

Economic Data Collection Program
Administration and Operations Report

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1 Introduction

1.1 Background

In January 2011, the West Coast groundfish trawl fishery transitioned to a catch share program. The catch share program consists of an individual fishing quota (IFQ) program for the shorebased trawl fleet, and cooperative programs for the at-sea mothership and catcher-processor fleets. The Economic Data Collection (EDC) program¹ was enacted as part of these new regulations to monitor the economic effects of the catch share program. Annual economic data submissions are required from all fishery participants: catcher vessels, motherships, catcher-processors, and first receivers and shorebased processors §50 CFR 660.114. Baseline, pre-catch share data, were submitted in 2011 for the 2009 and 2010 operating years. Data for the first year the fishery operated under the catch share program (2011) were submitted in 2012. In the summer of 2017, the EDC Program is in the process of collecting 2016 data.

The EDC Program has enhanced the quantity and quality of economic information available for analysis and the management of the West Coast groundfish trawl fishery. Prior to the EDC Program, the Cost-Earnings (CE) program collected data from participants on a voluntary basis. The response rates for vessels fishing in the Limited Entry Trawl Fishery was 64% for 2003-2004 data collection (two years of data are collected on one form)² and 57% for the 2007-2008 data collection.³ The CE Program only collected data from catcher vessels that delivered shoreside, therefore no cost and earnings data were available for catcher vessels that delivered to motherships, nor from catcher-processors, motherships, or shorebased processors.

This report describes the EDC Program administration and fielding of the surveys, the EDC survey forms, data QA/QC and data processing, and the handling of confidential information. Individual reports are released for each of the four sectors, catcher vessels, motherships, catcher-processors, and first receivers and shorebased processors:

- Economic Data Collection Program, Catcher Vessel Report, 2009-2015 (June 2017)
- Economic Data Collection Program, Mothership Report, 2009-2015 (June 2017)
- Economic Data Collection Program, Catcher-Processor Report, 2009-2015 (June 2017)
- Economic Data Collection Program, First Receiver and Shorebased Processor Report, 2009-2015 (June 2017)

¹ Additional information on the EDC Program, including the EDC data collection forms can be found at www.nwfsc.noaa.gov/edc

² Lian, C.E. 2010. West Coast limited entry groundfish trawl cost-earnings survey protocols and results for 2004. U.S. Department of Commerce, NOAA Technical Memorandum NMFS-NWFSC-107, 35 p.

³ Lian, C.E. 2012. West Coast limited entry groundfish cost-earnings survey: Protocol and results for 2008. U.S. Department of Commerce, NOAA Technical Memorandum NMFS-NWFSC-121, 62 p.

These reports have multiple objectives. The first is to provide basic economic data summaries that can be used for a variety of purposes associated with fishery management. Since much of the data collected are confidential under the Magnuson-Stevens Fishery Conservation and Management Act (MSA) of 2007, the data are summarized as averages or totals for each question on the EDC survey forms. Thus summarized, the reports make the data available to the public for both research and informational purposes.

The second objective is to provide information about the performance of the catch share program. This includes information that can be used to monitor whether and to what degree the goals of the program are being met. These reports are the primary basis for the 5-year review of the catch share program that is mandated in the MSA, as well as the National Marine Fisheries Service (NMFS) National Catch Shares Performance Indicators.

Third, the reports serve as the basis for economic models that are used as part of the PFMC's biennial specification process (SPEX) for groundfish management. These models include the IO-PAC model,⁴ as well as estimates of revenue, costs, and net revenue.

Lastly, and perhaps most importantly, the reports are expected to serve as a useful catalyst for feedback on the data collected and its analysis.

Each of the reports have three sections: Overview, Data Summaries, and Data Analysis. The Overview serves as a short summary of the status of each of the sectors and provides additional insight into patterns shown in the Data Summaries. The Data Summaries act as a comprehensive summary of all submitted data and are meant to be accessible to anyone who is interested in using them while protecting the confidential data. Finally, the Data Analysis section provides more in-depth analysis of the information collected on the EDC forms that are not strictly data summaries. Specifically, the Data Analysis section has three components: cost disaggregation, net revenue and rates (e.g. net revenue per day). Nearly all participants participate in multiple activities on the West Coast and in Alaska, however costs are reported at an annual level. Costs are disaggregated to the fishery level in order to analyze specific components of the catch share program. The second section presents the net revenue calculations by fishery. For catcher vessels, this means combining EDC data with ex-vessel revenue data from fish tickets. Finally, the rates section provides additional context to the data summaries and net revenue analysis.

The scope of these reports will continue to expand, and the methods will be refined with each publication. As such, the data summaries and analyses may change in subsequent years as improvements are implemented.

1.2 Purpose of the EDC Program

The economic benefits of the West Coast groundfish trawl fishery and the distribution of these benefits were expected to change under the trawl catch share program. To monitor these changes, the PFMC proposed the implementation of the mandatory collection of economic data. Using data collected from industry participants, the EDC Program monitors whether the goals of the catch share program are being met. The EDC Program will also help meet the requirements of the MSA for catch share evaluation.

The Council's preferred alternative for Amendment 20 included a mandatory economic data collection provision. This provision, available in Appendix C, enumerated several types of data for mandatory collection that are necessary to study the impacts of the catch share program:

⁴ Leonard, J., and P. Watson. 2011. Description of the input-output model for Pacific Coast fisheries. U.S. Dept. Commer., NOAA Tech. Memo. NMFS-NWFSC-111, 64 p.

Cost, revenue, ownership, employment and other information will be collected on a periodic basis (based on scientific requirements) to provide the information necessary to study the impacts of the program, including achievement of goals and objectives associated with the catch share program.

The provision also referenced the use of the data for other fishery management plan (FMP) actions:

These data may also be used to analyze the economic and social impacts of future FMP amendments on industry, regions, and localities.

The PFMC has enumerated several goals for the groundfish trawl catch share program that involve economic components. These goals include:

- Provide for a viable, profitable, and efficient groundfish fishery
- Increase operational flexibility
- Minimize adverse effects of an IFQ program on fishing communities and other fisheries to the extent practical
- Promote measurable economic and employment benefits through the seafood catching, processing, distribution elements, and support sectors of the industry
- Provide quality product for the consumer
- Increase safety in the fishery

The PFMC has also identified several constraints and guiding principles for the groundfish trawl catch share program:

- Minimizing negative impacts resulting from localized concentrations of fishing effort
- Avoiding provisions where the primary intent is a change in marketing power balance between harvesting and processing sectors
- Avoiding excessive quota concentration
- Providing efficient and effective monitoring and enforcement
- Designing a responsive review evaluation and modification mechanism
- Taking into account the management and administrative costs of implementing and overseeing the IFQ or co-op program and complementary catch monitoring programs with the limited state and federal resources available

The MSA also contains a monitoring requirement to determine whether a limited access privilege program (LAPP) is meeting its goals. §303A.(c)(1)(G) states that any LAPP shall:

include provisions for the regular monitoring and review by the Council and the Secretary of the operations of the program, including determining progress in meeting the goals of the program and this Act, and any necessary modification of the program to meet those goals, with a formal review 5 years after the implementation of the program and thereafter to coincide with scheduled Council review of the relevant fishery management plan (but no less frequent than once every 7 years).

The MSA also places importance on social and economic outcomes resulting from catch share programs. Sec. 303A.(c)(1)(C) states that any limited access privilege program (LAPP) to harvest fish submitted by a Council or approved by the Secretary under this section shall promote social and economic benefits.

1.2.1 EDC Program development and background

The EDC Program regulations and forms were developed with input from the PFMC, the PFMC Scientific and Statistical Committee, the PFMC Groundfish Advisory Subpanel, the PFMC Regulatory Deeming Workgroup, industry members, industry associations and representatives, NGOs, other fishery participants, and public meetings in five coastal communities.

Under the regulations, all members of the West Coast groundfish industry harvesting or processing fish in the catch share program are required to supply economic data. Survey participants include catcher vessels, motherships, catcher-processors, and first receivers and shorebased processors. The economic data are collected through annual surveys of costs, earnings and employment. The EDC Program worked closely with industry members in an effort to develop survey forms that are clear and concise, and to minimize the time required to complete them. Given the relatively small number of participants in the catch share fishery, and the expected consolidation, all members are required to complete the annual surveys.⁵ To measure the effect of the catch share program accurately, fishery level data (*i.e.*, West Coast groundfish trawl) is collected where feasible. The EDC Program will continue to work closely with industry members to improve the clarity and usefulness of the survey forms.

It was determined that an annual data collection would be most beneficial in order to monitor and evaluate the economic effects of the trawl catch share program. Since many factors affect the fishery each year, including environmental, regulatory, economic, and others, a consistent survey providing a time series of information is necessary to determine the effects of the catch share program. Two years of data prior to the catch share program were required to ascertain information about baseline conditions in the fishery.

1.2.2 EDC data uses and analyses

Monitoring the economic effects of a catch share program requires a variety of economic data. In general, the data requirements depend on the types of effects that need to be monitored and the economic models used to estimate them. The primary effects of a catch share program can be captured in two broad areas of economic analysis:

1. Economic performance measures
2. Regional economic impact analysis

Economic Performance Measures

Many of the goals of the catch share program involve increasing the economic performance of the fishing industry, and providing increased net economic benefits to the nation. Economic performance measures include:

- Costs, earnings, and profitability
- Economic efficiency
- Capacity measures
- Economic stability
- Net benefits to society
- Distribution of economic net benefits

⁵ Designing an appropriate sampling scheme is problematic with such a small population, especially with heterogeneous operations and the desire to understand the effects of the catch share program on subpopulations of participants.

- Product quality
- Functioning of the quota market
- Incentives to reduce bycatch
- Market power
- Spillover effects in other fisheries

Estimation of economic performance measures requires information on the costs and earnings of harvesters and processors. Some of the above performance measures are derived through a tabulation of the data, while others require more sophisticated models such as cost function estimation, capacity models, and economic behavioral models. Northwest Fisheries Science Center staff and other economists, as well as researchers in other fields⁶ will use the data over time to monitor the effects listed.

Regional Economic Impact Analysis

One common concern associated with catch share programs is their potential effect on regional economies. Some of these effects may increase the regional economic impacts of the fishery (e.g., increased harvest of under-utilized target species), while others may decrease the regional economic impacts of the fishery (e.g., fleet consolidation). In general, the catch share program will likely affect different regional economies in different ways.

Regional economic modeling involves quantifying these changes by tracking the expenditures of all businesses, households, and institutions within a given geographic region. The formal study of these economic relationships is done through input-output analysis, which analyzes the direct, indirect and induced effects, and the resulting economic multipliers associated with each business sector in the regional economy. An input-output model estimates:

- Economic contribution (income and employment) of the fishery to regional economies
- Distributional effects between fishing sectors
- Distributional effects across regional economies
- Measures that can be used to help evaluate community fishery dependence

Input-output models require data on the cost and earnings of harvesters and processors. They also require information about the location of the expenditures so they can be properly assigned to particular regional economies. On the Pacific coast, the NWFSC's IO-PAC model⁷ is used to estimate regional economic impacts.

The rest of this report is organized as follows:

- Section 2: EDC Survey Population, Protocols, and Response Rates
- Section 3: Description of EDC survey forms
- Section 4: QA/QC Process
- Section 5: Data Processing
- Section 6: Previous Data Collections

⁶ As discussed elsewhere in this report, only NOAA economists or contractors will have access to the disaggregated data.

⁷ Leonard, J., and P. Watson. 2011. Description of the input-output model for Pacific Coast fisheries. U.S. Dept. Commer., NOAA Tech. Memo. NMFS-NWFSC-111, 64 p.

2 EDC Survey Population, Protocols, and Response Rates

2.1 EDC participants

Participation in the EDC Program is mandatory according to 50 CFR 660.114.¹ The regulations require submission of an EDC survey form to gather ongoing, annual data for 2011 and beyond, as well as a one-time collection of baseline economic data from 2009 and 2010.

The EDC Program uses four separate forms to collect data from six participant groups. These participant groups are listed below by form type:

1. Catcher vessel form

- Limited entry trawl catcher vessel owners: The owner of a catcher vessel with a limited entry trawl permit.
- Limited entry trawl catcher vessel lessees or bareboat charterers: A lessee or bareboat charterer of a catcher vessel with a limited entry trawl permit.

2. Mothership vessel form

- Motherships: For the baseline data collection, mothership participants are owners and lessees of a mothership vessel that received whiting in 2009 or 2010 according to the NMFS' NORPAC database. For 2011 and beyond, regulations define mothership participants as owners and lessees of a mothership vessel registered to a mothership permit at any time in the survey year.

3. Catcher-processor vessel form

- Catcher-processors: For the baseline data collection, catcher-processor participants are owners and lessees of a catcher-processor vessel that received whiting in 2009 or 2010 according to the NMFS' NORPAC database. For 2011 and beyond, regulations define catcher-processor participants as owners and lessees of a catcher-processor vessel registered to a limited entry trawl permit with a catcher-processor endorsement at any time in the survey year.

4. First receiver and shorebased processor form

- First Receivers: For the baseline data collection, regulations define first receiver participants as owners and lessees of a shorebased processor, and all buyers that received groundfish or whiting harvested with

¹ A link to the regulations can be found at the EDC Program website: www.nwfsc.noaa.gov/edc.

a limited entry trawl permit in 2009 or 2010 according to the state fish ticket database. For 2011 and beyond, this group is defined as all owners of a first receiver site license (FRSL).

- Shorebased Processors: Owners and lessees of a shorebased processor that received round or headed-and-gutted IFQ groundfish or whiting from a first receiver in 2011 and beyond.

Survey participants are identified using the definitions provided above. For the baseline period, NMFS West Coast Regional Office Groundfish Fisheries Permits Office (the Permit Office) provided the contact information for vessel owners, including catcher vessels, catcher-processors, and motherships. Contact information for buyers that received groundfish or whiting harvested with a limited entry trawl permit in 2009 or 2010 were identified using fish tickets and contact information was obtained directly from the state agencies. Lessees were identified using information provided by the vessel owner on their form. As described in the form descriptions contained in Section 3, each vessel form asks for the contact information of any entity that leased the vessel during the survey year.

For 2011 and subsequent years, contact information for all vessels and first receivers is obtained from the Permit Office. There is currently no method to identify shorebased processors that received round or headed-and-gutted IFQ groundfish, but do not have a first receiver site license.

2.2 Regulations for complete EDC survey forms

The regulations describe the consequences for failure to complete all required EDC forms. A “complete” EDC survey form is defined as a form that contains responses for all data fields, which include but are not limited to costs, labor, earnings, activity in a fishery, vessel or plant characteristics, value, quota, operational information, location of expenditures and earnings, ownership information and leasing information. The potential implications of noncompliance for each group are listed below:

1. Catcher vessel form

- Permit owners: a limited entry trawl permit application (including MS/CV-endorsed limited entry trawl permit) will not be considered complete until the required EDC for that permit owner associated with that permit is submitted, as specified at §660.25(b)(4)(i).
- Vessel owners: participation in the groundfish fishery (including, but not limited to, changes in vessel registration, vessel account actions, or if own quota share permit, issuance of annual quota pounds or IBQ pounds) will not be authorized until the required EDC for that owner for that vessel is submitted, as specified, in part, at §660.25(b)(4)(v) and §660.140(e).
- Vessel lessees or charters: participation in the groundfish fishery (including, but not limited to, issuance of annual quota pounds or IBQ pounds if own quota share or IBQ) will not be authorized, until the required EDC for their operation of that vessel is submitted.

2. Mothership vessel form

- Permit owners: For permit owner, an MS permit application will not be considered complete until the required EDC for that permit owner associated with that permit is submitted, as specified at §660.25(b)(4)(i).

- Vessel owners: participation in the groundfish fishery (including, but not limited to, changes in vessel registration) will not be authorized until the required EDC for that owner for that vessel is submitted, as specified, in part, at §660.25(b)(4)(v).
- Vessel lessees or charters: participation in the groundfish fishery will not be authorized, until the required EDC for their operation of that vessel is submitted.

3. Catcher-processor vessel form

- Permits owners: a C/P-endorsed limited entry trawl permit application will not be considered complete until the required EDC for that permit owner associated with that permit is submitted, as specified at §660.25(b)(4)(i).
- Vessel owners: participation in the groundfish fishery (including, but not limited to, changes in vessel registration) will not be authorized until the required EDC for that owner for that vessel is submitted, as specified, in part, at §660.25(b)(4)(v).
- Vessel lessees or charters: participation in the groundfish fishery will not be authorized, until the required EDC for their operation of that vessel is submitted.

4. First receiver and shorebased processor form

- A first receiver site license application will not be considered complete until the required EDC for that license owner associated with that license is submitted, as specified at §660.140(f)(3).

2.2.1 Compliance

Compliance with the EDC regulations is promoted in three ways. First, the EDC Program contacts all entities with incomplete² forms via phone and mail (Figure 2.1) in collaboration with the Permit Office, the NMFS Office of Law Enforcement (OLE), and the NOAA Office of General Council (GC). During communication attempts, the EDC Program staff informs the participant that the form is required as part of the catch share program and that all submissions must have an answer to each question. The participant is also told that the Permit Office may be not be able to process administrative actions for the entity and that failure to submit an EDC survey form may be a violation of the Magnuson-Stevens Act. If this issue is not resolved through this process, other actions may be taken.

The second way compliance is promoted is through the Permit Office. The EDC Program and the Permit Office coordinate to encourage all entities to submit complete forms. The Permit Office has access to the EDC administration database and uses this information to confirm that an entity has completed all required EDC survey forms. The Permit Office requires submission of a complete EDC form as part of the application process for renewing limited entry permits, quota share accounts, vessel accounts, changing vessel registration, issuance of first receiver site licenses, and issuance of quota pounds or bycatch pounds. For this reason, the Permit Office will not review renewals of trawl-endorsed limited entry permits, quota share permits and accounts, vessel accounts, or issuance of first receiver site licenses until all associated surveys are complete (Figure 2.1). To date, no entity has been prevented from participating in a fishery or serving as a first receiver due to failure to submit a completed EDC survey form.

If these coordinated efforts do not result in compliance, the EDC Program can involve OLE. To date, OLE has only become involved when which the entity does not have any pending administrative actions from the Permit

² Incomplete forms include forms that have been submitted with missing responses or forms that have never been submitted.

Office. In these cases, NMFS reserves the right to conduct verification of economic data with the submitter of the form (§660.114(e)(1)). This process is referred to as an audit in the regulations. To initiate an audit, the EDC Program sends a letter via certified mail to the participant. The letter, drafted with assistance from the Permit Office, the OLE, and GC, contains information about the issues that need to be resolved, an explanation of the audit procedure, and instructions on how to resolve the issues. The participant has 20 days to respond to the audit or the participant may be considered in violation of the Magnuson-Stevens Act (§660.114(e)(2)). At this point, the OLE may initiate an investigation.

2.3 Administration of the EDC forms

2.3.1 Mailings and deadlines

Forms are mailed to all participants identified by the Permit Office, and any lessees of vessels identified by vessel owners. The forms are mailed to participants in the beginning of May and are due on September 1 of the same year. Participants submit data from the previous fiscal year. For example, in May 2016, the 2015 EDC survey forms were mailed to participants and the participants completed the form for their 2015 fiscal year. Although the EDC survey forms are labeled for a particular calendar year, the data submitted is for that participant's fiscal year. Participants are instructed to use the fiscal year with the greatest overlap with the calendar year of the form. Because much of the information requested on the forms can be found on the participant's tax forms, this schedule for administering the forms is designed to allow most entities to complete their taxes before the deadline for EDC form submission.

In the first years of the EDC Program, the EDC mailing packets included a cover letter, an EDC fact sheet (Appendix A), and a copy of the form (Appendix G). The cover letter provides information such as the corresponding regulations that mandate that the entity submit a complete form, instructions on how to complete the form, descriptions of recent changes that have been made to the form since the previous year, and some guidance based on frequently asked questions. In recent years, sector-specific infographics³ have been included instead of the fact sheets.

Starting with the 2013 data collection, participants were provided an online option for submitting their forms. Participants are mailed web form IDs along with instructions for creating a password, entering data, and submitting data.

The definition of a "complete" form is provided in both the cover letter and on the first page of each form. The participants are instructed to answer "NA" if the question is not applicable.

A reminder letter is mailed approximately one month before the September 1 submission deadline to participants who have not submitted a form or who have submitted an incomplete form.

2.3.2 Form submission processing

As stated previously, an EDC survey form must be complete to meet the regulatory requirements of the EDC Program. For this reason, there is a system for tracking the status of each required form by entity (Figure 2.1).

³ See full reports for most recent infographics.

The EDC administration database was designed and implemented in the spring of 2011 to track receipt and processing of each form. For the purposes of this report, an entity is defined as a unique combination of vessel owner or lessee and vessel. There is a distinct entry for each unique combination of entity and survey year. Every communication with survey participants is logged in order to provide an administrative record for any potential enforcement actions. The date a form was received, the number of missing responses, and any potential issues found on the form are logged in the database. Additionally, the date of determination is recorded. The determination date is updated whenever the “complete” status of a form is changed. This determination date is used by the Permit Office to determine eligibility for potential administrative actions.

The number of missing answers on the form is used to determine which of two methods is used to complete the form. If there are ten or fewer missing answers, the participant may provide the information over the phone and the EDC Program staff will record that information on the form. If there are more than ten missing answers, the participant is required to submit the missing information via mail or fax. This system is used to avoid the potential for communication or transcription errors.

For any issues related to a form, EDC staff will contact the participant via phone and mail to resolve any issues on the forms. Occasionally, communications will be made via email, but no confidential information is included in these communications because email is not considered a secure method of communication.

Participants can request help completing their form by email, fax, or through a toll-free phone number. Through continued conversations with participants, EDC staff attempt to ensure that participants understand the survey questions as thoroughly as possible to ensure the highest possible data quality.

A separate process for assessing and resolving the accuracy of the data on the form is discussed in Section 4, the QA/QC Process.

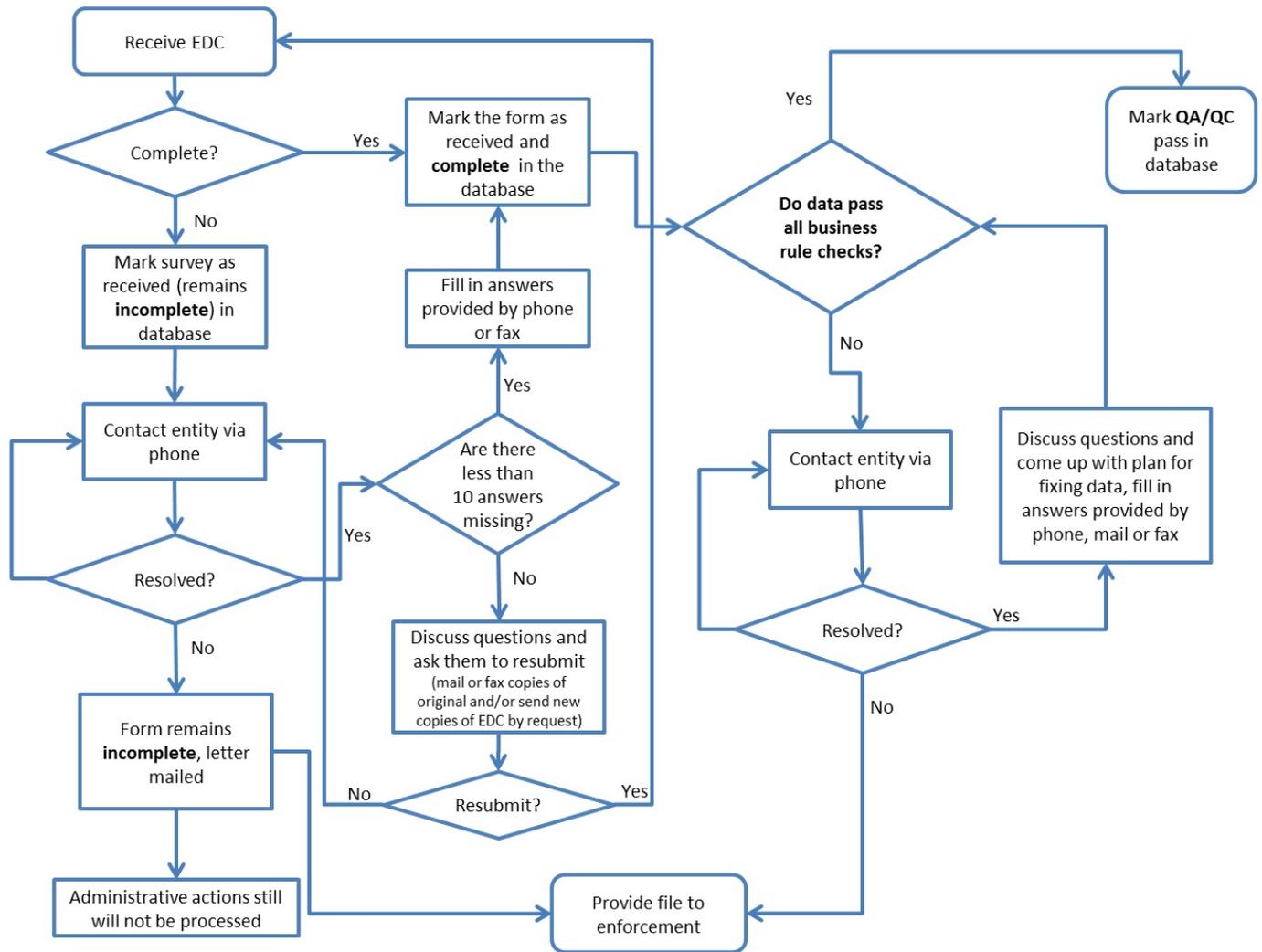


Figure 2.1: Procedures for processing EDC survey forms.

2.4 Survey response rates

Tables 2.1 through 2.4 summarize the disposition of the 2009-2015 forms. Since 2009, participant compliance in submitting complete surveys has improved. In 2015, 99% of vessel owners required to submit an EDC form submitted a complete form, significantly improved from the 88% in 2009 (Table 2.1). Since 2009, all motherships and catcher-processors have submitted completed forms each year (Tables 2.2 and 2.3). First receivers and shorebased processors had the lowest response rates in early years, but has been above 90% since 2011 and was 100% in 2014 (Table 2.4). Despite the lower response rates in 2009 and 2010 for first receivers and shorebased processors, the responses still accounted for over 90% of all groundfish purchases on the West Coast in those years.

Table 2.1: Catcher vessel survey response rates. Number of vessels that were required to submit forms, the number that were submitted as complete, incomplete, or never submitted (N = number of vessels required to submit a form, % = percent of all vessels that submitted a form that were required to do so in a given year).

	2009		2010		2011		2012		2013		2014		2015	
	N	%	N	%	N	%	N	%	N	%	N	%	N	%
Complete	148	88%	150	93%	166	97%	154	99%	150	99%	149	100%	145	99%
Incomplete	6	4%	1	1%	2	1%	0	0%	0	0%	0	0%	0	0%
Never Submitted	14	8%	11	7%	4	2%	2	1%	2	1%	0	0%	1	1%

Table 2.2: Catcher-processor survey response rates. Number of catcher-processors that were required to submit forms, the number that were submitted as complete, incomplete, or never submitted (N = number of vessels required to submit a form, % = percent of all vessels that submitted a form that were required to do so in a given year).

	2009		2010		2011		2012		2013		2014		2015	
	N	%	N	%	N	%	N	%	N	%	N	%	N	%
Complete	7	100%	8	100%	10	100%	9	100%	10	100%	9	100%	9	100%

Table 2.3: Mothership survey response rates. Number of motherships that were required to submit forms, the number that were submitted as complete, incomplete, or never submitted (N = number of vessels required to submit a form, % = percent of all vessels that submitted a form that were required to do so in a given year).

	2009		2010		2011		2012		2013		2014		2015	
	N	%	N	%	N	%	N	%	N	%	N	%	N	%
Complete	6	100%	8	100%	8	100%	7	100%	6	100%	7	100%	6	100%

Table 2.4: First receiver survey response rates. Number of companies that were required to submit forms, the number that were submitted as complete, incomplete, or never submitted (N = number of companies required to submit a form, % = percent of all companies that submitted a form that were required to do so in a given year).

	2009		2010		2011		2012		2013		2014		2015	
	N	%	N	%	N	%	N	%	N	%	N	%	N	%
Complete	37	67%	45	78%	49	96%	50	93%	50	94%	46	100%	46	98%
Incomplete	0	0%	0	0%	1	2%	2	4%	1	2%	0	0%	0	0%
Never Submitted	18	33%	13	22%	1	2%	2	4%	2	4%	0	0%	1	2%

2.5 Protection of confidential data

NOAA is authorized under the MSA to collect proprietary or confidential commercial or financial information. The EDC Privacy Act Statement (Appendix F) is mailed to each participant along with the paper form and the Statement is also made available to web form users. The MSA specifies how the data should be handled, who should have access to it, and how information should be released.

The EDC Program complies with the MSA to ensure that the identity of the submitter will only be accessible to the following:

1. Personnel within NMFS responsible for the collection, processing, and storage of the statistics.
2. Federal employees who are responsible for FMP development, monitoring, and enforcement.
3. Personnel within NMFS performing research that requires confidential statistics.
4. Other NOAA personnel on a demonstrable need-to-know basis.
5. NOAA/NMFS contractors or grantees who require access to confidential statistics to perform functions authorized by a Federal contract or grant.

Any information provided to any person other than those listed above will be aggregated so that no statistic identifies the submitter of the data. Data are also aggregated so that no value is displayed that represents fewer than 3 entities, and no single entity represents 90% of any individual statistic. In addition to ensuring that publicly available information does not contain disaggregated confidential information, other safeguards have been put into place throughout the data collection and analysis processes. Anyone that has access to non-aggregated data must sign a non-disclosure agreement (Appendix D).

The EDC Program has identified several key points where confidential data need to be safeguarded. At each of these points, a procedure has been adopted to protect the confidentiality of the data. The paper forms are received and logged into the EDC administrative database, the data are entered into the EDC responses database, and the paper forms are secured in a locked file cabinet. Only NOAA employees with NWFSC keycards can access the room where the file cabinets are stored. Only Northwest Fisheries Science Center (NWFSC) economists have access to the file cabinets.

All digital information from the survey is stored on a secure server. The files on the server include the contact lists for survey participants, copies of letters sent to participants, analyses using raw data, the EDC administrative database, and the survey responses database. The secure server is password protected and only NWFSC economists and senior IT support staff have the ability to access the information.

It is common when a participant is resubmitting a form that they submit their information by fax or mail. The EDC Program has a fax machine that is dedicated to receiving EDC data and is located in the same room with the locked file cabinets.

Email submission of confidential information is discouraged, as it is not considered secure. On the occasion that confidential data are sent via email, EDC staff prints the email, files it in the secure file cabinet, and then permanently deletes the information. Unused or outdated paper records with confidential information are shredded.

