

**SUPPORTING STATEMENT  
ALASKA ROCKFISH PILOT PROGRAM  
OMB CONTROL NO. 0648-0545**

**INTRODUCTION**

National Marine Fisheries Service (NMFS) manages the groundfish fisheries in the exclusive economic zone (EEZ) off the coast of Alaska under the Fishery Management Plan for Groundfish of the Bering Sea and Aleutian Islands Management Area, the Fishery Management Plan for Groundfish of the Gulf of Alaska, and the Northern Pacific Halibut Act of 1982. The Fishery Management Plan (FMP)s were prepared by the North Pacific Fishery Management Council (Council) under the Magnuson-Stevens Fishery Conservation and Management Act as amended in 2006. Regulations implementing these procedures are located at 50 CFR part 679.

In Section 802 of the Consolidated Appropriations Act of 2004 (Pub. L. 108–199; Section 802), the United States (U.S.) Congress directed the Secretary of Commerce to establish, in consultation with the Council, a pilot program for management of the rockfish fisheries in the Central Gulf of Alaska (CGOA). Following this directive, in 2005 the Council adopted a share-based management program. The Rockfish Pilot Program (Program) under which the total allowable catch is apportioned as exclusive shares to cooperatives based on the catch history of the members of those cooperatives. The Program provides exclusive harvesting and processing privileges for a specific set of rockfish species, associated species, and Pacific halibut harvested incidentally to those CGOA rockfish in an area from 140° W. long. to 168° W. long. The Program was originally established as a two-year program, but was extended to a five-year program. The current termination date for the Program is December 31, 2011.

This action is a request for renewal of an existing collection.

**A. JUSTIFICATION**

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

The Program was developed by trawl industry representatives, primarily from Kodiak, Alaska, in conjunction with catcher/processor representatives who sought to improve the economic efficiency of the CGOA rockfish fisheries by developing a program that would establish cooperatives to receive exclusive harvest privileges. The Program was designed to create a slower-paced fishery. This would allow the harvester to choose when to fish and therefore avoid poor weather. The Program would also provide greater stability for processors by spreading out production over a greater period of time.

**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 Program allocation is divided between the catcher vessel sector and the catcher/ processor sector, based on historic catches of the participants in the respective sectors. Participants in each

sector can either fish as part of a cooperative or in a competitive, limited access fishery or may opt-out of the fishery. Fifteen catcher/processors and 47 catcher vessels qualified for the Program. Any eligible catcher/processor may form a cooperative with any other eligible catcher/processor. Eligible catcher vessels may form cooperatives in association with one of the five inshore processors.

NMFS deducts an incidental catch allowance for non-rockfish species to support directed fisheries of each target rockfish species prior to the allocations under the Program. These species are collectively referred to as “secondary species”. Target rockfish and secondary species are subject to a full retention requirement to minimize discards.

The Program regulates the formation of cooperatives and the use of the annual catch amount by the cooperative. In addition to the requirements to join a cooperative, an eligible rockfish harvester or eligible rockfish processor must meet specific requirements that differ between the catcher vessel sector and the catcher/processor sector.

Before fishing begins in January of each year, NMFS requires eligible rockfish harvesters to file an application to participate in a CGOA Rockfish limited access fishery or to opt-out of the fishery. This declaration helps NMFS decide how to monitor harvests, and whether there is sufficient catch available in a limited access fishery to allow NMFS to open the fishery without risk of exceeding the available catch. These declarations are due by September 1 of the year before fishing. These applications apply for one year.

Application forms are available through the Internet on the NMFS Alaska Region Web site at <http://www.alaskafisheries.noaa.gov>, or by contacting NMFS at (800) 304-4846, Option 2.

#### **a. Application for Rockfish Cooperative Fishing Quota (CQ)**

The Program regulates the formation of cooperatives and the use of the annual catch amount by the cooperative. A cooperative must manage and monitor members’ catch of target rockfish, allocated secondary species, and Pacific halibut prohibited species catch (PSC), to ensure that it is able to fully harvest but not overharvest its allocations.

The cooperative must form an association with the processor to which it delivered the most rockfish to historically. These cooperative/processor associations are intended to ensure that a cooperative lands a substantial portion of its catch with its members’ historic processor. The exact terms of the association are subject to negotiation and are confidential to the parties, but since the cooperative agreement requires the approval of the associated processor, it is likely that these agreements contain terms defining cooperative landings requirements.

A CQ permit is issued annually to a rockfish cooperative if the members of that rockfish cooperative have submitted a complete and timely application for CQ as described at § 679.81(e)(4) that is subsequently approved by the Regional Administrator. A CQ permit authorizes a rockfish cooperative to participate in the Rockfish Program. The CQ permit will indicate the amount of primary rockfish species and secondary species that may be harvested by the rockfish cooperative, and the amount of rockfish halibut PSC that may be used by the rockfish cooperative. The CQ permit will list the members of the rockfish cooperative, the

vessels that are authorized to fish under the CQ permit for that rockfish cooperative, and the eligible rockfish processor with whom that rockfish cooperative is associated, if applicable.

