

Request for Approval under the “Generic Clearance for the Collection of Routine Customer Feedback” (OMB Control Number: 0920-0953)

TITLE OF INFORMATION COLLECTION: Winch Entanglement Prevention Technology Interviews

PURPOSE:

The Centers for Disease Control and Prevention (CDC), National Institute for Occupational Safety and Health (NIOSH) seeks approval from the Office of Management and Budget (OMB) to collect feedback from individuals who have adopted, considered adopting, or could adopt NIOSH-developed safety equipment on commercial fishing vessels, or who manufacture, fabricate, or sell such equipment to prevent entanglements in deck winches. The feedback will be used to improve service delivery of NIOSH safety engineering and traumatic injury prevention interventions. The information collected will help NIOSH optimize the design, distribution, and promotion strategies for safety engineering solutions intended for the commercial fishing industry, which to date have suffered from low industry adoption.

NIOSH has designed and commercially licensed safety equipment for preventing winch entanglements for certain types of deck winches on commercial fishing vessels, and NIOSH engineers continue to develop guarding and other safety interventions for other types of winches. However, the available innovations are rarely used by commercial fishermen. For a variety of reasons, uptake of engineering controls for winches has been slow. The main objective is to improve adoption of NIOSH engineering interventions among the two high-risk fisheries the interventions were designed for: purse seine vessels in the Pacific Northwest and Alaska and side-trawl shrimp vessels in the Gulf of Mexico. Staff will be asking questions related to three technologies:

- The Emergency Stop, or E-stop, is a button that, when pushed, switches a safety relay that de-energizes the solenoid of an electro-hydraulic valve and stops the rotation of a capstan winch.
- Static machine guards designed for mechanically-driven double-drum deck winches use by shrimp fishermen in the Gulf of Mexico.
- The Auxiliary Stop, or A-Stop, system designed to de-energize the electric try net winch that is also used by shrimp fishermen in the Gulf of Mexico.

The data collection will address the following specific aims:

1. Identify the barriers and facilitators of adoption of NIOSH-developed engineering solutions among the target audiences.
2. Gather information to inform the development of appropriate, targeted solutions to increase adoption. These solutions will address the most commonly identified barriers to adoption and leverage the identified facilitators.

Qualitative information consisting of audio-recorded semi-structured interviews with up to 75 individuals total from 3 participant groups will be used to assess perceived barriers to or facilitators of adoption of the winch safety technologies. Participants will be sought from two separate commercial fishing fleets, and also from among manufacturers, fabricators, and vendors of commercial fishing deck equipment. The burden estimate is based on conducting interviews lasting up to one hour with each of the subjects.

The qualitative data generated from the interviews will not require statistical analysis to be beneficial to our program. The question stems and prompts for the interviews are attached (Attachment A).

DESCRIPTION OF RESPONDENTS: Respondents will be members of one of three groups: salmon purse seine fishermen who use capstan winches on their vessels; side-trawl shrimp fishermen in the Gulf of Mexico who use one of three models of double-drum deck winches; and manufacturers, fabricators, and vendors of commercial fishing deck equipment who supply the two fisheries mentioned above. Participation in the interviews is completely voluntary.

TYPE OF COLLECTION: (Check one)

- | | |
|---|---|
| <input type="checkbox"/> Customer Comment Card/Complaint Form | <input type="checkbox"/> Customer Satisfaction Survey |
| <input type="checkbox"/> Usability Testing (e.g., Website or Software | <input type="checkbox"/> Small Discussion Group |
| <input type="checkbox"/> Focus Group | <input checked="" type="checkbox"/> Other: <u>Semi-structured interview</u> |

CERTIFICATION:

I certify the following to be true:

1. The collection is voluntary.
2. The collection is low-burden for respondents and low-cost for the Federal Government.
3. The collection is non-controversial and does not raise issues of concern to other federal agencies.
4. The results are not intended to be disseminated to the public.
5. Information gathered will not be used for the purpose of substantially informing influential policy decisions.
6. The collection is targeted to the solicitation of opinions from respondents who have experience with the program or may have experience with the program in the future.