3 Description of EDC survey forms

EDC survey forms are designed to be clear and elicit consistent responses. A few revisions were made to the original forms that were used to collect baseline data in order to clarify questions and instructions. Any changes between the 2009/2010 and subsequent forms are briefly described below. Forms for all years can be found at the EDC Program form archive¹ and the 2015 forms appear in Appendix G.

Form question types are divided into six categories: contact information, vessel characteristics, capitalized expenditures, quota and permit expenses, annual expenses, annual earnings, and crew share.

3.1 Catcher vessel form

Contact information

The first part of the form includes administrative information, including contact information for the owner of the vessel, lessee of the vessel (if applicable), and the person who filled out the form. A sub-question asking for lease dates was added in 2011. This information enables the calculation of revenue associated with each form submission.

Vessel characteristics

This section includes information about the vessel and the fisheries in which it participates. These fields include total fuel use and average fuel use, speed, crew size, and total days at sea by fishery. In the days at sea question, the category “Other West Coast fisheries” was added to the list of fisheries on the 2011 form. In 2013, a new question was added, “Provide the total number of individuals who worked for you” to provide an upper bound of the total number of people employed by the sector. Starting with the 2015 data collection, an additional fishery was added, “Non-whiting midwater trawl gear”. This fishery did not exist when the EDC survey was first implemented, but with the rebuilding of widow and canary rockfish, vessels have begun participating in the fishery.

Capitalized expenditures

Capitalized expenditures include vessel and on-board equipment, fishing gear, and processing equipment. The total expenditures on vessel and on-board equipment is requested on the form; where “total” includes all expenditures made on operations in all fisheries, including Alaska. Other capitalized expenditure categories include fishing gear

¹ www.nwfsc.noaa.gov/research/divisions/fram/economic_data.cfm

and processing equipment is broken out into expenditures for West Coast fisheries and expenditures that are shared by West Coast fisheries and Alaska. This distinction was made in an attempt to focus on expenditures pertinent only to West Coast operations, which, in some cases, may be impossible to wholly separate from expenditures for Alaska and other fisheries.

Changes have been made to this question three times since the beginning of the program. These changes have been made in response to participants explaining that they do not track on-board equipment separately from fishing gear, and also that they do not understand the difference between capitalized expenditures and expenses. In response to these concerns, in 2011, clarifications were made to the definitions of these expenditures categories. Then in 2013, an additional Yes/No question was added, allowing participants to check the box that they “do not track equipment separately from fishing gear” and then they were permitted to report the combined expenditures/expense. Finally, in 2014, the question was modified again, combining the capitalized expenditures and expenses question, so participants are no longer required to report capitalized expenditures separately from expenses.

Quota and permit expenses

This section includes the total expenses on purchase and lease of quota shares, quota pounds, limited entry trawl permits and limited entry fixed gear permits. Due to a moratorium on the sale of quota share through 2014, participants had only been allowed to lease quota shares. The only change to this section was in 2011 when the response table was reformatted.

Annual expenses

This section contains a list of twenty-three expense categories, including captain and crew wages, travel, observer fees and electronic monitoring, fishing association and commission costs, state licensing and federal permit fees, fuel, food, ice, bait, off-load fees, freight, other supplies, communications, trucking of fish to buyer, insurance, moorage, lease or bareboat charter fees, depreciation, and quota and permit lease and purchase fees. In this same section, the number of pounds landed in Alaska is requested, and is used to disaggregate the shared expenses between the West Coast and Alaska. There is also a question about whether fish were processed on-board. Few changes were made in 2011: the expense “Commission costs” was appended to “Fishing association costs” and “State licensing and Federal permit fees” was added as a separate category.

Annual earnings

The annual earnings section asks for West Coast at-sea deliveries to motherships, Alaska shoreside landings and at-sea deliveries, and sale and lease of permits, quota shares, and quota pounds. Additionally, earnings from salmon disaster relief payments and chartering or research or leasing vessels are requested. This section does not ask for West Coast shoreside landings because this information can be obtained from state fish ticket data.

Crew share

The last section of the form covers the crew share system used on the vessel while participating in the groundfish fishery. This section uses checkboxes for participants to indicate which expenses are deducted from gross revenues before calculating crew shares. “Buyback fees” were added to the list of expenses that could be deducted from total revenue before calculating the crew share.

The last page of the form asks how often the vessel owner serves as captain. This section also includes two questions that ask about the percentages that are paid to crew, captain, and vessel. The first question regards trips when the owner serves as captain and the second is when there is a hired captain on-board. Two “other” category fields were added to the crew share percentage categories in 2011, to account for potential items that were not previously listed.

3.2 Catcher-processor form

Contact information

Like the catcher vessel forms, the catcher-processor form begins with a series of questions about the vessel characteristics, permit information, and contact information for the individual completing the report (and lessee, where applicable), and the same questions regarding the vessel valuation as the catcher vessel survey.

Vessel characteristics

The form solicits information about fuel use and days at sea for processing and steaming on the West Coast, steaming between the West Coast and Alaska, for various activities relating to participation in the West Coast whiting fishery and Alaska fisheries. Participants are asked to provide the number of one-way trips to Alaska, as well as the average number of processing and non-processing crew members. In 2013, a new question was added, “Provide the total number of individuals who worked for you” to provide an upper bound of the total number of people employed by the sector.

Capitalized expenditures

This section of the form relates to capitalized expenditures, both shared with Alaska and for the West Coast whiting fishery only. The capitalized expenditure categories are new and used vessel and on-board equipment, processing equipment, and fishing gear. Starting with the 2014 form, the catcher vessel form was modified to collect capitalized expenditures and expenses, combined. This was done because many participants had difficulty understand the differences between the two types of outlays. Also, it was determined that the reporting of capitalized expenditures separately from expenses was not relevant to our economic analyses.

Permit expenses

Participants provide the total cost of permit expenses, which includes a section for the purchase and lease of co-op shares on the catcher-processor forms.

Annual expenses

The section on annual expenses includes crew travel, observer fees, fuel and lubrication, food, freight to the vessel on supplies, communications, offloading, and other supplies that includes items such as linens, clothing, or cleaning supplies. There are also categories for repair and maintenance on fishing gear both shared and for West Coast whiting only, processing equipment repair and maintenance, vessel and on-board equipment repair and

maintenance. The form asks for all expenses on insurance premium payments, moorage, lease or bareboat charter, and depreciation. In addition to basic vessel operating costs, the form asks for co-op dues and membership fees, Marine Stewardship Council fees, additives, packing materials, and on-board cargo and product insurance. This section also includes crew expenses, differentiated between processing and non-processing crew.

Offload port

This portion of the form requests the percentage of total offload value by port, where port locations include Seattle, Blaine or Bellingham, Port Angeles, Westport or Hoquiam, Astoria, Coos Bay, At sea (tramper), and Other.

Revenue

This section is designed for the participant to provide the round weight of all fish processed in all fisheries, which includes Alaska and other fisheries outside the West Coast. Values for revenue resulting from the sale or lease of permits are also requested in this section, along with revenue resulting from a lease or bareboat charter of the vessel. Lastly, the catcher-processor survey asks for revenue information resulting from the sale or lease of quota shares and pounds.

3.3 Mothership form

Contact information

Like the catcher vessel forms, the mothership form begins with a series of questions about the vessel characteristics, permit information, and contact information for the individual completing the form (and lessee, where applicable), and the same questions regarding the vessel valuation as the catcher vessel survey.

Vessel characteristics

The mothership form asks for information about fuel use and days at sea for processing and steaming on the West Coast, steaming between the West Coast and Alaska, for various activities relating to participation in the West Coast whiting fishery and Alaska fisheries. Participants are asked to provide the number of one-way trips to Alaska, as well as the average number of processing and non-processing crew members. In 2013, a new question was added, "Provide the total number of individuals who worked for you" to provide an upper bound of the total number of people employed by the sector.

Capitalized expenditures

The second section of the form relates to capitalized expenditures, both shared with Alaska and for the West Coast whiting fishery only. The capitalized expenditure categories are new and used vessel and on-board equipment, processing equipment, and fishing gear.

Permit expenses

In this section, participants provide the total cost of permit expenses.

Annual expenses

The next section collects annual expenses. This includes expenses on crew travel, observer fees, fuel and lubrication, food, freight to the vessel on supplies, communications, offloading, and other supplies that includes items such as linens, clothing, or cleaning supplies. There are also categories for repair and maintenance on fishing gear both shared and for West Coast whiting only, processing equipment repair and maintenance, vessel and on-board equipment repair and maintenance. The form asks for all expenses on insurance premium payments, moorage, lease or bareboat charter, and depreciation. In addition to basic vessel operating costs, the mothership form asks for co-op dues and membership fees, additives, packing materials, on-board cargo and product insurance, and crew-related expenses differentiated between processing and non-processing crew.

Fish purchases

The mothership form asks for the weight and costs for fish purchased on the West Coast, separated into a category for whiting and a category for all other species.

Offload port

Like the catcher-processor form, the mothership form asks for the percentage of total offload value by port, where port locations include Seattle, Blaine or Bellingham, Port Angeles, Westport/Hoquiam, Astoria, Coos Bay, At sea (tramper), and Other.

Revenue

The form requests the round weight of all fish processed in all fisheries, which includes Alaska and other fisheries outside the West Coast. This question provides information that can be used to allocate costs between the West Coast and Alaska activities without requiring more detail about these vessels' Alaska operations. Values for revenue resulting from the sale or lease of permits are also requested in this section, along with revenue resulting from a lease or bareboat charter of the vessel.

3.4 First receiver and shorebased processor form

Both first receivers and shorebased processors fill out the same type of form.

Contact information and facility appraisal value

The first portion of the first receiver and shorebased processor forms asks for state identification numbers, as well as general contact information about the facility and the person filling out the form. This includes questions about the appraisal value of the facility.

Capitalized expenditures on buildings and machinery

This section covers capitalized expenditures on buildings and machinery.

Employees

Participants provide the number of production workers and total hours worked during the week including the twelfth day during each month to provide a general idea of seasonal shifts in labor. Production workers include workers involved in processing, assembling, inspecting, receiving, packing, warehousing, shipping, maintenance, repair, janitorial, product development, or transporting product on-site, as well as the line-supervisors. A subsequent question asks for the number and hours of all other non-production employees, including other supervisors, and individuals involved in sales, advertising, credit, collection, installation, cafeteria, record-keeping, clerical, and routine office functions, guard services, executive, purchasing, finance, and legal. The final question in this section asks for labor expenses for both employee categories, including wages, bonuses, benefits, payroll taxes, and employment insurance. In 2013, a new question was added, "Provide the total number of individuals who worked for you" to provide an upper bound of the total number of people employed by the sector.

Expenses

This section includes selected expenses and depreciation, specifically quota expenses, utilities, rental or lease payments, repair and maintenance costs, depreciation, custom processing fees, and other expenses. Other expenses include shoreside monitoring costs, offloading expenses, production supplies, cleaning and custodial supplies, packing materials, freight costs, non-fish additives, off-site product freezing and storage, communications and office supplies, insurance payments, property and excise taxes, and licensing fees. The final portion of this section asks for weight and cost of groundfish purchases by landing origin, including the West Coast, Alaska, and Canada.

Fish purchased and received

The fish received portion of the survey asks for weight of fish paid and not paid for, and the gross cost of fish paid for from vessel sources, including limited entry trawl, limited entry fixed gear, other vessels, and then non-vessel sources. This section is subdivided into more than twenty species categories, adding categories for arrowtooth flounder, pacific sanddab, and sturgeon on the 2011 forms in response to participant feedback on the 2009 and 2010 forms. The 2011 forms also added a column asking for total weight not paid for transfers from outside the given facility, to capture fish transferred between different facilities belonging to a single parent company.

Earnings

Participants provide information about the total weight and total value of fish production by fish type and product type, including fresh, frozen, unprocessed, and other. Other earnings sources that participants can report on the form include custom processing revenue, offloading earnings, sale and lease of quota, and earnings from insurance settlements.

4 QA/QC Process

The EDC Program has implemented several processes in order to ensure high quality data. These processes include double-key entry of all data, business checks to ensure consistency of data within a form, and business checks to ensure that data provided on forms are consistent with external data. Each process is summarized separately below. Figure 4.1 describes the full set of processes, including how discrepancies are resolved.

4.1 Double-key entry

In order to limit the number of errors introduced by data entry mistakes, data from each paper form are double-key entered by two different EDC staff members. For the 2009-2011 data collections, data were entered into fillable pdfs (Figure 4.1). Beginning in 2012, the data were entered into a web form. Once the data have been entered twice, an economist confirms that there are no mismatched entries and corrects any miskeys that may have occurred. The data are then loaded into a database where both copies of the data are stored. A program then runs additional checks to ensure that there are no mismatched entries, and does a few simple cleaning steps, such as converting all text to uppercase, standardizing address formats, and removing non-alphanumeric characters. The phone and fax fields are similarly standardized. If any entries still do not match, a flag is created, and the mismatched data will not be available to the economist until the miskey has been resolved. Any changes to the data are “journalled” and the database tracks which user made the changes. There is no double-key entry forms for forms entered by user directly into the EDC web forms.

4.2 Data validation

The EDC Program developed a set of business checks to look for potential inaccuracies in the information provided on the forms. These checks are designed to both identify inconsistencies with the information provided within a specific form, and to check for inconsistencies with external data.

The data checks can be separated into two different categories: “true errors” and “potential problems”. “True errors” refer to a set of data points that when combined together cannot be correct; whereas “potential problems” are a data point or set of data points that seem unlikely to be correct, but could be correct. One example of a “true error” is a when a participant provides revenue from fishing in Alaska greater than zero, but also records that they spent zero days fishing in Alaska. It is impossible that both data points are true and therefore this is classified as a “true error”. An example of a “potential problem” is a form where the value recorded for a capitalized investment on fishing gear is exactly the same as the value recorded for expenses on fishing gear. In

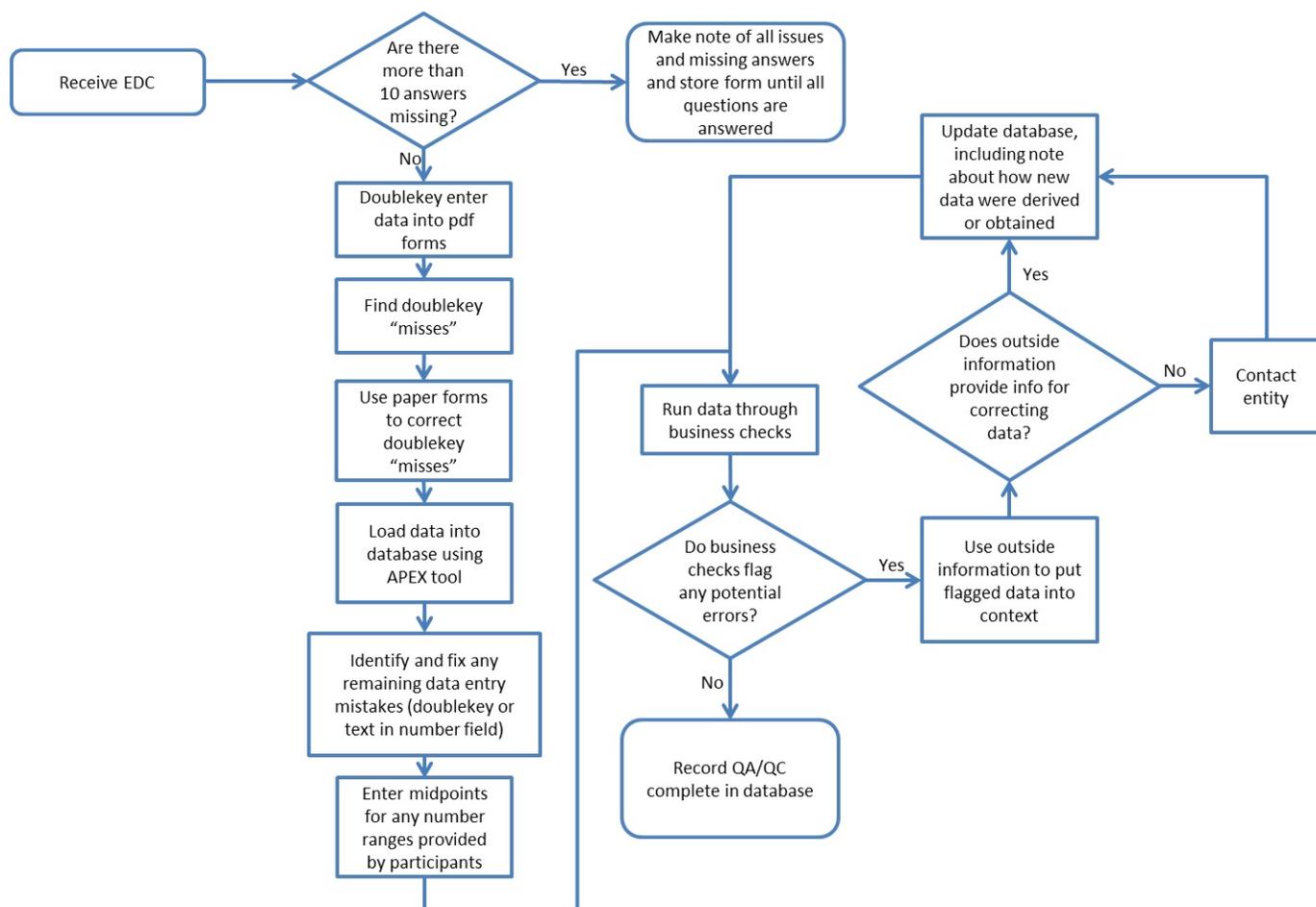


Figure 4.1: EDC data processing decision tree, including QA/QC steps.

this case, it is possible that these values could be identical, but it is more likely that the value was mistakenly entered twice. In both cases, the participant is contacted to obtain additional information.

The set of business checks continues to expand and evolve as the EDC Program matures. One important way the checks continue to improve is through the collection of additional years of data. More years of data provide staff economists with a better understanding of “typical” responses. Similarly, staff have a clearer understanding of common mistakes and are better able to both identify the issues and work with participants to correct them. The business checks have also improved over time with the incorporation of outside data such as Permit Office data, quota data, observer data, AKFIN data, and fish ticket data.

4.2.1 External data

External data are an essential source of information for conducting business checks to validate the data. Data sources include state fish ticket data, At-Sea Hake Observer Program (A-SHOP), West Coast Observer Program (WCGOP), West Coast Region Permit Office data, quota transactions data, and Alaska Commercial Fisheries Entry Commission (CFEC). These data provide context to the information provided on the forms and allow for a more productive conversation when contacting survey participants. The West Coast Groundfish Observer Program data

are used to determine when the vessel left port to go fishing and when it returned. This allows for an additional check on the days at sea provided on the form.

State fish ticket data, available through PacFIN, are used to validate information about fishery participation. The data provide the weights and ex-vessel revenue by species and delivery location. For all landings, both the entity that purchased the fish and the vessel that landed the fish are identified on a daily level. A complete description of how fish ticket data are combined with EDC data can be found in section 5.1.

At-sea deliveries are not recorded in the state fish ticket records. This information is obtained from the A-SHOP. This database has a similar format to the state fish ticket data, with daily information about at-sea deliveries by species and includes both the catcher vessel that caught the fish and the mothership that purchased the fish, or the catcher-processor that caught and processed the fish. In addition to the delivery information, A-SHOP also provides information about when the motherships and catcher-processors left the dock so that trip lengths can be calculated. A complete description of how A-SHOP data are combined with EDC data can be found in section 5.1.

Similar to the trip information provided by A-SHOP, the WCGOP provides departure and return information about the shoreside catcher vessels so that trip lengths can be calculated.

The Permit Office maintains a historical database of the owner and holder of every limited entry permit. The vessel owner can be different from the owner of the permit, if the vessel owner is leasing the permit from another company. Additionally, starting in 2011, the Permit Office also maintains a record of all holders of first receiver site licenses. These licenses are not transferable and are entity and location-specific.

AKFIN provides an annual list of all catcher vessels identified by the EDC Program that fished in Alaska during that year. This list is created by combining the Coast Guard vessel identification numbers provided by the EDC Program with Alaska commercial fishing vessel licenses information provided by the CFEC.

4.2.2 Catcher vessel form business checks

The internal business checks for catcher vessels are predominantly checks for “true errors”. Consistency checks are performed using external data; primarily permit data, fish ticket data, at-sea deliveries information, and information about whether the vessel fished in Alaska. These external checks are primarily used to provide context to the responses provided on the forms. For example, a form may have conflicting information about whether the vessel fished in Alaska. In this case, Alaska fish ticket data can be used to determine whether the vessel participated in that fishery. Reports are automatically generated detailing potential data quality issues for each participant, enabling NWFSC staff to also compare responses across years for each single participant. In these reports, data in each year are compared to the average responses across all participants and are flagged if they appear to be outliers (they fall outside the 99% confidence interval for the mean of those responses). A full list of all of the business checks performed can be found in Appendix E.

Checks regarding Alaska operations include the days at sea fishing in Alaska, the days steaming between the West Coast and Alaska, the number of trips to and from Alaska, the total round weight of landings and at-sea deliveries, and the total revenue from the landings and deliveries. A check is performed to ensure that if any one question implies that the vessel participated in an Alaska fishery, then the respondent provides all of the other relevant Alaska operational information.

A similar check is performed for other fishery activities. The checks ensure that if a vessel participated in a particular fishery, according to fish ticket data, then the participant provides all of the following information: the

average fishing speed (where relevant), the average daily fuel use, the average crew size, and the total days at sea spent in the fishery. Likewise, if a participant indicates that they did not participate in a particular fishery, a flag is generated if a different response conflicts with that answer. For example, if a participant indicates that they did not participate in any Alaska fisheries, but they recorded a capitalized expenditure for equipment that was shared between the West Coast and Alaska.

The 2009 and 2010 data collection forms asked whether the vessel harvested fish. If the vessel did not harvest fish during the survey fiscal year, then they were only required to answer a small subset of the questions on the forms. If a vessel respondent indicated the vessel did harvest fish, this response was verified using state fish ticket, At-Sea Hake Observer Program data, and Alaska fish ticket data.

The EDC data are joined with the quota transaction database (QTD) to compare the total costs and earnings reported on the EDC form with the costs and earnings recorded in the transactions database. It is expected that the total costs/earnings reported in the QTD will be less than those reported on the EDC forms because the value of the trade is often not known at the time of the transaction. If the costs/earnings reported on the EDC form are less than the QTD then the participant will be contacted. These tables also used to catch cases where a participant recorded their earnings from fishing the catch share program rather than earnings from the sale or lease of quota.

Crew and captain payments are summarized both in raw form and as the percent of ex-vessel revenue. The percent of ex-vessel revenue can be compared over time to look for irregularities. Additionally, if the percent of ex-vessel revenue is particularly low or particularly high, the data are flagged.

Variable cost net revenue (ex-vessel revenue net variable costs) is calculated using fish ticket and EDC data on an annual basis and on a per pound basis. If it is negative, or if the variable cost net revenue per pound is very different from past submissions, the costs reported on the form will be evaluated to determine whether one cost category might be causing the negative net revenue.

Extensive checking of observer costs and days at sea is conducted using observer data. Particular attention is paid to these fields because the requirement to pay for observer coverage is part of the catch share program and because industry, non-profits, and the Pacific Fishery Management Council are concerned about the additional costs. The observer costs are calculated based on the trip length calculated using the observer data, a fixed range of observer costs (\$490 to \$800) based on conversations with observer providers, and the NOAA Fisheries reimbursement rate. Cases where the observer cost reported on the form falls outside of those bounds are flagged. Additionally, the trip length calculated using observer data is compared to the days at sea reported on the EDC form and flagged if there is a large difference.

Reported fuel expenses and total gallons used are compared for a price per gallon, which should approximately match local average annual fuel prices tracked by the Pacific States Marine Fisheries Commission.¹ An additional check is made comparing the average fuel use reported on the form to the participant submitted total fuel use divided by the days at sea reported on the form.

4.2.3 Catcher-processor form business checks

The business checks for the catcher-processor forms are less extensive than those described above for catcher vessels. The catcher-processor business checks have similar checks for consistency across questions about participation in

¹ <http://www.psmfc.org/efin/docs/2015FuelPriceReport.pdf>

Alaska fisheries and other fisheries and ensure that responses to capitalized expenditure questions are consistent with other responses on the forms.

There are two checks specific to the at-sea forms. First, that both a production weight and production value are listed for every product type reported on the form. Second, the offload percentages by port sum to 100%.

4.2.4 Mothership form business checks

The business checks for the mothership forms are nearly identical to the catcher-processor checks. One additional check is added to confirm that the value of production is greater than the cost of fish purchases. Values that are flagged by this field are considered a “potential problem” and not “true errors”.

4.2.5 First receiver and shorebased processor checks

The first receiver and shorebased processor forms are more complex and therefore require a more detailed review than what is required for the other sectors. Another complication with first receiver and shorebased processor data is that there is a diversity of operations across the sector, as these businesses range from catcher vessel owners who rent a hoist at the end of a pier to offload their own fish, to businesses that own multiple large processing facilities. The diversity makes it more difficult to distinguish “true errors” from “potential problems”.

Checks listed in Appendix E identify potential problems, but additional automated analysis is required in order to identify the potential sources of the problems. For example, there is a business check to determine whether the total weight of production of a particular species is less than or equal to the total weight of purchase of that species. This provides some information, but often when combined with fish ticket data and the cost of purchase, and value of production, it can become clear whether the issue was a result of an error in the production weight or the purchase weight.

Another check is the analysis of markups, prices, and product recovery rates. A markup is defined as the total value of production of a particular species group divided by the total cost of the purchase of the species group. The product recovery rate is defined as the total weight of production divided by the total weight of purchases of the species group. During QA/QC, these values are compared both within a company across years and across companies. A change within a company could indicate that a company has changed their operations or it could indicate an issue with the data provided. In both cases, it is useful to contact the participant either to learn about how the company’s operations have changed or to correct the data.

In addition to the complexity of the data provided on the forms, one company may submit forms for multiple facilities. A typical case is a company that has multiple buying locations and/or multiple processing locations. If a company does not track their production by location, the individual facility forms must be combined in order to understand the operations of the company.

To address the issues listed above, a set of tables is generated that combine the fish purchase and production information by company, and incorporates state fish ticket data. These tables provide total purchases, total costs, total production, and total revenue by species group. Staff then calculate the average price per pound, revenue per pound, markup, and recovery rate by species group. This information, combined with fish ticket data provides a more complete picture of the company’s operations and allows staff economists to identify potential issues with the data.

Variable cost net revenue (revenue net variable costs) is calculated using EDC data on an annual basis and on a per pound basis. If it is negative, or if the variable cost net revenue per pound is very different from past submissions, the costs reported on the form will be evaluated to determine whether one cost category might be causing the negative net revenue.

4.3 Resolving data validation flags

Once the business checks have been conducted, EDC staff work to resolve all issues that were flagged (Figure 4.1). The first step is to determine if an issue can be resolved by looking at any notes submitted with the original responses. As a second step, EDC staff will use other available data, such as previous phone calls with participants and external data sources to provide context to the information. If the above steps do not resolve a data flag, EDC staff will call the participant to resolve the issue. If participants cannot be reached to resolve data validation issues, the data points in question may be excluded to maintain the integrity of the overall dataset for a given measure, metric, or analysis.

All conversations associated with each form are documented in a secure online database. Table 4.1 shows a representative example of a typical communication with a participant. On average, each form requires about three communications to complete, but the range is between 0 and 14 communications (Table 4.2). Depending on the complexity and number of issues to be resolved, staff collect information over the phone or by mail or fax. The latter case is most common for the first receiver and shorebased processor form where the data are more complex. The number of communications required for both the catcher vessel and first receiver and shorebased processor groups declined from the baseline years to 2015.

Once the corrected information has been obtained, the data are entered into the database and a comment is recorded explaining how the data flag was resolved. The business checks are then rerun to double-check that the original issue has been resolved and to check that no new flags are created due to any changes in the data. There is a dedicated comment field for each data element in the database.

Data will be modified in the database without communicating with the participant if the participant provided a range of values. In this case, EDC staff enters the midpoint value. The most common case of this is when participants enter ranges of values when providing the average daily fuel use and average crew size by fishery. EDC staff will also modify a response if it is known that the value must be zero. This most often occurs when a participant entered the same value for an expense made on equipment used on the West Coast and equipment shared between the West Coast and Alaska. If the vessel did not fish in Alaska, then it is assumed that the shared value should be zero.

Table 4.1: Example of communication record with a participant. Personal identifying information was removed and dates were changed to protect confidential information.

	Date	Comments
1	[05/06/2011 02:24 PM]	I called and left a message for Julie, explaining that there are missing responses on her form and asking her to call me back.
2	[05/07/2011 12:52 PM]	Julie called me back and explained that she didn't know that she needed to answer all of the questions. We discussed the missing fields and she told me that she would fax me the responses to the remaining questions.
3	[05/27/2011 10:02 AM]	I received the fax with the missing questions and the form is now complete.
4	[06/21/2011 11:50 AM]	Production weight of crab is four times the purchase weight of crab
5	[07/01/2011 03:15 PM]	I called Julie and explained that we need her to take another look at the crab purchase and production weights, she will call back with the value
6	[09/25/2011 01:50 PM]	Julie called back and explained that they had not recorded purchases of fish from Other Sources on their form, she gave me the purchase weight and cost.
7	[11/06/2011 08:47 AM]	I recorded the purchase weight and cost and entered the new values into the database, I reran the data checks and there are no flags.

Table 4.2: Number of communications with participants. Summary statistics of the number of communications with each participant of each form, including emails, phone calls, and voicemails per form

Min.	Median	Mean	Max.
0	2	3	15

5 Data Processing

5.1 Combining landings and delivery data with EDC data

In order to minimize the burden of completing the EDC forms, participants are not asked to provide information that can be obtained from other sources. This information is primarily obtained from state fish tickets or A-SHOP data.

5.1.1 Combining fish tickets and A-SHOP data - catcher vessels

A wide variety of information is available on the state fish tickets.¹ The fields most commonly used by the EDC Program include landed weight, round weight, revenue, species, port, delivery date, fleet, and year.

Ex-vessel revenue is obtained from the PacFIN fish ticket database for all shoreside deliveries. The A-SHOP data has most of the same fields as fish ticket data for the at-sea fleet, landed weight, species, delivery date, but it does not contain ex-vessel revenue paid to catcher vessels by mothership vessels. The ex-vessel revenue from at-sea data is obtained from the EDC form.

The fish ticket data are pulled by the fiscal year provided on the form. In 2009 and 2010, the EDC form did not ask for the year in which the fiscal year began, only the month and day. For these cases, the year of the fiscal year was assumed to be the same year as the EDC survey year, except in special cases when the entity provided the year, even though there was not space to fill it in; or when subsequent data collections, starting with the 2011 data collection, indicated that the assumption was incorrect. The fiscal year end is calculated as the fiscal start date plus one year minus one day.

