

**SUPPORTING STATEMENT
HIGHLY MIGRATORY SPECIES DEALER REPORTING FAMILY OF FORMS
OMB CONTROL NO.: 0648-0040**

A. JUSTIFICATION

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

This package seeks to renew previously approved information collections from seafood dealers regarding purchases or sales of Atlantic highly migratory species (HMS), including federally managed tunas, sharks, and swordfish (sale of billfish is illegal). Transactions that will be covered under this collection include purchases of Atlantic HMS from commercial fishermen and import/export of all bluefin tuna (BFT), frozen bigeye tuna (BET), southern bluefin tuna (SBT) or swordfish (SWO), regardless of geographic area of origin. The information collected will be used to monitor the harvest of domestic fisheries, and/or track international trade of internationally managed species.

Domestic catch/landing data are necessary to effectively manage domestic fisheries. This information is used to monitor quotas, estimate fishing mortality, and identify the geographic and temporal distribution of fish and fisheries. Collection of this information for use in domestic fishery management is authorized under the [Magnuson-Stevens Fishery Management and Conservation Act](#) (16 U.S.C. '1801 *et seq.*), as amended in 2006 by [PL 109-479](#). Regulations at [50 CFR 635.5](#) implement domestic dealer reporting requirements. The domestic reporting covered by this collection includes domestic biweekly landings reports and negative reporting (i.e. reports of no activity, when applicable), and bluefin tuna daily landings including tagging of individual fish.

Both the International Commission for the Conservation of Atlantic Tunas (ICCAT) and the Inter-American Tropical Tuna Commission (IATTC) require International Trade tracking programs. An overall goal of these programs is to reduce illegal, unreported and unregulated fishing for the covered species, and improve management of associated fisheries. The programs are designed to account for all international trade of covered species by requiring that a statistical document (SD) accompany each export from and import into a member nation, and that a re-export certificate (RXC) accompany each re-export. In this way, markets will be closed to trade of covered species with non-participating nations. Collection of this information to implement certain international fishery management recommendations is authorized under the Atlantic Tunas Convention Act [[ATCA; 16 U.S.C. 971\(d\)](#)] and implemented in regulations at [50 CFR 300 Subpart M](#).

The United States is a member of ICCAT and authorized by ATCA to promulgate regulations as may be necessary and appropriate to implement recommendations adopted by ICCAT. ICCAT has adopted recommendations for the mandatory implementation of SD and RXC trade tracking programs for BFT, frozen BET and SWO. U.S. regulations implementing ICCAT SD programs require SDs for international transactions of the covered species from all ocean areas, so Pacific imports and exports must also be accompanied by SDs. Since there are SD programs in place under other international conventions (e.g. the Indian Ocean Tuna Commission), a SD from

another program may be used to satisfy the SD requirement for imports into the United States. The United States is also a member of the IATTC, and required under the Tunas Convention Act of 1950 (TCA; 16 U.S.C. '955) to implement recommendations adopted by IATTC. IATTC has mandated a trade-tracking program for frozen BET, which National Marine Fisheries Service (NMFS) has implemented for shipments of frozen BET from the Pacific Ocean.

Dealers who internationally trade SBT are required to participate in a trade-tracking program implemented by the Commission for the Conservation of Southern Bluefin Tuna (CCSBT). This facilitates enforcement of ICCAT=s BFT SD program by ensuring that imported Atlantic & Pacific BFT will not be intentionally mislabeled as SBT in order to circumvent reporting requirements. This action is authorized under ATCA, which provides for the promulgation of regulations as may be necessary and appropriate to carry out ICCAT recommendations.

In addition to SD and RXC requirements, this collection includes biweekly reports to complement trade-tracking SDs by summarizing SD data and collecting additional economic information.

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.

Although the information collected is not expected to be disseminated directly to the public, it may be used in the development or review of fishery management plans and associated regulatory documents, and is therefore subject to National Oceanic and Atmospheric Administration (NOAA)=s Information Quality Guidelines. As explained in the following paragraphs, the information gathered has utility. NMFS will retain control over the information and safeguard it from improper access, modification, and destruction, consistent with NOAA standards for confidentiality, privacy, and electronic information. See Item #10 of this Supporting Statement for more information on confidentiality and privacy. The information collection is designed to yield data that meet all applicable information quality guidelines. Prior to any dissemination, the information will be subjected to quality control measures and a pre-dissemination review pursuant to Section 515 of Public Law 106-554.

Atlantic BFT Daily Landing Reports and Tagging

NMFS uses the information collected in this portion of the reporting package to monitor U.S. landings of Atlantic BFT in relation to the assigned quota, thereby ensuring that the United States complies with its international obligations to ICCAT. In addition, provisions of domestic regulations such as time/area closures, fishing seasons, and subquotas by gear type and/or user group are monitored through these reporting instruments. The data collected is also used to assess the status of the BFT resources. Data reports are reviewed by ICCAT annually, and provide the basis for ICCAT management recommendations that become binding on member nations.

