

NOTICE OF OFFICE OF MANAGEMENT AND BUDGET ACTION

Date 05/10/2012

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

In accordance with the Paperwork Reduction Act, OMB has taken action on your request received 01/19/2012

ACTION REQUESTED: New collection (Request for a new OMB Control Number)
TYPE OF REVIEW REQUESTED: Regular
ICR REFERENCE NUMBER: 201112-0648-005
AGENCY ICR TRACKING NUMBER:
TITLE: Socio-Economic Assessment of Snapper Grouper Fisheries in the U.S. Caribbean
LIST OF INFORMATION COLLECTIONS: See next page

OMB ACTION: Approved with change
OMB CONTROL NUMBER: 0648-0648
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: 05/31/2015 DISCONTINUE DATE:

BURDEN:	RESPONSES	HOURS	COSTS
Previous	0	0	0
New	250	250	0
Difference			
Change due to New Statute	0	0	0
Change due to Agency Discretion	250	250	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
Socio-economic assessment instrument (English and Spanish)	NA, NA	Percepciones y Actitudes sobre un Posible Programa de Participaciones de Captura para la Pesqueria de Pargos y Meros de Aguas Profundas, Attitudes and Preferences about the Potential Use of Carch Shares in the Deep Water Snapper-Grouper Fishery	

PAPERWORK REDUCTION ACT SUBMISSION

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

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

19. Certification for Paperwork Reduction Act Submissions

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

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

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

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

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

Signature of Senior Official or designee

Date

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

Signature

Date

Signature of NOAA Clearance Officer

Signature

Date

SUPPORTING STATEMENT
SOCIO-ECONOMIC ASSESSMENT OF SNAPPER GROUPE (SASG) FISHERIES IN
THE U.S. CARIBBEAN
OMB CONTROL NO. 0648-XXXX

A. JUSTIFICATION

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

This request is for a new information collection.

The National Marine Fisheries Service (NMFS) proposes the collection of demographic, economic and social information about the deep-water snapper fishery in the Commonwealth of Puerto Rico and the U.S. Virgin Islands. The proposed survey also intends to inquire about industry's perceptions, attitudes and beliefs regarding the potential use of catch shares and other existing regulations to improve the management of these fisheries. The local fishing industry and the Caribbean Fishery Management Council are investigating the feasibility of adopting a catch share program in the region. Catch shares is a type of limited access privilege program (LAPP), in which fishermen are vested with an exclusive harvesting privilege, which entitles them to land a share of the total allowable catch (TAC). Granting a secure harvesting privilege mitigates the race to fish because fishermen no longer have to compete for a share of the stock. Thus, fishermen can devote their efforts to maximizing profits by harvesting, processing, and marketing their catch more efficiently.

The data gathered will be used to describe the current (baseline) socioeconomic condition of these fisheries and offer insight into fishermen's concerns about a potential catch share program, which could be used to tailor a potential program. In addition, the information collected will enable the development of quantitative economic models to investigate future changes subsequent to the implementation of a catch share program. Moreover, the information gathered will be used to strengthen and improve fishery management decision-making, satisfy legal mandates under the Reauthorization of the [Magnuson-Stevens Act](#) (MSA), the [Regulatory Flexibility Act](#), the [Endangered Species Act](#), and the [National Environmental Policy Act](#), [Executive Order 12866](#), and other pertinent statutes.

The data collection is necessary to satisfy the requirements of the MSA (16 U.S.C. 1853a *et seq.*), which mandates that LAPPs submitted by a Council or approved by the Secretary shall "include provisions for the regular monitoring and review by the Council and the Secretary of the operations of the program, including determining progress in meeting the goals of the program and this Act, and any necessary modification of the program to meet those goals, with a formal and detailed review 5 years after the implementation of the program, and thereafter to coincide with scheduled Council review of the relevant fishery management plan (but no less frequently than once every 7 years)"

Moreover, the MSA states that collection of reliable data is essential to the effective conservation, management, and scientific understanding of the fishery resources of the United States. The nation's fisheries should be "conserved and maintained so as to provide optimum yields (OYs) on a continuing basis". The MSA also requires that fishery management plans must include a Fishery Impact Statement (FIS), which assesses, specifies, and describes the likely

effects of the conservation and management measures on participants in the fisheries being managed, fishing communities dependent on these fisheries, and participants in fisheries in adjacent areas.

In addition to the needs of the MSA, the Regulatory Flexibility Act (RFA, 5 U.S.C. 601 *et seq.*), the National Environmental Policy Act (NEPA, 42 U.S.C. 4372 *et seq.*), and Executive Order (EO) 12866 also require socio-economic data collections. Under the RFA, the Small Business Administration needs a determination of whether a proposed rule has a significant impact on a substantial number of small entities that are to be directly regulated. For RFA purposes, one of the criteria to determine significant economic impact involves an assessment of the change in short-term accounting profits for small entities. The NEPA requires a determination of whether Federal actions significantly affect the human environment. This requires a number of economic analyses including the impact on entities that are directly regulated and those that are indirectly affected. Lastly, EO 12866 mandates an economic analysis of the benefits and costs to society of each regulatory alternative considered by the fishery management councils, and a determination of whether the rule is significant.