A CQ permit is valid under the following circumstances:

- ◆ Until the end of the year for which the CQ permit is issued;
- ◆ Until the amount harvested is equal to the amount specified on the CQ permit for all primary rockfish species, secondary species, and rockfish halibut PSC;
- ◆ Until the permit is modified by transfers;
- ◆ Until the permit is voided through an approved rockfish cooperative termination of fishing declaration; or
- ◆ Until the permit is revoked, suspended, or modified.

An application may be submitted by mail or fax. A copy of all applications must be retained, regardless of submittal method.

**Application for Rockfish Cooperative Fishing Quota (CQ)**

**Block A – Rockfish Cooperative Identification (ID)**

Legal name  
Type of business entity under which cooperative is organized  
State in which legally registered as a business entity  
Date of incorporation  
Name of authorized representative  
Permanent business address, including P.O. Box or street address, city, state, and zip code  
Business telephone number and fax number, including area code  
Business e-mail address

**Block B – Members of the Rockfish Cooperative**

License Limitation Program (LLP) holder and ownership documentation  
Full name and NMFS Person ID  
LLP license number(s)  
Names of all persons, to the individual level, holding an ownership interest in the LLP license assigned to the cooperative  
Percent of ownership each person and individual holds in the LLP license

**Block C – Identification of Rockfish Cooperative Member Vessels**

Vessel name, Alaska Department of Fish and Game (ADF&G) vessel registration number, and United States Coast Guard (USCG) documentation number

**Block D – Processor Associates of the Rockfish Cooperative**

Processor name and NMFS person ID  
**Shoreside Processing Facility:** Facility name, ADF&G processor code, and Federal Processor Permit (FPP) number  
**Stationary floating processor:** Vessel name, ADF&G vessel registration number, USCG documentation number, ADF&G processor code, and FPP number  
**Processor ownership documentation:**  
Names of all persons, to the individual level, holding an ownership interest in the processor  
Percentage ownership each person and individual holds in the processor.

**Block E – Certification of cooperative authorized representative**

Printed name and signature of authorized representative and date signed

**Attachments**

A copy of the business license issued by the state in which the Cooperative is registered as a business entity;

- A copy of the articles of incorporation or partnership agreement of the Rockfish Cooperative
- A copy of the membership agreement signed by the members of the rockfish cooperative (if different from the articles of incorporation or partnership agreement of the rockfish cooperative)
- Any article of incorporation or agreement submitted by the Rockfish Cooperative must include terms that specify that:
  - Eligible processor affiliated harvesters do not participate in price setting negotiations except as permitted by general antitrust law; and
  - The Rockfish Cooperative has established a monitoring program sufficient to ensure compliance with the Rockfish Program.

The number of cooperatives applying for CQ decreased from 20 to 6, based on actual count of cooperatives. This count has remained constant for the last three years. The number of pages is increased to 12, due to attachments that were not counted before.

<b>Application for Rockfish Cooperative CQ, Respondent</b>	
<b>Number of respondents</b>	<b>6</b>
<b>Total annual responses</b> (1 response per respondent)	<b>6</b>
<b>Total burden hours</b>	<b>12</b>
Time per response = 2 hr	
<b>Total personnel cost</b> (\$25 x 12)	<b>300</b>
<b>Total miscellaneous costs</b> (220.38)	<b>220</b>
Postage cost (0.86 x 3 = 2.58)	
Photocopy cost (0.05 x 12 pages x 3 = 1.80)	
Fax cost (\$6 x 12 pages x 3 = 216)	

<b>Application for Rockfish Cooperative CQ, Federal Government</b>	
<b>Total responses</b>	<b>6</b>
<b>Total burden hours</b> (0.5 x 6 = 3)	<b>3</b>
Time per response = 30 min	
<b>Total personnel cost</b> (\$25 x 3)	<b>75</b>
<b>Total miscellaneous cost</b>	<b>0</b>

**b. Application for rockfish limited access fishery**

An eligible rockfish harvester or eligible rockfish processor may fish in the limited access fishery if that person chooses not to, or cannot, participate in a cooperative or the opt-out fishery. This application must be submitted annually and received by NMFS no later than 1700 hours, Alaska Standard Time (AKST), on **March 1** of the year for which the applicant wishes to participate in a Rockfish limited access fishery, or if sent by U.S. mail, the application must be postmarked by that time.

An application may be submitted by mail or fax. A copy of all applications must be retained, regardless of submittal method.

**Application for rockfish limited access fishery**

Block A -- Applicant information

- Applicant's name and NMFS person ID
- Permanent business mailing address, including P.O. Box or street address, city, state, and zip code
- Business telephone number and fax number, including area code
- Business e-mail address
- Indicate if the applicant is a U.S. citizen; if YES, enter date of birth
- Indicate if the applicant is a U.S. corporation, partnership, association, or other non-individual business entity; if YES, provide date of incorporation.

Whether the applicant is an eligible Rockfish Harvester

Whether the applicant is participating in the Limited Access Fishery.

**Block B -- Vessel identification**

Vessel name

ADF&G vessel registration number, USCG documentation number, and LLP license number(s) held by the applicant and used on that vessel.

**Block C – LLP Holdership documentation.**

Names of all persons, to the individual level, holding an ownership interest in the LLP license

Percentage ownership each person and individual holds in the LLP license.