This portion of the package describes two reporting requirements. The Landing Report is used for daily, real-time quota monitoring. Dealers are required to FAX reports to NMFS within 24 hours of purchasing an Atlantic BFT. Second, uniquely numbered tail tags must be affixed to

each Atlantic BFT purchased from a fisherman, after which the tag numbers are recorded on the Landing Report and Atlantic BFT Domestic Landing Biweekly (discussed below). (Domestic landings of Pacific BFT are not recorded under this collection, and use of tail tags is optional for Pacific BFT.)

The following information is collected on the Atlantic BFT Daily Landing Report:

1. Dealer name and permit number;
2. Date the fish was landed;
3. Gear type used to capture the BFT - used for estimating catch per unit effort as part of stock assessment;
4. Length and weight of fish & measurement method (curved or straight length / round or dressed weight) - used to determine age of fish and population structure; weight used for quota management;
5. Tail tag number - identifies fish and provides cross reference with biweekly report, and is used in place of SD validation;
6. Area caught - provides information on temporal distribution of fish and fishing, and aids in enforcement of area closures;
7. Port landed - identifies principal ports for the fishery, temporal distribution of fish, and aids in enforcement;
8. Fisherman and vessel names, permit number and signature - provides vessel permit enforcement information.

Biweekly Reports

NMFS uses biweekly reports to account for domestic landings of managed species, and collect and verify international trade data. For species managed by quotas, such as sharks, swordfish and BFT, this information is vital to ensure that landings do not exceed the established quota. For BFT, timely quota management requires that landings be accounted for on a daily basis (see above). Thus for BFT, biweekly reporting is used to verify daily landing report information and collect economic information needed to manage the fishery. For international related reporting, biweekly reports also are used to cross-reference and check information provided on SDs and collect important economic information needed for managing the fishery. Four types of biweekly reports used to monitor information on HMS are covered under this collection

The NMFS Southeast Region (SER) uses the Dealer Reporting form for HMS, collected on a biweekly basis, to monitor swordfish, shark, and tuna (bigeye, albacore, yellowfin, and skipjack or “BAYS”) landings as well as landings of coastal pelagics. Since dealers that purchase HMS also frequently purchase coastal pelagics, reporting for these species (dolphin, greater amberjack, king mackerel, escolar, and wahoo) is also included on this form, but the reporting burden is not included under this collection. The information on this form is used to track landings against quotas and collect landings data for use in stock assessments. If no HMS or coastal pelagics are landed during the biweekly reporting period, a report (i.e., a negative report) must still be filed. This requirement clarifies for NMFS whether or not a report is pending from the dealer for the reporting period. The following information is required on the SER Dealer Reporting for HMS form:

1. Dealer name;
2. SER Dealer number;

3. Northeast Region Dealer number (if applicable) - provides cross reference and helps avoid any double reporting;
4. Begin & end date for reporting period;
5. Contact information (optional);
6. Negative report (see above);
7. Dressed weight and price per pound for recorded species - provides economic data used in development of management measures and landings used for quota monitoring and stock assessment;
8. Date landed, vessel name, documentation number, port landed and state landed - provides information on temporal distribution of fish and fishery and provides enforcement data for permit checks.

The second biweekly report is used to monitor Atlantic BFT landings and can be used by dealers that land Atlantic BFT to track BFT trade (exports). Information on the sale and disposition of BFT is also collected. The following information is collected on the Biweekly Atlantic BFT Dealer Landings and Trade Report:

1. Biweekly reporting period;
2. Dealer name, Atlantic Tunas Dealer permit number, and name of person filling out report;
3. Date of landing;
4. Vessel Permit I.D. number - used for enforcement purposes;
5. Tail tag number - used to identify the fish and cross-reference with daily landing report and BFT SD;
6. Weight of the fish (round or dressed) - used to cross-reference daily landing report information and collect economic information;
7. Nature of sale (dockside or consignment) - used in assessing the relative importance of the Japanese and U.S. domestic markets;
8. Price per pound - important for evaluating economic characteristics of the fishery;
9. Quality rating - assists in determining how regulations affect price of BFT; and
10. Destination of fish (domestic, import, export, or re-export) - used for assessing importance of foreign market and identifying variables that can affect all markets.

