NOTICE OF OFFICE OF MANAGEMENT AND BUDGET ACTION

Date 11/12/2015

Department of Commerce
National Oceanic and Atmospheric Administration

FOR CERTIFYING OFFICIAL: Jennifer Jessup
FOR CLEARANCE OFFICER: Jennifer Jessup

In accordance with the Paperwork Reduction Act, OMB has taken action on your request received 09/10/2015

ACTION REQUESTED: New collection (Request for a new OMB Control Number)
TYPE OF REVIEW REQUESTED: Regular
ICR REFERENCE NUMBER: 201509-0648-004
AGENCY ICR TRACKING NUMBER:
TITLE: Regional Economic Data Collection Program for Southwest Alaska
LIST OF INFORMATION COLLECTIONS: See next page

OMB ACTION: Approved with change
OMB CONTROL NUMBER: 0648-0722
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: 11/30/2018 DISCONTINUE DATE:

BURDEN:	RESPONSES	HOURS	COSTS
Previous	0	0	0
New	2,072	602	0
Difference			
Change due to New Statute	0	0	0
Change due to Agency Discretion	2,072	602	0
Change due to Agency Adjustment	0	0	0
Change due to PRA Violation	0	0	0

TERMS OF CLEARANCE:

OMB Authorizing Official: Dominic J. Mancini
Acting Deputy Administrator,
Office Of Information And Regulatory Affairs

List of ICs			
IC Title	Form No.	Form Name	CFR Citation
Mail surveys	NA	Trawl catcher vessel questionnaire	
Phone calls to set up interviews, follow-up for missing information and conduct surcveys (hours for surveiys already counted)			
Interviews with input suppliers and processors	NA, NA	Personal interview worksheet for shorebased processors, Persinal interview worksheet for supplier and support businesses	

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/Alaska Fisheries Science Center

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

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 Regional Economic Data Collection Program for Southwest Alaska

8. Agency form number(s) (*if applicable*) None

9. Keywords Fishing, Fishery, Fishing Vessels

10. Abstract

The collected data will be used for developing borough and census area (BCA)-level regional economic models for the Southwest Alaska fishing industry. Accurate and updated fishing industry data about labor and other expenditures for operating fishing vessels are not currently available. The survey response information will be incorporated into models that will provide more reliable information about economic impacts to communities from fishery management policy decisions.

11. Affected public (*Mark primary with "P" and all others that apply with "x"*)
a. ___ Individuals or households d. ___ Farms
b. P 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 1,602
b. Total annual responses 2,072
1. Percentage of these responses collected electronically 10 %
c. Total annual hours requested 600
d. Current OMB inventory 0
e. Difference 600
f. Explanation of difference
1. Program change 600
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 0
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. ___ Program evaluation f. X Research
c. ___ 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) one time data collection

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: Chang Seung
Phone: (206) 526-4250

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 Alan Risenhoover, Director Office of Sustainable Fisheries	Date 8/27/2015
Signature of NOAA Clearance Officer	
Signature BRABSON.SARAH.1365710488 Digitally signed by BRABSON.SARAH.1365710488 DN: c=US, o=U.S. Government, ou=DoD, ou=PKI, ou=OTHER, cn=BRABSON.SARAH.1365710488 Date: 2015.11.18 12:07:14 -05'00'	Date

SUPPORTING STATEMENT
REGIONAL ECONOMIC DATA COLLECTION PROGRAM
FOR SOUTHWEST ALASKA
OMB CONTROL NO. 0648-xxxx

A. JUSTIFICATION

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

Regional or community economic analysis of proposed fishery management policies is required by the Magnuson-Stevens Fishery Conservation and Management Act (MSA), National Environmental Policy Act (NEPA), and Executive Order 12866, among others. To satisfy these mandates and inform stakeholders, policymakers and the public of the likely regional economic impacts (REI) associated with fishery management policies, appropriate economic models and the data to implement these models are needed. Much of the data required for REI analysis of the fishing industry in the Southwest Alaska (SW Alaska) economy are unavailable, unreliable, or outdated.

Accurate fishery-level data on employment, labor income, and expenditures are needed to estimate the effects of fisheries on the economy. To remedy this information gap, this information collection will gather data from industry sources (i.e., commercial fishing vessel owners, seafood processors, and local businesses) on these important regional economic variables needed to develop REI models. The information collected will enable development of more reliable estimators of the fishing industry's economic response to fishery management alternatives and thereby significantly improve the information available to decision makers and stakeholders.

The SW Alaska region for this survey includes six boroughs and census areas (BCAs) – Aleutians East Borough, Aleutians West Census Area, Bristol Bay Borough, Dillingham Census Area, Lake and Peninsula Borough, and Kodiak Island Borough. In 2007-2008, a similar data collection project was administered for the SW Alaska region by obtaining 2006 annual data. However, that data is now outdated and incomplete. In the proposed survey, 2014 annual data for important regional economic variables will be collected from fish harvesting and seafood processing businesses operating in the region. The data will be used to develop SW regional and BCA-level REI models that will provide more reliable impact estimates and significantly improve policymakers' ability to assess effects on fishery-dependent communities in SW Alaska. A departure from the prior survey effort is that more information will be collected this time on the source locations of business expenditures by catcher vessels and seafood processors. The survey will be conducted one time only.

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.

The information collected will be used by economists at the Alaska Fisheries Science Center (AFSC) and AFSC contractors to supplement deficient fishery data in IMPLAN (IMPLAN is a widely used, commercially available economic modeling system. See IMPLAN Group, LLC www.IMPLAN.com). The data collected by this project will be made available to develop REI models for fisheries in SW Alaska, including input-output (IO) models and computable general equilibrium (CGE) models. An important difference between the proposed and the previous data collection efforts is that the data from the proposed data collection will be used to develop BCA-level as well as SW Alaska regional level models. The resulting REI models will be used to estimate both SW Alaska regional and BCA-level impacts resulting from changes in fishery management policies for Alaska fisheries, and thus provide policy-makers with additional information to aid in decision making.

In this project, two different data collection methods will be used: (1) a mail-out survey of catcher vessel owners[1], and (2) personal interviews with "key informants", mainly seafood processors and input suppliers, but also including other representatives from local fishing industry-related businesses (see page 4, Heading **b** for definition and determination of "key informants"). The mail survey will be administered to five different vessel classes. The vessel classes were determined by analyzing the vessels' main target fishery and gear used. The vessel classification system is more thoroughly described in The Research Group (TRG 2007).[2] The mail-out survey will include an option for the respondent to fill out a survey form by accessing an internet website. The key informant interviews of industry representatives, shorebased seafood processors and other local fishery-related businesses will generally take place in SW Alaska and West Coast communities.

The data collection method is more fully described below: mail-out survey instruments, including the questionnaire, an advance letter for the mail survey, the questionnaire's transmittal letter, a postcard reminder for the mail survey, a second reminder letter for the mail survey, and phone call script for those non-responders to the mail survey who want to complete the survey by phone. The key informant interviews will be used to gather information about expenditures in and outside SW Alaska economies by processors and input suppliers (interview scripts will also be submitted). The interviews will be informal but will follow standardized worksheets. Compared with the mail out surveys, the interviews will use a less-rigidly structured conversational approach to glean information from key informants.

a. Mail Surveys for Vessel Owners

The vessel owner survey questionnaire is structured to gather a limited amount of information related to specific vessel expenditures for labor and other inputs and the geographical distribution of the expenditures. Questions will be asked about the number, remuneration, and location of residency (i.e., ten geographical areas including the six BCAs, other Alaska, West

[1] The mail-out survey will not target catcher-processors or motherships.

[2] The Research Group. Estimating Economic Impacts of Alaska Fisheries Using a Computable General Equilibrium Model Data Acquisition and Reduction Task Documentation. Draft. Prepared for National Marine Fisheries Service Alaska Fisheries Science Center. November 2007.

Coast, elsewhere US, and outside of US) of crew members, skippers, and vessel owners who worked on the vessel. An additional question will be asked about expenditures related to operating, maintaining, and owning the vessel. These expenditures include operating expenses (i.e., for fuel and lubricants, groceries, fishing gear, vessel mechanical parts, vessel equipment, repair services, bait, etc.), longer-term capital expenditures and other costs. Finally, a question about the geographical location of these expenditure items will be asked. The resulting information will contribute to a complete set of data for use in modeling five fishing vessel economic sectors in SW Alaska.[3] Detailed explanations of each question in the vessel survey are given below.

- Question 1 is intended to demonstrate the accuracy of the data on the vessels and owners that is in the possession of the researchers and to personalize each questionnaire. Showing this information to the respondent elicits confidence. This confidence should help raise survey response rates.
- Question 2 asks whether the subject vessel had landings or deliveries in the SW Alaska region to confirm that the recipient is a member of the target population; if not, the respondent is directed to skip the survey content and go to Section E to enter any comments.
- Question 3 will provide information on how many months in the calendar year the survey respondent was an owner of the vessel. If the owner owned the vessel for less than a full year, the expenditure information may need to be pro-rated to represent annual expenditures. Vessel identification doesn't change with transfer of ownership, so it will be possible to screen responses to avoid double counting.
- Question 4 will provide the total number of three different types of labor (crew members, skippers, and owners who provided labor) associated with vessel operations. The question directs the responder's thinking to the vessel's labor requirements. The logical flow from general questions to more specific ones should improve survey accuracy.
- Questions 4a, 4b, and 4c provide information needed to determine the residency location of those employed in the three types of labor. The question will address the crew members, skipper(s), and owners residing in each of the ten geographical areas (i.e., the six BCAs and the four additional areas).
- Question 5 requests the percentage of total vessel revenues that were spent on vessel costs. This information is needed to calibrate the responses to Question 6.
- Question 6 elicits information by asking respondents to fill in a table on expenditures made by the vessel including remuneration paid to crew, skippers, and vessel owners. This question does not directly ask for the dollar amounts, but rather asks for approximate percentages of total vessel costs that were spent on each item. Asking for approximate percentages rather than actual dollar amounts should make providing this information more intuitive and less intrusive for respondents.

[3] IMPLAN data provides only aggregate information on harvesting activity; there is only a single commercial fishing sector in IMPLAN data. To estimate the potential impacts of fishery management actions on individual harvesting sub-sectors, it is necessary to disaggregate this into different sub-sectors.

- Questions 7, 8 and 9 are needed to identify and quantify cases where expenditures recorded in question 6 for repair and replacement of vessels, engines or gear include amounts paid for periodic, scheduled major overhauls or refits.
- Question 10 is designed to elicit information about the location of expenditures. This question asks for the percentage of total expenditures on each expenditure item that were made in each of the ten geographical areas. This information is used in REI models to determine the sources of inputs obtained from areas inside and outside the region where fish-landing (and processing) occurs.

The survey concludes with space for respondents to comment on the survey.

b. Personal Interviews with Key Informants

Personal interviews will be conducted with key informants selected from among seafood processors and input suppliers. Other representatives from local fishing industry-related businesses may also be interviewed to provide context and background information. For our purposes, "key informant" means a representative of seafood processing or input supplier businesses or other commercial fishing industry representative who has unique knowledge of their industry in SW Alaska and who is willing to provide that information.[4]

Key informants from seafood processor and input supplier businesses will be solicited through contact with fishing industry associations, SW Alaska port staff, and other business representatives. Processor and supplier key informants will be selected so that a high proportion of spending by these business types in SW Alaska is represented in the responses.[5]

Several days before an interview is desired, candidate key informants will be contacted to schedule interviews. This contact call will inform them of the purpose of the study and describe the type of questions to be asked. Interviews will take the form of informal conversations, but using standard interviewer worksheets (included in this request, Attachment B) as a guide.

Personal interviews with seafood processor key informants will be used to obtain information about (i) value added components for seafood products manufactured in SW Alaska (such as product recovery rates, average variable costs and average fixed costs per processed pound) (ii) total jobs and the numbers of workers who reside in the ten geographical areas, (iii) the expenditures on inputs (including labor) used in manufacturing, (iv) the geographical distribution of those expenditures, and (v) sales and mark-up percentages of supplies such as fuel, ice, and bait sold to fishing vessels. It is not necessary to ask processors about their purchases from the fish harvesting sectors since this information is available on fish tickets.

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[4] To increase the response rate to the mail survey of vessel owners, we plan to conduct some phone interviews with vessel owners who either return incomplete mail surveys or do not respond at all to the mail survey. However, these vessel owners are not "key informants" as defined in this document.

[5] We will not conduct sampling to select key informants to be interviewed. While we will contact all major seafood processors and the main input suppliers operating in the SW Alaska region, we will conduct conversations with any key informant who agrees to be interviewed.

Personal interviews with key informants from input supplier industries will gather additional information on (i) the level of supplier sales to regional seafood industry businesses, and (ii) the portion of business expenditures for labor and non-labor inputs that were made in each of the above ten geographical areas.

Other key informants with expert knowledge of the SW Alaska fisheries who are willing to provide information will also be interviewed to provide background information and cross checking of survey and interview responses. Information collected from these interviews will be used to construct regional economic data for the input supplier and processing industry sectors of regional economic models.

The survey information gathered by the contractors will be turned over to the National Oceanic and Atmosphere Administration's (NOAA) Fisheries. NOAA Fisheries 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 Question #10 below (pages 7-8) in this supporting statement for more information on confidentiality and privacy. This information collection is designed to yield data that meet all applicable information quality guidelines. Although the information collected will not be disseminated directly to the public, results may be used in scientific, management, technical or general informational publications. Should NOAA Fisheries decide to disseminate the information, it will be subject to the quality control measures and pre-dissemination review pursuant to Section 515 of Public Law 106-554.

3. <u>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</u>.

The mail-out survey will have an optional response procedure for filling out the questionnaire using a form hosted on an internet website. A unique password provided with each individual mailed questionnaire will allow the respondent to gain access to a form. The form will contain the same pre-coded information and ask the same questions as the mail-out questionnaire. The responder will be informed that there is a 72-hour period during which time submitted answers can be edited. After the 72-hour period expires, the information will be considered final. In the case that both a mail and a web-based response are received, the web-based response will have precedence.

4. <u>Describe efforts to identify duplication</u>.

There have been several other economic data collection efforts in Alaska that are noteworthy. Hartman (2002) collected regional economic information for Southeast Alaska from 1995-96 (for data year 1994).[6] Another study [Hermann et al. (2004)] tried to collect regional economic information in Alaska related to the snow crab fishery in the Bering Sea and Aleutian Islands

[6] Hartman, J. 2002. *Economic Impact Analysis of the Seafood Industry in Southeast Alaska: Importance, Personal Income, and Employment in 1994*. Regional Information Report No. 5J02-07. Alaska Department of Fish and Game.

(BSAI) region.[7] More recently, surveys gathering regional economic information from harvesting vessels have been completed for Alaska's SW and Gulf Coast regions (OMB Control Nos. 0648-0562 and 0648-0571). The former SW data collection (OMB Control No. 0648-0562) was administered in 2007-2008, and gathered regional economic data for year 2006. However, that data is now outdated and was also incomplete. Therefore, that data needs to be updated with information from this data collection project. In addition, specific fleets will be targeted in the vessel owner survey for which no alternative sources of expenditure data are available. Economic Data Report data collections conducted by NOAA already provide annual economic census data for vessels participating in the BSAI crab fisheries (OMB Control No 0648-0518). Consequently those vessels will be excluded from the sampling frame.

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

The mail-out survey and personal interviews will be used to obtain information about expenditures for goods and services made in the regional economy and elsewhere. Many of the vessel ownership arrangements and the supplier/processor businesses contacted will meet the definition of a small business.[8] Questions are limited in number and scope, thereby minimizing the burden to each respondent. The vessel owner mail-out survey should not take more than 45 minutes to complete, and the business interviews will take no more than 45 minutes each on average.

The vessel owner survey was specifically developed so as to minimize the amount of time required to answer questions. For example, the question on vessel expenditures asks for corrections to be made to a prepared list of expenditure percentages rather than asking the responder to supply original information. The list shows example percentages of expenditures rather than actual dollar amounts and is tailored to each respondent's vessel class. The lists of expenditures are adapted from an earlier economic model that should provide a reasonable starting point. Also, characteristics specific to each vessel are pre-printed on each individual survey so that the respondent does not need to spend time supplying this information.

The interviews with suppliers and processor businesses will be conducted by experienced personnel with many years of experience in fishing industry economics. Conversations will be informal but guided to gather useable data about processes, sales and expenditures made in different geographical areas. Examples of prepared personal interview worksheets that will be used to guide interviews with suppliers and processors are included in Attachment B.

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[7] Herrmann, M., J. Greenberg, C. Hamel, and H. Geier. 2004. *Regional Economic Impact Assessment of the Alaska Snow Crab Fishery Integrated with an International Snow Crab Market Model.* University of Alaska, Fairbanks, School of Management Working Series Report 2004-001.

[8] A fish harvesting business is considered a small business by the Small Business Administration if it has annual receipts not in excess of $4.0 million. For related fish-processing businesses, a small business is one that employs 500 or fewer persons. For wholesale businesses, a small business is one that employs not more than 100 people.

In the case of input supplier businesses, the main goal will be to determine how well the regional industry is represented by IMPLAN data. A few questions about the suppliers' customer base and sales levels in different regions will provide sufficient information for this determination. These conversations will also pursue information about sources of supply and the locus of operating expenditures.