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.

Ms. Flavia Tonioli from the Cooperative Institute for Marine and Atmospheric Studies (CIMAS) at the University of Miami has been contracted to conduct one-time, in-person interviews. The proposed questionnaire will collect information on demographic and socio-economic characteristics of the deep-water snapper fishery and fishermen's perceptions about the potential use of catch shares and other existing regulations.

Combined with catch and effort data from existing collections, the information sought will be utilized for descriptive and analytical purposes. Social scientists from NMFS will create descriptive reports of the fishery and develop models to evaluate the socio-economic impacts of a catch share program implementation. In addition, the information collected will be used for the development of natural resource plans. The survey will collect demographic, cultural, economic and social information, which otherwise would be unavailable. The data will also be used by the academic community studying the performance of LAPPs around the nation.

The survey instrument has the following sections: 1) Demographic background; 2) Fishing practices and capital investment; 3) Costs and earnings; 4) Attitudes and perceptions concerning the deep-water snapper catch share program; and 5) Perceptions about existing regulations.

Section 1: The 'background information' section elicits information about fisherman's demographic characteristics. It elicits information about the fisherman's age, educational attainment, number of dependents, participation (i.e., full-time vs. part-time), percentage income derived from fishing and non-fishing activities, vessel and gear ownership, and marketing channels. This information is valuable to profile fishermen who partake in the deep-water snapper fishery.

Section 2: The 'fishing practices and capital investment' section inquires about the main gears

used and species targeted, time devoted to fishing activities, capital stock (i.e., investments in fishing vessels, gear and equipment) and general characteristics about the fishing vessels and gears (e.g., length, engine horsepower, longevity/useful life, etc.). The information collected in this section will be used to estimate the opportunity cost of capital and economic depreciation. In efficient markets, market prices should reflect the economic (opportunity) cost of inputs. Straight-line depreciation is calculated by the difference between the purchase cost of the asset and the residual value of the asset, divided over the useful economic life of the asset. A small sub-set of the population, namely those with more experience in the fishery (folks with more than 10 years of experience fishing for deep-water snappers and grouper), will be asked to briefly discuss the historical evolution of the fishery.

Section 3: The ‘costs and earnings’ section solicits information about earnings and variable costs, which are those expenses incurred during the operation of the vessel. These vary with the level of harvesting activity. Variable costs can be further categorized into operating expenses, which include fuel, lubricants, bait, ice, food, and supplies, and into crew labor expenses. Generally, crew wages are paid as a share of the trip’s revenue after deducting operating expenses. This information will enable the development of quantitative economic models to investigate future changes in excess and overcapacity and ‘cost savings’ brought about the catch program (if implemented).

Section 4: The ‘attitudes and perceptions about the potential use of catch shares’ section elicits information about fishermen’s attitudes, opinions and perceptions towards catch share and/or harvesting privilege based programs. This section also inquires about fishermen’s views on the need and usefulness of a catch share program, preferences about selling and leasing of shares, requirements and mechanisms for the initial allocation of shares. This information will enable the fishery managers facilitate the design of a potential program by identifying areas of agreement (and disagreement) between the various stakeholders.

Section 5: The ‘perceptions about existing regulations’ section will solicit information about their socio-economic performance and recommendations for improving their effectiveness. This information will be used to examine the cumulative impacts of the potential use of catch shares (if implemented).

It is anticipated that the information collected will be disseminated to the public or used to support publicly disseminated information. NOAA Fisheries Service 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 subject 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 proposed data collection will utilize in-person interviews. A sampling frame (i.e., list of the universe of potential fishermen operating in the deep-water snapper fishery) will be developed

through several sources of information, including licensing reports, catch trip tickets, 2008 Puerto Rican fishermen census, 2011 U.S. Virgin Island fishermen census, and key informants, which include federal and commonwealth fishery managers and industry leaders.

The contractor does not anticipate interviewers using laptops or other computers to directly enter the answers being provided since some of the questions are open ended. Thus, typing verbatim could extend the length of the interview, which would further burden the interviewees and result in incomplete surveys.

The data collected will not be available to the public over the internet given its confidential nature. However, analytical results of studies based on this data will be disseminated to management agencies and peer-reviewed publications. Some of these studies will likely be available online.

4. Describe efforts to identify duplication.

There are no known data collections that will target deep-water snapper fishermen in this geographic area during the time period we intend to conduct our interviews. Although we are not familiar with any studies exploring the use of catch shares in the U.S. Caribbean, there have been commercial fishermen censuses conducted in the area (e.g., Kojis and Quinn, 2011).¹ A study examining the performance of limited access privilege programs (catch shares) is currently being conducted in the Gulf of Mexico red snapper fishery by Dr. Walter Keithly (OMB CONTROL NUMBER: 0648-0622). The contractor has informed Caribbean Fishery Management Council staff and fisheries officials from the appropriate territories about the proposed data collection.