The third biweekly form monitors international trade of BFT, SBT, BET, and SWO. This information is used to cross-check and verify SD data as well as obtain economic information that is essential for domestic management policy and rulemaking with respect to management impacts on prices. The following information is required on the HMS Trade Biweekly Dealer Report:

1. Dealer Name;
2. HMS International Trade Permit number;
3. Contact name and phone number;
4. Report time period;
5. For each shipment/fish:
 - a. Species
 - b. Statistical document and re-export certificate (if applicable) number - cross checks trade documentation;
 - c. Entry number from US customs form 7501 (import only) - allows for cross check of trade data with customs data;
 - d. Date of import or export;

- e. Total weight of shipment (import only) - cross check with trade data;
- f. Condition (fresh or frozen) and product form (round, headed, gutted, steaks, fillets, loins, dressed) - used to assess how regulations and other factors affect ex-vessel prices and gross revenues;
- g. Weight of each fish (if available) - used to estimate gross revenues and cross-check trade data;
- h. Price per kilogram - used to evaluate the status of the market and gross revenues;
- i. State/landing document # - cross check used for non-government validation;
- j. Tag number (if applicable) - cross checked with trade data for verification; and
- k. Destination of fish (import, domestic, export, re-export) - cross checks with trade data and customs data.

The fourth type of biweekly reporting covered by this collection includes reports to the NMFS Northeast Region (NER) for shark, swordfish and BAYS tuna landings data by dealers who do not possess other NER permits. This reporting occurs on a biweekly basis in the form of dealer-generated forms that provide the landing weight and covered highly migratory species. Landings reports for these species by dealers who possess other NER permits are covered under the collection 0648-0229.

Statistical Documents and Re-export Certificates

Original SDs accompany each export and must stay with a shipment until it reaches its final destination. If the shipment is re-exported, then a re-export certificate (RXC) may also be required. NMFS collects the documents and forwards the information to ICCAT or IATTC, which can then compare the data collected from all participating nations to cross-reference and verify trade and landings data. The program is designed to account for all trade of the covered species. Trade data may be cross-referenced with each nation's landings quotas to help identify illegal or unreported landings.

A SD is considered completed and approved for import, export, or re-export if a number assigned by the issuing government identifies it and has all of the required information recorded, and, if applicable, is validated (see below). U.S. SDs will be available from NMFS to accompany exports from the United States. A SD issued by the flag country of the harvesting vessel must accompany imports to the United States. If needed, foreign exporters may obtain unnumbered SDs from the appropriate website (www.iccat.int; www.iattc.org; www.ccsbt.org; www.iotc.org) to accompany exports to the United States; a document number must be assigned by the country issuing the SD. U.S. importers are required to complete the import section of the foreign SD. Sample SDs and RXCs are included in this submission.

The following information is required on all SDs and is used for tracking the product unless otherwise noted:

- (1) The document number assigned by the country issuing the document.
- (2) The name of the country issuing the document, which must be the country whose flag vessel harvested the fish, regardless of where it is first landed.
- (3) The name of the vessel that caught the fish, the vessel's length, the vessel's registration number, and ICCAT record number, if applicable.
- (4) The point of export, which is the city, state or province, and country from which the fish is first exported.

- (5) The product type (fresh or frozen), time of harvest (month/year), and product form (round, gilled and gutted, dressed, fillet, or other).
- (6) The method of fishing used to harvest the fish (e.g., purse seine, trap, rod and reel) - used to gather socio-economic data on fishery regarding catch per sector.
- (7) The ocean area from which the fish was harvested (i.e., western Atlantic, eastern Atlantic, Mediterranean, or Pacific).
- (8) The weight of each fish (in kilograms for the same product form previously specified) or the net weight of each product type, as applicable.
- (9) The name and license number of, and signature of the exporter and date in the exporter's certification block; and
- (10) The name and title of, and signature and date in the validation block by, a responsible government official of the country whose flag vessel caught the fish (regardless of where the fish are first landed) or by an official of an institution accredited by said government, with official government or accredited institution seal affixed, thus validating the information on the statistical document. (NOTE: Validation of an imported SD by a government official is not required if NMFS waives the requirement following a recommendation of the ICCAT Secretariat.)
- (11) If applicable, the name(s) and address(es), including the name of the city and state or province of import, and the name(s) of the intermediate country(ies) or the name of the country of final destination, and license number(s) of, and signature and date in the importer certification block by each intermediate dealer and final importer.

Bluefin Tuna Statistical Documents. Bluefin tuna statistical documents, to be deemed complete, in addition to the elements above must also state :

- (1) Whether the fish was farmed or captured.
- (2) Identifying information regarding the owner of the trap that caught the fish or the farm from which the fish was taken, if applicable.
- (3) The identifying tag number, if landed by vessels from countries with BSD tagging programs or tagged by a U.S. dealer under the Atlantic BFT tagging program.

Southern Bluefin Tuna Statistical Documents. Southern bluefin tuna statistical documents, to be deemed complete, in addition to the elements above, must also state:

- (1) The name and address of the processing establishment, if applicable.

Bigeye Tuna Statistical Documents. Bigeye tuna statistical documents, to be deemed complete, in addition to the elements above, must also state:

- (1) The name of the trap that caught the fish, if applicable.
- (2) The net weight of product for each product type (in kilograms for the same product form previously specified).

