the price. This has been ruled a case of dumping and import duties have been imposed. As a result, shrimp fishing vessels have received payments ‘in compensation’ from the government. Government payments received due to imports and low shrimp prices (tariff money; trade assistance adjustment payments, etc.) are treated as taxable revenue and are relevant to the economic success or failure of each operation. Further, some fishermen qualify for disaster relief funds related to hurricane damage.

At the bottom of the last page of the survey (page 2) voluntary questions asks the respondent for any comments on the survey effort and if they would like to receive annual results.

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. See response to Question 10 of this supporting statement for more information on confidentiality and privacy. This 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.

3. Describe whether, and to what extent, the collection of information involves the use of automated, electronic, mechanical, or other technological techniques or other forms of information technology.

The data collection is conducted as a self-administered mail survey. Given the southeast region’s past experiences with surveys of this population, a very low impact (burden) approach is necessary to obtain fishermen’s cooperation. A mail survey is less intrusive, more convenient, and less time-intensive than one based on in-person interviews.

All respondents are contacted by mail. They are asked to return the completed survey instrument to us in an enclosed, pre-paid envelope. If no response is received, up to two further letters are sent (including additional survey instruments). Non-responders are also contacted by phone and urged to return the survey. Information is not collected during the phone call (a further survey instrument is sent – by mail, fax, or email – if requested).

There will be no other means, electronic or otherwise, to submit data or information for the purposes of this study. When asked in 2008, there was little interest by the industry for an online

submission option for this survey. The survey responses will be entered into an electronic Oracle database by NMFS or a contractor. The *analytical results* of studies based on this data will be disseminated in internal, management related, and peer-reviewed publications. Some of these will be available over the Internet.

4. Describe efforts to identify duplication.

This is the only systematic, region-wide, and continuous economic data collection in the Gulf and South Atlantic shrimp fisheries. Hence, there is no duplication of economic information. Experts on these fisheries in academia and state agencies have been consulted.

The data collection is set up in a way to avoid duplicating the time burden for vessels that hold a Gulf shrimp moratorium permit and one or more South Atlantic shrimp permits. For example, there are 625 unique vessels that hold the South Atlantic penaeid shrimp permit, and 250 of these vessels also have Gulf shrimp moratorium permits. Southeast commercial shrimp vessels will be treated as a single fleet for sampling purposes (thereby ensuring every vessel can only be selected once).

5. If the collection of information involves small businesses or other small entities, describe the methods used to minimize burden.

To trawl for shrimp in federal waters of the Gulf of Mexico requires the use a large, specialized fishing vessel with 3-5 person crews. As such, owners must invest substantial sums to participate in this fishery (new vessels might cost anywhere from \$100,000 to \$1,000,000) and employ other individuals (mates; usually paid as contractors (1099-MISC) rather than hired as employees). About half the owners captain their own vessels (owner-operators; usual legal form: sole proprietors or S-corporations), while the other half hire captains. Some own multiple vessels. As such, they run small businesses.

Only the minimum data to meet the current and future needs of NMFS management and permitting programs are collected. The information requested should be available to the respondent in the course of normal business operations. Keeping additional records is not needed and hence the burden is low. To simplify the process further, the survey collects aggregate annual data and will be timed to coincide with tax season. The results of this study are expected to improve the economic conditions of small fishing entities by affording fishery management agencies the information needed to consider economic factors in management plans and regulations.

6. Describe the consequences to the Federal program or policy activities if the collection is not conducted or is conducted less frequently.

Previous attempts to collect costs data have been plagued by their small geographic scope, their limited duration, refusal by the industry to be surveyed, and delineation issues between inshore and offshore fleets. Current and statistically valid economic data is needed for the southeast shrimp fisheries in order to accurately assess the positive and negative impacts of federal rules and regulations. Such assessments are mandated under EO 12866, the RFA, MFCMA (and the National Standards attached thereto), and the Endangered Species Act, among others. Additionally, legal decisions against the federal government have been handed down based on

the absence of social and economic data (i.e. summer flounder litigation: North Carolina Fisheries Association, et al. versus Daley - Civil Nos. 2: 97cv339; 2: 98cv606).

If current and accurate economic data are not available, then the social and economic assessments of management alternatives will be impossible or inaccurate, thereby potentially leading the Council and NMFS to make poor management decisions. Thus, continuous economic data collection is needed to satisfy these various mandates and help ensure that good management decisions are made.

The purpose of collecting this data *annually* is to identify and track changes and trends through time. This fishery has recently been experiencing substantial upheaval (dumping of product on the U.S. market by foreign competition and large fuel price fluctuations). Further reasons to collect this data annually include the paucity of existing economic data in the shrimp fishery (especially about costs); the fact that there can be wide fluctuations in all costs, not just variable, from year to year; and that future, proposed management strategies are substantially different from the current management structure. In the absence of annual data, the Council and NMFS cannot satisfy the various mandates described above and in the response to Question 1; cannot fully assess the social and economic impacts of potential management changes; and generally cannot ensure that good management decisions are made.

7. Explain any special circumstances that require the collection to be conducted in a manner inconsistent with OMB guidelines.

The collection is consistent with OMB guidelines.

8. Provide information on the PRA Federal Register Notice that solicited public comments on the information collection prior to this submission. Summarize the public comments received in response to that notice and describe the actions taken by the agency in response to those comments. Describe the efforts to consult with persons outside the agency to obtain their views on the availability of data, frequency of collection, the clarity of instructions and recordkeeping, disclosure, or reporting format (if any), and on the data elements to be recorded, disclosed, or reported.

A Federal Register Notice was on February 10, 2012 (77 FR 7134) for the extension of this data collection. Public comments were solicited on the proposed data collection reporting program. No comments were received.

We use call-backs (conducted to get clarity on or verify questionable answers) to understand the difficulties respondents encountered. We have also asked respondents to “Please use the reviser side or a separate piece of paper for any comments. We appreciate any comments concerning this survey effort and any ideas on how to improve or simplify it”.