Name: Theodore D. Teske

To assist review, please provide answers to the following question:

Personally Identifiable Information:

1. Is personally identifiable information (PII) collected? Yes No
2. If Yes, is the information that will be collected included in records that are subject to the Privacy Act of 1974? Yes No
3. If Applicable, has a System or Records Notice been published? Yes No

Gifts or Payments:

Is an incentive (e.g., money or reimbursement of expenses, token of appreciation) provided to participants? Yes No

BURDEN HOURS

Type of Respondents	Form Name	No. of Respondents	No. of Responses per Respondent	Avg. Burden per Response (in hrs.)	Total
Commercial fishermen	Representative question stems for interviews	75	1	1	75
	Opening Script and Eligibility Screening Form	100	1	5/60	8
Total					83

FEDERAL COST: The estimated annual cost to the Federal government is \$25,000_____

If you are conducting a focus group, survey, or plan to employ statistical methods, please provide answers to the following questions:

The selection of your targeted respondents

1. Do you have a customer list or something similar that defines the universe of potential respondents and do you have a sampling plan for selecting from this universe?
 Yes No

If the answer is yes, please provide a description of both below (or attach the sampling plan)? If the answer is no, please provide a description of how you plan to identify your potential group of respondents and how you will select them?

Study population and catchment area(s)

The proposed research will focus on three participant groups. Two commercial fishing populations were chosen because both have experienced numerous severe injuries and fatalities as a result of winch entanglements. Additionally, NIOSH has developed engineering controls for the types of winches typically used by vessels in these fleets. The third group — equipment manufacturers, fabricators, and vendors — is important to interview because barriers to adopting certain equipment may be related to cost, complexity, availability, or other issues known to this group. The three groups are described below:

1. Pacific Northwest purse seine fishermen operating in Washington and Alaska.
 - Recruitment will be limited to vessel captains/owners, since these individuals are in a position to make decisions about equipment installation on vessels.
2. Shrimp trawl fishermen operating in Texas, Louisiana, and North Carolina.
 - Recruitment will be limited to vessel captains/owners, since these individuals are in a position to make decisions about equipment installation on vessels.
3. Manufacturers, vendors, and fabricators of the three types of interventions.
 - To our knowledge there is only one manufacturer of the E-stop system, located in Seattle, WA. This company has been a nearly exclusive vendor of the E-stop for ten years, and it is important to obtain that company's perspective on barriers to adoption of the E-stop if possible. This company sells the E-Stop as a retrofit kit that other winch vendors can purchase. Additionally, the company will install an E-stop on another company's winch if provided one by a fisherman. We will seek other winch manufacturers as well to gain their perspectives.
 - There are no manufacturers or vendors for shrimp vessel deck winches in the southeastern US and Gulf of Mexico region. Fishermen purchase and refurbish old winches to use on their vessels from other boat owners and install them either by themselves or with the help of local service companies (metal fabricators, welders, electricians, etc.). Accordingly, we will focus on the regional welding and metal fabrication contractors used by fishermen to repair and install machinery on their vessels. The NIOSH engineering staff who designed the interventions for shrimp fishermen have installed prototype guards and Auxiliary stop switches on shrimp vessels and can assist with identifying fabricators and parts suppliers. In addition to referrals from NIOSH engineers, we will use internet searches, leads from shrimp fishermen interviewed for the project, and our professional networks to identify additional potential participants for these interviews.

Participant inclusion criteria

Inclusion criteria for fishermen

- Over 18 years of age
- Owner of a commercial fishing vessel,
OR
Captain of a commercial fishing vessel if, as captain, individual is authorized to select and install new equipment on the vessel

In the Pacific Northwest:

- Vessel owned/operated by individual uses a hydraulic capstan winch.

In the Southeast/Gulf of Mexico:

- Vessel owned/operated by individual uses at least 1 of the following:
 - An electric try-net winch,
 - OR
 - Any of three mechanical drum winch models: Mc Elroy 503, McElroy 505, or Stroudsburg 515 ½ T.

Inclusion criteria for manufacturers, fabricators, and vendors of deck safety equipment

- Over 18 years of age

- Manager or employee at a company that manufactures, fabricates, or sells fishing vessel deck equipment to our target populations.

Recruitment and enrollment

Our recruitment strategy will be threefold:

- 1) Work with existing industry partners and NIOSH staff to identify and directly contact potential participants who likely meet enrollment criteria, either in person or by phone.
- 2) Approach members of our target audiences in person at public venues such as maritime tradeshows, conferences, and meetings.
- 3) Approach fishermen in person at marinas known to harbor sizeable numbers of commercial fishing vessels using the equipment applicable to our study.

We will discuss each of these recruitment methods in more detail in the following paragraphs.