Swordfish Statistical Documents. Swordfish statistical documents, to be deemed complete, in addition to the elements above must state:

- (1) Certification by the exporter that the individual Atlantic swordfish included in the shipment are greater than 15 kilograms (33 lbs.) or if pieces, that the pieces were derived from a swordfish weighing more than 15 kilograms (33 lbs).

The following information is required on all RXCs and is used for tracking the product unless otherwise noted:

- (1) The document number assigned by the country issuing the document.
- (2) The name of the country issuing the document, which must be the country through which the product is being re-exported.
- (3) The point of re-export, which is the city, state, or province, and country from which the product was re-exported.
- (4) The description of the fish product as imported, including the product type (fresh or frozen), product form (round, gilled and gutted, dressed, fillet, or other), the net weight, flag country of the vessel that harvested the fish in the shipment, and the date of import to the country from which it is being re-exported.
- (5) The description of the fish product as re-exported, including the product type (fresh or frozen), product form (round, gilled and gutted, dressed, fillet, or other) and the net weight.
- (6) The name and license number (if applicable) of, and re-exporter's signature and date in the re-exporter's certification block.
- (7) If applicable, the name and title of, and be signed and dated in the validation block by, a responsible government official of the re-exporting country appearing on the certificate, or by an official of an institution accredited by said government, with official government or accredited institution seal affixed, thus validating the information on the re-export certificate.(NOTE: Validation of a RXC by a government official is not required if NMFS waives the requirement based on a recommendation from the ICCAT secretariat.)
- (8) If applicable, the name(s) and address(es), including the name of the city and state or province of import, and the name(s) of the intermediate country(ies) or the name of the country of final destination, and license number(s) of, intermediate and final exporters, signed and dated in the importer's certification block.

Bluefin Tuna Re-Export Certificates. Bluefin tuna re-export certificates, to be deemed complete, in addition to the elements described above must also state whether the fish for re-export was farmed, and the name and address of the farm, if applicable.

Validation - NMFS has worked with ICCAT to develop several alternative approaches with the intent of minimizing the public reporting burden for the government validation requirement. ICCAT/IATTC requires that a government institution at export validate SDs and RXCs. For example, in the United States, Atlantic BFT are tagged when landed, and the numbered tag stays with the carcass. This obviates the need for validation since the BFT data associated with the tag number must be provided to NMFS and can be tracked. In addition, NMFS has instituted a FAX-in validation service, which is available on a 24 hour/7 day per week basis. NMFS may also authorize non-governmental industry partners to validate SDs and RXCs once they have met the necessary requirements. The entity must apply for authorization in writing to NMFS, and indicate the procedures to be used for verification of information to be validated, list the names, addresses, and phone/fax numbers of individuals to perform validation, and provide an example of the stamp or seal to be applied to the statistical document or re-export certificate. Upon approval, NMFS will issue a letter specifying the duration of effectiveness and conditions of authority for validation. Authorization must be renewed annually.

As explained in the preceding paragraphs, the information gathered has utility. NMFS will retain control over the information and safeguard it from improper access, modification, and

destruction, consistent with NOAA standards for confidentiality, privacy, and electronic information. See response #10 of this Supporting Statement for more information on confidentiality and privacy. The information collection is designed to yield data that meet all applicable information quality guidelines. Although the information collected is not expected to be disseminated directly to the public, results may be used in scientific, management, technical or general informational publications. Should NMFS 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. 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.

Most reporting forms under this collection will be electronically fillable. The statistical documents and re-export certificates must be original documents. Bluefin tuna SDs are individually numbered, and NMFS does not yet have the ability to provide electronic access to pre-numbered forms. Electronic submissions for all forms are being investigated domestically. BFT daily landing reports are submitted and entered into the database via FAX, and some validation is provided via FAX. In addition, the United States is pursuing development of electronic trade monitoring programs among regional fishery management organizations. Future availability of electronic form submissions could reduce the overall cost and administrative burden to the public by providing an internet accessible web page where the forms can be filled out and submitted electronically. See also Item 4 below.

4. Describe efforts to identify duplication.

The impacts of the reporting requirements were analyzed prior to implementation through rulemaking processes including public review. In addition, a Federal Register notice announced the renewal of this reporting package. No duplicative efforts were identified. The Highly Migratory Species Management Division of NMFS works closely with other NMFS offices on reporting and permitting issues, and ensures that reporting regulations are not duplicative. Although daily landing reports, biweekly report forms, and SDs may include some of the same data fields, this information is necessary to cross reference and cross check reports. NMFS has attempted to combine SDs with other reporting requirements into a single form in the past; however, ICCAT did not approve the use of forms other than those developed specifically by ICCAT. NMFS has been able to combine several non-ICCAT reporting requirements to reduce the number of forms dealers must fill out (i.e., HMS Trade Biweekly Dealer Report covers all affected species). In addition, the United States is participating in discussions among many regional fishery management organizations (most recently in a January 2007 meeting in Kobe, Japan) to determine ways of using technology to reduce paperwork and improve the efficacy of trade monitoring programs.