A check is performed to ensure that one fish ticket is never assigned to more than one survey form. This occurs primarily when there is a mid-year sale of a vessel or if there are multiple operators of the vessel. In these cases, additional information from the survey participants or Permit Office records are used to adjust the fiscal year start and end dates to pull the appropriate fish ticket records.

The same process is used for assigning A-SHOP delivery data to EDC survey forms, except for the treatment of revenue as discussed above.

¹ For a complete description of the fish ticket database and A-SHOP data at PacFIN, see the comprehensive_ft and comprehensive_npac tables at <http://pacfin.psmfc.org/data/documentation-2/>

5.1.2 Combining fish tickets - first receivers and shorebased processors

A similar system is used for combining state fish tickets with the first receiver and shorebased processors forms, however it is slightly more complicated than the catcher vessel process because of the nature of the operations. In order to purchase fish from a vessel, a first receiver/shorebased processor must have a fish buying license. Depending on the state, the entity may need an individual license for each location where the fish are purchased. In contrast, a first receiver site license is required for every location and unique company purchasing fish. This results in several different types of operations that must be handled uniquely.

- Entities with one buyer ID, one location, and one FRSL
- Entities with one buyer ID, multiple locations, and one FRSL
- Entities with one buyer ID, multiple locations, and a FRSL for each location
- Entities with one buyer ID, multiple locations, and a FRSL for only some of the locations
- Entities with multiple buyer IDs, multiple locations, and multiple FRSL

For cases 1 & 2, the first receiver and shorebased processor company fills out one EDC form and all fish ticket records associated with that buyer ID are associated with that EDC form. For cases 3, 4 & 5, the company submits multiple EDC forms (one for each location with a FRSL) and the individual facility forms are combined. All fish ticket records associated with those buyer IDs, including cases where fish are purchased with the buyer ID in a port without a FRSL, are associated with that company's forms.

6 Previous Data Collections

6.1 Cost-Earnings voluntary data collection

Voluntary cost-earnings data have been collected by the economists at the Northwest Fisheries Science Center (NWFSC) since 2005, when data were collected for fishing activities in 2003 and 2004. This voluntary survey and subsequent voluntary surveys were jointly conducted by the NWFSC and Pacific States Marine Fisheries Commission. The voluntary cost-earnings surveys always collect two years of data per form.¹ In Table 6.1, surveys marked as “EDC” are now conducted as part of the mandatory EDC Program and have been collected annually since 2009.

A dataset is being constructed that compiles all of the data collected through the voluntary cost-earnings surveys and the mandatory EDC survey. The dataset will identify the survey instrument, the year of collection, the survey population, and the question as presented on the form. Many variables have been consistently collected since the initial collection; these variables will be named consistently through time. For variables that have changed over time, new variable names will be developed as needed.

One major difference between the voluntary cost-earnings survey and the mandatory EDC Program is the way expenses are collected. In the cost-earnings survey forms, the expenses are requested for all activities (West Coast, Alaska, and other), while on the EDC survey forms, some expenses are requested specifically for West Coast fisheries and some for all fisheries. These distinctions will be clearly defined in the complete dataset.

¹ Lian, C.E. 2010. West Coast limited entry groundfish trawl cost-earnings survey protocols and results for 2004. U.S. Department of Commerce, NOAA Technical Memorandum NMFS-NWFSC-107, 35 p. and Lian, C.E. 2012. West Coast limited entry groundfish cost-earnings survey: Protocol and results for 2008. U.S. Department of Commerce, NOAA Technical Memorandum NMFS-NWFSC-121, 62 p.

Table 6.1: Previous cost-earnings surveys. List of cost-earnings surveys of West Coast commercial fishing vessels and processors that have been collected (2003-2016).

	2003	2004	2005	2006	2007	2008	2009	2010	2011	2012	2013	2014	2015	2016	EDC
Limited Entry Trawl	X	X			X	X	X	X	X	X	X	X	X	X	X
Mothership Catcher Vessels							X	X	X	X	X	X	X	X	X
Catcher Processor							X	X	X	X	X	X	X	X	X
Mothership							X	X	X	X	X	X	X	X	X
First Receiver and Shorebased Processor							X	X	X	X	X	X	X	X	X
Limited Entry Fixed Gear	X	X			X	X	X	X	X	X		X	X		
Open Access Groundfish	X	X			X	X			X	X		X	X		
Salmon Troller			X	X		X	X		X	X		X	X		
Salmon Netter						X	X		X	X		X	X		
Crab and Shrimp			X	X		X	X		X	X		X	X		

Appendix A EDC Fact Sheet

West Coast Groundfish Trawl Catch Share Program

2012



NOAA FISHERIES SERVICE

For more details on the
Catch Share Program,
call 206-526-6140
or go to our website:

[www.nwr.noaa.gov/
Groundfish-Halibut/
Groundfish-Fishery-
Management/Trawl-
Program/index.cfm](http://www.nwr.noaa.gov/groundfish-halibut/groundfish-fishery-management/rawl-program/index.cfm)

For the full groundfish
regulations, see the Code
of Federal Regulations
(CFR) at 50 CFR part 660,
subparts C-G.



Mandatory Economic Data Collection (EDC)

Overview

In January 2011, the West Coast groundfish trawl fishery transitioned to a new, innovative management approach known as a Catch Share Program. The Catch Share Program consists of an individual fishing quota (IFQ) program for the shorebased trawl fleet and cooperative programs for the at-sea mothership and catcher/processor trawl fleets.

As part of this new program, participants in the rationalized fishery are required to provide economic data. The following information provides an overview of the economic data collection (EDC) requirements and seeks to answer some commonly asked questions. For specific guidance, the regulations detailing the EDC program (50 CFR 660.114) are available at: www.nwfsc.noaa.gov/edc

Frequently Asked Questions

Why is there an economic data collection program?

The economic benefits of the West Coast groundfish trawl fishery and their distribution will likely change under trawl rationalization. To monitor these changes, the rationalization program includes a mandatory economic data collection program. Using data collected from industry members, the EDC program will monitor whether the goals of the Catch Share Program have been met. The EDC program will also help meet the requirements of the Magnuson-Stevens Act for catch share evaluation.

What types of data are collected?

In addition to contact information, the EDC program will collect vessel/plant characteristics, capitalized investments, annual expenses, annual earnings, crew/labor payments, and quota and permit expenses that will provide a strong foundation for managers to evaluate the Catch Share Program.

What important dates should I be aware of?

May 2012: Fiscal year 2011 EDC forms are mailed to participants.

September 1, 2012: Fiscal year 2011 EDC forms are due.

West Coast Groundfish Trawl Catch Share Program

Who is required to submit EDC forms?

Fishery Participant	Who is required to submit EDC forms?
Limited Entry Trawl Catcher Vessels	All owners, lessees, and charterers of a catcher vessel registered to a limited entry trawl endorsed permit at any time in 2011 and beyond.
Motherships	All owners, lessees, and charterers of a mothership vessel registered to a mothership permit at any time in 2011 and beyond.
Catcher/Processors	All owners, lessees, and charterers of a catcher processor vessel registered to a catcher/processor-endorsed limited entry trawl permit at any time in 2011 and beyond.
First Receivers	All owners of a first receiver site license in 2011 and beyond.
Shorebased Processors	All owners and lessees of a shorebased processor that received round or headed-and-gutted IFQ groundfish species or whiting from a first receiver in 2011 and beyond.

What happens to the data once submitted?

Data are used by Northwest Fisheries Science Center (NWFSC) economists to evaluate the Catch Share Program. Aggregated data and analyses are compiled into a report and presented to the Pacific Fishery Management Council. Future reports will be available online at: www.nwr.noaa.gov

Who has access to this data? Is it confidential?

The data are studied by NWFSC economists or their contractors. Everyone who works with this data is required to sign a confidentiality agreement. Responses to the EDC forms are confidential under the Magnuson-Stevens Act and NOAA Administrative Order 216-100.

What happens if I don't submit the economic data collection form?

Economic data collection is mandatory under the Catch Share Program, and thus participation in the EDC program is mandatory under the regulation 50 CFR 660.114. If you do not submit the required EDC form, it may delay the completion of administrative actions such as permit renewal, vessel registration, license issuance, and quota transfers.

Where can I get an economic data collection form?

Forms are available to print at: www.nwfsc.noaa.gov/edc

Under the EDC program, NOAA Fisheries mails EDC forms in May of each year to individuals who, according to available records, are required to complete an EDC form. If you do not receive a form by mail, it is still your responsibility to complete and return it by the deadline.

Where can I learn more about the West Coast Catch Share Program?

NOAA Fisheries Northwest Region's Catch Share website: www.nwr.noaa.gov/Groundfish-Halibut/Groundfish-Fishery-Management/Trawl-Program/index.cfm

Who should I contact if I have other questions?

Erin Steiner, Economic Data Collection Program (FRAM Division), Northwest Fisheries Science Center

Mail Address: 2725 Montlake Boulevard East, Seattle, Washington 98112

Phone: (866) 791-3726

E-mail: NWFSC.EDC@noaa.gov

Appendix B Excerpts of Regulations Relevant to EDC Program

For reference, excerpts from 50 CFR PART 660, SUBPARTS C - G FEDERAL PACIFIC COAST GROUND FISH REGULATIONS FOR COMMERCIAL AND RECREATIONAL FISHING 3-200 NAUTICAL MILES OFF WASHINGTON, OREGON, AND CALIFORNIA regulations are appended here. These are the current regulations, as of May 1, 2016.

**50 CFR PART 660, SUBPARTS C - G
FEDERAL PACIFIC COAST GROUND FISH REGULATIONS
FOR COMMERCIAL AND RECREATIONAL FISHING
3-200 NAUTICAL MILES
OFF WASHINGTON, OREGON, AND CALIFORNIA**

UNDER THE AUTHORITY OF
THE MAGNUSON-STEVENSON FISHERY CONSERVATION AND MANAGEMENT ACT
and
THE PACIFIC COAST GROUND FISH FISHERY MANAGEMENT PLAN



Based on the 2013-2014 harvest specifications and management measures final rule, 78 FR 580, January 3, 2013, effective January 1, 2013, as subsequently modified:

Final rule to reaffirm initial allocations after reconsidering allocations of whiting (RAW), 78 FR 18879, March 28, 2013, effective April 1, 2013
May inseason adjustments, 78 FR 26277, May 6, 2013, effective May 6, 2013
Final rule for the 2013 harvest specifications and management measure for tribal and non-tribal Pacific whiting fisheries, 78 FR 26526, May 7, 2013, effective May 7, 2013
August inseason adjustments, 78 FR 49190, August 13, 2013, effective August 13, 2013
December 2013 and January 2014 inseason adjustments, 78 FR 72586, December 3, 2013, effective December 3, 2013
Final rule for revisions to the trawl rationalization program (PIE 2), 78 FR 68764, November 15, 2013, effective January 1, 2014 except for the changes to 660.140(e)(3)(iii)(B), which are effective December 15, 2013
Final rule to implement a cost recovery program for all of the trawl rationalization sectors, 78 FR 75268, December 11, 2013, effective January 10, 2014
Final rule to correct the November 15, 2013 PIE 2 rule, 79 FR 12412, March 5, 2014
April inseason adjustments, changes to incidental Pacific halibut allowance in the LEFG sablefish primary fishery, 79 FR 19498, April 9, 2014, effective at noon on April 8, 2014
Final rule to modify the boundaries of the trawl RCA, 79 FR 21639, April 17, 2014
Final rule to correct the trawl RCA boundaries in the April 17, 2014 rule, 79 FR 27196, May 13, 2014
Final rule for the 2014 harvest specifications and management measure for tribal and non-tribal Pacific whiting fisheries, 79 FR 27198, May 13, 2014
Final rule to correct the 2013-2014 harvest specifications and management measures, 79 FR 28455, May 16, 2014
July inseason adjustments, changes to sablefish trip limits in LEFG and OA N. of 36°N.lat., 79 FR 43272, July 25, 2014
November inseason adjustments, transfer of darkblotched rockfish to the C/P sector, 79 FR 67095, November 12, 2014
November inseason adjustments, completion of the transfer of darkblotched rockfish to the C/P sector, 79 FR 69060, November 20, 2014
Final rule to prevent interruption of ongoing fisheries because of delay in biennial spex beyond Jan. 1, 79 FR 75070, December 17, 2014
Final rule to modify chafing gear regulations for midwater trawl gear, 79 FR 71340, December 2, 2014, effective January 1, 2015
Final rule to implement 2015-2016 harvest specifications and management measures, 80 FR 12567, effective March 10, 2015
Final rule to establish 2015 harvest specifications and allocations for Pacific whiting, 80 FR 27588, May 14, 2015, effective May 14, 2015
Final rule to open the primary season on May 15, 80 FR 19034, April 9, 2015, effective May 15, 2015
Final rule to revise regulations pertaining to catch monitors and observers, 80 FR 22270, April 21, 2015, effective May 21, 2015
August inseason adjustments, increase to sablefish trip limits, etc. 80 FR 50212, August 19, 2015, effective August 14, 2015

Any discrepancies will be resolved in favor of the Federal Register.

Prepared by: West Coast Region, National Marine Fisheries Service
7600 Sand Point Way NE, Seattle, WA 98115

following the date that SFD receives the signed permit change in vessel registration form and the original limited entry permit, except that changes in vessel registration on MS permits and C/P-endorsed permits will take effect immediately upon reissuance to the new vessel, and a change in vessel registration on MS/CV-endorsed permits will take effect immediately upon reissuance to the new vessel only on the second change in vessel registration for the year. No change in vessel registration is effective until the limited entry permit has been reissued as registered with the new vessel. {revised at 75 FR 78334, 12/15/2010; 76 FR 74725, 12/1/2011}

(D) Sablefish-endorsed permits. If a permit owner submits an application to register a sablefish-endorsed limited entry permit to a new vessel during the primary sablefish season described at §660.231 (generally April 1 through October 31), the initial permit owner must certify on the application form the cumulative quantity, in round weight, of primary season sablefish landed against that permit as of the application signature date for the then current primary season. The new permit owner or vessel owner associated with the new vessel must sign the application form acknowledging the amount of landings to date given by the initial permit owner. This certified amount should match the total amount of primary season sablefish landings reported on state landing receipts. As required at §660.12(b), any person landing sablefish must retain on board the vessel from which sablefish is landed, and provide to an authorized officer upon request, copies of any and all reports of sablefish landings from the primary season containing all data, and in the exact manner, required by the applicable state law throughout the primary sablefish season during which a landing occurred and for 15 days thereafter. {revised at 76 FR 74725, 12/1/2011; revised at 78 FR 68764, 11/15/2013, effective 01/01/2014}

(vi) Restriction on frequency of changes in vessel registration {heading revised at 75 FR 78334, 12/15/2010}

(A) General. A permit owner may designate the vessel registration for a permit as “unidentified,” meaning that no vessel has been identified as registered for use with that permit. No vessel is authorized to use a permit with the vessel registration designated as “unidentified.” A vessel owner who removes a permit from his vessel and registers that permit as “unidentified” is not exempt from VMS requirements at § 660.14, subpart C unless specifically authorized by that section. When a permit owner requests that the permit’s vessel registration be designated as “unidentified,” the transaction is not considered a change in vessel registration for purposes of this section. Any subsequent request by a permit owner to change from the “unidentified” status of the permit in order to register the permit with a specific vessel will be considered a change in vessel registration and subject to the restriction on frequency and timing of changes in vessel registration. {revised at 75 FR 78334, 12/15/2010}

(B) Limited entry fixed gear and trawl-endorsed permits (without MS/CV or C/P endorsements). Limited entry fixed gear and trawl-endorsed permits (without

MS/CV or C/P endorsements) may not be registered for use with a different vessel more than once per calendar year, except in cases of death of a vessel owner or if the vessel registered to the permit is totally lost as defined in §660.11. The exception for death of a vessel owner applies for a vessel owned by a partnership or a corporation if the person or persons with at least 50 percent of the ownership interest in the entity dies. {revised at 76 FR 74725, 12/1/2011; revised at 78 FR 68764, 11/15/2013, effective 01/01/2014}

(C) Limited entry MS permits and limited entry permits with an MS/CV or a C/P endorsement. Limited entry MS permits and limited entry permits with an MS/CV or a C/P endorsement may be registered to another vessel up to two times during the fishing season as long as the second change in vessel registration is back to the original vessel. The original vessel is either the vessel registered to the permit as of January 1, or if no vessel is registered to the permit as of January 1, the original vessel is the first vessel to which the permit is registered after January 1. After the original vessel has been established, the first change in vessel registration would be to another vessel, but any second change in vessel registration must be back to the original vessel. For an MS/CV-endorsed permit on the second change in vessel registration back to the original vessel, that vessel must be used to fish exclusively in the MS Coop Program described § 660.150, and declare in to the limited entry mid water trawl, Pacific whiting mothership sector as specified at § 660.13(d)(5)(iv). {revised at 75 FR 78334, 12/15/2010}

(vii) Application and supplemental documentation. Permit owners may request a change in vessel registration and/or change in permit owner or vessel owner by submitting a complete application form. In addition, a permit owner applying for a change in vessel registration and/or change in permit owner of a limited entry permit has the burden to submit evidence to prove that qualification requirements are met. If a change in vessel owner occurs, the new vessel owner has the burden to submit evidence to prove that qualification requirements are met. The following evidentiary standards apply: {revised at 76 FR 74725, 12/1/2011; revised at 78 FR 68764, 11/15/2013, effective 01/01/2014}

(A) For a request to change a vessel registration and/or change a permit owner or vessel owner, the permit owner must provide NMFS with a current copy of the USCG Form 1270 for vessels of 5 net tons or greater, or a current copy of a state registration form for vessels under 5 net tons. {revised at 78 FR 68764, 11/15/2013, effective 01/01/2014}

(B) For a request to change a vessel registration and/or change a permit owner or vessel owner for sablefish-endorsed permits with a tier assignment for which a corporation or partnership is listed as permit owner and/or vessel owner, an Identification of Ownership Interest Form must be completed and included with the application form. {revised at 78 FR 68764, 11/15/2013, effective 01/01/2014}

(C) For a request to change a permit owner for an MS permit or for a request to change a vessel registration and/or change a permit owner or vessel owner for an MS/CV-endorsed limited entry trawl permit, an Identification of Ownership

Interest Form must be completed and included with the application form. {revised at 78 FR 68764, 11/15/2013, effective 01/01/2014}

(D) For a request to change the vessel registration to a permit, the permit owner must submit to SFD a current marine survey conducted by a certified marine surveyor in accordance with USCG regulations to authenticate the length overall of the vessel being newly registered with the permit. Marine surveys older than 3 years at the time of the request for change in vessel registration will not be considered “current” marine surveys for purposes of this requirement.

(E) For a request to change a permit's ownership where the current permit owner is a corporation, partnership or other business entity, the applicant must provide to SFD a corporate resolution that authorizes the conveyance of the permit to a new owner and which authorizes the individual applicant to request the conveyance on behalf of the corporation, partnership, or other business entity.

(F) For a request to change a permit's ownership that is necessitated by the death of the permit owner(s), the individual(s) requesting conveyance of the permit to a new owner must provide SFD with a death certificate of the permit owner(s) and appropriate legal documentation that either: Specifically registers the permit to a designated individual(s); or, provides legal authority to the transferor to convey the permit ownership or to request a change in vessel registration. {revised at 76 FR 74725, 12/1/2011}

(G) For a request to change a permit's ownership that is necessitated by divorce, the individual requesting the change in permit ownership must submit an executed divorce decree that awards the permit to a designated individual(s).

(H) Such other relevant, credible documentation as the applicant may submit, or the SFD or Regional Administrator may request or acquire, may also be considered.

(viii) Application forms available. Application forms for a change in vessel registration, permit owner, or vessel owner are available at: NMFS West Coast Region, Sustainable Fisheries Division, ATTN: Fisheries Permit Office, 7600 Sand Point Way NE., Seattle, WA 98115; or http://www.westcoast.fisheries.noaa.gov/fisheries/management/groundfish_permits/limited_entry_permits.html. Contents of the application, and required supporting documentation, are also specified in the application form. Only complete applications will be processed. {revised at 76 FR 74725, 12/1/2011; revised at 78 FR 68764, 11/15/2013, effective 01/01/2014}

(ix) Records maintenance. The SFD will maintain records of all limited entry permits that have been issued, renewed, registered, or replaced. {revised at 76 FR 74725, 12/1/2011}

(5) Small fleet.

Vessel account means an account held by the vessel owner where QP and IBQ pounds are registered for use by a vessel in the Shorebased IFQ Program.

§ 660.112 Trawl fishery—prohibitions. {revised at 75 FR 78344, 12/15/2010; revised at 76 FR 53833, 08/30/2011; corrected at 77 FR 55153, 09/07/12, effective 09/24/12; revised at 78 FR 580, 01/03/2013; revised at 78 FR 68764, 11/15/2013, effective 01/01/2014; revised at 78 FR 75268, 12/11/13, effective 01/10/2014}

These prohibitions are specific to the limited entry trawl fisheries. General groundfish prohibitions are defined at §660.12. In addition to the general prohibitions specified in §600.725 of this chapter, it is unlawful for any person or vessel to: {revised at 78 FR 580, 01/03/2013}

(a) General

(1) Trawl gear endorsement. Fish with groundfish trawl gear, or carry groundfish trawl gear on board a vessel that also has groundfish on board, unless the vessel is registered for use with a valid limited entry permit with a trawl gear endorsement, with the following exception.

(i) The vessel is in continuous transit from outside the fishery management area to a port in Washington, Oregon, or California;

(ii) The vessel is registered to a limited entry MS permit with a valid mothership fishery declaration, in which case trawl nets and doors must be stowed in a secured and covered manner, and detached from all towing lines, so as to be rendered unusable for fishing.

(2) Sorting. Fail to sort catch consistent with the requirements specified at § 660.130(d). {added at 75 FR 78344, 12/15/2010}

(3) Recordkeeping and reporting.

(i) Fail to comply with all recordkeeping and reporting requirements at §660.13; including failure to submit information, submission of inaccurate information, or intentionally submitting false information on any report required at §660.13(d), and §660.113. {revised at 76 FR 53833, August 30, 2011}

(ii) Falsify or fail to make and/or file, retain or make available any and all reports of groundfish landings, containing all data, and in the exact manner, required by the regulation at §660.13, subpart C, or §660.113, subpart D.

(iii) Failure to submit a complete EDC form to NMFS as required by § 660.113. {added at 75 FR 78344, 12/15/2010}

(4) Observers. {added at 75 FR 78344, 12/15/2010}

(i) Fish (including processing, as defined at § 600.10 of this chapter) in the Shorebased IFQ Program, the MS Coop Program, or the C/P Coop Program if NMFS determines the vessel is unsafe for an observer.

(ii) Fish in the Shorebased IFQ Program, the MS Coop Program, or the C/P Coop Program without observer coverage.

(5) Fishing in conservation areas with trawl gear. {redesignated at 75 FR 78344, 12/15/2010}

(i) Operate any vessel registered to a limited entry permit with a trawl endorsement and trawl gear on board in a applicable GCA (defined at §660.11, subpart C and §660.130(e), subpart D), except for purposes of continuous transiting, with all groundfish trawl gear stowed in accordance with §660.130(e)(4), subpart D or except as authorized in the groundfish management measures published at §660.130, subpart D.

(ii) Fish with bottom trawl gear (defined at §660.11, subpart C) anywhere within EFH seaward of a line approximating the 700-fm (1280-m) depth contour, as defined in §660.76, subpart C. For the purposes of regulation, EFH seaward of 700-fm (1280-m) within the EEZ is described at §660.75, subpart C.

(iii) Fish with bottom trawl gear (defined at §660.11, subpart C) with a footrope diameter greater than 19 inches (48 cm) (including rollers, bobbins or other material encircling or tied along the length of the footrope) anywhere within EFH within the EEZ. For the purposes of regulation, EFH within the EEZ is described at §660.75, subpart C.

(iv) Fish with bottom trawl gear (defined at §660.11, subpart C) with a footrope diameter greater than 8 inches (20 cm) (including rollers, bobbins or other material encircling or tied along the length of the footrope) anywhere within the EEZ shoreward of a line approximating the 100-fm (183-m) depth contour (defined at §660.73, subpart C).

(v) Fish with bottom trawl gear (defined at §660.11, subpart C), within the EEZ in the following areas (defined at §§660.77 and 660.78, Subpart C): Olympic 2, Biogenic 1, Biogenic 2, Grays Canyon, Biogenic 3, Astoria Canyon, Nehalem Bank/Shale Pile, Siletz Deepwater, Daisy Bank/Nelson Island, Newport Rockpile/Stonewall Bank, Heceta Bank, Deepwater off Coos Bay, Bandon High Spot, Rogue Canyon.

(vi) Fish with bottom trawl gear (defined at §660.11), other than demersal seine, unless otherwise specified in this section or §660.130, within the EEZ in the following areas (defined at §660.79): Eel River Canyon, Blunts Reef, Mendocino Ridge, Delgada Canyon, Tolo Bank, Point Arena North, Point Arena South Biogenic Area, Cordell Bank/Biogenic Area, Farallon Islands/Fanny Shoal, Half Moon Bay, Monterey Bay/Canyon, Point Sur Deep, Big Sur Coast/Port San Luis,

East San Lucia Bank, Point Conception, Hidden Reef/Kidney Bank (within Cowcod Conservation Area West), Catalina Island, Potato Bank (within Cowcod Conservation Area West), Cherry Bank (within Cowcod Conservation Area West), and Cowcod EFH Conservation Area East. {revised at 76 FR 53833, August 30, 2011}

(vii) Fish with bottom contact gear (defined at §660.11, subpart C) within the EEZ in the following areas (defined at §§660.78 and 660.79, subpart C): Thompson Seamount, President Jackson Seamount, Cordell Bank (50–fm (91-m) isobath), Harris Point, Richardson Rock, Scorpion, Painted Cave, Anacapa Island, Carrington Point, Judith Rock, Skunk Point, Footprint, Gull Island, South Point, and Santa Barbara.

(viii) Fish with bottom contact gear (defined at §660.11, subpart C), or any other gear that is deployed deeper than 500-fm (914-m), within the Davidson Seamount area (defined at §660.79, subpart C).

(6) Cost recovery program. {added at 78 FR 75268, 12/11/13, effective 01/10/2014}

(i) Fail to fully pay or collect any fee due under the cost recovery program specified at §660.115 and/or otherwise avoid, decrease, interfere with, hinder, or delay any such payment or collection.

(ii) Convert, or otherwise use any paid or collected fee for any purpose other than the purposes specified in this subpart.

(iii) For the Shorebased IFQ Program and the MS Coop Program, fail to deposit on time the full amount of all fee revenue collected under the cost recovery program specified at §660.115 into a deposit account, or fail to timely disburse the full amount of all deposit principal to the Fund.

(iv) Fail to maintain records as required by §660.113 and/or fail to make reports to NMFS as required under §660.113.

(v) Fail to advise NMFS of any fish buyer's failure to collect any fee due and payable under the cost recovery program specified at §660.115.

(vi) Refuse to allow NMFS employees, agents, or contractors to review and audit all records and other information required to be maintained as set forth in §660.113, and/or §660.115.

(vii) Make any false statement to NMFS, including any NMFS employee, agent or contractor, concerning a matter related to the cost recovery program described in this subpart.

(viii) Obstruct, prevent, or delay, or attempt to obstruct, prevent, or delay, any audit or investigation NMFS employees, agents, or contractors conduct, or

attempt to conduct, in connection with any of the matters in the cost recovery program described in this subpart.

(b) Shorebased IFQ Program. {added at 75 FR 78344, 12/15/2010}

(1) General.

(i) Own or control by any means whatsoever an amount of QS or IBQ that exceeds the Shorebased IFQ Program accumulation limits.

(ii) Fish in the Shorebased IFQ Program with a vessel that does not have a valid vessel account or that has a vessel account with a deficit (negative balance) for any species/species group.

(iii) Have any IFQ species/species group catch (landings and discards) from an IFQ trip not covered by QP for greater than 30 days from the date the deficit (negative balance) from that trip is documented, unless the deficit is within the limits of the carryover provision specified at § 660.140(e)(5), subpart D, in which case the vessel has 30 days after the QP for the following year are issued to eliminate the deficit.

(iv) Register the limited entry trawl endorsed permit to another vessel or sell the limited entry trawl endorsed permit to another owner if the vessel registered to the permit has a deficit (negative balance) in their vessel account, until the deficit is covered, regardless of the amount of the deficit. {revised at 76 FR 74725, 12/1/2011}

(v) Use QP by vessels not registered to a limited entry trawl permit with a valid vessel account.

(vi) Use QP in an area or for species/ species groups other than that for which it is designated.

(vii) Fish in more than one IFQ management area, specified at § 660.140(c)(2), on the same trip.

(viii) Fish on a Pacific whiting IFQ trip with a gear other than legal midwater groundfish trawl gear.

(ix) Fish on a Pacific whiting IFQ trip without a valid declaration for limited entry midwater trawl, Pacific whiting shorebased IFQ, as specified at § 660.13(d)(5)(iv)(A), subpart C.

(x) Use midwater trawl gear to fish for Pacific whiting within an RCA outside the Pacific whiting IFQ fishery primary season as specified at § 660.131(b)(2)(iii).

(xi) Bring a haul on board before all catch from the previous haul has been stowed.

(xii) Process groundfish at-sea (“at-sea processing”) by vessels in the Shorebased IFQ Program regardless of the type of gear used, with the following exceptions:

(A) A vessel that is 75-ft (23-m) or less LOA that harvests whiting and, in addition to heading and gutting, cuts the tail off and freezes the whiting, is not considered to be a catcher/processor nor is it considered to be processing fish, and

(B) A vessel that has a sablefish at-sea processing exemption, described at §660.25(b)(6)(i) may process sablefish at-sea. {revised at 76 FR 74725, 12/1/2011}

(C) A vessel that has a non-whiting at-sea processing exemption, described at §660.25(b)(6)(ii) may process non-whiting groundfish at sea. {added at 76 FR 74725, 12/1/2011}

(xiii) Retain any IFQ species/species group onboard a vessel unless the vessel has observer coverage during the entire trip and observer or catch monitor coverage while in port until all IFQ species from the trip are offloaded. A vessel is exempted from this requirement while remaining docked in port, if the observer makes available to the catch monitor an observer program form reporting the weight and number of bocaccio, yelloweye rockfish, canary rockfish, and cowcod that were retained onboard the vessel during that trip and noting any discrepancy in those species between the vessel operator and observer. A vessel must maintain observer coverage while underway in port. A vessel may deliver IFQ species/species groups to more than one IFQ first receiver, but must maintain observer coverage onboard the vessel during any transit between delivery points. Once transfer of fish begins, all fish aboard the vessel are counted as part of the same landing as defined at §660.11. Modifying the list of IFQ species to which this exception applies has been designated as a “routine management measure” and may be modified through an inseason action, as specified at §660.60(c)(1)(iv). {revised at 76 FR 74725, 12/1/2011; corrected at 77 FR 55153, 09/07/12, effective 09/24/12}

(xiv) Discard IFQ species/species group at sea unless the observer has documented or estimated the discards.