In the case of processors, rather than simply asking the respondent to provide original numbers, they will be shown a prepared list of expenditure percentages (derived from an earlier economic model) containing financial accounting information itemized in a way they are accustomed to seeing. The respondent will review and correct these percentages. The processor interviews will also gather information about product forms and yields. Processor representatives are generally open-minded about providing this information as they are proud of their business successes. In return, the experienced interviewer may also be able to provide general information about the fishing industry to assist the responder in making future business decisions.

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

No other entity is likely to collect the information needed to resolve the IMPLAN data deficiencies to construct accurate models of the SW Alaska fishing industry and its contribution to the SW Alaska regional economy. Therefore, if the data collection is not conducted, the deficiencies in the regional data will not be corrected, and therefore, the mandates of MSA, NEPA, and Executive Order 12866 described in Question1 above will not be satisfied.

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

None.

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 September 5, 2014 (79 FR 53018) solicited public comment. No comments were received.

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

We do not plan to provide any payments or other gifts to the respondents.

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

On the first page of the survey, we provide a confidentiality statement as follows:

YOUR RESPONSES WILL BE STRICTLY CONFIDENTIAL AND USED ONLY TO ESTIMATE THE ECONOMIC CONTRIBUTIONS OF SW ALASKA FISHERIES TO SOUTHWEST ALASKA AND OTHER U.S. REGIONS.

Confidentiality: Per Section 402(b) of the Magnuson-Stevens Act (16 U.S.C. 1801, et seq.), all individual survey responses are confidential and will be held by only a limited number of researchers at Alaska Fisheries Science Center and contractors who are authorized to work with the data. After the data have been entered in an electronic format, only those researchers will have (password-protected) access to the data. Individual survey forms and electronic responses will be destroyed upon completion of the study. Your name, business name, and address will be used only for mailing and survey administration purposes. Only summary results of this survey will be reported to the public. NOAA Fisheries and other agencies will see only aggregate results in summary form, not individual responses.

YOUR RESPONSES AND THE DATA COLLECTED FROM THIS SURVEY WILL NOT BE SEEN OR USED FOR ANY OTHER PURPOSE BY NOAA FISHERIES, OTHER FEDERAL GOVERNMENT AGENCIES, THE STATE OF ALASKA OR OTHER PARTIES.

11. <u>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</u>.

No sensitive questions will be asked.

12. <u>Provide an estimate in hours of the burden of the collection of information</u>.

The mail-out survey will be used to gather information from owners of vessels that delivered raw fish to SW Alaska ports for processing (i.e., excluding catcher-processor and mothership vessels). Phone interviews will be conducted to follow-up this information. Also, key informant interviews will be conducted to gather information from seafood processors and local input suppliers. The mail-out survey will be sent to a sample of vessel owners. Ex-vessel revenue information contained in the Alaska Fisheries Information Network (AKFIN) database for vessels delivering to SW Alaska ports was used to derive the sample. The sample size was determined using an unequal probability sampling (UPS) method (included in a supplementary document) to account for the unequal distribution of harvest in each vessel stratification. The questions to be asked of survey respondents will pertain to their activities during calendar year 2014. AKFIN data for 2014 will be used to tabulate survey results and perform a non-response analysis. The AKFIN database will also provide information about ex-vessel sales and processor purchases at SW Alaska ports. While the survey of vessel owners uses a scientific UPS procedure to determine an optimal sample size in order to achieve statistical significance, the selection of key industry informants to be interviewed will use much less formal selection

procedures. The following describes the estimated responder burden for both the vessel owner and key informant survey procedures.

The estimated number of respondents/contacts is 1,872. The estimated total annual burden hours are 599. These numbers are derived as follows. It was found using AKFIN data that 2,500 vessels delivered to SW Alaska ports during 2013[9]. Excluding 87 vessels that are covered by the mandatory data collection from the BSAI crab rationalization, the total population size for this proposed project is 2,413 fish harvesting vessels consisting of five subpopulations corresponding to the five distinct vessel classes. The five distinctive vessel classes (or sectors) include Trawler, Hook and Line, Pot Gear, Gillnet Gear, and Other vessel classes. The optimal sample size[10] for each subpopulation is calculated using the UPS procedures described in Attachment C assuming a ±10% error in the estimate of population totals of interest and an alpha of 0.05 (or percentile of the standard normal distribution of 1.96).

The resulting optimal sample size for each vessel class is divided by the expected response rate of 35%[11] in order to obtain the mail-out sample sizes. It was found that the mail-out sample sizes for three vessel classes (Trawler, Hook and Line, and Pot Gear) are much larger than the population sizes. This means that the mail-out sample sizes for these three vessel classes should be set equal to the population sizes. In case of Gillnet Gear vessel class and Other vessel class, the mail-out sample sizes (829 and 393, respectively) are smaller than their population sizes (1,632 and 401, respectively). The sum of the resulting mail-out sample sizes for all vessel classes is 1,602 (see Table 1). Applying the 35% response rate, the sum of the expected responses for all five vessel classes is 562. The mail-out questionnaire will take about 45 minutes to complete. Therefore the expected 562 responses to the mail-out vessel survey represent a total burden of about 420 hours to the survey respondents.

In order to assure getting at least 562 completed survey responses, we will make follow-up phone calls[12] to all the partial responders and non-responders to the mail survey, with the goal being to complete the incomplete mail surveys and to conduct telephone interviews with those non-respondent vessel owners who indicated they were willing to complete the survey by phone.

For example, assuming that only 362 of the expected number of responses (562) return completed mail survey, we would make 1,240 phone calls to contact those vessel owners who either returned incomplete responses or did not respond at all to the survey (5 minutes each).

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[9] For sampling purpose in this document, we used 2013 fish landings data. However, it is expected that the 2014 landings data will be available by the time this PRA packet is approved. When the 2014 data is available, we will conduct the sampling job again using the 2014 data, and collect the data for year 2014.

[10] Optimal sample size as used here is the number of vessels needed for analysis to achieve the level of precision desired given an allowed error of population estimate and an alpha.

[11] We assume a 35% response rate because of the reasons explained in Section B.1 below.

[12] A follow-up phone call will be made about 1-2 weeks following the second reminder letter (See Section B, Item 3(a) below). Follow-up calls and telephone interviews are intended to help achieve the 562 estimated total completed responses, i.e., the estimated number of total completed responses (562) already includes those that will be completed by follow-up phone calls.

From these 1,240 contacts of non-responders and partial responders, approximately 100 scripted phone calls would be made to follow up with vessel owners who returned questionnaires that contained blank or incomplete responses (30 minutes each), and about 100 scripted phone calls would be made to conduct telephone interviews with those vessels owners who indicated they were willing to complete the survey by phone.[13]

We will also make phone calls to arrange and conduct interviews with key informant seafood processors and input suppliers. About 40 phone calls will be made to contact and arrange interviews with input supplier and seafood processor key informants (5 minutes each). From these contacts, about 15 scripted phone interviews will be conducted to gather information from input suppliers (45 minutes), and about 15 scripted interviews will be conducted to gather information from seafood processors (45 minutes).

Thus, it is estimated that up to 1,510 total phone calls will be made. The total burden hours for all phone calls to vessel owners and input supplier and seafood processor key informants will be 179 hours (i.e., excluding the estimated time required for follow-up phone interviews with vessel owners in order to avoid doubling counting).

Based on 2014 AKFIN data on shoreside processors' purchase of raw fish from SW harvesting vessels, about 20 major shoreside processing companies will be contacted. We will try to interview approximately 15 of these companies. Information about supplier businesses will be assessed by talking with fishing industry and local community representatives during port visits. Local knowledge will be used to identify candidates for key informant interviews. A list of candidate business contacts for the interviews will be compiled to ensure broad coverage of business types. The evaluation will consider the range of goods and services provided to harvesters and processors, as well as the relative size of the businesses. It is anticipated that approximately 15 total interviews with supplier business key informants, either in person or by phone, will be conducted.

Therefore, the total burden of all respondents is estimated to be 603hours (423 hours for mail-out survey and 180 hours for phone calls and interviews), as shown in Table 1, below.

[13] To avoid double counting, phone interviews with non-responding vessel owners are not included in calculating the total burden hours in Table 1, because the total burden hours estimated for the 562 survey respondents already include the time required for follow-up phone interviews with these vessel owners.

Table 1. Estimated population, respondents and burden on data collection participants.

Respondent type	Populaion	Actual mail-out sample size	Expected contacts / responses	Responses per respondent	Estimated time per response (minutes)	Estimated hours (responses multiplied by time per response)
Trawl Vessels mail survey	116	116	41	1	45	31
Hook and Line Vessels mail survey	225	225	79	1	45	59
Pot Gear 1 Vessels mail survey	39	39	14	1	45	11
Gillnet Gear Vessels mail survey	1,632	829	290	1	45	218
Other Vessels mail survey	401	393	138	1	45	104
SUBTOTAL	2,413	1,602	562			423*
Phone calls to follow-up and/or arrange interviews with vessel owners			1,240	1	5	104
Phone calls to vessel owners to fill in missing responses			100	1	30	50
Phone calls to conduct interviews with vessel owners [a]			100	1	45	0
Phone calls to arrange interviews with input suppliers and processors.			40	1	5	3
Interviews (in person and by telephone) with input suppliers and processor key informants			30	1	45	23
SUBTOTAL			1,510			180
TOTALS	2,413 vessels	1,602 vessels	2,072 contacts / responses			603

a To avoid double counting, phone interviews with non-responding vessel owners are not included in calculating the total burden hours in Table 1, because the total burden hours estimated for the 562 survey respondents already include the time required for follow-up phone interviews with these vessel owners.

*Rounded down to 422 in ROCIS

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 #12 above).

The estimated total annual cost to the public is $0 (mail surveys will be accompanied by postage-paid envelopes).

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

The total cost of this data collection project is estimated to be $160,000. This covers (a) compensation for labor used to develop the survey, (b) travel cost associated with survey development, (c) labor cost for implementing the survey, (d) mailing costs (for mail surveys, advance letters, and postcard reminder), and telephone calls for interviews. Since this project will be spread over three years, the annualized cost is $53,000.

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

There are no program changes or adjustments.

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

The data collected will be used to revise or replace IMPLAN data for the study region. The collection of data is expected to be implemented in early 2016. The construction and revision of the regional economic data set (which will occur after the data collection is completed) will be completed by 2017. Summary results of data collection will be published in a project report. It is anticipated that data collected under this project will be used to construct REI models for the SW Alaska region as a whole and the six BCAs under subsequent projects. Results from these models and descriptions of the data methods used to develop the models will be published in peer-reviewed journals.

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.

N/A

18. Explain each exception to the certification statement.

There are no exceptions.

SUPPORTING STATEMENT
REGIONAL ECONOMIC DATA COLLECTION PROGRAM
FOR SOUTHWEST ALASKA
OMB CONTROL NO. 0648-xxxx

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 (i.e., 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.

For the vessel surveys, information in the AKFIN database for Year 2013 was used to determine survey population characteristics. The questions to be asked of survey participants will be for Year 2014 activity.[1] The overall population will consist of all fishing vessels (except crab rationalization fishery vessels) making deliveries to ports in SW Alaska. In 2013, there were 2,413 such vessels. This population consists of five vessel classes as shown in Table 1 in Section A. An unequal probability sampling (UPS) procedure is used to determine the sample sizes needed for each vessel class. *UPS procedures are described in Attachment C (included as a supplementary document).*

The expected response rates for the vessel surveys are based on consideration of the following factors. A previous data collection project conducted for Southeast Alaska (Hartman 2002) achieved an overall response rate of about 30%. That study contained a larger number of questions including sensitive ones. The AFSC has completed a survey similar to the proposed one for the Southwest Alaska region and the Gulf Alaska region. The average response rates were about 20% for the harvest sector survey. Most recently, a regional economic data survey for Southeast Alaska fisheries (Waters, E. and The Research Group 2012) [2] achieved an overall response rate of 28%. Compared with previous regional economic data surveys, the present survey is expected to achieve overall a higher response rate. There are two important reasons for this. One reason is that, unlike previous surveys, we obtained endorsements for the study from Trawl vessel sector and Hook and Line vessel sector industry associations, which is expected to increase the response rate (the final survey cover page will have the logos of the seafood

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[1] As mentioned in a previous footnote, for sampling purpose in this document, we used 2013 fish landings data because the 2014 landings data were not available. However, when the 2014 landings data becomes available, probably after the PRA packet is approved, we will conduct the sampling job again using the 2014 data, and collect the data for year 2014.

[2] Waters, E. and The Research Group. 2012. *Regional Economic Data Collection Project for Southeast Alaska.* Prepared for Alaska Fisheries Science Center. Contract Number: PO 4300-043-12 (OAK Management, Inc.), Corvallis, Oregon.

associations). The other reason is that we went through more rigorous pretests of the survey questionnaires than in the previous surveys, obtained feedbacks from vessel owners in the pretests, and revised the surveys accordingly. Because of these reasons, it is assumed that, overall, the response rate to the mail survey of vessel owners will be about 35%. For a more detailed description of the methods we will use to increase the response rate, see Item #3 below.

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.

Since the majority of gross revenue within each harvesting sector comes from a small number of vessels, a simple random sampling (SRS) of vessels would only include a small portion of the total ex-vessel value, and therefore, would be misleading. As a result, for this project, an unequal probability sampling (UPS) method without replacement is used to account for the unequal distribution of harvest in each target population. We first estimated the optimal mail-out sample sizes derived using the UPS procedure and divided that by the expected response rate. However, the mail-out sample sizes derived using this procedure are much larger than the population sizes for three vessel classes (Trawler, Hook and Line, and Pot Gear vessel classes). This means that the mail-out sample sizes for these three vessel classes should be set equal to the population sizes. In case of Gillnet Gear and Other vessel classes, the mail-out sample sizes (829 and 393, respectively) are smaller than their population sizes (1,632 and 401, respectively). See Table 1 in Section A above. Therefore, we will conduct a census (i.e., send the survey to all units in the population) for each of the three vessel classes, but will use UPS without replacement to identify the sampling units for Gillnet Gear and Other vessel classes.

The objective of the sampling task is to estimate the employment, labor income and other input cost information for each of disaggregated harvesting vessel classes using as an auxiliary variable ex-vessel revenue as provided by AKFIN. Since each vessel class will be used as a separate economic sector in a REI model, we face a separate problem for each of the different vessel classes in sampling. Details of the sampling methodology are described in Attachment C.

As stated in a footnote to A2, we will not conduct any sampling to select key informant to be interviewed. While we will contact all major seafood processors and the main input suppliers operating in the SW Alaska region, we will conduct conversations with any key informant who agrees to be interviewed.

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

(a) Maximizing Response Rates

Previous applications of voluntary commercial fishing vessel surveys in Alaska (e.g., Hartman 2002) tended to be hampered by relatively low response rates that principally resulted from the use of long and complicated survey instruments. Commercial fishermen are frequently asked, and often required, to participate in surveys from numerous organizations including NOAA, Alaska Department of Fish and Game (ADF&G), and universities. As a result, commercial fishermen are less likely to complete voluntary surveys that are lengthy, poorly-designed, or do not clearly involve issues that are important to them. In this data collection project, significant efforts have been made to ensure the survey instruments are short in length, contain well-designed questions, and clearly convey the relationship of the data collection to issues that are important to commercial fishermen.
The mail survey is short (i.e., 10 questions) and avoids many of the more sensitive questions included in previously-fielded commercial fishing vessel surveys. The set of questions was limited to only those that are essential for achieving the objectives of the project as outlined in Section A, Question1 above. Compared with the Hartman (2002) Southeast Alaska commercial fishing survey, a much smaller number of questions will be asked. Questions on vessel expenditures are often included in surveys of commercial fisheries. In the effort proposed here, information on simple approximate expenditure shares rather than actual dollar values is solicited to avoid the added complexity and likely sensitivity of requesting expenditure information. It is not necessary to ask total vessel harvest revenues because that information is already known from the AKFIN database. The questions to be asked in the proposed survey are similar to those used for the most recent regional economic data collection survey for Southeast Alaska (Waters and The Research Group 2012). The difference between that effort and this proposal is that the proposed data collection will ask for more detailed information on the geographical distribution of vessel expenditures. However, unlike Waters and The Research Group (2012), in order to reduce complexity and increase the response rate, this effort will not ask respondents to break out information on their vessels' species-level employment and labor earnings.

We conducted more rigorous pretests of the mail-out survey questionnaires than in previous surveys, and revised the survey questions using feedback from vessel owners who participated in the pretests (See Section B.1 above). We have conducted extensive outreach to industry and community associations representing different sectors of the industry and engaged their support for the study. Mailing material for the vessel owner survey will display the logo(s) of the industry association(s) of which the recipient is a member, and association newsletters will promote participation in the survey.

Follow-up phone calls will be made to contact all vessel owners who either returned incomplete survey or did not respond to the survey at all. During the phone calls we will encourage a response by mail, but provide an option for the information to be collected by phone. If the mail

survey non-respondent prefers, a scripted telephone interview will be conducted to obtain the information (See Question 12 in Section A above). Individuals needing an additional copy of the survey will be provided one by mail or email, along with a cover letter and return envelope if needed. These scripted phone interviews are intended to gather information from vessel owners who did not initially respond to the mail survey. Together these efforts are expected to help increase the response rate, and reduce potential non-response bias.

The personal interviews with key informant local supplier businesses and seafood processors will be structured with similar objectives in mind. Worksheets have been developed and will be used to aid in those interviews (included in this submission). The key informant interviews are designed to acquire information on (1) seafood processors' value added components and the locations and percentages of expenditures for labor and non-labor inputs; and (2) information on the locations of input purchases and product sales by local supplier businesses.