9. Explain any decisions to provide payments or gifts to respondents, other than remuneration of contractors or grantees.

No monetary payments or other remuneration will be made to respondents.

10. Describe any assurance of confidentiality provided to respondents and the basis for assurance in statute, regulation, or agency policy.

The cover letter sent with the survey will explicitly state that all data that are submitted are treated as confidential, in accordance with [NOAA Administrative Order 216-100](#) and the Magnuson-Stevens Act, Section 402(b), Confidentiality of Information.

11. Provide additional justification for any questions of a sensitive nature, such as sexual behavior and attitudes, religious beliefs, and other matters that are commonly considered private.

No questions will be asked of survey participants about sexual behavior and attitudes, religious beliefs, or similar sensitive activities. Questions pertaining to a respondent's business costs and expenses will be used, together with revenue data collected elsewhere, to establish their profitability. Business income (not *directly* collected) is sometimes considered private. This information is necessary for the development of economic assessment models and analyses described extensively in Questions 1 and 2. In-depth justifications for individual survey questions are also provided in Question 2. The data will be used and reported only at the aggregate or representative (average) levels. The respondents will be informed of this in the cover letter.

12. Provide an estimate in hours of the burden of the collection of information.

To allow for possible fluctuations in the survey population over the next three years (the South Atlantic penaeid and rock shrimp permits are open access), we are asking for burden hours equivalent to completing a total of 800 surveys annually. The public reporting burden for this collection of information is estimated to average 45 minutes per response including the time for reading the instructions, gathering the data from business records, and completing and mailing the survey instrument. Thus, there will be an estimated annual burden of up to 600 hours (45/60 minutes x 800).

13. Provide an estimate of the total annual cost burden to the respondents or record-keepers resulting from the collection (excluding the value of the burden hours in Question 12 above).

There will be no financial cost to the public to participate in this study. Postage paid envelopes are supplied with the survey.

14. Provide estimates of annualized cost to the Federal government.

This study will be conducted by the Social Science Research Group of the SEFSC of NMFS. This includes annual development of the sampling frame and sampling, conducting the survey,

administration and supervision of a student intern or contractor, continued database development, and preparation of reports.

The total annual cost of this data collection (including staff time) is estimated at about \$50,000 per year. The estimate of annual costs for NMFS staff involvement is \$30,000 (staff time and benefits). In recent years, \$18,000 was spent to hire a student intern or contractor to help with the implementation of the survey, including mail handling, telephone follow-up, and data entry and verification. Additional cash expenses are approximately \$2,000 for supplies and postage.

15. Explain the reasons for any program changes or adjustments.

No changes or adjustments are requested.

16. For collections whose results will be published, outline the plans for tabulation and publication.

Summary statistics of these data are published in standardized tables in annual NMFS economic reports; one for the Gulf and one for the South Atlantic shrimp fisheries. These reports provide documentation about the survey methodologies, survey instrument, statistical and random sampling design, an assessment of the validity of the collected data, and basic descriptive statistics (see Table 2 at the end of this supporting statement as an example). The reports are available on the web at: <http://www.sefsc.noaa.gov/socialscience/shrimp.htm>. The *analytical results* of studies based on this data will be disseminated in internal, management related, and peer-reviewed publications. Some of these will be available over the internet.

17. If seeking approval to not display the expiration date for OMB approval of the information collection, explain the reasons why display would be inappropriate.

Not Applicable.

18. Explain each exception to the certification statement.

Not Applicable.

**SUPPORTING STATEMENT
ANNUAL ECONOMIC SURVEY OF FEDERAL GULF AND SOUTH ATLANTIC SHRIMP PERMIT HOLDERS
OMB CONTROL NO. 0648-0591**

B. COLLECTIONS OF INFORMATION EMPLOYING STATISTICAL METHODS

1. Describe (including a numerical estimate) the potential respondent universe and any sampling or other respondent selection method to be used. Data on the number of entities (e.g. establishments, State and local governmental units, households, or persons) in the universe and the corresponding sample are to be provided in tabular form. The tabulation must also include expected response rates for the collection as a whole. If the collection has been conducted before, provide the actual response rate achieved.

The population of interest is all vessels fishing for penaeid and rock shrimp in the federal waters of the Gulf of Mexico and South Atlantic, i.e. off the States of North Carolina, South Carolina, Georgia, Florida, Alabama, Mississippi, Louisiana, and Texas, during one calendar year. An excellent sampling frame is available for this and future survey efforts, because vessels shrimping in the federal waters of the Gulf and South Atlantic are required to have a federal permit. Their contact information should be up-to-date due to the annual permit renewal process. The sampling frame consist of all fishermen holding at least one of four federal shrimp permits at any time during the previous calendar year (including individuals whose permits might have expired but are still legally renewable, i.e. “latent permit holder”). Note that the survey effort conducted each year, e.g., 2013, will be collecting the previous year’s annual economic data, e.g. 2012.

Roughly, we aim to randomly sample without replacement about a third of the whole population each year, covering the population once every three years. As of February 2012, the total population was 1,972 unique vessels with one or more federal shrimp permits. For the 2011 survey, we sampled 760 vessels, hoping to arrive at approximately 684 completed surveys based on an expected overall response rate of 90% (our “goal” response rate).¹ Due to the management and political importance attributed to delineation by state, we stratify the total population by state. Within each stratum we randomly sample vessels in proportion to each stratum’s weight in the total population. By sticking to a simple, straightforward design, we hope to avoid many potential problems.