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

Many commercial fishing operations are owner- or family-operated small businesses. We have taken several steps to minimize the burden to these small businesses. First, we designed the survey instrument so that only the minimum data requirements for present and future management needs are collected. Second, responses to the in-person survey will be voluntary. Fishermen, who do not wish to participate in the interviews, can choose not to partake. Last, in-person surveys will be conducted at times and places that are convenient to fishermen. This will minimize any potential disruption to fishermen's fishing practices.

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

The proposed study will provide information on social and economic conditions of the deep-water snapper fishery in the Puerto Rico and the U.S. Virgin Islands. Armed with this information, scientists will be able to better inform decision-makers about the fishermen's level of support and major concerns about the program (if adopted). If this information was not collected (or collected less frequently), then CFMC would not be able to adequately satisfy the legal requirements put forth by the MSA, NEPA, and EO 12866, to implement a catch share program. These mandates require regional fishery management councils to establish conservation and management measures which take into account the importance of fishery

¹ Barbara L. Kojis y Norman J. Quinn, *Census of the Marine Commercial Fishers of the U.S. Virgin Islands*, 2011.

resources to fishing communities in order to provide sustained fishing community participation and to minimize, to the extent possible, adverse economic impacts on such communities. Furthermore, these requirements also mandate that regional fishery management councils establish conservation and management measures using the best available information.

The absence of detailed economic and social information would limit the Agency's ability to: a) identify communities that would be impacted by this proposed program, b) quantify the impacts of this program (again, if adopted), and c) reduce the likelihood of unforeseen impacts of a potential catch share plan. Management proposals would continue to be debated with limited sound information. Another consequence of not having the appropriate economic data could be court challenges on the grounds of inadequate analysis. Last, the collection of detailed socio-economic data will, allow fishery managers to make timely and better-informed decisions by having the best scientific information available.

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

There are no special circumstances that require the collection to be conducted in a manner inconsistent with OMB guidelines.

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

A Federal Register Notice published on Wednesday, October 13, 2010 (75 FR 62762) solicited public comments. No public comments were received.

Results of consultations with persons outside the agency:

A series of exchanges between the contractor, Caribbean Fishery Management Council (CFMC) staff and members of the CFMC Catch Share Advisory Panel were held to explain the need and content of the survey and to obtain their views on the clarity of the instructions and data elements to be recorded.

The CFMC, like other regional fishery management councils, regularly establishes advisory panels made up of industry representatives who offer their advice on the specifications of management regulations, with particular regard to, among other things, the capacity and the extent to which the fishing will harvest the resources considered in fishery management plans; the effect of such fishery management plans on local economies and social structures, and potential conflicts between user groups of a given fishery resource.

The CFMC Advisory Panel on Catch Shares is made up of active deep-water snapper fishermen who operate in the U.S. Caribbean waters.

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 questionnaire 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 forms, survey respondents will be advised that any information provided will be considered private and will be treated as confidential in accordance with [NOAA Administrative Order 216-100](#), Confidential Fisheries Statistics and section 402(b) of the MSA (16 U.S.C. 1881, *et seq.*).

It is NMFS' policy not to release confidential data, other than in aggregate form, as the MSA protects (in perpetuity) the confidentiality of those submitting data. Whenever data are requested, the Agency will ensure that information identifying the pecuniary business activity of a particular individual is not identified. Only group averages or group totals will be presented in any reports, publications, or oral presentations of the study's results.

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

No questions will be asked about sexual behavior and attitudes, religious beliefs, or other similar matters of a personal and sensitive nature.

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

It is estimated that the number of respondents will be no more than 250 and the time per response will be about 1 hour, for a total annual burden of 250 hours (we are anticipating a response rate of 80%, but are requesting approval for the maximum burden hours). The one hour per response burden includes the time for reading the instructions, reviewing the questions, and completing (and mailing, if necessary) the survey instrument. This estimate is based on the type of questions asked, length of the survey instrument, and contractor's past experience conducting similar surveys.

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

There will be no financial cost to the public to participate in this study.

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

A fixed price contract of \$92,000 will be awarded to Ms. Flavia Tonioli from the Cooperative Institute for Marine and Atmospheric Studies (CIMAS) at the University of Miami. The contractor is responsible for the development of survey instrument, training interviewers, printing of forms, data collection and processing, quality control, data entry and supervision. Additional federal costs include the time of NMFS staff. The NMFS staff will be responsible for

developing and administering the contract and collaborating with the development of the survey. The cost of NMFS staff time is estimated at \$10,000. Thus, the total annualized (for one year) cost to the federal government would be \$102,000.

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

This is a new collection.

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

Data collected will be used to assess the potential use of a catch share program in the deep-water snapper-grouper fishery. Descriptive and analytical reports will include summaries of data. These reports will not release or reveal confidential information. Depending on the availability of funds, we anticipate that reports will be available January 2013. These reports will likely be available in *pdf* format on the NMFS Southeast Fisheries Science Center's web site.

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

Not Applicable.