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

Small businesses will be the respondents of this data collection and this collection will not have a significant impact on them. As described in Item 4, reporting requirements have been

condensed as much as possible. In addition, electronic reporting will be implemented as soon as practicable as discussed in Items 3 and 4.

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

Atlantic BFT Landing Reports and Tagging - If reporting were conducted less frequently or not conducted at all, the United States could overharvest its internationally approved BFT quota, and would fall out of compliance with its international obligations under ICCAT, in violation of ATCA. In addition, the status of the resource would be indeterminable since approximately 55 percent of the western Atlantic BFT Total Allowable Catch is allocated for landing by U.S. fishermen, and the conservation and management objectives of ATCA and ICCAT would be jeopardized. Furthermore, it would be impossible for the United States to formulate domestic policy consistent with the Magnuson-Stevens Act, which is based on sound socio-economic and biological data and analyses.

Biweekly Reports - A two-week time period has provided a reasonable reporting regime for dealers without significantly delaying quota monitoring for species such as sharks and swordfish. If reporting were less frequent (e.g., monthly), timely quota monitoring could be compromised. Inefficient quota monitoring or altogether loss of monitoring could result in over-harvest of the ICCAT-recommended U.S. swordfish or BFT quota, which would violate obligations under ICCAT and ATCA. Over-harvest of HMS quotas (including sharks) could negatively impact stocks and the fishing industry, and violate the Magnuson-Stevens Act. Lastly, this information is necessary for the development of domestic policy, since it provides socio-economic and biological data upon which policy decisions are based.

Statistical Documents and Re-export Certificates - If this information collection were not conducted, the United States would fall into a status of non-compliance with its international obligations under ICCAT and IATTC, in violation of ATCA and TCA, respectively.

Without the authorization of non-government validation, NMFS would be required to individually validate each export and re-export, which would impose a greater reporting burden on industry. If authorization were not renewed annually, in the same manner that dealer and vessel permits are annually renewed, NMFS would not be able to effectively monitor implementation of the trade program.

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

The frequency with which data are collected in this package is inconsistent with Office of Management and Budget (OMB) guidelines that state; Ado not require respondents to report information more often than quarterly. To accurately monitor the domestic quota allocation among a diverse group of users, BFT landings data must be collected on a real-time basis. Furthermore, biweekly reports are necessary to manage other quotas, including sharks, swordfish, and king mackerel. Failure to maintain the current reporting frequency could jeopardize the agency's ability to close fisheries prior to exceeding a quota. (See Item 6 also regarding reporting frequency).

Consistent with the last renewal of OMB approval for the BFT SD forms (OMB Control No.:0648-0040), it is requested that the burden statement, expiration date, and OMB Control Number not appear on any SD or RXC form, but be provided in a cover letter to U.S. tuna dealers and importers. An example cover letter is included in this submission. The reason for this request stems from concerns expressed by other ICCAT members that U.S. SDs not differ from the format agreed to at the conference of parties. Due to the confusion the Paperwork Reduction Act (PRA) information presents to foreign dealers and customs officials, in the last renewal package for this collection, NMFS proposed to provide this information in a cover letter so that the form would match the generic form adopted by ICCAT. In addition, SDs and RXCs for SWO, BET and SBT are available to dealers either from NMFS or from the internet websites of the different international commissions (ICCAT, IATTC, CCSBT, Indian Ocean Tuna Commission (IOTC)). NMFS wants dealers to be able to access the forms directly from these websites. Since all U.S. dealers will be required to have an international trade permit in order to import and/or export species requiring SDs, NMFS will be able to ensure that each dealer receives the cover letter. This will meet NMFS obligations under the PRA while reducing the likelihood of delays/problems in clearing customs in countries that are contracting parties to ICCAT.

NMFS already has a process in place for BFT SDs whereby individually numbered SDs are allocated to each dealer. The OMB number is printed on each form, and the rest of the PRA information is included in a cover letter.

The BFT daily landing report is part of an optical character recognition (OCR) system, which reads data from a hard copy and puts it in electronic format. Any text in addition to that required for data fields would compromise the OCR system. However, these landing reports are distributed in a booklet form, and the booklet cover includes all the necessary PRA statements, including the OMB approval number and expiration date.

8. Provide a copy of 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 solicited public comment on this collection. No public comments were received in response to this notice.

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

No payments or gifts are to be offered as part of this information collection.

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

Pursuant to Section 402(b) of the Magnuson-Stevens Act, as amended in 2007, and consistent with NOAA Administrative Order 216-100 (Confidentiality of Fisheries Statistics), the Agency does not release confidential information submitted in compliance with provisions of the Act, other than in aggregate form and under circumstances required or authorized by law. Whenever data are requested or released to the general public, the Agency ensures that information on the pecuniary business activity of a dealer is not identified.

