

**SUPPORTING STATEMENT  
PERMITTING, VESSEL IDENTIFICATION, AND REPORTING REQUIREMENTS  
FOR DEEPWATER SHRIMP FISHERIES IN THE WESTERN PACIFIC REGION  
OMB CONTROL NO. 0648-0586**

This request is for extension of the current information collection.

**A. JUSTIFICATION**

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

[The Magnuson-Stevens Fishery Conservation and Management Act](#) (Magnuson Act) established regional fishery management councils, including the Western Pacific Fishery Management Council (Council), to develop fishery ecosystem plans for fisheries in the United States (U.S.) exclusive economic zone (EEZ). These plans, if approved by the Secretary of Commerce, are implemented by Federal regulations, which are enforced by the National Oceanic and Atmospheric Administration (NOAA) Fisheries Office for Law Enforcement (OLE) and the U.S. Coast Guard (USCG), in cooperation with State agencies to the extent possible. The fishery ecosystem plans are intended to regulate fishing to ensure sustained productivity and achievement of optimum yield from the resources for the benefit of the U.S.

Vessel owners who use their vessels to fish for deepwater shrimp (*Heterocarpus* spp.) are required under Federal regulations ([50 CFR Part 665](#)) to obtain a Federal permit, identify their vessels with specified markings, and submit Federal logbooks to the National Marine Fisheries Service (NMFS).

The information collected is used to document fishing activities and landings, to determine the condition of the stocks, to assess the effectiveness of management measures, to evaluate the benefits and costs of changes in management measures, and to monitor and respond to accidental takes of endangered and threatened species, including seabirds, sea turtles, and marine mammals.

**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.**

*Permits*

Information is collected via a NMFS permit application process. Permits are valid for one calendar year and may be renewed annually. Information from the permit application form will allow NMFS to confirm the identity of the permit holder and applicant, and to determine whether the applicant qualifies for the permit. Vessel-related information such as vessel documentation or registration, ownership, managing ownership, etc., are used by NMFS to determine whether the applicant is an owner of a U.S. documented/registered vessel. The information may also be used by OLE, USCG, and the Council.

### *Logbooks*

The completed logbook forms are required to be submitted to NMFS by vessel owners or operators within 72 hours after the end of each fishing trip. The reporting requirements provide the information needed by NMFS and the Council to regulate and monitor the fisheries managed under the FMP and to evaluate the effectiveness of management by assessing the status of stocks and the status of the fisheries. The information provides a basis for determining whether changes in management are needed to sustain the productivity of the stocks. The information is also used to provide the basis for evaluating the magnitude and distribution of impacts resulting from changes to the regulations. Information from the logbooks is used by fishery and enforcement officials of NMFS and USCG to monitor compliance with fishing regulations and reporting requirements.

### *Vessel Identification*

In the domestic western Pacific region fisheries regulated under 50 CFR Part 665, the vessel's official number is required to be displayed on the port and starboard sides of the deckhouse or hull, and on an appropriate weather deck. It identifies each vessel and should be visible at distances at sea and in the air. The requirements generally affect vessels registered to permits for pelagic fisheries, crustacean fisheries, bottomfish and seamount groundfish fisheries, and precious coral fisheries in the western Pacific region. Regulations in 50 CFR Part 665.16 specify the requirements for the vessel identification.

The identification number provides law enforcement personnel with a means to monitor fishing, at-sea processing, and other related activities, to ascertain whether the vessel's observed activities are in accordance with those authorized for that vessel. The information is strictly for enforcement purpose or use by NMFS internally in situations involving damage, loss, and civil proceedings.

NMFS will retain control over the information and safeguard it from improper access, modification, and destruction, consistent with Federal law and regulations, and NOAA policies 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.**

#### *Permits and Logbooks*

At this time, the information will be collected on paper forms and does not require any knowledge of automated, electronic, mechanical or other forms of information technology. However, fillable permit application forms may be downloaded from [http://www.fpir.noaa.gov/SFD/SFD\\_permits\\_index.html](http://www.fpir.noaa.gov/SFD/SFD_permits_index.html) for completion, printing and mailing.

#### *Vessel Identification*

Vessel identification is done manually.

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

##### *Permits*

There is no similar Crustaceans FMP deepwater shrimp permit requirement for vessels fishing in EEZ waters of the western Pacific region.

##### *Logbooks*

There is no similar comprehensive catch and effort reporting program for deepwater shrimp vessels fishing in EEZ waters of the western Pacific region.

NMFS carefully considered whether there were collections by other Federal agencies or state or territorial agencies that might meet the information needs presented above. It was concluded that no other collections, besides the requested information, would meet these reporting requirements.

##### *Vessel Identification*

The information is not duplicative; it is a unique requirement for vessels registered to a Federal crustaceans fishing permit in the western Pacific region.

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

Federal crustaceans FMP deepwater shrimp permit applications are available online at or by contacting the Sustainable Fisheries permits program at NMFS Pacific Islands Regional Office, to reduce the burden of time spent applying or ordering by mail. Applications may be downloaded, printed, and then mailed to NMFS. Permits will be issued by NMFS and delivered via U.S. mail.