(xv) Begin a new fishing trip until all fish from an IFQ landing have been offloaded from the vessel, consistent with § 660.12(a)(11). {revised at 78 FR 580, 01/03/2013}

(xvi) Fail to establish a new registered vessel account in the name of the current vessel owner, following a change in ownership of a vessel, prior to fishing in the Shorebased IFQ Program with that vessel. {added at 78 FR 68764, 11/15/2013, effective 01/01/2014}

(xvii) Land groundfish taken and retained during an IFQ trip, from the vessel that harvested the fish, to a first receiver that does not hold a valid first receiver site license for the physical location where the IFQ landing occurred. {added at 78 FR 68764, 11/15/2013, effective 01/01/2014}

(2) IFQ first receivers.

(i) Receive, purchase, or take custody, control, or possession of an IFQ landing from a vessel that harvested the catch while fishing under the Shorebased IFQ Program without a valid first receiver site license. {revised at 76 FR 74725, 12/1/2011}

(ii) Fail to sort fish received from a IFQ landing prior to first weighing after offloading as specified at §660.130(d)(2) for the Shorebased IFQ Program, with the following exception. Vessels with a valid Shorebased IFQ Program declaration as specified at §660.13(d)(5)(iv)(A) making an IFQ landing, may weigh catch on a bulk scale or automatic hopper scale before sorting as described at §660.140(j)(2)(viii), for Pacific whiting taken with midwater trawl gear, and at §660.140(j)(2)(ix)(A), for all other IFQ landings. For this exception, all catch in the landing other than the single predominant species must then be reweighed. The weight of a single predominant species is determined by deducting the weight of all other species from the total weight of the landing. {revised at 76 FR 74725, 12/1/2011; revised at 78 FR 68764, 11/15/2013, effective 01/01/2014}

(iii) Process, sell, or discard any groundfish received from an IFQ landing that has not been weighed on a scale that is in compliance with requirements at § 660.15, subpart C.

(iv) Transport catch away from the point of landing before that catch has been sorted and weighed by federal groundfish species or species group, and recorded for submission on an electronic fish ticket. (If fish will be transported to a different location for processing, all sorting and weighing to federal groundfish species groups must occur before transporting the catch away from the point of landing).

(v) Receive an IFQ landing without coverage by a catch monitor when one is required by regulations, unless NMFS has granted a written waiver exempting the IFQ first receiver from the catch monitor coverage requirements. On a case-by-case basis, a temporary written waiver may be granted by the Assistant Regional Administrator or designee if he/she determines that the failure to obtain coverage of a catch monitor was due to circumstances beyond the control of the first receiver. The duration of the waiver will be determined on a case-by-case basis.

(vi) Receive an IFQ landing without a NMFS-accepted catch monitoring plan or not in accordance with their NMFS-accepted catch monitoring plan.

(vii) Mix catch from more than one IFQ landing prior to the catch being sorted and weighed.

(viii) Fail to comply with the IFQ first receiver responsibilities specified at § 660.140(b)(2).

(ix) Process, sell, or discard any groundfish received from an IFQ landing that has not been accounted for on an electronic fish ticket with the identification number for the vessel that delivered the fish.

(x) Fail to submit, or submit incomplete or inaccurate information on any report, application, or statement required under this part.

(c) MS and C/P Coop Programs. {added at 75 FR 78344, 12/15/2010}

(1) Process Pacific whiting in the fishery management area during times or in areas where at-sea processing is prohibited for the sector in which the vessel fishes, unless:

(i) The fish are received from a member of a Pacific Coast treaty Indian tribe fishing under § 660.50, subpart C;

(ii) The fish are processed by a waste-processing vessel according to §660.131(g); or {revised at 76 FR 53833, August 30, 2011}

(iii) The vessel is completing processing of Pacific whiting taken on board prior to the close of that vessel's primary season.

(2) During times or in areas where atsea processing is prohibited, take and retain or receive Pacific whiting, except as cargo or fish waste, on a vessel in the fishery management area that already has processed Pacific whiting on board. An exception to this prohibition is provided if the fish are received within the tribal U&A from a member of a Pacific Coast treaty Indian tribe fishing under § 660.50, subpart C.

(3) Operate as a waste-processing vessel within 48 hours of a primary season for Pacific whiting in which that vessel operates as a catcher/processor or mothership, according to §660.131(g). {revised at 76 FR 53833, August 30, 2011}

(4) On a vessel used to fish for Pacific whiting, fail to keep the trawl doors on board the vessel, when taking and retention is prohibited under § 660.131(b), subpart D.

(d) MS Coop Program (coop and noncoop fisheries). {added at 75 FR 78344, 12/15/2010}

(1) Catch, take, or harvest fish in the mothership non-coop fishery with a vessel that is not registered to a current MS/CV-endorsed limited entry trawl permit.

(2) Receive catch, process catch, or otherwise fish as a mothership vessel if it is not registered to a current MS permit.

- (3) Fish with a vessel in the mothership sector, if that vessel was used to fish in the C/P fishery in the same calendar year.
- (4) Catch, take, or harvest fish in the MS Coop Program with a vessel that does not have a valid VMS declaration for limited entry midwater trawl, Pacific whiting mothership sector, as specified at § 660.13(d)(5)(iv)(A), subpart C.
- (5) Transfer catch to a vessel that is not registered to an MS permit. (i.e. a tender vessel).
- (6) Use a vessel registered to a limited entry permit with a trawl endorsement (with or without an MS/CV endorsement) to catch more than 30 percent of the Pacific whiting allocation for the mothership sector.
- (7) Process more than 45 percent of the annual mothership sector's Pacific whiting allocation.
- (8) Catch, take, or harvest fish before all catch from any previous haul has been transferred to a single vessel registered to an MS permit.
- (9) Transfer catch from a single haul to more than one permitted MS vessel.
- (10) Catch, take, or harvest fish for a MS coop with a vessel that has not been identified by the coop as a vessel authorized to harvest that coop's allocation.
- (11) Catch, take, or harvest fish in the non-coop fishery with a vessel registered to an MS/CV-endorsed permit in the same year the MS/CV-endorsed permit was registered to a vessel that fished as a member of a coop in the MS Coop Program.
- (12) Sort or discard any portion of the catch taken by a catcher vessel in the mothership sector before the catcher vessel observer completes sampling of the catch, except for minor operational amounts of catch lost by a catcher vessel provided the observer has accounted for the discard (i.e., a maximized retention fishery).
- (13) Mix catch from more than one haul before the observer completes their collection of catch for sampling.
- (14) Take deliveries without a valid scale inspection report signed by an authorized scale inspector on board the vessel.
- (15) Sort, process, or discard catch delivered to a mothership before the catch is weighed on a scale that meets the requirements of § 660.15(b), including the daily test requirements.

(e) C/P Coop Program. {added at 75 FR 78344, 12/15/2010}

- (1) Fish with a vessel in the catcher/processor sector that is not registered to a current C/Pendorsed limited entry trawl permit.
- (2) Fish as a catcher/processor vessel in the same year that the vessel fishes as a catcher vessel in the mothership fishery.
- (3) Fish as a catcher/processor vessel in the same year that the vessel operates as a mothership in the mothership fishery.
- (4) Fish in the C/P Coop Program with a vessel that does not have a valid VMS declaration for limited entry midwater trawl, Pacific whiting catcher/processor sector, as specified at § 660.13(d)(5)(iv)(A).
- (5) Fish in the C/P Coop Program with a vessel that is not identified in the C/ P coop agreement.
- (6) Fish in the C/P Coop Program without a valid scale inspection report signed by an authorized scale inspector on board the vessel.
- (7) Sort, process, or discard catch before the catch is weighed on a scale that meets the requirements of § 660.15(b), including the daily test requirements.
- (8) Discard any catch from the codend or net (i.e. bleeding) before the observer has completed their data collection.
- (9) Mix catch from more than one haul before the observer completes their collection of catch for sampling.

§ 660.113 Trawl fishery—recordkeeping and reporting. {revised at 75 FR 78344, 12/15/2010; revised at 76 FR 53833, August 30, 2011; revised at 76 FR 74725, 12/1/2011; revised at 78 FR 68764, 11/15/2013, effective 01/01/2014; revised at 78 FR 75268, 12/11/13, effective 01/10/2014}

General groundfish recordkeeping and reporting requirements are defined at §660.13, subpart C. The following recordkeeping and reporting requirements are in addition to those and are specific to the limited entry trawl fisheries.

(a) General requirements. {added at 75 FR 78344, 12/15/2010}

- (1) All records or reports required by this paragraph (a) must: be maintained in English, be accurate, be legible, be based on local time, and be submitted in a timely manner.
- (2) Retention of Records. All records used in the preparation of records or reports specified in this section or corrections to these reports must be maintained for a period of not less than three years after the date of landing and must be immediately available upon request for inspection by NMFS or authorized officers or others as specifically authorized by NMFS. Records used in the preparation of required reports specified in this section or corrections to these reports that are required to be kept include, but are not limited to, any

written, recorded, graphic, electronic, or digital materials as well as other information stored in or accessible through a computer or other information retrieval system; worksheets; weight slips; preliminary, interim, and final tally sheets; receipts; checks; ledgers; notebooks; diaries; spreadsheets; diagrams; graphs; charts; tapes; disks; or computer printouts. All relevant records used in the preparation of electronic fish ticket reports or corrections to these reports, including dock tickets, must be maintained for a period of not less than three years after the date and must be immediately available upon request for inspection by NMFS or authorized officers or others as specifically authorized by NMFS. {revised at 76 FR 74725, 12/1/2011}

(b) Shorebased IFQ Program. {added at 75 FR 78344, 12/15/2010}

(1) Economic data collection (EDC) program. The following persons are required to submit an EDC form as specified at § 660.114:

- (i) All owners, lessees, and charterers of a catcher vessel registered to a limited entry trawl endorsed permit.
- (ii) All owners of a first receiver site license.
- (iii) All owners and lessees of a shorebased processor.

(2) Electronic vessel logbook. [Reserved]

(3) Gear switching declaration. Any person with a limited entry trawl permit participating in the Shorebased IFQ Program using groundfish non-trawl gear (i.e., gear switching) must submit a valid gear declaration reporting such participation as specified in § 660.13(d)(5)(iv)(A).

(4) Electronic fish ticket. The IFQ first receiver is responsible for compliance with all reporting requirements described in this paragraph.

(i) Required information. All IFQ first receivers must provide the following types of information: Date of landing, vessel that made the delivery, vessel account number, name of the vessel operator, gear type used, catch area, first receiver, actual weights of species landed listed by species or species group including species with no value, condition landed, number of salmon by species, number of Pacific halibut, ex-vessel value of the landing by species, fish caught inside/outside 3 miles or both, and any other information deemed necessary by the Regional Administrator as specified on the appropriate electronic fish ticket form. {revised at 76 FR 74725, 12/1/2011}

(ii) Submissions. The IFQ first receiver must: {revised at 76 FR 74725, 12/1/2011}

(A) Include as part of each electronic fish ticket submission, the actual scale weight for each groundfish species as specified by requirements at §660.15(c), and the vessel identification number.

(B) Use for the purpose of submitting electronic fish tickets, and maintain in good working order, computer equipment as specified at §660.15(d);

(C) Install, use, and update as necessary, any NMFS-approved software described at §660.15(d);

(D) Submit a completed electronic fish ticket for every IFQ landing no later than 24 hours after the date the fish are received, unless a waiver of this requirement has been granted under provisions specified at paragraph (b)(4)(iv) of this section.

(E) Follow these process and submittal requirements for offloading at a first receiver site where the fish will be processed at the offload site or if an electronic fish ticket will be recorded prior to transport:

(1) The IFQ first receiver must communicate the electronic fish ticket number to the catch monitor.

(2) After completing the offload, the electronic fish ticket information must be recorded immediately.

(3) Prior to submittal of the electronic fish ticket, the information recorded for the electronic fish ticket must be reviewed by the catch monitor and the vessel operator who delivered the fish.

(4) After review, the IFQ first receiver and the vessel operator must sign a printed hard copy of the electronic fish ticket or, if the delivery occurs outside of business hours, the original dock ticket.

(5) Prior to submittal, three copies of the signed electronic fish ticket must be produced by the IFQ first receiver and a copy provided to each of the following:

(i) The vessel operator,

(ii) The state of origin if required by state regulations, and

(iii) The IFQ first receiver.

(6) After review and signature, the electronic fish ticket must be submitted within 24 hours of the completion of the offload, as specified in paragraph (b)(4)(ii)(D) of this section.

(F) Follow these process and submittal requirements for offloading at a first receiver site where the fish will be transported for processing at a

different location if an electronic fish ticket is not recorded prior to transport:

(1) The IFQ first receiver must communicate the electronic fish ticket number to the catch monitor at the beginning of the offload.

(2) The vessel name and the electronic fish ticket number must be recorded on each dock ticket related to that delivery.

(3) Upon completion of the dock ticket, but prior to transfer of the offload to another location, the dock ticket information that will be used to complete the electronic fish ticket must be reviewed by the catch monitor and the vessel operator who delivered the fish.

(4) After review, the IFQ first receiver and the vessel operator must sign the original copy of each dock ticket related to that delivery.

(5) Prior to submittal of the electronic fish ticket, three copies of the signed dock ticket must be produced by the IFQ first receiver and a copy provided to each of the following:

(i) The vessel operator,

(ii) The state of origin if required by state regulations, and

(iii) The IFQ first receiver.

(6) Based on the information contained in the signed dock ticket, the electronic fish ticket must be completed and submitted within 24 hours of the completion of the offload, as specified in paragraph (b)(4)(ii)(D) of this section.

(7) Three copies of the electronic fish ticket must be produced by the IFQ first receiver and a copy provided to each of the following:

(i) The vessel operator,

(ii) The state of origin if required by state regulations, and

(iii) The IFQ first receiver.

(iii) Revising a submission. In the event that a data error is found, electronic fish ticket submissions may be revised by resubmitting the revised form. Electronic fish tickets are to be used for the submission of final data. Preliminary data,

including estimates of fish weights or species composition, shall not be submitted on electronic fish tickets.

(iv) Waivers for submission. On a case-by-case basis, a temporary written waiver of the requirement to submit electronic fish tickets may be granted by the Assistant Regional Administrator or designee if he/she determines that circumstances beyond the control of a first receiver would result in inadequate data submissions using the electronic fish ticket system. The duration of the waiver will be determined on a case-by-case basis.

(v) Reporting requirements when a temporary waiver has been granted. IFQ First receivers that have been granted a temporary waiver from the requirement to submit electronic fish tickets must submit on paper the same data as is required on electronic fish tickets within 24 hours of the date received during the period that the waiver is in effect. Paper fish tickets must be sent by facsimile to NMFS, Northwest Region, Sustainable Fisheries Division, 206– 526– 6736 or by delivering it in person to 7600 Sand Point Way, NE., Seattle, WA 98115. The requirements for submissions of paper tickets in this paragraph are separate from, and in addition to existing state requirements for landing receipts or fish receiving tickets.

(5) Cost recovery program. In addition to the requirements at paragraph (a) of this section, the fish buyer, as defined at §660.111 for the Shorebased IFQ Program, is required to comply with the following recordkeeping and reporting requirements: {added at 78 FR 75268, 12/11/13, effective 01/10/2014}

(i) Reporting. The fish buyer must submit a cost recovery form at the time cost recovery fees are paid to NMFS as specified at §660.115. The cost recovery form requires providing information that includes, but is not limited to, fish buyer's name, address, phone number, first receiver site license number, month and year of landings, weight of landings, ex-vessel value, and fee due.

(ii) Recordkeeping. The fish buyer must maintain the following records:

(A) For all deliveries of groundfish that the fish buyer buys from each fish seller:

- (1) The date of delivery,
- (2) The fish seller's identity,
- (3) The weight of each species of groundfish delivered,
- (4) Information sufficient to specifically identify the fishing vessel which delivered the groundfish,
- (5) The ex-vessel value of each species of groundfish,

- (6) The net ex-vessel value of each species of groundfish,
- (7) The identity of the payee to whom the net ex-vessel value is paid, if different than the fish seller,
- (8) The date the net ex-vessel value was paid,
- (9) The total fee amount collected as a result of all groundfish.

(B) For all fee collection deposits to and disbursements from the deposit account:

- (1) The date of each deposit in to the deposit account required at §660.115(d)(1)(ii)(A),
- (2) The total amount deposited in to the deposit account,
- (3) The date of each disbursement,
- (4) The total amount disbursed,
- (5) The dates and amounts of disbursements to the fish buyer, or other parties, of interest earned on deposits.

(c) MS Coop Program (coop and noncoop fisheries). {added at 75 FR 78344, 12/15/2010}

(1) Economic data collection (EDC) program. The following persons are required to submit a complete economic data collection form as specified at § 660.114.

(i) All owners, lessees, and charterers of a catcher vessel registered to a limited entry trawl MS/CV-endorsed permit.

(ii) All owners, lessees, and charterers of a vessel registered to an MS permit.

(2) NMFS-approved scales

(i) Scale test report form. Mothership vessel operators are responsible for conducting scale tests and for recording the scale test information on the at-sea scale test report form as specified at § 660.15(b), subpart C, for mothership vessels.

(ii) Printed scale reports. Specific requirements pertaining to printed scale reports and scale weight print outs are specified at § 660.15(b), subpart C, for mothership vessels.

(iii) Retention of scale records and reports. The vessel must maintain the test report form on board until the end of the fishing year during which the tests were conducted, and make the report forms available to observers, NMFS staff, or authorized officers. In addition, the vessel owner must retain the scale test report forms for 3 years after the end of the fishing year during which the tests were performed. All scale test report forms must be signed by the vessel operator.

(3) Annual coop report. The designated coop manager for the mothership coop must submit an annual report to NMFS and the Council by March 31 each year, before a coop permit is issued for that year. The annual coop report will contain information about the previous year's fishery, including: {revised at 78 FR 68764, 11/15/2013, effective 01/01/2014}

(i) The mothership sector's annual allocation of Pacific whiting and the permitted mothership coop allocation; {revised at 76 FR 53833, August 30, 2011; revised at 78 FR 68764, 11/15/2013, effective 01/01/2014}

~~(A) The mothership sector's annual allocation of Pacific whiting and the permitted mothership coop allocation; {removed at 78 FR 68764, 11/15/2013, effective 01/01/2014}~~

~~(B) The mothership coop's actual retained and discarded catch of Pacific whiting, salmon, Pacific halibut, rockfish, groundfish, and other species on a vessel-by-vessel basis; {removed at 78 FR 68764, 11/15/2013, effective 01/01/2014}~~

~~(C) A description of the method used by the mothership coop to monitor performance of coop vessels that participated in the fishery; {removed at 78 FR 68764, 11/15/2013, effective 01/01/2014}~~

~~(D) A description of any actions taken by the mothership coop in response to any vessels that exceed their allowed catch and bycatch; and {removed at 78 FR 68764, 11/15/2013, effective 01/01/2014}~~

~~(E) Plans for the next year's mothership coop fishery, including the companies participating in the cooperative, the harvest agreement, and catch monitoring and reporting requirements. {removed at 78 FR 68764, 11/15/2013, effective 01/01/2014}~~

(ii) The mothership coop's actual retained and discarded catch of Pacific whiting, salmon, Pacific halibut, rockfish, groundfish, and other species on a vessel-by-vessel basis; {revised at 76 FR 53833, August 30, 2011; revised at 78 FR 68764, 11/15/2013, effective 01/01/2014}

(iii) A description of the method used by the mothership coop to monitor performance of coop vessels that participated in the fishery; {added at 78 FR 68764, 11/15/2013, effective 01/01/2014}

(iv) A description of any actions taken by the mothership coop in response to any vessels that exceed their allowed catch and bycatch; and {added at 78 FR 68764, 11/15/2013, effective 01/01/2014}

(v) Plans for the current year's mothership coop fishery, including the companies participating in the cooperative, the harvest agreement, and catch monitoring and reporting requirements. {added at 78 FR 68764, 11/15/2013, effective 01/01/2014}

(4) Cease fishing report. As specified at § 660.150(c)(4)(ii), the designated coop manager, or in the case of an intercoop agreement, all of the designated coop managers must submit a cease fishing report to NMFS indicating that harvesting has concluded for the year.

(5) Cost recovery program. In addition to the requirements at paragraph (a) of this section, the fish buyer, as defined at §660.111 for the MS Coop Program, is required to comply with the following recordkeeping and reporting requirements: {added at 78 FR 75268, 12/11/13, effective 01/10/2014}

(i) Reporting.

(A) Cost recovery form. The fish buyer must submit a cost recovery form at the time cost recovery fees are paid to NMFS as specified at §660.115. The cost recovery form requires providing information that includes, but is not limited to, fish buyer's name, address, phone number, MS permit number, vessel name, USCG vessel documentation number, month and year of deliveries, weight of deliveries, ex-vessel value, and fee due.

(B) Annual report. By March 31 each year, each fish buyer must submit to NMFS a report containing the following information from the preceding calendar year for all groundfish each fish buyer purchases from fish sellers:

- (1) Total weight bought,
- (2) Total ex-vessel value paid,
- (3) Total fee amounts collected,
- (4) Total fee collection amounts deposited by month,
- (5) Dates and amounts of monthly disbursements to the Fund.

(ii) Recordkeeping. The fish buyer must maintain the following records:

(A) For all deliveries of groundfish that the fish buyer buys from each fish seller:

- (1) The date of delivery,
- (2) The fish seller's identity,
- (3) The weight of each species of groundfish delivered,
- (4) Information sufficient to specifically identify the fishing vessel which delivered the groundfish,
- (5) The ex-vessel value of each species of groundfish,
- (6) The net ex-vessel value of each species of groundfish,
- (7) The identity of the payee to whom the net ex-vessel value is paid, if different than the fish seller,
- (8) The date the net ex-vessel value was paid,
- (9) The total fee amount collected as a result of all groundfish.

(B) For all fee collection deposits to and disbursements from the deposit account:

- (1) The date of each deposit in to the deposit account required at §660.115(d)(1)(ii)(A),
- (2) The total amount deposited in to the deposit account,
- (3) The date of each disbursement,
- (4) The total amount disbursed,
- (5) The dates and amounts of disbursements to the fish buyer, or other parties, of interest earned on deposits.

(d) C/P Coop Program. {revised at 75 FR 78344, 12/15/2010}

(1) Economic data collection (EDC) program. All owners, lessees, and charterers of a vessel registered to a C/P-endorsed limited entry trawl permit are required to submit a complete economic data collection form as specified at § 660.114.

(2) NMFS-approved scales

(i) Scale test report form. Catcher/processor vessel operators are responsible for conducting scale tests and for recording the scale test information on the at-sea scale test report form as specified at § 660.15(b), subpart C, for C/P vessels.

(ii) Printed scale reports. Specific requirements pertaining to printed scale reports and scale weight print outs are specified at § 660.15(b), subpart C, for C/ P vessels.

(iii) Retention of scale records and reports. The vessel must maintain the test report form on board until the end of the fishing year during which the tests were conducted, and make the report forms available to observers, NMFS staff, or authorized officers. In addition, the vessel owner must retain the scale test report forms for 3 years after the end of the fishing year during which the tests were performed. All scale test report forms must be signed by the vessel operator.

(3) Annual coop report The designated coop manager for the C/P coop must submit an annual report to NMFS and the Council by March 31 each year, before a coop permit is issued for that year. The annual coop report will contain information about the previous year's fishery, including: {revised at 78 FR 68764, 11/15/2013, effective 01/01/2014}

(i) The C/P sector's annual allocation of Pacific whiting; {revised at 76 FR 53833, August 30, 2011; revised at 78 FR 68764, 11/15/2013, effective 01/01/2014}

~~(A) The C/P sector's annual allocation of Pacific whiting;~~ {removed at 78 FR 68764, 11/15/2013, effective 01/01/2014}

~~(B) The C/P coop's actual retained and discarded catch of Pacific whiting, salmon, Pacific halibut, rockfish, groundfish, and other species on a vessel-by-vessel basis;~~ {removed at 78 FR 68764, 11/15/2013, effective 01/01/2014}

~~(C) A description of the method used by the C/P coop to monitor performance of cooperative vessels that participated in the fishery;~~ {removed at 78 FR 68764, 11/15/2013, effective 01/01/2014}

~~(D) A description of any actions taken by the C/P coop in response to any vessels that exceed their allowed catch and bycatch; and~~ {removed at 78 FR 68764, 11/15/2013, effective 01/01/2014}

~~(E) Plans for the next year's C/P coop fishery, including the companies participating in the cooperative, the harvest agreement, and catch monitoring and reporting requirements.~~ {removed at 78 FR 68764, 11/15/2013, effective 01/01/2014}

(ii) The C/P coop's actual retained and discarded catch of Pacific whiting, salmon, Pacific halibut, rockfish, groundfish, and other species on a vessel-by-vessel basis; {revised at 76 FR 53833, August 30, 2011; revised at 78 FR 68764, 11/15/2013, effective 01/01/2014}

(iii) A description of the method used by the C/P coop to monitor performance of cooperative vessels that participated in the fishery; {added at 78 FR 68764, 11/15/2013, effective 01/01/2014}

(iv) A description of any actions taken by the C/P coop in response to any vessels that exceed their allowed catch and bycatch; and {added at 78 FR 68764, 11/15/2013, effective 01/01/2014}

(v) Plans for the current year's C/P coop fishery, including the companies participating in the cooperative, the harvest agreement, and catch monitoring and reporting requirements. {added at 78 FR 68764, 11/15/2013, effective 01/01/2014}

(4) Cease fishing report. As specified at § 660.160(c)(5), the designated coop manager must submit a cease fishing report to NMFS indicating that harvesting has concluded for the year.

(5) Cost recovery program. In addition to the requirements at paragraph (a) of this section, the fish buyer, as defined at §660.111 for the C/P Coop Program, is required to comply with the following recordkeeping and reporting requirements: {added at 78 FR 75268, 12/11/13, effective 01/10/2014}

(i) Reporting. The fish buyer must submit a cost recovery form at the time cost recovery fees are paid to NMFS as specified at §660.115. The cost recovery form requires providing information that includes, but is not limited to, fish buyer's name, address, phone number, C/P-endorsed limited entry permit number, vessel name, USCG vessel documentation number, year of harvest, weight, ex-vessel value, and fee due.

(ii) Recordkeeping. The fish buyer must maintain the following records:

(A) For all groundfish:

- (1) The date of harvest,
- (2) The weight of each species of groundfish harvested,
- (3) Information sufficient to specifically identify the fishing vessel which harvested the groundfish,
- (4) The ex-vessel value of each species of groundfish,
- (5) The net ex-vessel value of each species of groundfish,
- (6) The total fee amount collected as a result of all groundfish.

(B) For all disbursements to NMFS:

- (1) The date of each disbursement,
- (2) The total amount disbursed.

§ 660.114 Trawl fishery—economic data collection program. {added at 75 FR 78344, 12/15/2010; corrected at 77 FR 55153, 09/07/12, effective 09/24/12}

(a) General. The economic data collection (EDC) program collects mandatory economic data from participants in the trawl rationalization program. NMFS requires submission of an EDC form to gather ongoing, annual data for 2011 and beyond, as well as a onetime collection in 2011 of baseline economic data from 2009 through 2010.

(b) Economic data collection program requirements. The following fishery participants in the limited entry groundfish trawl fisheries are required to comply with the following EDC program requirements: {corrected at 77 FR 55153, 09/07/12, effective 09/24/12}

Fishery participant	Economic data collection	Who is required to submit an EDC?	Consequence for failure to submit (In addition to consequences listed below, failure to submit an EDC may be a violation of the MSA.)
(1) Limited entry trawl catcher vessels.	(i) Baseline (2009 and 2010) economic data.	All owners, lessees, and charterers of a catcher vessel registered to a limited entry trawl endorsed permit at any time in 2009 or 2010.	<p>(A) For permit owner, a limited entry trawl permit application (including MS/CV-endorsed limited entry trawl permit) will not be considered complete until the required EDC for that permit owner associated with that permit is submitted, as specified at §660.25(b)(4)(i).</p> <p>(B) For a vessel owner, participation in the groundfish fishery (including, but not limited to, changes in vessel registration, vessel account actions, or if own QS permit, issuance of annual QP or IBQ pounds) will not be authorized until the required EDC for that owner for that vessel is submitted, as specified, in part, at §660.25(b)(4)(v) and §660.140(e).</p> <p>(C) For a vessel lessee or charterer, participation in the groundfish fishery (including, but not limited to, issuance of annual QP or IBQ pounds if own QS or IBQ) will not be authorized, until the required EDC for their operation of that vessel is submitted.</p>
	(ii) Annual/ongoing (2011 and beyond) economic data.	All owners, lessees, and charterers of a catcher vessel registered to a limited entry trawl endorsed permit at any time in 2011 and beyond.	<p>(A) For permit owner, a limited entry trawl permit application (including MS/CV-endorsed limited entry trawl permit) will not be considered complete until the required EDC for that permit owner associated with that permit is submitted, as specified at §660.25(b)(4)(i).</p> <p>(B) For a vessel owner, participation in the groundfish fishery (including, but not limited to, changes in vessel registration, vessel account actions, or if own QS permit, issuance of annual QP or IBQ pounds) will not be authorized until the required EDC for that owner for that vessel is submitted, as specified, in part, at §660.25(b)(4)(v) and §660.140(e).</p> <p>(C) For a vessel lessee or charterer, participation in the groundfish fishery (including, but not limited to, issuance of annual QP or IBQ pounds if own QS or IBQ) will not be authorized, until the required EDC for their operation of that vessel is submitted.</p>

(2) Motherships.	(i) Baseline (2009 and 2010) economic data.	All owners, lessees, and charterers of a mothership vessel that received whiting in 2009 or 2010 as recorded in NMFS' NORPAC database.	(A) For permit owner, an MS permit application will not be considered complete until the required EDC for that permit owner associated with that permit is submitted, as specified at §660.25(b)(4)(i). (B) For a vessel owner, participation in the groundfish fishery (including, but not limited to, changes in vessel registration) will not be authorized until the required EDC for that owner for that vessel is submitted, as specified, in part, at §660.25(b)(4)(v). (C) For a vessel lessee or charterer, participation in the groundfish fishery will not be authorized, until the required EDC for their operation of that vessel is submitted.
	(ii) Annual/ongoing (2011 and beyond) economic data.	All owners, lessees, and charterers of a mothership vessel registered to an MS permit at any time in 2011 and beyond.	(A) For permit owner, an MS permit application will not be considered complete until the required EDC for that permit owner associated with that permit is submitted, as specified at §660.25(b)(4)(i). (B) For a vessel owner, participation in the groundfish fishery (including, but not limited to, changes in vessel registration) will not be authorized until the required EDC for that owner for that vessel is submitted, as specified, in part, at §660.25(b)(4)(v). (C) For a vessel lessee or charterer, participation in the groundfish fishery will not be authorized, until the required EDC for their operation of that vessel is submitted.
(3) Catcher processors.	(i) Baseline (2009 and 2010) economic data.	All owners, lessees, and charterers of a catcher processor vessel that harvested whiting in 2009 or 2010 as recorded in NMFS' NORPAC database.	(A) For permit owner, a C/P-endorsed limited entry trawl permit application will not be considered complete until the required EDC for that permit owner associated with that permit is submitted, as specified at §660.25(b)(4)(i). (B) For a vessel owner, participation in the groundfish fishery (including, but not limited to, changes in vessel registration) will not be authorized until the required EDC for that owner for that vessel is submitted, as specified, in part, at §660.25(b)(4)(v). (C) For a vessel lessee or charterer, participation in the groundfish fishery will not be authorized, until the required EDC for their operation of that vessel is submitted.
	(ii) Annual/ongoing (2011 and beyond) economic data.	All owners, lessees, and charterers of a catcher processor vessel registered to a C/P-endorsed limited entry trawl permit at	(A) For permit owner, a C/P-endorsed limited entry trawl permit application will not be considered complete until the required EDC for that permit owner associated with that permit is submitted, as specified at §660.25(b)(4)(i). (B) For a vessel owner, participation in the groundfish fishery (including, but not limited to, changes in vessel registration) will not be authorized until the required EDC

		any time in 2011 and beyond.	for that owner for that vessel is submitted, as specified, in part, at §660.25(b)(4)(v). (C) For a vessel lessee or charterer, participation in the groundfish fishery will not be authorized, until the required EDC for their operation of that vessel is submitted.
(4) First receivers/shorebased processors.	(i) Baseline (2009 and 2010) economic data.	All owners and lessees of a shorebased processor and all buyers that received groundfish or whiting harvested with a limited entry trawl permit as listed in the PacFIN database in 2009 or 2010.	A first receiver site license application for a particular physical location for processing and buying will not be considered complete until the required EDC for the applying processor or buyer is submitted, as specified at §660.140(f)(3).
	(ii) Annual/ongoing (2011 and beyond) economic data.	(A) All owners of a first receiver site license in 2011 and beyond.	A first receiver site license application will not be considered complete until the required EDC for that license owner associated with that license is submitted, as specified at §660.140(f)(3). See paragraph (b)(4)(ii)(A) of this table.
		(B) All owners and lessees of a shore-based processor (as defined under “processor” at §660.11, for purposes of EDC) that received round or headed-and-gutted IFQ species groundfish or whiting from a first receiver in 2011 and beyond.	