Seafood processors' non-labor costs are grouped into broad categories including fish purchases, packaging materials, and payments for energy/utilities, etc. Worksheets containing estimates of seafood processors' expenditures on input categories (expressed as shares of total business revenues) will be used to guide the interviews. These worksheets were constructed based on data collected for previous economic models of the fishing industry. The expenditure shares and other information shown in the worksheets will serve as reasonable starting points, but seafood processor key informants will be asked to judge whether or not these estimates are representative, and if not, to update or correct them.

Questions seeking seafood processors' actual amounts of total business sales and input expenditures do not need to be asked because this information can be estimated by knowing the amounts of fish purchased (from administrative data sources available in the AKFIN database), and information collected on seafood processors' value added components and input purchase percentages during the interviews. Avoiding having to ask sensitive questions about actual dollar amounts combined with the use of personal interviews based on standardized worksheets will help increase seafood processors' responsiveness and minimize respondents' time burden.

The interviews of local input supplier businesses will also be worksheet-based but will involve fewer and less detailed questions than used in the interviews of seafood processors. The main information to be collected from local input suppliers will be the geographic distribution (percentages) of where their input purchases (including labor) and product sales are made. This data will be used to help calibrate information gleaned from the vessel surveys, seafood processor key informant interviews and the IMPLAN regional economic database regarding industry input purchases made in one of the six BCAs in the SW Alaska region and elsewhere.

To overcome respondents' concerns about confidentiality, confidentiality statements are written on and included with the mail survey form. Protection of confidentiality will also be stressed up front in the key informant interviews. Confidentiality statements will also be included with the advance and transmittal letters accompanying the mail survey, as well as in any follow-ups or reminders.

As stated above, one reason believed to have caused low response rates in prior surveys is disinterest among respondents toward the survey purpose. Surveys collecting information that will clearly benefit or interest respondents are more likely to be completed. The importance and benefits of this data collection project to the respondents (fishermen, local supplier businesses, and seafood processors) will be emphasized in the mail-outs and during interviews. These notices will clearly state that with their help, the important role of the respondents' commercial fishing-related business activities in the SW Alaska regional economy can be better understood. The information they provide will be used to enhance the fishery management practices of NOAA fisheries, and thereby, increase the long-run economic benefits to the fishermen and local businesses. Making a clear link between the survey, the respondents' participation, and the regional economy is expected to help increase the response rate compared with prior efforts.

In addition to the above steps taken to maximize response rates and to ensure the quality of the materials, the survey instruments (mail and telephone) were reviewed by industry representatives as well as researchers with expertise in Alaska fisheries and conducting economic surveys.

A set of survey protocols to be followed was designed to maximize response rates. For the mail-out survey, a modified Dillman (2000) approach will be employed that includes:

- An **advance letter** notifying the respondents a few days before they receive the survey questionnaire. This will be the first contact with the respondent.
- An **initial mailing** sent a few days after the advance letter. Each mailing will contain a cover letter, personalized questionnaire, and a pre-addressed, stamped return envelope.
- A **postcard follow-up reminder** mailed 5-7 days following the initial mailing.
- A **second reminder letter** sent about 2-3 weeks following the initial mailing.
- A **follow-up phone call** made about 1-2 weeks following the second reminder letter.

An additional option for vessel owners to fill out a confidential and personalized web-based questionnaire hosted on a secure internet website will make responding easier for some survey participants. It is expected that this feature will also help increase the response rate.

The result of the efforts described above are compact and high-quality survey instruments that contain questions vessel owners, local businesses, and seafood processors can answer with minimal effort. As a result, the response rate for the mail survey of vessel owners is expected to be approximately 35%. Through recruitment efforts to secure candidate key informants, up to 30 personal interviews with processors (15) and local suppliers (15) will also be completed.

(b) Non-response

Extensive supplemental data sources are available that document demographic and behavioral characteristics of the individuals and establishments in the respective populations targeted in this study. In addition to information available from these secondary data sources, a follow-up phone call (Question 12, Section A; Question 3(a), Section B above) will be made to all the non-responders to the mail-out survey in order to help identify systematic differences between

respondents/non-respondents to support identification and control for non-response bias. In the call, we will ask a few questions to find the reasons why they did not respond to the mail survey.

To identify systematic differences between responders and non-responders, statistical tests will be performed to identify response bias with respect to several observable characteristics: (1) geographical area of landed fish, (2) ex-vessel value, and (3) species caught. This information is available from AKFIN data for each vessel. If significant and systematic differences between responder and non-responder groups are discovered, population parameter estimates may be adjusted, following a method such as Heckman method, using weights derived from this information.

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

We conducted a pretest of the mail-out survey questions for fish harvesting vessels. A total of five vessel owners participated in the pretest. The results from the pretest were used to refine the survey instrument.

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.

John Slanta (Census Bureau) assisted in the development and review of sampling procedures (Attachment C) for this project. His telephone number is 301-763-4773.

Several NMFS economists with experience in economic survey design and implementation reviewed the survey materials and survey protocols, including Dr. Dan Lew, Dr. Ron Felthoven, and Dr. Brian Garber-Yonts.

Dr. Chang Seung (Alaska Fisheries Science Center) is the AFSC contact who is responsible for project management and will participate in the development of REI models using the information from this project. Dr. Seung's contact information is (206)526-4250 chang.seung@noaa.gov.

This project consists of two phases. The first phase involves development of survey instruments including mail-out survey questions, and key informant worksheets for processor and local businesses. The second phase will administer the mail-out survey and interviews with the key informants. The contractor coordinating the first phase of the project is Cascade Economics, LLC, (360)-835-7340. Dr. Michael Taylor is the principal partner. He will be assisted by Dr. Edward Waters and Ms. Janet Baker. Cascade Economics, LLC, will also conduct interviews with the key informants in the second phase.

We have not selected any contractor who will administer the mail-out survey. Once the first phase of the project is completed and this PRA application is approved by OMB, we will hire a contractor who will administer the mail-out survey.

A.2 Letters for Southwest Data Collection

A.2.1 Advance Letter for Fishing Vessel Survey

<DATE>
Phish Erman
<Vessel Name>
Address
City, state, zip

Dear Mr. Erman:

The Alaska Fisheries Science Center (AFSC) of NOAA Fisheries (National Marine Fisheries Service) is conducting a confidential, voluntary survey to learn more about commercial fisheries in Southwest Alaska (SW Alaska). With your help, we can better describe the important role commercial fishing activities play in the regional economies of SW Alaska and elsewhere. Your responses to this survey will enable us to provide more accurate information to industry stakeholders, fishery managers and the general public on the valuable economic contributions made by SW Alaska fisheries. Your confidential responses will be used only by project economists for the purpose of estimating the economic contribution of SW Alaska fisheries to the local region and the rest of the U.S.

Your vessel was selected from those that landed fish at SW Alaska ports during 2014. Vessels were classified based on the type of fishery that accounted for the majority of SW Alaska ex-vessel revenues in 2014. For example a vessel with 2014 revenues from SW Alaska landings derived 35% from longline gear, 10% from pot gear and 55% from trawl gear would be classified as a "Trawl" vessel for purposes of administering this survey. However in responding to the survey questions, please include expenditures associated with your entire portfolio of SW Alaska fisheries activities during the year.

Only a small sample of fishermen was chosen for this study, so your help is critical to its success. This study has been endorsed by XXX, YYY, and ZZZ in recognition of the importance of this information to their memberships, the fishing industry and the communities that depend on SW Alaska fisheries.

In the next few days, you will receive a personalized questionnaire in the mail from AFSC. Please fill out the survey form and return it in the included pre-addressed and stamped envelope. You will also have the option to fill out the survey questionnaire on-line using a form hosted on a secure internet website. You will be provided a unique, confidential password along with the mailed questionnaire which will allow you to access the on-line form if so desired. The survey asks about employment and earnings of crew and skippers who worked on your vessel. It also asks about the distribution of expenditures you made in SW Alaska communities and elsewhere that were necessary to own and operate your vessel.

Your response is voluntary, but important. The confidential information you provide will *not* be seen by enforcement or used for any other purposes specific to you or to any individual businesses. We are requesting this information solely to help us understand the economic contribution your industry makes in order to make better estimates of the economic impacts of policies, management actions and other factors that affect the fishery. However this requires that a representative number of fish harvesting businesses, like yours, fully complete the survey. To

ensure that we have the best possible and most representative information about your industry, we need to hear from you.

All responses you provide to this survey are considered confidential. Only personnel authorized by NOAA and who are required by law to maintain confidentiality of your information will have access. Only summarized, aggregated results from the survey will be released publicly.

Again, you are one of only a small number of fishermen who were selected to help. To keep costs low and make sure that the information obtained correctly represents SW Alaska fisheries activity, we need to hear from you.

Thank you in advance for your help.

Sincerely,

Blue Sky
Survey Director
Good Survey Company

A.2.2 Cover Letter for Fishing Vessel Survey

<Date>
Mr. Phish Erman
<Vessel Name>
Address
City, state, zip

Dear Mr. Erman:

As you know, commercial fishing plays a significant role in the Southwest Alaska (SW Alaska) economy. One way commercial fishing contributes to the region's economy is through employment on fishing vessels and the income that is spent in the region. Commercial fishing vessels also contribute to a region's economy through other types of spending necessary to own and operate the vessel. Information about the economic contribution of the commercial fishing industry is needed in order to help inform better decisions by industry stakeholders, fishery managers, state and local policy makers, local businesses owners, and others whose decisions affect industries and people involved in SW Alaska fisheries.

To help us improve our understanding of commercial fishing's role in the SW Alaska economy, we ask that you complete the enclosed voluntary survey. The survey is being conducted by the Alaska Fisheries Science Center (AFSC) and collects employment and income information related to landings made by your vessel, <*Vessel name*>. The information you provide will help inform better decisions and thereby increase the long-run economic benefits to fishery participants. If you choose to fill out your questionnaire using the optional on-line form hosted on a secure internet website, the url is:XXXXXXXX. Your personal password for accessing the secure online form is included with the attached, personalized questionnaire.

Your vessel was selected at random from those that landed fish at SW Alaska ports during 2014. Vessels were classified based on the type of fishery that accounted for the majority of SW Alaska ex-vessel revenues in 2014. For example a vessel with 2014 revenues from SW Alaska landings that were derived 35% from longline gear, 10% from groundfish pot gear and 55% from trawl gear would be classified as a “Trawl” vessel for purposes of administering the survey. However in responding to the survey questions, please include expenditures associated with your entire portfolio of SW Alaska fisheries activities during the year.

This study has been endorsed by XXX, YYY, and ZZZ in recognition of the importance of this information to their memberships, the fishing industry, and the communities that depend on the fishery.

Your responses to this survey are considered confidential under section 402(b) of the Magnuson-Stevens Act (16 U.S.C. 1801, *et seq*.) and NOAA Administrative Order 216-100. Only summarized, aggregated results from the survey will be released publicly. Your personal information will not be disclosed. Only personnel authorized by NOAA and who are required by law to maintain confidentiality of your information will have access to your responses. All authorized personnel have signed non-disclosure agreements specifying penalties for unauthorized use and disclosure of confidential fisheries data.

Your response is voluntary, but important. The confidential information you provide will *not* be used for enforcement or any other purposes specific to you or to any individual businesses.

We are asking for this information solely to help us understand the economic contribution that your industry makes in order to make better estimates of the economic impacts of policies, management actions and other factors affecting the fishery. However this requires that a representative number of fish harvesting businesses, like yours, fully complete the survey. To ensure that the best possible and most representative information is obtained about your industry, we need to hear from you.

Most of the information needed to complete the survey is available on your 2014 federal business tax return and your crew settlement sheets. With these materials in hand, the survey should take about 45 minutes to complete and return in the enclosed self-addressed stamped envelope, or submit using the optional on-line form.

You are one of only a few vessel owners being asked to participate in this study. You were randomly selected from all vessel owners who landed fish in Southwest Alaska region ports. To ensure the results of the study truly represent the industry, including vessels like yours, it is very important that you complete and return the survey.

I would be happy to answer any questions you may have about this study. Please call me at (xxx) xxx-xxxx or email at xxxx@xxx.xxx. Thank you very much for your assistance.

Sincerely,

Blue Sky
Survey Director
Good Survey Company

A.2.3 Postcard Reminder for Fishing Vessel Survey

Dear Mr. Erman:

Recently a questionnaire was mailed to you seeking information about your vessel's commercial fishing activity in Southwest Alaska.

If you have already completed and returned the questionnaire, please accept our sincere thanks. If you have not completed and returned the paper survey or submitted the on-line version, we ask that you please do so today.

It is very important that we hear from you. You are one of only a small number of fishermen selected to participate in this study. Your responses will help us improve understanding of commercial fishing's role in the Southwest Alaska economy. However, a high rate of survey response is required to make sure we have a sufficient number and adequate representation of fishery participants.

If you need another copy of the survey or access to your secure, on-line form, please call me at (xxx) xxx-xxxx or email to xxx@xxxnet and the information will be provided to you.

Thank you for your help.

Blue Sky
Survey Director
Good Survey Company

A.2.4 Second Reminder Letter

<Date>
Mr. Phish Erman
<Vessel Name>
Address
City, state, zip

Dear Mr. Erman:

About a month ago, we mailed a survey to you seeking information about your industry's contribution to the Southwest Alaska economy. The survey is intended to fill critical data gaps that have limited the ability to assess the economic impacts of fisheries policies, management actions and other factors on the economies of the regions and communities that depend on your industry. In recognition of the importance to your industry and communities that benefit from your industry, this study has been endorsed by XXX, YYY, and ZZZ.

Your response is voluntary, but important. However, as of today, we have not received a sufficient number of completed surveys for us to get an accurate picture of your industry and its contributions to the economies of local regions and the state as a whole. Only about xx% of surveys have been returned to date, which is too few for us to provide accurate information needed for analysis. If you have already completed and returned the paper survey, or completed the online survey form, please accept our sincere thanks.

If you have not already completed the survey, we ask that you please do so as soon as possible. Due to some delivery problems, the survey may not have reached you as intended, so we are including another copy of the survey in case you didn't receive or possibly misplaced the original copy we sent. If at all possible, please return your completed survey by xx/xx/xx.

Your responses to the survey are considered confidential under section 402(b) of the Magnuson-Stevens Act (16 U.S.C. 1801, *et seq*.) and NOAA Administrative Order 216-100. Your personal information will not be disclosed and can only be used by authorized personnel responsible for management and research of fisheries under the authority of NOAA. All authorized personnel have signed non-disclosure agreements specifying penalties for misuse of confidential fisheries data. Only summarized, aggregated results from the survey will be released publicly.

We appreciate that you may have reservations about participating in this survey because of the personal nature of the information being collected and concerns about how it may be used. We also know the information requested is private, sensitive and detailed, so we have done our best to request only information that is not available from other sources. Again please be assured the information you provide in the survey is strictly confidential. It will be used only in aggregate along with responses from the other survey respondents. This information *will not* be used to monitor or check on any individual vessel's performance or compliance with any regulations.

This survey takes most people about 45 minutes to complete. For some questions, you may need to consult your records. Please do your best to provide complete information. We have included instructions for accessing a secure on-line version of the survey, which requires the unique login ID and password that we have enclosed. The on-line survey is designed to minimize the time required to complete and return the survey, but we have also included a paper copy. Both

versions of the survey ask identical questions, and we ask that you use whichever version is most convenient for you. If you choose to use the printed survey, please return it in the enclosed self-addressed, postage-paid envelope.

If you have any questions about this study or about any of the questions in the survey, please contact xxx toll free at (xxx) xxx-xxxx. Thank you in advance for your help.

Sincerely,

Blue Sky
Survey Director
Good Survey Company

DRAFT

2014

Southwest Alaska Fisheries Data Collection Project

CONFIDENTIAL

Trawl Catcher Vessel Type Questionnaire

Conducted by

NOAA Fisheries
Alaska Fisheries Science Center

OMB Approval No. XXXX-XXXX
Expiration Date YYYY

Introduction to the Southwest Alaska Fisheries Data Collection Project

This a VOLUNTARY and CONFIDENTIAL survey is designed to gather information that characterizes the economic contribution of commercial fisheries to Southwest (SW) Alaska and other U.S. regions. For purposes of this survey, SW Alaska fisheries include fisheries conducted by vessels that made landings in ports in six SW Alaska boroughs and census areas (BCAs), including: Aleutians West Census Area (AW), Aleutians East Borough (AE), Bristol Bay Borough (BB), Dillingham Census Area (DH), Lake and Peninsula Borough (LP), and Kodiak Island Borough (KI). [See Section (B) for a map and list of SW Alaska BCAs and communities.]

Your vessel was selected at random from those that landed fish at SW Alaska ports during 2014. Vessels were classified based on the type of fishery that accounted for the majority of SW Alaska ex-vessel revenues in 2014. For example a vessel with 2014 revenues from SW Alaska landings derived 35% from longline gear, 10% from pot gear and 55% from trawl gear would be classified as a "Trawl" vessel for purposes of administering this survey. However in responding to the survey questions, please include expenditures associated with your entire portfolio of SW Alaska fisheries activities during the year.