18. Explain each exception to the certification statement.

Not Applicable.

B. COLLECTION 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.

Because of the absence of federal fishing licenses in the U.S. Caribbean, it is unlikely that the entire population of deep-water snapper fishermen will be known completely. Therefore, the sampling frame was derived from several sources of information pooled together, including licensing reports, catch trip tickets, 2008 Puerto Rico fishermen census conducted by the Puerto Rico's Department of Natural and Environmental Resources, 2011 U.S. Virgin Islands fishermen census, (conducted by Drs. Kojis and Quinn (independent contractors- Dr. Kojis formerly worked at the U.S. Virgin Islands Division of Fish and Wildlife), and key informants, which include federal and commonwealth fishery managers and industry leaders.

The sources suggest that there are about 150 deep-water snapper fishermen in Puerto Rico and 100 deep-water snapper fishermen in the U.S. Virgin Islands. Thus, we anticipate conducting about 250 in-person interviews. The timing of the data collection will be determined by the contractor in consultation with CMFC staff.

Although we intend to sample the entire universe of fishermen (250), we expect to complete 200 surveys. This figure assumes an 80% response rate, which was observed in a similar study conducted by Knapp². The study by Knapp surveyed 129 Alaska halibut IFQ shareholders to assess their perceptions about the performance of the program.

Table 1 summarizes the key statistics about the proposed sampling strategy. Our strategy is based on work by Green (1991) who provides a comprehensive overview of the procedures used to determine regression sample sizes.³ He suggests $N > 50 + 8m$ (where m is the number of independent variables) for testing the multiple correlation and $N > 104 + m$ for testing individual predictors (assuming a medium-sized relationship) and if testing both, to use the larger sample size. Given our budget constraints, we anticipated multiple correlations for both jurisdictions and regressions for at least Puerto Rico.

² Knapp, G., 1997. Initial Effects of the Alaska Halibut IFQ Program: Survey Comments of Alaska Fishers. *Marine Resource Economics*, Volume 12, pp. 239–248

³ Green, S. B. (1991). How many subjects does it take to do a regression analysis? *Multivariate Behavioral Research*, 26, 499-510.

Table 1: Sampling strategy for deep-water snapper-grouper fishermen.

Geographical Area	Population size (estimated)	Target Sample	Expected Response Rate	Anticipated sample*
PR deep-snapper fishermen	150	150	80%	120
USVI deep-snapper fishermen	100	100	80%	80
Total	250	250		200

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.

One-time, in-person, voluntary surveys will be used to elicit information on the socio-economic performance of the deep-water snapper fishery. The list of shareholders will be provided by NMFS to the contractor. The contractor will attempt to survey the entire universe of shareholders provided. Because the universe of fishermen is not completely known due to the absence of federal fishing licenses, the contractor will ask key informants and/or active fishermen to help identify additional deep-water snapper fishermen not present in the list.

The data collected will be used for descriptive and analytical purposes. Descriptive uses include the estimation of indexes of community dependence. The procedures for estimating these indexes will be based on the standard equations available in various statistical texts such as Thompson (1992)⁴.

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.

Several steps will be taken to maximize the response rates. First, the contractor was selected for her survey experience and familiarity with local fishing communities and practices. Second, the contractor will conduct in-person surveys at times and places that are convenient to fishermen. This will minimize any potential disruption to fishermen’s fishing practices. Third, the contractor will work with local authorities to ensure that the wording facilitates understanding and reflects local idioms. Last, surveys will be available in English and Spanish to further reduce any burden to non-English speaking fishermen.

To deal with non-response we will use call-backs as described in textbooks such as Lohr’s (see, Lohr’s, S., 1998. Sampling: design and analysis).

⁴ Thompson, Steven K., 1992. Sampling. John Wiley and Sons, Inc., New York, 343 p.

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.

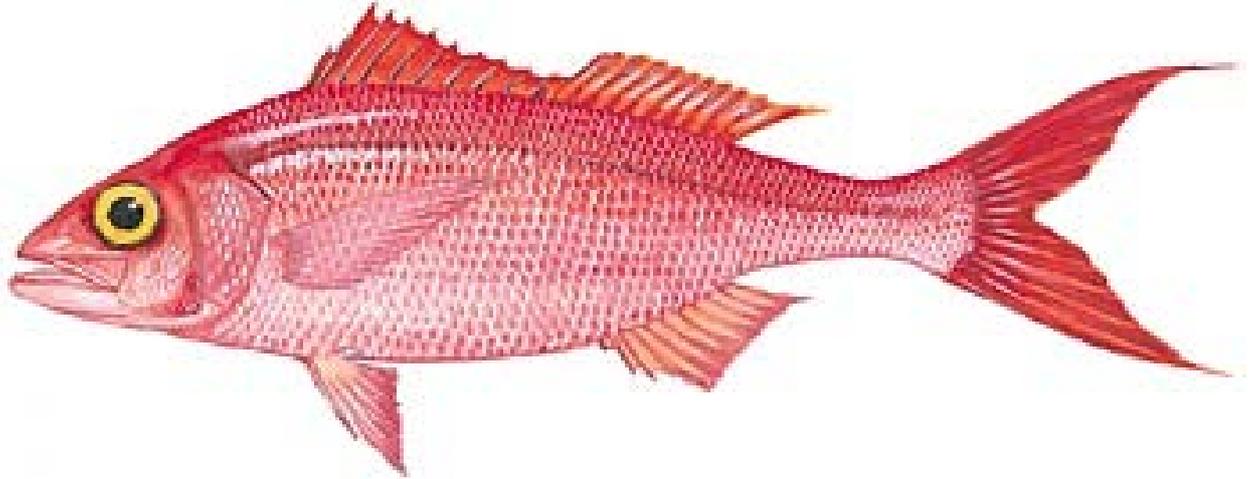
In addition to sharing the survey instrument with NMFS and Caribbean Fishery Management staff (CFMC) staff, the contractor made it available to the members of the CFMC Catch Share Advisory Panel, which is made up with active deep-water snapper fishermen. Members of NMFS, CFMC and the advisory panel on catch shares provided suggestions to improve the content and clarity of the questions.