If a listed owner is not an individual, provide the same information for each such owner until all owners, and their percent of ownership, is revealed to the individual level

**Block D -- Applicant certification**

Signature of applicant and date signed

Printed name of applicant; if submitted by a representative, attach authorization.

In 2007, there were 4 catcher/processors and 3 catcher vessels; in 2008 7 catcher/processors and 2 catcher vessels; in 2009 7 catcher/processors and 2 catcher vessels.

<b>Application for Rockfish Limited Access Fishery, Respondent</b>	
<b>Number of respondents</b>	<b>9</b>
Catcher/processor LLPs = 7	
Catcher vessel LLPs = 2	
<b>Total annual responses</b>	<b>9</b>
<b>Total annual time burden hours</b>	<b>18</b>
Time per response = 2 hr	
<b>Total personnel cost</b> (18 x \$25)	<b>\$450</b>
<b>Total miscellaneous cost</b> (51.05)	<b>\$51</b>
Postage cost (0.43 x 5 = 2.15)	
Photocopy cost (0.05 x 2 pages x 9 = 0.90 )	
Fax cost (\$6 x 2 pages x 4 = 48)	

<b>Application for Rockfish Limited Access Fishery, Federal Government</b>	
<b>Total annual responses</b>	<b>9</b>
<b>Total annual time burden hours</b> (4.5)	<b>5</b>
Time per response = 30 min	
<b>Total personnel cost</b> (5 x \$25)	<b>125</b>
<b>Total miscellaneous cost</b>	<b>0</b>

**c. Application for Entry-Level Rockfish Fishery**

An entry-level fishery is available for all persons who are not eligible rockfish harvesters or processors. This fishery is intended to provide opportunities for harvesters and processors who have not traditionally participated in the CGOA rockfish fisheries.

A person is eligible to participate in the Rockfish Program as an eligible Entry-Level Fishery Harvester if that person:

- ◆ Holds a permanent fully transferable LLP license endorsed for CGOA groundfish at the time of Application for the Entry-Level Fishery;
- ◆ Submits a timely Application for the Entry-Level Fishery that is approved by NMFS; This application must be submitted annually and received by NMFS no later than 1700

hours AKST, on **March 1** of the year for which the applicant wishes to participate in an entry-level rockfish fishery, or if sent by U.S. mail, the application must be postmarked by that time; and

- ◆ Is not an Eligible Rockfish Harvester or Processor.

An application may be submitted by mail or fax. A copy of all applications must be retained, regardless of submittal method.

**Application for Entry-Level Rockfish Fishery**

Block A -- Applicant Information

- Name and NMFS person ID
- Permanent business mailing address
- Business telephone number, fax number, and e-mail address (if available);
- Indicate whether applicant is a U.S. citizen; if YES, enter date of birth
- Indicate whether applicant is a U.S. corporation, partnership, association, or other non-individual business entity; if YES, enter the date of incorporation.

Block B -- Vessel Information

- Vessel name
- ADF&G vessel registration number and USCG documentation number of the vessel
- LLP license number(s) held by the applicant and used on that vessel.

Block C -- Attachments

- Attach a statement from an eligible entry level processor that affirms that the processor has a market for any rockfish delivered by that harvester in the entry-level fishery.

Block D -- Applicant certification

- Signature of applicant and date signed
- Printed name of applicant (or authorized representative); if representative, attach authorization.

The original analysis was based on the number of potential vessels that could apply for the rockfish entry-level fisheries. However, NMFS has registered only five participants each year since the Program began. Because it is possible that more persons could participate, the number of participants used in this analysis is 10.

<b>Application for Entry-Level Rockfish Fishery, Respondent</b>	
<b>Number of respondents</b>	<b>10</b>
<b>Total annual responses</b>	<b>10</b>
<b>Total annual time burden hours</b>	<b>20</b>
Time per response = 2 hr	
<b>Total personnel cost</b> to all applicants (20 x \$25)	<b>\$500</b>
<b>Total miscellaneous cost</b> (63.15)	<b>\$63</b>
Postage cost (0.43 x 5 = 2.15)	
Photocopy cost (0.05 x 2 pages x 10 = 1.00)	
Fax cost (\$6 x 2 pages x 5 = 60)	

<b>Application for Entry-Level Rockfish Fishery, Federal Government</b>	
<b>Total responses</b>	<b>10</b>
<b>Total burden hours</b> (10 x 0.5)	<b>5</b>
Time per response = 30 min	
<b>Total personnel cost</b> (5 x \$25)	<b>\$125</b>
<b>Total miscellaneous cost</b>	<b>0</b>

**d. Application to Opt-out of Rockfish Fishery**

An eligible rockfish harvester that holds an LLP license with a catch history allocation in the catcher/processor sector may choose to opt-out of many of the Program restrictions. When a participant ‘opts-out,’ any allocation that would have been made to a cooperative, based on the history of the participant, is redistributed to other participants in the sector.

If an eligible catcher/processor assigns an LLP license to the opt-out fishery, then that LLP license may not be used on a vessel that is participating in a cooperative, limited access fishery, or the entry level fishery.