Currently, the best estimate of the size of the sampling frames for 2013 through 2015 would be 1,972 vessels. Table 1 below breaks down this preliminary sampling frame into the strata, lists the permits held, offers some descriptive data for the vessels in each, and generates the tentative number of respondents sampled and surveys completed in each. Of the total sampling frame, 1,314 vessels (67% of the 1,972) hold only a Gulf shrimp permit and thus represent the dominant group (note: this information cannot be deduced

¹ Even though the data collection will be mandatory, a 100% is almost always impossible. Some permit holders will be unreachable, and others, who do not plan to renew their permit or sold their vessel, are unlikely to voluntarily submit a survey.

from the table). There is significant variation within the industry across several variables, but none seems to further divide the population into discrete groups (offering no advantage of further stratification). These numbers are unlikely to change dramatically in the coming years. The actual number of permit holders in the fishery might change a little due to new entrants (the South Atlantic penaeid permit and rock shrimp permit (Carolinas zone) are open access permits), owners and vessels leaving the fishery (permits non-renewed or terminated), or changes in vessel ownership or state of registration. The final sampling frame will use all the information available just prior to the survey implementation.

The raw response rates for the Annual Economic Survey of Federal *Gulf* Shrimp Permit Holders has ranged from 78% to 92% between 2007 and 2010. After adjusting for vessels that were deemed ineligible because their permits were sold or terminated, the adjusted response rate has ranged from 86% to 95%. For South Atlantic permitted-vessels the raw and adjusted response rates in 2010 were 80% and 90%, respectively.

2. Describe the procedures for the collection, including: the statistical methodology for stratification and sample selection; the estimation procedure; the degree of accuracy needed for the purpose described in the justification; any unusual problems requiring specialized sampling procedures; and any use of periodic (less frequent than annual) data collection cycles to reduce burden.

For sampling, we will stratify the population by state as this is a policy relevant variable. We will then randomly sample in each strata proportional to each strata's weight in the population. Each year, we will sample approximately a third of the population (see also Table 1). The very tractable proportional random sampling approach should require only simple adjustments to the inclusion probabilities used for the estimation of population means and other aggregate statistics if non-response is significant and skewed across the strata.

The owner of each vessel selected will be contacted by mail in late February/early March of each year, first by a selection letter, followed by the survey package. The package will contain a cover letter, information material, instructions, the two-page survey instrument and a return envelope. They will be asked to return the completed survey instrument to us in the enclosed, pre-paid envelope. If no response is received by April 30, up to two further letters will be sent (including additional survey instruments). We will also attempt to contact the non-responders by phone and urge them to return the survey. Information will not be collected during the phone call, and a further survey instrument will be sent – by mail, fax, or email – if requested.

After data entry, verification and cleaning, descriptive statistical analysis will be conducted on the relevant variables collected (costs and profits). Results will be reported by state and by other relevant post-stratifications (such as size of operation). The accuracy for the population level totals and means of the important variables should exceed the standard +/- 10% confidence interval at a 95% significance level for the larger groups. Given the overall uncertainty inherent to policy assessments of economic conditions in fisheries and given the quality and accuracy of other data used, the standard accuracy should suffice. The accuracy of the results for subpopulations (>100 observations), such as rock shrimp permit holders, is unknown at this time.

The use of periodic instead of annual collection will be considered in the future. The burden on the public will depend on how frequently significant changes occur in this industry. Currently, the fishery is still undergoing substantial changes, making the annual collection of data necessary.

3. Describe the methods used to maximize response rates and to deal with non-response. The accuracy and reliability of the information collected must be shown to be adequate for the intended uses. For collections based on sampling, a special justification must be provided if they will not yield "reliable" data that can be generalized to the universe studied.

The central approach to maximizing the response rate is to make answering a very concise and simple survey a requirement for future permit renewal. The first cover letter will politely emphasize this point. The second and third reminder letters will be more explicit. The telephone call will also explain the consequences of not complying. The call has the further advantage of being a different mode of contact and should discover non-response due to an incorrect address. Given the potential loss of permit, we expect compliance from all fishermen wanting to continue to fish for shrimp in federal waters. The behavior by those who have left the fishery by the time of the survey, or are planning to leave it before their current permit expires, will not be influenced by the implicit threat. Since the data will be used primarily for assessments and predictions about future developments, under-reporting by individuals leaving the fishery is less problematic.

A good sampling frame, with annually updated contact information (through the ongoing permit renewal), will help to reduce the non-contact component of non-response. If necessary due to low response, at the conclusion of the survey, we will contact port agents (local federal employees who collect data and report from a limited area) and ask them for any information on non-responding vessels/individuals. Should non-response be a significant factor, we might even ask port agents to inquire themselves, and/or we will debrief a few (<10) individuals about reasons for not responding in order to establish potential non-response biases.

Beyond the above, we will take every action available to us to facilitate completing and returning the survey by the fishermen. General survey design techniques (Dillman method) and experience from the previous surveys will guide us. Noteworthy actions include:

- Timing of the survey during the slow shrimp fishing season (winter and spring) and coinciding with tax time, when business records are being consulted and financial concerns are “top of mind.”
- Disseminating together with the survey effort-specific outreach material (see Figure 1 in Supplementary Document for an example).
- Using plain language and translating the survey into “language” spoken by southeast shrimp fishermen.

The statistical design and size of this sample survey will allow for valid generalizations of the results to the population and larger

subpopulation levels. The anticipated accuracy of the results is discussed in more detail in the previous question (Part B, Question 2).

4. Describe any tests of procedures or methods to be undertaken. Tests are encouraged as effective means to refine collections, but if ten or more test respondents are involved OMB must give prior approval.

We are not testing any procedures or methods.

5. Provide the name and telephone number of individuals consulted on the statistical aspects of the design, and the name of the agency unit, contractor(s), grantee(s), or other person(s) who will actually collect and/or analyze the information for the agency.