(c) Submission of the EDC form and deadline

(1) Submission of the EDC form. The complete, certified EDC form must be submitted to ATTN: Economic Data Collection Program (FRAM Division), NMFS, Northwest Fisheries Science Center, 2725 Montlake Boulevard East, Seattle, WA 98112. A complete EDC form contains responses for all data fields, which include but are not limited to costs, labor, earnings, activity in a fishery, vessel or plant characteristics, value, quota, operational information, location of expenditures and earnings, ownership information and leasing information.

(2) Deadline. Complete, certified EDC forms must be mailed and postmarked by or hand-delivered to NMFS NWFSC no later than September 1, 2011, for baseline data, and, for the annual/ ongoing data collection beginning September 1, 2012, September 1 each year for the prior year's data.

(d) Confidentiality of information. Information received on an EDC form will be considered confidential under applicable law and guidance.

(e) EDC audit procedures

(1) NMFS reserves the right to conduct verification of economic data with the submitter of the form. NMFS may employ a third party agent to conduct the audits.

(2) The submitter of the EDC form must respond to any inquiry by NMFS or a NMFS agent within 20 days of the date of issuance of the inquiry, unless an extension is granted by NMFS.

(3) The submitter of the form must provide copies of additional data to facilitate verification by NMFS or NMFS' agent upon request. The NMFS auditor may review and request copies of additional data provided by the submitter, including but not limited to, previously audited or reviewed financial statements, worksheets, tax returns, invoices, receipts, and other original documents substantiating the economic data submitted.

§ 660.115 Trawl fishery—cost recovery program. {added at 78 FR 75268, 12/11/13, effective 01/10/2014}

(a) General. The cost recovery program collects mandatory fees of up to three percent of the ex-vessel value of fish harvested by sector under the trawl rationalization program in accordance with the Magnuson-Stevens Act. NMFS collects the fees to recover the actual costs directly related to the management, data collection, and enforcement of the trawl rationalization program. In addition to the requirements of this section, the following groundfish regulations also apply:

(1) Regulations set out in the following sections of subpart C: §660.11 Definitions and §660.25 Permits.

(2) Regulations set out in the following sections of subpart D: §660.111 Definitions, §660.112 Trawl fishery prohibitions, §660.113 Trawl fishery recordkeeping and reporting, §660.140 Shorebased IFQ Program, §660.150 MS Coop Program, and §660.160 C/P Coop Program.

(b) Fee percentage by sector. The annual fee percentage by sector is calculated as described in paragraph (b)(1) of this section. NMFS will establish the fee percentage each year and will announce the fee percentage by sector in accordance with paragraph (b)(2) of this section. The fee percentage must not exceed three percent of the ex-vessel value of fish harvested by sector under the trawl rationalization program pursuant to the Magnuson-Stevens Act at 16 U.S.C. 1854(d)(2)(B).

(1) Calculation. In the last quarter of each calendar year, NMFS will calculate the fee percentage by sector based on information from the previous fiscal year (defined at §660.11). The fee percentage will be rounded to the nearest 0.1 percent and must not exceed three percent for each sector (Shorebased IFQ Program, MS Coop Program, and C/P Coop Program). NMFS will use

the following equation to annually determine the fee percentage by sector: Fee percentage = the lower of 3% or $(DPC/V) \times 100$, where:

(i) “DPC,” or direct program costs, are the actual incremental costs for the previous fiscal year directly related to the management, data collection, and enforcement of each sector (Shorebased IFQ Program, MS Coop Program, and C/P Coop Program). Actual incremental costs means those net costs that would not have been incurred but for the implementation of the trawl rationalization program, including additional costs for new requirements of the program and reduced trawl sector related costs resulting from efficiencies as a result of the program. If the amount of fees collected by NMFS is greater or less than the actual net incremental costs incurred, the DPC will be adjusted accordingly for calculation of the fee percentage in the following year.

(ii) “V” is, for each applicable sector, the total ex-vessel value, as defined at §660.111, from the previous calendar year attributable to that sector of the trawl rationalization program (Shorebased IFQ Program, MS Coop Program, and C/P Coop Program).

(2) Notification of the fee percentage and MS average pricing. During the last quarter of each calendar year, NMFS will announce the following through a Federal Register notice:

(i) The fee percentage to be applied by fish buyers and fish sellers, for each sector, that will be in effect for the upcoming calendar year, and

(ii) The average MS price per pound from the previous fiscal year as reported for the MS Coop Program to be used in the C/P Coop Program to calculate the fee amount for the upcoming calendar year as specified in paragraph (c) of this section.

(iii) Information on how to pay in to the Fund subaccount as specified at paragraph (d) of this section.

(c) Fee amount. The fee amount is the ex-vessel value, as defined at §660.111, for each sector multiplied by the fee percentage for that sector as announced in accordance with paragraph (b)(2) of this section.

(d) Fee payment and collection-

(1) Fee payment and collection in the Shorebased IFQ Program and MS Coop Program. Payment of fees at the fee percentage rate announced in paragraph (b)(2) of this section begins January 1 and continues without interruption through December 31 each year.

(i) Between the fish seller and fish buyer. Except as described below, the full fee is due and payable at the time of fish landing/delivery. Each fish buyer must collect the fee at the time of fish landing/delivery by deducting the fee from the ex-vessel value before paying the net ex-vessel value to the fish seller. Each fish seller must pay the fee at the time of fish landing/delivery by receiving from the fish buyer the net ex-vessel value, as defined at §660.111.

(A) In the event of any post-delivery payment for fish, the fish seller must pay, and the fish buyer must collect, at the time the amount of such post-landing/delivery payment, the fee that would otherwise have been due and payable at the time of initial fish landing/delivery.

(B) When the fish buyer and fish seller are the same entity, that entity must comply with the requirements for both the fish seller and the fish buyer as specified in this section.

(ii) Between the fish buyer and NMFS—

(A) Deposit accounts. Each fish buyer shall maintain a segregated account at a federally insured financial institution for the sole purpose of depositing collected fee revenue from the cost recovery program specified in this section and disbursing the deposit principal directly to NMFS in accordance with paragraph (d)(1)(ii)(C) of this section.

(B) Fee collection deposits. Each fish buyer, no less frequently than at the end of each month, shall deposit, in the deposit account established under paragraph (d)(1)(ii)(A) of this section, all fees collected, not previously deposited, that the fish buyer collects through a date not more than two calendar days before the date of deposit. The deposit principal may not be pledged, assigned, or used for any purpose other than aggregating collected fee revenue for disbursement to the Fund in accordance with paragraph (d)(1)(ii)(C) of this section. The fish buyer is entitled, at any time, to withdraw deposit interest, if any, but never deposit principal, from the deposit account for the fish buyer's own use and purposes.

(C) Deposit principal disbursement. Not later than the 14th calendar day after the last calendar day of each month, or more frequently if the amount in the account exceeds the account limit for insurance purposes, the fish buyer shall disburse to NMFS the full deposit principal then in the deposit account. The fish buyer shall disburse deposit principal by electronic payment to the Fund subaccount to which the deposit principal relates. NMFS will announce information about how to make an electronic payment to the Fund subaccount in the notification on fee percentage specified in paragraph (b)(2) of this section. Each disbursement must be accompanied by a cost recovery form provided by NMFS. Recordkeeping and reporting requirements are specified in paragraph (d)(4) of this section and at §660.113(b)(5) for the Shorebased IFQ Program and §660.113(c)(5) for the MS Coop Program. The cost recovery form will be available on the pay.gov Web site.

(2) Fee payment and collection in the C/P Coop Program. Payment of fees for the calendar year at the fee percentage rate announced in paragraph (b)(2) of this section is due in the last quarter of the calendar year and no later than December 31 each year. The fish buyer is responsible for fee payment to NMFS. The fish seller and the fish buyer, as defined at §660.111, are considered the same entity in the C/P Coop Program. The fish buyer shall disburse to NMFS the full fee amount for the calendar year by electronic payment to the Fund subaccount. NMFS will announce information about how to make an electronic payment to the Fund subaccount in the notification on fee percentage specified in paragraph (b)(2) of this section. Each disbursement

must be accompanied by a cost recovery form provided by NMFS. Recordkeeping and reporting requirements are specified in paragraph (d)(4) of this section and at §660.113(d)(5) for the C/P Coop Program. The cost recovery form will be available on the pay.gov Web site.

(3) Failure to pay or collect—

(i) Responsibility to notify NMFS.

(A) If a fish buyer fails to collect the fee in the amount and manner required by this section, the fish seller shall then advise the fish buyer of the fish seller's fee payment obligation and of the fish buyer's cost recovery fee collection obligation. If the fish buyer still fails to properly collect the fee, the fish seller, within the next 7 calendar days, shall forward the fee to NMFS. The fish seller at the same time shall also advise NMFS in writing at the address in paragraph (d)(3)(i)(C) of this section of the full particulars, including:

- (1) The fish buyer's and fish seller's name, address, and telephone number,
- (2) The name of the fishing vessel from which the fish seller made fish delivery and the date of doing so,
- (3) The weight and ex-vessel value of each species of fish that the fish seller delivered, and
- (4) The fish buyer's reason, if known, for failing or refusing to collect the fee in accordance with this subpart;

(B) Notifications must be mailed or faxed to: National Marine Fisheries Service, West Coast Region, Office of Management and Information, ATTN: Cost Recovery Notification, 7600 Sand Point Way NE., Seattle, WA 98115; Fax: 206-526-6426; or delivered to National Marine Fisheries Service at the same address.

(ii) IAD, appeals, and final decision. If NMFS determines the fish buyer or other responsible party has not submitted a complete cost recovery form and corresponding payment by the due date specified in paragraphs (d)(1) and (2) of this section, NMFS will at any time thereafter notify the fish buyer or other responsible party in writing via an initial administrative determination (IAD) letter.

(A) IAD. In the IAD, NMFS will state the discrepancy and provide the person 30 calendar days to either pay the specified amount due or appeal the IAD in writing.

(B) Appeals. If the fish buyer appeals an IAD, the appeal must be postmarked, faxed, or hand delivered to NMFS no later than 30 calendar days after the date on the IAD. If the last day of the time period is a Saturday, Sunday, or Federal holiday, the time period will extend to the close of business on the next business day. The appeal must be in writing, must allege credible facts or circumstances, and must include any relevant information or documentation to support the appeal. Appeals must be mailed, faxed, or hand-delivered to: National Marine

Fisheries Service, West Coast Region, Office of Management and Information,
ATTN: Cost Recovery Appeals, 7600 Sand Point Way NE., Seattle, WA 98115;
Fax: 206-526-6426; or delivered to National Marine Fisheries Service at the same
address.

(C) Final decision—

(1) Final decision on appeal. For the appeal of an IAD, the Regional Administrator shall appoint an appeals officer. After determining there is sufficient information and that all procedural requirements have been met, the appeals officer will review the record and issue a recommendation on the appeal to the Regional Administrator, which shall be advisory only. The recommendation must be based solely on the record. Upon receiving the findings and recommendation, the Regional Administrator, acting on behalf of the Secretary of Commerce, will issue a written decision on the appeal which is the final decision of the Secretary of Commerce.

(2) Final decision if there is no appeal. If the fish buyer does not appeal the IAD within 30 calendar days, NMFS will notify the fish buyer or other responsible party in writing via a final decision letter. The final decision will be from the Regional Administrator acting on behalf of the Secretary of Commerce.

(3) If the final decision determines that the fish buyer is out of compliance, the final decision will require payment within 30 calendar days. If such payment is not received within 30 calendar days of issuance of the final decision, NMFS will refer the matter to the appropriate authorities for purposes of collection. As of the date of the final decision if the fish buyer is out of compliance, NMFS will not approve a permit renewal for an MS permit or a C/P-endorsed limited entry trawl permit until all cost recovery fees due have been paid as specified at §660.25(b)(4)(i)(G); or reissue an IFQ first receiver site license until all cost recovery fees due have been paid, as specified at §660.140(f)(4).

(4) Recordkeeping, reporting, and audits—

(i) Recordkeeping. Each fish buyer and fish seller shall retain records in accordance with §660.113(a). In addition, fish buyers shall retain records in accordance with the following paragraphs: §660.113(b)(5) for the Shorebased IFQ Program, §660.113(c)(5) for the MS Coop Program, and §660.113(d)(5) for the C/P Coop Program.

(ii) Reporting, including annual report. Each fish buyer shall submit reports in accordance with the following paragraphs: §660.113(b)(5) for the Shorebased IFQ Program, §660.113(c)(5) for the MS Coop Program, and §660.113(d)(5) for the C/P Coop Program. The fish buyer must submit a cost recovery form along with fee payment to NMFS. By March 31 each year, fish buyers in the MS Coop Program must submit an annual report to NMFS containing information from the preceding calendar year as specified at §660.113(c)(5).

(iii) Audits. NMFS or its agents may audit, in whatever manner NMFS determines reasonably necessary for the duly diligent administration of the cost recovery program, the financial records of fish buyers and fish sellers in order to ensure proper fee payment, collection, deposit, disbursement, accounting, recordkeeping, and reporting. Fish buyers and fish sellers must respond to any inquiry by NMFS or a NMFS agent within 20 calendar days of the date of issuance of the inquiry, unless an extension is granted by NMFS. Fish buyers and fish sellers shall make all relevant records available to NMFS or NMFS' agents at reasonable times and places and promptly provide all requested information reasonably related to these records. NMFS may employ a third party agent to conduct the audits. The NMFS auditor may review and request copies of additional data provided by the submitter, including but not limited to, previously audited or reviewed financial statements, worksheets, tax returns, invoices, receipts, and other original documents substantiating the data submitted.

§ 660.120 Trawl fishery—crossover provisions. {revised at 76 FR 74725, 12/1/2011}

The crossover provisions listed at §660.60(h)(7), apply to vessels fishing in the limited entry trawl fishery. {revised at 76 FR 74725, 12/1/2011}

§ 660.130 Trawl fishery—management measures. {revised at 75 FR 78344, 12/15/2010; revised at 75 FR 82296, 12/30/2010; revised at 76 FR 53833, 8/30/2011; revised at 76 FR 74725, 12/1/2011; revised at 78 FR 580, 01/03/2013; revised at 78 FR 68764, 11/15/2013, effective 01/01/2014; revised at 79 FR 71340, 12/02/2014, effective 1/1/2015; revised at 80 FR 12567, 03/10/2015, effective 03/10/2015}

(a) General. Limited entry trawl vessels are those vessels registered to a limited entry permit with a trawl endorsement and those vessels registered to an MS permit. Most species taken in limited entry trawl fisheries will be managed with quotas (see § 660.140), allocations or set-asides (see § 660.150 or § 660.160), or cumulative trip limits (see trip limits in Tables 1 (North) and 1 (South) of this subpart), size limits (see § 660.60 (h)(5), subpart C), seasons (see Pacific whiting at § 660.131(b), subpart D), gear restrictions (see paragraph (b) of this section) and closed areas (see paragraph (e) of this section and §§ 660.70 through 660.79, subpart C). The trawl fishery has gear requirements and harvest limits that differ by the type of trawl gear on board and the area fished. Groundfish vessels operating south of Point Conception must adhere to CCA restrictions (see paragraph (e)(1) of this section and § 660.70, subpart C). The trip limits in Tables 1 (North) and 1 (South) of this subpart apply to vessels participating in the limited entry groundfish trawl fishery and may not be exceeded. Federal commercial groundfish regulations are not intended to supersede any more restrictive state commercial groundfish regulations relating to federally-managed groundfish. {revised at 75 FR 78344, 12/15/2010}

(b) Trawl gear requirements and restrictions. Trawl nets may be fished with or without otter boards, and may use warps or cables to herd fish.

(1) Codends. Only single-walled codends may be used in any trawl. Double-walled codends are prohibited. Chafing gear may not be used to create a double-walled codend. {revised at 79 FR 71340, 12/02/2014, effective 1/1/2015}

(2) Mesh size. Groundfish trawl gear must meet the minimum mesh size requirements in this paragraph. Mesh size requirements apply throughout the net. Minimum trawl mesh sizes are: Bottom trawl, 4.5 inches (11.4 cm); midwater trawl, 3.0 inches (7.6 cm). Minimum trawl mesh size requirements are met if a 20-gauge stainless steel wedge, less one thickness of the metal wedge, can be passed with only thumb pressure through at least 16 of 20 sets of two meshes each of wet mesh.

(3) Bottom trawl gear {revised at 79 FR 71340, 12/02/2014, effective 1/1/2015}

(i) Large footrope trawl gear. Lines or ropes that run parallel to the footrope may not be augmented with material encircling or tied along their length such that they have a diameter larger than 19 inches (48 cm). For enforcement purposes, the footrope will be measured in a straight line from the outside edge to the opposite outside edge at the widest part on any individual part, including any individual disk, roller, bobbin, or any other device. {revised at 79 FR 71340, 12/02/2014, effective 1/1/2015}

(ii) Small footrope trawl gear. Lines or ropes that run parallel to the footrope may not be augmented with material encircling or tied along their length such that they have a diameter

(ii) Registration. A vessel account must be registered with the NMFS SFD Permits Office. A vessel account may be established at any time during the year. An eligible vessel owner must submit a request in writing to NMFS to establish a vessel account. The request must include the vessel name; USCG vessel registration number (as given on USCG Form 1270) or state registration number, if no USCG documentation; all vessel owner names (as given on USCG Form 1270, or on state registration, as applicable); and business contact information, including: Address, phone number, fax number, and email. Requests for a vessel account must also include the following information: A complete economic data collection form as required under §660.113(b), (c) and (d), and a complete Trawl Identification of Ownership Interest Form as required under paragraph (e)(4)(ii) of this section. The request for a vessel account will be considered incomplete until the required information is submitted. Any change specified at paragraph (e)(3)(ii) of this section, including a change in the legal name of the vessel owner(s), will require the new owner to register with NMFS for a vessel account. A participant must have access to a computer with Internet access and must set up online access to their vessel account to participate. The computer must have Internet browser software installed (e.g., Internet Explorer, Netscape, Mozilla Firefox); as well as the Adobe Flash Player software version 9.0 or greater. NMFS will mail vessel account owners instructions to set up online access to their vessel account. NMFS will use the vessel account to send messages to vessel owners in the Shorebased IFQ Program; it is important for vessel owners to monitor their online vessel account and all associated messages. {revised at 76 FR 74725, 12/1/2011}

(3) Renewal, change of account ownership, and transfer of QP or IBQ pounds

(i) Renewal.

(A) Vessel accounts expire at the end of each calendar year, and must be renewed between October 1 and November 30 of each year in order to ensure the vessel account is active on January 1 of the following year. A complete vessel account renewal package must be received by SFD no later than November 30 to be accepted by NMFS.

(B) Notification to renew vessel accounts will be issued by SFD prior to September 15 each year to the vessel account owner's most recent address in the SFD record. The vessel account owner shall provide SFD with notice of any address change within 15 days of the change. {corrected at 77 FR 55153, 09/07/12, effective 09/07/12}

(C) Any vessel account for which SFD does not receive a vessel account renewal request by November 30 will have its vessel account inactivated by NMFS at the end of the calendar year. NMFS will not issue QP or IBQ pounds to the inactivated vessel account. Any QP or IBQ pounds in the vessel account will expire and surplus QP or IBQ pounds will not be available for carryover. A non-renewed vessel account may be renewed in a subsequent year by submission of a complete vessel account renewal package.

(D) Vessel accounts will not be renewed until SFD has received a complete application for a vessel account renewal, which includes payment of required fees, a complete documentation of permit ownership on the Trawl Identification

of Ownership Interest Form as required under paragraph (e)(4)(ii) of this section, and a complete economic data collection form as required under §660.114. The vessel account renewal will be considered incomplete until the required information is submitted. {revised at 76 FR 74725, 12/1/2011}

(E) Effective Date. A vessel account is effective on the date issued by NMFS and remains effective until the end of the calendar year.

(F) IAD and appeals. Vessel account renewals are subject to the appeals process specified at § 660.25(g), subpart C.

(ii) Change in vessel account ownership. Vessel accounts are non-transferable and ownership of a vessel account cannot change (*i.e.* , cannot change the legal name of the owner(s) as given on the vessel account). If the ownership of a vessel changes (as given on a USCG or state vessel registration documentation), then a new vessel account must be opened by the new owner in order for the vessel to participate in the Shorebased IFQ Program. {revised at 76 FR 74725, 12/1/2011}

(iii) Transfer of QP or IBQ pounds

(A) General. QP or IBQ pounds may only be transferred from a QS account to a vessel account or between vessel accounts. QP or IBQ pounds cannot be transferred from a vessel account to a QS account. Transfers of QP or IBQ pounds are subject to accumulation limits. QP or IBQ pounds in a vessel account may only be transferred to another vessel account. QP or IBQ pounds must be transferred in whole pounds (*i.e.*, no fraction of a QP or IBQ pound can be transferred). During the year there may be situations where NMFS deems it necessary to prohibit transfers (*i.e.*, account reconciliation, system maintenance, or for emergency fishery management reasons).

(B) Transfer procedures. QP or IBQ pound transfers from one vessel account to another vessel account must be accomplished via the online vessel account. To make a transfer, a vessel account owner must initiate a transfer request by logging onto the online vessel account. Following the instructions provided on the Web site, the vessel account owner must enter pertinent information regarding the transfer request including, but not limited to: IFQ species, amount of QP or IBQ pounds to be transferred for each IFQ species (in whole pound increments); name and any other identifier of the eligible transferee (*e.g.*, USCG documentation number or state registration number, as applicable) of the eligible vessel account receiving the transfer; and the value of the transferred QP or IBQ pounds. The online system will verify whether all information has been entered and whether the transfer complies with vessel limits, as applicable. If the information is not accepted, an electronic message will record as much in the transferor's vessel account explaining the reason(s). If the information is accepted, the online system will record the pending transfer in both the transferor's and the transferee's vessel accounts. The transferee must approve the transfer by electronic signature. If the transferee accepts the transfer, the online system will record the transfer and confirm the transaction in both accounts through a transaction confirmation

Appendix C Council Action on Mandatory Economic Data Collection

Taken from footnote bb in Appendix D to The Rationalization of the Pacific Coast Groundfish Limited Entry Trawl Fishery Draft Environmental Impact Statement (November 2009).

Expanded data collection would include:

Mandatory submission of economic data for LE trawl industry (harvesters and processors), Voluntary submission of economic data for other sectors of the fishing industry, transaction value information in a centralized registry of ownership, and Formal monitoring of government costs.

Mandatory Provisions: The PFMC and NMFS shall have the authority to implement a data collection program for cost, revenue, ownership, and employment data, compliance with which will be mandatory for members of the west coast groundfish industry harvesting or processing fish under the Council's authority. Data collected under this authority will be treated as confidential in accordance with Section 402 of the MSA. A mandatory data collection program shall be developed and implemented as part of the groundfish trawl catch share program and continued through the life of the program. Cost, revenue, ownership, employment and other information will be collected on a periodic basis (based on scientific requirements) to provide the information necessary to study the impacts of the program, including achievement of goals and objectives associated with the catch share program. These data may also be used to analyze the economic and social impacts of future FMP amendments on industry, regions, and localities. The program will include targeted and random audits as necessary to verify and validate data submissions. Additional funding (as compared to status quo) will be needed to support the collection of these data. The data collected would include data needed to meet MSA requirements (including antitrust). The development of the program shall include a comprehensive discussion of the enforcement of such a program, including discussion of the type of enforcement actions that will be taken if inaccuracies are found in mandatory data submissions. The intent of this action will be to ensure that accurate data are collected without being overly burdensome on industry in the event of unintended errors.

Voluntary Provisions: A voluntary data collection program will be used to collect information needed to assess spillover impacts on non-trawl fisheries.

Central Registry: Information on transaction prices will be included in a central registry of QS owners. Such information will also be included for LE permit owners/lessees.

Government Costs: Data will be collected and maintained on the monitoring, administration, and enforcement costs related to governance of the trawl catch share program.

Appendix D Non-Disclosure Agreement

Appendix E Internal Data Business Rule Checks

E.1 Catcher vessels

Vessel valuation (Question 8)

If the year of the most recent marine survey valuation is provided, then all of the following need to be provided: market value, replacement value, and whether the survey value includes the value of permit(s), quota, or fishing gear.

Fuel use (Questions 12)

If either the number of days at sea participating in West Coast fisheries (whiting, groundfish trawl, groundfish fixed gear, shrimp, crab, halibut, salmon, tuna, other) or the fuel use while participating in the West Coast fisheries is greater than zero then both should be greater than zero.

Average fuel use, speed while fishing and crew size (Question 11)

If days at sea are provided for a West Coast fishery (whiting, groundfish trawl, groundfish fixed gear, shrimp, crab, halibut, salmon, tuna, other), then the fuel use, speed, and crew size should be provided. Speed is not required for groundfish fixed gear, crab, or halibut.

Alaska (Questions 13, 14, 18, 20)

If any of the following are greater than zero, then they should all be greater than zero:

1. Days at sea participating in Alaskan fisheries
2. Days at sea steaming between the West Coast and Alaska
3. Number of one-way trips the vessel made steaming between the West Coast and Alaska
4. Total round weight of all fish landings made by the vessel in Alaska
5. Landings revenue from Alaska shoreside landings and at-sea deliveries

Shared capitalized expenditures and expenses (Questions 15 and 17)

If the days at sea while participating in Alaskan fisheries are not greater than zero then there should only be NAs or zeroes in the following fields:

1. Capitalized expenditures on fishing gear shared by West Coast, Alaska, and other fisheries
2. Capitalized expenditures on processing equipment shared by West Coast, Alaska, and other fisheries
3. Expenses on repair and maintenance on fishing gear shared by West Coast, Alaska, and other fisheries

Chartering/research/leasing vessel (Questions 13 and 20)

Unless the vessel was leased, if either the days at sea while chartering/research or earnings from chartering/research/leasing vessel are greater than zero, then both should be greater than zero.

Hired captain crew share (Question 27)

The vessel, captain, crew, and other shares for when the owner **did not serve as captain** should sum to 100% ± 2% as long as the vessel fished and the vessel owner served as captain less than 100% of the time in West Coast groundfish fisheries.

Owner on board crew share (Question 26)

The vessel, captain, crew, and other shares for when the owner **served as captain** should sum to 100% ± 2% as long as the vessel fished and the vessel owner served as captain in West Coast groundfish fisheries.

Capitalized investments and expenses (Question 16)

A series of checks and a visual examination of the data are done to ensure that capitalized investments and expenses are reported accurately. Participants may not all understand these two categories in the same way, and some do not distinguish between costs related to on-board equipment and fishing gear. These data are often flagged and then the participants are called to ensure that the information is being recorded in the correct field and to ensure that there is no double counting. Only non-zero and non-NA responses were compared in the following fields:

1. Capitalized expenditures on new and used vessel and on-board equipment
2. Capitalized expenditures on fishing gear used in West Coast Fisheries only
3. Capitalized expenditures on fishing gear shared by West Coast, Alaska and other fisheries
4. Capitalized expenditures on processing equipment used in West Coast Fisheries only
5. Capitalized expenditures on processing equipment shared by West Coast, Alaska and other fisheries
6. Repair and maintenance on fishing gear used only for the West Coast (expensed during the year)

7. Repair and maintenance on fishing gear shared by the West Coast and other fisheries (expensed during the year)
8. Repair and maintenance on processing equipment (expensed during the year)
9. Vessel and on-board equipment repair and maintenance (expensed during the year)
10. Depreciation (vessel, on-board equipment processing equipment, and quota share)

Expenses and revenues on quota pounds, quota shares, limited entry permits (Questions 19 and 22)

In the first year of the trawl catch share program, it was common for participants to list the expenses and earnings under both expenses and earnings. This check tests whether there are any duplicate responses in any of the expense or revenue fields for quota pounds, quota shares, and limited entry permits. Null responses and zeroes are ignored.

Profitability

Although it is possible that a vessel could have greater expenses than revenues within a given year, we still flag all forms where the total variable costs (expenses) are more than the total earnings. The variable costs are calculated, as the sum of all expenses provided on the forms, not included in this check is expenses on landings taxes. The total revenue for the vessel is the sum of revenues reported on the form and total revenue reported on the state fish ticket records.

E.2 Catcher-processors

Vessel valuation (Question 6)

If the year of the most recent marine survey valuation is provided, then all of the following need to be provided: market value, replacement value, and whether the survey value includes the value of permit(s), quota, processing equipment, or fishing gear.