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.

Ms. Flavia Tonioli from the Cooperative Institute for Marine and Atmospheric Studies (CIMAS) was hired to design a statistically sound data collection strategy, conduct the data collection and analyze the survey information for the NMFS. Ms. Tonioli can be reached at 305-361-4567.

Dr. Juan Agar, a social scientist employed by the NMFS, was also consulted on the statistical design. NMFS social scientists and CFMC staff will use the data for regulatory analysis.

**Attitudes and Preferences about the Potential Use of Catch Shares in
the Deep-water Snapper-Grouper Fishery.**



December 2011

Dear deep-water snapper-grouper fishermen,

Thank you for agreeing to participate in our survey.

Public reporting burden for this collection of information is estimated to average one hour per response including the time for reviewing the instructions, searching the existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspects of this burden to Bob Walker, National Marine Fisheries Service, 75 Virginia Beach Drive, Miami, Florida 33149. Comments on the content of the survey should be addressed to Dr. Juan Agar, National Marine Fisheries Service, 75 Virginia Beach Drive, Miami, Florida 33149.

This reporting is required under and is authorized under 50 CFR 622.5(a) (1) (v). Information submitted will be treated as confidential in accordance with NOAA Administrative Order 216-100. Notwithstanding any other provision of the law, no person is required to respond to, nor shall any person be subject to a penalty for failure to comply with, a collection of information subject to the requirements of the Paperwork Reduction Act, unless that collection displays a currently valid OMB Control Number. The NMFS requires this information for the socio-economic assessment of the deep-water snapper fishery in the Commonwealth of Puerto Rico and U.S. Virgin Islands. These data will be used to assess the socio-economic performance of the deep-water snapper fishery.

All of your information will be confidential. We will not use people's names in our reports, or write anything that could be used to identify you. Participation in this survey is voluntary, and you do not need to answer any questions you do not wish to answer. If you agree with that, and do not have any questions, I would like to start the interview asking you some questions about your fishing practices.

SNAPPERS		
Alinegra, negra	Blackfin snapper	<i>Lutjanus buccanella</i>
Chillo amarillo	Silk snapper	<i>Lutjanus vivanus</i>
Cartucho	Queen snapper	<i>Etelis oculatus</i>
Moniama de adentro	Wenchman	<i>Pristipomoides aquilonaris</i>
Moniama de afuera	Cardinal snapper	<i>Pristipomoides macrophthalmus</i>
Chopa negra	Black snapper	<i>Apsilus dentatus</i>
Rubia	Vermillion snapper	<i>Rhombo plitesaurorobus</i>
GROUPERS		
Guasa	Misty grouper	<i>Epinephelus mystacinus</i>
Guajil amarillo	Yellowedge grouper	<i>Epinephelus flavolimbatus</i>
Mero negro	Black grouper	<i>Mycteroperca bonaci</i>
Guajil	Yellowfin grouper	<i>Mycteroperca venenosa</i>

14) In the last five years, how has your participation in the fishery changed (i.e., landings, fishing trips, trip duration, etc.)? Why did you make these changes?

Costs and Earnings

15) Costs and earnings information per trip during the last year.