Individual consulted on the statistical aspects of the design:

Juan Agar, Ph.D.
National Marine Fisheries Service
Southeast Fisheries Science Center
Social Science Research Group
(305) 361-4218

Persons who will actually collect and analyze the information:

Christopher Liese, Ph.D.
National Marine Fisheries Service
Southeast Fisheries Science Center
Social Science Research Group
(305) 365-4109

Table 1: Sampling Frame, Sampling Strata, Population Characteristics, Response Rate and Sample Size

	Population	Permits (% of Population by Permit Type)				Vessel Characteristics					Sample	Response Rate	E(Completed)
		SPA ¹	RSCZ ²	RSLA ³	SPGM ⁴	Length	HP	Year	Steel Hull	Freezer			
NC	150	95%	33%	14%	24%	62	453	1983	35%	15%	52	0.9	47
SC	53	98%	15%	0%	6%	54	382	1978	11%	13%	19	0.9	18
GA	106	98%	8%	5%	10%	57	415	1977	14%	15%	37	0.9	34
FL	350	60%	13%	9%	67%	52	402	1982	20%	38%	120	0.9	109
AL	110	38%	5%	32%	98%	65	540	1990	71%	55%	38	0.9	35
MS	122	10%	2%	4%	99%	71	593	1988	83%	48%	42	0.9	38
LA	430	3%	1%	0%	100%	63	497	1989	77%	28%	147	0.9	133
TX	600	4%	1%	1%	100%	74	637	1986	89%	82%	205	0.9	185
Other	51	49%	47%	14%	71%	73	622	1989	78%	39%	18	0.9	17
Total	1972	32%	8%	5%	80%	65	523	1985	62%	47%	678		616

Permit Type Count: 625 154 108 1578

Sample by Permit: 198 49 34 490

¹ SPA: South Atlantic penaeid shrimp permit (open access).
² RSCZ: South Atlantic rock shrimp permit – Carolina Zone (open access).
³ RSLA: South Atlantic rock shrimp permit – Limited Access (limited access).
⁴ SPGM: Gulf of Mexico shrimp permit (limited access).

Your information is treated as confidential.

Your information will not be released.

We are interested only in industry-wide economic indicators.

Your information will be combined with the information from other fishermen.

With statistical methods we will estimate industry averages and industry totals.

The results of this research will be made available to you.

Why we need to KNOW

Fishery Managers need up-to-date information about the economic health of the Gulf shrimp fishery in order to make sound decisions, such as producing Fishery Management Plan Amendments that take account of the economic situation and contribution of this important industry.

Most importantly, we, the scientists collecting and analyzing this data, need to know the total profit (or loss) generated by the industry. This information enables us to calculate the value of the shrimp fishery to fishermen and to the nation. Other things we report to the Council, decision makers, fishermen and the public include:

- Income shares of owners and crew in the industry
- Overall capital invested and total debt in the industry
- Financial risk the industry is exposed to
- The impact of fluctuating fuel and ice prices on the industry

Figure 1: Example of Information Material

Table 2: Example of the Presentation of Results

Table 4: F&E Results: Averages for the Active Gulf Shrimp Fleet by State (2009)

(in USD unless otherwise noted)	Active Gulf	Active Gulf Shrimp Fleet			
	Shrimp	FL	AL+MS	LA	TX
# of Observations	348	51	24 + 30	97	142
<u>Vessel Characteristics</u>					
Length (feet)	69	60	73	65	74
Gross tons	110	87	117	93	127
Horse power	551	422	623	506	597
Year built	1987	1981	1989	1988	1988
Hull material - Steel (%)	79%	24%	83%	86%	94%
Refrigeration - Freezer (%)	60%	57%	56%	29%	84%
State of Owner - Florida (%)	15%	100%	0%	0%	0%
State of Owner - Alabama or Mississippi (%)	16%	0%	100%	0%	0%
State of Owner - Louisiana (%)	28%	0%	0%	100%	0%
State of Owner - Texas (%)	41%	0%	0%	0%	100%
State of Owner - Other (%)	1%	0%	0%	0%	0%
<u>Balance Sheet (end of 2009)</u>					
Assets - Market value of vessel	194,510	122,617	261,817	196,536	189,676
<i>Original value of vessel (purchase price)</i>	277,796	142,876	347,759	260,622	312,091
<i>Implicit permit value</i>	21,613	8,489	21,889	13,320	33,491
Liabilities - Loan on vessel	65,808	11,655	81,669	62,289	81,910
<i>% of vessels with loan</i>	46%	20%	52%	48%	51%
Equity - Owner's equity in vessel	128,703	110,962	180,147	134,247	107,766
<i>Insurance coverage (% of vessels / % of assets)</i>	41% / 54%	18% / 29%	57% / 70%	40% / 39%	43% / 60%
<u>Vessel Operation (2009)</u>					
Owner-operator (%)	50%	37%	50%	76%	37%
Actively shrimping (%)	100%	100%	100%	100%	100%
Shrimp landed (pounds)	100,412	65,735	117,475	86,222	115,894
Shrimp price per pound (vessel basis / pound basis)	2.32 / 2.23	3.15 / 2.53	2.14 / 2.20	1.80 / 1.84	2.43 / 2.37
Annual fuel use (gallons)	48,102	33,768	52,070	31,743	62,611
Fuel price per gallon (vessel basis / gallon basis)	2.12 / 2.05	2.22 / 2.08	2.17 / 2.08	2.15 / 2.10	2.05 / 2.02
Fuel efficiency I (vessel basis / gallon basis)	3.2 / 2.1	2.5 / 1.9	2.9 / 2.3	4.6 / 2.7	2.7 / 1.9
Fuel efficiency II (vessel basis / gallon basis)	6.13 / 4.65	7.81 / 4.93	5.41 / 4.97	7.17 / 5.00	5.11 / 4.39
<u>Cash Flow (2009)</u>					
Inflow - Total	230,690	169,971	268,147	169,036	279,264
Shrimp landings	223,827	166,325	258,899	158,611	274,640
Non-shrimp landings	1,606	349	3,791	1,453	1,181
Government payments received (shrimp related)	5,257	3,297	5,457	8,972	3,443
Outflow - Total	224,735	178,623	251,712	162,577	270,061
Fuel	98,574	70,356	108,071	66,602	126,426
Other supplies	21,270	19,673	20,783	18,240	23,747
Crew & captain (hired)	50,393	47,394	58,216	34,302	59,128
Regular maintenance (vessel and gear)	15,715	16,586	17,040	10,479	17,787
Major repair and haul-out	8,682	12,432	7,535	6,204	8,769
Overhead (excluding loan payments)	14,641	7,410	19,983	11,219	17,172
Interest payments made (on vessel loans)	4,231	831	4,852	3,998	5,389
Principal payments made (on vessel loans)	8,763	2,574	11,520	8,875	10,037
New investments and upgrades (in vessel)	2,466	1,368	3,712	2,658	1,605
Net Cash Flow	5,955	(8,652)	16,434	6,459	9,203