Vessel activity in Alaska (Questions 9, 11, and 12)

If any of the following are greater than zero, then they should all be greater than zero:

1. Days at sea participating in Alaskan fisheries
2. Days at sea steaming between the West Coast and Alaska
3. Number of one-way trips the vessel made steaming between the West Coast and Alaska

Fuel use and days at sea (Questions 9, 10, and 11)

If either the number of days at sea participating in the West Coast whiting fishery or fuel use while participating in the West Coast whiting fishery is greater than zero then both should be greater than zero.

Shared capitalized expenditures and expenses (Questions 15 and 17)

If the days at sea while participating in Alaskan fisheries are not greater than zero then there should only be NAs or zeroes in the following fields:

1. Capitalized expenditures on fishing gear shared by West Coast, Alaska, and other fisheries
2. Capitalized expenditures on processing equipment shared by West Coast, Alaska, and other fisheries
3. Expenses on repair and maintenance on fishing gear shared by West Coast, Alaska, and other fisheries

Capitalized investments and expenses (Questions 15 and 17)

A series of checks and a visual examination of the data are done to ensure that capitalized investments and expenses are reported accurately. Participants may not all understand these two categories in the same way, and some do not distinguish between costs related to on-board equipment and fishing gear. These data are often flagged and then the participants are called to ensure that the information is being recorded in the correct field and to ensure that there is no double counting. Only non-zero and non-NA responses are compared in the following fields:

1. Capitalized expenditures on new and used vessel and on-board equipment
2. Capitalized expenditures on fishing gear used in West Coast Whiting Fishery only
3. Capitalized expenditures on fishing gear shared by West Coast, Alaska and other fisheries
4. Capitalized expenditures on processing equipment used in West Coast Whiting Fishery only
5. Capitalized expenditures on processing equipment shared by West Coast, Alaska and other fisheries
6. Repair and maintenance on fishing gear used only for the West Coast (expensed during the year)
7. Repair and maintenance on fishing gear shared by the West Coast and other fisheries (expensed during the year)
8. Repair and maintenance on processing equipment (expensed during the year)
9. Vessel and on-board equipment repair and maintenance (expensed during the year)
10. Depreciation (vessel, on-board equipment processing equipment, and quota share)

Total round weight (Question 18)

If days at sea are given for processing or Alaska fisheries, total weight should be positive.

Weight and value of production (Question 19)

If there is a positive value for production weight, a positive value should also be listed for production value.

Offload value percentages (Question 20)

The percentages of offload value listed for the eight locations should sum to 100%.

E.3 Motherships

Vessel valuation (Question 6)

If the year of the most recent marine survey valuation is provided then all of the following need to be provided: market value, replacement value, and whether the survey value includes the value of permit(s), quota, or processing equipment.

Vessel activity in Alaska (Questions 9, 11, and 12)

If any of the following are greater than zero, then they should all be greater than zero:

1. Days at sea participating in Alaskan fisheries
2. Average fuel use steaming between the West Coast and Alaska
3. Days at sea steaming between the West Coast and Alaska
4. Number of one-way trips the vessel made steaming between the West Coast and Alaska

Fuel use and days at sea (Questions 9, 10, and 11)

If either the number of days at sea participating in the West Coast whiting fishery or fuel use while participating in the West Coast whiting fishery is greater than zero then both should be greater than zero.

Shared capitalized expenditures and expenses (Questions 15 and 17)

If the days at sea while participating in Alaskan fisheries are not greater than zero then there should only be NAs or zeroes in the following fields:

1. Capitalized expenditures on fishing gear shared by West Coast, Alaska, and other fisheries
2. Capitalized expenditures on processing equipment shared by West Coast, Alaska, and other fisheries
3. Expenses on repair and maintenance on fishing gear shared by West Coast, Alaska, and other fisheries

Capitalized investments and expenses (Questions 15 and 17)

A series of checks and a visual examination of the data are done to ensure that capitalized investments and expenses are reported accurately. Participants may not all understand these two categories in the same way, and some do not distinguish between costs related to on-board equipment and fishing gear. These data are often flagged and then the participants are called to ensure that the information is being recorded in the correct field and to ensure that there is no double counting. Only non-zero and non-NA responses were compared in the following fields:

1. Capitalized expenditures on new and used vessel and on-board equipment
2. Capitalized expenditures on fishing gear used in West Coast Whiting Fishery only
3. Capitalized expenditures on fishing gear shared by West Coast, Alaska and other fisheries
4. Capitalized expenditures on processing equipment used in West Coast Whiting Fishery only
5. Capitalized expenditures on processing equipment shared by West Coast, Alaska and other fisheries
6. Repair and maintenance on fishing gear used only for the West Coast (expensed during the year)
7. Repair and maintenance on fishing gear shared by the West Coast and other fisheries (expensed during the year)
8. Repair and maintenance on processing equipment (expensed during the year)
9. Vessel and on-board equipment repair and maintenance (expensed during the year)
10. Depreciation (vessel, on-board equipment processing equipment, and quota share)

Weight and value of production (Question 20)

If there is a positive value for production weight, a positive value should also be listed for production value.

Offload value percentages (Question 21)

The percentages of offload value listed for the eight locations should sum to 100%.

Purchase cost and production value (Questions 18 and 20)

Total production value should be higher than total purchase cost.

Total round weight (Question 19)

If days at sea are given for processing or Alaska fisheries, total weight should be positive.

Validation of catch weight with external data (Question 18)

Total purchase weight provided on the form should equal $\pm 5\%$ purchase weight obtained through NORPAC Observer Data in PacFIN.

E.4 First receivers and shorebased processors

Weight of fish received but not paid and weight of fish purchased (Question 19)

Especially during the baseline data collection, it was common for participants to record the same value under “Total weight of fish received but not paid for” and under “Total weight of fish purchased”. This rule flags the cases where this occurs to verify that fish purchases are not double-counted.

Gross cost of purchases and weight of purchases (Question 19)

Especially during the baseline data collection, participants would often write the same value for the weight and cost of fish purchases. Although it is possible that the price is \$1 per pound, it is unlikely. This question flags cases where the value of “Gross cost of fish purchases” is equal to the “Total weight of fish purchased” when the value provided is not zero.

Duplicate weight of fish received but not paid for (Question 19)

The “Total weight of fish received but not paid for” by species from one gear type should not equal the “weight of fish received but not paid for” from “Other Sources” for that species.

Duplicate weight of fish purchased (Question 19)

The “Total weight of fish purchased” by species from one gear type should not equal the weight of fish purchased from “Other Sources” for that species.

Duplicate cost of fish purchased (Question 19)

The “Gross cost of fish purchases” by species from one gear type should not equal the weight of fish purchased from “Other Sources” for that species.

Weight and value of production (Question 20)

If the “Total value of production” is greater than zero, then “Total weight of production” should be greater than zero for that species and product type combination and vice versa.

Fish purchase weight and fish production weight (Questions 19 and 20)

The “Total weight of fish purchased” by species recorded in Question 19 should be greater than or equal to the sum of “Total weight of production” by species recorded in Question 20.

Quasi-Profit (Questions 19 and 20)

Although it is possible that a company could sell fish for less than the cost of the purchase, we still flag the cases where the “Gross cost of fish purchases” by species in Question 19 is greater than the “Total value of production” by species.

Duplicate weight of production (Question 20)

The “Total weight of production” of one product type should not equal the “Total weight of production” of any another product type by species. If this rule is violated, an error message will be created.

Duplicate value of production (Question 20)

Although it is possible that there could be exactly the same value of production for two different product type and species combinations, verify that the “Total value of production” of one product type and species does not equal the “Total value of production” of any other product type and species.

Average hours worked

Based on the assumption that production workers or employees cannot work more than 16 hours per day, 7 days a week, a check is performed to ensure that average hours per workers is never greater than 112 hours/worker or employee.

Average purchase price, production price, markup, product recovery rate

For the most part, the rules above have strict interpretations. In addition to these rules, we also looked at several measures by species group, such as the average purchase price (total cost/total purchase weight), the average production price (total value of production/total weight of production), the average markup (total value of production/total cost of purchases), and the average recovery rate (total production weight/total purchase weight). In these cases, individual responses were examined because we did not have enough information about the ranges of these values. In the future, as more information is collected, we will be able to develop a set of appropriate ranges in order to flag specific responses.

Validation of purchase weight with external data (Question 19)

An entity's purchases are flagged if there is a discrepancy between the weight listed in state fish ticket data in PacFin and the weight listed in the purchase table.

Appendix F Privacy Act Statement

Privacy Act Statement

The Department of Commerce Privacy Impact Assessment (PIA) requires that forms used to collect Business Identifiable Information (BII) be notified of their protections under the Privacy Act.

Authority to Collect

All participants of the West Coast Groundfish Trawl Fishery must complete an annual Economic Data Collection (EDC) form as required by the Magnuson-Stevens Fishery Conservation and Management Act (50 CFR 660.114).

Purpose

The web-based system contains the EDC forms required to be submitted by regulation 50 CFR 660.114. Fishery participants use the system to submit EDC forms. The information is used for economic analysis of the West Coast Groundfish Trawl Fishery.

Routine Uses

The data submitted are confidential under the Magnuson-Stevens Act and NOAA Administrative Order 216-100. Disclosure of this information is permitted under the Privacy Act of 1974 (5 U.S.C. Section 552a), to be shared within NMFS offices, for use in economic analysis of the West Coast Groundfish Trawl Fishery. Disclosure of this information is also subject to all of the published routine uses as identified in and managed as identified in the Privacy Act System of Records Notice. The individual level data will only be studied by NMFS employees or their contractors.

Disclosure

Furnishing this information is mandatory. Failure to provide accurate information may prevent renewal of limited entry trawl permits or first receiver site licenses, changes in vessel registration, and/or participation in the West Coast Groundfish Trawl Fishery; or result in a violation of the Magnuson-Stevens Fishery Conservation and Management Act or regulations promulgated under the Act.

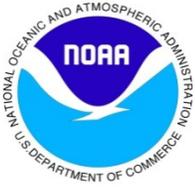
Appendix G EDC Survey Forms Used for 2016 Data Collection

This appendix contains the most recent version of each of the EDC forms. An archive of previously fielded forms can be found at the EDC form archive.¹ The appended forms also include the variable name that was assigned to each field on the form.

G.1 Catcher vessel form

¹ http://www.nwfsc.noaa.gov/research/divisions/fram/economic_data_archive.cfm

Economic Data Collection (EDC) Form



**WEST COAST GROUND FISH
LIMITED ENTRY TRAWL
CATCHER VESSEL
2016**

NOAA Fisheries – Northwest Fisheries Science Center

Who is responsible for submitting: All owners, lessees, and charterers of a catcher vessel registered to a limited entry trawl endorsed permit at any time in 2016.

Complete all questions. If a question is not applicable, write "NA" in the answer box. The survey will not be considered complete unless there is an answer to every question.

Submit by September 1, 2016.

Paper submission: Completed and signed EDC forms must be mailed and postmarked by, or hand-delivered to NMFS no later than September 1, 2016. Mail or deliver to

Economic Data Collection Program (FRAM Division)
Northwest Fisheries Science Center
2725 Montlake Boulevard East
Seattle, WA 98112

Web form submission: Completed EDC web forms must be submitted electronically and the signature page faxed, or hand-delivered, or mailed and postmarked no later than September 1, 2016. Mail or deliver to address above. Fax to (206) 861-8225.

Retain a copy. Retain a copy of the completed form

More information: www.nwfsc.noaa.gov/edc

Questions: Visit the website above or contact Erin Steiner at (866) 791-3726 or NWFSC.EDC@noaa.gov

Public Reporting Burden Statement

Public reporting burden for this collection of information is estimated to take 8 hours per response, including time for reviewing the instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden to Erin Steiner, National Marine Fisheries Service, Northwest Fisheries Science Center, 2725 Montlake Blvd E, Seattle, WA 98112.

Additional Information

Before completing this form, please note the following: 1) Notwithstanding any other provision of the law, no person is required to respond to, nor shall any person be subject to a penalty for failure to comply with, a collection of information subject to the requirements of the Paperwork Reduction Act, unless that collection of information displays a currently valid OMB Control Number; 2) This information is mandatory and is required to manage commercial fishing efforts under 50 CFR part 660 and under section 402(a) of the Magnuson-Stevens Act (16 U.S.C. 1801, *et seq.*); 3) Responses to this information request are confidential under 402(b) of the Magnuson-Stevens Act (16 U.S.C. 1801, *et seq.*). They are also confidential under NOAA Administrative Order 216-100, which sets forth procedures to protect the confidentiality of fishery statistics.

I. Contact Information and Vessel Characteristics

1. Provide the following information about this vessel and its physical characteristics.

Item	Vessel Information
Vessel Name	VSSNAM
USCG Vessel Number (if none exists enter State ID)	VSSNUM
Home Port	VSSPT
Length Overall (feet)	VSSLNG
Fuel Capacity (gallons)	VSSFLCAP
Total Horsepower of Main Engines	VSSHP

2. Provide the contact information for the **owner of the vessel in 2016**. Please make sure that the name provided matches the name of the holder of the limited entry trawl permit registered to this vessel in 2016.

Name of Company, Partnership, or Other Business Entity ONAM			
Business Mailing Address Street / PO Box OADDR			Business Phone () OPH
			Business Fax () OFAX
City OCITY	State OST	Zip Code OZIP	Business Email OEM

3. List the limited entry groundfish permit(s) registered to this vessel during 2016 in the **West Coast** fisheries (Washington, Oregon, and California) – do NOT include state fishing permits, e.g. shrimp, crab, or salmon.

Limited Entry Permit Number PRMTNUM1	Permit Owned or Leased? PRMTOL1 Owned <input type="checkbox"/> Leased <input type="checkbox"/>
Limited Entry Permit Number (2) PRMTNUM2	Permit Owned or Leased? PRMTOL2 Owned <input type="checkbox"/> Leased <input type="checkbox"/>
Limited Entry Permit Number (3) PRMTNUM3	Permit Owned or Leased? PRMTOL3 Owned <input type="checkbox"/> Leased <input type="checkbox"/>
Limited Entry Permit Number (4) PRMTNUM4	Permit Owned or Leased? PRMTOL4 Owned <input type="checkbox"/> Leased <input type="checkbox"/>

4.

a. Was the vessel leased or bareboat chartered during 2016? LEASE

Yes <input type="checkbox"/> Continue to question 4b No <input type="checkbox"/> Skip to question 5 <input type="checkbox"/>

b. If the vessel was leased or bareboat chartered during 2016, provide the contact information for the **lessee or charterer** of the vessel. If necessary, use the last page for additional lessees or charterers.

Name of Company, Partnership, or Other Business Entity LNAME			
Business Mailing Address Street / PO Box LADDR		Business Phone () LPH	
		Business Fax () LFAX	
City LCITY	State LST	Zip Code LZIP	Business Email LEM

c. Provide the dates the vessel was leased or bareboat chartered in 2016. If necessary, use the last page for additional lessees or charterers.

Begin: LMMBEG/LDDBEG/LYYBEG End: LMMEND/LDDEND/LYYEND mm dd yyyy mm dd yyyy
--

5. Provide the contact information for the **individual completing this report**. If your address, phone, and email are provided in the owner or lessee/charterer information, you do not need to repeat them here but please provide your name and title.

<input type="checkbox"/> Vessel Owner or Designated Representative ACCOL <input type="checkbox"/> Vessel Lessee or Charterer or Designated Representative			
Name ACCNAM		Title ACCTITLE	
Business Mailing Address Street / PO Box ACCADDR		Business Phone () ACCPH	
		Business Fax () ACCFAX	
City ACCCITY	State ACCST	Zip Code ACCZIP	Business Email ACCEM

6. Did you harvest (catch) any fish (including shellfish) using this vessel during the 2016 calendar year?
HARVEST

Yes No

7. Answer the following questions related to the most recent marine survey of the vessel.

What was the year of this vessel's last marine survey?	VVYY
What was the <i>market value</i> of this vessel from the survey, rounded to the nearest 100 dollars?	\$ VVMRK
What was the <i>replacement value</i> of this vessel from the survey, rounded to the nearest 100 dollars?	\$ VVRPL
Did the survey values given above include the value of permits associated with this vessel at the time of the survey? VVPRMT	Yes <input type="checkbox"/> No <input type="checkbox"/>
Did the survey values given above include the value of quota associated with this vessel at the time of the survey? VVQTA	Yes <input type="checkbox"/> No <input type="checkbox"/>
Did the survey values given above include the value of all fishing gear on this vessel at the time of the survey? VVGEAR	Yes <input type="checkbox"/> No <input type="checkbox"/>

8. For the remainder of the survey, report values from your 2016 fiscal year. When did this vessel's 2016 fiscal year begin?

FSCLMM/FSCLDD/FSCLYY
mm dd yyyy

Please report values related to your operation of this vessel from your 2016 fiscal year for the remainder of this survey.

9. Did you have this vessel hauled out in 2016?
HAULOUT

Yes No

10. Provide this vessel's average fuel use per day, speed, and crew size (not including captain) when engaged in each of the following activities on the **West Coast** (Washington, Oregon, and California) in 2016.

- Fuel use per day should be an average that includes steaming to the fishing grounds, harvesting fish, and steaming back to port, and should include all fuel used for propulsion or other uses.
- If you did not participate in a particular activity, please write "NA".

Activity	Fuel Use	Speed While Fishing	Crew Size not including captain
West Coast whiting trawl gear (not including other groundfish)	RUFLPWHT	RUSPDPWHT	RUCWPWHT
West Coast midwater trawl gear (not including whiting)	RUFLGRNDMDT	RUSPDGRNDMDT	RUCWGRNDMDT
West Coast groundfish trawl gear (not including whiting)	RUFLGRNDTWL	RUSPDGRNDTWL	RUCWGRNDTWL
West Coast groundfish fixed gear with a trawl permit	RUFLGRNDFGLEP TWL		RUCWGRNDFGLE PTWL
West Coast groundfish fixed gear with a fixed gear permit	RUFLGRNDFGLEP FG		RUCWGRNDFGLE PFG
West Coast shrimp trawl gear	RUFLSRMP	RUSPDSRMP	RUCWSRMP
West Coast crab	RUFLCRAB		RUCWCRAB
West Coast Pacific halibut	RUFLPHLB		RUCWPHLB
West Coast California halibut	RUFLCHLB	RUSPDCHLB	RUCWCHLB
West Coast salmon	RUFLSAMN	RUSPDSAMN	RUCWSAMN
West Coast tuna	RUFLTUNA	RUSPDTUNA	RUCWTUNA
Steaming between the West Coast and Alaska	RUFLSTMAKWC	RUSPDSTMAKWC	RUCWSTMAKWC

11. Provide the total number of **individuals** who worked as captain or crew on this vessel during 2016 while fishing on the West Coast (Washington, Oregon, and California).

- This value should represent the number of individuals who worked at any point during the year, rather than the number of positions.
- Do not include observers.

Total number of individuals who worked on this vessel
TOTCW individuals

12. How many gallons of fuel did this vessel use (for all uses) during 2016 on the **West Coast** (Washington, Oregon, and California)?

- Exclude fuel use for activities related to charter of vessel.
- Exclude fuel use for activities in Alaska and steaming between the West Coast and Alaska.

Type of Fuel	Gallons
Diesel	FLDSL gal
Other: FLOTHRNAM	FLOTHR gal

13. Provide the number of days you operated this vessel at sea during 2016 in each of the following activities. Please note that there is a special category for days at sea steaming between the West Coast and Alaska. (*This information will be used to allocate some expenses and expenditures between the different fisheries in which the vessel participated.*)

- Count partial days as full days.
- If you did not participate in a particular activity, please write "0".

Activity	Days at Sea
West Coast whiting trawl gear (not including other groundfish)	DASPWHT
West Coast midwater trawl gear (not including whiting)	DASGRNDMDT
West Coast groundfish trawl gear (not including whiting)	DASGRNDTWL
West Coast groundfish fixed gear with a trawl permit	DASGRNDFGLEPTWL
West Coast groundfish fixed gear with a fixed gear permit	DASGRNDFGLEPFG
West Coast shrimp trawl gear	DASSRMP
West Coast crab	DASCRAB
West Coast Pacific halibut	DASPHLB
West Coast California halibut	DASCHLB
West Coast salmon	DASSAMN
West Coast tuna	DASTUNA
Other West Coast fisheries	DASOTHRWC
West Coast chartering, research, or tendering	DASCHTRWC
Alaska chartering, research, or tendering	DASCHTRAK
Alaskan fisheries	DASFSHAK
Steaming between the West Coast and Alaska	DASSTMAKWC

14. Provide the number of **one-way** trips (count a round trip as 2 one-way trips) this vessel made steaming between the West Coast and Alaska during 2016.

TRPSAK one-way trips

II. Capitalized Expenditures and Expenses on Vessel and On-board Equipment, Fishing Gear, and Processing Equipment

Vessel and On-board Equipment

- Include the purchase of a new or used vessel, electronics, safety equipment, and machinery not used to harvest or process fish.
- Include any major upgrades, repairs, or maintenance to the vessel or equipment.
- Exclude fishing gear and processing equipment.

Fishing Gear

- Include nets, doors, traps, pots, cables, and fishing machinery used for the West Coast fisheries.
- Exclude any fishing gear that was only used in Alaska.

Processing Equipment

- Include any equipment used to process or head and gut fish on-board the vessel.

15. For accounting purposes, do you track costs on Vessel and On-Board Equipment separately from costs on Fishing Gear?

ONBQFGRSPLIT

Yes No

16. Provide the 2016 **capitalized expenditures and expenses** associated with each of the following categories for this vessel. Note that some are for **All Fisheries** the vessel participates in (West Coast, Alaska, and Other) and others are for **West Coast Fisheries** only (Washington, Oregon, California). If you answered “No” to Question 15, please record the combined total costs on **Vessel and On-Board Equipment and Fishing Gear** under **Vessel and On-Board Equipment**, and record “NA” for **Fishing Gear**.

Capitalized Expenditures and Expenses	In All Fisheries <i>West Coast, Alaska, and Other</i>	In West Coast Fisheries Only <i>Washington, Oregon, and California</i>
Vessel and on-board equipment	EXCXONBQALL	
Fishing gear used only in the West Coast Fisheries		EXCXFGRWC
Fishing gear shared by the West Coast, Alaska and other fisheries	EXCXFGRSHD	
Processing equipment used only in West Coast Fisheries		EXCXPQWC
Processing equipment shared by West Coast, Alaska, and other fisheries	EXCXPQSHD	

III. Other Costs

17. Expenses in West Coast Fisheries: Provide the 2016 **expenses** (expensed during 2016) associated with each of the following categories while participating in **West Coast** (Washington, Oregon, and California) Fisheries.

- Include all chartering expenses, even if directly reimbursed
- If you do not track expenses for captain and crew separately, report the combined expenses under captain, and put “NA” under Crew
- Round all answers to the nearest 100 dollars.

Expenses Category	Expenses in West Coast Fisheries Only Washington, Oregon, and California
Captain (include wages, bonuses, benefits, payroll taxes, and unemployment insurance)	EXCPTWGC
Crew (include wages, bonuses, benefits, payroll taxes, and unemployment insurance)	EXCWWGC
Crew or captain travel not deducted from wages	EXTRAVWC
Observer fees and electronic monitoring	EXOBSWC
Fishing association and commission costs	EXFADWC
State licensing and Federal permit fees	EXLICFEESWC
Fuel and lubrication (do not include steaming between West Coast and Alaska)	EXFLLLUBWC
Food	EXFOODWC
Ice	EXICEWC
Bait	EXBAITWC
Off-load expenses (cross-dock fees, port tariffs, hoist fees, etc.)	EXOFFLOADWC
Freight to the vessel on supplies	EXFRGTWC
Other supplies (cleaning, clothing, safety, etc.)	EXOTHRSUPWC
Communications, including VMS, satellite phone, skymate	EXCOMMWC
Trucking of fish to buyer	EXTRUCKWC

18. Expenses in All Fisheries: Provide the 2016 expenses (expensed during 2016) associated with each of the following categories while participating in **All Fisheries** (West Coast, Alaska and other).

- Include all chartering expenses, even if directly reimbursed
- Round all answers to the nearest 100 dollars.

Expenses Category	Expenses in All Fisheries West Coast, Alaska, and Other
Insurance premium payments (hull and machinery, protection and indemnity, and pollution insurance)	EXINSEQALL
Moorage	EXMOORALL
Lease or bareboat charter of this vessel	EXVSSLSALL
Total depreciation (vessel, on-board equipment, processing equipment, and quota share) taken during 2016	EXDEPRALL

19. Provide the total amount you paid for lease or purchase of quota shares, quota pounds, and fishing permits during 2016 in the **West Coast limited entry fisheries**. Include brokerage fees. If you did not incur a particular expense, please write "0".

	Cost
Purchase of Quota Shares	EXQSPU
Lease of Quota Shares	EXQSLs
Purchase or Lease of Quota Pounds (lease fees)	EXQPPULS
Purchase of Limited Entry Trawl Permits	EXLEPPUTWL
Lease of Limited Entry Trawl Permits	EXLEPLSTWL
Purchase of Limited Entry Fixed Gear Permits	EXLEPPUFG
Lease of Limited Entry Fixed Gear Permits	EXLEPLSFG

20. Provide the total round weight of all fish landings made by this vessel in **Alaska** during 2016. Round to the nearest 100 pounds. *(This information will be used to allocate some of your expenditures between the different fisheries you participate in.)*

WTAK lbs in Alaska

21. Were any of the fish harvested by this vessel on the **West Coast** (Washington, Oregon, and California) during 2016 processed or headed and gutted on-board?

ONBPRC

Yes <input type="checkbox"/>	No <input type="checkbox"/>
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V. Annual Earnings

22. For each of the earnings sources listed below, indicate the income earned during 2016.

- Landings revenue should include taxes, buyback program fees, and post-season adjustments for fish harvested in 2016.

Earnings Source	Total Revenue
West Coast shoreside landings: <i>this information will be obtained from fish ticket data</i>	
West Coast at-sea deliveries to motherships	RVDELATSEA
Alaska shoreside landings and at-sea deliveries of fish harvested with the vessel	RVLANDDELAK
Sale of West Coast of Quota Shares	RVQSSL
Lease of West Coast Quota Shares	RVQSLS
Sale or Lease of West Coast Quota Pounds	RVQPSSL
Sale of West Coast Limited Entry Trawl Permits	RVLEPSLTWL
Lease of West Coast Limited Entry Trawl Permits	RVLEPLSTWL
Sale of West Coast Limited Entry Fixed Gear Permits	RVLEPSLFG
Lease of West Coast Limited Entry Fixed Gear Permits	RVLEPLSFG
Salmon disaster relief payments	RVDSTER
Lease or bareboat charter of vessel	RVCHTR
Insurance settlements	RVINS
West Coast chartering, research, or tendering: include direct reimbursements	RVCHTRWC
Alaska chartering, research, or tendering: include direct reimbursements	RVCHTRAK
Other: RVOTHRNAM	RVOTHR

VI. Crew Share

23. Did you use a crew share system to pay its crew when operating in the **West Coast groundfish limited entry trawl fishery** during 2016?

Yes <input type="checkbox"/>	CWSHARE
No <input type="checkbox"/>	→ Skip to question 25 <input type="checkbox"/>

24. Which of the following expenses were deducted from total revenue before calculating the crew share when this vessel operated in the **West Coast groundfish limited entry trawl fishery** during 2016?

Expense Category	Deducted from Crew Share?	
Crew or captain travel not deducted from wages SHRDRAVWCPT	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Observer fees and electronic monitoring SHRDOBS	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Fishing association and commission costs SHRDFAD	Yes <input type="checkbox"/>	No <input type="checkbox"/>
State licensing and Federal permit fees SHRDLICFEES	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Buyback fees SHRDBUYBACK	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Fuel and lubrication SHRDFLLUB	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Food SHRDFOD	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Ice SHRDICE	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Bait SHRDBAIT	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Off-load expenses SHRDOFFLOAD	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Freight to the vessel on supplies SHRDFRGT	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Other supplies SHRDOTHRSUPP	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Communications SHRDCOMM	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Trucking of fish to buyer SHRDTRUCK	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Insurance premium payments SHRDINS	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Lease or charter of this vessel SHRDVSSLS	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Quota pounds held at the start of the year SHRDONBQRM	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Quota pounds purchased or leased during the year SHRDQPPU	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Quota shares purchased or amortized during the year SHRDQSPU	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Limited entry trawl permit SHRDLEP	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Other West Coast permit SHRDPRMTWC	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Other: SHRDOTHRNAM/SHRDOTHR	Yes <input type="checkbox"/>	No <input type="checkbox"/>

25. On what percentage of fishing trips did the vessel owner serve as captain in the **West Coast groundfish limited entry trawl fishery** during 2016?

SHRPOONB

26. On trips when the vessel owner **served as captain** in the **West Coast groundfish limited entry trawl fishery**, please indicate the share of net revenue (revenue minus the deductions listed in Question 25) going to the vessel, captain, crew, and if applicable, other.

- The column should sum to 100%.
- If this vessel did not use a crew share system to pay its crew, enter “NA” in each of the boxes below.

Vessel share	SHRPVSSONB
Captain share	SHRPCPTOONB
Crew share	SHRPCWOONB
Other: SHRPOTHROONBNAM0	SHRPOTHROONB0
Other: SHRPOTHROONBNAM1	SHRPOTHROONB1
Total	100 %

27. On trips when the vessel owner **did not serve as captain** in the **West Coast groundfish limited entry trawl fishery**, please indicate the share of net revenue (revenue minus the deductions listed in Question 25) going to the vessel, captain, crew, and if applicable, other.

- The column should sum to 100%.
- If this vessel did not use a crew share system to pay its crew, enter “NA” in each of the boxes below.

Vessel share	SHRPVSSHCP
Captain share	SHRPCPTHCP
Crew share	SHRPCWHCP
Other: SHRPOTHRHCPTNAM0	SHRPOTHRHCPT0
Other: SHRPOTHRHCPTNAM1	SHRPOTHRHCPT1
Total	100 %

VI. Certification

28. Read the following statement, and sign and date the box below.

I certify under penalty of perjury that I have reviewed all the information in this form and that it is true and complete to the best of my knowledge.	
Signature	Date signed ____/____/____ mm dd yyyy
Print Name	

Questionnaire Comments:

G.2 Catcher-processor form

Economic Data Collection (EDC) Form



WEST COAST GROUND FISH LIMITED ENTRY TRAWL CATCHER-PROCESSOR VESSEL 2016

NOAA Fisheries – Northwest Fisheries Science Center

Who is responsible for submitting: All owners, lessees, and charterers of a vessel registered to a catcher-processor endorsed limited entry trawl permit at any time in 2016.

Complete all questions. If a question is not applicable, write "NA" in the answer box. The survey will not be considered complete unless there is an answer to every question.

Submit by September 1, 2017.