Logbook and instructions are provided by NMFS via U.S. mail with issued Pacific Crustacean FMP deepwater shrimp permits to reduce time spent obtaining forms via an office visit. The Fisheries Monitoring Branch at the Pacific Islands Fisheries Science Center in Honolulu may be contacted in writing by email, fax, or mail to answer questions about filling out the logsheets or sales reports. Contact information will be provided with the logbook.

Vessel identification instructions provided by NMFS are straightforward and the task of applying the identification marks is simple to minimize the burden of meeting the requirements.

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

##### *Permits*

Without this collection or if it is collected less frequently, NMFS will be unable to properly evaluate activity, participation, and reporting compliance in the western Pacific commercial deepwater shrimp fishery. It will be difficult to monitor the fisheries and their participants, determine entry and exit patterns, and provide information needed to ensure full impact analysis for fisheries management programs. Without this information enforcement agents will not be

able to identify current fishery participants for compliance monitoring purposes and NMFS would be unable to consult with permit holders on regulatory changes.

### *Logbooks*

Logbook reporting is needed in the western Pacific deepwater shrimp fishery to achieve an accurate count of the effort level, amount of harvest, and volume in this fishery.

### *Vessel Identification*

Vessel identification and verification of activity via air and surface patrol would be difficult for enforcement agencies without the markings.

Without the information collected by means of the permit applications, logbook reports and, vessel identification, NMFS and the Council would be unable to determine whether management is achieving the objectives of the FMP and the Magnuson-Stevens Act.

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

None.

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

A Federal Register Notice (76 FR 78615), published on December 19, 2011, solicited public comments on this submission. No substantive comments on the proposed collection of information were received.

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

No payments or gifts are provided

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

As stated on the forms, under Section 402(b) of the Magnuson-Stevens Act, amended in 2006, and [NOAA Administrative Order 216-100](#), information submitted in accordance with regulatory requirements under the Act is confidential. This includes personal and proprietary information contained in the permits and logbooks. Although the vessel identification number is not confidential it will not be disseminated to the public.

A Privacy Act System of Records Notice, COMMERCE/NOAA #19, Permits and Registrations for United States Federally Regulated Fisheries, was published in the Federal Register on April 17, 2008 and became effective on June 11, 2008. An update is now in process.

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

No questions are asked of a sensitive nature.

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

*Permits*

NMFS expects to receive up to 10 permit applications or renewals for commercial deepwater permits each year. Applicants are expected to spend 30 minutes completing the application, and renewing a permit would require an additional 30 minutes annually. Thus, the total burden to fishermen for permit applications is estimated at 5 hours per year.

*Logbooks*

NMFS estimates that the time requirement for completing Federal catch reports to be approximately 10 minutes per vessel per fishing day. Assuming that 10 vessels make 50 trips per year, the program would generate up to 500 daily fishing logsheets per year. Thus, the total collection-of-information burden estimate for fishing data reporting is estimated at 83 hours per year.

Total number of logsheets: 10 vessels x 50 trips = 500 logsheets per year

Total hours: 500 logsheets x 10 min per logsheet = 83 hours per year

*Vessel Identification*

For the vessel identification requirements, the burden is estimated at 45 minutes to paint each vessel. Assuming 10 vessels are active, the total collection-of-information burden estimate is 7.5 (8) hours (45/60 x 10).

***Summary of Responses and Burden***

**Total Responses: 10 applications + 500 logsheets + 10 markings = 520**

**Total Burden Hours: 5 + 83 + 8 = 96.**

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

There is no startup capital cost for complying with this requirement. Paper forms provided by NMFS will be used by the respondents for providing information. Electronic forms are an option

that will be provided later, but would be voluntary on the respondent's part and presumably would be used only if the respondent already possessed the requisite equipment. The maximum estimated cost to respondents for postage, faxes, copies, etc., related to this collection is \$332 per year, or about \$0.65 per response, for permit and logbook costs.

For the vessel identification requirements, the cost is estimated at about \$10 for paint and supplies to paint each vessel, or a total of \$100 annually.

**Total annual costs: \$332 + \$100 = \$432.**

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

*Permits and Logbooks*

The estimated annual cost to the Federal government to administer this collection of information is up to \$2,660.

This includes: 1) the cost to process permit applications and issue permits at \$100 per year (10 permits x 30 min/permit x \$20/hr), 2) printing daily catch and effort logsheet forms at \$60 per year (500 logsheets and sales reports x \$0.12 per sheet), and 3) processing of log forms at \$2,500 per year, which is calculated by the cost of staff time for receiving and entering logsheet form data (500 logsheets x 15 min/logsheet x \$20/hr).

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

The original estimate of 100 trips (logsheets) per permit holder was too high. It was revised to 50 logsheets per permit holder, yielding adjustments in responses, burden and cost: 500 fewer responses, 84 fewer hours and \$325. However, due to postage increases, the net decrease in costs overall was only \$228.

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

No formal scientific publications based on these collections are planned at this time. NMFS and the Council will use the data (primarily in an aggregated, non-confidential format) for developing management reports and fishery management plan amendments and evaluations. However, subsequent use of the data collected over a series of years may include scientific papers and publications.

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

Not Applicable.

**18. Explain each exception to the certification statement.**

Not Applicable.

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

No statistical methods are employed.