An application may be submitted by mail or fax. A copy of all applications must be retained, regardless of submittal method.

**Application to Opt-out of Rockfish Fishery**

**Block A -- Applicant information**

- Name and NMFS person ID
- Permanent business mailing address
- Business telephone number, fax number, and e-mail address (if available)
- Indicate whether applicant is a U.S. citizen; If YES, enter date of birth
- Indicate whether applicant is a U.S. corporation, partnership, association, or other non-individual business entity; if YES, enter the date of incorporation;
- Indicate whether the applicant is an Eligible Rockfish Harvester
- Indicate whether the applicant is opting-out of the Rockfish Pilot Program
- Indicate whether the applicant holds an LLP with rockfish quota share (QS) assigned to the catcher/processor sector.

**Block B -- Vessel information**

- Name, ADF&G vessel registration number, and USCG documentation number of the vessel
- LLP license number(s) held by the applicant and used on that vessel.

**Block C – LLP Holdership documentation**

- Names of all persons, to the individual level, holding an ownership interest in the LLP license
- Percentage ownership each person and individual holds in the LLP license.

**Block D -- Applicant certification**

- Signature of applicant and date
- Printed name of applicant (or authorized representative); if representative, attach authorization...

The number of catcher/processors in the opt-out fishery was seven in 2007; and three in 2008 and 2009. The number used in this analysis is three.

<b>Application to Opt-out of Rockfish Fishery, Respondent</b>	
<b>Number of respondents</b>	<b>3</b>
<b>Total annual responses</b>	<b>3</b>
<b>Total annual time burden hours</b>	<b>6</b>
Timer per response = 2 hr	
<b>Total personnel cost to all applicants (6 x \$25)</b>	<b>\$150</b>
<b>Total miscellaneous cost (24.73)</b>	<b>\$25</b>
Postage cost (0.43 x 1 = 0.43)	
Photocopy cost (0.05 x 2 pages x 3 = 0.30)	
FAX cost (\$6 x 2 pages x 2 = 24)	

<b>Application to Opt-out of Rockfish Fishery, Federal Government</b>	
<b>Total responses</b>	<b>3</b>
<b>Total burden hours</b>	<b>2</b>
Time per response = 30 min	
<b>Total personnel cost (\$25 x 2)</b>	<b>\$50</b>
<b>Total miscellaneous cost</b>	<b>0</b>

**e. Application for Inter-Cooperative Transfer of CQ**

Once NMFS issues an annual catch amount to a cooperative, it may be fished by members of the cooperative or transferred to another cooperative. The transfer of an annual catch amount is valid only during the calendar year of the transfer.

A rockfish cooperative may transfer all or part of its CQ to another rockfish cooperative. In order for an inter-cooperative transfer to be approved, both parties must be already established and recognized by NMFS as a cooperative prior to the transfer. A large portion of the catcher/processor cooperative allocations was transferred to catcher vessel cooperatives in the first year. Under the Program, catcher/processor cooperatives are not permitted to *receive* quota transfers from catcher vessels cooperatives. This “one-way door” is intended to protect interests of shore plants and communities, in the event that catcher/processor production efficiencies exceed those of the shore-based sector. Under these rules, approximately half of the primary rockfish allocation to catcher/processor cooperatives was transferred to catcher vessel cooperatives during the first year.

A cooperative may only transfer or receive by transfer an annual catch amount if the cooperative submits an application for inter-cooperative transfer to NMFS. The transfer request may be submitted by mail, fax, courier, or online through the Internet. When using the online submittal method, the respondent must provide a NMFS Person ID and transfer key. These two pieces of information are provided by NMFS after an applicant is approved for participation in the Rockfish Program.

A copy of all applications must be retained, regardless of submittal method.

**Application for Inter-Cooperative Transfer of CQ**

**Block A -- Identification of transferor**

- Name and NMFS Person ID of rockfish cooperative
- Transfer key (if submitted online)
- Name of designated representative
- Permanent business mailing address including P.O. Box or street address, city, state, and zip code.
  - A temporary mailing address may be included, if appropriate
- Business telephone number and fax number, including area code
- Business e-mail address.

**Block B -- Identification of transferee**

- Name and NMFS Person ID
- Transfer key (if submitted online)
- Name of designated representative
- Permanent business mailing address, including P.O. Box or street address, city, state, and zip code.
  - A temporary mailing address may be included, if appropriate
- Business telephone number and fax number, including area code
- Business e-mail address.



Block C -- Identification of Rockfish Cooperative member

Name and NMFS person ID of member to whose use cap the rockfish cooperative CQ will be applied  
Amount of CQ applied (in mt.)

Block D – CQ to be transferred

Identify the type and amount of primary species, secondary species, or rockfish halibut PSC CQ to be transferred.

Block E -- Certification of transferor and processor

Signature of transferor and date signed  
Signature of eligible rockfish processor (associated with cooperative)  
Printed name of transferor (or authorized representative); if representative, attach authorization  
Printed name of eligible rockfish processor associated with cooperative; if representative, attach authorization.