There are three main sections to be filled out in this survey: (A) contact and registration information for your vessel, (C) vessel labor information, and (D) vessel operating expenses. As noted, Section (B) provides a map and list of SW Alaska communities; and section (E) asks for any comments you might want to provide. Information on confidentiality is provided below. Answers and comments can be hand-written or typed on this form and returned in the enclosed addressed and stamped envelope. A second option is to complete the survey on-line on a secure website using a personalized password that will be provided to you. **YOUR RESPONSES WILL BE STRICTLY CONFIDENTIAL AND USED ONLY TO ESTIMATE THE ECONOMIC CONTRIBUTIONS OF SW ALASKA FISHERIES TO SOUTHWEST ALASKA AND OTHER U.S. REGIONS.**

Confidentiality

Per Section 402(b) of the Magnuson-Stevens Act (16 U.S.C. 1801, et seq.), all individual survey responses are confidential and will be held by only a limited number of researchers at Alaska Fisheries Science Center and contractors who are authorized to work with the data. After the data have been entered in an electronic format, only those researchers will have (password-protected) access to the data. Individual survey forms and electronic responses will be destroyed upon completion of the study. Your name, business name, and address will be used only for mailing and survey administration purposes. Only summary results of this survey will be reported to the public. NOAA Fisheries and other agencies will see only aggregate results in summary form, not individual responses.

YOUR RESPONSES AND THE DATA COLLECTED FROM THIS SURVEY WILL NOT BE SEEN OR USED FOR ANY OTHER PURPOSE BY NOAA FISHERIES, OTHER FEDERAL GOVERNMENT AGENCIES, THE STATE OF ALASKA OR OTHER PARTIES.

Paperwork Reduction Act Statement

Public reporting burden for this collection of information is estimated to average 45 minutes per response, including the time for reviewing instructions, gathering the data needed, and completing and reviewing the form. Please send comments regarding this burden estimate or any other suggestions for reducing this burden to Chang Seung, Alaska Fisheries Science Center (Address: 7600 Sand Point Way NE Seattle WA 98115-6349), Phone: 206-526-4250 Email: chang.seung@noaa.gov

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 U.S. Office of Management and Budget Approval Number. This collection of information has been approved by the U.S. Office of Management and Budget (Approval Number XXXX-XXXX expiration date yyyy).

Section A. Vessel Contact and Registration Information

1. Based on publicly-available records, the following table shows the most current contact and registration information we have for this vessel. If there are any updates or changes to this information, please provide them in the "Corrections (if any)" column in the table below.

Item	Current information	Corrections (if any)
Owner's name	*Phish Erman*	
Owner's address	*Anchorage, AK 99501*	
Contact Person's Name	*XXX*	
Phone	*XXX*	
Email	*XXX*	
Vessel's name	*Lutefisk*	
USCG vessel ID	*3333666*	
State vessel ID	*AK/FV33336*	
Vessel's home port	*Kodiak, AK*	

2. Did this vessel have landings or deliveries in SW Alaska region fisheries in Year 2014? (A map and list of SW Alaska communities is provided on the next page).

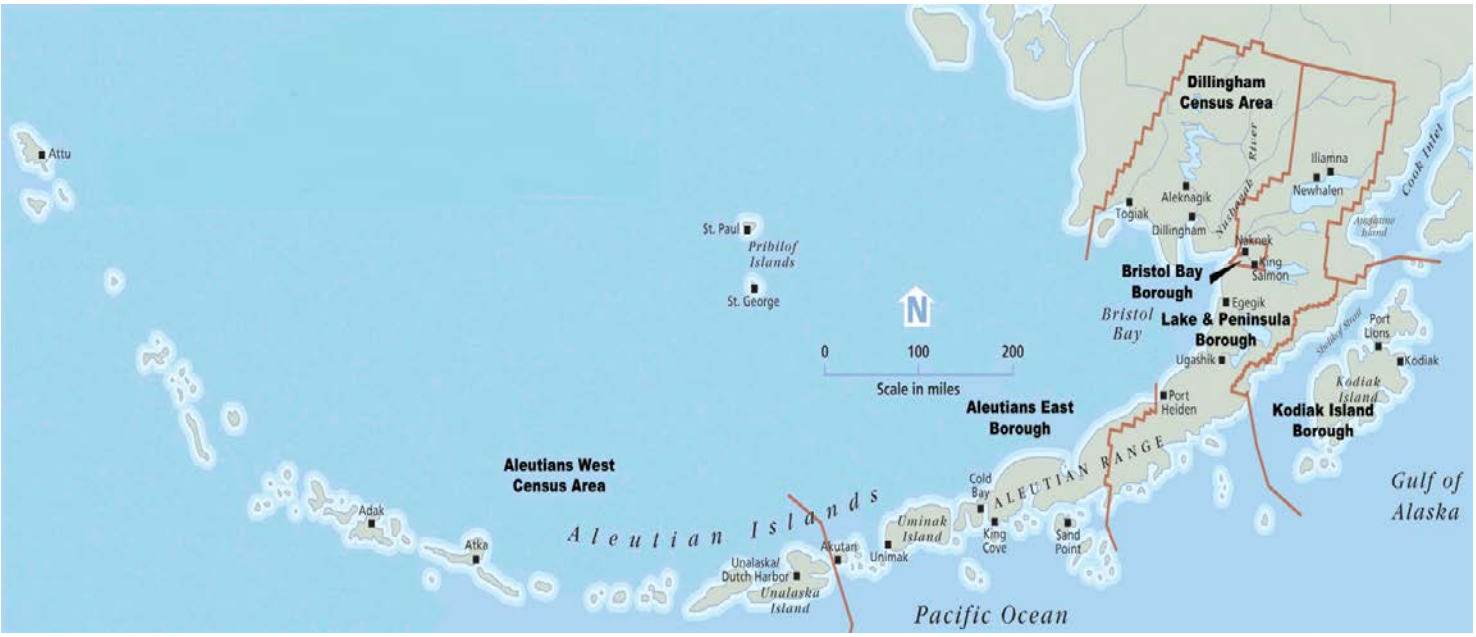
_____ Yes. Continue to next question.

_____ No. Please skip to Section E.

3. During 2014, how many months (0 to 12) were you an owner or operator of this vessel? _____.

Section B. Southwest Alaska Boroughs & Census Areas and Associated Communities

This following map and list of SW Alaska Boroughs & Census Areas (BCAs) and associated communities is provided to assist you in answering questions on the geographic distribution of fishing labor in Section C (questions 4a, 4b and 4c) and vessel operating expenditures in Section D (question 10).



SW Alaska Boroughs & Census Areas	Associated Communities
Aleutian West Census Area (**AW**)	Atak, Adak, Nikolski, St. Paul, St. George, Unalaska (Dutch Harbor)
Aleutian East Borough (**AE**)	Akutan, Belkofski Village, Cold Bay, False Pass, King Cove, Nelson Lagoon, Pauloff Harbor, Sand Point, Unga
Bristol Bay Borough (**BB**)	King Salmon, Naknek, South Naknek
Dillingham Census Area (**DH**)	Aleknagik, Clarks Point, Dillingham, Ekwok, Ekuk, Koliganek, Manokotak, New Stuyahok, Portage Creek, Twin Hills, Togiak
Lake and Peninsula Borough (**LP**)	Chignik Lake, Chignik Lagoon, Chignik, Egegik, Ivanoff Bay, Iliamna, Igiugig, Kokhanok, Levelock, Nondalton, Newhalen, Port Heiden, Port Alsworth, Pilot Point, Perrysville, Pedro Bay, Ugashik
Kodiak Island Borough (**KI**)	Akhiok, Afognak, Kodiak, Karluk, Larsen Bay, Ouzinkie, Old Harbor, Port Lions

Section C. Vessel Labor Information during 2014

Questions in this section ask for the total number (Question 4) of Crew members, Skippers, and Owners who were paid either by crew shares or by wages or salaries for their work on board the vessel. Then, in Questions 4a, 4b, and 4c, please indicate, for each labor category, the approximate number of each who were residents of a **SW Alaska BCA**, **Other places in Alaska**, **West Coast communities (Washington, Oregon or California)**, **Elsewhere in the U.S.**, or **Outside the U.S.** For determining residency please use any addresses you have on record or your best guess. (*Please see map of SW Alaska BCAs and communities on page 4*).

4. What were the total numbers of crew members, skippers, and owners **who worked on board this vessel during the year and were paid, either by crew shares or by wages or salaries, for their fishing-related labor**?

_____ Total number of crew members, excluding skippers and owners, who were paid for work on the vessel.

_____ Total number of skippers who were paid for work on the vessel.

_____ Total number of owners who were paid for work on the vessel. (Note: Exclude owners who were paid only an ownership share.)

4a. What was the residency of your **paid crew members** in 2014? Please indicate the approximate number of **paid crew members** who were residents of each of the areas listed below.

_____ Aleutians West
_____ Aleutians East
_____ Bristol Bay
_____ Dillingham
_____ Lake and Peninsula
_____ Kodiak Island
_____ Other Alaska
_____ West Coast
_____ Elsewhere in the U.S.
_____ Outside the U.S.

4b. What was the residency of your **paid skippers** in 2014? Please indicate the approximate number of **paid skippers** who were residents of each of the areas listed below.

_____ Aleutians West
_____ Aleutians East
_____ Bristol Bay
_____ Dillingham
_____ Lake and Peninsula
_____ Kodiak Island
_____ Other Alaska
_____ West Coast
_____ Elsewhere in the U.S.
_____ Outside the U.S.

4c. What was the residency of **owners who were paid for work on the vessel** in 2014? Please indicate the approximate number of **owners who were paid for work on the vessel** who were residents of each of the areas listed below.

_____ Aleutians West
_____ Aleutians East
_____ Bristol Bay
_____ Dillingham
_____ Lake and Peninsula
_____ Kodiak Island
_____ Other Alaska
_____ West Coast
_____ Elsewhere in the U.S.
_____ Outside the U.S.

Section D. Vessel Operating Costs and Expenditures during 2014

Your answers to the following questions will help us estimate the economic contribution of the commercial fishing industry to SW Alaska and elsewhere. We ask for your best estimate of the relative size of different expenditures as a percentage of total vessel costs, and where those purchases were made, based on your general recollections. We are not asking for a complete and accurate accounting – just your best rough estimates.

5. During 2014, approximately **what percentage of your total fisheries revenues (before taxes) for this vessel was spent on total vessel cost items?**: _____%

(*Note: total vessel cost = total fisheries revenue − owner net income*)

6. In the following table, entries in the (shaded) column labeled "our baseline estimate" represent **approximate percentages of total vessel costs** (from question 5) paid for different vessel expenditure categories. These entries represent information gleaned from data collected in other regions that we are trying to calibrate for Southwest Alaska fisheries. Please review the percentages shown in the shaded column, and then in the next column please note any corrections you feel better reflect your business operation. We don't need exact percentages; approximations are fine.

Payments for fishing trip-related labor to crew members, skippers, and owners who worked on board this vessel during the year and were paid, either by crew shares or by wages or salaries, for their fishing-related labor: In rows 1-4 include bonuses and payroll taxes, but exclude owners' net income, employee benefits (insurance, paid leave, etc.) and also exclude the value of any employee-paid contributions for fuel, food, management fees and other vessel expenses. Amounts deducted from crew's pay to cover food, fuel, management fees or other vessel expenses should be included in the corresponding category totals in rows 6, 7, 8 and 13.

In row 12, **Purchase or lease of quota (annualized cost)** is the approximate cost of any SW Alaska fisheries quota leased plus the approximate annualized cost of any SW Alaska fisheries quota shares purchased during the year.

In row 13, **other expenditures** include payments (including amounts paid by the crew) for tendering, transportation, shipping, storage, P&I insurance, packaging, other materials, crew insurance benefits, crew paid leave benefits, licenses, equipment leases, gear leases, coop dues, other fees, moorage expenses, and fish taxes and landings tariffs.

Row	Expenditure Items	Approximate Percentage of Total Vessel Costs	
		Our baseline estimate	**Your Correction (if any)**
1	Total Payments for fishing trip-related labor *(Note this item is the total of rows 2, 3 and 4)*	**35%**	
2	Payments to hired crew members	*25%*	
3	Payments to hired skippers	*10%*	
4	Payments to owners for fishing-related labor on the vessel	*0%*	
5	Vessel/engine/gear repair or replacement	**14%**	
6	Fuel and lubricants (including amounts paid by crew)	**23%**	
7	Food, supplies, ice and bait (including amounts paid by crew)	**1%**	
8	Management fees, monitoring & observer costs (including amounts paid by crew)	**2%**	
9	Vessel insurance	**6%**	
10	Interest payments (short-term liabilities)	**3%**	
11	G&A overhead, including recruitment and training	**3%**	
12	Purchase or lease of quota (annualized cost)	**2%**	
13	Other expenditures (including amounts paid by crew)	**11%**	
	Total Vessel Costs	**100%**	100%

7. How often does this vessel undergo a scheduled **major overhaul or refit**?:

Every _____ years**.**

8. In which port(s) are **major overhauls or refits** typically done?:

_____**.**

9. If the "Vessel/engine/gear repair or replacement" expenditures shown in row 5 include costs for a **major overhaul or refit** of the vessel, approximately what portion of the expenditures included in row 5 was for the **major overhaul or refit**?: _____**%.**

10. In the following table, please record the **approximate percentage of each expenditure item that was spent in each SW Alaska BCA, Elsewhere in Alaska, West Coast communities (WA, OR or CA), Elsewhere in the US, and Outside the US.** The sum of the percentages in each row is 100%. *For example, repair costs (in row 1) might have been spent 15% in Kodiak Island Borough in SW Alaska (KI) and 85% in Seattle (West Coast).*

Row	Expenditure Items	Approximate Percentage of This Expenditure Spent in:										Total
		Southwest Alaska BCAs*						Other Alaska	West Coast	Else-where in the US	Outside the US	
		AW	AE	BB	DH	LP	KI					
1	Vessel/engine/gear repair or replacement											100%
2	Fuel and lubricants (including amounts paid by crew)											100%
3	Food, supplies, ice and bait (including amounts paid by crew)											100%
4	Management fees, monitoring & observer costs (including amounts paid by crew)											100%
5	Vessel insurance											100%
6	Interest payments (short-term liabilities)											100%
7	G&A overhead, including recruitment and training											100%
8	Purchase or lease of quota (annualized cost)											100%
9	Other expenditures (including amounts paid by crew)											100%

* Southwest Alaska BCAs include: **AW**=Aleutians West Census Area, **AE**=Aleutians East Borough, **BB**=Bristol Bay Borough, **DH**=Dillingham Census Area, **LP**=Lake and Peninsula Borough, and **KI**=Kodiak Island Borough.

Section E. Please provide any comments you may have on this survey in the space provided below.

THANK YOU FOR PARTICIPATING IN THE SURVEY!

DRAFT

2014

Southwest Alaska Fisheries Data Collection Project

CONFIDENTIAL

Personal Interview Worksheet for *Shorebased Processors*

Conducted by
NOAA Fisheries
Alaska Fisheries Science Center

OMB Approval No. XXXX-XXXX
Expiration Date YYYY

Instructions

This worksheet contains the information we will be asking you about in the interview. Please examine the worksheet and have it available during the interview. The interviewer will answer any questions and help fill out the worksheet during the interview. You do not need to fill out or return a completed worksheet prior to the interview. **YOUR RESPONSES ARE VOLUNTARY AND WILL BE STRICTLY CONFIDENTIAL AND USED ONLY TO ESTIMATE THE ECONOMIC CONTRIBUTIONS OF SW ALASKA FISHERIES TO SOUTHWEST ALASKA AND OTHER U.S. REGIONS.**

Confidentiality

Per Section 402(b) of the Magnuson-Stevens Act (16 U.S.C. 1801, et seq.), all individual survey responses are confidential and will be held by only a limited number of researchers at Alaska Fisheries Science Center and contractors who are authorized to work with the data. After the data have been entered in an electronic format, only those researchers will have (password-protected) access to the data. Individual survey forms and electronic responses will be destroyed upon completion of the study. Your name, business name, and address will be used only for mailing and survey administration purposes. Only summary results of this survey will be reported to the public. NOAA Fisheries and other agencies will see only aggregate results in summary form, not individual responses.

YOUR RESPONSES AND THE DATA COLLECTED FROM THIS SURVEY WILL NOT BE SEEN OR USED FOR ANY OTHER PURPOSE BY NOAA FISHERIES, OTHER FEDERAL GOVERNMENT AGENCIES, THE STATE OF ALASKA OR OTHER PARTIES.

Paperwork Reduction Act Statement

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Content

This worksheet is designed to ask pertinent questions needed to characterize the role of commercial fish processing in the Southwest Alaska (SW Alaska) economy and elsewhere. For purposes of this survey, the SW Alaska economy includes the following boroughs and census areas (BCAs): Aleutians West Census Area (AW), Aleutians East Borough (AE), Bristol Bay Borough (BB), Dillingham Census Area (DH), Lake and Peninsula Borough (LP), and Kodiak Island Borough (KI).

The worksheet contains six sections. Section A contains business contact information, which we have pre-filled using publicly available sources. Section B asks for information about seafood products manufactured in SW Alaska. Section C asks about total jobs and the numbers of workers who reside in SW Alaska communities. Section D shows a representative processor's list of itemized expenses. **Expenses are shown as shares (%) of total sales revenue**. Section E collects information about your sales of supplies to fishing vessels, including mark-up percentages and where those items were purchased.

Please record your responses to the questions in Sections A through D so as to reflect your business operations. For example, in some locations a processor may serve as a buying station for fish purchases that are actually hauled to another location for processing. For this type of situation, the information in Section D should reflect the combined expenses of the buying station plus processing operations.