	Main single gear _____	single gear #2 _____	Multiple gears Primary _____ Secondary _____
Trip duration	_____ days/hrs	_____ days/hrs	_____ days/hrs
Gas and oil (\$/trip)	\$ _____ _____ gallons	\$ _____ _____ gallons	\$ _____ _____ gallons
Ice (\$/trip)	Make own ice Yes <input type="checkbox"/> No <input type="checkbox"/> Depends <input type="checkbox"/> \$ _____	Make own ice Yes <input type="checkbox"/> No <input type="checkbox"/> Depends <input type="checkbox"/> \$ _____	Make own ice Yes <input type="checkbox"/> No <input type="checkbox"/> Depends <input type="checkbox"/> \$ _____
Bait (\$/trip)	Capture own bait Yes <input type="checkbox"/> No <input type="checkbox"/> Depends <input type="checkbox"/> \$ _____	Capture own bait Yes <input type="checkbox"/> No <input type="checkbox"/> Depends <input type="checkbox"/> \$ _____	Capture own bait Yes <input type="checkbox"/> No <input type="checkbox"/> Depends <input type="checkbox"/> \$ _____
Food (\$/trip)	\$ _____	\$ _____	\$ _____
Other costs: (_____)	\$ _____	\$ _____	\$ _____
Total cost (\$/trip)	\$ _____	\$ _____	\$ _____
Average revenues (\$/trip)	\$ _____	\$ _____	Primary \$ _____ Secondary \$ _____
Net payment to crew (after costs)	% ___ Vessel % ___ Captain % ___ Helpers	% ___ Vessel % ___ Captain % ___ Helpers	% ___ Vessel % ___ Captain % ___ Helpers
Number of crew	Number of crew: _____ \$ _____/crew/trip	Number of crew: _____ \$ _____/crew/trip	Number of crew: _____ \$ _____/crew/trip
Average landings of top species (lb./trip)	1: _____ lbs. _____ \$/lb 2: _____ lbs. _____ \$/lb 3: _____ lbs. _____ \$/lb 4: _____ lbs. _____ \$/lb	1: _____ lbs. _____ \$/lb 2: _____ lbs. _____ \$/lb 3: _____ lbs. _____ \$/lb 4: _____ lbs. _____ \$/lb	Prim1: _____ lbs. _____ \$/lb Prim. 2: _____ lbs. _____ \$/lb Prim. 3:: _____ lbs. _____ \$/lb Sec.1: _____ lbs. _____ \$/lb Sec. 2: _____ lbs. _____ \$/lb Sec.3: _____ lbs. _____ \$/lb

Annual round (2007-2011)

16) Please describe your participation in the deep-water snapper-grouper fishery (trips, landings and revenue)

2011

Gear: _____	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec
Number of trips												
Landings per trip (Lbs/trip)												
Silk Snapper (lbs/trip)												
Queen snapper (lbs/trip)												
Other (lbs/trip) _____ _____ _____												
Total Revenues by trip (\$/trip)												

2010

Gear: _____	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec
Number of trips												
Landings per trip (Lbs/trip)												
Silk Snapper (lbs/trip)												
Queen snapper (lbs/trip)												
Other (lbs/trip) _____ _____ _____												
Total Revenues by trip (\$/trip)												

2009

Gear: _____	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec
Number of trips												
Landings per trip (Lbs/trip)												
Silk Snapper (lbs/trip)												
Queen snapper (lbs/trip)												
Other (lbs/trip) _____ _____ _____												
Total Revenues by trip (\$/trip)												

2008

Gear: _____	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec
Number of trips												
Landings per trip (Lbs/trip)												
Silk Snapper (lbs/trip)												
Queen snapper (lbs/trip)												
Other (lbs/trip) _____ _____ _____												
Total Revenues by trip (\$/trip)												

2007

Gear: _____	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec
Number of trips												
Landings per trip (Lbs/trip)												
Silk Snapper (lbs/trip)												
Queen snapper (lbs/trip)												
Other (lbs/trip) _____ _____ _____												
Total Revenues by trip (\$/trip)												

Vessel information

17) Vessel characteristics

Variables	Vessel # 1 (Principal)	Vessel # 2	Vessel # 3
Boat's ownership	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Co-owners (#__)	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Co-owners (#__)	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Co-owners (#__)
Construction date			
Length (ft.)			
Hull type	<input type="checkbox"/> Wood <input type="checkbox"/> Fiberglass <input type="checkbox"/> Wood y fiber <input type="checkbox"/> Aluminum <input type="checkbox"/> Other : _____	<input type="checkbox"/> Wood <input type="checkbox"/> Fiberglass <input type="checkbox"/> Wood y fiber <input type="checkbox"/> Aluminum <input type="checkbox"/> Other : _____	<input type="checkbox"/> Wood <input type="checkbox"/> Fiberglass <input type="checkbox"/> Wood y fiber <input type="checkbox"/> Aluminum <input type="checkbox"/> Other : _____
Engines	<input type="checkbox"/> Outboard _____ <input type="checkbox"/> Inboard _____ <input type="checkbox"/> Combo _____	<input type="checkbox"/> Outboard _____ <input type="checkbox"/> Inboard _____ <input type="checkbox"/> Combo _____	<input type="checkbox"/> Outboard _____ <input type="checkbox"/> Inboard _____ <input type="checkbox"/> Combo _____
Propulsion (HP)	Motor # 1 ____ HP Motor # 2 ____ HP	Motor # 1 ____ HP Motor # 2 ____ HP	Motor # 1 ____ HP Motor # 2 ____ HP
Electric equipment (quantity)	GPS _____ Depth finder _____ Fish finder _____ Radio-teléfono _____ EPIRB _____	GPS _____ Depth finder _____ Fish finder _____ Radio-teléfono _____ EPIRB _____	GPS _____ Depth finder _____ Fish finder _____ Radio-teléfono _____ EPIRB _____
Fishing equipment (quantity)	Winch _____ Electric reel _____ Hydraulic reel _____	Winch _____ Electric reel _____ Hydraulic reel _____	Winch _____ Electric reel _____ Hydraulic reel _____

Attitudes and Perceptions towards the Catch Shares

18) In your opinion, what is the main problem or issue that impact the deep-water snapper fishery?