Block F -- Certification of transferee and processor

Signature of transferee and date signed  
Signature of eligible rockfish processor and date signed  
Printed name of transferee (or authorized representative); if representative, attach authorization  
Printed name of eligible rockfish processor associated with cooperative); if representative, attach authorization.

From the beginning of the Program, NMFS estimates that each cooperative does three CQ transfers per season.

<b>Application for Inter-Cooperative Transfer of Rockfish CQ, Respondent</b>	
<b>Number of respondents</b>	<b>6</b>
<b>Total annual responses</b> (3 x 6) 3 transfers per coop per season	<b>18</b>
<b>Total annual time burden hours</b> Time per response = 1 hr	<b>18</b>
<b>Total personnel cost</b> (18 x \$25)	<b>\$450</b>
<b>Total miscellaneous cost</b> (15.85) Online (0.05 x 2 pages x 16 = 1.60) Fax (\$6 x 2 pages x 1 = 12) Postage (0.44 x 1 = 0.44) Photocopy cost (0.05 x 2 pages x 18 = 1.80)	<b>\$16</b>

<b>Application for Inter-Cooperative Transfer of Rockfish CQ, Federal Government</b>	
<b>Total responses</b>	<b>18</b>
<b>Total burden hours</b> Time per response = 30 min	<b>9</b>
<b>Total personnel cost</b> (\$25 x 9)	<b>\$225</b>
<b>Total miscellaneous cost</b>	<b>0</b>

**f. Application to Participate in the Rockfish Pilot Program [Removed]**

The respondents applied for rockfish QS at the beginning of the Program on this one-time application to participate, so this application is no longer necessary. Annual applications are still required for Limited Access Fishery, Opt-Out Fishery, Coop Fishery and Entry Level harvesters.

**g. Rockfish Cooperative Catch Report.**

Operators of catcher/processors and managers of shoreside processors or stationary floating processors that are authorized to receive fish harvested under a CQ permit in the Rockfish Program must submit to the Regional Administrator a Rockfish Cooperative Catch Report detailing each cooperative's delivery and discard of fish.

Currently, two persons are submitting these reports, for a total of six cooperatives (respondents). One person represents five cooperatives and submits approximately 40 reports per year by e-mail. The other person represents one cooperative and sends in about five reports a year and sends these via fax. This report is parallel to observer data, landing reports, and check-in data, which are the official sources of data used for managing fisheries. It is anticipated that this report will be eliminated in the future.

A copy of all reports must be retained, regardless of submittal method.

**Rockfish Cooperative Catch Report**

- CQ permit number
- ADF&G vessel registration number(s) of vessel(s) delivering catch
- Federal processors permit number of processor receiving catch
- Date the delivery was completed
- Amount of fish (in lb) delivered, plus weight of at-sea discards
- ADF&G fish ticket number(s) issued to catcher vessel(s).

Current number of cooperatives submitting this report is six.

<b>Rockfish Cooperative Catch Report, Respondent</b>	
<b>Number of respondents</b>	<b>6</b>
<b>Total annual responses</b>	<b>45</b>
8 reports per year for five respondents	
5 reports per year for one respondent	
<b>Total annual time burden hours (22.5)</b>	<b>23 hr</b>
Time per response = 30 min	
<b>Total personnel cost (23 x \$25)</b>	<b>\$575</b>
<b>Total miscellaneous cost (68.50)</b>	<b>\$69</b>
Email cost (0.05 x 2 pages x 40 = 4)	
Fax (\$6 x 2 pages x 5 = 60)	
Photocopy cost (0.05 x 2 pages x 45 = 4.50)	

<b>Rockfish Cooperative Catch Report, Federal Government</b>	
<b>Total annual responses</b>	<b>45</b>
<b>Total annual time burden hours (1.5)</b>	<b>2</b>
Time per response = 2 min	
<b>Total personnel cost (2 x \$25)</b>	<b>\$50</b>
<b>Total miscellaneous cost</b>	<b>0</b>

**f. Annual Rockfish Cooperative Report**

Each Rockfish cooperative must submit an annual Rockfish Cooperative report to NMFS by December 15 of each year, with a copy available to the Council. No form exists for this information.

A copy of all reports must be retained, regardless of submittal method.

**Annual Rockfish Cooperative Report**

- The cooperative's CQ, sideboard limit (if applicable), and any rockfish sideboard fishery harvests made by the rockfish cooperative vessels on a vessel-by-vessel basis;
- The cooperative's actual retained and discarded catch of CQ, and sideboard limit (if applicable) by statistical area and vessel-by-vessel basis;

- A description of the method used by the cooperative to monitor fisheries in which cooperative vessels participated; and
- A description of any actions taken by the cooperative in response to any members that exceeded their catch as allowed under the rockfish cooperative agreement.

Current number of cooperatives submitting this report is six.

