NOTICE OF OFFICE OF MANAGEMENT AND BUDGET ACTION

Date 10/17/2011

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 07/18/2011

ACTION REQUESTED: New collection (Request for a new OMB Control Number)
TYPE OF REVIEW REQUESTED: Regular
ICR REFERENCE NUMBER: 201106-0648-011
AGENCY ICR TRACKING NUMBER:
TITLE: Socio-Economic Surveys of Vessel (SESV) Owners and Crew in New England and Mid-Atlantic Fisheries
LIST OF INFORMATION COLLECTIONS: See next page

OMB ACTION: Approved without change
OMB CONTROL NUMBER: 0648-0636
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: 10/31/2014 DISCONTINUE DATE:

BURDEN:	RESPONSES	HOURS	COSTS
Previous	0	0	0
New	1,400	700	0
Difference			
Change due to New Statute	0	0	0
Change due to Agency Discretion	1,400	700	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
Crew survey	NA	Survey on the Socio-Economic Aspects of Commercial Fishing Crew in the Northeast and Mid-Atlantic	
Vessel Owner Split Surveys	NA, NA	Survey on the Socio-Economic Aspects of Commercial Fishing Vessel Owners in the Northeast and Mid-Atlantic, Survey on the Socio-Economic Aspects of Commercial Fishing Vessel Owners in the Northeast and Mid-Atlantic	

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
DOC/NOAA/NMFS

2. OMB control number b. [✔] None
a. 0648 -

3. Type of information collection (*check one*)
a. [✔] New Collection
b. [ ] Revision of a currently approved collection
c. [ ] Extension of a currently approved collection
d. [ ] Reinstatement, without change, of a previously approved collection for which approval has expired
e. [ ] Reinstatement, with change, of a previously approved collection for which approval has expired
f. [ ] Existing collection in use without an OMB control number
For b-f, note Item A2 of Supporting Statement instructions

4. Type of review requested (*check one*)
a. [✔] Regular submission
b. [ ] Emergency - Approval requested by ____/____/____
c. [ ] Delegated

5. Small entities
Will this information collection have a significant economic impact on a substantial number of small entities? [ ] Yes [✔] No

6. Requested expiration date
a. [✔] Three years from approval date b. [ ] Other Specify:____/____

7. Title Socio-Economic Surveys of Vessel (SESV) Owners and Crew in New England and Mid-Atlantic Fisheries

8. Agency form number(s) (*if applicable*)

9. Keywords Fishing, Fisheries, Fishery

10. Abstract

The National Oceanic and Atmospheric Administration's (NOAA) Northeast Science Center's Social Science Branch (SSB) in Woods Hole, MA intends to perform two surveys among participants in the commercial fishing industry in the Northeast Region (New England and the Mid-Atlantic states). The surveys will cover commercial fishing vessel owners (the owners' survey) and crew, including hired captains, (the crew survey). The surveys will collect representative data on owners and crew at the fishery level. These surveys will be implemented annually to allow for tracking trends over time. SSB will use the data collected through these surveys to track performance measures related to commercial fisheries management in the Northeast Region.

11. Affected public (*Mark primary with "P" and all others that apply with "x"*)
a. p Individuals or households d. ___ Farms
b. x Business or other for-profit e. ___ Federal Government
c. ___ Not-for-profit institutions f. ___ State, Local or Tribal Government

12. Obligation to respond (*check one*)
a. [✔] Voluntary
b. [ ] Required to obtain or retain benefits
c. [ ] Mandatory

13. Annual recordkeeping and reporting burden
a. Number of respondents 1,400
b. Total annual responses 1,400
1. Percentage of these responses collected electronically 0 %
c. Total annual hours requested 700
d. Current OMB inventory 0
e. Difference 700
f. Explanation of difference
1. Program change 700
2. Adjustment -

14. Annual reporting and recordkeeping cost burden (*in thousands of dollars*)
a. Total annualized capital/startup costs 0
b. Total annual costs (O&M) 0
c. Total annualized cost requested 0
d. Current OMB inventory 0
e. Difference 0
f. Explanation of difference
1. Program change -
2. Adjustment -

15. Purpose of information collection (*Mark primary with "P" and all others that apply with "X"*)
a. ___ Application for benefits e. p Program planning or management
b. x Program evaluation f. x Research
c. x General purpose statistics g. ___ Regulatory or compliance
d. ___ Audit

16. Frequency of recordkeeping or reporting (*check all that apply*)
a. [ ] Recordkeeping b. [ ] Third party disclosure
c. [✔] Reporting
1. [ ] On occasion 2. [ ] Weekly 3. [ ] Monthly
4. [ ] Quarterly 5. [ ] Semi-annually 6. [✔] Annually
7. [ ] Biennially 8. [ ] Other (describe) ____

17. Statistical methods
Does this information collection employ statistical methods
[✔] Yes [ ] No

18. Agency Contact (person who can best answer questions regarding the content of this submission)
Name: Andrew Kitts
Phone: (508) 495-2231

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 signed by Emily Menashes	Date 06/20/2011
Signature of NOAA Clearance Officer	
Signature signed by Sarah Brabson	Date 06/24/2011

SUPPORTING STATEMENT
SOCIO-ECONOMIC SURVEYS OF VESSEL OWNERS AND CREW IN NEW ENGLAND AND MID-ATLANTIC FISHERIES
OMB CONTROL NO. 0648-XXXX

INTRODUCTION

This request is for a new information collection.

The National Oceanic and Atmospheric Administration's (NOAA) Northeast Science Center's Social Science Branch (SSB) in Woods Hole, MA intends to perform two surveys among participants in the commercial fishing industry in the Northeast Region (New England and the Mid-Atlantic states). The surveys will cover commercial fishing vessel owners (the owners' survey) and crew, including hired captains (the crew survey). The surveys will collect representative data on owners and crew at the fishery level. These surveys will be repeated annually to allow for tracking trends over time. In the first year, SSB intends to collect data from all fisheries to establish baseline data. In future years, SSB would collect data from half the fisheries each year with the possibility of collecting annual data from some fisheries designated as "priority."

A. JUSTIFICATION

1. <u>Explain the circumstances that make the collection of information necessary.</u>

The purpose of the two surveys is to provide for the ongoing collection of social and economic data related to fisheries and their communities in the Northeast Region. These data are needed to support fishery performance measures recently developed by NOAA's Northeast Science Center's Social Science Branch (SSB) in Woods Hole, MA. The measures are: financial viability, distributional outcomes, stewardship, governance and well-being. Table 1 provides definitions for each of the performance measures and specifies the indicators that SSB intends to track for each measure. Although data to support some indicators are already routinely collected by the National Marine Fisheries Service (NMFS) from NOAA and other publicly available sources, these currently available data do not provide information for many of the indicators. Additionally, many of the indicators will require information that can be provided only by participants in the commercial fishing industry. Thus, the best and most reliable source for information not currently available is to collect it through a survey of participants in the commercial fishing industry. These surveys will fill in the gaps, and allow for collecting trend data needed for more thorough analysis of changes in the fisheries, including impacts from changes in regulations.

Table 1 - Performance Measures Definitions

Performance Measure and Definition	Indicators
Financial Viability: *The financial condition of fishing vessel owners and crew, fishing households, businesses that provide fishing related goods and services (e.g., fuel, ice, gear, insurance), and businesses in the marketing chain (processors, dealers, retailers).*	<u>Profitability and productivity</u> • Malmquist index* (Technical measure of transformation of inputs into outputs) • Capacity utilization • Revenue per unit effort • Revenue per active vessel* • Revenue per vessel day* • Lease price* • Share price* • Lease or share price to ex-vessel price* • Fishing capacity of active vessels* <u>Landings distributions over time</u> • Chart distribution of landings over time
Distributional Outcomes: *The outcomes and implications related to how the benefits and costs of a catch share program are distributed among individuals, groups, and communities. Its major focus is on access/exclusion to quota and fishing opportunities, concentration of quota, and employment opportunities.*	<u>Employment trends</u> • Total annual fishermen days* • Employment demographics* • Total number of active crew* • Average crew earnings by day* • Total crew earnings as a percent of net revenue* • Changes in crew duties/ payment arrangements • Survey participants about opportunities for new entrants (crew and owners) <u>Ownership trends</u> • Industrial concentration (Gini coefficient and Herfindahl index) • Revenue by vessel type & community/geographic location <u>Price of quota/ability to purchase quota</u> • Lease and share prices • Debt ratio (total debt/total assets) • Survey participants about ability to purchase quota <u>Community scale outcomes</u> • Revenue by communities that depend on fisheries*
Stewardship: *The degree to which participants use the resource in a careful and responsible way. Additionally, the degree to which participants' have a sense of stewardship.*	<u>Compliance</u> • Develop compliance index based on enforcement statistics <u>Bycatch/Discards/Highgrading</u> • Measure with existing monitoring data <u>Conservation ethic</u> • Survey participants about perception of compliance <u>Activities that benefit the stock</u> • Survey participants about going beyond the regulations and engaging in other activities that improve the condition of the stock

Performance Measure and Definition	Indicators
Governance: *The degree to which stakeholders participate in the process of decision-making and implementation, the transparency and legitimacy of that process, the effectiveness and complexity of regulations, and the degree of adaptability/flexibility of the management process. An additional component of governance is the cost to government to implement a management program and the cost to participants.*	<u>Participation in governance</u> • Survey participants about perception of degree of influence, levels of attendance at meetings, and participation in leadership <u>Effectiveness</u> • Number of regulatory infractions, Quota overages*/underages <u>Transparency/Legitimacy</u> • Survey participants about perceptions of transparency/legitimacy of governance systems <u>Conflict</u> • Survey participants about changes in the level of conflict <u>Adaptability/Flexibility</u> • Survey participants about regulatory adaptability/flexibility <u>Management costs</u> • Survey participants about cost to participate in fishery • Percent of total fisheries revenue spent on participation costs. • Survey participants about time spent participating in process, understanding process, attending meetings. • Number and/or frequency (time between) of amendments and frameworks per year <u>Management complexity</u> • Size of amendments/frameworks • Survey participants about perception of management complexity

Performance Measure and Definition	Indicators
Well-being: *The degree to which an individual, family, or larger social grouping (e.g. firm, community) can be characterized as being healthy (sound and functional), happy, and prosperous. (Pollnac, et al. 2006[2008])*	Health status and access to health insurance • Survey participants about health insurance coverage • Develop index based on community level health statistics Community level indicators • Develop index based on community level crime, poverty, unemployment, education, and conflict Port infrastructure • Profile relevant ports Job Satisfaction • Survey participants about job satisfaction Changes in social networks and relationships • Survey participants about social networks Safety • Number of injuries/hospitalizations* • Number of fatalities* • Number of vessels lost* • Damage costs* • Survey participants about perception of riskier/safer fishing practices

*Variables agreed upon nationally by NMFS social scientist working group.

These performance measures and indicators will be essential to assessing the social and economic impacts of various fishery management policies over the near and long term, including catch share systems. The National Environmental Policy Act (NEPA) and the Magnuson-Stevens Fishery Conservation and Management Act (MSA), as amended, both contain requirements for considering the social and economic impacts of fishery management decisions:

- **NEPA** requires federal agencies to consider the interactions of natural and human environments, and the impacts on both systems of any changes due to governmental activities or policies. This consideration is to be done through the use of '…a systematic, interdisciplinary approach that will insure the integrated use of the natural and social sciences…in planning and decision-making which may have an impact on man's environment;' (NEPA Section 102 (2) (A)). Under NEPA, an Environmental Impact Statement (EIS) or Environmental Assessment (EA) is required to assess the impacts on the human environment of any federal activity. NEPA specifies that "the term 'human environment' shall be interpreted comprehensively to include the natural and physical environment and the relationship of people with that environment" (Council on Environmental Quality NEPA Implementing Regulations 40 CFR 1508.14).

- Under the **MSA** there are a variety of requirements related to social, cultural and economic issues for fishermen and their communities. National Standard 8 (section 301(8)), for instance, requires that: "Conservation and management measures shall, consistent with the conservation requirements of this Act (including the prevention of overfishing and rebuilding of overfished stocks), take into account the importance of fishery resources to fishing communities in order to (A) provide for the sustained participation of such communities, and

(B) to the extent practicable, minimize adverse economic impacts on such communities. Section 303(b)(6) on limited entry requires examination of "(A) present participation in the fishery, (B) historical fishing practices in, and dependence on, the fishery, (C) the economics of the fishery, (D) the capability of fishing vessels used in the fishery to engage in other fisheries, (E) the cultural and social framework relevant to the fishery and any affected fishing communities, and (F) any other relevant considerations." Section 303(a)(9) on preparation of Fishery Impact Statements notes they "shall assess, specify, and describe the likely effects, if any, of the conservation and management measures on--(A) participants in the fisheries and fishing communities affected by the plan or amendment; and (B) participants in the fisheries conducted in adjacent areas under the authority of another Council, after consultation with such Council and representatives of those participants."

Currently, however, little data exist that allow for tracking the social impacts of fishery management policy and decisions over time in the Northeast Region, and insufficient economic trend data are available. In implementing policies and management programs and in meeting the social and economic impact assessment requirements of NEPA and MSA, there is a need to understand how such policies and programs will affect the social and economic characteristics of those involved in the commercial fishing industry. The performance measures and indicators developed by SSB are intended to specifically address these issues.

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.

Purpose

SSB intends to collect socio-economic data from vessel owners, permit holders, hired captains, and crew involved in commercial fishing in New England and the Mid-Atlantic states. As noted above, the primary use of these data will be to track a set of defined performance measures and indicators over time. These performance measures and indicators can be used to assess the impacts of changes in fishery management policies by tracking changes in the indicators before and after implementation of the fishery management policies. Additionally, these data can provide useful inputs into development of policies and strategies by providing representative social and economic information on participants in the Northeast commercial fishing industry.

SSB plans to develop reports and analyses using these data to examine trends and relationships in the data to better inform policy and understanding of the commercial fishing sector in the Northeast. These reports will be provided to the public and many of the reports will be valuable to the New England and Mid-Atlantic Fishery Management Councils in their decision making processes.

SSB will also link data from the survey to other NMFS data sources such as landings data. This will enable SSB to ask fewer questions in the survey (for example, by linking a respondent to a permit and logbook data, the survey does not need to ask questions about fishing gear used or the full range of species caught), but will also enable SSB to perform additional analyses. For example, logbook information would provide information about the place and seasonality of fishing, so that particular fishing styles (for example, localized or non-localized, single-species

targeting with bycatch or targeting multiple species) could be analyzed with respect to the pattern of survey answers. This would enable the survey to anticipate and respond to the new emphases that the agency now places on ecosystem-based management. Linking to permit and dealer data would enable analytical connections to be further made between communities on land, such that agency responsibilities for social impacts analyses can use the best available scientific data.

Type of Information Being Collected and Rationale

The two surveys collect similar information from owners and crew, with some exceptions. In what follows, we provide a brief description of the information being requested from the survey respondents and the reasons for collecting this information.

Primary fishery, fishing decisions, and vessel information

Both surveys ask a series of questions that relate to the respondents' primary fishery. In short, SSB is asking respondents to identify which fishery they consider to be their primary fishery and why. For crew, this will be the only source of this information. For owners, some information is available on what types of permits are held, what types of fish were caught and the value of the catch. However, it is important to understand what fishery a respondent considers to be his or her primary one to gauge how fishery management policies affect fishery participation decisions. Additionally, this information is useful in developing more precise sampling approaches in future years by allowing for better estimates of fishery participant populations based on self-reported primary fisheries.

Information on fishing decisions such as trip length, number of crew, and ports are also helpful in understanding how fishery management policies affect the different sectors. Tracking changes in these factors in relation to changes in fishery management policies will allow for assessing how the policies have affected these decisions.

Vessel information (owners only) includes information on the numbers of vessels owned, bought, and sold. This information will allow SSB to track trends in concentration of the industry over time (fewer owners owning more vessels) and to assess how the market for vessels (a major capital item) is affected by changes in the sector.

Crew payment methods

The nature of payment methods for crew on fishing vessels is unique and complex. Fishing crew are often paid a percentage of a trip's catch value with deductions for various vessel expenses (e.g., fuel, food, etc.). Crew payment methods reflect the contractual employment relation between crew and owners and ultimately the income earned by crew. Collecting this information is important for two reasons. First, a variety of methods are used (e.g., different formulas, deductions, etc.) and SSB is seeking to be able to better understand the breadth of payment structures in the industry. Second, these payment methods may change over time (e.g., in response to changes in fishery management policies) which may result in significant impacts on fishing crew livelihoods.

Employment opportunities (crew only)

The crew survey asks a number of questions related to employment opportunities such as the difficulty in finding employment, number of years with the same vessel/owner, and how they found their current position. These questions will allow SSB to track the impact that fishery management policies have on employment opportunities and to track these trends.

Fishing income information

Both surveys ask about the extent to which fishing represents a key component of respondents' income, other sources of income, and extent to which current fishing income could sustain respondents' over the short, medium, and long term. These questions are essential information in assessing the extent to which fishing represents a viable business (owners) or career (owners and crew).

Insurance

The survey asks a number of questions about respondents' insurance (health, vessel, etc.). Living or operating without insurance represents a risk to commercial fishermen. Not having insurance often indicates an inability to afford the insurance. Tracking trends in the extent to which owners and crew carry insurance provides an indication of the health of the fishing industry and of fishing as an occupation.

Family involvement

Fishing has long been considered a family-oriented career and generations of families have often been involved in fishing. Thus, a key social aspect of fishing is the trend away from fishing as a family-oriented business and occupation. The survey asks a series of questions about respondents' family involvement in fishing. Tracking changes in family involvement is important to better understand the changing social landscape of fishing. Additionally, fishery management policies may have an impact of the familial nature of fishing and tracking trends in family involvement relative to fishery policies is also important.