Paper submission: Completed and signed EDC forms must be mailed and postmarked by, or hand-delivered to NMFS no later than September 1, 2017. Mail or deliver to

Economic Data Collection Program (FRAM Division)
Northwest Fisheries Science Center
2725 Montlake Boulevard East
Seattle, WA 98112

Web form submission: Completed EDC web forms must be submitted electronically and the signature page faxed, or hand-delivered, or mailed and postmarked no later than September 1, 2017. Mail or deliver to address above. Fax to (206) 861-8225.

Retain a copy. Retain a copy of the completed form.

More information: www.nwfsc.noaa.gov/edc.

Questions: Visit the website above or contact Erin Steiner at (866) 791-3726 or NWFSC.EDC@noaa.gov.

Public Reporting Burden Statement

Public reporting burden for this collection of information is estimated to take 8 hours per response, including time for reviewing the instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden to Erin Steiner, National Marine Fisheries Service, Northwest Fisheries Science Center, 2725 Montlake Blvd E, Seattle, WA 98112.

Additional Information

Before completing this form, please note the following: 1) Notwithstanding any other provision of the law, no person is required to respond to, nor shall any person be subject to a penalty for failure to comply with, a collection of information subject to the requirements of the Paperwork Reduction Act, unless that collection of information displays a currently valid OMB Control Number; 2) This information is mandatory and is required to manage commercial fishing efforts under 50 CFR part 660 and under section 402(a) of the Magnuson-Stevens Act (16 U.S.C. 1801, *et seq.*); 3) Responses to this information request are confidential under 402(b) of the Magnuson-Stevens Act (16 U.S.C. 1801, *et seq.*). They are also confidential under NOAA Administrative Order 216-100, which sets forth procedures to protect the confidentiality of fishery statistics.

I. Contact Information and Vessel Characteristics

1. Provide the following information about this vessel and its physical characteristics.

Item	Vessel Information
Vessel Name	VSSNAM
USCG Vessel Number	VSSNUM
Home Port	VSSPT
Length Overall (feet)	VSSLNG
Fuel Capacity (gallons)	VSSFLCAP
Horsepower of Main Engines	VSSHP

2. Provide the contact information for the **owner of the catcher-processor vessel**.

Name of Company, Partnership, or Other Business Entity				ONAM
Business Mailing Address Street / PO Box		OADDR1		Business Phone () OPH
				Business Fax () OFAX
City	OCITY	State	OST	Zip Code OZIP
				Business Email OEM

3. If the vessel was leased or bareboat chartered during 2016, provide the contact information for **the lessee or charterer of the catcher-processor vessel**. If necessary, use the last page for additional lessees or charterers.

Name of Company, Partnership, or Other Business Entity				LNAM
Business Mailing Address Street / PO Box		LADDR1		Business Phone () LPH
				Business Fax () LFAX
City	LCITY	State	LST	Zip Code LZIP
				Business Email LEM

4. List the catcher-processor endorsed limited entry trawl permit(s) used with this vessel during 2016 in the **West Coast** whiting fishery (**West Coast** includes Washington, Oregon, and California).

Catcher-Processor Endorsed Permit Number PRMTNUM1	Permit Owned or Leased? Owned <input type="checkbox"/> Leased <input type="checkbox"/> PRMTOL1
Catcher-Processor Endorsed Permit Number (2) PRMTNUM2	Permit Owned or Leased? Owned <input type="checkbox"/> Leased <input type="checkbox"/> PRMTOL2
Catcher-Processor Endorsed Permit Number (3) PRMTNUM3	Permit Owned or Leased? Owned <input type="checkbox"/> Leased <input type="checkbox"/> PRMTOL3

5. Provide the contact information for the **individual completing this report**. If your address, phone, and email are provided in the owner or lessee/charterer information, you do not need to repeat them here but please provide your name and title.

<input type="checkbox"/> Catcher-Processor Vessel Owner (or Designated Representative) ACCOL			
<input type="checkbox"/> Catcher-Processor Vessel Lessee or Charterer (or Designated Representative)			
Name ACCNAM		Title ACCTITLE	
Business Mailing Address Street / PO Box ACCADDR1 [ACCADDR2]		Business Phone () ACCPH	
		Business Fax () ACCFAX	
City ACCCITY	State ACCST	Zip Code ACCZIP	Business Email ACCEM

Please proceed to the next page 

If a question is not applicable, write "NA" in the answer box.

6. Answer the following questions related to the most recent marine survey of the vessel.

What was the year of this vessel's last marine survey?	___ VVYY ___ yyyy
What was the <i>market value</i> of this vessel from the survey, rounded to the nearest 100 dollars?	\$ ___ VVMRK ___ -
What was the <i>replacement value</i> of this vessel from the survey, rounded to the nearest 100 dollars?	\$ ___ VVRPL ___
Did the survey values given above include the value of permits associated with this vessel at the time of the survey?	Yes <input type="checkbox"/> No <input type="checkbox"/> VVPRMT
Did the survey values given above include the value of quota associated with this vessel at the time of the survey?	Yes <input type="checkbox"/> No <input type="checkbox"/> VVQTA
Did the survey values given above include the value of all processing equipment on this vessel at the time of the survey?	Yes <input type="checkbox"/> No <input type="checkbox"/> VVPO
Did the survey values given above include the value of all fishing gear on this vessel at the time of the survey?	Yes <input type="checkbox"/> No <input type="checkbox"/> VVGear

7. For the remainder of the survey, report values from your 2016 fiscal year. When did this vessel's 2016 fiscal year begin?

___ FSCLMM ___ / ___ FSCLDD ___ / ___ FSCLYY ___
mm dd yyyy

Please report values from your 2016 fiscal year for the remainder of this survey.

8. Was this vessel hauled out in 2016?

Yes <input type="checkbox"/> No <input type="checkbox"/>
HAULOUT

9. Provide this vessel's average fuel use per day (for propulsion or other uses) when engaged in each of the following activities in 2016.

- **West Coast** includes Washington, Oregon, and California.
- Fuel use should include all fuels used for propulsion or other uses.

Activity	Fuel Use
Fishing, processing, and steaming in the West Coast whiting fishery	__RUFLFPS__ gal/day
Steaming between the West Coast and Alaska	__RUFLSTMAKWC__ gal/day

10. How many gallons of fuel did this vessel use (for propulsion or other uses) during 2016 in the **West Coast** whiting fishery?

- Exclude activities in Alaska and steaming between the West Coast and Alaska in these responses.

Type of Fuel	Gallons
Diesel	___FLDSL___ gal
Bunker oil	___FLBUNK___ gal
Fish oil	FLFOIL gal

11. Provide the number of days this vessel was at sea during 2016 in each of the following activities. Please note that there is a special category for days at sea steaming between the West Coast and Alaska. *(This information will be used to allocate some of your expenses and expenditures between the West Coast and Alaska in order to avoid asking more detailed information about the vessel's activities in Alaska).*

- Count partial days as full days

Activity	Days at Sea
Fishing and Processing in the West Coast whiting fishery	DASFPWC days
Steaming in the West Coast whiting fishery	DASSTMMW days
Off-loading in the West Coast whiting fishery	DASOFFWC days
Steaming between the West Coast and Alaska	DASSTMAKWC days
All Alaska fisheries	DASFSHAK days

12. Provide the number of **one-way** trips (count a round trip as 2 one-way trips) this vessel made steaming between the West Coast and Alaska during 2016.

TRPSAK one-way trips

13. Provide the average number of processing crew members and the average number of non-processing crew members (including the captain) when the vessel was operating in the **West Coast** whiting fishery during 2016.

- **Processing crew** includes line workers, fishmeal crew, quality control, technicians, cleanup, factory managers, mechanics who work on processing equipment, and combis.
- **Non-processing crew** includes deckhands, wheelhouse, galley, and engine room.

Fishery	Average Number of Processing Crew	Average Number of Non-Processing Crew (including captain)
West Coast whiting	RUCWPRC	RUCWNPR

14. Provide the total number of individuals who worked for you on this vessel during 2016 while fishing and processing in the **West Coast** whiting fishery.

- This value should represent the number of individuals who worked at any point during the year, rather than the number of positions.
- **Do not include** observers.

<u>TOTCWPRC</u> individuals on this vessel (processing crew)

<u>TOTCWNPR</u> individuals on this vessel (non-processing crew)

II. Capitalized Expenditures

15. Provide the 2016 **capitalized expenditures** associated with each of the following categories for this vessel. Note that some capitalized expenditures are for **All Fisheries** the vessel participates in (West Coast, Alaska, and other) and others are for the **West Coast** whiting fishery only. Round all answers to the nearest 100 dollars. (*Capitalized expenditures shared across fisheries will be allocated to the West Coast based on days or tonnage*).

Capitalized Expenditure Category	Capitalized Expenditures in All Fisheries West Coast, Alaska, and Other	Capitalized Expenditures in West Coast Fisheries Only Washington, Oregon, and California
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Vessel and On-board Equipment

- Include the purchase of a new or used vessel, electronics, safety equipment, and machinery not used to harvest or process fish.
- Include any major upgrades, repairs, or maintenance to the vessel or equipment.
- Exclude fishing gear and processing equipment.

New or used vessel and on-board equipment (Regardless of where the vessel fished, enter all expenditures for vessel and on-board equipment under the All Fisheries column)	\$ <u>CXONBQALL</u>	
--	---------------------	--

Processing Equipment

- Exclude all equipment, machines, and buildings based primarily on shore.
- Exclude any processing equipment that is not used at least partially in the West Coast whiting fishery.
- Include on-board freezers, storage equipment, packing equipment, conveyers, and on-board cargo handling equipment.

Processing equipment used only in the West Coast whiting fishery		\$ <u>CXPQWC</u>
Processing equipment shared by the West Coast whiting and other fisheries	\$ <u>CXPQSHD</u>	

Fishing Gear

- Include nets, cables, doors, and fishing machinery used in the West Coast whiting fishery.
- Exclude any fishing gear that is not used at least partially in the West Coast whiting fishery.

Fishing gear used only in the West Coast whiting fishery		\$ <u>CXFGRWC</u>
Fishing gear shared by the West Coast whiting and other fisheries	\$ <u>CXFGRSHD</u>	

III. Co-op share and Permit Costs

16. Provide the total amount you paid for purchase or lease of co-op shares and catcher-processor endorsed West Coast groundfish limited entry trawl permits during 2016 for use in the **West Coast** whiting fishery.

Purchase or Lease of Co-op shares and Permits	Total Cost
Purchase of co-op shares	\$ <u>EXCOOPSHPU</u>
Lease of co-op shares	\$ <u>EXCOOPSHLS</u>
Purchase of catcher-processor endorsed permit	\$ <u>EXLEPPU</u>
Lease of catcher-processor endorsed permit	\$ <u>EXLEPLS</u>

IV. Annual Expenses

17. Provide the total amount **expensed** during 2016 in each of the categories below. Note that some expenses are for **All Fisheries** (West Coast, Alaska, and other) others are for the **West Coast** whiting fishery only. Round all answers to the nearest 100 dollars.

Expenses Category	Expenses in All Fisheries <i>West Coast, Alaska, and Other</i>	Expenses in West Coast Fisheries Only <i>Washington, Oregon, and California</i>
Processing crew (include wages, bonuses, benefits, payroll taxes, and unemployment insurance)		\$ <u>EXCWWGPRCWC</u>
Non-processing crew (include wages, bonuses, benefits, payroll taxes, and unemployment insurance)		\$ <u>EXCWWGNPRWC</u>
Crew travel not deducted from crew wages		\$ <u>EXTRAVWC</u>
Observer fees		\$ <u>EXOBSWC</u>
Sea State data monitoring		\$ <u>EXSEASTATEWC</u>
Co-op membership fees		\$ <u>EXCOOPWC</u>
Marine Stewardship Council fees		\$ <u>EXMSCWC</u>
Fuel and lubrication (do not include steaming between West Coast and Alaska)		\$ <u>EXFLLUBWC</u>
Food		\$ <u>EXFOODWC</u>
Non-fish ingredients (additives)		\$ <u>EXADTVSWC</u>
Packing materials		\$ <u>EXPKGWC</u>
Freight to the vessel on supplies		\$ <u>EXFRGTWC</u>
Other supplies (linens, clothing, cleaning, etc.)		\$ <u>EXOTHRSUPWC</u>
Communications		\$ <u>EXCOMMWC</u>
Off-load expenses (cross-dock fees, port tariffs, etc.)		\$ <u>EXOFFLOADWC</u>
On-board cargo / product / protection and indemnity insurance		\$ <u>EXINSPRODWC</u>
Fishing gear purchases, upgrades, repairs, and maintenance used only in the West Coast whiting fishery (expensed in 2016)		\$ <u>EXFGRRMWC</u>
Fishing gear purchases, upgrades, repairs, and maintenance shared by the West Coast whiting fishery and Alaska (expensed in 2016)	\$ <u>EXFGRRMSHD</u>	
Processing equipment purchase, repair, and maintenance (expensed in 2016)	\$ <u>EXPORMALL</u>	

17. (Continued)

Expenses Category (continued)	Expenses in All Fisheries <i>West Coast, Alaska, and Other</i>	Expenses in West Coast Fisheries Only <i>Washington, Oregon, and California</i>
Vessel and on-board equipment purchases, upgrades, repairs, or maintenance (expensed in 2016)	\$ <u>EXONBQMALL</u>	
Insurance premium payments (hull and machinery, pollution insurance)	\$ <u>EXINSEQALL</u>	
Moorage	\$ <u>EXMOORALL</u>	
Lease or bareboat charter of this catcher-processor vessel	\$ <u>EXVSSLSALL</u>	
Depreciation (vessel, on-board equipment, fishing gear, processing equipment, and quota share)	\$ <u>EXDEPRALL</u>	

18. Provide the total round weight of all fish processed by this vessel during 2016. Round to the nearest metric ton. *(This information will be used to allocate some of your expenditures between the West Coast and Alaska in order to avoid asking more detailed information about the vessel's activity in Alaska).*

Fishery	Total Round Weight as a Catcher-Processor	Total Round Weight as a Mothership
West Coast whiting fishery (exclude tribal)	<u>WTCPWC</u> _mt	
All Other fisheries (include tribal)	<u>WTCPOTHR</u> _mt	<u>WTMOTHR</u> _mt

Please proceed to the next page 

V. Annual Earnings

19. Provide the total weight and value of production in the **West Coast** whiting fishery during 2016. Report weights to the nearest metric ton.
- Do not include any additional payment you received to cover any shipping, handling, or storage costs associated with the sale beyond the FOB port of discharge.
 - Please include any post-season adjustments for products produced in 2016.
 - For products produced in 2016 and held in inventory at the end of the year, estimate the value on the basis of the average price received for similar products sold during the year.
 - Include products shipped to other establishments of your company.
 - Do not include revenue associated with fish caught in any fishery except the **West Coast** whiting fishery.

Type of Fish	Total Weight of Production	Total Value of Production
Whiting		
Surimi	<u>RVWTPWHTSURI</u> mt	\$ <u>RVVALPWHTSURI</u>
Fillets	<u>RVWTPWHTFILL</u> mt	\$ <u>RVVALPWHTFILL</u>
H&G	<u>RVWTPWHTHG</u> mt	\$ <u>RVVALPWHTHG</u>
Round (unprocessed)	<u>RVWTPWHTRND</u> mt	\$ <u>RVVALPWHTRND</u>
Fishmeal	<u>RVWTPWHTFML</u> mt	\$ <u>RVVALPWHTFML</u>
Fish oil	<u>RVWTPWHTFOIL</u> mt	\$ <u>RVVALPWHTFOIL</u>
Roe	<u>RVWTPWHTROE</u> mt	\$ <u>RVVALPWHTROE</u>
Minced	<u>RVWTPWHTMINC</u> mt	\$ <u>RVVALPWHTMINC</u>
Stomachs	<u>RVWTPWHTSTOM</u> mt	\$ <u>RVVALPWHTSTOM</u>
Other (specify): _____	<u>RVWTPWHTOTHR1</u> mt	\$ <u>RVVALPWHTOTHR1</u> _____
Other (specify): _____	<u>RVWTPWHTOTHR2</u> mt	\$ <u>RVVALPWHTOTHR2</u>
Other Species		
All other species on the West Coast	<u>RVWTOTHR</u> mt	\$ <u>RVVALOTHR</u> _____

20. Provide the percentage, by value, of all products off-loaded from this catcher-processor vessel in the **West Coast** whiting fishery at each of the following locations. The column should sum to 100%.

Location	Percentage of Total Off-load Value
Seattle	PTSEA_%
Blaine / Bellingham	PTBELL_%
Port Angeles	PTPTANGL_%
Tacoma	PTTAC_%
Astoria	PTASTORIA%
Coos Bay	PTCOOSB%
At sea (tramper)	PTATSEA_%
Other (specify): _____	<u>PTOTHRNAM1</u> PTOTHR1_%

21. For each of the earnings sources listed below, indicate the income earned during 2016.

Earnings Source	Revenue Received
Sale of West Coast catcher-processor endorsed permits	\$ <u>RVLEPSLTWL</u>
Lease of West Coast catcher-processor endorsed permits	\$ <u>RVLEPLSTWL</u>
Sale of co-op shares	\$ <u>RVCOOPSHSL</u>
Lease of co-op shares	\$ <u>RVCOOPSHLS</u>
Lease or bareboat charter of this vessel	\$ <u>RVCHTR</u>
Insurance settlements	\$ <u>RVINS</u>

VI. Certification

22. Read the following statement, and sign and date the box below.

I certify under penalty of perjury that I have reviewed all the information in this form and that it is true and complete to the best of my knowledge.	
Signature	Date signed ____/____/____ mm dd yyyy
Print Name	

Questionnaire Comments:

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G.3 Mothership form

Economic Data Collection (EDC) Form



WEST COAST GROUND FISH LIMITED ENTRY TRAWL MOTHERSHIP VESSEL 2016

NOAA Fisheries – Northwest Fisheries Science Center

Who is responsible for submitting: All owners, lessees, and charterers of a mothership vessel registered to an MS permit at any time in 2016.

Complete all questions. If a question is not applicable, write "NA" in the answer box. The survey will not be considered complete unless there is an answer to every question.

Submit by September 1, 2017.

Paper submission: Completed and signed EDC forms must be mailed and postmarked by, or hand-delivered to NMFS no later than September 1, 2017. Mail or deliver to

Economic Data Collection Program (FRAM Division)
Northwest Fisheries Science Center
2725 Montlake Boulevard East
Seattle, WA 98112

Web form submission: Completed EDC web forms must be submitted electronically and the signature page faxed, or hand-delivered, or mailed and postmarked no later than September 1, 2017. Mail or deliver to address above. Fax to (206) 861-8225.

Retain a copy. Retain a copy of the completed form.

More information: www.nwfsc.noaa.gov/edc.

Questions: Visit the website above or contact Erin Steiner at (866) 791-3726 or NWFSC.EDC@noaa.gov.

Public Reporting Burden Statement

Public reporting burden for this collection of information is estimated to take 8 hours per response, including time for reviewing the instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden to Erin Steiner, National Marine Fisheries Service, Northwest Fisheries Science Center, 2725 Montlake Blvd E, Seattle, WA 98112.

Additional Information

Before completing this form, please note the following: 1) Notwithstanding any other provision of the law, no person is required to respond to, nor shall any person be subject to a penalty for failure to comply with, a collection of information subject to the requirements of the Paperwork Reduction Act, unless that collection of information displays a currently valid OMB Control Number; 2) This information is mandatory and is required to manage commercial fishing efforts under 50 CFR part 660 and under section 402(a) of the Magnuson-Stevens Act (16 U.S.C. 1801, *et seq.*); 3) Responses to this information request are confidential under 402(b) of the Magnuson-Stevens Act (16 U.S.C. 1801, *et seq.*). They are also confidential under NOAA Administrative Order 216-100, which sets forth procedures to protect the confidentiality of fishery statistics.

I. Contact Information and Vessel Characteristics

1. Provide the following information about this vessel and its physical characteristics.

Item	Vessel Information
Vessel Name	VSSNAM
USCG Vessel Number	VSSNUM
Home Port	VSSPT
Length Overall (feet)	VSSLNG
Fuel Capacity (gallons)	VSSFLCAP
Horsepower of Main Engines	VSSHP

2. Provide the contact information for the **owner of the mothership vessel**.

Name of Company, Partnership, or Other Business Entity				ONAM
Business Mailing Address Street / PO Box		OADDR1		Business Phone () OPH
				Business Fax () OFAX
City	OCITY	State	OST	Zip Code OZIP
				Business Email OEM

3. If the vessel was leased or bareboat chartered during 2016, provide the contact information for the **lessee or charterer of the mothership vessel**. If necessary, use the last page for additional lessees or charterers.

Name of Company, Partnership, or Other Business Entity				LNAM
Business Mailing Address Street / PO Box		LADDR1		Business Phone () LPH
				Business Fax () LFAX
City	LCITY	State	LST	Zip Code LZIP
				Business Email LEM

4. List the mothership permit(s) used with this vessel during 2016 in the **West Coast** whiting fishery (West Coast includes Washington, Oregon, and California).

Mothership Permit Number PRMTNUM1	Permit Owned or Leased? Owned <input type="checkbox"/> Leased <input type="checkbox"/> PRMTOL1
Mothership Permit Number (2) PRMTNUM2	Permit Owned or Leased? Owned <input type="checkbox"/> Leased <input type="checkbox"/> PRMTOL2
Mothership Permit Number (3) PRMTNUM3	Permit Owned or Leased? Owned <input type="checkbox"/> Leased <input type="checkbox"/> PRMTOL3

5. Provide the contact information for the **individual completing this report**. If your address, phone, and email are provided in the owner or lessee/charterer information, you do not need to repeat them here but please provide your name and title.

<input type="checkbox"/> Mothership Vessel Owner (or Designated Representative) ACCOL			
<input type="checkbox"/> Mothership Vessel Lessee or Charterer (or Designated Representative)			
Name ACCNAM		Title ACCTITLE	
Business Mailing Address Street / PO Box ACCADDR1 [ACCADDR2]		Business Phone () ACCPH	
		Business Fax () ACCFAX	
City ACCCITY	State ACCST	Zip Code ACCZIP	Business Email ACCEM

Please proceed to the next page 

If a question is not applicable, write "NA" in the answer box.

6. Answer the following questions related to the most recent marine survey of the vessel.

What was the year of this vessel's last marine survey?	___ VVYY ___ yyyy
What was the <i>market value</i> of this vessel from the survey, rounded to the nearest 100 dollars?	\$ ___ VVMRK ___ -
What was the <i>replacement value</i> of this vessel from the survey, rounded to the nearest 100 dollars?	\$ ___ VVRPL ___
Did the survey values given above include the value of permits associated with this vessel at the time of the survey?	Yes <input type="checkbox"/> No <input type="checkbox"/> VVPRMT
Did the survey values given above include the value of quota associated with this vessel at the time of the survey?	Yes <input type="checkbox"/> No <input type="checkbox"/> VVQTA
Did the survey values given above include the value of all processing equipment on this vessel at the time of the survey?	Yes <input type="checkbox"/> No <input type="checkbox"/> VVPQ
Did the survey values given above include the value of all fishing gear on this vessel at the time of the survey?	Yes <input type="checkbox"/> No <input type="checkbox"/> VVGear

7. For the remainder of the survey, report values from your 2016 fiscal year. When did this vessel's 2016 fiscal year begin?

___ FSCLMM ___ / ___ FSCLDD ___ / ___ FSCLYY ___ mm dd yyyy
--

Please report values from your 2016 fiscal year for the remainder of this survey.

8. Was this vessel hauled out in 2016?

Yes <input type="checkbox"/> No <input type="checkbox"/> HAULOUT

9. Provide this vessel's average fuel use per day (for propulsion or other uses) when engaged in each of the following activities in 2016.

- **West Coast** includes Washington, Oregon, and California.
- Exclude participation in the tribal sector of the whiting fishery.
- Fuel use should include all fuels used for propulsion or other uses.

Activity	Fuel Use
Processing and steaming in the West Coast whiting fishery	<u>RUFLPS</u> gal/day
Steaming between the West Coast and Alaska	<u>RUFLSTMAKWC</u> gal/day

10. How many gallons of fuel did this vessel use (for propulsion or other uses) during 2016 in the **West Coast** whiting fishery?

- Exclude activities in the tribal sector, Alaska, and steaming between the West Coast and Alaska in these responses.

Type of Fuel	Gallons
Diesel	___FLDSL___ gal
Bunker oil	___FLBUNK___ gal
Fish oil	FLFOIL gal

11. Provide the number of days this vessel was at sea during 2016 in each of the following activities. Please note that there is a special category for days at sea steaming between the West Coast and Alaska. (*This information will be used to allocate some of your expenses and expenditures between the West Coast and Alaska in order to avoid asking more detailed information about the vessel's activities in Alaska.*)

- Count partial days as full days
- Exclude participation in the tribal sector

Activity	Days at Sea
Processing in the West Coast whiting fishery	<u>DASPRCWC</u> days
Steaming in the West Coast whiting fishery	<u>DASSTMWC</u> days
Off-loading in the West Coast whiting fishery	<u>DASOFFWC</u> days
Steaming between the West Coast and Alaska	<u>DASSTMAKWC</u> days
All Alaska fisheries	<u>DASFSAK</u> days

12. Provide the number of **one-way** trips (count a round trip as 2 one-way trips) this vessel made steaming between the West Coast and Alaska during 2016.

TRPSAK one-way trips

13. Provide the average number of processing crew members and the average number of non-processing crew members (including the captain) when the vessel was operating in the **West Coast** whiting fishery during 2016.

- **Processing crew** includes line workers, fishmeal crew, quality control, technicians, cleanup, mechanics who work on processing equipment, factory manager, and combis.
- **Non-processing crew** includes wheelhouse, deckhands, engine room, and galley.

Fishery	Average Number of Processing Crew	Average Number of Non-Processing Crew (including captain)
West Coast whiting	___ <u>RUCWPRC</u> ___	RUCWNPR

14. Provide the total number of individuals who worked for you on this vessel during 2016 while processing in the **West Coast** whiting fishery.

- This value should represent the number of individuals who worked at any point during the year, rather than the number of positions.
- **Do not include** observers.

TOTCWPRC individuals on this vessel (**processing crew**)
TOTCWNPR individuals on this vessel (**non-processing crew**)

II. Capitalized Expenditures

15. Provide the 2016 **capitalized expenditures** associated with each of the following categories for this vessel. Note that some capitalized expenditures are for **All Fisheries** the vessel participates in (West Coast, Alaska, and other) and others are for **West Coast** whiting fishery only (excluding tribal sector participation). Round all answers to the nearest 100 dollars. (*Capitalized expenditures shared across fisheries will be allocated to the West Coast based on days or tonnage*).

Capitalized Expenditure Category	Capitalized Expenditures in All Fisheries West Coast, Alaska, and Other	Capitalized Expenditures in West Coast Fisheries Only Washington, Oregon, and California
----------------------------------	--	---

Vessel and On-board Equipment

- Include the purchase of a new or used vessel, electronics, safety equipment, and machinery not used to harvest or process fish.
- Include any major upgrades, repairs, or maintenance to the vessel or equipment.
- Exclude fishing gear and processing equipment.

New or used vessel and on-board equipment (Regardless of where the vessel fished, enter all expenditures for vessel and on-board equipment under the All Fisheries column)	\$ <u>CXONBQALL</u>	
---	---------------------	--

Fishing Gear

- Include nets, cables, doors, and fishing machinery used in the West Coast whiting fishery.
- Exclude any fishing gear that is not used at least partially in the West Coast whiting fishery.

Fishing gear used only in the West Coast whiting fishery		\$ <u>CXFGRWC</u>
Fishing gear shared by the West Coast whiting and other fisheries	\$ <u>CXFGRSHD</u>	

Processing Equipment

- Exclude all equipment, machines, and buildings based primarily on shore.
- Exclude any processing equipment that is not used at least partially in the West Coast whiting fishery.
- Include on-board freezers, storage equipment, packing equipment, conveyers, and on-board cargo handling equipment.

Processing equipment used only in the West Coast whiting fishery		\$ <u>CXPQWC</u>
Processing equipment shared by the West Coast whiting and other fisheries	\$ <u>CXPQSHD</u>	

III. Permit Costs

16. Provide the total amount you paid for purchase or lease of mothership permits during 2016 for use in the **West Coast** whiting fishery.

Purchase or Lease of Permits	Total Cost
Purchase of mothership endorsed permit	\$ <u>EXMSPPU</u>
Lease of mothership endorsed permit	\$ <u>EXMSPLS</u>

IV. Annual Expenses

17. Provide the total amount **expensed** during 2016 in each of the categories below. Note that some expenses are for **All Fisheries** (West Coast, Alaska and other) and others are for the **West Coast** whiting fishery only (excluding tribal sector participation). Round all answers to the nearest 100 dollars.

Expenses Category	Expenses in All Fisheries <i>West Coast, Alaska, and Other</i>	Expenses in West Coast Fisheries Only <i>Washington, Oregon, and California</i>
Processing crew (include wages, bonuses, benefits, payroll taxes, and unemployment insurance)		\$ <u>EXCWVGPRCW</u>
Non-Processing crew (include wages, bonuses, benefits, payroll taxes, and unemployment insurance)		\$ <u>EXCWVGNPRWC</u>
Crew travel not deducted from crew wages		\$ <u>EXTRAVWC</u>
Observer fees		\$ <u>EXOBSWC</u>
Mothership co-op dues		\$ <u>EXCOOPWC</u>
Fuel and lubrication (do not include steaming between West Coast and Alaska)		\$ <u>EXFLLUBWC</u>
Food		\$ <u>EXFOODWC</u>
Non-fish ingredients (additives)		\$ <u>EXADTVSWC</u>
Packing materials		\$ <u>EXPKGWC</u>
Freight to the vessel on supplies		\$ <u>EXFRGTWC</u>
Other supplies (linens, clothing, cleaning, etc.)		\$ <u>EXOTHRSUPWC</u>
Communications		\$ <u>EXCOMMWC</u>
Offload expenses (cross-dock fees, port tariffs, etc.)		\$ <u>EXOFFLOADWC</u>
On-board cargo / product/ protection and indemnity insurance		\$ <u>EXINSPRODWC</u>
Fishing gear purchases, upgrades, repairs, or maintenance used only in the West Coast whiting fishery (expensed during 2016)		\$ <u>EXFGRRMWC</u>
Fishing gear purchases, upgrades, repairs, or maintenance shared by West Coast whiting fishery and Alaska (expensed during 2016)	\$ <u>EXFGRRMSHD</u>	
Processing equipment purchases, upgrades, repairs, or maintenance (expensed in 2016)	\$ <u>EXPQRMALL</u>	

17. (Continued)

Expenses Category	Expenses in All Fisheries West Coast, Alaska, and Other	Expenses in West Coast Fisheries Only Washington, Oregon, and California
Vessel and on-board equipment purchases, upgrades, repairs, or maintenance (expensed in 2016)	\$ <u>EXONBQRMALL</u>	
Insurance premium payments (hull and machinery, pollution insurance)	\$ <u>EXINSEQALL</u>	
Moorage	\$ <u>EXMOORALL</u>	
Lease or bareboat charter of this mothership vessel	\$ <u>EXVSSLSALL</u>	
Depreciation (vessel, on-board equipment, and processing equipment) taken during 2016	\$ <u>EXDEPRALL</u>	

18. Provide the weight and the cost of fish purchased from catcher vessels in the **West Coast** whiting fishery (excluding tribal sector participation) during 2016. Round weights to the nearest metric ton.