<b>Annual Rockfish Cooperative Report, Respondent</b>	
<b>Number of respondents</b>	<b>6</b>
<b>Total annual responses</b>	<b>6</b>
<b>Total annual time burden hours</b>	<b>240</b>
Time per response = 40 hr	
<b>Total personnel cost (240 x \$25)</b>	<b>\$6,000</b>
<b>Total miscellaneous cost 166.10)</b>	<b>\$166</b>
Postage cost (1.72 x 5 = 8.60)	
Fax cost (\$6 x 25 pages x 1 = 150)	
Photocopy cost (0.05 x 25 pages x 6 = 7.50)	

<b>Annual Rockfish Cooperative Report, Federal Government</b>	
<b>Total annual responses</b>	<b>6</b>
<b>Total annual time burden hours</b>	<b>30</b>
Time per response = 5 hr	
<b>Total personnel cost (30 x \$25)</b>	<b>\$1,383</b>
<b>Total miscellaneous cost</b>	<b>0</b>

**g. Rockfish Cooperative Termination of Fishing Declaration**

A Rockfish cooperative may choose to terminate its CQ permit through a declaration submitted to NMFS. This declaration may be submitted to NMFS by mail, fax, or hand delivery/carrier. A copy of each declaration must be retained, regardless of submittal method.

NMFS will review the declaration and notify the cooperative’s authorized representative once the declaration has been approved.

Upon approval of a declaration, the CQ for all primary rockfish species and secondary species will be set to zero; rockfish halibut PSC assigned to that rockfish cooperative will be reapportioned; and that rockfish cooperative may not receive any CQ for any primary rockfish species, secondary species, and rockfish halibut PSC by transfer for the remainder of that calendar year.

A new CQ permit is issued annually to a rockfish cooperative if the members of that rockfish cooperative have submitted a complete and timely application for CQ that is subsequently approved by the Regional Administrator.

**Rockfish Cooperative Termination of Fishing Declaration**

- CQ permit number
- Date the declaration is submitted
- Rockfish cooperative’s legal name and NMFS Person ID
- Permanent business address, including P.O. Box or street address, city, state, and zip code
- Business telephone number and fax number, including area codes
- E-mail address (if available)
- Printed name and signature of designated representative.

NMFS estimates that two of the cooperatives each season submit a termination declaration.

<b>Rockfish Cooperative Termination of Fishing Declaration, Respondent</b>	
<b>Number of respondents</b>	<b>2</b>
<b>Total annual responses</b>	<b>2</b>
<b>Total annual time burden hours (0.5)</b> Time per response = 15 min	<b>1</b>
<b>Total personnel cost (1 x \$25)</b>	<b>25</b>
<b>Total miscellaneous cost (12.20)</b> Fax or courier (\$6 x 2 = 12) Photocopy cost (0.05 x 2 pp x 2 = 0.20)	<b>12</b>

<b>Rockfish Cooperative Termination of Fishing Declaration, Federal Government</b>	
<b>Total annual responses</b>	<b>2</b>
<b>Total annual time burden hours (0.5)</b> Time per response = 15 min	<b>1</b>
<b>Total personnel cost (1 x \$25)</b>	<b>25</b>
<b>Total miscellaneous cost</b>	<b>0</b>

**h. Rockfish cooperative vessel check -in and check-out reports**

The designated representative of a rockfish cooperative must designate, through a check-in procedure, any vessel that is fishing under the rockfish cooperative’s CQ permit before that vessel may fish under that CQ permit. This would allow the cooperative to determine how and when vessels will fish under a CQ permit. The designated cooperative representatives must “check-in” a vessel when it is fishing under a CQ permit during the rockfish cooperative fishing year, and “check-out” vessels no longer fishing under its CQ permit.

**Vessel check-in report**

Rockfish cooperatives must designate at least one vessel to fish the CQ permit for that cooperative effective on May 1. The representative must designate any vessel that is fishing under a CQ permit at least 48 hours prior to the time the vessel begins a fishing trip under a CQ permit. A check-in report is effective at the beginning of the first fishing trip after the designation has been submitted. This advance notice will provide NMFS time to adjust catch accounting procedures and accurately monitor catch. The check-in report may take the form of a list of vessels.

The designated representative may submit no more check-in reports in a calendar year than an amount equal to three times the number of LLP licenses that are assigned to that rockfish cooperative in that calendar year. This limit reduces the number of check-in reports and vessels that NMFS must track and reduces the chance that specific vessel’s catch is misapplied in NMFS’ catch accounting system.

**Vessel check-out**

If a vessel has completed fishing under a CQ permit for a rockfish cooperative, the designated representative must submit a check-out report for that vessel to notify NMFS of that fact, within 6 hours after the effective date and time of the designation. This will ensure that catch is

properly debited against a CQ account and reduces the risk that a subsequent trip would be misapplied as occurring under a CQ permit and have to be corrected.

The designated representative may submit no more check-out reports in a calendar year than an amount equal to three times the number of LLP licenses that are assigned to that rockfish cooperative in that calendar year.

**Vessel Check-in/Check-out Report**

- CQ Permit number
- ADF&G vessel registration number and USCG documentation number
- Date and time when check-in or check-out begins.

NMFS estimates that each of the six cooperatives sends 66 check-in/check-out reports each season. Although the current regulations at 50 CFR part 679 do not reflect it, the check-in and check-out reports may be sent as an email message.