	Active Gulf	Active Gulf Shrimp Fleet			
	Shrimp	FL	AL+MS	LA	TX
# of Observations	348	51	24 + 30	97	142
Income Statement (2009)					
Operating Activities					
Revenue (from commercial fishing)	225,433	166,674	262,690	160,064	275,821
Expenses	228,804	185,332	249,297	171,818	272,689
<i>Variable costs - Non-Labor</i>	<u>52.4%</u>	<u>48.6%</u>	<u>51.7%</u>	<u>49.4%</u>	<u>55.1%</u>
Fuel	43.1%	38.0%	43.4%	38.8%	46.4%
Other supplies	9.3%	10.6%	8.3%	10.6%	8.7%
<i>Variable costs - Labor</i>	<u>25.4%</u>	<u>28.5%</u>	<u>26.8%</u>	<u>26.5%</u>	<u>23.9%</u>
Crew & captain (hired)	22.0%	25.6%	23.4%	20.0%	21.7%
Owner's vessel time	3.4%	2.9%	3.4%	6.5%	2.2%
<i>Fixed costs</i>	<u>22.2%</u>	<u>22.9%</u>	<u>21.6%</u>	<u>24.1%</u>	<u>21.0%</u>
Regular maintenance (vessel and gear)	6.9%	8.9%	6.8%	6.1%	6.5%
Major repair and haul-out	3.8%	6.7%	3.0%	3.6%	3.2%
Depreciation	5.2%	3.3%	3.7%	7.9%	5.0%
Overhead (excluding loan payments)	6.4%	4.0%	8.0%	6.5%	6.3%
Net Revenue from Operations	(3,371)	(18,658)	13,393	(11,754)	3,132
Non-Operating Activities					
Interest payments made (on vessel loans)	4,231	831	4,852	3,998	5,389
Government payments received (shrimp related)	5,257	3,297	5,457	8,972	3,443
Net Revenue (before tax) - "Profit/Loss"	(2,345)	(16,191)	13,998	(6,779)	1,187
<i>Owner's vessel time</i>	7,730	5,411	8,488	11,221	6,014
<i>Depreciation</i>	11,799	6,070	9,180	13,551	13,646

2011 Annual Economic Survey of Federal Gulf and South Atlantic Shrimp Permit Holders

Permit owner name: «PrimaryMailingRecipient» Survey #: «SurveyNum»
 Vessel name: «VesselName» Vessel ID: «VESID»

Even if this vessel was **inactive** in 2011 please complete this survey (especially Q7 - Q10, and Page 2).

Enter “0” if you did not have any expenses in a category. **Do not leave blank!**

Total 2011 Expenses:

- On this page we would like you to enter the total **financial expenses** (actual dollar payments) you incurred during 2011 for the operation and keeping of the vessel listed above.
- For each question enter the **sum of all 2011 expenses**.
- Please **consult the detailed instructions** if you are unsure about any question.

1. Is the owner also the captain of this vessel? Yes No

2. If owner is captain, is the owner paid a captain’s share? Yes No N/A

If Yes, total amount of captain’s share: \$ __, __ __ __, __ __ __ .00

3. Total amount paid to **HIRED** crew and captain(s) of this vessel: \$ __, __ __ __, __ __ __ .00
 (Not to Owner! For example: from IRS Form(s) 1099-MISC or equivalent)

4. Total amount paid for fuel used by this vessel in 2011: \$ __, __ __ __, __ __ __ .00

5. a) Estimated average price of fuel in 2011: \$ __ . __ __ per gallon

b) Total amount of fuel purchased: __ __ __, __ __ __, __ __ __ gallons

6. Total amount paid for all **trip related** supplies or expenses (other than fuel): \$ __, __ __ __, __ __ __ .00
 (For example: ice, groceries, oil and lubricants, freezing, packaging, and cleaning supplies)

7. a) Total amount paid for any vessel maintenance, repair, replacement, new purchase or upgrade (including engine, gear, electronics, etc.): \$ __, __ __ __, __ __ __ .00

b) The answer to Question 7 a) includes (check all that apply):

- Maintenance or regular repairs Major repairs or haul-out New purchase or upgrade

8. Total amount paid for vessel insurance in 2011 (insurance premium): \$ __, __ __ __, __ __ __ .00

9. Total payments made for loans on the vessel in 2011: \$ __, __ __ __, __ __ __ .00

10. Overhead applicable to this vessel; such as dockage, licenses, (share of) rent, utilities, professional services, truck expenses, etc.: \$ __, __ __ __, __ __ __ .00
Please Exclude: loan payments, insurance payments, depreciation, and income taxes.