You may also sell supplies such as fuel, ice, bait, etc. to fishing vessels. These sales amounts and mark-ups are estimated and recorded in Section E. Finally section F records any comments you might have.

Section A: Contact Information (Please make any corrections.)

	Information on Record	Corrections, if any
Facility Name:	*Seafood World*	
Parent Company:	*Seafood Co.*	
Facility Address:	*Dillingham AK 99576*	
Contact Person: Phone: Email:	*Perchis Erman* *555-555-1234* erman@seafood.com	
Interview Date:	*Jan. aa, 20XX*	

Section B: Product Cost Components

1. The shaded columns in the following table contain *pro forma* estimates (adapted from Crapo, Paust and Babbitt, UAF Sea Grant (2004) and from data gathered in prior surveys) of raw input purchase costs, yields, other variable costs, fixed costs, and sales prices for the main locally-produced seafood products associated with SW Alaska fisheries. Please record any necessary changes, corrections or additions to these items in the adjacent non-shaded columns.

Average Raw Input Purchase Cost is average exvessel price per delivered pound for purchased fish.

Product Recovery Rate or Yield is expressed as a percentage of round weight.

Total Raw Product Cost equals "Average Raw Input Purchase Cost" divided by "Product Recovery Rate or Yield".

Other Variable Costs are non-fish inputs such as labor, supplies and materials, but excluding fixed costs.

Fixed Costs include overhead, profit, depreciation, interest, amortization and taxes.

Average First Wholesale Revenue is the average sales price per lb for product leaving the plant.

		Average Raw Input Purchase Cost ($ per lb)		**Product Recovery Rate or Yield** (% of round wt)		**Total Raw Product Cost** per processed lb ($)		**Other Variable Costs** per processed lb ($)		**Fixed Costs** per processed lb ($)		**Average First Wholesale Revenue** per processed lb ($)	
Fishery	**Product**	**Amt.**	**Corrected**	**%**	**Corrected**	**Amt.**	**Corrected**	**Amt.**	**Corrected**	**Amt.**	**Corrected**	**Amt.**	**Corrected**
Crab	Cook. whole	2.20		90%		2.44		0.81		0.50		3.75	
Other product:													
Halibut	Head & Gut	4.08		72%		5.67		0.36		0.50		6.53	
Other product:													
Herring	Whole	0.14		99%		0.14		0.15		0.22		0.51	
Other product:													
Sablefish	Head & Gut	3.60		68%		5.29		0.44		0.50		6.23	
Other product:													
Pacific cod	Head & Gut	0.30		63%		0.48		0.44		0.50		1.42	
Other product:													
Rockfish	Skinl. fillet	0.50		30%		1.67		0.40		0.50		2.57	
Other product:													
Flatfish	Head & Gut	0.10		67%		0.15		0.51		0.50		1.16	
Other product:													
Pollock	Head & Gut	0.15		62%		0.24		0.20		0.14		0.58	
Other product:													
Chinook	Head-on	4.05		88%		4.60		0.42		0.50		5.52	
Other product:													
Chum	Head-on	0.72		89%		0.81		0.40		0.50		1.71	
Other product:													
Coho	Head-on	1.19		92%		1.29		0.40		0.50		2.19	
Other product:													
Pink salmon	Canned	0.30		65%		0.46		0.39		0.50		1.35	
Other product:	Head-on	0.30		91%		0.33		0.39		0.50		1.22	
Other product:													
Sockeye	Head-on	1.64		92%		1.78		0.41		0.50		2.69	
Other product:													
Other:													

Section C: Employment

Questions in this section ask for the total number (Question 2) of Line workers, Supervisors and support staff, and Administrative staff who worked in or supported plant operations in 2014. Then, for Questions 2a, 2b, and 2c, please indicate, for each category, the approximate number who were residents of the listed **SW Alaska boroughs and census areas**, **Other places in Alaska**, **West Coast (Washington, Oregon or California)**, **Elsewhere in the U.S.**, or **Outside the U.S.** For determining residency please use any addresses you may have on record or your best guess. (*A map of SW Alaska BCAs and communities is provided at the end of this document*).

2. What was the number of total Line workers, Supervisors and support staff, and Administrative staff **who worked in or supported plant operations in 2014.**

_____ Total number of Line workers

_____ Total number of Supervisors and support staff

_____ Total number of Administrative staff.

2a. What was the residency of your **Line workers** in 2014? Please indicate the approximate number of **Line workers** who were residents of each of the areas listed below.

_____ Aleutians West
_____ Aleutians East
_____ Bristol Bay
_____ Dillingham
_____ Lake and Peninsula
_____ Kodiak Island
_____ Other Alaska
_____ West Coast
_____ Elsewhere in the U.S.
_____ Outside the U.S.

2b. What was the residency of your **Supervisors and support staff** in 2014? Please indicate the approximate number of **Supervisors and support staff** who were residents of each of the areas listed below.

_____ Aleutians West
_____ Aleutians East
_____ Bristol Bay
_____ Dillingham
_____ Lake and Peninsula
_____ Kodiak Island
_____ Other Alaska
_____ West Coast
_____ Elsewhere in the U.S.
_____ Outside the U.S.

2c. What was the residency of **Administrative staff** in 2014? Please indicate the approximate number of **Administrative staff** who were residents of each of the areas listed below.

_____ Aleutians West
_____ Aleutians East
_____ Bristol Bay
_____ Dillingham
_____ Lake and Peninsula
_____ Kodiak Island
_____ Other Alaska
_____ West Coast
_____ Elsewhere in the U.S.
_____ Outside the U.S.

Section D: Operating Costs and Expenditures

This section asks for information that will help us estimate the economic impact of commercial fish processing in the Southwest Alaska economy. We ask for your best estimate of the relative size of different expenditures and where purchases were made, based on your general recollections. We are not asking for a complete and accurate accounting – just your best rough estimates.

3. In the following table, entries in the shaded column represent **approximate percentages o**f **total annual revenue that were spent** on different expenditure categories. These entries are information gleaned from previous data collections that we are trying to update for SW Alaska fisheries. Please review the percentages shown in the table, and in the blank column please note any corrections you feel better reflect your local processing operations. We don't need exact percentages; approximations are fine.

Payments to Line workers, Supervisors and support staff, and Administrative staff that worked in or supported plant operations: In rows 3-6 include bonuses and payroll taxes, but exclude owners' net income, employee benefits (insurance, paid leave, etc.) and also exclude the value of any employee-paid contributions for food and other living expenses. Amounts deducted from employee's pay to cover food and other living expenses should be included in the total in row 12 "Other business costs and expenses".

Other business costs and expenses in row 12 also include, e.g., offload fees; off-site storage and freezing costs; tendering costs; rental, lease, repair and maintenance of buildings, machinery and equipment; and amounts deducted from employee's pay to cover food and other living expenses.

<u>SHADED CELLS DO NOT NEED TO BE FILLED IN</u>.

	Expenditures	(%) of total annual revenue	
		Our baseline estimate	**Your correction (if any)**
1	Fish purchases from harvesting vessels (plus shrink)	**60%**	
2	Other fish purchases (plus shrink)	**1%**	
3	Processing labor (sum of lines 4, 5 and 6)	**16%**	
4	Line workers	***11%***	
5	Supervisors and support staff	***3%***	
6	Administrative staff	***2%***	
7	Packaging, materials, supplies and freight	**7%**	
8	Fish taxes and landings tariffs	**1%**	
9	Fishery quota purchases (annualized)	**1%**	
10	Energy, Utilities and Waste Disposal	**2.5%**	
11	Insurance	**0.5%**	
12	Other business costs and expenses	**3%**	
13	Owners' Net Income (before income tax)	**8%**	
	Operating Costs + Net Income = Total Revenue	***100%***	100%

4. In the following table, please record the **approximate percentage of each expenditure item that was spent in SW Alaska boroughs and census areas (BCAs)**, **Other places in Alaska**, **West Coast (WA, OR or CA)**, **Elsewhere in the U.S.**, or **Outside the U.S.** The percentages in each relevant expenditure item row sum to 100%. *For example, fish from vessels might have been purchased 100% locally, while "packaging, materials and supplies" might have been purchased 100% from businesses in Seattle (West Coast).* (*A map of SW Alaska BCAs and communities is provided at the end of this document*).

	Approximate Percentage of This Expenditure Spent in:										
	Southwest Alaska BCAs*										
Expenditure Items	**AW**	**AE**	**BB**	**DH**	**LP**	**KI**	**Other Alaska**	**West Coast**	**Other US**	**Outside the US**	**Totals**
Fish purchase cost plus shrink											**100%**
Packaging, materials, supplies and freight											**100%**
Fish taxes and landings tariffs											**100%**
Fishery quota purchases (annualized)											**100%**
Energy, Utilities and Waste Disposal											**100%**
Insurance											**100%**
Other business costs and expenses											**100%**
Owners' Net Income (before income tax)											**100%**

*Southwest Alaska BCAs include: **AW**=Aleutians West Census Area, **AE**=Aleutians East Borough, **BB**=Bristol Bay Borough, **DH**=Dillingham Census Area, **LP**=Lake and Peninsula Borough, and **KI**=Kodiak Island Borough.

Section E: Vessel Supply Sales, Mark-ups and Location of Purchases

In the first table below please enter the approximate dollar amounts of fuel, ice, bait, gear and any other **supplies** that you **sold to fishing vessels** during the most recent fiscal year ending in 2014. Then in column 4 please correct (if necessary) the approximate **percentage mark-up** earned for sales of the corresponding items supplied to fishing vessels (i.e., mark-up as a percentage of your purchase cost).

In the second table please record the **approximate share of your purchases of each item that were made in SW Alaska BCAs, Elsewhere in Alaska, the West Coast (WA, OR or CA), Elsewhere in the U.S., and Outside the U.S.** (*A map of SW Alaska BCAs and communities is provided at the end of this document*).

E1. Vessel Supply Item Sales and Mark-up Percentages

Item	Approx. Amount Sold ($ thousands)	Mark-up %	Mark-up % Correction (if any)
Fuel	$	10%	
Ice	$	10%	
Bait	$	10%	
Gear	$	10%	
Other	$	10%	

E2. Vessel Supply Item Location of Purchase

Item	Approximate Percentage of This Expenditure Spent in:										
	Southwest Alaska BCAs*						Other Alaska	West Coast	Other US	Outside the US	Totals
	AW	AE	BB	DH	LP	KI					
Fuel											100%
Ice											100%
Bait											100%
Gear											100%
Other											100%

Section F: Comments

Tendering and Fish Transporting Comments

_____

_____

_____

Storage and Warehousing Comments

_____

_____

_____

Product Market and Shipping Comments

_____

_____

_____

Comments on Interview Questions and Other Comments

_____

_____

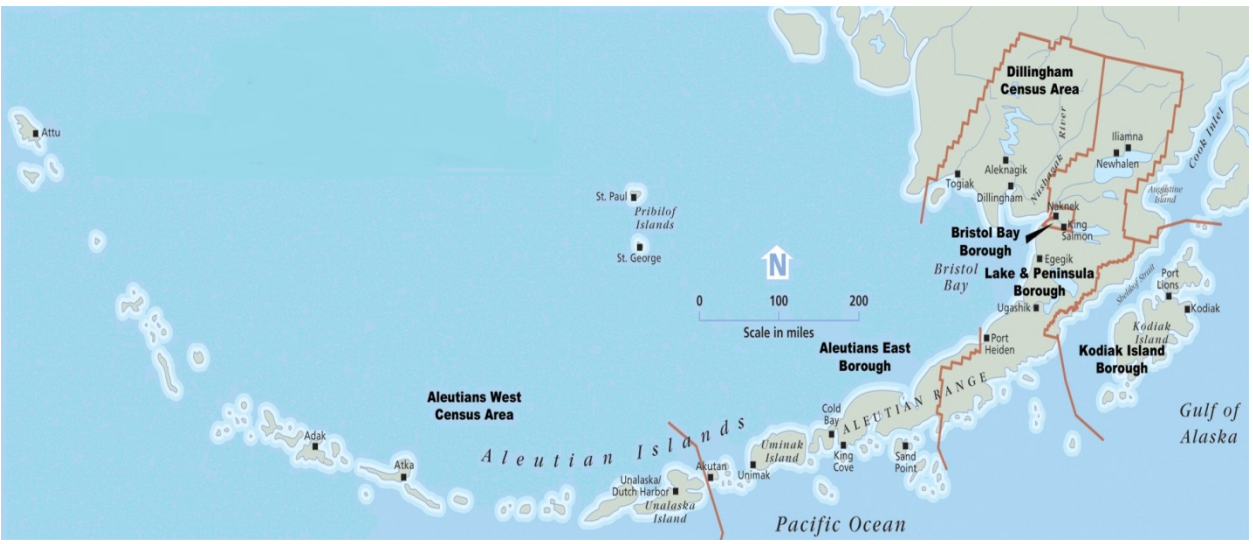
_____

_____

THANK YOU FOR YOUR PARTICIPATION!

Appendix: SW Alaska Boroughs & Census Areas and Associated Communities

This following map and list of SW Alaska Boroughs & Census Areas (BCAs) and associated communities is provided to assist you in answering questions on the geographic distribution of fishing labor in Section C (questions 2a, 2b and 2c), operating expenditures in Section D and vessel supply sales in Section E.



SW Alaska Boroughs & Census Areas	Associated Communities
Aleutian West Census Area (**AW**)	Atak, Adak, Nikolski, St. Paul, St. George, Unalaska (Dutch Harbor)
Aleutian East Borough (**AE**)	Akutan, Belkofski Village, Cold Bay, False Pass, King Cove, Nelson Lagoon, Pauloff Harbor, Sand Point, Unga
Bristol Bay Borough (**BB**)	King Salmon, Naknek, South Naknek
Dillingham Census Area (**DH**)	Aleknagik, Clarks Point, Dillingham, Ekwok, Ekuk, Koliganek, Manokotak, New Stuyahok, Portage Creek, Twin Hills, Togiak
Lake and Peninsula Borough (**LP**)	Chignik Lake, Chignik Lagoon, Chignik, Egegik, Ivanoff Bay, Iliamna, Igiugig, Kokhanok, Levelock, Nondalton, Newhalen, Port Heiden, Port Alsworth, Pilot Point, Perrysville, Pedro Bay, Ugashik
Kodiak Island Borough (**KI**)	Akhiok, Afognak, Kodiak, Karluk, Larsen Bay, Ouzinkie, Old Harbor, Port Lions

DRAFT

2014

Southwest Alaska Fisheries Data Collection Project

CONFIDENTIAL
Personal Interview Worksheet for
Supplier and Support Businesses

Conducted by

NOAA Fisheries
Alaska Fisheries Science Center

OMB Approval No. XXXX-XXXX
Expiration Date YYYY

Instructions

This worksheet contains the information we will be asking you about in the interview. Please examine the worksheet and have it available during the interview. The interviewer will answer any questions and help fill out the worksheet during the interview. You do not need to fill out or return a completed worksheet prior to the interview. **YOUR RESPONSES ARE VOLUNTARY AND WILL BE STRICTLY CONFIDENTIAL AND USED ONLY TO ESTIMATE THE ECONOMIC CONTRIBUTIONS OF SW ALASKA FISHERIES TO SOUTHWEST ALASKA AND OTHER U.S. REGIONS.**

Confidentiality

Per Section 402(b) of the Magnuson-Stevens Act (16 U.S.C. 1801, et seq.), all individual survey responses are confidential and will be held by only a limited number of researchers at Alaska Fisheries Science Center and contractors who are authorized to work with the data. After the data have been entered in an electronic format, only those researchers will have (password-protected) access to the data. Individual survey forms and electronic responses will be destroyed upon completion of the study. Your name, business name, and address will be used only for mailing and survey administration purposes. Only summary results of this survey will be reported to the public. NOAA Fisheries and other agencies will see only aggregate results in summary form, not individual responses.

YOUR RESPONSES AND THE DATA COLLECTED FROM THIS SURVEY WILL NOT BE SEEN OR USED FOR ANY OTHER PURPOSE BY NOAA FISHERIES, OTHER FEDERAL GOVERNMENT AGENCIES, THE STATE OF ALASKA OR OTHER PARTIES.

Paperwork Reduction Act Statement

Public reporting burden for this collection of information is estimated to average 45 minutes per response, including the time for reviewing instructions, gathering the data needed, and completing and reviewing the form. Please send comments regarding this burden estimate or any other suggestions for reducing this burden to Chang Seung, Alaska Fisheries Science Center (Address: 7600 Sand Point Way NE Seattle WA 98115-6349), Phone: 206-526-4250 Email: chang.seung@noaa.gov

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 U.S. Office of Management and Budget Approval Number. This collection of information has been approved by the U.S. Office of Management and Budget (Approval Number XXXX-XXXX expiration date yyyy).

Content

This worksheet is designed to ask pertinent questions needed to characterize the role of commercial fishing and related businesses in the Southwest Alaska (SW Alaska) economy and elsewhere. For purposes of this survey, the SW Alaska economy includes the following boroughs and census areas (BCAs): Aleutians West Census Area (AW), Aleutians East Borough (AE), Bristol Bay Borough (BB), Dillingham Census Area (DH), Lake and Peninsula Borough (LP), and Kodiak Island Borough (KI).

The worksheet contains three sections. Section A contains business contact information, which we have pre-filled. Section B asks for information about your customer base and where you sell

products and services. Section C asks where your primary business operating expenditures are made.