<b>Vessel Check-in/Check-out Report , Respondent</b>	
<b>Number of respondents</b>	<b>6</b>
<b>Total annual responses</b>	<b>396</b>
Number responses per respondent = 66	
<b>Total burden hours (66)</b>	<b>66 hr</b>
Time per response = 10 min	
<b>Total personnel cost (66 x 25)</b>	<b>\$1,650</b>
<b>Total miscellaneous costs (58.45)</b>	<b>\$58</b>
Email (0.05 x 390 = 19.50)	
Postage cost (0.43 x 1= 0.43)	
Fax (\$6 x 5 = 30)	
Photocopy cost (0.05 x 1 page x 396 = 8.52)	

<b>Vessel check-in/Check-out Report, Federal Government</b>	
<b>Total annual responses</b>	<b>396</b>
<b>Total burden hours (1.5)</b>	<b>99</b>
Time per response = 15 min	
<b>Total personnel cost (99 x \$25)</b>	<b>\$2,475</b>
<b>Total miscellaneous cost</b>	<b>0</b>

**i. Appeals**

The Regional Administrator will evaluate Program applications submitted during the specified application period and will compare all claims in an application with the information in the official Program record. Any person, who is denied a rockfish permit, may file a written appeal to the NMFS Alaska Region Office of Administrative Appeals (OAA).

For permit appeals, the participant must provide a written statement in support of the appeal and must show why the initial administrative determination (IAD) should be reversed. If the participant does not appeal within 60 days following the issuance of the IAD, the IAD becomes a Final Agency Determination. A decision by the OAA becomes a Final Agency Action 30 days after it is issued, unless the Regional Administrator determines otherwise. An applicant who appeals an IAD will not receive rockfish cooperative allocation until after the final resolution of that appeal in favor of the applicant.

Appeals must be in writing and may be submitted by mail, fax, or delivery. NMFS estimates one appeal per year for the rockfish permits, although this is a high number.

<b>Appeals, Respondent</b>	
<b>Number of respondents</b>	<b>1</b>
<b>Total annual responses</b>	<b>1</b>
<b>Total burden hours</b>	<b>4 hr</b>
Time per response = 4 hr	
<b>Total personnel cost (4 x \$25)</b>	<b>\$100</b>
<b>Total miscellaneous costs (1.11)</b>	<b>\$1</b>
Postage to mail appeal (1 x \$0.86)	
Photocopy (1 x 5 pages x .05 = 0.25)	

<b>Appeals, Federal Government</b>	
<b>Total responses</b>	<b>1</b>
<b>Total burden hours</b>	<b>25</b>
Time per response = 25 hr	
<b>Total personnel cost (25 x \$100)</b>	<b>\$2,500</b>
<b>Total miscellaneous costs</b>	<b>0</b>

It is anticipated that the information collected will be disseminated to the public or used to support publicly disseminated information. As explained in the preceding paragraphs, the information gathered has utility. NMFS will retain control over the information and safeguard it from improper access, modification, and destruction, consistent with National Oceanic and Atmospheric Administration (NOAA) standards for confidentiality, privacy, and electronic information. See response to Question 10 of this Supporting Statement for more information on confidentiality and privacy. The information collection is designed to yield data that meet all applicable information quality guidelines. Prior to dissemination, the information will be subjected to quality control measures and a pre-dissemination review pursuant to Section 515 of Public Law 106-554.

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

The application for inter-cooperative transfer may be submitted online, as well as by fax or mail. Other applications are “fillable” on the computer screen by participant at the NMFS Alaska Region Home Page at [www.fakr.noaa.gov](http://www.fakr.noaa.gov), then must be downloaded, printed, and mailed, faxed, or delivered to NMFS.

The following information collections do not have forms: 1) Rockfish cooperative catch reports may be emailed or faxed (907-586-9361); 2) Annual rockfish cooperative reports must be mailed or faxed. Check-in and check-out reports are faxed or mailed. Termination of fishing declarations must be faxed or hand-delivered. Appeals are mailed, faxed, or hand-delivered.

The address for mailing is NOAA National Marine Fisheries Service, RAM Program; P.O. Box 21668, Juneau, AK 99802-1668.

Future plans include additional interactive permit applications completed through the Internet.

**4. Describe efforts to identify duplication.**

The cooperative catch report does duplicate observer data, landing reports, and check-in data, which are the official sources of data used for managing the fisheries. It is anticipated that this report will be eliminated in the future, as soon as software revisions are in place. Other than the cooperative catch report, this information collection is part of a specialized and technical program that is not like any other.

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

The collection-of-information does not impose a significant impact on the estimated less-than-six small entities.

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

The consequences of not collecting this information would be that NMFS could not fulfill the intent of Section 802 of the Consolidated Appropriations Act of 2004 and would reverse the impacts of the Program achieved to date. The most notable effect of the Program is the substantial reduction in discards in the CGOA rockfish fisheries. In the years leading up to the Program, discards of Pacific ocean perch regularly exceeded 5 percent of total catch of the species. Discards of sablefish exceeded 100 metric tons in some years and exceeded 250 metric tons in one year. Under the Program, discards of these species are generally not permitted by cooperatives, reducing discards to near zero. Halibut mortality also dropped sharply, most notably in the catcher vessel sector, where halibut mortality dropped from between 25 and 50 pounds per ton of directed rockfish catch to less than 5 pounds per ton of rockfish catch. In addition to the conservation benefits from these discard and mortality reductions, the use of more pelagic gear in the fishery has provided habitat benefits.