Job satisfaction and quality of life

Both surveys ask a series of questions related job and career satisfaction and how well respondents perceive their quality of life. Tracking trends in these areas will allow SSB to assess the extent to which "life as a fisherman" is improving or declining and the extent to which fishing management policies are improving or hurting "life as a fisherman."

Fishing quota information (owners only)

Most fisheries involve some form of quotas (limits on the amount of fish that can be caught). In some fisheries quotas can be transferred (through lease or purchase). Understanding the extent to which owners obtained additional quota and the ease at which they obtained it (e.g., the price paid) are important factors for understanding the health of the quota market. Fishery management policies may have a significant effect on these markets. Thus, tracking trends in these markets is important.

Governance

Fish are a managed resource and the management process itself is complex and involves significant public participation. The survey asks a series of questions about the extent to which respondents take part in the management process and their view of the process in terms of its equity, understandability, restrictiveness, adaptability, effectiveness, and other aspects. These questions will allow SSB to better understand perceptions of the fishery management process for different fisheries (which are governed by different management policies) and to track trends in perceptions over time, especially in relation to changes in management policies.

Conservation attitudes and perceptions of resource health

Owners and crew attitudes toward conservation are important for understanding how well the resource (fish) can be managed through the fishery management process. The survey will allow SSB to track trends in these attitudes over time and to assess how well different management approaches may work and whether changes in management approaches affected attitudes.

Related to conservation attitudes are perceptions of the health of the resource. NOAA collects scientific data on resource health, but perceptions of resource health are also important. Restrictions placed on fisheries where there is a perception that the resource is healthy may involve significant public opposition. Additionally, fishermen perceptions of resource health may provide important information on the actual resource health since they are interacting with the resource on a regular basis.

Demographics

Collecting information on respondent demographics is important for two reasons. First, it will allow for better interpretation of the data that are collected. Second, trends in demographics such as age, income, ethnic group, etc. can be tracked to assess how the demographic composition of the industry is changing over time, especially in response to changes in fishery management policies.

Public Dissemination

It is anticipated that the information collected will be disseminated to the public or used to support publicly disseminated information. As explained in the preceding paragraphs, the information gathered has utility. NOAA's Northeast Science Center's Social Science Branch (SSB) in Woods Hole, MA 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. The information collection is designed to yield data that meet all applicable information quality guidelines. Prior to dissemination, the information will be subjected to quality control measures and a pre-dissemination review pursuant to Section 515 of Public Law 106-554.

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 being collected under this survey will not involve the use of automated, electronic, mechanical, or other technological techniques or other forms of information technology. We describe the reasons for this below for each of the two surveys.

Owners survey

The owners survey will be implemented as a mail survey with the questionnaire being mailed to potential respondents and the respondents sending those back to NOAA. Although it is possible to provide a link to a web-based version of the survey in the cover letter to the survey, SSB has opted against that approach. There are two reasons for this. First, SSB expects that the population is less likely to take web surveys, given the nature of their work. Second, fixing the mode of the survey as a mail-based survey eliminates the possibility of mode-based effects on survey results.

Crew survey

The crew survey will be implemented as an intercept survey on the docks of ports. Given the nature of this approach, having potential respondents use an electronic collection method is not feasible. Additionally, having the interviewers use an electronic method to collect responses as the respondents take the survey is also not feasible since the interviewers will need to travel around the docks and may be standing during the interview itself.

4. Describe efforts to identify duplication.

We are aware of a survey begun by the University of Rhode Island in 2009/2010 in New England under a grant from the Commercial Fisheries Research Foundation, that seeks PRA clearance for a follow-up in the Mid-Atlantic in summer 2011 under NOAA funding (Social Impacts of the Implementation of Catch Shares Programs in the Mid-Atlantic, OMB Control No. 0648-0627). The current request has learned from some elements of the URI and follow-on survey. However, this request 1) is focused on fisheries management in general while the earlier study is focused solely on catch shares, 2) is an ongoing survey rather than a one-time effort, and 3) specifically targets performance indicators for which data are not currently being collected. Additionally, the previous effort focused solely on the groundfish and scallop sectors while this survey effort will cover almost all fisheries in the Northeast.

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

SSB expects that almost all respondents to the owners survey will be small entities. To minimize the burden while also maximizing information collected, SSB has followed two approaches. First, we have relied on expert academics in the field of fishery management research who have conducted surveys of fishermen. These experts advised SSB on the appropriate length of a survey of fishermen. Second, we have designed the owner survey using a split questionnaire design. That is, we will ask all owners a core set of questions. A second set of important, but not essential, questions were split between two versions of the instrument. One half of the sample

will get "version 1" (core questions plus one half of the additional questions) of the survey and the second half will get "version 2" (core questions plus the other half of the additional questions) of the survey. Using a split questionnaire approach reduces the burden on owners by reducing the number of questions that need to be asked to each owner, but still involves collecting key data from the population. Additionally, SSB has utilized statistical sampling methods to ensure that representative data are being collected at sufficient precision without having to conduct a census of the population.

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

Not conducting the collection would significantly reduce the ability of NMFS to assess impacts of future fishery management policies. As described in Questions 1 and 2 above, the data being collected through these surveys will allow SSB to track important social and economic trends in the commercial fishing sector in relation to changes in fishery management practices. The data being collected through these surveys are not available from existing sources.

Less frequent collection will reduce the ability of NOAA to discern changes in the performance measures and indicators following changes in fishery management policies. SSB has already set the frequency at a minimally acceptable rate of all fisheries in the baseline (first) year and half of the fisheries in every other year in subsequent years. Thus, reducing the frequency below this level would not allow NOAA to identify trends or changes in the measures and indicators and associate those changes with fishery management practices. Additionally, for the data to be valuable to the fishery management councils, data will need to be frequent enough to be relevant for council decisions.

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

The information collection is consistent with OMB Guidelines for Information Collections.

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 published on March 24, 2011 (73 FR 16611) solicited public comments.

NMFS received a request for the survey instrument from the National Opinion Research Center at the University of Chicago (NORC). In response to that request, NMFS provided a copy of each survey to NORC. SSB also received a comment from Meredith McCarthy of Food and Water Watch, a national consumer action organization. Ms. McCarthy commented that the data collection should have begun sooner and also provided a summary of research detailing the impacts of catch share programs. SSB agrees that it would have been better to start this data

collection sooner. While having a longer time series of the types of information SSB is proposing to collect would have been ideal, SSB is not without data and there were some pre-analyses done under Amendment 16 of the MSA. Nevertheless, this data collection will help SSB shed light on many of the issues raised by Ms. McCarthy in her comments on the data collection.

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

No payments or gifts will be provided to respondents.

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

As stated on the survey instrument forms, SSB will assure respondents that their data remain confidential. Information collected under these surveys fall under the confidentiality requirements of the MSA, as amended, section 402(b). This section of the Act guarantees confidentiality of information submitted to the Secretary, but allows disclosure to Federal employees.

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.

None of the questions being asked in the surveys deal with matters that are considered private.

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

Table 2 provides estimates of the total annual number of respondents, responses, burden hours, and the cost of burden hours. The surveys will involve collecting data from an average of 1,400 respondents annually with each respondent providing one response for a total of 1,400 responses annually. SSB estimates that each response will take 30 minutes to complete, resulting in a total burden hour estimate of 700. The burden hours include the time to take the survey and, potentially for owners, to look up some specific data items. However, we expect that almost all questions for the owners require recall only and would not involve significant time to search for information to provide answers. The labor cost associated with the estimated burden hours is $13,147, based on information from the Bureau of Labor Statistics (BLS) (see note [a] below Table 2).

Table 2 - Estimated Number of Respondents, Responses, Burden Hours, and Cost of Burden Hours

Survey	Total Annual Number of Respondents, Annualized	Responses per Respondent	Total Number of Annual Responses, Annualized	Average Response Time Per Response	Total Annualized Time for Responding (Burden Hours)	Average Loaded Hourly Labor Cost [a]	Total Cost for Responding
Owner [b]	**513**	1	513	30 min	256.5	$ 31.65	$8,118
Crew	**887**	1	887	30 min	443.5	$ 11.34	$5,029
TOTAL	**1,400**	**-**	**1,400**	**-**	**700.0**	**-**	**$13,147**

[a] Labor costs are derived from BLS http://www.bls.gov/oes/current/oes453011.htm. The value for crew is taken as the median rate ($11.34) and the value for owners is the 90th percentile ($19.78). The owner rate is marked up by 60 percent to reflect a loaded rate. The crew rate is not marked up since the crew will be taking the survey on their own time and thus their time will not incur overhead to their employer.
[b] There are two versions of the owner survey (see question 5 above). Each is expected to take a half-hour to complete and both are included in the estimates of this row.

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).

The two surveys do not impose recordkeeping costs on the respondents; the vessel owner surveys will have envelopes with prepaid postage included, and the crew surveys are in person.

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

SSB has contracted with consultants and subcontractors to develop the survey. Based on this, costs to SSB have included survey and sampling development costs, including pilot testing, of $124,000. The contractor has provided implementation costs on a per-complete basis of $25 per complete (returned) survey for the owner survey and $150 per complete for the crew survey. Based on the necessary sample sizes, the total estimated annual cost to the government is $140,363, including development, and $145,817 taking into account just implementation. Table 3 provides details on these cost estimates.[1]

[1] As noted in Table 3, the costs including development are annualized over four years and the costs for just implementation are annualized over three years.

Table 3 - Annualized Cost to the Government

Item	Owner Survey	Crew Survey
Survey and sampling plan development [a]	$124,000	
Implementation		
Year 1 [b]	$19,225	$199,500
Year 2 [c]	$9,613	$99,750
Year 3 [c]	$9,613	$99,750
Implementation Total	*$38,451*	*$399,000*
Total cost to government (one year development plus three years of implementation)	**$561,451**	
Annualized Cost, including development [d]	**$140,363**	
Annualized Cost, implementation only [e]	**$145,817**	

[a] Survey design and sampling plan development costs were incurred for both surveys combined.
[b] For the owner survey, this is the sample size (769) multiplied by a per-complete cost of $25. For the crew survey, this is the sample size (1,330) multiplied by a per-complete cost of $180 per complete.
[c] In year 1, data will be collected for all fisheries, but in years 2 and 3, data will be collected from only half of the fisheries. Thus, year 2 and 3 costs are calculated as half the year 1 cost.
[d] Annualized over four years: one year for development and three years for implementation.
[e] Annualized over three years of implementation.

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

This is a new program.

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

SSB will develop both reports and tabulations based on the data collected under these surveys. For each survey conducted, SSB will tabulate the responses from each survey question and provide cross-tabulations of survey questions when warranted. These tabulations will be provided on SSB's web site.

In years following the first year, SSB will perform statistical hypothesis tests to determine whether the underlying population values have changed over time. These tests will be standard Students *t* or *F*-statistic tests, depending on the data under consideration.

Further detailed analyses may also be performed on these data. These analyses could include linear regression, analysis of variance, and other more complex statistical methods used to investigate trends and hypotheses in the data. The specific analyses to be performed will be based on the summary statistics that are tabulated and on the analytical needs (e.g., current policy questions needing information).

Figure 1 provides a summary of the time line for completing one round of each the owners and crew surveys. The crew survey will be implemented over an eight month time frame to ensure that crew from different fisheries are selected as part of the sample.

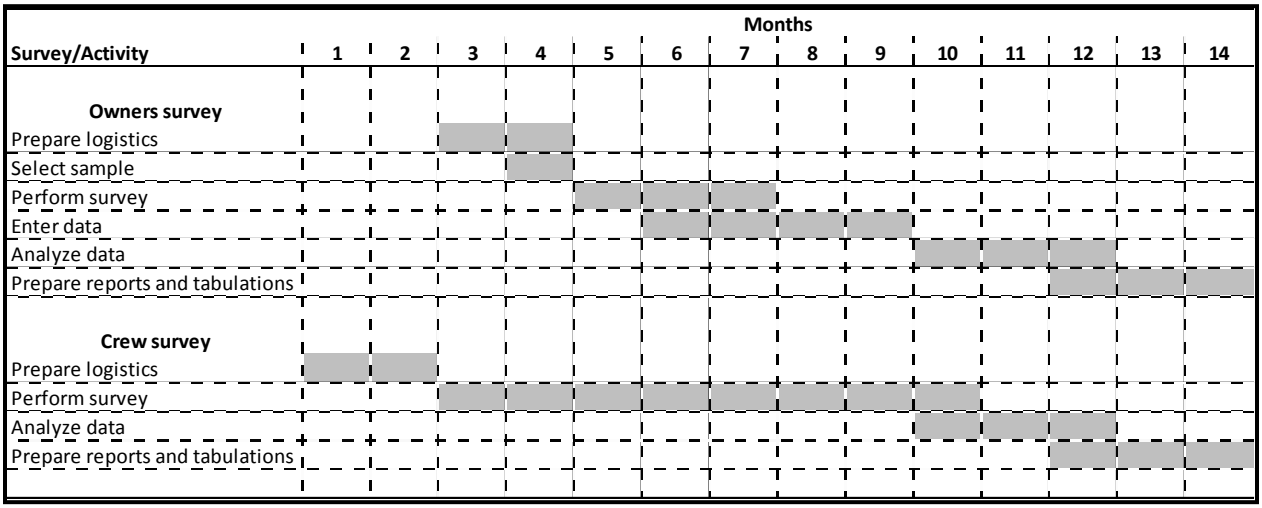

Figure 1 - Data Collection, Analysis, and Reporting Timeline

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

Not applicable. The collection instruments will display the expiration date.

18. <u>Explain each exception to the certification statement</u>.

No exceptions are being requested.

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.

Target and Sampling Populations

Table 4 provides the definitions of the target and sampling populations for each survey.

Table 4 - Target and Sampling Population Definitions

Category	Owner Survey	Crew Survey
Target population – The population that the survey effort is interested in collecting data about.	• Individuals or entities that own fishing vessels operating in the Northeast or Mid-Atlantic states.	• Individuals who work as crew on commercial fishing vessels operating in the Northeast or Mid-Atlantic states.
Sampling population – The set of individuals from which the sample units are drawn.	• Individuals or entities whose names which are listed as vessel owners.	• Individual crew members that can be encountered on the public areas of docks.

Population and Sample Sizes

Both surveys will be stratified by fishery. The set of fisheries that will be used to stratify the sample is provided in Table 5. Table 5 also provides estimates of the populations and sample sizes for the first year for both surveys and expected response rates for both surveys. Details on how sample sizes were estimated are provided under Part B, Question 2 below. The total sample size for owners survey is targeted to be 769 in the first year and the sample size for the crew survey is targeted to be 1,330 in the first year. As noted above, SSB will collect the full sample size in the first year and then (approximately) half of the first-year sample size in the second and third years. The sample selected each year, however, will be independent of samples collected in other years (i.e., SSB will not be collecting data from the same individuals over time unless those individuals are randomly selected in different years). In the second and third years SSB will collect data from one half of the fisheries in each year. The per-year sample sizes and the annualized sample size are presented in Table 6.

Table 5 - Populations and First Year Sample Sizes, By Fishery, and Expected Response Rate for Owner and Crew Surveys

Fishery		Owners		Crew	
		Population [a]	Sample Size [b]	Population [c]	Sample Size [b]
Black Sea Bass		60	34	506	66
Herring and mackerel		25	19	509	66
Lobster		506	66	4,229	75
Monkfish		82	40	917	70
Multispecies, large mesh	common/other	55	32	487	65
	sector	243	58	3,045	75
Multispecies, small mesh		20	16	281	60
Red crab		5	5	143	50
Scallop, general category IFQ		151	51	2,180	75
Scallop, general category non-IFQ		148	50	3,875	75
Scallop, limited access		193	55	5,114	75
Scup		23	18	219	56
Skate		23	18	290	60
Spiny dogfish		45	29	341	62
Squid, Illex		10	9	273	59
Squid, Loligo		42	27	534	66
Summer Flounder		178	53	1,563	75
Surf clam/ocean quahog		64	35	1,084	71
Tilefish		15	13	132	48
Inactive	common/other	1,245	42	-	-
	sector	266	37	-	-
Non federally managed fishery	common/other	427	39	3,869	42
	sector	50	23	409	39
Totals		**3,876**	**769**	**30,000**	**1,330**
Expected Response Rate		**70%**		**90%**	

[a] The population for owners reflects the number of vessels in each fishery. Since owners can own more than one vessel, this number overestimates the number of owners in the Northeast. Work is currently underway at the Northeast Fisheries Science Center to develop definitive linkages between vessels and owners. Data from that effort should be available to use to develop a sampling frame for the first year implementation of this survey. Vessels were placed in a fishery based on revenues in 2010. If a vessel was inactive in 2010, 2009 revenues were used and if inactive in 2009 also, 2008 revenues were used. If a vessel was inactive in 2008-2010, then it was placed in an "inactive" category.
[b] Details on the calculation of sample size can be found under Section B, Question 2 below.
[c] The population of crew for each fishery was estimated by distributing an estimated 30,000 crew in the Northeast and Mid-Atlantic states across the fisheries based on information on the number of crew required for each vessel. Attachment A provides details on this estimate.

Table 6 - Total Sample Sizes per Year and Annualized Sample Size

Survey Year	*Owners Survey*	*Crew Survey*
First year	769	1,330
Second year	385	665
Third year	385	665
Annualized [a]	**513**	**887**

[a] Calculated by summing the sample sizes over the three years and dividing by three.