Please record your responses to the following questions so as to reflect your business operations.

Section A: Contact Information (Please make any corrections.)

	Information on Record	Corrections, if any
Supplier Name:	*New Nets Co.*	
Address:	*Kodiak AK 99615*	
Contact Pson: Phone: Email:	*Perchis Erman* *555-555-1234* hello@newnets.com	
Interview Date:	*Jan. aa, 20XX*	

Section B: Customer base and products and services sold

1. **Who are your customers?** (e.g., vessels, processors, other commercial fishing industry businesses, recreational fishing businesses, repair yards, other)

    a. Primary: _____

    b. Secondary: _____

    c. Other: _____

2. **What products and services do you offer?**

    a. _____

    b. _____

    c. _____

    d. _____

    e. _____

    f. _____

3. **What proportion of those products and services are sold to buyers in the following regions?**

Item	Approximate Percentage of Item Sales to Buyers in:										
	Southwest Alaska BCAs*						Other Alaska	West Coast	Other US	Outside the US	Total
	AW	AE	BB	DH	LP	KI					
a.											**100%**
b.											**100%**
c.											**100%**
d.											**100%**
e.											**100%**
f.											**100%**
											100%

*Southwest Alaska BCAs: **AW**=Aleutians West Census Area, **AE**=Aleutians East Borough, **BB**=Bristol Bay Borough, **DH**=Dillingham Census Area, **LP**=Lake and Peninsula Borough, and **KI**=Kodiak Island Borough (see map).

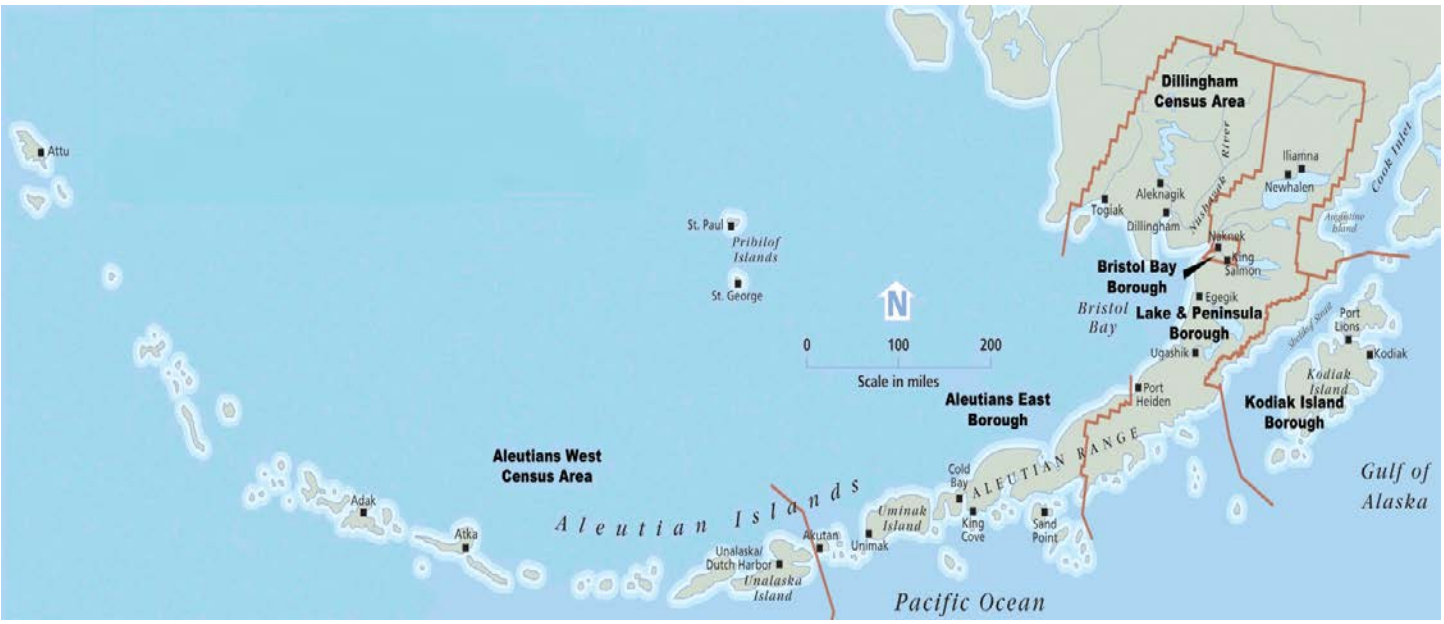
Section C: Regional distribution of business operating expenditures?

4. **Where were your purchases and primary business operating expenditures made? (Including where do your employees reside?). ("I" = inventory item).**

Item	Approximate Percentage of Item Purchases Made in:										
	Southwest Alaska BCAs*						Other Alaska	West Coast	Other US	Outside the US	Total
	AW	AE	BB	DH	LP	KI					
Labor											**100%**
Utilities											**100%**
Accounting											**100%**
Other											**100%**
I1:											**100%**
I2:											**100%**
I3:											**100%**
I4:											**100%**

*Southwest Alaska BCAs: **AW**=Aleutians West Census Area, **AE**=Aleutians East Borough, **BB**=Bristol Bay Borough, **DH**=Dillingham Census Area, **LP**=Lake and Peninsula Borough, and **KI**=Kodiak Island Borough (see map).

Map of Southwest Alaska BCAs and Associated Communities



SW Alaska Boroughs & Census Areas	Associated Communities
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Kodiak Island Borough (**KI**)	Akhiok, Afognak, Kodiak, Karluk, Larsen Bay, Ouzinkie, Old Harbor, Port Lions

Comments:

Customer Base Comments

_____

_____

_____

Products and Services Sold Comments

_____

_____

_____

Regional Distribution of Expenditures Comments

_____

_____

_____

Comments on Interview Questions and Other Comments

_____

_____

_____

_____

THANK YOU FOR YOUR PARTICIPATION!

A.3 Script for Follow-up Telephone or In Person Interview with Vessel Owners

Interviewer – Say the following to respondent:
Hello, my name is _____ and I am calling on behalf of the Alaska Fisheries Science Center I am trying to reach [*vessel owner*]**.**

QA0 [IF NOT AVAILABLE] --> Thank you, I will call back later. When would be a good time to reach [*vessel owner*]?

[IF QUALIFIED RESPONDENT IS ON THE PHONE]

QA1 Recently, we mailed you a survey asking you about your recent fishing activity, entitled "Southwest Alaska Fisheries Data Collection Project." Do you remember receiving that survey?

1 YES [Skip to QA2]
2 NO [Skip to QA3]

QA2 As of today, we have not received your response (*or the response we received was incomplete*). You are one of a small group of vessel owners who landed fish at ports in Southwest Alaska who we are asking for input, so your response is very important. All of your answers are confidential and your name will not be revealed to anyone. If we send you another survey, would you be able to complete the survey and return it to us within a week of receiving it? Or, if you have a copy of the form, would you like to complete the survey now during this phone call?

1 YES – SEND NEW SURVEY [SKIP TO VERIFY]
2 DO NOT NEED ANOTHER SURVEY, will fill out the one they have and return it. [*Thanks. We will be looking forward to receiving your completed survey. Please contact me at*_____*if you have any further questions.*]
3 SURVEY HAS ALREADY BEEN RETURNED [THANK AND TERMINATE]
4 YES HAVE A COPY AND WANT TO DO IT NOW [Skip to Phone or In Person]
5 NO, DO NOT WANT TO PARTICIPATE [Thank for their time and say goodbye]

QA3 We are collecting employment and spending information for your vessel to help us better understand the important role that your fishing activity plays in the economy of Southwest Alaska. You are one of a small group of vessel owners we are asking for information, so your response is very important. I'd like to remind you that all of your answers are confidential and your name will not be revealed to anyone. If we send you another survey, could you return the survey to us within a week after you receive it?

1 YES – SEND NEW SURVEY [SKIP TO VERIFY, tell them we will call back after they receive the survey form]
2 NO, DO NOT WANT TO PARTICIPATE [Thank for their time and say goodbye]

VERIFY (If new survey needs to be sent)
I would like to verify some information that I have. I have your name and address as… Make any corrections as indicated:

NAME_____
STREET ADDRESS_____
CITY_____STATE _____ ZIP_____
PHONE_____
Email _____

Thank you, I will send you another survey today. Would you like it sent by mail or by email?

PHONE OR IN-PERSON INTERVIEW

Interviewer – Say the following to respondent:
Thank you very much. First I am going to ask you about your contact information and registration information we have for this vessel. Then I'll ask you about your vessel labor and then about your vessel operating expenses.

Section A. VESSEL CONTACT AND REGISTRATION INFORMATON

Q1 *I would like to verify some information about your name, address, and characteristics of your vessel. The information is public information, and is from a government data source (Commercial Fisheries Entry Commission, Alaska Department of Fish and Game). I have your name as*_____ [interviewer continues to check the other information in the table and make corrections as indicated].

Item	Current Information	Corrections (if any)
Owner's name	*Phish Erman*	
Owner's address	*Rt. 1, Box 368, Stewart, MN 55385*	
Contact Person's Name	**XXX**	
Phone	**XXX**	
Email	*XXX*	
Vessel name	*Lutefisk*	
USCG vessel ID	*3333666*	
State Vessel ID	*AK/FV33336*	
Vessel home port	*Ketchikan, AK*	
Vessel's home port	*Kodiak, AK*	

Q2 *Did this vessels have landings or deliveries in SW Alaska fisheries in 2014? Please look at the map of the Southwest Boroughs & Census Areas and Associated Communities that is included on page 4 in the survey to see how we are defining SW Alaska.*

1 YES [Continue to Q3]
2 NO [Skip to Comments]

Q3 *During 2014, how many months (0 to 12) were you the owner or operator of this vessel?*

_____**months**

Section C. 2014 VESSEL LABOR INFORMATION

Interviewer – Say the following to respondent:
In the next set of questions I'm going to ask you about the number of crew members, skippers and owners that worked on this vessel during 2014 and where they lived when not fishing on this vessel. Please keep the Southwest Alaska map in front of you for these questions. We don't need precise numbers, just do the best you can at estimating the figures.

Q4 *What were the total number of crew members, skippers and owners who worked on board this vessel during the year and were paid, either by crew share or by wages or salaries, for their fishing-related labor?*

_____ Total number of crew members, excluding skippers and owners, who were paid for work on the vessel.

_____ Total number of skippers who were paid for work on the vessel.

_____ Total number of owners who were paid for work on the vessel. (Note: Exclude owners who were paid only an ownership share.)

Interviewer – Say the following to the respondents: *Now thinking about the crew and others who worked on the vessel, where do those people live when not fishing? Again look at the map and give your best estimates for the next three questions.*

Q4a. *What was the residency of your **paid crew members** in 2014? Please indicate the approximate number of **paid crew members** who were residents of each of the areas listed below. Refer to the map for the Alaska areas.* [Interviewer – make sure the figures add up to the totals given in Q4]

_____ Aleutians West _____ Kodiak Island
_____ Aleutians East _____ Other Alaska
_____ Bristol Bay _____ West Coast
_____ Dillingham _____ Elsewhere in the U.S.
_____ Lake and Peninsula _____ Outside the U.S.

Q4b. *What was the residency of your **paid skippers** in 2014? Please indicate the approximate number of **paid skippers** who were residents of each of the areas listed below.* [Interviewer – make sure the figures add up to the totals given in Q4]

_____ Aleutians West _____ Kodiak Island
_____ Aleutians East _____ Other Alaska
_____ Bristol Bay _____ West Coast
_____ Dillingham _____ Elsewhere in the U.S.
_____ Lake and Peninsula _____ Outside the U.S.

Q4c. *What was the residency of **owners who were paid for work on the vessel** in 2014? Please indicate the approximate number of **owners who were paid for work on the vessel** who were residents of each of the areas listed below.* [Interviewer – make sure the figures add up to the totals given in Q4]

_____ Aleutians West _____ Kodiak Island

_____ Aleutians East
_____ Bristol Bay
_____ Dillingham
_____ Lake and Peninsula
_____ Other Alaska
_____ West Coast
_____ Elsewhere in the U.S.
_____ Outside the U.S.

Section D. Vessel Operating Costs and Expenditures During 2014

Interviewer – Say the following to respondent:
In this section, we are going to ask about your vessel expenditures. Your answers to the following questions will help us estimate the economic contribution of the commercial fishing industry to SW Alaska and elsewhere. We ask for your best estimate of the relative size of different expenditures as a percentage of total vessel costs, and where those purchases were made, based on your general recollections. We are not asking for a complete and accurate accounting – just your best rough estimates.

Q5 *During 2014, approximately* ***what percentage of your total fisheries revenues (before taxes) for this vessel was spent on total vessel cost items?***: _____%

(Explain to them that for our purposes, total vessel cost = total fisheries revenue − owner net income)

Q6 *In the table on page 7, entries in the (shaded) column labeled "our baseline estimate" represent* ***approximate percentages of total vessel costs*** *(from question 5) paid for different vessel expenditure categories. These entries represent information gleaned from data collected in other regions that we are trying to calibrate for Southwest Alaska fisheries. Please review the percentages shown in the shaded column, and then in the next column please note any corrections you feel better reflect your business operation. We don't need exact percentages; approximations are fine.*

Payments for fishing trip-related labor to crew members, skippers, and owners who worked on board this vessel during the year and were paid, either by crew shares or by wages or salaries, for their fishing-related labor: *In rows 1-4 of the table include bonuses and payroll taxes, but exclude owners' net income, employee benefits (insurance, paid leave, etc.) and also exclude the value of any employee-paid contributions for fuel, food, management fees and other vessel expenses. Amounts deducted from crew's pay to cover food, fuel, management fees or other vessel expenses should be included in the corresponding category totals in table rows 6, 7, 8 and 13.*

In row 12, ***Purchase or lease of quota (annualized cost)*** *is the approximate cost of any SW Alaska fisheries quota leased plus the approximate annualized cost of any SW Alaska fisheries quota shares purchased during the year.*

In row 13, ***other expenditures*** *include payments (including amounts paid by the crew) for tendering, transportation, shipping, storage, P&I insurance, packaging, other materials, crew insurance benefits, crew paid leave benefits, licenses, equipment leases, gear leases, coop dues, other fees, moorage expenses, and fish taxes and landings tariffs.*

Row	Expenditure Items	Approximate Percentage of Total Vessel Costs	
		Our baseline estimate	**Your Correction (if any)**
1	Total Payments for fishing trip-related labor *(Note this item is the total of rows 2, 3 and 4)*	**35%**	
2	Payments to hired crew members	*25%*	
3	Payments to hired skippers	*10%*	
4	Payments to owners for fishing-related labor on the vessel	*0%*	
5	Vessel/engine/gear repair or replacement	**14%**	
6	Fuel and lubricants (including amounts paid by crew)	**23%**	
7	Food, supplies, ice and bait (including amounts paid by crew)	**1%**	
8	Management fees, monitoring & observer costs (including amounts paid by crew)	**2%**	
9	Vessel insurance	**6%**	
10	Interest payments (short-term liabilities)	**3%**	
11	G&A overhead, including recruitment and training	**3%**	
12	Purchase or lease of quota (annualized cost)	**2%**	
13	Other expenditures (including amounts paid by crew)	**11%**	
	Total Vessel Costs	**100%**	100%

Interviewer – Say the following to the respondent:

Major repairs, overhauls and vessel refits are a necessary part of "Vessel/engine/gear repair or replacements" (item 5 in the preceding table). Usually these types of major investments are intended to be recouped over a number of years. Answers to the following three questions will help identify whether any expenditures for major repairs, overhauls and vessel refits are included in the total for item 5 and, if so, how many years are these investments expected to last?

Q7 *How often does this vessel undergo a scheduled* ***major overhaul or refit?:***

Every _____ years.

Q8 *In which port(s) are* ***major overhauls or refits*** *typically done?***:**

_____

Q9 *If the "Vessel/engine/gear repair or replacement" expenditures shown in table row 5 include costs for a* ***major overhaul or refit*** *of the vessel, approximately what portion of the expenditures included in row 5 was for the* ***major overhaul or refit****?*: _____%.

Interviewer – Say the following to the respondent:
In this question, we are going to ask you where those expenditures were made

Q10 *In the following table, please record the* ***approximate percentage of each expenditure item that was spent in each SW Alaska BCA, Elsewhere in Alaska, West Coast communities (WA, OR or CA), Elsewhere in the US, and Outside the US.*** *The sum of the percentages in each row is 100%. For example, repair costs (in row 1) might have been spent 15% in Kodiak Island Borough in SW Alaska (KI) and 85% in Seattle (West Coast).*

Row	Expenditure Items	Approximate Percentage of This Expenditure Spent in:									
		Southwest Alaska BCAs*						Other Alaska	West Coast	Else-where in the US	Outside the US
		AW	AE	BB	DH	LP	KI				
1	Vessel/engine/gear repair or replacement										
2	Fuel and lubricants (including amounts paid by crew)										
3	Food, supplies, ice and bait (including amounts paid by crew)										
4	Management fees, monitoring & observer costs (including amounts paid by crew)										
5	Vessel insurance										
6	Interest payments (short-term liabilities)										
7	G&A overhead, including recruitment and training										
8	Purchase or lease of quota (annualized cost)										
9	Other expenditures (including amounts paid by crew)										

* Southwest Alaska BCAs include: **AW**=Aleutians West Census Area, **AE**=Aleutians East Borough, **BB**=Bristol Bay Borough, **DH**=Dillingham Census Area, **LP**=Lake and Peninsula Borough, and **KI**=Kodiak Island Borough.