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

No information of a sensitive nature is requested in this collection of information.

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

Burden hours associated with each reporting instrument are given in Table 1 and estimation of burden hours is discussed below by reporting requirement. All reports covered by this collection are required to be kept by the dealer for a period of 2 years. The burden hour estimate for each report includes the time required for filing and storing reports.

Table 1. Burden estimates for each dealer reporting instrument employed by this collection.

| Reporting Requirement | Burden |
|--|---------------------|
| Biweekly Reports | 0.25 hr. (15 mins.) |
| Daily Landing Report | 0.03 hr. (2 mins.) |
| Tagging (for BFT domestic landing reporting) | 0.02 hr. (1 min.) |
| Statistical Document (SD) or Re-export Certificate (RXC) (includes all steps from export to import) | 0.08 hr. (5 mins.) |
| SD/RXC validation by govt. official | 0.25 hr. (15 mins.) |
| Authorization for non-government validation | 2 hrs. (120 mins.) |

The universe of respondents for this collection is identified in Table 2, and includes the following: all U.S. dealers importing or exporting BFT, frozen BET, SWO, or SBT, (HMS International Trade Permit holders), U.S. dealers located in the SER that land SWO, BAYS tuna, or sharks, and dealers that land these species located in the NER that do not have any other NER permits, all dealers landing BFT, and non-government institutions requesting validation authorization. Finally, an estimated number of international dealers is given since burden hours must be calculated for international respondents as well as domestic respondents. Foreign dealers impacted by this collection include exporters that must fill out statistical documents & obtain validation prior to exporting a shipment to the United States. The number of foreign respondents was calculated by identifying the number of countries exporting BET (40), BFT,

(20), SBT (4) or SWO (29) to the United States, and assuming that there were approximately 10 active exporters per country.

Table 2. Estimate of total number of respondents for this collection

| Respondent Type | Number |
|--|---------------|
| HMS International Trade Permits | 141 |
| International Dealers | 930 |
| Shark or Swordfish Permits | 278 |
| ¹ Tuna Permits (BFT, BAYS or both), includes: SER BAYS dealers NER BAYS dealers w/o other NER permits | 392 |
| Non-government Institutions for Validation | 10 |
| TOTAL | 1,751 |

Atlantic BFT Landing Reports and Tagging

Atlantic BFT daily landing reports are submitted to NMFS for each Atlantic BFT purchased by a dealer from a vessel, and each of these fish must be tagged. The burden associated with these reporting activities is based on the number of BFT landed during a previous year of relatively high landings and summarized in Table 3.

Table 3. Biweekly and other dealer reporting activities for this collection.

¹ The permit is actually for “Atlantic Tunas” and the dealer may specify whether they plan to handle bluefin, BAYS, or both. However, regardless of what they choose to indicate, they are allowed to handle both types of tuna.

| Instrument or Activity | Respondents (see Table 2) | Responses | Burden (hrs.) per response | Burden (hrs) |
|--|--------------------------------------|------------------|---------------------------------------|-------------------------|
| Domestic BFT Landings | | | | |
| Atlantic BFT Daily Landing Report | 392 | 6,083 | .03 (2 min.) | 182 |
| Atlantic BFT Landing tag | 392 | 6,083 | .02 (1 min.) | 122 |
| Biweekly Reports | | | | |
| Bluefin Tuna Domestic Landing Biweekly Report | 392 | 683 | .25 (15 mins.) | 171 |
| HMS Trade Biweekly Dealer Report | 141 | 3,384 | .25 (15 mins.) | 846 |
| HMS biweekly landings report for sharks, swordfish & BAYS tuna | 392 (278+104+10) | 4,233 | .25 (15 mins.) | 1,058 |
| HMS biweekly negative reporting | 392 (278+104+10) | 5,174 | .05 (3 mins.) | 259 |
| Validation Authorization | | | | |
| Non-governmental validation authorization | 10 | 10 | 2 | 20 |
| TOTAL | N/A | 25,650 | | 2,658 |

Biweekly Reports and Non-governmental Validation

Estimation of biweekly reporting for Atlantic BFT dealers is based on reporting during a previous year of relatively high landings, and included in Table 3. Biweekly reporting for swordfish and shark permit holders, and Atlantic Tunas dealer permit holders landing BAYS tuna, as well as negative reporting that is required when permitted dealers do not receive landings of these species during a reporting period, is estimated in Table 3. (These permit holders also report landings of coastal pelagics such as king mackerel on these biweekly reports). Estimates were derived by multiplying the total number of respondents (278 + 104 + 10)(Table 2) by the number of reporting periods (24), and applying a percent allocation based on previous years' reporting of 55% negative reporting and 45% landings reports.