Response Rates

SSB expects that response for the owners survey to be 70 percent and for the crew survey to be close to 90 percent. For the owners survey, SSB will use Don Dillman's Tailored Design Method (TDM) to mail surveys (Dillman, 1999). The TDM approach involves multiple points of contact with potential respondents to maximize response rates. SSB's estimate of 70 percent response is based on work done by its contractor in which it has obtained response rates of 70 percent or higher for mail surveys.

SSB's estimate for the crew survey is based on previous work conducted by Richard Pollnac in which a 90 percent response rate was achieved in an intercept survey of crew in New England.[2]

Sample Selection

To select the sample of owners, SSB will use a systematic sampling approach. Each stratum will be sorted by the owner's listed state. Next, SSB will determine the sampling interval by dividing the total number in each stratum by the sample size to be selected. For example, with a sample of 20 respondents and a population of N owners, the sampling interval would be $k = N/20$. SSB will then select a random number between 1 and k which becomes the starting point for the sampling process. SSB would then select every k^{th} potential respondent beginning at the randomly selected starting point in the sorted list. For example, if the random number selected as the start point was 3, then SSB would select respondent numbers 3, $3 + k$, $3 + 2k$, etc. Sorting by the state will allow for proportional representation of states within the sample.

Respondents for the crew survey will be selected using a cluster sample design. After stratification, the first selection process will involve randomly selecting ports. To ensure that "active" ports are selected, SSB will select using a probability proportional to size (PPS) approach. Specifically, under a PPS approach a port's probability of being selected into the sample is related to the "size" of the port with larger ports being more likely to be selected into the sample. The PPS approach is necessary to ensure that selected ports are more active and thus, more likely to result in completed crew surveys. For this study, the size of the port should be measured by some factor that is correlated with the availability of crew at the port. NMFS is currently reviewing available data to determine the best factor to use. One limiting concern is that the factor chosen to select upon should not itself be correlated with fisheries (e.g., selection based on the factor would lead to over-selection of ports that concentrated among a specific set

[2] This response rate is based on a project entitled "Job Satisfaction, Well-being and Change in New England Fishing Communities" coordinated by Richard Pollnac at the University of Rhode Island.

of fisheries). Once ports are selected, SSB will place interviewers at ports and crew will be recruited to take the survey as they are identified.

The number of ports selected in the crew survey will depend on the implementation costs and the distribution of fisheries by port:

- Higher **implementation costs** will lead to fewer ports being selected. One key aspect of implementation is the rate at which surveys would be completed (e.g., number of completes per day per interviewer on site). As noted in Section B, question 4, SSB is conducting a small-scale pilot to better assess implementation costs, logistics, and completion rates.

- Uniform **distribution of fisheries across ports** will lead to fewer ports being selected. In order to collect data from all fisheries identified in Table 5 above, SSB will need to visit ports that represent all fisheries. If fisheries tend to uniformly distributed across ports (i.e., most ports involve most fisheries), then fewer ports would need to be visited. However, if fisheries tend to be concentrated at port (i.e., some ports concentrate on some fisheries while other ports concentrate on other fisheries), the more fisheries will need to be visited.

SSB expect to select between 10 and 20 ports to visit at various times and days as part of this project, with the exact number to be determined as data on fishery distribution by port are examined and following the small-scale pilot discussed under Part B, Question 4.

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.

Sample Size and Accuracy

SSB has selected an unadjusted sample size of 75 units (owners or crew) per stratum for most fisheries. For some strata where less precise information is needed, SSB relaxed the accuracy requirements and needs only 42 units for each of those strata. Each of these per stratum values was adjusted using the finite population correction. The process for developing these per stratum values is discussed, along with the implications for accuracy, in the remainder of this section.

In setting sample size, three statistical criteria need to be considered:

- **Confidence** represents the confidence interval around estimates derived from the sample. Confidence is generally set at 95 or 90 percent in socio-economics studies. For deriving sample size estimates, SSB used 90 percent.

- The **power** of a statistical test is the probability of correctly rejecting a false hypothesis. In more practical terms, it is the probability of detecting a change or difference in some variable in a *sample* when that change or difference has actually occurred in the *population*. SSB used 80 percent power to define a sample size. Setting power at 80

percent is rather strong and will increase sample size relative to standard hypothesis testing. However, standard hypothesis testing sets power at 50 percent by default. Thus, under a standard hypothesis test, there is only a 50-50 chance of detecting effects within a sample that have actually occurred in the population.[3]

- **Precision (accuracy)** concerns the amount of sampling error that one is willing to accept. With very large samples, one can be fairly certain that estimates derived from the sample are close to the population values. The key questions from this survey are in terms of five point scales. For the five point scale questions, each point on the scale is assigned a value of one to five to transform the scale into numeric value. The five point scale questions are almost all part of groups of questions that together form an index. The indices are the key pieces of information with respect to the five point scales and thus, precision should be set in terms of the indices. Each index varies in terms of the number of components (i.e., five point scale questions that comprise it). To account for this, SSB performed sample size calculations for detecting changes in averaged index values over time.[4]

Another consideration is the type of comparisons that are being made. SSB will be tracking trends within a fishery by comparing one data collection to others. This has two implications. First, SSB used sample size formulas that reflect comparing one sample to another. Second, SSB set levels of precision at the fishery level.

In settling on a sample size, SSB considered a series of tabulations that provided estimated sample sizes for various levels of accuracy. The tabulations were based on Jacob Cohen's (1988) power analysis calculations for sample size for detecting difference in mean values between two samples.[5] The formula used to calculate potential sample size was derived from Cohen's book:

where n_0 is the initial sample size, 1,237 is a value derived from Table 2.4 in Cohen's book, and d is the difference between the two means divided by the standard deviation. In order to calculate sample sizes for the index questions it is necessary to have an estimate of the standard deviation for the indices to use in the value d. SSB was provided with data from researchers at East Carolina University for similar five point indices. These data are presented in Attachment B. The data in Attachment B reflect two indices, both comprised of nine questions. When the indices are divided by the number of components (nine in each case), the standard deviations for the two indices are 0.646 and 0.7. For calculating sample sizes, SSB used a standard deviation of 0.9 to be conservative.

Table 7 provides samples sizes for five levels of accuracy. Accuracy is defined as the difference between the averaged index value between two implementations of the survey (e.g., between year one and year two). For example, to have an 80 percent change of detecting a 0.2 point

[3] Using power above 50 percent necessitates the use of power analysis to set sample sizes (Cohen, 1988).
[4] The averaged index value is the index value divided by the number of questions in the index. For example, an index comprised of eight five point scale questions can take on values that range from 8 to 40 for each respondent. Dividing by eight provides an average value for this index and transforms the index back to a range of 1 to 5.
[5] Jacob Cohen, 1988. *Statistical power analysis for the behavioral sciences*, Lawrence Erlbaum Associates, Chapter 2.

difference on a five point scale between two implementations of the survey, assuming the change actually occurred in the population, would require selecting 252 units from each stratum.[6]

Table 7 - Per Stratum Sample Sizes for Detecting Various Changes in a Five Point Scale

Difference in mean index value	*Sample size per stratum*
0.1	1,003
0.2	252
0.3	113
0.4	64
0.5	42

In selecting 75 units per stratum SSB considered both cost (number of sample units needed) and the accuracy that could be obtained. In short, SSB considered a value of 75 units as an acceptable balance between cost and accuracy. Inverting the above formula for $n_0 = 75$ resulted in an estimated precision of 0.36 – 037 units on five point scale. Thus, with these sample sizes, there is an 80 percent chance that a change of 0.36 – 0.37 units on a five point scale in the sample (for a specific fishery) will be detected as a statistically significant change if the change actually occurred in the population.

As noted above, however, less precise information is needed for some strata. These included owners in the "inactive" stratum and owners and crew in the non-Federally managed fisheries. SSB determined that data were needed from these categories, but not at the level of precision needed for other fisheries. For these, SSB determined that a precision of 0.5 units on the five points scale was sufficient.

Finally, SSB adjusted these sample size estimates using the finite population correction (FPC). The FPC is defined as:

where N is the population. The FPC was applied to any stratum where the sample size exceeded five percent of the population. The FPC-adjusted sample sizes for each stratum appear in Table 5.

Unusual Problems

No unusual problems are expected to be encountered.

[6] As noted above, these values are based on the above formula using 0.9 as the standard deviation in the value d.

Use of Periodic Collection Cycle

As noted in Section A, question 5, the survey will involve collecting data from all fisheries in the first year and then collecting data from half of the fisheries every other year. Thus, all fisheries will have data collected at least every other year following the first. SSB may collect annual data from fisheries where more frequent data would be needed to support policy decision (e.g., fisheries that may be considered "priority"). However, for most fisheries, data would only be collected every other year following the first year.

3. Describe the methods used to maximize response rates and to deal with nonresponse. 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.

Both surveys

For both surveys, SSB has employed the following practices to maximize response rate:

- Survey length—SSB has limited the length of the survey to ensure it can be completed in a reasonable amount of time.

- Best-practices design—SSB has employed an expert survey firm that employs best practices in survey design. These best practices take into account question sequencing, wording, and graphic elements on the survey.

Owners survey

To maximize response rate in the owners survey, SSB will use Dillman's TDM. The TDM in a mail survey context involves multiple points of contact with potential respondents to improve response. The following procedure will be used in the owners survey:

- *Pre-notification letter*—Each owner selected as part of the sample will be sent a pre-notification letter to inform them of the upcoming survey. The letter will explain the need for the survey and how responding to the survey will provide valuable information to NOAA.

- *Survey mail-out*—One week following the pre-notification letter, each owner selected as part of the sample will receive a version of survey instrument and a cover letter. The cover letter will explain the importance of the survey and how responding to the survey will provide valuable information to NOAA. The mail-out package will also contain a self-addressed stamped envelope (SASE) for returning the survey to SSB.

- *Reminder postcard*—Approximately 1-2 weeks following the first survey mail-out a reminder postcard will be sent to those that have not responded. The postcard will provide contact information (phone and email) to respondents to get a replacement copy of the instrument if needed.

- *Replacement survey mail-out*—Approximately two weeks following the reminder postcard, SSB will mail out a second version of the survey (with a SASE) to those that have not responded. The survey will arrive with a cover letter explaining that a second version is being provided to ensure the survey was not lost and once again stress the importance of responding.

Following these steps, SSB will determine the number of replacements that need to be selected from the sample. The replacement would replace those that have not responded within two weeks of receiving the replacement survey mail-out.

In addition to the pre-notification letter, SSB also plans to perform outreach regarding the survey. This will include advertising the survey in local publications (e.g., *Commercial Fishing News*) and writing a guest editorial in *Commercial Fishing News* that describes the value of responding to the survey.

Dealing with Nonresponse in the owners survey

As noted under Section B, Question 1, SSB expects that the owners survey will have a response rate of 70 percent. In order to ensure that the resulting data are not biased due to nonresponse, SSB will perform a nonresponse analysis. The analysis will include comparing the data collected through the survey to previously collected data. SSB will compare the data collected under this effort to three sets of the available data:

- SSB collected data on owners and crew in 2000 that included demographic information on the owners.[7] That survey resulted in a response rate of 78 percent. SSB can use those data to assess the extent to which the sample that responded was significantly different from those that responded to the 2000 survey effort.

- The sampling frame will be constructed from data maintained by NOAA's Northeast Fisheries Science Center. These data have information on boat size, permits, and home ports. SSB can use these data to compare to the data that are collected though the survey to assess whether the sample that responded were significantly different from those that did not respond.

- The Gulf of Maine Research Institute (GMRI) has performed a number of surveys and other research projects that have involved collecting data on socioeconomics aspects related to fisheries management.[8] Some of these surveys contain information on demographics related to owners that SSB can use to assess whether the sample that responded were significantly different from the sample that responded to the GMRI research projects.

[7] http://www.nefsc.noaa.gov/nefsc/publications/tm/tm164/tm164.pdf.
[8] http://gmri.org/community/display.asp?a=5&b=16&c=171.

Crew survey

The crew survey will be implemented as an intercept approach where interviewers will intercept crew at the docks. A random intercept survey is being used to maximize response rates and is a method used for studies of hard-to-find individuals (Miller et.al., 1997) such as crew, who may not have a permanent address or phone number or may live aboard the vessel on which they work (Kitner, 2006). A study similar to this one involved a 90 percent response rate from 350 fishermen New England in 2009 and 2010.[9]

To improve response rates, surveys will be conducted in-person when possible. Face-to-face interviews are an effective method for the collection of information from people such as illiterate individuals who may not be able to participate using other methods (Bernard, 2006:256). Face-to- face interviews also make it possible to probe for more in-depth answers and clarify respondent questions (Bernard, 2006:256). In addition, the individuals participating in the research have the opportunity to communicate with the researcher and provide additional information that is useful to the overall objectives of the study. If more than one crew member is available and willing to take the survey, then the interviewer may hand out the survey with a clip board and pen and wait for the respondents to take the survey, answering questions if needed.

Prior to the implementation of the survey, interviewers will explain that the survey is anonymous, participation is voluntary and that the interview can be stopped at any point. It will also be explained that participants can skip questions they do not want to answer.

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.

SSB has a contract in place to perform small (less than nine respondents) scale pilots of the methods and instruments involved in this data collection. Table 8 provides a summary of these potential pilots.

Table 8 - Pilots Being Conducted to Assess Methods and Survey Instrument

Pilot	***Description***	***Objectives***
Crew survey – interviews with crew at ports	The crew survey will be implemented as an intercept survey where interviewers travel to randomly selected ports to find crew. Thus, there is a need to understand how well this approach would work and to develop information that can be used in estimating the cost of collecting data in this manner. This pilot will involve collecting up to nine responses from crew at two ports selected for convenience. SSB's subcontractor will go through the survey with each respondent and then ask a set of follow-on questions.	• Determine the time it would take to complete the survey using the intercept, read-out approach. • Assess how well the intercept approach may work for identifying and completing surveys, including identifying any best practices or lessons learned. • Assess how well the survey questions will work in the field. • Develop information that can be used to estimate costs for full implementation, including: o Completion rate per day o Time to complete each survey

[9] See footnote 2 above.

Pilot	*Description*	*Objectives*
Crew survey – interviews with port agents and harbor commissioners	As noted above, the crew survey will be an intercept approach. Thus, there is a need to understand the most effective way to implement this approach. To increase our understanding, SSB's subcontractor will perform a series of interviews with harbor commissioner and port agents. These interviews will focus on implementation issues related to the crew survey.	• Determine the best times of the year and day to perform an intercept survey of crew at ports. • Explore possible implementation issues that may arise in (1) getting access to ports and (2) identifying and recruiting crew to take part.
Owners survey	The owner survey will be a mail survey. The owner pilot will be used to assess the survey questions and the extent to which anonymity will be an issue for response rates. To stay within PRA requirements, SSB's subcontractor will interview nine or fewer ship owners.	• Assess how well the survey questions will work when implemented by discussing the questions with owners. • Assess whether a lack of anonymity to NMFS would lead to reduced response from ship owners. • Assess how well a mail survey would work among owners, including whether (1) the appropriate owner to answer the questions (i.e., a decision maker) would be reached by a mail survey and (2) owners would be available and willing to answer a mail survey.

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.

SSB has contracted with the following to develop and review the survey. SSB has made no determination at this point on who would be involved in collecting and analyzing the data outside of SSB staff.

Name and Affiliation	**Phone**	**Email**
Lou Nadeau, Eastern Research Group, Inc.	781-674-7316	Lou.nadeau@erg.com
David Loomis, East Carolina University	252-737-4263	loomisd@ecu.edu
Richard Pollnac University of Rhode Island	401-874-5107	Pollnac3@gmail.com

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Attachment A

Estimated Crew Population

The total crew population in the Northeast Region is estimated to be 30,000. This number is derived from previous work that SSB has done with IMPLAN (Minnesota IMPLAN Group, 2008 IMPLAN System (data and software), 1725 Tower Drive West Suite 140, Stillwater, MN 55082 www.implan.com) . Although a total number is available, the number per fishery is not. SSB used data on vessels and crew per vessel to develop a set of percentages to allocate the 30,000 total. First, SSB used data on the value of fish caught to assign vessels to fisheries. A vessel was assigned to a fishery based on its value of total catch in 2010. If the vessel was inactive in 2010, then 2009 data were used and if inactive in 2009 also, then 2008 data were used. A vessel inactive from 2008-2010 was placed in the inactive category. These per-fishery vessel numbers appear in Table A-1. A total crew based on the data available to SSB was used to calculate a number of crew in each fishery to calculate a percentage for each fishery. These data reflect average crew sizes for the different fisheries, but cannot be used in estimating total crew population for a fishery. These data are also in Table A-1. These crew numbers were then converted to a percent distribution (Table A-1) and then the 30,000 total was allocated across the fisheries using this percent distribution (last column Table A-1).