11. **Total 2011 Expenses** (the above entries should sum to this value): \$ __ __, __ __ __, __ __ __ .00

Other Important Economic Information (Survey #: «SurveyNum»):

12. Vessel insurance in 2011 (check all that apply): None Hull P&I

If Hull insured, enter coverage level if vessel is lost: \$ __, __, __.00
(do not enter monthly or annual insurance premium here, instead → Question 8)

13. Appraised value of this vessel (if insured) or best estimate of this value (if not insured):

a) Market value of vessel including permits (anytime in 2011): \$ __, __, __.00

b) Market value of vessel without permits (anytime in 2011): \$ __, __, __.00

c) Original purchase price of vessel: \$ __, __, __.00
(estimate original value if gift or self-built)

14. Did you have any loan(s) on your vessel at any time during 2011: Yes No

If Yes: a) Total amount you still owe at *end of* 2011: \$ __, __, __.00

b) Please split total loan *payments* in 2011 (Question 9) into:

i) Interest paid in 2011: \$ __, __, __.00

ii) Principal repaid in 2011: \$ __, __, __.00

15. Depreciation of vessel as claimed for tax purposes (2011): \$ __, __, __.00

16. During 2011 this vessel received revenue from (check all that apply):

- Shrimp Fishery Other Commercial Fisheries BP Oil Spill-related (any)
- Other Non-Fishing Income Activities Government None / Not Active

17. Total **BP Oil Spill-related** gross revenue received by this vessel in 2011: \$ __, __, __.00

18. Total gross revenue received by this vessel in 2011 from

a. **commercial fishing other than shrimp** AND

b. **non-fishing income** activities **other than** BP Oil Spill-related: \$ __, __, __.00

19. Government payments received for this vessel in 2011; for example due to imports and low shrimp prices (tariff money; trade assistance adjustment payments) or hurricanes/disaster relief: \$ __, __, __.00

(if none enter "0")

I certify that the information contained on this form is accurate and complete to the best of my knowledge:

Signature of person completing report Date

Printed name of person signing report Phone (_____) number

Thank You! Please return this completed form in the enclosed prepaid envelope!

[Mail to: NMFS; Miami Lab; P.O. Box 491500; Key Biscayne, FL 33149]

Other Questions (voluntary)

1. Would you like to receive the results (2011 fact sheet) when they become available? Yes No
2. Please use the reverse side or a separate piece of paper for any comments. We appreciate all comments.

Detailed Instructions

Please check that your information at the top of Page 1 is correct. If not, please clearly print the correct information in the white space.

Page 1 – Total 2011 Expenses

On **Page 1** we would like you to enter the total financial expenses you incurred during 2011 for the operation and keeping **of your vessel** with the registration number listed at the top of the page. This should correspond to actual dollar payments made. For each question enter the sum of all 2011 expenses in that category. If you had **NO expenses in a category, please enter “0”** and do not leave any spaces blank.

- Please be comprehensive: **Account for all the expenses** incurred by this boat in 2011 on **Page 1**.
- Please **avoid double counting**: Any expense should appear only a single time on **Page 1**.
- If an expense benefits this vessel as well as other vessel(s) and/or business operations (such as processing), **only list the share of the expense** that can be assigned to this vessel.
- Feel free to round numbers to the nearest \$100, such as entering \$ 3,600.00 rather than \$ 3,643.00.

Question 1: Check the YES box, if you (the owner) also act as captain for this vessel (always or most of the time). Check the NO box if you hired captain(s) to operate this vessel.

Question 2: If you checked NO on Question 1, check the N/A (not applicable) box. Check the YES box, if you separately account for your income *as captain* (as opposed to *as owner*, i.e. business profit). If you checked Yes, enter the total amount you paid yourself on the following line. If you do not pay yourself a captain's share, simply check the No box and continue with Question 3.

Question 3: Enter the sum of all hired crew and captains' shares paid during 2011. This should reflect the amount the crew and captain(s) actually received, including any bonuses, but excluding any contributions she/he made to cover operating costs. **DO NOT** include amounts paid to the owner!

Question 4: Enter the total amount spent on fuel in 2011. The total amount should reflect the actual amount paid for the fuel used by this vessel, including those portions “paid” out of the crew's or captain's shares.

Question 5: **a)** Please estimate, as best you can, the average *price* per gallon you paid for fuel in 2011 (in dollars and cents per gallon).

b) Enter the total number of *gallons* of fuel you purchased in 2011 in order to operate this vessel and all its equipment (such as generators and freezers). If this number is not available, then divide the amount entered in Question 4 by the estimated price per gallon entered in a) and enter this amount in the space provided.

Question 6: Enter the sum of all remaining expenses incurred on a ‘per fishing trip’ basis in 2011. This should exclude all amounts already listed in the above questions, i.e. amounts paid to crew, captain or fuel. Please sum all your expenses for: ice, groceries, oil and lubricants, freezing and

packaging supplies, gloves, processing, storage, cleaning supplies or services, and any other trip related expense.

Question 7: a) Enter the total 2011 expenses, not already listed above, related to the vessel (hull and all) and associated equipment, such as fishing gear (nets, trawl doors, etc.), engine(s), freezers and electronics. Include all expenses for maintenance, repair, replacement, upgrades and new purchases. Also include haul-outs, rebuilds, retrofits, etc.

b) This question asks about the type of expenses that are included in Question 7. a). Please check all the boxes that apply. Check the first box if some or all the expenses listed in 7.a) were for normal maintenance or regular repairs and repeated replacements (such as worn out nets). Check “Major repairs or haul-out” if you incurred expenses in 2011 that occur less than annually, include haul-outs, repairs during haul-outs, and other major repairs or replacement; or unusual expenses resulting from unexpected events such as hurricanes, accidents or theft. Check “New purchase or upgrade” if you spent money on the vessel that extends its functionality, such as increases in engine power, new electronic systems, increases or improvements to fishing gear, etc.

Question 8: Enter the total amount paid for vessel insurance in 2011 (insurance premium). Enter the total amount, not just the monthly insurance premium.

Question 9: If you had a loan in 2011, enter the total amount of your total loan payments for this vessel in 2011 (interest and principal for the full year).