Recruitment through Partners

Through previous projects, NIOSH staff are in contact with the current manufacturer of the E-stop for Pacific Northwest purse seine fishing vessels. This company has contact information for the owners of many vessels that have installed the E-stop system. Additionally, the company knows of purse seine fishermen who have considered but declined to install the E-stop system. The company has expressed willingness to work with NIOSH to identify potential study participants.

In the case of shrimp fishermen, none of the engineering interventions being studied are commercially available. Therefore there will be very few eligible fishermen who could be aware of these interventions and still fewer who have adopted them. However, approximately nine shrimp vessel owners participated in NIOSH-run prototype studies to field test the stationary guards and Auxiliary Stop systems for shrimp winches, and we intend to invite these fishermen to participate in the current study. WSD engineering staff can provide contact information for these individuals. Additional partners include deck machinery manufacturers and vendors, the US Coast Guard offices in Districts 17 (Juneau, AK) and District 8 (New Orleans, LA), representatives from commercial fishing associations, and marine safety groups. Researchers will obtain contact information for fishermen from these partners and will contact fishermen by email and/or phone to invite them to participate in the study.

We will recruit manufacturer, vendor, and fabricator participants in the same way. Our past research has put us in contact with the manufacturer and major vendors of the E-stop system in the Northwest and Alaska. Likewise, our ongoing engineering project has used regional fabricators in the Gulf of Mexico to produce prototype winch guards and Auxiliary Stop systems. We will contact these partners directly by phone or email to invite them to participate in the study.

Recruitment at Industry Events

The second tactic for recruitment will be to approach fishermen in person at public venues — commercial fishing and maritime trade shows, conferences, or meetings. The WSD fishing safety program routinely hosts booths and gives presentations at these types of venues and NIOSH staff commonly interact with fishermen at the booth. These interactions present opportunities to inform fishermen of the study, to explain its purpose, and to invite them to participate.

Recruitment in the Field

Lastly, we propose to approach fishermen in person at marinas known to harbor sizeable numbers of commercial fishing vessels. Most of these marinas are publicly-accessible. In some cases researchers may be able to approach fishermen at the dock to invite them to participate. This method has been used successfully by WSD staff in previous studies in Alaska.

Administration of the Instrument

1. How will you collect the information? (Check all that apply)
 - Web-based or other forms of Social Media
 - Telephone
 - In-person
 - Mail
 - Other, Explain
2. Will interviewers or facilitators be used? Yes No

Please make sure that all instruments, instructions, and scripts are submitted with the request.

Instructions for completing Request for Approval under the “Generic Clearance for the Collection of Routine Customer Feedback”

TITLE OF INFORMATION COLLECTION: Provide the name of the collection that is the subject of the request. (e.g. Comment card for soliciting feedback on xxxx)

PURPOSE: Provide a brief description of the purpose of this collection and how it will be used. If this is part of a larger study or effort, please include this in your explanation.

DESCRIPTION OF RESPONDENTS: Provide a brief description of the targeted group or groups for this collection of information. These groups must have experience with the program.

TYPE OF COLLECTION: Check one box. If you are requesting approval of other instruments under the generic, you must complete a form for each instrument.

CERTIFICATION: Please read the certification carefully. If you incorrectly certify, the collection will be returned as improperly submitted or it will be disapproved.

Personally Identifiable Information: Provide answers to the questions.

Gifts or Payments: If you answer yes to the question, please describe the incentive and provide a justification for the amount.

BURDEN HOURS:

Category of Respondents: Identify who you expect the respondents to be in terms of the following categories: (1) Individuals or Households; (2) Private Sector; (3) State, local, or tribal governments; or (4) Federal Government. Only one type of respondent can be selected.

No. of Respondents: Provide an estimate of the Number of respondents.

Participation Time: Provide an estimate of the amount of time required for a respondent to participate (e.g. fill out a survey or participate in a focus group)

Burden: Provide the Annual burden hours: Multiply the Number of responses and the participation time and divide by 60.

FEDERAL COST: Provide an estimate of the annual cost to the Federal government.

If you are conducting a focus group, survey, or plan to employ statistical methods, please provide answers to the following questions:

The selection of your targeted respondents. Please provide a description of how you plan to identify your potential group of respondents and how you will select them. If the answer is yes, to the first question, you may provide the sampling plan in an attachment.

Administration of the Instrument: Identify how the information will be collected. More than one box may be checked. Indicate whether there will be interviewers (e.g. for surveys) or facilitators (e.g., for focus groups) used.

Please make sure that all instruments, instructions, and scripts are submitted with the request.