Table A-1. Calculation of Crew Population By Fishery

Fishery		Number of Vessels	Total crew number for use in allocation	Crew, percent of total	Crew population (30,000 total allocated by percentages)
Black Sea Bass		60	115	1.7%	506
Herring and mackerel		25	116	1.7%	509
Lobster		506	963	14.1%	4,229
Monkfish		82	209	3.1%	917
Multispecies, large mesh	common/other	55	111	1.6%	487
	sector	243	693	10.2%	3,045
Multispecies, small mesh		20	64	0.9%	281
Red crab		5	32	0.5%	143
Scallop, general category IFQ		151	496	7.3%	2,180
Scallop, general category non-IFQ		148	882	12.9%	3,875
Scallop, limited access		193	1,165	17.0%	5,114
Scup		23	50	0.7%	219
Skate		23	66	1.0%	290
Spiny dogfish		45	78	1.1%	341
Squid, Illex		10	62	0.9%	273
Squid, Loligo		42	122	1.8%	534
Summer Flounder		178	356	5.2%	1,563
Surf clam/ocean qhahog		64	247	3.6%	1,084
Tilefish		15	30	0.4%	132
Inactive	common/other	1,245	Not available		-
	sector	266	Not available		-
Non federally managed fishery	common/other	427	881	12.9%	3,869
	sector	50	93	1.4%	409
Total		**3,876**	**6,832**	**100.0%**	**30,000**

Attachment B

Data Provided by East Carolina University For Estimating Variance of a Five-Point Scale

Background

The following presents two example indexes based on real data. The subjects in the study were SCUBA divers and snorkelers. The first index is based on specialization theory, and the second is based on mediated interaction (which is basically the extent to which a person makes use of various sources of information). Each scale consists of nine items, each item with five possible responses (5-point Likert type scale). The individual items, means and standard deviations (SDs) are provided in each table. The nine individual items are then summed into a cumulative index ranging from 9 to 45, with the mean and SD of that index provided in each table. Finally the cumulative index for each is segmented into five levels (the final index; i.e., converted back to a five point scale), with the mean and SD of that index provided.

Many of the variances for the individual items are below 1.2. The median variance among this set of items is 1.22. Thus, 1.22 may be a good estimate of variance for this study. However, there are several that exceed 1.2. Additionally, if no items are correlated with one another, then the variance of the index would be simply the sum of the variances. However, in each index below if we sum the variances of the individual items; it is 3-4 times lower than that index variance. Thus, to adjust for this in this study, ERG multiplied the assumed variance of 1.2 by eight (our assumed index item size) and then inflated by a factor of 3.5 to adjust for inter-item correlations.

SCUBA Diver Information Index:

Information Items	**N**	**Min.**	**Max.**	**Mean**	**Std. Dev.**	**Var**
Item 1	965	1	5	4	1.114	1.24
Item 2	955	1	5	3.19	1.272	1.62
Item 3	954	1	5	1.98	1.099	1.21
Item 4	951	1	5	2.15	1.145	1.31
Item 5	940	1	5	1.7	0.966	0.93
Item 6	955	1	5	3.9	1.121	1.26
Item 7	943	1	5	1.73	1.194	1.43
Item 8	955	1	5	1.73	1.049	1.10
Item 9	953	1	5	1.39	0.801	0.64
Cumulative Index	917	9	45	21.71	5.817	33.84
Final Index (five subgroups)	917	1	5	2.41	0.646	0.42

Snorkeler Information Index:

Information Items	**N**	**Min.**	**Max.**	**Mean**	**Std. Dev.**	**Var.**
Item 1	598	1	5	3.23	1.451	2.11
Item 2	592	1	5	1.73	1.082	1.17
Item 3	595	1	5	1.84	1.133	1.28
Item 4	589	1	5	1.87	1.172	1.37
Item 5	582	1	5	1.73	1.054	1.11
Item 6	586	1	5	2.74	1.439	2.07
Item 7	585	1	5	1.16	0.548	0.30
Item 8	593	1	5	1.6	1.005	1.01
Item 9	592	1	5	1.34	0.777	0.60
Cumulative Index	561	9	45	17.09	6.297	39.65
Final Index (five subgroups)	561	1	5	1.9	0.7	0.49

{DATE}

{RESPONDENT NAME}
{RESPONDENT ADDRESS}

Dear {NAME},

Within the next few days you will be receiving a survey from the National Marine Fisheries Service Social Science Branch (SSB) in Woods Hole, MA. You have been selected at random to receive this survey because you own a commercial fishing vessel.

The survey will ask you a number of social and economic questions. We are collecting this information so that NMFS can better understand how changes in fisheries management practices affect commercial fishing vessel owners. Thus, it is important that you complete the survey and return it to SSB. The survey is completely voluntary, but by completing it and sending it back, you will be helping us understand how fishery management policies affect your industry.

We will include a self-addressed stamped envelope for you to return the survey to us in and we expect answering the questions will take less than a half-hour. If you have any questions or concerns related to this survey, you can feel free to contact {SSB CONTACT} at {NUMBER} or {E-Mail}.

Thank you in advance for your participation.

Sincerely,
{Signed}

Cover Letter

{DATE}

{RESPONDENT NAME}
{RESPONDENT ADDRESS}

Dear {NAME},

Enclosed you will find a survey from the National Marine Fisheries Service Social Science Branch (SSB) in Woods Hole, MA. As you may recall, we sent a letter a few days ago to let you know about this survey. As stated before, you have been selected at random to receive this survey because you own a commercial fishing vessel.

We are hoping that you will take the time to complete and return the survey to us as soon as you can. The survey asks a number of social and economic questions. NMFS will be using this information to better understand how fisheries management practices affect commercial fishing vessel owners. Thus, it is important that you complete the survey and return it to SSB. The survey is completely voluntary, but by completing it and sending it back, you will be helping us understand how fishery management policies affect commercial fishermen.

We have included a self-addressed stamped envelope for you to return the survey to us in and we expect answering the questions will take less than a half-hour. If you have any questions or concerns related to this survey, you can feel free to contact {SSB CONTACT} at {NUMBER} or {E-Mail}.

Thank you in advance for your participation.

Sincerely,
{Signed}

Cover Letter, Mailing #2

{DATE}

{RESPONDENT NAME}
{RESPONDENT ADDRESS}

Dear {NAME},

We have not received your survey yet. A number of your fellow commercial fishermen have already returned their surveys. We are still hoping that you can find the time to complete and return the survey that will provide us with information that we can use to assess how fishery management policies affect commercial fishermen. To get an accurate picture of how fishery management policies affect commercial fishermen, we need as many surveys returned to us as possible. As stated before, you have been selected at random to receive this survey because you own a commercial fishing vessel.

In case you have misplaced the original, we have enclosed a replacement survey. As before, we have included a self-addressed stamped envelope for you to return the survey to us in and we expect answering the questions will take less than a half-hour. If you have any questions or concerns related to this survey, you can feel free to contact {SSB CONTACT} at {NUMBER} or {E-Mail}.

Thank once again and please consider taking the time to complete the enclosed survey.

Sincerely,
{Signed}

Postcard

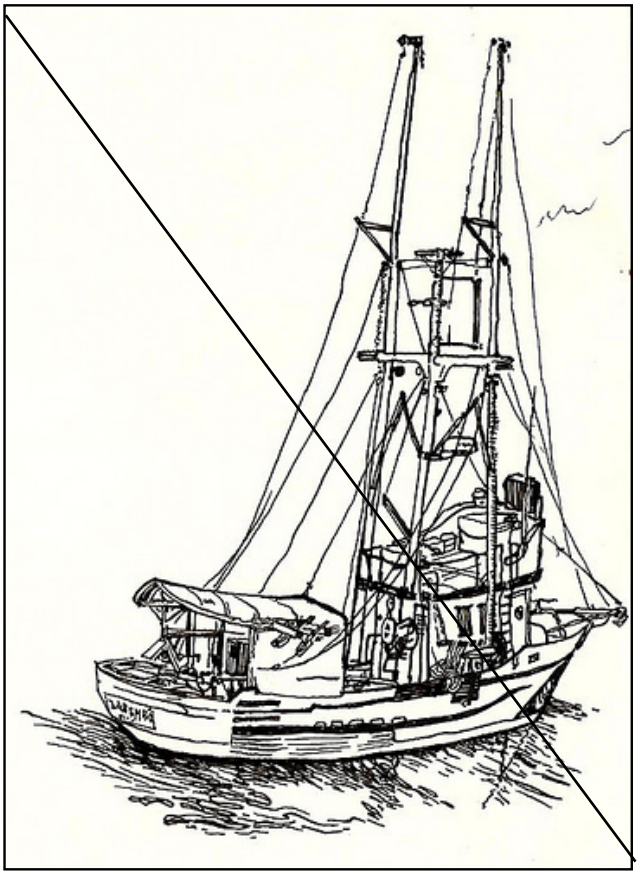
Dear {NAME},

Our records indicate that you have not yet returned the survey we sent on {DATE}. This is a reminder to complete and return the survey as soon as possible. Your information will assist us in assessing how fishery management policies affect you. If you have already returned the survey, thanks! If not, we encourage you to fill out the survey and return it in the envelope we provided. If you have any questions or concerns related to this survey, or ***if you need a replacement survey***, feel free to contact {SSB CONTACT} at {NUMBER} or {E-Mail}.

Thank once again!

OMB Control No. 0648-XXXX
Expiration Date: mm/dd/yyyy

Survey on the Socio-economic Aspects of Commercial Fishing Vessel Owners in the Northeast and Mid-Atlantic



Public reporting burden for this collection of information is estimated to average 30 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other suggestions for reducing this burden to Matthew McPherson, NOAA Line office, 166 Water Street, Woods Hole, MA, 02543-1026.

Responses to this information request are confidential under section 402(b) of the Magnuson-Stevens Act as amended in 2006. Responses are also confidential under NOAA Administrative Order 216-100, which sets forth procedures to protect confidentiality of 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.

In the following questions, please tell us about your fishing in 2010. The information you provide will remain strictly confidential and you will not be identified with your answers.

1. What are the top three species of fish you targeted during 2010, and what was your primary gear for each?

Species Primary gear used

1. _____
2. _____
3. _____

2. What is your primary fishery? (Please circle one)

1. Black Sea Bass
2. Herring
3. Lobster
4. Mackerel
5. Monkfish
6. Multispecies, sectors
7. Multispecies, common pool
8. Red Crab
9. Scallop, general category IFQ
10. Scallop, general category non-IFQ
11. Scallop, limited access
12. Scup
13. Skate
14. Spiny Dogfish
15. Squid, Illex
16. Squid, Loligo
17. Summer Flounder
18. Surf Clam/Ocean Quahog
19. Tilefish
20. Other _____

3. Why do you consider it to be your primary fishery? (Please circle one)

1. I earn the most revenue from this fishery
2. I spend the most time in this fishery
3. It is the fishery I most want to continue in
4. Other (please state)_____

4. How many commercial fishing vessels do you own by yourself? _____ Vessel(s)

5. How many commercial vessels do you own with other people? _____ Vessel(s)

6. How many commercial vessels did you purchase or sell during 2010?

1. Number of commercial vessels that you own yourself that you sold _____ Vessel(s)
2. Number of group-owned commercial vessels that you sold your interest in _____Vessel(s)
3. Number of commercial vessels that you purchased by yourself _____ Vessel(s)
4. Number of commercial vessels that you purchased an interest in _____ Vessel(s)

7. In the table below, please list all major activities (including investments) that you earned income from in 2010, including fishing, starting with the most important. Estimate the percentage that each contributed to your total household income.

	Activity	% Household Income
Most important		
Second most important		
Third most important		
Fourth most important		

8. Was the level of fishing income in 2010 enough to sustain your fishing business over the following time frames? (Please circle one response for each time period)

1. Short Term YES NO
2. Medium Term YES NO
3. Long Term YES NO

Please think about your fishing business and answer the following questions about your family's involvement

9. Are any members of your family (for example, parents, children, siblings, uncles/aunts, cousins, in-laws) involved in commercial fishing or other fishing-related activities (for example, book-keeping, provisioning the vessel, marketing)?

1. YES (If YES, Continue with Question #10, below)
2. NO (If NO, Go to Question #15, below)

10. How many members of your family are involved in commercial fishing on *your* vessel?

_____ Family members (If the answer is NONE, go to Question #12, below)

11. For these family members, how has their level of involvement changed in the last year?

1. Increased
2. Remained the same
3. Decreased

12. How many members of your family are involved in other fishing-related activities that support *your* fishing business (refer to categories in question 9)?

_____ Family members (If the answer is NONE, go to Question #13, below)

13. For these family members, how do you think their level of involvement has changed in the last year?

1. Increased
2. Remained the same
3. Decreased.

14. How many members of your family are involved in commercial fishing or fishing-related businesses *other than your own*?

_____ Family members

Please answer the following questions based on your fishing activities on your primary vessel in your primary fishery.

15. In what port did you usually moor your vessel between fishing trips during 2010?

Port_____ State _____

16. What was your primary port of landing in 2010?

Port_____ State _____

17. Which of the following factors contributed the most to your decision regarding the *amount of time* to spend fishing using your vessel during 2010?

- ☐ Personal preference
- ☐ Regulations on days-at-sea
- ☐ Quota limitations
- ☐ Physical conditions of vessel or gear
- ☐ Limitations due to weather
- ☐ Price of fish
- ☐ Other _____

18. For your vessel in 2010, which best describes how the crew were paid:

1. A share system (revenues and expenses were shared between the vessel owner and crew)
2. Per-trip
3. Hourly wage
4. Other _____

If your answer to Question #18 was "1. A share system" please continue to Question #19. If not, please go to Question #22.

19. For share systems, what were the typical percentages share that you distributed to the boat, captain and crew?

_____ % Boat (owner) share
_____ % Captain share
_____ % Crew share
100 %

20. For share systems, which trip expenses were usually deducted? (Please check all that apply)

- ☐ Fuel
- ☐ Water
- ☐ Oil/lubrication
- ☐ Lost/damaged gear
- ☐ Fishing quota or days-at-sea
- ☐ Food
- ☐ Bait
- ☐ Unloading fees
- ☐ Settlement fees
- ☐ Ice
- ☐ Electronics
- ☐ Cell phone
- ☐ General fishing supplies (hooks, bags, totes, gloves, etc.)
- ☐ Other _____

21. How were the expenses for each trip deducted?

1. Expenses were deducted from gross sales (total) and the remainder were split between the boat and crew
2. Expenses were deducted from the crew's share *after* the gross sales (total) were divided between boat and crew
3. Expenses were deducted from the boat's share *after* the gross sales (total) were divided between boat and crew
4. Not applicable

22. Was the vessel owner-operated or was a captain hired in 2010?

1. Owner-operated
2. Hired captain

23. What was the average size of the crew in 2010 for your vessel (include the captain, or include yourself if your vessel is owner-operated)?

_____ Members

24. Did you hire any new crew previously not employed by you for your vessel in 2010? If so how many?

_____ Members

In the following questions, please tell us how you feel about the amount of fish you are allowed to catch

25. Did you purchase or lease additional quota in 2010 for your primary vessel in your primary fishery? (Please circle one)

1. YES (If YES, Continue with Question #26, below)
2. NO (If NO, Go to Question #29, below)
3. Not an option in my fishery (Go to Question #30, below)

26. Do you feel the price you paid for quota was

1. Too high
2. Too low
3. About right

27. Please indicate below what factors, other than cost, influenced your ability to purchase quota in 2010?

_____

_____

28. Other than price considerations how difficult was it for you to obtain that quota?

1. Very easy
2. Easy
3. Neither difficult nor easy
4. Difficult
5. Very difficult

29. If you *did not* purchase or lease additional quota in 2010, why not? (If you purchased quota please go to Question 30, below)

1. No need
2. Too expensive
3. No sellers
4. Other _____

30. In terms of lease and share prices, how difficult is it for new people to enter your primary fishery?

1. Very easy
2. Easy
3. Neither easy nor difficult
4. Difficult
5. Very difficult

31. For your primary fishery please indicate if you think the current levels of each of the following items are high, medium or low. (Please circle one number for each item).

a. Level of bycatch (catch of non-target species)	HIGH	MEDIUM	LOW
b. Level of discards (catch of target or non-target species that is thrown overboard)	HIGH	MEDIUM	LOW
c. Level of highgrading (low value fish thrown overboard in order to keep higher value fish)	HIGH	MEDIUM	LOW

32. For your primary fishery please indicate the extent to which you think each of the following items is increasing, decreseasing or staying the same (Please circle one number for each item).

	Significantly decreasing	Decreasing	Not changing	Increasing	Significantly increasing
a. Level of bycatch (catch of non-target species)	1	2	3	4	5
b. Level of discards (catch of target or non-target species that is thrown overboard)	1	2	3	4	5
c. Level of highgrading (low value fish thrown overboard in order to keep higher value fish)	1	2	3	4	5

In the following questions, please tell us how you feel about fisheries management.

33. Have you ever participated in any aspect of federal fisheries management (such as attending meetings, writing letters, or serving on a committee)?

1. YES
2. NO

If NO, please tell us why

_____

_____

In the following questions, please tell us how you feel about the regulations in your primary fishery.

34. Please indicate the extent to which you agree or disagree with the following statements regarding the rules and regulations in your primary fishery. (Please circle one number for each item).

	Strongly disagree	Disagree	Neutral	Agree	Strongly agree
a. Information about the rules and regulations that govern my primary fishery is easy to find	1	2	3	4	5
b. The rules and regulations are easy to follow	1	2	3	4	5
c. The rules and regulations change so quickly it is hard to keep up	1	2	3	4	5
d. We are told about any changes to the rules and regulations in plenty of time to be able to make any necessary adjustments	1	2	3	4	5
e. The fines that are associated with breaking the rules and regulations of my primary fishery are fair	1	2	3	4	5
f. The rules and regulations in place during 2010 in my primary fishery caused my fishing costs to increase	1	2	3	4	5
g. I understand the rules and regulations in my primary fishery	1	2	3	4	5
h. I feel that the regulations in my primary fishery are too restrictive	1	2	3	4	5
i. Although I agree with most of the regulations in my primary fishery, I think some of them are unfair	1	2	3	4	5
j. Over the next five years, I expect the rules and regulations in my primary fishery to cause my fishing costs to increase	1	2	3	4	5

35. Please indicate the extent to which you agree or disagree with the following statements regarding the management of your primary fishery. (Please circle one number for each item).