Question 10: Enter the total amount of overhead applicable to this vessel. Typical overhead expenses include: dockage/mooring, rent, utilities, commercial fishing licenses and permits, property taxes and other fees, (share of) car or truck expenses, (share of) office expenses, (share of) accountant, lawyer, other professional services fees, and any other annual expenditure paid by the vessel (not already included in Questions 1 through 9). **Very Important on Question 10:**

- **Exclude:** **Loan Payments** (interest and principal)
Insurance premiums for the vessel
Depreciation
Income Tax
- If an overhead expense benefits this vessel AND other vessel(s) and/or business operations (such as processing), then only list the **share of the expense** that can be assigned to this vessel.

End of Page 1: Please make sure you have accounted for all expenses associated with the operation and keeping of this vessel in 2011. **If there are expenses not yet accounted for, please add them to the category they fit best:**

- If they are trip-related, add them to Question 6.
- If they relate to the vessel, gear and equipment, add them to Question 7.
- If they fit in neither of the above categories, add them to Question 10 (overhead or business related costs).

Question 11: Enter the total financial expenses you incurred during 2011 for the operation and keeping of this vessel. This number should equal the sum of all dollar (\$) expenses entered on Page 1.

Page 2 – Other Important Economic Information

Question 12: Check the boxes for the type of insurance you had for vessel in 2011. Check all that apply or “None” if your vessel was not insured. **If the hull was insured**, then enter the total amount the hull was insured for, i.e. the maximum dollar amount the insurance would have paid in case of a total loss of the vessel. Do not enter your monthly or yearly insurance premiums or payments (these payments should have been included in Question 8)!

Question 13: a) and b) Enter the market value of your vessel in 2011. Please enter the most accurate number you have. If the vessel is insured, please consult your insurance records for these values. Otherwise, please give us your best estimate or guess. For market value including permit **(a)**, please enter the approximate amount you would expect to receive if you had sold your vessel and federal Gulf/S. Atlantic shrimp permit(s) together during 2011. For market value without permit **(b)**, please enter the amount you would expect to receive if you had sold your vessel in 2011 without the federal Gulf/S. Atlantic shrimp permit(s).

c) Enter your purchase price of the vessel. If the vessel was a gift or self-built please estimate the approximate value at the time.

Question 14: Check YES if you had any outstanding loans on your vessel **at any time during 2011**. If YES, enter:

- a) The amount of principal you still owe **at the end of 2011**; and
- b) Please split your total loan payments entered under **Question 9** into:
 - i) the total sum of interest paid in 2011; and
 - ii) the total amount of principal repaid in 2011.

Please estimate if you do not have the exact numbers.

Question 15: Enter the amount of depreciation you claimed for your vessel on your 2011 tax return. If you have not yet filed 2011 taxes, please provide an estimate or guess or use the previous year’s.

Question 16: Please indicate the sources of revenue received by your vessel in 2011. Please **check all the boxes that apply**. Check “**Shrimp Fishery**” if this vessel caught shrimp anywhere for commercial sale. Check “**Other Commercial Fisheries**” if your vessel participated in any commercial fisheries other than shrimp. Check “**BP Oil Spill-related (any)**” if this vessel received revenue or payments related to the BP Oil Spill. Examples include payments received by this vessel for participation in oil clean-up or monitoring (such as from BP’s Vessels of Opportunity program), or compensation for damages (from BP or the Gulf Coast Claims Facility). Check “**Other Non-Fishing Income Activities**” if this vessel was used to generate income NOT related to commercial fishing or the BP Oil Spill. For instance, charter work, oil industry work not related to the spill, etc. Check “**Government**” if this vessel received payments from the federal, state or local government in 2011 (see Question 19 for examples). Check “**None / Not Active**” if your vessel did not generate any revenue or income during 2011.

Question 17: Enter the total sum of all BP Oil Spill-related revenue and payments received by this vessel in 2011. Include revenues from BP Oil Spill-related activities such as clean-up or monitoring (such as from BP’s Vessels of Opportunity program), and compensation for damages (such as directly from BP or from the Gulf Coast Claims Facility) related to this vessel in 2011.

Question 18: Enter the total sum of all revenue received by this vessel in 2011 from activities OTHER than shrimping and OTHER than BP Oil Spill related. Please include commercial, non-shrimp fishing revenue generated in the Gulf of Mexico as well as the Atlantic Ocean and elsewhere, inclusive of ALL state, federal or international waters. **Please do not include any revenue generated by the sale of shrimp regardless of where it is caught.** Please also include any income from non-fishing activities by this vessel such as lease payments (if the vessel is rented out), payments for work in the oil industry (other than for BP Oil Spill work), etc.

Question 19: Enter the sum of all payments received by this vessel in 2011 from federal, state, and local governments. This may include payments resulting from low shrimp prices and the dumping of imports (for example, tariff monies received from U.S. Customs, trade assistance adjustment payments received from the U.S. Department of Agriculture, “kickbacks,” incentives, etc.) and disaster relief (monies received for hurricane recovery). Do not include any payments related to the BP Oil Spill (include these under Question 17).

If you have any questions, please call Jordan Bender, Kait Birghenthal, or Christopher Liese at (305) 361-4263.

PAPERWORK REDUCTION ACT STATEMENT:

Public reporting burden for this collection of information is estimated to average 45 minutes per response, including the time for reviewing the instructions, searching the 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 Christopher Liese, National Marine Fisheries Service, Southeast Fisheries Science Center, 75 Virginia Beach Drive, Miami, Florida 33149. Information submitted will be treated as confidential in accordance with NOAA Administrative Order 216-100. Notwithstanding any other provision of the law, no person is required to respond to, nor shall any person be subject to a penalty for failure to comply with, a collection of information subject to the requirements of the Paperwork Reduction Act, unless that collection displays a currently valid OMB Control Number. This reporting is required for permit renewal. NMFS requires this information for the conservation and management of marine fishery resources. These data will be used to evaluate the economic effects of proposed regulations in the fishery.