COMMENTS

Interviewer – Say the following to the respondent:
That's all the questions I have for you. Thank you very much. Do you have any comments that you feel would assist us to report the economic contribution of fishers like you to the economy of the Southwest region of Alaska and elsewhere?

1 YES [OBTAIN THE COMMENTS AND GO TO CONCLUDE]
2 NO [GO TO CONCLUDE]

CONCLUDE

Thank you for your time. We really appreciate your participation. If you have any further questions, please contact me (Name) at (Company Name) by telephone at (XXX-XXX-XXXX) or email at (interviewer@email.com).

QUESTIONS/COMMENTS AND ANSWERS

[*If concerned about purpose of the call*] This is not a marketing or sales call. We are collecting information on your fishing activity. I want to assure you that your answers will be kept confidential and your name will not be revealed to anyone.

[*If asking about the study sponsor*] This survey is being conducted by *Company Name* on behalf of the Alaska Fisheries Science Center, NOAA Fisheries, also known as the National Marine Fisheries Service, a U.S. government agency charged with understanding the effects of federal management actions and policies affecting the nation's ocean fisheries.

ATTACHMENT C. SAMPLING PROCEDURES FOR HARVESTING SECTORS[1]

C.1 Unequal Probability Sampling (UPS) Procedure

The objective of the vessel-level data collection proposed under this project is to estimate cost information (e.g., employment, payments to labor, and payments for non-labor inputs such as fuel cost) for each of five disaggregated harvesting vessel sectors (or vessel types) using data to be collected via a mail survey. Using ex-vessel revenue information, an unequal probability sampling (UPS) procedure will be employed to determine the sampling plan for each of the five harvesting sectors. The UPS procedure is described below. This document is an expanded version of Seung (2010).

The literature contains many methods for conducting UPS without replacement (see, for example, Brewer and Hanif 1983; Sarndal 1992). One critical weakness with most of these methods is that the variance estimation is very difficult because the structure of the 2nd order inclusion probabilities (π_{ij})[2] is complicated. One method that overcomes this problem is Poisson sampling. However, Poisson sampling has the weakness that the sample size is a random variable, which increases the variability of the estimates produced. An alternative method that is similar to Poisson sampling but overcomes this weakness is Pareto sampling (Rosen 1997)[3] which yields a fixed sample size.

In this project, there are three main tasks involved in estimating the harvesting vessel population parameters (e.g., total fuel cost) using UPS without replacement for each harvesting vessel sector which lands fish at different areas [Boroughs and Census Areas (BCA) in this project]. First, the optimal sample size needs to be determined for each harvesting sector. Second, once the optimal sample size is determined, the population parameters and confidence intervals need to be estimated. Third, once the population parameters and confidence intervals are estimated for each harvesting sector (vessel type), the values of the population parameters (e.g., a harvesting sector's total fuel cost) are allocated across different BCAs because a vessel in a harvesting sector may land raw fish at more than one BCA. The resulting numbers are a vector of total input costs for each type of vessels landing at a BCA. Confidence intervals for the population parameters are also derived in this task.

For the first task, we will use the variance of Horvitz-Thompson (HT) estimator from Poisson sampling in Part I below.[4] For the second task, we will use the Pareto sampling method described in Part II below (Slanta 2006). In determining the optimal sample size in Part I, we will use information on an auxiliary variable (ex-vessel revenue). To estimate the population parameters in Part II, we use actual response sample information on the variables of interest (employment, labor income, and other input costs). For the third task (Part III below), the total cost for a certain cost category is allocated among different BCAs, using the ratio of (a) total ex-vessel revenue from landing at a BCA to (b) the total ex-vessel revenue which is an aggregation of the ex-vessel values from landings at <u>all</u> the BCAs in SW.

In describing the sampling procedures in Part I and Part II below, we omit the subscript for denoting the harvesting sectors because the descriptions apply to all harvesting sectors. Also, we postpone use of a subscript to denote fish landing area (BCA) until Part III because the

population parameters derived from the first two parts are allocated to individual landing areas in Part III

Part I: Estimating Sample Size

Step 1: Estimation of Optimal Sample Size (n*)

(A) Obtaining Initial Probabilities

To obtain the initial values of the inclusion probabilities (π_i) for unit i in the population, we multiply the auxiliary value of unit i (X_i, i.e., the ex-vessel value of vessel i in the population) by a proportionality constant (t)[5]:

$$\pi_i = t X_i \tag{1}$$

where π_i : probability of vessel i being included in the survey sample
X_i : value of the auxiliary variable (ex-vessel value of vessel i in the population)

Here, t is given by

$$t = \frac{\sum_i^N X_i}{V + \sum_i^N X_i^2} \tag{2}$$

where N : population size of a harvesting sector
V : desired variance (of HT estimator of the population total); Poisson variance. Here, V is given as:

$$V = \left(\frac{\varepsilon X}{z_{1-(\alpha/2)}} \right)^2$$

where ε is the error allowed by the investigator [e.g., if ε is 0.1, then 10% error of true population total ($X = \sum_{i=1}^{N} X_i$) is allowed]; and z is percentile of the standard normal distribution. Therefore, choosing a desired variance V is equivalent to setting the values of ε and z. The value of V calculated using $V = \sum_{i=1}^{N} \frac{(1-\pi_i) X_i^2}{\pi_i}$ (Poisson variance; Brewer and Hanif 1983, page 82) with π_i's being the final values of N inclusion probabilities obtained from Step 1, will be equal to the desired variance given at the beginning of Step 1.

Some of the resulting π_i's could be larger than one. The number of certainty units (i.e., the number of units for which $\pi_i > 1$) is denoted C_1. If $\pi_i > 1$, then we force this inclusion probability to equal one ($\pi_i = 1$).

(B) Iterations and Determination of Optimal Sample Size

We recalculate t using the noncertainty units (i.e., the units for which $\pi_i < 1$) obtained in (A) above, i.e.,

$$t = \frac{\sum_{i}^{M_1} X_i}{V + \sum_{i}^{M_1} X_i^{\,2}} \qquad (2')$$

where M_1 : number of noncertainty units from (A), where $M_1 = N - C_1$.

Using equation (1) above, we calculate the inclusion probabilities for the noncertainty units by multiplying the t value [from equation (2')] by the ex-vessel values of the noncertainty units. If the resulting π_i's are larger than one, we force them to equal one. The resulting numbers of certainty and noncertainty units are denoted C_2 (= C_1 + additional number of certainty units) and M_2 (= M_1 – additional number of certainty units), respectively, where $C_2 + M_2 = N$. Next, for M_2 units of noncertainty, we calculate the t and π_i's again. This is an iterative process. We continue this process until the noncertainty population stabilizes (i.e., until there is no additional certainty unit).

If the noncertainty population stabilizes after *k*th iteration, there will be C_k units of certainty units and M_k units of noncertainty units and $C_k + M_k = N$. Summing over the probabilities for all these certainty and noncertainty units, we obtain the optimal sample size (n*) as:

$$n^* = \sum_{i}^{N} \pi_i \qquad (3)$$

At this stage the optimal sample size may not be an integer number. In this stage, we also compute the optimal sample size under simple random sampling (SRS)[6], n_{srs}, and compare it with n*.

<u>Step 2: Determining Number of Mailout Surveys</u>

(A) Adjustment of Probabilities

Once the optimal sample size (n*) is determined in Step 1, we divide the sample size (n*) by the expected response rate (estimated based on previous surveys) to determine the number of surveys that need to be mailed out to achieve n*. The number thus derived is denoted n_a (this number may not still be an integer value). We next adjust the inclusion probabilities for the M_k noncertainty units obtained in Step 1 above as:

$$\pi_i = (n_a - C_k)\left[\frac{\pi_i}{\sum_i^{M_k} \pi_i}\right] \tag{4}$$

If the resulting probabilities are larger than one ($\pi_i > 1$), we make them certainties ($\pi_i = 1$). The resulting numbers of certainty and noncertainty units are denoted C_{k+1} and M_{k+1}, respectively. Next, we adjust the probabilities of the new set of noncertainty units (M_{k+1}) in a similar way using equation (4') below:

$$\pi_i = (n_a - C_{k+1})\left[\frac{\pi_i}{\sum_i^{M_{k+1}} \pi_i}\right] \tag{4'}$$

We continue this process until the noncertainty population stabilizes. The resulting numbers of certainty and noncertainty units are C_q and M_q, respectively.

(B) Apply Minimum Probability Rule

At this point, we impose a minimum probability rule. UPS can have excessively large weights ($= 1/\pi_i$) and if they report a large value, then the population estimate and its variance would be very large. In order to avoid this problem, we can impose a minimum value of the inclusion probabilities. If *m* is the minimum imposed probability, then we do the following:

If $\pi_i < m$*, then set* $\pi_i = m$ *for each i, where i = 1, ..., N.*

The value for *m* here is determined arbitrarily. The only cost involved in using this rule is a small increase in sample size.[7]

(C) Finding an Integer Value for Sample Size

Next, we add up all the resulting inclusion probabilities. The resulting sum is denoted n_b ($> n_a$), which may not be an integer value. Next, we adjust again the probabilities for noncertainty units including the units for which the minimum probabilities were imposed as:

$$\pi_i = (n_c - C_q)\left[\frac{\pi_i}{\sum_i^{M_q} \pi_i}\right] \tag{5}$$

where n_c is the smallest integer value larger than n_b (e.g., if $n_b = 15.3$, then $n_c = 16$). Finally, we add up the resulting (certainty and noncertainty) probabilities. The sum of all these

probabilities is the final survey sample size (i.e., the number of surveys to be sent out to), and is denoted n_m (= n_c).

Part II: Estimation of Population Parameters and Confidence Intervals

Step 3: Implementation of Pareto Sampling

After the mailout sample size (n_m) for each sector is determined in Step 2, the mailout sample is selected from each sector's population using Pareto sampling. The probability of each unit (vessel) being in the sample in a given sector is proportional to the unit's (vessel's) ex-vessel revenue. Because the majority of gross revenue within each sector comes from a small number of vessels, a random sample of vessels would only include a small portion of the total ex-vessel values.

According to Brewer and Hanif (1983), there are about fifty different approaches that are used for UPS. Most of these approaches suffer from the weakness that it is very hard to estimate the variance. Poisson sampling overcomes this problem, and is relatively easy to implement. However, the limitation of Poisson sampling is that the sample size is a random variable. Therefore, in this project, we will use Pareto sampling (Rosen 1997 and Saavedra 1995) which overcomes the limitation of Poisson sampling. The mailout sample size will be n_m as determined in Step 2 (C) above. We will use the inclusion probabilities obtained from Equation (5) above in implementing Pareto sampling.

The procedure of this sampling method (Block and Crowe 2001) is briefly described here:

1. Determine the probability of selection (π_i) for each unit i as in Equation (5) above.
2. Generate a Uniform (0,1) random variable U_i for each unit i
3. Calculate $Q_i = U_i (1 - \pi_i) / [\pi_i (1 - U_i)]$
4. Sort units in ascending order by Q_i, and select n_m smallest ones in sample.

From the above, it is clear that we will have a fixed sample size with Pareto sampling.

Step 4: Mailing out Surveys and Obtaining Actual Response Sample

Next, we will send out the surveys to the n_m units (vessel owners). Actual response sample will be obtained and the size of the actual response sample is denoted r.

Step 5: Estimation of Population Parameters (Population Total)

Using the information in the actual response sample, we calculate population parameters *for variables of interest* (e.g., employment and labor income in our project), *not for ex-vessel revenue,* using HT estimator (Horvitz and Thompson 1952). We are interested in estimating the population totals (not population means) of the variables of interest. The HT estimator is given as:

$$\hat{Y}_{HT} = \sum_{i=1}^{r} w_i y_i \qquad (6)$$

where r : number of respondents
w_i : weight for ith unit (= $1/\pi_i$). Note that the weights are calculated here using the information on the auxiliary variable, not that on the variables of interest
y_i : response sample data of ith unit (employment or labor income)

However, the HT estimator needs to be adjusted for non-response. The estimator is adjusted in the following way.

$$\hat{Y} = \left(\frac{\sum_{j=1}^{N} X_j}{\sum_{i=1}^{r} w_i X_i} \right) \hat{Y}_{HT} \qquad (7)$$

where N : population size
X_i : auxiliary variable of ith unit (respondents only)

Usually, we apply this adjustment to the certainties separately from the noncertainties, and then add the two together to get a final estimate. If there are no respondents within any of the two groups of certainty units and noncertainty units, then we collapse the two groups before applying the adjustment. Specifically, the final estimate of population total is given by:

$$\hat{Y} = \left(\frac{\sum_{j=1}^{N_1} X_j}{\sum_{i=1}^{r_1} w_i X_i} \right) \sum_{i=1}^{r_1} w_i y_i + \left(\frac{\sum_{j=1}^{N_2} X_j}{\sum_{i=1}^{r_2} w_i X_i} \right) \sum_{i=1}^{r_2} w_i y_i \qquad (8)$$

where N_1 : number of certainty units in the population
N_2 : number of noncertainty units in the population
r_1 : number of respondents from certainty units
r_2 : number of respondents from noncertainty units, and
$N_1 + N_2 = N$ and $r_1 + r_2 = r$.

<u>Step 6: Estimation of Variance for $\hat{Y}_{HT}$ and $\hat{Y}$</u>

Here we will calculate the variances of the population estimates for the variables of interest. The variance estimate for Pareto sampling is given in Rosen (1997, Equation (4-11), p. 173) as:

$$Var(\hat{Y}_{HT}) = \frac{n_m}{n_m - 1} \left\{ \left[\sum_{i=1}^{n_m} (1-\pi_i) \left(\frac{y_i}{\pi_i} \right)^2 \right] - \frac{\left[\sum_{i=1}^{n_m} y_i \left(\frac{1-\pi_i}{\pi_i} \right) \right]^2}{\sum_{i=1}^{n_m} (1-\pi_i)} \right\} \qquad (9)$$

Since we have adjusted for nonresponse, we need to incorporate the variability due to nonresponse into the variance. If we assume that the response mechanism is fixed [8], then we have a ratio estimator and its variance can be found in Hansen, Hurwitz, and Madow (1953, page 514). This variance is a Taylor expansion, and is given as:

$$Var\left(\hat{Y}\right)=\hat{Y}^2\left(\frac{\hat{\sigma}^2(A)}{A^2}+\frac{\hat{\sigma}^2(B)}{B^2}-\frac{2COV(A,B)}{AB}\right) \qquad (10)$$

where

$$A=\sum_{i=1}^{r} w_i y_i$$

$$B=\sum_{i=1}^{r} w_i X_i$$

$$\hat{\sigma}^2(A)=\frac{n_m}{n_m-1}\left\{\left[\sum_{i=1}^{r}(1-\pi_i)(w_i y_i)^2\right]-\frac{\left[\sum_{i=1}^{r}(1-\pi_i)(w_i y_i)\right]^2}{\sum_{i=1}^{n_m}(1-\pi_i)}\right\}$$

$$\hat{\sigma}^2(B)=\frac{n_m}{n_m-1}\left\{\left[\sum_{i=1}^{r}(1-\pi_i)(w_i X_i)^2\right]-\frac{\left[\sum_{i=1}^{r}(1-\pi_i)(w_i X_i)\right]^2}{\sum_{i=1}^{n_m}(1-\pi_i)}\right\}$$

$$COV(A,B)=\frac{n_m}{n_m-1}\left\{\left[\sum_{i=1}^{r}(1-\pi_i)w_i^2 y_i X_i\right]-\frac{\left[\sum_{i=1}^{r}(1-\pi_i)(w_i y_i)\right]\left[\sum_{i=1}^{r}(1-\pi_i)(w_i X_i)\right]}{\sum_{i=1}^{n_m}(1-\pi_i)}\right\}.$$

<u>Step 7: Calculation of Confidence Intervals</u>

Confidence intervals are calculated using response sample statistics obtained in steps 5 and 6. We only choose one sample, but if there were many independent samples chosen then we would expect on average that approximately 100(1-α) % of the confidence intervals constructed in the following manner will contain the average from all possible samples. The nonresponse adjustment, equation (8), is intended to bring this average from all possible estimates closer to the truth.

$$\left(\hat{Y}-z_{\alpha/2}\sqrt{Var(\hat{Y})}\ ,\ \hat{Y}+z_{\alpha/2}\sqrt{Var(\hat{Y})}\right) \qquad (11)$$

where $\hat{Y}$: Estimated population total for employment or labor income.

Note that it is possible to use t-statistics if the sample size is small.

Part III: Estimating Population Parameters and Confidence Intervals for Each Fish Landing BCA

Step 8: Allocating Costs Across Different Areas

Once the population total (i.e., the total cost for a certain cost category) ($\hat{Y}$) is obtained from Part II, in Part III, the population total is allocated among different BCAs, using the ratio of (a) the ex-vessel revenue from landing at a BCA to (b) the total ex-vessel revenue which is an aggregation of the ex-vessel values from landings at all the BCAs in SW.