	Strongly disagree	Disagree	Neutral	Agree	Strongly agree
a. Opportunities for existing fishermen should not be reduced by new entrants	1	2	3	4	5
b. Management should aim to maximize the possible number of fishermen	1	2	3	4	5
c. Fishing areas should belong to the fishermen who use them and should be off limits to others	1	2	3	4	5
d. Management can change quickly when conditions (income, stock levels, safety) change	1	2	3	4	5
e. I think the goals of the management plan for my primary fishery are being met	1	2	3	4	5
f. I think the management plan for my primary fishery helps protect the number of fish	1	2	3	4	5
g. In my primary fishery, I am able to fish when I want	1	2	3	4	5
h. In my primary fishery, I am able to fish where I want	1	2	3	4	5

In the following questions, please tell us about any insurance you may have.

36. Did you or members of your family have health insurance in 2010? (Please circle one)

1. YES (If YES, Continue with Question #36, below)
2. NO (If NO, Go to Question #38, below)

37. If YES, does this health insurance cover (please check all that apply)

a. Yourself	YES ☐	NO ☐
b. Your spouse or another adult	YES ☐	NO ☐
c. Your or your spouse's children	YES ☐	NO ☐

38. Where do you get your insurance coverage from?

1. Spouse's place of employment
2. Own private insurance
3. Federal or State insurance program
4. Other

39. Did you have hull insurance in 2010?

1. YES
2. NO

40. Did you have liability insurance (protection and indemnity insurance) for your crew in 2010?

1. YES
2. NO

In the following section, we are interested in commercial fishing as a lifestyle and how satisfied you are with that lifestyle

41. How satisfied or dissatisfied are you with the following items relating to the job of fishing? (Please circle one number for each item).

	Extremely dissatisfied	Somewhat dissatisfied	Neither satisfied or dissatisfied	Somewhat satisfied	Extremely satisfied
a. Your actual earnings.....	1	2	3	4	5
b. The amount of time spent away from home	1	2	3	4	5
c. Adventure of the job	1	2	3	4	5

42. Please indicate the extent to which you agree or disagree with the following statements about fishing as a career. (Please circle one number for each item).

	Strongly disagree	Disagree	Neutral	Agree	Strongly agree
a. I feel like I am a leader in my local community	1	2	3	4	5
b. I feel like I am a leader in my primary fishery.....	1	2	3	4	5
c. I am proud to identify myself as a fishermen.....	1	2	3	4	5
d. I feel a strong connection to other fishermen in the community.....	1	2	3	4	5
e. I feel a weak connection to other fishermen in my primary fishery	1	2	3	4	5
f. I enjoy fishing	1	2	3	4	5
g. Fishing is just a job to me	1	2	3	4	5
h. Leaving the fishing industry is something that I have considered.....	1	2	3	4	5
i. I want to continue fishing but only part-time.....	1	2	3	4	5

43. Would you advise a young person to enter fishing?

1. YES
2. NO

WHY?_____

_____

44. Would you still be a commercial fisherman if you had your life to live over?

1. YES
2. NO

WHY?_____

_____

45. In 2010, did you regularly fish alone with or with a group of vessels?

1. Alone (Please continue to Question #45, below)
2. A group of vessels (Please go to Question #46, below)

46. If your answer to Question 44 was with "a group of vessels" is it typically the same group of vessels?

1. YES
2. NO

The following questions will help us improve our understanding of commercial fishermen. The information you provide us will remain strictly confidential. Your name will never be associated with your answers

47. How old you are? _____ Years

48. Which racial category best describes you? (Please circle one or more)

1. American Indian or Alaskan Native
2. Asian
3. Black or African American
4. Native Hawaiian or other Pacific Islander
5. White
6. Some other race (alone)

49. Would you classify yourself as Spanish/Hispanic/Latino? (please circle one)

1. Spanish/Hispanic/Latino
2. Not Spanish/Hispanic/Latino

50. What is your ancestry? _____ (For example: Norwegian, Portuguese, Polish etc)

51. What is the primary language you speak at home? _____

52. Where were you born?

1. In the United States - print the name of the State _____
2. Outside the United States - print the name of the foreign country _____

53. Where did you live in 2010? _____ Town _____ State

54. How many people lived in your primary household in 2010?

_____ Adults and _____ children under 18

55. What was your marital status in 2010?

1. Married
2. Widowed
3. Divorced
4. Separated
5. Single
6. Living with a partner

56. How many years have you been involved in commercial fishing? _____ Years

57. How many generations of your family have fished commercially including yourself?
_____ Generations

58. Which category best describes the highest level of education that you have completed?

1. Did not complete high school _____ Grade completed
2. High school diploma/equivalency
3. Associate's/ two year degree
4. Bachelor's/ four year degree
5. Graduate degree

Is there anything else about commercial fishing or this questionnaire you would like to share with us?

_____

_____

_____

_____

_____

_____

_____

_____

_____

_____

_____

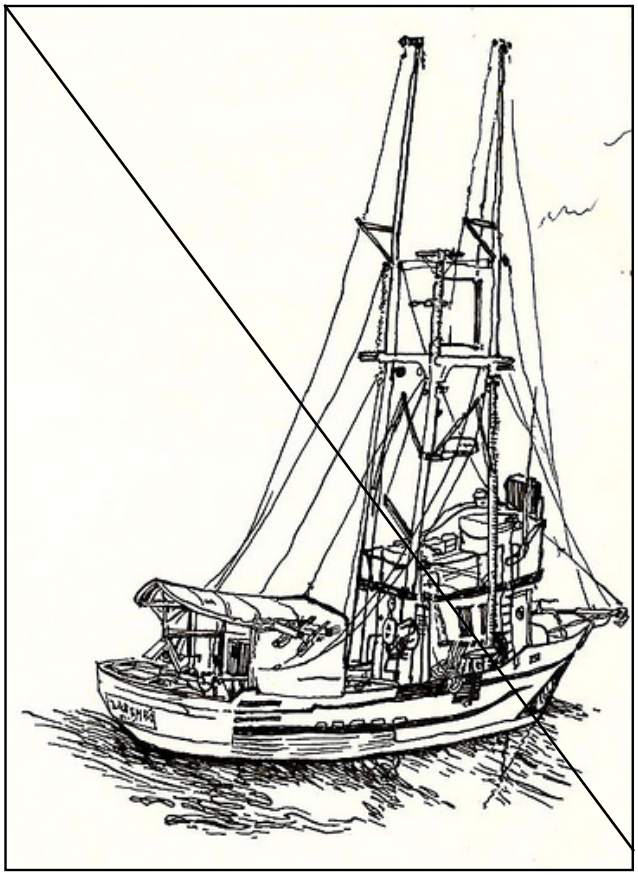
Your contribution to this effort is greatly appreciated. Please return your completed questionnaire in the postage-paid envelope as soon as possible. Thank you!

Please direct all inquiries to:

Matthew McPherson
NOAA's National Marine Fisheries Service
Northeast Fisheries Science Center
166 Water Street
Woods Hole, MA 02543-1026 (Tel: 508-495-2000)

OMB Control No. 0648-XXXX
Expiration Date: mm/dd/yyyy

Survey on the Socio-economic Aspects of Commercial Fishing Vessel Owners in the Northeast and Mid-Atlantic



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In the following questions, please tell us about your fishing in 2010. The information you provide will remain strictly confidential and you will not be identified with your answers.

1. What are the top three species of fish you targeted during 2010, and what was your primary gear for each?

Species Primary gear used

1. _____
2. _____
3. _____

2. What is your primary fishery? (Please circle one)

1. Black Sea Bass
2. Herring
3. Lobster
4. Mackerel
5. Monkfish
6. Multispecies, sectors
7. Multispecies, common pool
8. Red Crab
9. Scallop, general category IFQ
10. Scallop, general category non-IFQ
11. Scallop, limited access
12. Scup
13. Skate
14. Spiny Dogfish
15. Squid, Illex
16. Squid, Loligo
17. Summer Flounder
18. Surf Clam/Ocean Quahog
19. Tilefish
20. Other _____

3. Why do you consider it to be your primary fishery? (Please circle one)

1. I earn the most revenue from this fishery
2. I spend the most time in this fishery
3. It is the fishery I most want to continue in
4. Other (please state)_____

4. How many commercial fishing vessels do you own by yourself? _____ Vessel(s)

5. How many commercial vessels do you own with other people? _____ Vessel(s)

6. How many commercial vessels did you purchase or sell during 2010?

1. Number of commercial vessels that you own yourself that you sold _____ Vessel(s)
2. Number of group-owned commercial vessels that you sold your interest in _____Vessel(s)
3. Number of commercial vessels that you purchased by yourself _____ Vessel(s)
4. Number of commercial vessels that you purchased an interest in _____ Vessel(s)

7. In the table below, please list all major activities (including investments) that you earned income from in 2010, including fishing, starting with the most important. Estimate the percentage that each contributed to your total household income.

	Activity	% Household Income
Most important		
Second most important		
Third most important		
Fourth most important		

8. Was the level of fishing income in 2010 enough to sustain your fishing business over the following time frames? (Please circle one response for each time period)

1. Short Term YES NO
2. Medium Term YES NO
3. Long Term YES NO

Please think about your fishing business and answer the following questions about your family's involvement

9. Are any members of your family (for example, parents, children, siblings, uncles/aunts, cousins, in-laws) involved in commercial fishing or other fishing related activities (for example, book-keeping, provisioning the vessel, marketing)?

1. YES (If YES, Continue with Question #10, below)
2. NO (If NO, Go to Question #15)

10. How many members of your family are involved in commercial fishing on *your* vessel?

_____ Family members (If the answer is NONE, go to Question #13, below)

11. For these family members, how has their level of involvement changed in the last year?

1. Increased
2. Remained the same
3. Decreased

12. How many members of your family are involved in other fishing-related activities that support *your* fishing business (refer to categories in question 9)?

_____ Family members (If the answer is NONE, go to Question #14, below)

13. For these family members, how do you think their level of involvement has changed in the last year?

1. Increased
2. Remained the same
3. Decreased.

14. How many members of your family are involved in commercial fishing or fishing-related businesses *other than your own*?

_____ Family members

Please answer the following questions based on your fishing activities on your primary vessel in your primary fishery.

15. In what port did you usually moor your vessel between fishing trips during 2010?

Port_____ State _____

16. What was your primary port of landing in 2010?

Port_____ State _____

17. Which of the following factors contributed the most to your decision regarding the *amount of time* to spend fishing using your vessel during 2010?

- ☐ Personal preference
- ☐ Regulations on days-at-sea
- ☐ Quota limitations
- ☐ Physical conditions of vessel or gear
- ☐ Limitations due to weather
- ☐ Price of fish
- ☐ Other _____

18. For your vessel in 2010, which best describes how the crew were paid:

1. A share system (revenues and expenses were shared between the vessel owner and crew)
2. Per-trip
3. Hourly wage
4. Other _____

If your answer to Question #18 was "1. A share system" please continue to Question #19. If not, please go to Question #22.

19. For share systems, what were the typical percentages share that you distributed to the boat, captain and crew?

_____ % Boat (owner) share
_____ % Captain share
_____ % Crew share
100 %

20. For share systems, which trip expenses were usually deducted? (Please check all that apply)

- ☐ Fuel
- ☐ Water
- ☐ Oil/lubrication
- ☐ Lost/damaged gear
- ☐ Fishing quota or days-at-sea
- ☐ Food
- ☐ Bait
- ☐ Unloading fees
- ☐ Settlement fees
- ☐ Ice
- ☐ Electronics
- ☐ Cell phone
- ☐ General fishing supplies (hooks, bags, totes, gloves, etc.)
- ☐ Other _____

21. How were the expenses for each trip deducted?

1. Expenses were deducted from gross sales (total) and the remainder were split between the boat and crew
2. Expenses were deducted from the crew's share *after* the gross sales (total) were divided between boat and crew
3. Expenses were deducted from the boat's share *after* the gross sales (total) were divided between boat and crew
4. Not applicable

22. Was the vessel owner-operated or was a captain hired in 2010?

1. Owner-operated
2. Hired captain

23. What was the average size of the crew in 2010 for your vessel? (include the captain, or include yourself if your vessel is owner-operated)?

_____ Members

24. Did you hire any new crew previously not employed by you for your primary vessel in 2010? If so how many?

_____ Members

In the following questions, please tell us how you feel about the amount of fish you are allowed to catch

25. Please indicate the extent to which you agree or disagree with the following statements regarding the amount of fish you are able to catch in your primary fishery under current management conditions. (Please circle one number for each of the following items).

	Strongly disagree	Disagree	Neutral	Agree	Strongly agree
a. I feel that the amount of fish I catch under current management regulations is too low because it does not cover my investment in my boat.....	1	2	3	4	5
b. It would be fairer if everyone could catch the same amount of fish each year.....	1	2	3	4	5
c. Restrictions on the amount of fish I am allowed to catch are unfair because I need to be able to catch more in order to sustain my livelihood as a fisherman.....	1	2	3	4	5
e. The resource should be allocated to those who need it most to survive as fishermen.....	1	2	3	4	5
f. I feel like the amount of fish I am able to catch is fair	1	2	3	4	5

26. In terms of lease and share prices, how difficult is it for new people to enter your primary fishery?

1. Very easy
2. Easy
3. Neither easy nor difficult
4. Difficult
5. Very difficult

In the following questions, please tell us about any insurance you may have

27. Did you or members of your family have health insurance in 2010?(Please circle one)

1. YES
2. NO

28. Did you have hull insurance in 2010?

1. YES
2. NO

In the following questions, please tell us how you feel about fisheries management

29. Have you ever participated in any aspect of federal fisheries management (such as attending meetings, writing letters, or serving on a committee)?

1. YES (If YES, Continue with Question #30, below)
2. NO (If NO, Go to Question #31, below)

If NO, please tell us why

_____

_____

_____

30. Please indicate the extent to which you agree or disagree with the following statements regarding the most recent federal government-led fisheries management process you participated in. (Please circle one number for each item).

	Strongly disagree	Disagree	Neutral	Agree	Strongly agree
a. Commercial fishermen have been effectively integrated into fisheries management decisions	1	2	3	4	5
b. I feel like fisheries managers are serious about involving commercial fishermen in the process of fisheries management	1	2	3	4	5
c. I do not feel welcome in public meetings about fisheries management	1	2	3	4	5
d. I feel like my opinions on fishing issues would be taken seriously if I chose to voice them in a formal setting	1	2	3	4	5
e. I do not trust the managing authorities to make the right decision when it comes to regulating fisheries	1	2	3	4	5

31. Please indicate the extent to which you agree or disagree with the following statements regarding the management of your primary fishery. (Please circle one number for each item).

	Strongly disagree	Disagree	Neutral	Agree	Strongly agree
a. Opportunities for existing fishermen should not be reduced by new entrants	1	2	3	4	5
b. Management should aim to maximize the possible number of fishermen	1	2	3	4	5
c. Fishing areas should belong to the fishermen who use them and should be off limits to others	1	2	3	4	5
d. Management can change quickly when conditions (income, stock levels, safety) change	1	2	3	4	5
e. I think the goals of the management plan for my primary fishery are being met	1	2	3	4	5
f. I think the management plan for my primary fishery helps protect the number of fish	1	2	3	4	5
g. In my primary fishery, I am able to fish when I want	1	2	3	4	5
h. In my primary fishery, I am able to fish where I want	1	2	3	4	5

32. Please indicate the extent to which you agree or disagree with the following statements concerning the federal government's role in creating the regulations that govern your primary fishery. (Please circle one number for each item).

	Strongly disagree	Disagree	Neutral	Agree	Strongly agree
a. I did not believe the information the people in charge of the process presented	1	2	3	4	5
b. The people in charge of the process were not fair to everyone involved	1	2	3	4	5
c. I had the right to appeal decisions that were being made that I thought were unfair	1	2	3	4	5
d. I had no opportunity to correct information that I thought was inaccurate	1	2	3	4	5
e. I had the opportunity to add new information that was relevant to the decision making process	1	2	3	4	5
f. I felt like the opinions of commercial fishermen were not taken seriously	1	2	3	4	5

33. Please indicate the extent to which you agree or disagree with the following statements about the responsibilities fishermen have. (Please circle one number for each item).

	Strongly disagree	Disagree	Neutral	Agree	Strongly agree
a. Fishermen have a responsibility to participate in the fisheries management process	1	2	3	4	5
b. I make every effort to ensure my actions do not harm the fishery unnecessarily	1	2	3	4	5
c. The ocean is very large, there is no way we can over fish it	1	2	3	4	5
d. The natural environment is important to me because that is how I make my living	1	2	3	4	5
e. The ocean is big enough to replenish itself	1	2	3	4	

34. For your primary fishery please indicate if you think the current levels of each of the following items are high, medium or low. (Please circle one number for each item).

a. Level of bycatch (catch of non-target species)	HIGH	MEDIUM	LOW
b. Level of discards (catch of target or non-target species that is thrown overboard)	HIGH	MEDIUM	LOW
c. Level of highgrading (low value fish thrown overboard in order to keep higher value fish)	HIGH	MEDIUM	LOW

35. For your primary fishery please indicate the extent to which you think each of the following items is increasing, decreseasing or staying the same (Please circle one number for each item).

	Significantly decreasing	Decreasing	Not changing	Increasing	Significantly increasing
a. Level of bycatch (catch of non-target species)	1	2	3	4	5
b. Level of discards (catch of target or non-target species that is thrown overboard)	1	2	3	4	5
c. Level of highgrading (low value fish thrown overboard in order to keep higher value fish)	1	2	3	4	5

In the following section, we are interested in commercial fishing as a lifestyle and how satisfied you are with that lifestyle

36. Would you advise a young person to enter fishing?

1. YES
2. NO

WHY?_____

_____

37. Would you still be a commercial fisherman if you had your life to live over?

1. YES
2. NO

WHY?_____

_____

38. Please indicate the extent to which you agree or disagree with the following statements about fishing as a career. (Please circle one number for each item).