Biological problems

- There are no biological problems Overfishing By-catch of juveniles
 Other (explain): _____

Socio-economic problems

- There are no socio-econ problems High fuel costs Low seafood prices
 Crowding of fishing grounds Difficulty finding suitable crew User conflicts (explain)
 Other (explain): _____

Other problems

- There are no other problems
 Poor safety at sea Low quota levels Over-zealous enforcement
 Ineffective regs. Poor compliance w/ regs. Uncertainty about future regs.
 Other (explain): _____

19) Are you familiar with the proposed catch share program? Yes No
If you answer yes, then what do you perceive to be the advantages of the program?

[If unfamiliar with program, skip to question 32]

20) Do you support the catch share program? Yes No Undecided
What are the main reasons why you support, oppose or are undecided about the program?

21) Do you have any concerns about the catch share program? Yes No
If you answer yes, which are your main concerns?

22) Do you believe that additional education on the details of the catch share program is necessary? Yes No
If you answer yes, which topics would you like covered?

- General knowledge about the program
- What are the requirements to participate and acquire catch shares (quotas)?
- Should a 'share (or quota) fund' for new entrants be established?
- What would be the criteria used for initial allocation of quotas?
- What are the anticipated advantages and disadvantages of the program?
- How would landings be monitored and enforced?
- How would a program impact the condition of the fisheries?
- What would be the mechanism(s) for setting the TAC?

Preferences about the design of the catch share program

23) Who do you believe should receive an initial allocation? [Check all that apply]

- | | | |
|--|---|-----------------------------------|
| <input type="checkbox"/> Vessel owners | <input type="checkbox"/> Captains | <input type="checkbox"/> Helpers |
| <input type="checkbox"/> Members of fish coops | <input type="checkbox"/> Recreational fishermen | <input type="checkbox"/> Charters |
| <input type="checkbox"/> Dealers | <input type="checkbox"/> Others: _____ | |

24) Which criteria should be applied to the initial assignment of shares? [Check all that apply]

- Landings history (established by trip tickets submitted to the Fisheries Lab)
- Participation in the fishery (established by the possession of a valid license)
- Established employment in the harvesting and/or processing sector
- Fishing investment (established by the ownership of fishing vessels, fishing gear, etc.)
- Fishing dependence (established by the type of license held (full-time, part-time))
- Lack of violations or infractions
- Information provided in this survey
- Other: _____

25) Should the sale of catch shares be allowed? Yes No Undecided

26) Should the rental of catch shares be allowed? Yes No Undecided

27) What is the dockside price and the maximum you will be willing to pay for renting a share that allow you to land one pound of

Species	Market Price (\$/lb)	Disposition (whole, gutted)	Rental of share that allow us you to land pound of fish (\$/lb.)
Silk snapper			
Queen snapper			
Other:			

28) Should there be restrictions for buying, selling and renting catch shares between people?

- No. Anybody, including folks not related to the fishing industry, could buy/sell or rent shares.
- Yes. Only fishermen or corporations with licenses could buy/sell, or rent shares.
- Yes. Only fishermen or corporations with licenses and crew could buy/sell, or rent shares.
- Yes. Only fishermen or corporations with licenses, crew, and dealers could buy/sell, or rent shares.
- Yes. Other restrictions: _____
- Undecided.

29) Should there be restrictions for buying/selling, and renting shares across municipalities or regions (e.g., West vs. North coast) to protect traditional fishing practices and fishing communities?

- No, there should be no restrictions to the purchase, sale or rental of catch shares.
- Yes. Only those folks with catch history in the regions (independently of where they live) should be able to buy, sell or rent shares.
- Yes. Only those folks who live in the municipality or region could buy, sell, or rent shares.
- Yes. Other restrictions: _____
- Undecided.

30) What percentage of the quota should be set aside to provide shares to new entrants?
 Percentage (1-100%) ____%

31) Do you believe that the catch share program will bring about the following outcomes?