The international trade biweekly reporting requirements for this collection occur on the HMS Trade Biweekly Dealer Report. Estimation of burden hours associated with this form was calculated by multiplying the number of dealers that must report (141) by the number of reporting periods (24) in Table 3.

Non-government institutions may apply for authorization to validate statistical documents or re-export certificates by applying in writing, indicating the procedures to be used for verification of information to be validated, the names and contact information of individuals that will perform the validation, and an example of the stamp or seal applied to the statistical document or re-export certificate. Authorizations must be renewed on an annual basis. In the past, one

institution has been provided with validation authority for Pacific BFT. With the increase in need for validation based on the recent expansion of SD programs, it is estimated that approximately 9 other institutions may apply for this authority for a total of 10. Preparing the necessary application is expected to take approximately 2 hours. Total burden hours are given in Table 3.

Total reporting burden for Atlantic BFT domestic reporting, all biweeklies, and non-governmental authorization for statistical document validation is estimated at **2,658 hours** with an estimated labor cost of \$15/hour. This results in an approximate cost of **\$39,870**.

Statistical Documents and Re-export Certificates

Burden estimates for SDs, RXCs, and validation are calculated in Table 4. The annual number of shipments by species for frozen BET, SBT, and SWO for each trade activity (import/export/re-export) was estimated based on data obtained from Customs Service and Census databases. Customs data track total imports, and provide the total annual weight and number of shipments for each species. This information was used to calculate the average weight of each shipment. Total weight for imports, exports, and re-exports by species is available in the Census database, (which is generally considered to be more accurate than the customs database). By dividing the total weight (Census data) by weight per shipment (Customs data) the total number of shipments per species was estimated and is given in Table 4. BFT statistical document program data from 2005 was used for calculating BFT burden estimates in Table 4.

ICCAT requires that exports (including some re-exports) associated with its SD programs are validated. This validation requirement is implemented by either tagging each fish in a shipment and maintaining the necessary records, or obtaining verification from a government official or their designee. The tagging option is currently available for Atlantic and Pacific BFT. (Atlantic BFT is tagged upon landing (see above)). A FAX-in system is available for all other validation, whereby a dealer faxes a complete document to a NMFS contractor, and the document is returned to the dealer with the necessary validation stamp in place and a document number.

The total burden associated with statistical documents, re-export certificates and validation is **3,490 hours**. Using \$15/hour as the labor cost, the reporting cost is estimated at **\$52,350**.

Table 4. International dealer trade reporting burden estimates for bigeye tuna (BET), bluefin tuna (BFT), southern bluefin tuna (SBT) and swordfish (SWO) statistical documents (SD), re-export certificates (RXC), and

shipment certification. Estimates are given by species for imports (I), exports (E) and re-exports (R)) and by coast (Atlantic - A, Pacific - P) for bluefin tuna.

| Activity | # of SDs or RXCs (based on # of shpmts for 2005) (Respondents: 1071 = 141 HMS International Trade Permittees +930 International Dealers) | SD/RXC Response Burden (Responses x 5 mins./08 hr. per form) | Validation Burden (Responses x 15 mins./25 hr. per shipment) | | TOTAL HOURS |
|-------------------------------|--|---|--|--|--------------|
| | | | Domestic Respondents (HMS International Trade Permittees) = 141) | Foreign Respondents (International Dealers) = 930) | |
| BET (frozen) | | | | | |
| I | 947 | 76 | | 237 | 313 |
| E | 31 | 2 | 8 | | 10 |
| R | 0 | 0 | 0 | | 0 |
| BFT (Atlantic/Pacific) | | | | | |
| I (A) | 1,520 | 122 | | 380 | 502 |
| E (A) | 1,580 | 126 | N/A ¹ | | 126 |
| R (A) | 67 | 5 | 17 | | 22 |
| I (P) | 269 | 22 | | 67 | 89 |
| E (P) | 3 | 15 mins. | 45 mins. | | 1 |
| R (P) | 236 | 19 | 59 | | 78 |
| SBT | | | | | |
| I | 83 | 7 | | 21 | 28 |
| R | 0 | 0 | 0 | | 0 |
| E | 2 | 15 mins. | 30 mins. | | 1 |
| SWO | | | | | |
| I | 7,030 | 562 | | 1,758 | 2,320 |
| E | 0 | 0 | 0 | | 0 |
| R | 0 | 0 | 0 | | 0 |
| TOTAL | 11,768 | 942 | 85 | 2463 | 3,490 |

NOTE: Domestically landed BFT are required to be tagged, which is used for certification of exports. Burden hours are calculated under the domestic portion of this collection (Table 3).

Summary of Responses

The total number of responses and burden hours from each of the previous subsections is given in Table 5.