	Strongly disagree	Disagree	Neutral	Agree	Strongly agree
a. I feel like I am a leader in my local community	1	2	3	4	5
b. I feel like I am a leader in my primary fishery	1	2	3	4	5
c. I am proud to identify myself as a fishermen	1	2	3	4	5
c. I feel a strong connection to other fishermen in the community	1	2	3	4	5
d. I feel a weak connection to other fishermen in my primary fishery	1	2	3	4	5
e. I enjoy fishing	1	2	3	4	5
f. Fishing is just a job to me	1	2	3	4	5
g. Leaving the fishing industry is something that I have considered	1	2	3	4	5
h. I want to continue fishing but only part-time	1	2	3	4	5

39. How satisfied or dissatisfied are you with the following items relating to the job of fishing? (Please circle one number for each item).

	Extremely dissatisfied	Somewhat dissatisfied	Neither satisfied or dissatisfied	Somewhat satisfied	Extremely satisfied
a. Your actual earnings	1	2	3	4	5
b. The predictability of your earnings	1	2	3	4	5
c. Job safety	1	2	3	4	5
d. The amount of time spent away from home	1	2	3	4	5
e. Physical fatigue of the job	1	2	3	4	5
f. Healthfulness of the job	1	2	3	4	5
g. Adventure of the job	1	2	3	4	5
h. Challenge of the job	1	2	3	4	5
i. Opportunity to be your own boss	1	2	3	4	5
j. The overall health of the marine environment	1	2	3	4	5

40. In general, how satisfied are you with the following items? (Please circle one number for each item)

	Extremely dissatisfied	Somewhat dissatisfied	Neither satisfied or dissatisfied	Somewhat satisfied	Extremely satisfied
a. Your life	1	2	3	4	5
b. Your physical health	1	2	3	4	5

41. How often do you feel happy?

1. Never
2. Not often
3. Neutral
4. Often
5. All the time

The following questions will help us improve our understanding of commercial fishermen. The information you provide us will remain strictly confidential. Your name will never be associated with your answers

42. How old you are? _____ Years

43. Which racial category best describes you? (Please circle one or more)

1. American Indian or Alaskan Native
2. Asian
3. Black or African American
4. Native Hawaiian or other Pacific Islander
5. White
6. Some other race (alone)

44. Would you classify yourself as Spanish/Hispanic/Latino? (Please circle one)

1. Spanish/Hispanic/Latino
2. Not Spanish/Hispanic/Latino

45. What is your ancestry? _____

(For example: Norwegian, Portuguese, Polish, Brazilian etc)

46. What is the primary language you speak at home? _____

47. Where were you born?

1. In the United States - print the name of the State _____
2. Outside the United States - print the name of the foreign country _____

48. Where did you live in 2010? _____ Town _____ State

49. What was your marital status in 2010?

1. Married
2. Widowed
3. Divorced
4. Separated
5. Single
6. Living with a partner

50. How many people lived in your primary household in 2010? _____ Adults and _____ children under 18

51. How many years have you been involved in commercial fishing _____ Years

52. How many generations of your family have fished commercially including yourself?_____ Generations

53. Which category best describes the highest level of education that you have completed?

1. Did not complete high school _____ Grade completed
2. High school diploma/equivalency
3. Associate's/ two year degree
4. Bachelor's/ four year degree
5. Graduate degree

Is there anything else about commercial fishing or this questionnaire you would like to share with us?

_____

_____

_____

_____

_____

_____

_____

_____

Your contribution to this effort is greatly appreciated. Please return your completed questionnaire in the postage-paid envelope as soon as possible. Thank you!

Please direct all inquiries to:

Matthew McPherson
NOAA's National Marine Fisheries Service
Northeast Fisheries Science Center
166 Water Street
Woods Hole, MA 02543-1026 (Tel: 508-495-2000)

VERSION 2

OMB Control No. 0648-XXXX
Expiration Date: mm/dd/yyyy

Survey on the Socio-economic Aspects of Commercial Fishing Crew in the Northeast and Mid-Atlantic

Public reporting burden for this collection of information is estimated to average 30 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other suggestions for reducing this burden to Matthew McPherson, NOAA Line office, 166 Water Street, Woods Hole, MA, 02543-1026.

Responses to this information request are confidential under section 402(b) of the Magnuson-Stevens Act as amended in 2006. Responses are also confidential under NOAA Administrative Order 216-100, which sets forth procedures to protect confidentiality of 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.

In the following questions, please tell us about your fishing in 2010. The information you provide will remain strictly confidential and you will not be identified with your answers.

1. What is your primary fishery? (Please circle one)

1. Black Sea Bass
2. Herring
3. Lobster
4. Mackerel
5. Monkfish
6. Multispecies, sectors
7. Multispecies, common pool
8. Red Crab
9. Scallop, general category IFQ
10. Scallop, general category non-IFQ
11. Scallop, limited access
12. Scup
13. Skate
14. Spiny Dogfish
15. Squid, Illex
16. Squid, Loligo
17. Summer Flounder
18. Surf Clam/Ocean Quahog
19. Tilefish
20. Other _____

2. Why do you consider it to be your primary fishery? (Please circle one)

1. I earn the most revenue from this fishery
2. I spend the most time in this fishery
3. It is the fishery I most want to continue in
4. Other (please state)_____

3. What port did you primarily work out of in 2010?

Port_____ State _____

4. In the table below, please list all major activities (including investments) that you earned income from in 2010, including fishing, starting with the most important. Estimate the percentage that each contributed to your total household income.

	Activity	% Household Income
Most important		
Second most important		
Third most important		
Fourth most important		

Within your primary fishery, consider the vessel you worked on the most in 2010. Please answer the following questions based on your fishing activities on that primary vessel.

5. **In what port did your vessel usually moor between fishing trips during 2010?**

Port_____ State _____

6. **What was the main port of landing for that vessel in 2010?**

Port_____ State _____

7. **How many days did a typical trip last before returning to port?**

_____**Days**

8. **What was the average size of the crew in 2010 (including the captain)?**

_____ Members

9. **How many hours per day did you usually work while on a fishing trip?**

_____ Hours

10. **Are any members of your family (for example, parents, children, siblings, uncles/aunts, cousins, in-laws) involved in commercial fishing or other fishing-related activities (for example, book-keeping, provisioning the vessel, marketing)?**

1. YES
2. NO

Please think about the expenditures for your primary fishery in your primary vessel. Please tell us about how revenues and expenses are distributed amongst crew.

11. For your vessel in 2010, which best describes how the crew were paid:

1. A share system (revenues and expenses were shared between the vessel owner and crew)
2. Per-trip
3. Hourly wage
4. Other _____

If your answer to Question #11 was "1. A share system" please continue to Question 12. If not, please go to Question 15.

12. For share systems, what were the typical percentages distributed to the boat, captain and crew?

_____ % Boat (owner) share
_____ % Captain share
_____ % Crew share
100 %

13. For share systems, which trip expenses were usually deducted? (Please check all that apply)

- ☐ Fuel
- ☐ Water
- ☐ Oil/lubrication
- ☐ Lost/damaged gear
- ☐ Fishing quota or days-at-sea
- ☐ Food
- ☐ Bait
- ☐ Unloading fees
- ☐ Settlement fees
- ☐ Ice
- ☐ Electronics
- ☐ Cell phone
- ☐ General fishing supplies (hooks, bags, totes, gloves, etc.)
- ☐ Other _____

14. How were the expenses for each trip deducted?

1. Expenses were deducted from gross sales (total) and the remainder were split between the boat and crew
2. Expenses were deducted from the crew's share *after* the gross sales (total) were divided between boat and crew
3. Expenses were deducted from the boat's share *after* the gross sales (total) were divided between boat and crew
4. Not applicable

15. What was your position on the vessel in 2010? (Please circle all that apply)

1. Captain
2. Deck hand
3. Engine mechanic
4. Cook
5. Other_____

16. If you were the captain, did you have anyone from your immediate family help you with your duties (such as provisioning the vessel, selling the catch, etc.)?

1. YES 2. NO

17. What was the first crew position you ever had when you began fishing (for example cook, mechanic, deckhand, electrician)?

_____

18. What were your duties on the vessel you worked on in 2010?

_____

_____

19. How were you hired for the vessel you worked on in 2010? (Please circle one)

1. Word of mouth
2. Referred by a friend
3. Related to owner
4. Previous work with the same vessel
5. Advertisement
6. Other _____

20. How difficult was it to find employment on a vessel in 2010?

1. Very easy
2. Easy
3. Neither easy nor difficult
4. Difficult
5. Very difficult

21. How many consecutive years have you worked on your vessel?

_____ Years

22. How many different vessel owners did you work for in 2010?

_____ Vessel owners

In the following questions, please tell us how you feel about the process of fisheries management

23. Have you ever participated in any aspect of federal fisheries management (such as attending meetings, writing letters, or serving on a committee)?

1. YES (If YES, Continue with Question #24, below)
2. NO (If NO, Go to Question #25, below)

If no, please tell us why_____

24. Please indicate the extent to which you agree or disagree with the following statements regarding the most recent federal government-led fisheries management process you participated in. (Please circle one number for each item).

	Strongly disagree	Disagree	Neutral	Agree	Strongly agree
a. Commercial fishermen have been effectively integrated into fisheries management decisions	1	2	3	4	5
b. I feel like fisheries managers are serious about involving commercial fishermen in the process of fisheries management	1	2	3	4	5
c. I do not feel welcome in public meetings about fisheries management	1	2	3	4	5
d. I feel like my opinions on fishing issues would be taken seriously if I chose to voice them in a formal setting	1	2	3	4	5
e. I do not trust the managing authorities to make the right decision when it comes to regulating fisheries	1	2	3	4	5

25. Please indicate the extent to which you agree or disagree with the following statements concerning the federal government's role in creating the regulations that govern your primary fishery. (Please circle one number for each item).

	Strongly disagree	Disagree	Neutral	Agree	Strongly agree
a. I did not believe the information the people in charge of the process presented.....	1	2	3	4	5
b. The people in charge of the process were not equally fair to everyone involved.....	1	2	3	4	5
c. I had the right to appeal decisions that were being made that I thought were unfair	1	2	3	4	5
d. I had no opportunity to correct information that I thought was inaccurate	1	2	3	4	5
e. I had the opportunity to add new information that was relevant to the decision making process.....	1	2	3	4	5
f. I felt like the opinions of commercial fishermen were not taken seriously	1	2	3	4	5

In the following questions, please tell us how you feel about the regulations in your primary fishery

26. Please indicate the extent to which you agree or disagree with the following statements regarding the rules and regulations in your primary fishery. (Please circle one number for each item).

	Strongly disagree	Disagree	Neutral	Agree	Strongly agree
a. Information about the rules and regulations that govern my primary fishery is easy to find	1	2	3	4	5
b. The rules and regulations are easy to follow	1	2	3	4	5
c. The rules and regulations change so quickly it is hard to keep up	1	2	3	4	5
d. We are told about any changes to the rules and regulations in plenty of time to be able to make any necessary adjustments	1	2	3	4	5
e. The fines that are associated with breaking the rules and regulations of my primary fishery are fair	1	2	3	4	5
f. I understand the rules and regulations in my primary fishery	1	2	3	4	5
g. I feel that the regulations in my primary fishery are too restrictive	1	2	3	4	5
h. Although I agree with most of the regulations in my primary fishery, I think some of them are unfair	1	2	3	4	5

27. Please indicate the extent to which you agree or disagree with the following statements regarding the management of your primary fishery. (Please circle one number for each item).

	Strongly disagree	Disagree	Neutral	Agree	Strongly agree
a. Opportunities for existing fishermen should not be reduced by new entrants	1	2	3	4	5
b. Management should aim to maximize the possible number of fishermen	1	2	3	4	5
c. Fishing areas should belong to the fishermen who use them and should be off limits to others	1	2	3	4	5
d. Management can change quickly when conditions (income, stock levels, safety) change	1	2	3	4	5
e. I think the goals of the management plan for my primary fishery are being met	1	2	3	4	5
f. I think the management plan for my primary fishery helps protect the number of fish	1	2	3	4	5
g. In my primary fishery, I am able to fish when I want	1	2	3	4	5
h. In my primary fishery, I am able to fish where I want	1	2	3	4	5

28. For your primary fishery please indicate if you think the current levels of each of the following items are high, medium or low. (Please circle one number for each item).

a. Level of bycatch (catch of non-target species)	HIGH	MEDIUM	LOW
b. Level of discards (catch of target or non-target species that is thrown overboard)	HIGH	MEDIUM	LOW
c. Level of highgrading (low value fish thrown overboard in order to keep higher value fish)	HIGH	MEDIUM	LOW

29. For your primary fishery please indicate the extent to which you think each of the following items is increasing, decreseasing or staying the same (Please circle one number for each item).

	Significantly decreasing	Decreasing	Not changing	Increasing	Significantly increasing
a. Level of bycatch (catch of non-target species)	1	2	3	4	5
b. Level of discards (catch of target or non-target species that is thrown overboard)	1	2	3	4	5
c. Level of highgrading (low value fish thrown overboard in order to keep higher value fish)	1	2	3	4	5

30. Please indicate the extent to which you agree or disagree with the following statements about the responsibilities fishermen have. (Please circle one number for each item).

	Strongly disagree	Disagree	Neutral	Agree	Strongly agree
a. Fishermen have a responsibility to participate in the fisheries management process	1	2	3	4	5
b. I make every effort to ensure my actions do not harm the fishery unnecessarily	1	2	3	4	5
c. The ocean is very large, there is no way we can over fish it	1	2	3	4	5
d. The natural environment is important to me because that is how I make my living	1	2	3	4	5
e. The ocean is big enough to replenish itself.....	1	2	3	4	5

In the following questions, please tell us about any insurance you may have

31. Did you or members of your family have health insurance in 2010?

1. YES (If YES, Continue with Question #32, below)
2. NO (If NO, Go to Question #34, on the next page)

32. If YES, does this health insurance cover (please check all that apply)

a. Yourself	YES ☐	NO ☐
b. Your spouse or another adult	YES ☐	NO ☐
c. Your or your spouse's children	YES ☐	NO ☐

33. Where do you get your insurance coverage from?

1. Spouse's place of employment
2. Own private insurance
3. Federal or State insurance program
4. Other

In the following section, we are interested in commercial fishing as a lifestyle and how satisfied you are with that lifestyle

34. Please indicate the extent to which you agree or disagree with the following statements about fishing as a career. (Please circle one number for each item).

	Strongly disagree	Disagree	Neutral	Agree	Strongly agree
a. I feel like I am a leader in my local community	1	2	3	4	5
b. I feel like I am a leader in my primary fishery	1	2	3	4	5
c. I am proud to identify myself as a fishermen.....	1	2	3	4	5
d. I feel a strong connection to other fishermen in the community.....	1	2	3	4	5
e. I feel a weak connection to other fishermen in my primary fishery	1	2	3	4	5
f. I enjoy fishing	1	2	3	4	5
g. Fishing is just a job to me	1	2	3	4	5
h. Leaving the fishing industry is something that I have considered.....	1	2	3	4	5
i. I want to continue fishing but only part-time.....	1	2	3	4	5

35. Would you advise a young person to enter fishing?

1. YES
2. NO

WHY?_____

_____

36. Would you still be a commercial fisherman if you had your life to live over?

1. YES
2. NO

WHY?_____

_____

37. How satisfied or dissatisfied are you with the following items relating to the job of fishing? (Please circle one number for each item).

	Extremely dissatisfied	Somewhat dissatisfied	Neither satisfied or dissatisfied	Somewhat satisfied	Extremely satisfied
a. Your actual earnings	1	2	3	4	5
b. The predictability of your earnings	1	2	3	4	5
c. Job safety	1	2	3	4	5
d. The amount of time spent away from home	1	2	3	4	5
e. Physical fatigue of the job	1	2	3	4	5
f. Healthfulness of the job	1	2	3	4	5
g. Adventure of the job	1	2	3	4	5
h. Challenge of the job	1	2	3	4	5
i. Opportunity to be your own boss	1	2	3	4	5
j. The overall health of the marine environment	1	2	3	4	5

38. In general, how satisfied are you with the following items? (Please circle one number for each item)

	Extremely dissatisfied	Somewhat dissatisfied	Neither satisfied or dissatisfied	Somewhat satisfied	Extremely satisfied
a. Your life	1	2	3	4	5
b Your physical health	1	2	3	4	5

39. How often do you feel happy?

1. Never
2. Not often
3. Neutral
4. Often
5. All the time

The following questions will help us improve our understanding of commercial fishermen. The information you provide us will remain strictly confidential. Your name will <u>never</u> be associated with your answers

40. How old you are? _____ Years

41. Which racial category best describes you? (please circle all the apply)

1. American Indian or Alaskan Native
2. Asian
3. Black or African American
4. Hispanic or Latino
5. Native Hawaiian or other Pacific Islander
6. White
7. Some other race (alone)

42. What is your ancestry or ethnic origin? (For example: Norwegian, Portuguese, Polish, Brazilian etc)

_____

43. What is the primary language you speak at home?

_____

44. Where were you born?

1. In the United States - print the name of the State _____
2. Outside the United States - print the name of the foreign country _____

45. Where did you live in 2010?

_____ Town

_____ State

46. What was your marital status in 2010?

1. Married
2. Widowed
3. Divorced
4. Separated
5. Single
6. Living with a partner

47. How many people lived in your primary household in 2010?

_____ Adults and _____ children under 18

48. How many years have you been involved in commercial fishing?

_____ Years

49. How many generations of your family have fished commercially including yourself?

_____ Generations

50. Which category best describes the highest level of education that you have completed?

1. Did not complete high school _____ Grade completed
2. High school diploma/equivalency
3. Associate's/ two year degree
4. Bachelor's/ four year degree
5. Graduate degree

51. Which of the following categories best describes your annual fishing income in 2010?

1. Under $5,000
2. $5,000 to $9,999
3. $10,000 to $14,999
4. $15,000 to $19,999
5. $20,000 to $24,999
6. $25,000 to $29,999
7. $30,000 to $34,999
8. $35,000 to $39,999
9. $40,000 to $44,999
10. $45,000 to $49,999
11. $50,000 to $59,999
12. $60,000 to $74,999
13. $75,000 to $99,999
14. $100,000 to $149,999
15. $150,000 or More

Is there anything else about commercial fishing or this questionnaire you would like to share with us?