Shoreside processors that qualified for the Program have clearly benefited from the cooperative associations that have facilitated their coordination of deliveries. The redistribution of rockfish deliveries away from times of peak salmon processing has reduced pressure on plant processing crews. Quality of landings is said to have improved because scheduling has reduced the time that catcher vessels must wait to offload.

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

No inconsistencies occur in this collection.

**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 February 6, 2009 (74 FR 6268) solicited public comments on the information collection. No comments were received.

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

No payment or gift will be provided under this program.

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

As stated on the collection forms, the information collected is confidential under section 402(b) of the Magnuson-Stevens Act (16 U.S.C. 1801 *et seq.*); and also under NOAA Administrative Order (AO) 216-100, which sets forth procedures to protect confidentiality of fishery statistics.

All information collected is part of a system of records: NOAA #19, Permits and Registrations for United States Federally Regulated Fisheries.

**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.**

NA.

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

Estimated total unique respondents, 55, down from 1,142. Estimated total responses, 496, down from 1,408. Estimated total burden, 408, down from 3,270 hr. Estimated total personnel cost, \$10,200, down from \$81,688.

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

Estimated total miscellaneous costs \$681, down from \$5,909.

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

Estimated total burden, 181 hr, down from 756 hr. Estimated total personnel cost, \$7,033, down from \$20,763.



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

Adjustments are made in this collection, due in part to differences in numbers of participants, based on current permit counts, and due to revisions to postage rates and fax costs. One error is corrected in the calculation of appeals personnel costs.

Application to participate in the rockfish pilot program: removed  
a decrease of 71 respondents and responses, 0 instead of 71  
a decrease of 142 hr burden, 0 instead of 142  
a decrease of \$3,550 personnel costs, 0 instead of \$3,550  
a decrease of \$270 miscellaneous costs, 0 instead of \$270

Application for rockfish cooperative CQ  
a decrease of 14 respondents and responses, 6 instead of 20  
a decrease of 28 hr burden, 12 hr instead of 40 hr  
a decrease of \$700 personnel costs, \$300 instead of \$1,000  
an increase of \$141 miscellaneous costs, \$220 instead of \$79

Application for limited access fishery  
a decrease of 31 respondents and responses, 9 instead of 40  
a decrease of 62 hr burden, 18 hr instead of 80 hr  
a decrease of \$1,550 personnel costs, \$450 instead of \$2,000  
a decrease of \$130 miscellaneous costs, \$51 instead of \$181

Application to Opt-out  
an increase of \$14 miscellaneous costs, \$25 instead of \$11

Application for entry-level fishery  
a decrease of 1,061 respondents and responses, 10 instead of 1,071  
a decrease of 2,122 hr burden, 20 hr instead of 2,142 hr  
a decrease of \$53,050 personnel costs, \$500 instead of \$53,550  
a decrease of \$5,072 miscellaneous costs, \$63 instead of \$5,135

Application for inter-cooperative transfer  
an increase of 1 respondent, 6 instead of 5  
an increase of 3 responses, 18 instead of 15  
an increase of 3 hr burden, 18 hr instead of 15 hr  
an increase of \$75 personnel costs, \$450 instead of \$375  
an increase of \$8 miscellaneous costs, \$16 instead of \$8

Rockfish cooperative catch report  
an increase of 1 respondent, 6 instead of 5  
a decrease of 80 responses, 45 instead of 125  
an increase of 2 hr burden, 23 hr instead of 21 hr  
an increase of \$50 personnel costs, \$575 instead of \$525  
an increase of \$50 miscellaneous costs, \$69 instead of \$19

Annual rockfish cooperative report

- a decrease of 14 respondents and responses, 6 instead of 20
- a decrease of 560 hr burden, 240 hr instead of 800 hr
- a decrease of \$14,000 personnel costs, \$6,000 instead of \$20,000
- an increase of \$86 miscellaneous costs, \$166 instead of \$80

Rockfish cooperative termination of fishing declaration

- An increase of \$12 personnel costs, \$25 instead of \$13

Rockfish vessel check-in and check-out reports

- a decrease of 14 respondents, 6 instead of 20
- an increase of 356 responses, 396 instead of 40
- an increase of 46 hr burden, 66 hr instead of 20 hr
- an increase of \$1,150 personnel costs, \$1,650 instead of \$500
- a decrease of \$54 miscellaneous costs, \$58 instead of \$112

Rockfish Program appeals

- an increase of \$75 personnel costs, \$100 instead of \$25, to correct an error
- a decrease of \$1 miscellaneous costs, \$1 instead of \$2.

NOTE: Although each change above is correct, the actual previous hours and miscellaneous costs, as calculated by NOAA, totaled 3,271, rather than 3,270 and \$5,910 rather than \$5,909. Since the latter figures are the currently approved ones, we are attributing the differences to the results of rounding off by the ROCIS system.

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

The information collected will not be published.

**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.**

NA.

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

NA.

**B. COLLECTIONS OF INFORMATION EMPLOYING STATISTICAL METHODS**

This collection does not employ statistical methods.