Anticipated outcomes	Strongly Agree	Agree	Neutral	Disagree	Strongly agree	Don't know/NA
My financial condition will improve	<input type="checkbox"/>					
Prices of deep-water snapper and groupers will increase	<input type="checkbox"/>					
Fluctuation in deep-water snapper and groupers prices will decrease	<input type="checkbox"/>					
My operating costs will decrease (fuel, bait)	<input type="checkbox"/>					
Fishing will become more orderly	<input type="checkbox"/>					
Fishing will become more flexible and efficient	<input type="checkbox"/>					
Fishing ground will become less crowded	<input type="checkbox"/>					
Fishing season will be lengthened	<input type="checkbox"/>					
Less fishing equipment will be lost	<input type="checkbox"/>					
Discarding of fish will decline	<input type="checkbox"/>					
Will help rebuild the resource	<input type="checkbox"/>					
Safety at sea will improve	<input type="checkbox"/>					
Compliance with fishing regulations will improve	<input type="checkbox"/>					
Coastal communities that depend on this fishery will suffer	<input type="checkbox"/>					
It will be more difficult to enter the fishery	<input type="checkbox"/>					

Performance of existing regulations

32) Do you think that the closure for silk snapper (Oct 1- Dec 31) has been effective to recover the resources? Yes No Indecisive

Why? _____

33) Did you initially support the gill and trammel net ban? Yes No

Why? _____

34) Do you support the gill and trammel net ban now? Yes No

Why? _____

35) What were the main impacts of the gill and trammel net ban?

a. Biological (improve parrotfish populations, minimize by catch):

b. Fishing practices (gear switching, new areas, species target):

c. Economic (start-up costs, forgone income) :

d. Social (user conflicts):

e. Community:

f. Livelihood:

36) Do you believe the buyback was fair? Yes No

Why? Were fishermen properly compensated?

37) How the buyback could have been improved? What could be done differently?

large domestic corporations to independent inventors. The USPTO also uses this survey in response to the Senate Appropriations Report 106–404 (September 8, 2000), which directed the USPTO to “develop a workload forecast with advice from a representative sample of industry and the inventor community. There are two versions of the survey: one for large domestic corporations and small and medium-sized businesses and one for universities, non-profit research organizations, and independent inventors. The large domestic corporations, small and medium-sized businesses, universities, non-profit research organizations, and independent inventors responding to these surveys will provide the USPTO with the number of application filings that they plan to submit, in addition to providing general feedback concerning industry trends and the survey itself. The USPTO will use this feedback to anticipate demand and estimate future revenue flow more reliably; to identify input and output triggers and allocate resources to meet and understand customer needs; and to reassess output and capacity goals and realign organization quality control measures with applicant by division.

Affected Public: Businesses or other for-profits and not-for-profit institutions.

Frequency: On occasion.

Respondent's Obligation: Voluntary.

OMB Desk Officer: Nicholas A. Fraser, e-mail:

Nicholas_A_Fraser@omb.eop.gov.

Once submitted, the request will be publicly available in electronic format through the Information Collection Review page at <http://www.reginfo.gov>.

Paper copies can be obtained by:

- *E-mail:*

InformationCollection@uspto.gov.

Include “0651–0052 copy request” in the subject line of the message.

- *Fax:* 571–273–0112, marked to the attention of Susan K. Fawcett.

- *Mail:* Susan K. Fawcett, Records Officer, Office of the Chief Information Officer, United States Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313–1450.

Written comments and recommendations for the proposed information collection should be sent on or before November 12, 2010 to Nicholas A. Fraser, OMB Desk Officer, via e-mail to *Nicholas_A_Fraser@omb.eop.gov* or by fax to 202–395–5167, marked to the attention of Nicholas A. Fraser.

Dated: October 6, 2010.

Susan K. Fawcett,

Records Officer, USPTO, Office of the Chief Information Officer.

[FR Doc. 2010–25669 Filed 10–12–10; 8:45 am]

BILLING CODE 3510–16–P

DEPARTMENT OF COMMERCE

National Oceanic and Atmospheric Administration

Proposed Information Collection; Comment Request; Socio-Economic Assessment of Snapper Grouper Fisheries in the U.S. Caribbean

AGENCY: National Oceanic and Atmospheric Administration (NOAA).

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 December 13, 2010.

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. Juan J. Agar, (305) 361–4218 or *Juan.Agar@noaa.gov*.

SUPPLEMENTARY INFORMATION:

I. Abstract

This request is for a new information collection.

The National Marine Fisheries Service (NMFS) proposes to collect demographic, cultural, economic, and social information about the snapper-grouper fisheries in the U.S. Caribbean. The proposed survey also intends to inquire about industry's perceptions, attitudes and beliefs regarding the potential use of catch shares to manage these fisheries. The data gathered will be used to describe the current socio-economic condition of the fishery and offer insight into fishermen's concerns about a potential catch share program, which could be used to better tailor a potential program. In addition, the

information collected will be used to strengthen and improve fishery management decision-making, satisfy legal mandates under Executive Order 12866, 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 statutes.

II. Method of Collection

The socio-economic information sought will be collected via in-person, telephone and mail surveys.

III. Data

OMB Control Number: None.

Form Number: None.

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

Affected Public: Business or other for-profit organizations.

Estimated Number of Respondents: 1,200.

Estimated Time per Response: 1 hr.

Estimated Total Annual Burden Hours: 1,200.

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: October 6, 2010.

Gwellnar Banks,

Management Analyst, Office of the Chief Information Officer.

[FR Doc. 2010–25668 Filed 10–12–10; 8:45 am]

BILLING CODE 3510–22–P