Your contribution to this effort is greatly appreciated. Thank you!

Please direct all inquiries to:

Matthew McPherson
NOAA's National Marine Fisheries Service
Northeast Fisheries Science Center
166 Water Street
Woods Hole, MA 02543-1026 (Tel: 508-495-2000)

TITLE III—NATIONAL FISHERY MANAGEMENT PROGRAM

SEC. 301. NATIONAL STANDARDS FOR FISHERY CONSERVATION AND MANAGEMENT — 16 U.S.C. 1851

(a) IN GENERAL.—Any fishery management plan prepared, and any regulation promulgated to implement any such plan, pursuant to this title shall be consistent with the following national standards for fishery conservation and management:

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(1) Conservation and management measures shall prevent overfishing while achieving, on a continuing basis, the optimum yield from each fishery for the United States fishing industry.

(2) Conservation and management measures shall be based upon the best scientific information available.

(3) To the extent practicable, an individual stock of fish shall be managed as a unit throughout its range, and interrelated stocks of fish shall be managed as a unit or in close coordination.

(4) Conservation and management measures shall not discriminate between residents of different States. If it becomes necessary to allocate or assign fishing privileges among various United States fishermen, such allocation shall be (A) fair and equitable to all such fishermen; (B) reasonably calculated to promote conservation; and (C) carried out in such manner that no particular individual, corporation, or other entity acquires an excessive share of such privileges.

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(5) Conservation and management measures shall, where practicable, consider efficiency in the utilization of fishery resources; except that no such measure shall have economic allocation as its sole purpose.

(6) Conservation and management measures shall take into account and allow for variations among, and contingencies in, fisheries, fishery resources, and catches.

(7) Conservation and management measures shall, where practicable, minimize costs and avoid unnecessary duplication.

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(8) Conservation and management measures shall, consistent with the conservation requirements of this Act (including the prevention of overfishing and rebuilding of overfished stocks), take into account the importance of fishery resources to fishing communities by utilizing economic and social data that meet the requirements of paragraph (2), in order to (A) provide for the sustained participation of such communities, and (B) to the extent practicable, minimize adverse economic impacts on such communities.

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(9) Conservation and management measures shall, to the extent practicable, (A) minimize bycatch and (B) to the extent bycatch cannot be avoided, minimize the mortality of such bycatch.

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(10) Conservation and management measures shall, to the extent practicable, promote the safety of human life at sea.

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(b) GUIDELINES.—The Secretary shall establish advisory guidelines (which shall not have the force and effect of law), based on the national standards, to assist in the development of fishery management plans.

SEC. 302. REGIONAL FISHERY MANAGEMENT COUNCILS 16 U.S.C. 1852

97-453, 101-627, 104-297

(a) ESTABLISHMENT.—

(1) There shall be established, within 120 days after the date of the enactment of this Act, eight Regional Fishery Management Councils, as follows:

(A) NEW ENGLAND COUNCIL.—The New England Fishery Management Council shall consist of the States of Maine, New Hampshire, Massachusetts, Rhode Island, and Connecticut and shall have authority over the fisheries in the Atlantic Ocean seaward of such States (except as provided in paragraph (3)). The New England Council shall have 17 voting members, including 11 appointed by the Secretary in accordance with subsection (b)(2) (at least one of whom shall be appointed from each such State).

(B) MID-ATLANTIC COUNCIL.—The Mid-Atlantic Fishery Management Council shall consist of the States of New York, New Jersey, Delaware, Pennsylvania, Maryland, Virginia, and North Carolina and shall have authority over the fisheries in the Atlantic Ocean seaward of such States (except North Carolina, and as provided in paragraph (3)). The Mid-Atlantic Council shall have 21 voting members, including 13 appointed by the Secretary in accordance with subsection (b)(2) (at least one of whom shall be appointed from each such State).

(C) SOUTH ATLANTIC COUNCIL.—The South Atlantic Fishery Management Council shall consist of the States of North Carolina, South Carolina, Georgia, and Florida and shall have authority over the fisheries in the Atlantic Ocean seaward of such States (except as provided in paragraph (3)). The South Atlantic Council shall have 13 voting members, including 8 appointed by the Secretary in accordance with subsection (b)(2) (at least one of whom shall be appointed from each such State).

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SEC. 402. INFORMATION COLLECTION **16 U.S.C. 1881a**

109-479
(a) COLLECTION PROGRAMS.—

(1) COUNCIL REQUESTS.—If a Council determines that additional information would be beneficial for developing, implementing, or revising a fishery management plan or for determining whether a fishery is in need of management, the Council may request that the Secretary implement an information collection program for the fishery which would provide the types of information specified by the Council. The Secretary shall undertake such an information collection program if he determines that the need is justified, and shall promulgate regulations to implement the program within 60 days after such determination is made. If the Secretary determines that the need for an information collection program is not justified, the Secretary shall inform the Council of the reasons for such determination in writing. The determinations of the Secretary under this paragraph regarding a Council request shall be made within a reasonable period of time after receipt of that request.

(2) SECRETARIAL INITIATION.—If the Secretary determines that additional information is necessary for developing, implementing, revising, or monitoring a fishery management plan, or for determining whether a fishery is in need of management, the Secretary may, by regulation, implement an information collection or observer program requiring submission of such additional information for the fishery.

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(b) CONFIDENTIALITY OF INFORMATION.—
(1) Any information submitted to the Secretary, a State fishery management agency, or a marine fisheries commission by any person in compliance with the requirements of this Act shall be confidential and shall not be disclosed except—
(A) to Federal employees and Council employees who are responsible for fishery management plan development, monitoring, or enforcement;
(B) to State or Marine Fisheries Commission employees as necessary to further the Department's mission, subject to a confidentiality agreement that prohibits public disclosure of the identity of business of any person;
(C) to State employees who are responsible for fishery management plan enforcement, if the States employing those employees have entered into a fishery enforcement agreement with the Secretary and the agreement is in effect;
(D) when required by court order;
(E) when such information is used by State, Council, or Marine Fisheries Commission employees to verify catch under a limited access program, but only to the extent that such use is consistent with subparagraph (B);
(F) when the Secretary has obtained written authorization from the person submitting such information to release such information to persons for reasons not otherwise provided for in this subsection, and such release does not violate other requirements of this Act;
(G) when such information is required to be submitted to the Secretary for any determination under a limited access program; or

(H) in support of homeland and national security activities, including the Coast Guard's homeland security missions as defined in section 888(a)(2) of the Homeland Security Act of 2002 (6 U.S.C. 468(a)(2)).

(2) Any observer information shall be confidential and shall not be disclosed, except in accordance with the requirements of subparagraphs (A) through (H) of paragraph (1), or—

(A) as authorized by a fishery management plan or regulations under the authority of the North Pacific Council to allow disclosure to the public of weekly summary bycatch information identified by vessel or for haul-specific bycatch information without vessel identification;

(B) when such information is necessary in proceedings to adjudicate observer certifications; or

(C) as authorized by any regulations issued under paragraph (3) allowing the collection of observer information, pursuant to a confidentiality agreement between the observers, observer employers, and the Secretary prohibiting disclosure of the information by the observers or observer employers, in order—

(i) to allow the sharing of observer information among observers and between observers and observer employers as necessary to train and prepare observers for deployments on specific vessels; or

(ii) to validate the accuracy of the observer information collected.

(3) The Secretary shall, by regulation, prescribe such procedures as may be necessary to preserve the confidentiality of information submitted in compliance with any requirement or regulation under this Act, except that the Secretary may release or make public any such information in any aggregate or summary form which does not directly or indirectly disclose the identity or business of any person who submits such information. Nothing in this subsection shall be interpreted or construed to prevent the use for conservation and management purposes by the Secretary, or with the approval of the Secretary, the Council, of any information submitted in compliance with any requirement or regulation under this Act or the use, release, or publication of bycatch information pursuant to paragraph (2)(A).

(c) RESTRICTION ON USE OF CERTAIN INFORMATION.—

(1) The Secretary shall promulgate regulations to restrict the use, in civil enforcement or criminal proceedings under this Act, the Marine Mammal Protection Act of 1972 (16 U.S.C. 1361 et seq.), and the Endangered Species Act (16 U.S.C. 1531 et seq.), of information collected by voluntary fishery data collectors, including sea samplers, while aboard any vessel for conservation and management purposes if the presence of such a fishery data collector aboard is not required by any of such Acts or regulations thereunder.

(2) The Secretary may not require the submission of a Federal or State income tax return or statement as a prerequisite for issuance of a permit until such time as the Secretary has promulgated regulations to ensure the confidentiality of information contained in such return or statement, to limit the information submitted to that necessary to achieve a demonstrated conservation and management purpose, and to provide appropriate penalties for violation of such regulations.

(d) CONTRACTING AUTHORITY.—Notwithstanding any other provision of law, the Secretary may provide a grant, contract, or other financial assistance on a sole-source basis to a State, Council, or Marine Fisheries Commission for the purpose of carrying out information collection or other programs if—

(1) the recipient of such a grant, contract, or other financial assistance is specified by statute to be, or has customarily been, such State, Council, or Marine Fisheries Commission; or

(2) the Secretary has entered into a cooperative agreement with such State, Council, or Marine Fisheries Commission.

(e) RESOURCE ASSESSMENTS.—

(1) The Secretary may use the private sector to provide vessels, equipment, and services necessary to survey the fishery resources of the United States when the arrangement will yield statistically reliable results.

(2) The Secretary, in consultation with the appropriate Council and the fishing industry--

(A) may structure competitive solicitations under paragraph (1) so as to compensate a contractor for a fishery resources survey by allowing the contractor to retain for sale fish harvested during the survey voyage;

(B) in the case of a survey during which the quantity or quality of fish harvested is not expected to be adequately compensatory, may structure those solicitations so as to provide that compensation by permitting the contractor to harvest on a subsequent voyage and retain for sale a portion of the allowable catch of the surveyed fishery; and

(C) may permit fish harvested during such survey to count toward a vessel's catch history under a fishery management plan if such survey was conducted in a manner that precluded a vessel's participation in a fishery that counted under the plan for purposes of determining catch history.

(3) The Secretary shall undertake efforts to expand annual fishery resource assessments in all regions of the Nation.

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SEC. 403. OBSERVERS **16 U.S.C. 1881b**

(a) GUIDELINES FOR CARRYING OBSERVERS.—Within one year after the date of enactment of the Sustainable Fisheries Act, the Secretary shall promulgate regulations, after notice and opportunity for public comment, for fishing vessels that carry observers. The regulations shall include guidelines for determining—

(1) when a vessel is not required to carry an observer on board because the facilities of such vessel for the quartering of an observer, or for carrying out observer functions, are so inadequate or unsafe that the health or safety of the observer or the safe operation of the vessel would be jeopardized; and

(2) actions which vessel owners or operators may reasonably be required to take to render such facilities adequate and safe.

The National Environmental Policy Act of 1969, as amended

(Pub. L. 91-190, 42 U.S.C. 4321-4347, January 1, 1970, as amended by Pub. L. 94-52, July 3, 1975, Pub. L. 94-83, August 9, 1975, and Pub. L. 97-258, ◆ 4(b), Sept. 13, 1982)

An Act to establish a national policy for the environment, to provide for the establishment of a Council on Environmental Quality, and for other purposes.

Be it enacted by the Senate and House of Representatives of the United States of America in Congress assembled, That this Act may be cited as the "National Environmental Policy Act of 1969."

Purpose

Sec. 2 [42 USC ◆ 4321].

The purposes of this Act are: To declare a national policy which will encourage productive and enjoyable harmony between man and his environment; to promote efforts which will prevent or eliminate damage to the environment and biosphere and stimulate the health and welfare of man; to enrich the understanding of the ecological systems and natural resources important to the Nation; and to establish a Council on Environmental Quality.

TITLE I

CONGRESSIONAL DECLARATION OF NATIONAL ENVIRONMENTAL POLICY

Sec. 101 [42 USC ◆ 4331].

(a) The Congress, recognizing the profound impact of man's activity on the interrelations of all components of the natural environment, particularly the profound influences of population growth, high-density urbanization, industrial expansion, resource exploitation, and new and expanding technological advances and recognizing further the critical importance of restoring and maintaining environmental quality to the overall welfare and development of man, declares that it is the continuing policy of the Federal Government, in cooperation with State and local governments, and other concerned public and private organizations, to use all practicable means and measures, including financial and technical assistance, in a manner calculated to foster and promote the general welfare, to create and maintain conditions under which man and nature can exist in productive harmony, and fulfill the social, economic, and other requirements of present and future generations of Americans.

(b) In order to carry out the policy set forth in this Act, it is the continuing responsibility of the Federal Government to use all practicable means, consistent with other essential considerations of national policy, to improve and coordinate Federal plans, functions, programs, and resources

to the end that the Nation may --

1. fulfill the responsibilities of each generation as trustee of the environment for succeeding generations;
2. assure for all Americans safe, healthful, productive, and aesthetically and culturally pleasing surroundings;
3. attain the widest range of beneficial uses of the environment without degradation, risk to health or safety, or other undesirable and unintended consequences;
4. preserve important historic, cultural, and natural aspects of our national heritage, and maintain, wherever possible, an environment which supports diversity, and variety of individual choice;
5. achieve a balance between population and resource use which will permit high standards of living and a wide sharing of life's amenities; and
6. enhance the quality of renewable resources and approach the maximum attainable recycling of depletable resources.

(c) The Congress recognizes that each person should enjoy a healthful environment and that each person has a responsibility to contribute to the preservation and enhancement of the environment.

Sec. 102 [42 USC ◆ 4332].

The Congress authorizes and directs that, to the fullest extent possible: (1) the policies, regulations, and public laws of the United States shall be interpreted and administered in accordance with the policies set forth in this Act, and (2) all agencies of the Federal Government shall --

(A) utilize a systematic, interdisciplinary approach which will insure the integrated use of the natural and social sciences and the environmental design arts in planning and in decisionmaking which may have an impact on man's environment;

(B) identify and develop methods and procedures, in consultation with the Council on Environmental Quality established by title II of this Act, which will insure that presently unquantified environmental amenities and values may be given appropriate consideration in decisionmaking along with economic and technical considerations;

(C) include in every recommendation or report on proposals for legislation and other major Federal actions significantly affecting the quality of the human environment, a detailed statement by the responsible official on --

(i) the environmental impact of the proposed action,

(ii) any adverse environmental effects which cannot be avoided should the

proposal be implemented,

(iii) alternatives to the proposed action,

(iv) the relationship between local short-term uses of man's environment and the maintenance and enhancement of long-term productivity, and

(v) any irreversible and irretrievable commitments of resources which would be involved in the proposed action should it be implemented.

Prior to making any detailed statement, the responsible Federal official shall consult with and obtain the comments of any Federal agency which has jurisdiction by law or special expertise with respect to any environmental impact involved. Copies of such statement and the comments and views of the appropriate Federal, State, and local agencies, which are authorized to develop and enforce environmental standards, shall be made available to the President, the Council on Environmental Quality and to the public as provided by section 552 of title 5, United States Code, and shall accompany the proposal through the existing agency review processes;

(D) Any detailed statement required under subparagraph (C) after January 1, 1970, for any major Federal action funded under a program of grants to States shall not be deemed to be legally insufficient solely by reason of having been prepared by a State agency or official, if:

(i) the State agency or official has statewide jurisdiction and has the responsibility for such action,

(ii) the responsible Federal official furnishes guidance and participates in such preparation,

(iii) the responsible Federal official independently evaluates such statement prior to its approval and adoption, and

(iv) after January 1, 1976, the responsible Federal official provides early notification to, and solicits the views of, any other State or any Federal land management entity of any action or any alternative thereto which may have significant impacts upon such State or affected Federal land management entity and, if there is any disagreement on such impacts, prepares a written assessment of such impacts and views for incorporation into such detailed statement.

The procedures in this subparagraph shall not relieve the Federal official of his responsibilities for the scope, objectivity, and content of the entire statement or of any other responsibility under this Act; and further, this subparagraph does not affect the legal sufficiency of statements prepared by State agencies with less than statewide jurisdiction.

(E) study, develop, and describe appropriate alternatives to recommended courses of action in any proposal which involves unresolved conflicts concerning alternative uses of available resources;

(F) recognize the worldwide and long-range character of environmental problems and, where consistent with the foreign policy of the United States, lend appropriate support to initiatives, resolutions, and programs designed to maximize international cooperation in anticipating and preventing a decline in the quality of mankind's world environment;

(G) make available to States, counties, municipalities, institutions, and individuals, advice and information useful in restoring, maintaining, and enhancing the quality of the environment;

(H) initiate and utilize ecological information in the planning and development of resource-oriented projects; and

(I) assist the Council on Environmental Quality established by title II of this Act.