DEPARTMENT OF COMMERCE**National Oceanic and Atmospheric Administration****Proposed Information Collection; Comment Request; Annual Economic Survey of Federal Gulf and South Atlantic Shrimp Permit Holders**

AGENCY: National Oceanic and Atmospheric Administration (NOAA), Commerce.

ACTION: Notice.

SUMMARY: The Department of Commerce, as part of its continuing effort to reduce paperwork and respondent burden, invites the general public and other Federal agencies to take this opportunity to comment on proposed and/or continuing information collections, as required by the Paperwork Reduction Act of 1995.

DATES: Written comments must be submitted on or before April 10, 2012.

ADDRESSES: Direct all written comments to Jennifer Jessup, Departmental Paperwork Clearance Officer, Department of Commerce, Room 6616, 14th and Constitution Avenue NW., Washington, DC 20230 (or via the Internet at Jjessup@doc.gov).

FOR FURTHER INFORMATION CONTACT: Requests for additional information or copies of the information collection instrument and instructions should be directed to Christopher Liese, (305) 365-4109 or Christopher.Liese@noaa.gov.

SUPPLEMENTARY INFORMATION:**I. Abstract**

This request is for an extension of a currently approved information collection.

That National Oceanic and Atmospheric Administration (NOAA) annually collects socioeconomic data from commercial fishermen in the Gulf of Mexico and South Atlantic shrimp fisheries who hold one or more permits for shrimp fishing in federal waters (United States (U.S.) Exclusive Economic Zone (EEZ)). Information about revenues, variable and fixed costs, capital investment and other socioeconomic information is collected from a random sample of permit holders. This data complements other data already collected and is needed to conduct socioeconomic analyses in support of management of the shrimp fishery and to satisfy legal requirements. The data will be used to assess how fishermen will be impacted by and respond to federal regulation likely to be considered by fishery managers.

II. Method of Collection

The information will be collected on paper using a mail survey.

III. Data

OMB Control Number: 0648-0591.

Form Number: None.

Type of Review: Regular submission (extension of a currently approved collection).

Affected Public: Business or other for-profit organizations; and individuals or households.

Estimated Number of Respondents: 800.

Estimated Time per Response: 45 minutes.

Estimated Total Annual Burden Hours: 600.

Estimated Total Annual Cost to Public: \$0 in recordkeeping/reporting costs.

IV. Request for Comments

Comments are invited on: (a) Whether the proposed collection of information is necessary for the proper performance of the functions of the agency, including whether the information shall have practical utility; (b) the accuracy of the agency's estimate of the burden (including hours and cost) of the proposed collection of information; (c) ways to enhance the quality, utility, and clarity of the information to be collected; and (d) ways to minimize the burden of the collection of information on respondents, including through the use of automated collection techniques or other forms of information technology.

Comments submitted in response to this notice will be summarized and/or included in the request for OMB approval of this information collection; they also will become a matter of public record.

Dated: February 7, 2012.

Gwellnar Banks,

Management Analyst, Office of the Chief Information Officer.

[FR Doc. 2012-3144 Filed 2-9-12; 8:45 am]

BILLING CODE 3510-22-P

DEPARTMENT OF COMMERCE**National Oceanic and Atmospheric Administration**

RIN 0648-XA907

Endangered and Threatened Species; Recovery Plans

AGENCY: National Marine Fisheries Service (NMFS), National Oceanic and Atmospheric Administration (NOAA), Commerce.

ACTION: Extension of public comment period.

SUMMARY: On January 5, 2012, NMFS announced the release of the Draft Southern Oregon/Northern California Coast Recovery Plan (Draft Plan) for public review and comment. The Draft Plan addresses the Southern Oregon/Northern California Coast Coho Salmon (*Oncorhynchus kisutch*) Evolutionarily Significant Unit (ESU). NMFS is soliciting review and comment from the public and all interested parties on the Draft Plan. As part of that proposal, we provided a 60-day comment period, ending on March 5, 2012. We have received requests for an extension of the public comment period. In response to these requests, we are extending the comment period for the proposed action an additional 60 days.

DATES: Information and comments on the subject action must be received by May 4, 2012.

ADDRESSES: Please send written comments to Julie Weeder, National Marine Fisheries Service, 1655 Heindon Road Arcata, CA 95521. Comments may also be submitted by email to: SONCC.Recovery@noaa.gov. Comments may be submitted via facsimile (fax) to (707) 825-4840. Please include the following on the cover page of the fax: "Attn: Recovery Coordinator/SOCC Coho Salmon Public Draft Recovery Plan Comments."

Persons wishing to review the Draft Plan can obtain an electronic copy (i.e., CD ROM) from Cynthia Anderson by calling (707) 825-5162 or by emailing a request to cynthia.anderson@noaa.gov with the subject line "CD ROM Request for SONCC Coho Salmon Draft Recovery Plan." Electronic copies of the Draft Plan are also available on-line on the NMFS Web site <http://swr.nmfs.noaa.gov/recovery>.

FOR FURTHER INFORMATION CONTACT: Julie Weeder, Recovery Coordinator, at (707) 825-5168, email julie.weeder@noaa.gov.

SUPPLEMENTARY INFORMATION:**Background**

On January 5, 2012, NMFS published a Notice of Availability of the Draft Recovery Plan for the Southern Oregon/Northern California Coast Evolutionarily Significant Unit (ESU) of Coho Salmon (Draft Plan) for public review and comment (77 FR 476). The Draft Plan addresses the Southern Oregon/Northern California Coast Coho Salmon (*Oncorhynchus kisutch*) Evolutionarily Significant Unit (ESU). NMFS is soliciting review and comment from the public and all interested parties on the Draft Plan. As part of that proposal, we