Table 5. Summary of responses and burden hours. Totals are also included in Table 7 Program Adjustments.

| Activity | # of Responses | Burden Hours |
|---|----------------|--------------|
| Atlantic BFT Landing Reports & Tagging AND Biweekly Reports and Non-government Validation (totals from Table 3) | 25,650 | 2,658 |
| Statistical Documents and Re-export Certificates (totals from Table 4) | 11,768 | 3,490 |
| Totals | 37,418 | 6,148 |

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).

Costs for the public as a result of this collection include the cost of submitting reports to NMFS via either U.S. mail or FAX. Forms and tags are provided free of charge. Mailing costs are estimated in Table 6. In addition, non-government institutions approved for validating exports would spend approximately \$10 for a validation stamp and total costs are estimated in Table 6.

Table 6. Costs to the public as a result of this collection, not including those associated with burden hours.

| Reporting Instrument | Number of Responses | Submission | | Total Cost (\$) |
|--|---------------------|------------|--------------------|-----------------|
| | | Method | Cost per Item (\$) | |
| Atlantic BFT Daily Landing Report | 6,083 | FAX | 0.15 | 912 |
| Atlantic BFT Landing Biweekly Report | 683 | mail | 0.41 | 280 |
| Atlantic BFT Landing Tag | 6,083 | N/A | N/A | N/A |
| HMS biweekly landings report | 4,233 | mail | N/A | N/A |
| HMS biweekly negative reporting | 5,174 | mail | N/A | N/A |
| HMS Trade Biweekly Dealer Report | 3,384 | mail | 0.41 | 1,387 |
| SDs & RXCs | 11,768 | mail | 0.41 | 4,825 |
| Non-governmental validation auth. (Total cost includes \$10/dealer for valid. stamp) | 10 | mail | 0.41 | 4 |
| Totals | 37,418 | | | \$7,408 |

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

Costs to the Federal government for this collection include the reproduction of documents and tags, and contracted validation services. For domestic reporting, daily landing reports, tags, and biweeklies must be reproduced. Landing report books cost approximately \$5.06/book and approximately 392 (number of dealers with Atlantic tuna permits) will be needed for a total of **\$1,984**. Tags cost approximately \$0.075 cents per tag and approximately 6,083 will be needed for a total of **\$456**. Biweeklies cost approximately \$.05 per copy and approximately 8,300 will be needed for a total of **\$415**. SER provides postage-paid envelopes to dealers reporting on the HMS biweekly landings report, costing approximately \$1/response for a total of **\$9407**.

For international reporting, SDs and RXCs must be reproduced. At a cost of approximately \$.13 per copy and a total number of approximately 11,768, the total cost would be approximately **\$1,530**. The average cost of validation services is \$300 per month or approximately **\$3600** per year.

Total cost to the Federal government for the items listed above is **\$17,392**.

15. Explain the reasons for any program changes or adjustments reported in Items 13 or 14 of the OMB 83-I.

Program Adjustments accounted for all of the modified reporting and cost burden estimates, which are given in Table 7. The number of respondents has decreased because better estimates are available for International Trade permits (ITPs) since program implementation in 2005. Though based on the best information available, the number of ITP holders was overestimated in the previous renewal. In addition, the number of tuna permit holders decreased in 2005 as compared to figures used in the previous version due to the annual variability of permit holders. The number of shark or swordfish permit holders was used in the current collection package rather than the additive number of shark and swordfish permit holders to avoid double-counting.

The number of responses fell in this renewal package because of the direct correlation between the number of respondents and number of responses for certain reporting forms such as biweekly reports. In addition, landings and trade may vary from one year to the next. The reporting burden has fallen for these reasons and because of the new fax-in validation service which is more time efficient (15 minutes compared to 2 hours in previous collection) than the previous method. Response times for biweekly reports were re-evaluated and found to be consistent in this collection at 15 minutes.

The total annual costs for this renewal are adjusted down by \$11,000 due to the reduction in number of responses, and the recently begun use of postage-paid envelopes by the SER under this renewal. The net cost reduction was actually \$10,592, due to the postage increase).

Table 7. Program Adjustments

| Adjustment Category | Previous | Current | Adjustment |
|------------------------|----------|---------|------------|
| Number of Respondents | 2,044 | 1,751 | -293 |
| Number of Responses | 56,473 | 37,418 | -19,055 |
| Number of Burden Hours | 44,893 | 6,148 | -38,745 |
| Total Annual Costs | \$18,000 | \$7,408 | -\$10,592 |

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

Results from data collection using the forms in this family are not planned for publication.

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.

See Item 7 regarding a request not to display the expiration date for OMB approval on statistical documents, re-export certificates, or the BFT daily landing report. The expiration date will be displayed on other forms.

18. Explain each exception to the certification statement identified in Item 19 of the OMB 83-I.

There are no exceptions to the certification statement identified in Item 19 of the OMB 83-I.

B. COLLECTIONS OF INFORMATION EMPLOYING STATISTICAL METHODS

This information collection does not employ statistical methods such as sampling.