Sec. 103 [42 USC ◆ 4333].

All agencies of the Federal Government shall review their present statutory authority, administrative regulations, and current policies and procedures for the purpose of determining whether there are any deficiencies or inconsistencies therein which prohibit full compliance with the purposes and provisions of this Act and shall propose to the President not later than July 1, 1971, such measures as may be necessary to bring their authority and policies into conformity with the intent, purposes, and procedures set forth in this Act.

Sec. 104 [42 USC ◆ 4334].

Nothing in section 102 [42 USC ◆ 4332] or 103 [42 USC ◆ 4333] shall in any way affect the specific statutory obligations of any Federal agency (1) to comply with criteria or standards of environmental quality, (2) to coordinate or consult with any other Federal or State agency, or (3) to act, or refrain from acting contingent upon the recommendations or certification of any other Federal or State agency.

Sec. 105 [42 USC ◆ 4335].

The policies and goals set forth in this Act are supplementary to those set forth in existing authorizations of Federal agencies.

TITLE II

COUNCIL ON ENVIRONMENTAL QUALITY

Sec. 201 [42 USC ◆ 4341].

The President shall transmit to the Congress annually beginning July 1, 1970, an Environmental Quality Report (hereinafter referred to as the "report") which shall set forth (1) the status and condition of the major natural, manmade, or altered environmental classes of the Nation, including, but not limited to, the air, the aquatic, including marine, estuarine, and fresh water, and the terrestrial environment, including, but not limited to, the forest, dryland, wetland, range, urban, suburban an rural environment; (2) current and foreseeable trends in the quality, management and utilization of such environments and the effects of those trends on the social, economic, and other requirements of the Nation; (3) the adequacy of available natural resources for fulfilling human and economic requirements of the Nation in the light of expected population pressures; (4) a review of the programs and activities (including regulatory activities) of the Federal Government, the State and local governments, and nongovernmental entities or individuals with particular reference to their effect on the environment and on the conservation, development and utilization of natural resources; and (5) a program for remedying the deficiencies of existing programs and activities, together with recommendations for legislation.

Sec. 202 [42 USC ◆ 4342].

There is created in the Executive Office of the President a Council on Environmental Quality (hereinafter referred to as the "Council"). The Council shall be composed of three members who shall be appointed by the President to serve at his pleasure, by and with the advice and consent of the Senate. The President shall designate one of the members of the Council to serve as Chairman. Each member shall be a person who, as a result of his training, experience, and attainments, is exceptionally well qualified to analyze and interpret environmental trends and information of all kinds; to appraise programs and activities of the Federal Government in the light of the policy set forth in title I of this Act; to be conscious of and responsive to the scientific, economic, social, aesthetic, and cultural needs and interests of the Nation; and to formulate and recommend national policies to promote the improvement of the quality of the environment.

Sec. 203 [42 USC ◆ 4343].

(a) The Council may employ such officers and employees as may be necessary to carry out its functions under this Act. In addition, the Council may employ and fix the compensation of such experts and consultants as may be necessary for the carrying out of its functions under this Act, in accordance with section 3109 of title 5, United States Code (but without regard to the last sentence thereof).

(b) Notwithstanding section 1342 of Title 31, the Council may accept and employ voluntary and

uncompensated services in furtherance of the purposes of the Council.

Sec. 204 [42 USC ◆ 4344].

It shall be the duty and function of the Council --

1. to assist and advise the President in the preparation of the Environmental Quality Report required by section 201 [42 USC ◆ 4341] of this title;
2. to gather timely and authoritative information concerning the conditions and trends in the quality of the environment both current and prospective, to analyze and interpret such information for the purpose of determining whether such conditions and trends are interfering, or are likely to interfere, with the achievement of the policy set forth in title I of this Act, and to compile and submit to the President studies relating to such conditions and trends;
3. to review and appraise the various programs and activities of the Federal Government in the light of the policy set forth in title I of this Act for the purpose of determining the extent to which such programs and activities are contributing to the achievement of such policy, and to make recommendations to the President with respect thereto;
4. to develop and recommend to the President national policies to foster and promote the improvement of environmental quality to meet the conservation, social, economic, health, and other requirements and goals of the Nation;
5. to conduct investigations, studies, surveys, research, and analyses relating to ecological systems and environmental quality;
6. to document and define changes in the natural environment, including the plant and animal systems, and to accumulate necessary data and other information for a continuing analysis of these changes or trends and an interpretation of their underlying causes;
7. to report at least once each year to the President on the state and condition of the environment; and
8. to make and furnish such studies, reports thereon, and recommendations with respect to matters of policy and legislation as the President may request.

Sec. 205 [42 USC ◆ 4345].

In exercising its powers, functions, and duties under this Act, the Council shall --

1. consult with the Citizens' Advisory Committee on Environmental Quality established by Executive Order No. 11472, dated May 29, 1969, and with such representatives of science, industry, agriculture, labor, conservation organizations, State and local governments and other groups, as it deems advisable; and
2. utilize, to the fullest extent possible, the services, facilities and information (including statistical information) of public and private agencies and organizations, and individuals, in order that duplication of effort and expense may be avoided, thus assuring that the Council's activities will not unnecessarily overlap or conflict with similar activities

authorized by law and performed by established agencies.

Sec. 206 [42 USC ◆ 4346].

Members of the Council shall serve full time and the Chairman of the Council shall be compensated at the rate provided for Level II of the Executive Schedule Pay Rates [5 USC ◆ 5313]. The other members of the Council shall be compensated at the rate provided for Level IV of the Executive Schedule Pay Rates [5 USC ◆ 5315].

Sec. 207 [42 USC ◆ 4346a].

The Council may accept reimbursements from any private nonprofit organization or from any department, agency, or instrumentality of the Federal Government, any State, or local government, for the reasonable travel expenses incurred by an officer or employee of the Council in connection with his attendance at any conference, seminar, or similar meeting conducted for the benefit of the Council.

Sec. 208 [42 USC ◆ 4346b].

The Council may make expenditures in support of its international activities, including expenditures for: (1) international travel; (2) activities in implementation of international agreements; and (3) the support of international exchange programs in the United States and in foreign countries.

Sec. 209 [42 USC ◆ 4347].

There are authorized to be appropriated to carry out the provisions of this chapter not to exceed $300,000 for fiscal year 1970, $700,000 for fiscal year 1971, and $1,000,000 for each fiscal year thereafter.

The Environmental Quality Improvement Act, as amended (Pub. L. No. 91- 224, Title II, April 3, 1970; Pub. L. No. 97-258, September 13, 1982; and Pub. L. No. 98-581, October 30, 1984.

42 USC ◆ 4372.

(a) There is established in the Executive Office of the President an office to be known as the Office of Environmental Quality (hereafter in this chapter referred to as the "Office"). The Chairman of the Council on Environmental Quality established by Public Law 91-190 shall be the Director of the Office. There shall be in the Office a Deputy Director who shall be appointed by the President, by and with the advice and consent of the Senate.

(b) The compensation of the Deputy Director shall be fixed by the President at a rate not in excess of the annual rate of compensation payable to the Deputy Director of the Office of Management and Budget.

(c) The Director is authorized to employ such officers and employees (including experts and consultants) as may be necessary to enable the Office to carry out its functions ;under this chapter and Public Law 91-190, except that he may employ no more than ten specialists and other experts without regard to the provisions of Title 5, governing appointments in the competitive service, and pay such specialists and experts without regard to the provisions of chapter 51 and subchapter III of chapter 53 of such title relating to classification and General Schedule pay rates, but no such specialist or expert shall be paid at a rate in excess of the maximum rate for GS-18 of the General Schedule under section 5332 of Title 5.

(d) In carrying out his functions the Director shall assist and advise the President on policies and programs of the Federal Government affecting environmental quality by --

1. providing the professional and administrative staff and support for the Council on Environmental Quality established by Public Law 91- 190;
2. assisting the Federal agencies and departments in appraising the effectiveness of existing and proposed facilities, programs, policies, and activities of the Federal Government, and those specific major projects designated by the President which do not require individual project authorization by Congress, which affect environmental quality;
3. reviewing the adequacy of existing systems for monitoring and predicting environmental changes in order to achieve effective coverage and efficient use of research facilities and other resources;
4. promoting the advancement of scientific knowledge of the effects of actions and technology on the environment and encouraging the development of the means to prevent or reduce adverse effects that endanger the health and well-being of man;
5. assisting in coordinating among the Federal departments and agencies those programs and activities which affect, protect, and improve environmental quality;
6. assisting the Federal departments and agencies in the development and interrelationship of environmental quality criteria and standards established throughout the Federal Government;
7. collecting, collating, analyzing, and interpreting data and information on environmental quality, ecological research, and evaluation.

(e) The Director is authorized to contract with public or private agencies, institutions, and organizations and with individuals without regard to section 3324(a) and (b) of Title 31 and section 5 of Title 41 in carrying out his functions.

42 USC ◆ 4373. Each Environmental Quality Report required by Public Law 91-190 shall, upon transmittal to Congress, be referred to each standing committee having jurisdiction over any part of the subject matter of the Report.

42 USC ◆ 4374. There are hereby authorized to be appropriated for the operations of the Office of Environmental Quality and the Council on Environmental Quality not to exceed the following sums for the following fiscal years which sums are in addition to those contained in Public Law 91- 190:

(a) $2,126,000 for the fiscal year ending September 30, 1979.

(b) $3,000,000 for the fiscal years ending September 30, 1980, and September 30, 1981.

(c) $44,000 for the fiscal years ending September 30, 1982, 1983, and 1984.

(d) $480,000 for each of the fiscal years ending September 30, 1985 and 1986.

42 USC ◆ 4375.

(a) There is established an Office of Environmental Quality Management Fund (hereinafter referred to as the "Fund") to receive advance payments from other agencies or accounts that may be used solely to finance --

1. study contracts that are jointly sponsored by the Office and one or more other Federal agencies; and
2. Federal interagency environmental projects (including task forces) in which the Office participates.

(b) Any study contract or project that is to be financed under subsection (a) of this section may be initiated only with the approval of the Director.

(c) The Director shall promulgate regulations setting forth policies and procedures for operation of the Fund.

they also will become a matter of public record.

Dated: March 18, 2011.

Gwellnar Banks,

Management Analyst, Office of the Chief Information Officer.

[FR Doc. 2011–6930 Filed 3–23–11; 8:45 am]

BILLING CODE 3510–22–P

DEPARTMENT OF COMMERCE

National Oceanic and Atmospheric Administration

Proposed Information Collection; Comment Request; Socio-Economic Surveys of Vessel Owners, Permit Holders, and Crew in New England and Mid-Atlantic Fisheries

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 May 23, 2011.

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

FOR FURTHER INFORMATION CONTACT: Requests for additional information or copies of the information collection instrument and instructions should be directed to Andrew Kitts, 508–495–2231 or *akitts@mercury.wh.whoi.edu.*

SUPPLEMENTARY INFORMATION:

I. Abstract

This request is for a new collection.

The purpose of this survey is to provide for the ongoing collection of social and economic data related to fisheries and their communities in the Northeast and Mid-Atlantic States. These data are needed to support fishery performance measures recently developed by NOAA's Northeast Science Center's Social Science Branch (SSB) in Woods Hole, MA. The measures are: Financial viability, distributional outcomes, stewardship, governance and well-being. Data to support some indicators for these measures are already routinely collected by NMFS. This survey will fill in the gaps, and allow the Northeast to collect trend data needed for more thorough analysis of changes in the fisheries, including impacts from changes in regulations. The National Environmental Policy Act (NEPA) and the Magnuson-Stevens Fishery Conservation and Management Act (MSA), as amended, both contain requirements for considering the social and economic impacts of fishery management decisions. Currently, however, no data exist that allow for tracking the social impacts of fishery management policy and decisions over time in the Northeast and Mid-Atlantic States, and insufficient economic trend data are available. In implementing policies and management programs and in meeting the social and economic impact assessment requirements of NEPA and MSA, there is a need to understand how such policies and programs will affect the social and economic characteristics of those involved in the commercial fishing industry. Under this survey, the SSB intends to collect socio-economic data from vessel owners, permit holders, hired captains, and crew involved in commercial fishing in New England and the Mid-Atlantic States. Data to be collected include information on crew, wage calculation systems, individual and community well-being, fishing practices, job satisfaction, job opportunities, and attitudes toward fisheries management. SSB intends to collect these data on an ongoing (*e.g.,* annually or biennially) basis in order to track how socio-economic characteristics of fisheries are changing over time and to track the impact of fishery policies and management programs implemented in New England and the Mid-Atlantic.

NOAA is aware of a survey begun by the University of Rhode Island in 2009/2010 in New England under a grant from the Commercial Fisheries Research Foundation, that seeks PRA clearance for a follow-up in the Mid-Atlantic in summer 2011 under NOAA funding (Social Impacts of the Implementation of Catch Shares Programs in the Mid-Atlantic, OMB Control No. 0648–xxxx). The current request has learned from some elements of the URI and follow-on survey. However, this request (1) Is focused on fisheries management in general while the earlier study is focused solely on catch shares, (2) is an ongoing survey rather than a one-time effort, and (3) specifically targets performance indicators for which data are not currently being collected.

II. Method of Collection

The most appropriate method of collection is still being investigated through an ongoing research project. For the owners/permit holders' survey, NOAA is considering in-person interviewing, a phone survey, or mail survey, although the possibility of using an e-mail survey is also being considered. For the crew survey, research is being conducted to determine the most appropriate method of collection. Given the population (ships' crew), NOAA is considering either an in-person intercept approach or a phone survey, depending on the availability of phone numbers for crew.

Additionally, in order to reduce per-respondent burdens, SSB is considering splitting questions asked among the respondents. A core set of questions would be asked to all sample respondents, but some questions would only be asked to one half of the sample and another set of questions would be asked to the other half of the sample.

III. Data

OMB Control Number: None.

Form Number: None.

Type of Review: Regular submission (new collection).

Affected Public: Individuals or households; Business or other for-profit.

Estimated Number of Respondents: 1,000 annually.

Estimated Time per Response: 30 minutes.

Estimated Total Annual Burden Hours: 500.

Estimated Total Annual Cost to Public: $0.

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: March 18, 2011.

Gwellnar Banks,

Management Analyst, Office of the Chief Information Officer.

[FR Doc. 2011–6924 Filed 3–23–11; 8:45 am]

BILLING CODE 3510–22–P

DEPARTMENT OF COMMERCE

National Oceanic and Atmospheric Administration

Proposed Information Collection; Comment Request; Perceptions About the Biological and Socio-Economic Performance of Marine Regulations in the U.S. Caribbean

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 May 23, 2011.

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

FOR FURTHER INFORMATION CONTACT: Requests for additional information or copies of the information collection instrument and instructions should be directed to Dr. Brent Stoffle, (305) 361–4276 or *brent.stoffle@noaa.gov.*

SUPPLEMENTARY INFORMATION:

I. Abstract

The National Marine Fisheries Service (NMFS) proposes to collect demographic, socio-economic, and attitudinal information on the efficacy of marine regulations in the United States (U.S.) Virgin Islands and Puerto Rico. The data gathered will be used to: (1) Describe the fishermen's perceptions about the performance of existing marine regulations such as marine reserve designations, seasonal closures and gear bans, (2) document the social and economic changes brought about by these regulations, and (3) evaluate the likely socio-economic impacts of management proposals. In addition, the information will be used to satisfy legal mandates under Executive Order 12898, the Magnuson-Stevens Fishery Conservation and Management Act (U.S.C. 1801 *et seq.*), the Regulatory Flexibility Act, the Endangered Species Act, and the National Environmental Policy Act, and other pertinent statues.

II. Method of Collection

In addition to using ethnographic methods—for example, participant observation, group and key informant interviews, a standardized survey will be administered via in-person, telephone and/or mail to a representative sample of the population of U.S. Caribbean fishermen.

III. Data

OMB Number: None.

Form Number: None.

Type of Review: Regular submission (request for a new information collection).

Affected Public: Business or other for-profit organizations.

Estimated Number of Respondents: 1,500.

Estimated Time per Response: 1 hr.

Estimated Total Annual Burden Hours: 1,500.

Estimated Total Annual Cost to Public: $0.

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: March 18, 2011.

Gwellnar Banks,

Management Analyst, Office of the Chief Information Officer.

[FR Doc. 2011–6914 Filed 3–23–11; 8:45 am]

BILLING CODE 3510–22–P

DEPARTMENT OF COMMERCE

National Oceanic and Atmospheric Administration

Proposed Information Collection; Comment Request; Sea Grant Program Application Requirements for Grants, for Sea Grant Fellowships, and for Designation as a Sea Grant College or Sea Grant Institute

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 May 23, 2011.

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

FOR FURTHER INFORMATION CONTACT: Requests for additional information or copies of the information collection instrument and instructions should be directed to Dorn Carlson, 301–734–1080 or *dorn.carlson@noaa.gov.*

SUPPLEMENTARY INFORMATION:

I. Abstract

This request is for a renewal of a currently approved information collection.

The objectives of the National Sea Grant College Program, as stated in the Sea Grant legislation (33 U.S.C. 1121–1131) are to increase the understanding, assessments, development, utilization, and conservation of the Nation's ocean, coastal, and Great Lakes resources. It accomplishes these objectives by conducting research, education, and outreach programs.

Grant monies are available for funding activities that help obtain the objectives of the Sea Grant Program. Both single and multi-project grants are awarded, with the latter representing about 80 percent of the total grant program. In addition to other standard grant application requirements, three forms are required with the grants. These are the Sea Grant Control Form 90–2, used to identify the organizations and personnel who would be involved in the