Let *h* (*h* = 1, 2, …, *H*) denote harvesting sector (where *H* = 5 in our project); *f* (*f* = 1, 2, …, *F*) cost category; *a* (*a* = 1, 2, …, *A*) landing area. Then, the resulting cost of category *f* for harvesting sector *h* landing fish at an area *a* denoted $\hat{Y}_{a,h,f}$ is given by:

$$\hat{Y}_{a,h,f} = \left(\frac{EXV_{a,h,}}{\sum_{a=1}^{A} EXV_{a,h}} \right) \hat{Y}_{h,f} \tag{12}$$

where $EXV_{a,h}$ is ex-vessel value of vessel sector *h* landing at *a* and $\hat{Y}_{h,f}$ is the same as $\hat{Y}$ from Part II. If, for example, there are five types of vessels and four cost categories for each BCA. Then there will be a total of 5x4 cost elements for each BCA. Obtaining this information is the final goal of the above sampling work.

Step 9: Estimation of Variance for $\hat{Y}_{a,h,f}$

$EXV_{a,h}$ is a constant since it comes from a non-sampled source (i.e., government data). This means that

$$Var\left(\hat{Y}_{a,h,f}\right) = \left(\frac{EXV_{a,h}}{\sum_{a=1}^{A} EXV_{a,h}} \right)^2 Var\left(\hat{Y}_{h,f}\right) \tag{13}$$

The $Var\left(\hat{Y}_{h,f}\right)$ is calculated using equations (9) and (10) above where y_i is the value associated with *h* and *f*.

Step 10: Calculation of Confidence Intervals

The confidence interval has the same structure as equation (11) above.

$$\left(\hat{Y}_{a,h,f} - z_{\alpha/2}\sqrt{Var\left(\hat{Y}_{a,h,f}\right)},\ \hat{Y}_{a,h,f} + z_{\alpha/2}\sqrt{Var\left(\hat{Y}_{a,h,f}\right)}\right) \tag{14}$$

C.2 Procedures for Estimating Population Totals and Their Reliability with Census

This section is based on Brick and Kalton (1996), Slanta (2014), and Lew et al. (2015). In some cases, the mailout sample size for a certain vessel class, which is obtained from UPS is larger than the population size. In this case, we conduct a census where we will send the surveys to all the vessel owners in the vessel class. When this is the case, the variance of the estimate is zero. The mailout sample size is equal to the population size. Since the survey is a voluntary survey, there will be some non-respondents.

The population total (e.g., total employment or total labor income for the vessel class) will be estimated simply as:

$$\hat{Y} = \left(\frac{\sum_{i=1}^{N} X_i}{\sum_{i=1}^{r} X_i}\right)\sum_{i=1}^{r} y_i \tag{15}$$

where X_i : auxiliary variable (vessel revenue) of ith unit,
N : population size,
r : number of respondents,
y_i : response sample data of ith unit (employment or labor income), and
$\frac{\sum_{i=1}^{N} X_i}{\sum_{i=1}^{r} X_i}$: adjustment factor for non-response.

We will assume that a sampling unit is either always a respondent or always a non-respondent (i.e., the response mechanism is fixed). This will imply that the variance of the estimate is zero, and that confidence intervals are not available. Under this assumption, all of the error in the estimate is due to non-sampling error. Therefore we will publish the response rate in conjunction with the estimate so that the data user can have some intuitive feel for the quality of the estimate. The above assumption that the sampling unit is always a respondent or always a non-respondent is more than likely not totally true. This may be true for many sampling units, but for other sampling units the probability of responding is greater than zero and less than one. Variance formulas could be derived if these probabilities of responding were known, but since they're not, we will assume that they are either zero or one.

To measure reliability of the population parameters for estimates where a census is conducted, we will publish both the response rate and the total quantity response rate (TQRR). TQRR in our case is defined as:

$$TQRR = \frac{\sum_{i=1}^{r} y_i}{\hat{Y}} = \frac{\sum_{i=1}^{r} y_i}{\left(\frac{\sum_{i=1}^{N} x_i}{\sum_{i=1}^{r} x_i}\right)\sum_{i=1}^{r} y_i} = \frac{\sum_{i=1}^{r} x_i}{\sum_{i=1}^{N} x_i} \tag{16}$$

Footnotes

1. In the process of developing this document, several experts in UPS sampling assisted us by providing helpful comments and inputs. The experts include John Slanta (U.S. Census Bureau), Bengt Rosen (Uppsala University), Pedro Saavedra (ORC Macro), Holmberg Anders (Statistics Sweden), Paolo Righi (ISTAT, Italy), and Bob Fay (U.S. Census). In particular, I would like to thank John Slanta very much for his time and effort in providing valuable inputs and advice. His suggestions and comments contributed significantly to the development of the sampling procedures in this document. Many thanks go to Dan Lew (NMFS) for his rigorous review and valuable suggestions which contributed in a significant way to the improvement of this document. I also benefited from discussions of UPS with Norma Sands at NWFSC and from the Excel file that she developed and from Hartman (2002).

2. 2nd order inclusion probability (π_{ij}) is defined as the joint probability of including in sample the ith and jth population units.

3. Saavedra (1995) independently developed the same sampling methodology as Rosen (1997), which he called Odds Ratio Sequential Poisson Sampling (ORSPS).

4. Although we do not use Poisson sampling itself, we do use the Poisson variance of HT estimator of the population total.

5. Equation (1) is derived as follows.

   HT estimator, $\hat{X}_{HT} = \sum_i \frac{X_i}{\pi_i}$, has variance,

   $$V(\hat{X}_{HT}) = \sum_{i=1}^{N} \frac{X_i^2}{\pi_i}(1-\pi_i) = \sum_{i=1}^{N} \frac{X_i^2}{\pi_i} - \sum_{i=1}^{N} X_i^2 \quad \text{(Brewer and Hanif 1983, page 82)} \qquad \text{(A)}$$

   For an expected sample size *n*,

   $$\pi_i = n\left(\frac{X_i}{\sum_{i=1}^{N} X_i}\right) \qquad \text{(B)}$$

   Substituting (B) into (A) and solving for n,

   $$n = \left(\sum_{i=1}^{N} X_i\right)^2 \Big/ \left(V(\hat{X}_{HT}) + \sum_{i=1}^{N} X_i^2\right) \qquad \text{(C)}$$

   Substituting (C) into (B),

   $$\pi_i = \left[\frac{\sum_{i=1}^{N} X_i}{V(\hat{X}_{HT}) + \sum_{i=1}^{N} X_i^2}\right] X_i, \quad i = 1, 2, \ldots, N, \qquad \text{(D)}$$

   where $V(\hat{X}_{HT})$ is the desired variance.

6. The optimal sample size under SRS is determined using the following standard formula:

$$n_{srs} \geq \frac{z^2 N (CV_p)^2}{z^2 (CV_p)^2 + (N-1)\varepsilon^2}$$ (Levy and Lemeshow, formula (3.14) on page 74)

where n_{srs} : optimal sample size under SRS
CV_p : coefficient of variation of the population parameter. Since the information on the population parameters (i.e., employment and labor income) is not available, we use ex-vessel revenue, for which the population information is available from CFEC. Therefore, CV_p is defined as standard deviation of the ex-vessel revenue in the population divided by the mean.

7. This minimum probability rule is used, for example, in the Manufacturing and Construction Division of the Census Bureau. To date, there has not been any research on the minimum probability in the sampling literature. It is an arbitrary value and in applications has sometimes varied between strata in the same survey. Some researchers determine the minimum probability such that the resulting weight, which is the reciprocal of the minimum probability, is less than or equal to the population size. Generally speaking, this minimum probability rule has little effect on the sample size.

8. Fixed response mechanism means that a unit included in a sample is always a respondent or non-respondent no matter what sample the unit is included in. In other words, the probability of the unit being a respondent is either one or zero but nothing in-between.

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(5) Short biography of nominee, including credentials and proof of U.S. citizenship (copy of birth certificate and/or U.S. passport) and a list of citizenships of foreign countries.

(6) Brief description of the organization and its business activities, including.

(7) Company size (number of employees and annual sales).

(8) Exporting experience.

(9) An affirmative statement that the nominee will be able to meet the expected time commitments of Committee work. Committee work includes (1) attending in-person committee meetings approximately four times per year, (2) undertaking additional work outside of full committee meetings including subcommittee conference calls or meetings as needed, and (3) drafting or commenting on proposed recommendations to be evaluated at Committee meetings.

Please do not send company or trade association brochures or any other information.

FOR FURTHER INFORMATION CONTACT: Ms. Maureen Hinman, Office of Energy & Environmental Industries (OEEI), International Trade Administration, Room 4053, 1401 Constitution Avenue NW., Washington, DC 20230. (Phone: 202–482–0627; Fax: 202–482–5665; email: *maureen.hinman@trade.gov*).

Edward A. O'Malley,

Director, Office of Energy and Environmental Industries.

[FR Doc. 2014–21117 Filed 9–4–14; 8:45 am]

BILLING CODE 3510–DR–P

DEPARTMENT OF COMMERCE

National Ocean and Atmospheric Administration

Proposed Information Collection; Comment Request; Regional Economic Data Collection Program for Southwest Alaska

AGENCY: National Oceanic and Atmospheric Administration, 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 November 4, 2014.

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

FOR FURTHER INFORMATION CONTACT: Requests for additional information or copies of the information collection instrument and instructions should be directed to Chang Seung, (206) 526–4250 or *Chang.Seung@noaa.gov.*

SUPPLEMENTARY INFORMATION:

I. Abstract

This request is for a new information collection.

Regional or community economic analysis of proposed fishery management policies is required by the Magnuson-Stevens Fishery Conservation and Management Act, National Environmental Policy Act, and Executive Order 12866, among others. To satisfy these mandates and inform policymakers and the public of the likely regional economic impacts associated with fishery management policies, appropriate economic models and the data to implement them are needed. Much of the data required for regional economic analysis of Southwest Alaska fisheries are either unavailable or unreliable. Accurate fishery-level data on employment, labor income, and expenditures in the Southwest Alaska fishery and related industries are not generally available but are needed to estimate the role of fisheries and effects of fishery policies on local, regional and national economies. The Southwest region for this survey includes six boroughs and census areas (BCAs)—Aleutians East Borough, Aleutians West Census Area, Bristol Bay Borough, Dillingham Census Area, Lake and Peninsula Borough, and Kodiak Island Borough.

In 2007–2008, a similar data collection project was administered for the Southwest Alaska region by obtaining 2006 annual data. However, that data is now outdated and incomplete. In the proposed survey, 2013 or 2014 annual data for important regional economic variables will be collected from fish harvesting and seafood processing businesses operating in the region (2012 data on these variables will be collected if more recent vessel landings and processed products data are not available at the time the data collection begins). The data will be used to develop Southwest regional and BCA-level models that will provide more reliable impact estimates and significantly improve policymakers' ability to assess effects on fishery-dependent communities in Southwest Alaska. A departure from the prior survey effort is that more information will be collected this time on the source locations of business expenditures by catcher vessels and seafood processors. The survey will be conducted one time only.

A mail survey will be used to collect data on employment, labor income, and expenditures from owners of 2,731 catcher vessels whose boats delivered fish to Southwest Alaska processors. Key informant interviews will be conducted to gather additional information from 30 seafood processors, including catcher-processor and floating processor vessels, and 20 local businesses that supply inputs to regional fish harvesters and seafood processors. The interviews will be used to determine relative expenditures for inputs made in nine geographical areas—(1) each of the six BCAs within the Southwest region, (2) non-Southwest Alaska region, (3) West Coast, and (4) the rest of US and elsewhere. Personal interviews with input suppliers will gather additional information on (i) the level of supplier sales to regional seafood industry businesses, and (ii) the portion of business expenditures for labor and non-labor inputs that were made in each of the above nine geographical areas.

II. Method of Collection

Mail surveys and personal or phone interviews will be used.

III. Data

OMB Control Number: 0648–xxxx.

Form Number(s): None.

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

Affected Public: Business or other for-profit organizations.

Estimated Number of Respondents: 1,415.

Estimated Time per Response: 45 minutes.

Estimated Total Annual Burden Hours: 1,061.

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

IV. Request for Comments

Comments are invited on: (a) Whether the proposed collection of information is necessary for the proper performance of the functions of the agency, including whether the information shall have practical utility; (b) the accuracy of the agency's estimate of the burden

(including hours and cost) of the proposed collection of information; (c) ways to enhance the quality, utility, and clarity of the information to be collected; and (d) ways to minimize the burden of the collection of information on respondents, including through the use of automated collection techniques or other forms of information technology.

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

Dated: August 29, 2014.

Gwellnar Banks,

Management Analyst, Office of the Chief Information Officer.

[FR Doc. 2014–21125 Filed 9–4–14; 8:45 am]

BILLING CODE 3510–22–P

DEPARTMENT OF COMMERCE

National Oceanic and Atmospheric Administration

RIN 0648–XC598

Endangered and Threatened Species; Draft Recovery Plan for Staghorn and Elkhorn Corals

AGENCY: National Marine Fisheries Service, National Oceanic and Atmospheric Administration, Commerce.

ACTION: Notice of availability; request for comments.

SUMMARY: The National Marine Fisheries Service (NMFS) announces the availability for public review of the draft Recovery Plan (Plan) for elkhorn coral (*Acropora palmata*) and staghorn coral (*Acropora cervicornis*). The Plan is available on the NMFS Web site at *http://www.nmfs.noaa.gov/pr/recovery/plans.htm* and the Southeast Regional Office Web site at *http://sero.nmfs.noaa.gov/protected_resources/coral/elkhorn_coral/document/Key_Docs/DraftAcroporaRecoveryPlan.pdf.* NMFS is soliciting review and comment from the public and all interested parties on the draft Plan, and NMFS will consider all relevant, substantive comments received during the review period before finalizing the Plan.

DATES: Comments on the draft Plan must be received by close of business on October 20, 2014.

ADDRESSES: You may submit comments on this document, identified by NOAA–NMFS–2014–0110, by any of the following methods:

- *Electronic Submissions:* Submit all electronic public comments via the Federal e-Rulemaking Portal *www.regulations.gov.* To submit comments via the e-Rulemaking Portal, first click the ''submit a comment'' icon, then enter NOAA–NMFS–2014–0110 in the keyword search. Locate the document you wish to comment on from the resulting list and click on the ''Submit a Comment'' icon on the right of that line.
- *Mail:* Assistant Regional Administrator for Protected Resources, NMFS, Southeast Regional Office, 263 13th Avenue South, St. Petersburg, FL 33701. Attn: Draft Acropora Recovery Plan.

Instructions: Comments must be submitted by one of the above methods to ensure that the comments are received, documented, and considered by NMFS. Comments sent by any other method, to any other address or individual, or received after the end of the comment period, may not be considered. All comments received are a part of the public record and will generally be posted for public viewing on *www.regulations.gov* without change. All personal identifying information (e.g., name, address, etc.) submitted voluntarily by the sender will be publicly accessible. Do not submit confidential business information, or otherwise sensitive or protected information. NMFS will accept anonymous comments (enter ''N/A'' in the required fields if you wish to remain anonymous). Attachments to electronic comments will be accepted in Microsoft Word or Excel, WordPerfect, or Adobe PDF file formats only.

FOR FURTHER INFORMATION CONTACT: Alison Moulding (727–824–5312), email *Alison.Moulding*@noaa.gov or Therese Conant (301–427–8456), email *Therese.Conant@noaa.gov.*

SUPPLEMENTARY INFORMATION:

Background

Recovery plans describe actions beneficial for the conservation and recovery of species listed under the Endangered Species Act of 1973 (ESA), as amended (16 U.S.C. 1531 *et seq.*). Section 4(f)(1) of the ESA requires that recovery plans incorporate, to the maximum extent practicable: (1) Objective, measurable criteria which, when met, would result in a determination that the species is no longer threatened or endangered; (2) site-specific management actions necessary to achieve the Plan's goals; and (3) estimates of the time required and costs to implement recovery actions. The ESA requires the development of recovery plans for each listed species unless such a plan would not promote its conservation.

The purpose of this draft Plan is to rebuild and assure the long-term viability of elkhorn and staghorn coral populations in the wild, allowing ultimately for the species' removal from the federal list of endangered and threatened species. The goal of this Plan is to increase the abundance and to protect the genetic diversity of elkhorn and staghorn coral populations throughout their geographical ranges while sufficiently abating threats to warrant delisting of both species. Elkhorn and staghorn coral populations should be large enough to include numerous groups of successfully reproducing individuals, including thickets, across the historical range of these species. These groups should be large enough to protect genetic diversity and maintain ecosystem function. The proposed recovery approach includes research and monitoring to identify, reduce, or eliminate threats so the recovery objectives outlined in this Plan have the greatest likelihood of being achieved. Because some threats to elkhorn and staghorn corals cannot be directly managed (e.g., disease), the Plan pursues concurrent actions to address both global and local threats. Population enhancement is also an integral part of elkhorn and staghorn recovery through restoration, restocking, and active management. Ecosystem-level actions are identified to improve habitat quality and restore community structure and ecological functions, such as herbivory, to sustain adult colonies and enable successful recruitment in the wild over the long term. The goal, objectives, and criteria of the Plan represent NMFS' expectation of conditions to recover elkhorn and staghorn corals so they no longer need the protective measures provided by the ESA; conservation of elkhorn and staghorn species is described in the Plan regardless of their listing as an endangered or threatened species.

The recovery criteria in the draft Plan are based on the current literature and expert consensus. In some cases, the current best available information is so limited that it is not practicable to identify recovery criteria. Instead, interim criteria are identified to gather and obtain the information necessary to establish final recovery criteria. Recovery criteria can be viewed as targets, or values, by which progress toward achievement of recovery objectives can be measured. In the Plan we frame recovery criteria both in terms of population parameters (Population-based Recovery Criteria) and the five