- Please include any post-season adjustments for purchases of fish that were harvested in 2016.
- Total cost should include taxes and vessel-buyback program fees paid on behalf of catcher vessels.

Type of Fish	Total Weight of Fish Received but Not Paid For (for size or other reasons)	Total Weight of Fish Purchased	Total Cost of Fish Purchases
Whiting	<u>EXWTRWCPWHT</u> _mt	<u>EXWTPWCPWHT</u> _mt	\$ <u>EXCOSTWCPWHT</u>
All other West Coast species	<u>EXWTRWCOTHR</u> _mt	<u>EXWTPWCOTHR</u> _mt	\$ <u>EXCOSTWCOTHR</u>

19. Provide the total round weight of all fish processed by this vessel during 2016. Round to the nearest metric ton. (This information will be used to allocate some of your expenditures between the West Coast and Alaska in order to avoid asking more detailed information about the vessel's activity in Alaska).

Fishery	Total Round Weight as a Catcher-Processor	Total Round Weight as a Mothership
West Coast whiting fishery (exclude tribal)		<u>WTMSWC</u> _mt
All Other fisheries (include tribal)	<u>WTCPOTHR</u> _mt	<u>WTMSOTHR</u> _mt

V. Annual Earnings

20. Provide the total weight and value of production in the **West Coast** whiting fishery (exclude participation in tribal sector) during 2016. Report weights to the nearest metric ton.

- Do not include any additional payment you received to cover any shipping, handling, or storage costs associated with the sale beyond the FOB port of discharge.
- Please include any post-season adjustments for products produced in 2016.
- For products produced in 2016 and held in inventory at the end of the year, estimate the value on the basis of the average price received for similar products sold during the year.
- Include products shipped to other establishments of your company.
- Do not include revenue associated with fish caught in any fishery except the **West Coast** whiting fishery.

Type of Fish	Total Weight of Production	Total Value of Production
Whiting		
Surimi	<u>RVWTPWHTSURI</u> mt	\$ <u>RVVALPWHTSURI</u>
Fillets	<u>RVWTPWHTFILL</u> mt	\$ <u>RVVALPWHTFILL</u>
H&G	<u>RVWTPWHTHG</u> mt	\$ <u>RVVALPWHTHG</u>
Round (unprocessed)	<u>RVWTPWHTRND</u> mt	\$ <u>RVVALPWHTRND</u>
Fishmeal	<u>RVWTPWHTFML</u> mt	\$ <u>RVVALPWHTFML</u>
Fish oil	<u>RVWTPWHTFOIL</u> mt	\$ <u>RVVALPWHTFOIL</u>
Roe	<u>RVWTPWHTROE</u> mt	\$ <u>RVVALPWHTROE</u>
Minced	<u>RVWTPWHTMINC</u> mt	\$ <u>RVVALPWHTMINC</u>
Stomachs	<u>RVWTPWHTSTOM</u> mt	\$ <u>RVVALPWHTSTOM</u>
Other (specify): _____	<u>RVWTPWHTOTHR1</u> mt	\$ <u>RVVALPWHTOTHR1</u>
Other (specify): _____	<u>RVWTPWHTOTHR2</u> mt	\$ <u>RVVALPWHTOTHR2</u>
Other Species		
All other species on the West Coast	<u>RVWTOTHR</u> mt	\$ <u>RVVALOTHR</u>

21. Provide the percentage, by value, of all products off-loaded from this mothership vessel in the **West Coast whiting fishery** (exclude deliveries related to participation in tribal sector) at each of the following locations. The column should sum to 100%.

Location	Percentage of Total Off-load Value
Seattle	PTSEA_%
Blaine / Bellingham	PTBELL_%
Port Angeles	PTPTANGL_%
Tacoma	PTTAC_%
Astoria	PTASTORIA%
Coos Bay	PTCOOSB%
At sea (tramper)	PTATSEA_%
Other (specify): _____	<u>PTOTHRNAM1</u> PTOTHR1_%

22. For each of the earnings sources listed below, indicate the income earned during 2016.

Earnings Source	Revenue Received
Sale of West Coast mothership endorsed permits	\$ <u>RVMSPSL</u>
Lease of West Coast mothership endorsed permits	\$ <u>RVMSPLS</u>
Lease or bareboat charter of this vessel	\$ <u>RVCHTR</u>
Insurance settlements	\$ <u>RVINS</u>

VI. Certification

23. Read the following statement and sign and date the box below.

I certify under penalty of perjury that I have reviewed all the information in this form and that it is true and complete to the best of my knowledge.	
Signature	Date signed _____/_____/_____ mm dd yyyy
Print Name	

Questionnaire Comments:

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G.4 First receiver and shorebased processor form

Economic Data Collection (EDC) Form



WEST COAST GROUND FISH FIRST RECEIVER AND SHOREBASED PROCESSOR 2016

NOAA Fisheries – Northwest Fisheries Science Center

Who is responsible for submitting:

- All owners of a first receiver site license in 2016; or
- All owners and lessees of a shore-based processor (as defined under "processor" at §660.11, subpart C, for purposes of EDC) that received round or headed-and-gutted IFQ species groundfish or whiting from a first receiver in 2016.
- A separate EDC form is required for each processing facility.

Complete all questions. If a question is not applicable, write "NA" in the answer box. The survey will not be considered complete unless there is an answer to every question.

Submit by September 1, 2017.

Paper submission: Completed and signed EDC forms must be mailed and postmarked by, or hand-delivered to NMFS no later than September 1, 2017. Mail or deliver to

Economic Data Collection Program (FRAM Division)
Northwest Fisheries Science Center
2725 Montlake Boulevard East
Seattle, WA 98112

Web form submission: Completed EDC web forms must be submitted electronically and the signature page faxed, or hand-delivered, or mailed and postmarked no later than September 1, 2017. Mail or deliver to address above. Fax to (206) 861-8225.

Retain a copy. Retain a copy of the completed form.

More information: www.nwfsc.noaa.gov/edc.

Questions: Visit the website above or contact Erin Steiner at (866) 791-3726 or NWFSC.EDC@noaa.gov

Public Reporting Burden Statement

Public reporting burden for this collection of information is estimated to take 20 hours per response, including time for reviewing the instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden to Erin Steiner, National Marine Fisheries Service, Northwest Fisheries Science Center, 2725 Montlake Blvd E, Seattle, WA 98112.

Additional Information

Before completing this form, please note the following: 1) Notwithstanding any other provision of the law, no person is required to respond to, nor shall any person be subject to a penalty for failure to comply with, a collection of information subject to the requirements of the Paperwork Reduction Act, unless that collection of information displays a currently valid OMB Control Number; 2) This information is mandatory and is required to manage commercial fishing efforts under 50 CFR part 660 and under section 402(a) of the Magnuson-Stevens Act (16 U.S.C. 1801, *et seq.*); 3) Responses to this information request are confidential under 402(b) of the Magnuson-Stevens Act (16 U.S.C. 1801, *et seq.*). They are also confidential under NOAA Administrative Order 216-100, which sets forth procedures to protect the confidentiality of fishery statistics.

I. Contact Information and Facility Characteristics

1. Provide the buyer identification number issued by the state fish and game agencies associated with this entity or facility. Enter "NA" if this is a processing facility that does not have a buyer identification number.

Processor/Buyer IDs
Washington Department of Fish and Wildlife IDWDFW
Oregon Department of Fish and Wildlife IDODFW
California Department of Fish and Game IDCDFW

2. Provide the following information about this receiving or processing facility.

Name of Facility FACNAM		First Receiver Site License Number for 2016 FACFRSL	
Business Mailing Address Street / PO Box FACADDR1 FACADDR2		Business Phone () FACPH	
		Business Fax () FACFAX	
City FACCITY	State FACST	Zip Code FACZIP	Business Email FACEM

3. **Individual completing this report.** If your address, phone, and email are provided above, you do not need to repeat them here, but please provide your name and title.

Name ACCNAM		Title ACCTITLE	
Business Mailing Address Street / PO Box ACCADDR1 ACCADDR2		Business Phone () ACCPH	
		Business Fax () ACCFAX	
City ACCITY	State ACST	Zip Code ACZIP	Business Email ACCCEM

4. Answer the following questions related to the most recent appraisal of this facility.

What was the year of this facility's last appraisal?	BUILDYY
What was the <i>market value</i> of this facility from the appraisal, rounded to the nearest 100 dollars?	\$ BUILDMRK
What was the <i>replacement value</i> of the facility from the appraisal, rounded to the nearest 100 dollars?	\$ BUILDRPL
Did the survey values given above include the value of all processing equipment* contained on-site?	Yes <input type="checkbox"/> No <input type="checkbox"/> BUILDPQ

5. For the remainder of the survey, report values from your 2016 fiscal year. When did this facility's 2016 fiscal year begin?

_____ / _____ / _____ mm dd yyyy

FSCLMM/FSCLDD/FSCLYY

Please report values from your 2016 fiscal year for the remainder of this survey.

II. Capitalized Expenditures

6. Provide the 2016 **capitalized expenditures** associated with the facility buildings, machinery, and equipment. Round all answers to the nearest 100 dollars.

Capitalized Expenditure Category	Total Capitalized Expenditures
Capitalized expenditures on buildings (exclude land but include building improvements)	\$ <u>CXBUILD</u>
Capitalized expenditures on new and used machinery and equipment (include only equipment used to process*, transport† on-site, or store‡ fish on-site)	\$ <u>CXMQ</u>

* *Processing equipment*: All equipment present at this physical location that is used for preparation or packaging of seafood to render it suitable for human consumption, retail sale, industrial uses or long-term storage, including, but not limited to, cooking, canning, smoking, salting, drying, filleting, freezing, or rendering into meal or oil.

† *Transportation equipment*: Equipment such as trucks, forklifts, etc. used to transport seafood within this physical location.

‡ *Storage equipment*: Equipment present at this physical location for packaging and freezing of seafood.

III. Employees and Payroll

Provide the following information about the number of employees and wages. Include full and part-time employees and temporary employees working at this facility. The information is requested separately for production workers and all other employees, which are defined below.

7. Provide the number of **production workers** in the following table. **Production workers** include those workers at this facility (up through and including the line-supervisor level) engaged in fabricating, processing, assembling, inspecting, receiving, packing, warehousing, shipping, maintenance, repair, janitorial, product development, or transporting product on-site. If your fiscal year does not follow the calendar year, use the month that corresponds with your fiscal year.

For the week of your fiscal year that includes	Number of production workers (full time, part time, and temporary)	Total Hours Worked (in the one week)
January 12th	EWKRNUMJAN workers	EWKRHRJAN hrs/week
February 12th	EWKRNUMFEB workers	EWKRHRFEB hrs/week
March 12th	EWKRNUMMAR workers	EWKRHRMAR hrs/week
April 12th	EWKRNUMAPR workers	EWKRHRAPR hrs/week
May 12th	EWKRNUMMAY workers	EWKRHRMAY hrs/week
June 12th	EWKRNUMJUN workers	EWKRHRJUN hrs/week
July 12th	EWKRNUMJUL workers	EWKRHRJUL hrs/week
August 12th	EWKRNUMAUG workers	EWKRHRAUG hrs/week
September 12th	EWKRNUMSEP workers	EWKRHRSEP hrs/week
October 12th	EWKRNUMOCT workers	EWKRHROCT hrs/week
November 12th	EWKRNUMNOV workers	EWKRHRNOV hrs/week
December 12th	EWKRNUMDEC workers	EWKRHRDEC hrs/week

8. Provide the **number of all other employees** in the following table. **All other employees** includes those involved in supervision above line-supervisor level, sales, advertising, credit, collection, installation, cafeteria, recordkeeping, clerical and routine office functions, guard services, executive, purchasing, finance, and legal. If hours are not tracked for salaried employees, please assume a 40-hour work week. If your fiscal year does not follow the calendar year, use the month that corresponds with your fiscal year.

For the week of your fiscal year that includes	Number of all other employees (full time, part time, and temporary)	Total Hours Worked (in the one week)
March 12th	EEMPNUM employees	EEMPHR hrs/week

9. Provide the total number of **individuals** who worked at this facility during 2016 in production activities and in all other activities.
- This value should represent the number of individuals who worked at any point during the year, rather than the number of positions.
 - **Include** full-time and part-time workers, contract workers, temporary workers, and workers on paid leave.

Labor Category	Total Number of Individuals
Production workers (see definition in Question 7)	TOTWKR individuals
All other employees (see definition in Question 8)	TOTEMP individuals

10. Provide the total 2016 labor expenses for **production workers** and **all other employees**.
- Include wages, bonuses, benefits, payroll taxes, and unemployment insurance.

Labor Category	Total Expenses
Production workers (see definition in Question 7)	\$ EXWKR
All other employees (see definition in Question 8)	\$ EXEMP

IV. Quota Costs

11. Provide the total **cost** of **quota pounds** and **quota shares** purchased or leased during 2016 in the **West Coast** Groundfish Trawl Catch Share Program. Purchase of quota reflects a permanent transfer, whereas lease implies a temporary transfer.

Purchase or Lease of Quota	Total Costs
Lease of quota pounds	\$ EXQPLS
Purchase of quota pounds	\$ EXQPPU
Lease of quota shares	\$ EXQSLS
Purchase of quota shares	\$ EXQSPU

V. Expenses and Depreciation

12. Provide the total **expenses** on **utilities** at your facility in 2016.

Utility Expense Category	Total Expenses
Electricity	\$ EXELECT
Natural gas	\$ EXNGAS
Propane gas for transportation and processing	\$ EXPROP
Other gas (not gasoline)	\$ EXNITRO
Water	\$ EXWATER
Sewer, waste, and byproduct disposal	\$ EXSWRWASTE

13. Provide the total **expenses** on **rental or lease payments** for this facility.

Rental or Lease Payments	Total Expenses
Rental or lease of buildings, job-site trailers, and other structures (including land)	\$ EXBUILD
Rental or lease of processing machinery or equipment	\$ EXPQ

14. Provide total **expenses** on **repair and maintenance** on facility buildings, machinery, and equipment (see definitions on bottom of page 3) expensed in 2016?

Total Repair and Maintenance Expenses	\$ EXBUILDPQRM
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15. What was the total **depreciation** for all capital investments on buildings, new and used machinery and equipment (see definitions of equipment on page 3) taken in 2016?

Total Depreciation	\$ EXDEPR
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16. Provide the following information on 2016 **custom processing** of fish you owned that was performed by another processor outside of this facility.

	Total weight of fish supplied to custom processors	Custom Processing Fees Paid
Whiting	CUPRWTPWHT lbs	\$ CUPRCOSTPWHT
Non-Whiting Groundfish	CUPRWTGRND lbs	\$ CUPRCOSTGRND
Other (Specify): CUPROTHNAM1	CUPRWTOTHR1 lbs	\$ CUPRCOSTOTHR1

Numbers continue if more other fields are added.

17. Provide the total amount **expensed** during 2016 in each of the categories below for this facility.

Expense Category	Total Expenses
Shoreside monitoring costs	\$ EXSSMONITOR
Offloading expenses paid to other facilities	\$ EXOFFLOAD
Production supplies (boots, smocks, hairnets, knives, etc.)	\$ EXPRODSUPP
Cleaning and custodial supplies	\$ EXCLEANSUPP
Packing materials	\$ EXPKG
Freight costs for supplies to the facility	\$ EXFRGT
Non-fish ingredients (additives)	\$ EXADTVS
Communications and office supplies for the facility	\$ EXCOMM
Off-site product freezing and storage	\$ EXOFFSITE
Insurance payments (property, product, personal liability and fire liability)	\$ EXINSPROPWKR
Taxes (property and excise)	\$ EXTAXES
Licensing fees	\$ EXLICFEES
Other (Specify): EXOTHRNAM1	\$ EXOTHR1
Other (Specify): EXOTHRNAM2	\$ EXOTHR2

18. Provide the following information about the landing origin of groundfish received at this facility in 2016.

- If this information is not available, please write "NA."
- Do not include fish received that you custom processed for others.

Landing Origin	Total <u>Weight</u> of Groundfish Received	Total <u>Cost</u> of Groundfish Received
Whiting		
West Coast (WA, OR, CA)	GRWTWCPWHT lbs	\$ GRCOSTWCPWHT
Canada	GRWTCNPWHT lbs	\$ GRCOSTCNPWHT
Other (Specify): <u>GROTHRPWHTNAM1</u>	GRWTOTHRPWHT1 lbs	\$ GRCOSTOTHRPWHT1
Non-whiting groundfish		
West Coast (WA, OR, CA)	GRWTWCGRND lbs	\$ GRCOSTWCGRND
Alaska (excluding pollock)	GRWTAKGRND lbs	\$ GRCOSTAKGRND
Canada	GRWTCNCRND lbs	\$ GRCOSTCNCGRND
Other (Specify): <u>GROTHRGRNDNAM1</u>	GRWTOTHRGRND1 lbs	\$ GRCOSTOTHRGRND1

Numbers continue if more other fields are added.

19. Fish Received. In the table below provide the weight and cost of fish received in 2016. Please note that there are separate columns for fish that were not paid for and fish that were paid for.

- Do not include fish received for custom processing.
- Include fish purchased by you that are custom processed by another processor outside of this facility.
- Include any post-season adjustments.
- **LE Trawl Vessels:** fish acquired directly from a vessel registered to a Limited Entry (LE) permit with a trawl endorsement and caught either with trawl or fixed gear (longline or pots).
- **LE Fixed Gear Vessels:** fish acquired directly from a vessel registered to a LE permit with a fixed gear endorsement. Do not include fish caught with fixed gear using a LE permit with a trawl endorsement.
- **Other Vessels:** fish acquired directly from a vessel without a limited entry trawl or fixed gear endorsement, including open access fisheries.
- **Non-Vessel Sources:** includes fish acquired from other entities, including first receivers, processors, wholesale dealers, brokers, aquaculture producers, and transfers from outside this facility.
- **Gross Cost of Fish Paid for** includes the value of any taxes paid on behalf of delivering vessels.

Type and Source of Fish	Fish NOT PAID for		Fish PAID for	
	Total weight not paid for due to quality or size reasons	Total weight not paid for transfers from outside this facility	Total weight of fish paid for from vessels or non-vessel sources	Gross cost of fish paid for from vessels or non-vessel sources
Whiting				
LE Trawl Vessels	<u>PUWTRPWHTLET</u> lbs		<u>PUWTPPWHTLET</u> lbs	\$ <u>PUCOSTPWHTLET</u>
LE Fixed Gear Vessels	<u>PUWTRPWHTLEF</u> lbs		<u>PUWTPPWHTLEF</u> lbs	\$ <u>PUCOSTPWHTLEF</u>
Other Vessels	<u>PUWTRPWHTOV</u> lbs		<u>PUWTPPWHTOV</u> lbs	\$ <u>PUCOSTPWHTOV</u>
Non-Vessel Sources	<u>PUWTRPWHTNV</u> lbs	<u>PUWTPPWHTNV</u> lbs	<u>PUWTPPWHTNV</u> lbs	\$ <u>PUCOSTPWHTNV</u>
Arrowtooth flounder				
LE Trawl Vessels	<u>PUWTRARTHLET</u> lbs		<u>PUWTPARTHLET</u> lbs	\$ <u>PUCOSTARTHLET</u>
LE Fixed Gear Vessels	<u>PUWTRARTHLEF</u> lbs		<u>PUWTPARTHLEF</u> lbs	\$ <u>PUCOSTARTHLEF</u>
Other Vessels	<u>PUWTRARTHOV</u> lbs		<u>PUWTPARTHOV</u> lbs	\$ <u>PUCOSTARTHOV</u>
Non-Vessel Sources	<u>PUWTRARTHNV</u> lbs	<u>PUWTPARTHNV</u> lbs	<u>PUWTPARTHNV</u> lbs	\$ <u>PUCOSTARTHNV</u>
Dover sole				
LE Trawl Vessels	<u>PUWTRDOVRLET</u> lbs		<u>PUWTPDOVRLET</u> lbs	\$ <u>PUCOSTDOVRLET</u>
LE Fixed Gear Vessels	<u>PUWTRDOVRLEF</u> lbs		<u>PUWTPDOVRLEF</u> lbs	\$ <u>PUCOSTDOVRLEF</u>
Other Vessels	<u>PUWTRDOVROV</u> lbs		<u>PUWTPDOVROV</u> lbs	\$ <u>PUCOSTDOVROV</u>
Non-Vessel Sources	<u>PUWTRDOVRNV</u> lbs	<u>PUWTPDOVRNV</u> lbs	<u>PUWTPDOVRNV</u> lbs	\$ <u>PUCOSTDOVRNV</u>
English sole				
LE Trawl Vessels	<u>PUWTREGLSLET</u> lbs		<u>PUWTPEGLSLET</u> lbs	\$ <u>PUCOSTEGLSLET</u>
LE Fixed Gear Vessels	<u>PUWTREGLSLEF</u> lbs		<u>PUWTPEGLSLEF</u> lbs	\$ <u>PUCOSTEGLSLEF</u>
Other Vessels	<u>PUWTREGLSOV</u> lbs		<u>PUWTPEGLSOV</u> lbs	\$ <u>PUCOSTEGLSOV</u>
Non-Vessel Sources	<u>PUWTREGLSNV</u> lbs	<u>PUWTTEGLSNV</u> lbs	<u>PUWTPEGLSNV</u> lbs	\$ <u>PUCOSTEGLSNV</u>
Lingcod				
LE Trawl Vessels	<u>PUWTRLCODLET</u> lbs		<u>PUWTPLCODLET</u> lbs	\$ <u>PUCOSTLCODLET</u>
LE Fixed Gear Vessels	<u>PUWTRLCODLEF</u> lbs		<u>PUWTPLCODLEF</u> lbs	\$ <u>PUCOSTLCODLEF</u>
Other Vessels	<u>PUWTRLCODOV</u> lbs		<u>PUWTPLCODOV</u> lbs	\$ <u>PUCOSTLCODOV</u>
Non-Vessel Sources	<u>PUWTRLCODNV</u> lbs	<u>PUWTPLCODNV</u> lbs	<u>PUWTPLCODNV</u> lbs	\$ <u>PUCOSTLCODNV</u>

19. (Continued)

Type and Source of Fish	Fish NOT PAID for		Fish PAID for	
	Total weight not paid for due to quality or size reasons	Total weight not paid for transfers from outside this facility	Total weight of fish paid for from vessels or non-vessel sources	Gross cost of fish paid for from vessels or non-vessel sources
Pacific sanddab				
LE Trawl Vessels	PUWTRUDABLET_lbs		PUWTPUDABLET_lbs	\$ PUCOSTUDABLET
LE Fixed Gear Vessels	PUWTRUDABLEF_lbs		PUWTPUDABLEF_lbs	\$ PUCOSTUDABLEF
Other Vessels	PUWTRUDABOV_lbs		PUWTPUDABOV_lbs	\$ PUCOSTUDABOV
Non-Vessel Sources	PUWTRUDABNV_lbs	PUWTTUDABNV_lbs	PUWTPUDABNV_lbs	\$ PUCOSTUDABNV
Petrале sole				
LE Trawl Vessels	PUWTRPTRLLET_lbs		PUWTPPTRLLET_lbs	\$ PUCOSTPTRLLET
LE Fixed Gear Vessels	PUWTRPTRLLEF_lbs		PUWTPPTRLEF_lbs	\$ PUCOSTPTRLLEF
Other Vessels	PUWTRPTRLOV_lbs		PUWTPPTRLOV_lbs	\$ PUCOSTPTRLOV
Non-Vessel Sources	PUWTRPTRLNV_lbs	PUWTPPTRLNV_lbs	PUWTPPTRNV_lbs	\$ PUCOSTPTRLNV
Rex sole				
LE Trawl Vessels	PUWTRREXLET_lbs		PUWTPREXLET_lbs	\$ PUCOSTREXLET
LE Fixed Gear Vessels	PUWTRREXLEF_lbs		PUWTPREXLEF_lbs	\$ PUCOSTREXLEF
Other Vessels	PUWTRREXOV_lbs		PUWTPREXOV_lbs	\$ PUCOSTREXOV
Non-Vessel Sources	PUWTRREXNV_lbs	PUWTTREXNV_lbs	PUWTPREXNV_lbs	\$ PUCOSTREXNV
Rockfish				
LE Trawl Vessels	PUWTRROCKLET_lbs		PUWTPROCKLET_lbs	\$ PUCOSTROCKLET
LE Fixed Gear Vessels	PUWTRROCKLEF_lbs		PUWTPROCKLEF_lbs	\$ PUCOSTROCKLEF
Other Vessels	PUWTRROCKOV_lbs		PUWTPROCKOV_lbs	\$ PUCOSTROCKOV
Non-Vessel Sources	PUWTRROCKNV_lbs	PUWTTROCKNV_lbs	PUWTPROCKNV_lbs	\$ PUCOSTROCKNV
Sablefish (black cod)				
LE Trawl Vessels	PUWTRSABLET_lbs		PUWTPSABLET_lbs	\$ PUCOSTSABLET
LE Fixed Gear Vessels	PUWTRSABLEF_lbs		PUWTPSABLEF_lbs	\$ PUCOSTSABLEF
Other Vessels	PUWTRSABLOV_lbs		PUWTPSABLOV_lbs	\$ PUCOSTSABLOV
Non-Vessel Sources	PUWTRSABLNV_lbs	PUWTTSABLNV_lbs	PUWTPSABLNV_lbs	\$ PUCOSTSABLNV
Thornyheads				
LE Trawl Vessels	PUWTRTHDSLET_lbs		PUWTPTHDSLET_lbs	\$ PUCOSTTHDSLET
LE Fixed Gear Vessels	PUWTRTHDSLEF_lbs		PUWTPTHDSLEF_lbs	\$ PUCOSTTHDSLEF
Other Vessels	PUWTRTHDSOV_lbs		PUWTPTHDSOV_lbs	\$ PUCOSTTHDSOV
Non-Vessel Sources	PUWTRTHDSNV_lbs	PUWTTTHDSNV_lbs	PUWTPTHDSNV_lbs	\$ PUCOSTTHDSNV
Sharks, skates, rays				
LE Trawl Vessels	PUWTRSHRKLET_lbs		PUWTPSHRKLET_lbs	\$ PUCOSTSHRKLET
LE Fixed Gear Vessels	PUWTRSHRKLEF_lbs		PUWTPSHRKLEF_lbs	\$ PUCOSTSHRKLEF
Other Vessels	PUWTRSHRKOV_lbs		PUWTPSHRKOV_lbs	\$ PUCOSTSHRKOV
Non-Vessel Sources	PUWTRSHRKNV_lbs	PUWTTSHRKNV_lbs	PUWTPSHRKNV_lbs	\$ PUCOSTSHRKNV
Coastal pelagic (include sardines and mackerel)				
Vessel Sources	PUWTRCPELV_lbs		PUWTPCPELV_lbs	\$ PUCOSTCPELV
Non-Vessel Sources	PUWTRCPELV_lbs	PUWTTCPPELV_lbs	PUWTPCPELV_lbs	\$ PUCOSTCPELV

19. (Continued)

Type and Source of Fish	Fish NOT PAID for		Fish PAID for	
	Total weight not paid for due to quality or size reasons	Total weight not paid for transfers from outside this facility	Total weight of fish paid for from vessels or non-vessel sources	Gross cost of fish paid for from vessels or non-vessel sources
Crab				
Vessel Sources	PUWTRCRABV lbs		PUWTPCRABV lbs	\$ PUCOSTCRABV
Non-Vessel Sources	PUWTRCRABNV lbs	PUWTTCRABNV lbs	PUWTPCRABNV lbs	\$ PUCOSTCRABNV
Echinoderms (include sea urchins and sea cucumbers)				
Vessel Sources	PUWTRECHNV lbs		PUWTPECHNV lbs	\$ PUCOSTECHNV
Non-Vessel Sources	PUWTRECHNNV lbs	PUWTTECHNNV lbs	PUWTPECHNNV lbs	\$ PUCOSTECHNNV
California Halibut				
Vessel Sources	PUWTRCHLBV lbs		PUWTPCHLBV lbs	\$ PUCOSTCHLBV
Non-Vessel Sources	PUWTRCHLBNV lbs	PUWTTCHLBNV lbs	PUWTPCHLBNV lbs	\$ PUCOSTCHLBNV
Pacific Halibut				
Vessel Sources	PUWTRPHLBV lbs		PUWTPPHLBV lbs	\$ PUCOSTPHLBV
Non-Vessel Sources	PUWTRPHLBNV lbs	PUWTTPHLBNV lbs	PUWTPPHLBNV lbs	\$ PUCOSTPHLBNV
Herring				
Vessel Sources	PUWTRPHRGV lbs		PUWTPPHRGV lbs	\$ PUCOSTPHRGV
Non-Vessel Sources	PUWTRPHRGNV lbs	PUWTTPHRGNV lbs	PUWTPPHRGNV lbs	\$ PUCOSTPHRGNV
Salmon				
Vessel Sources	PUWTRSAMNV lbs		PUWTPSAMNV lbs	\$ PUCOSTSAMNV
Non-Vessel Sources	PUWTRSAMNNV lbs	PUWTTSAMNNV lbs	PUWTPSAMNNV lbs	\$ PUCOSTSAMNNV
Shrimp				
Vessel Sources	PUWTRSRMPV lbs		PUWTPSRMPV lbs	\$ PUCOSTSRMPV
Non-Vessel Sources	PUWTRSRMPNV lbs	PUWTTSRMPNV lbs	PUWTPSRMPNV lbs	\$ PUCOSTSRMPNV
Squid				
Vessel Sources	PUWTRSQIDV lbs		PUWTPSQIDV lbs	\$ PUCOSTSQIDV
Non-Vessel Sources	PUWTRSQIDNV lbs	PUWTTSQIDNV lbs	PUWTPSQIDNV lbs	\$ PUCOSTSQIDNV
Sturgeon				
Vessel Sources	PUWTRSTRGV lbs		PUWTPSTRGV lbs	\$ PUCOSTSTRGV
Non-Vessel Sources	PUWTRSTRGNV lbs	PUWTTSTRGNV lbs	PUWTPSTRGNV lbs	\$ PUCOSTSTRGNV
Tuna				
Vessel Sources	PUWTRTUNAV lbs		PUWTPTUNAV lbs	\$ PUCOSTTUNAV
Non-Vessel Sources	PUWTRTUNANV lbs	PUWTTTUNANV lbs	PUWTPTUNANV lbs	\$ PUCOSTTUNANV
Other Shellfish				
Vessel Sources	PUWTRSFSHV lbs		PUWTPSFSHV lbs	\$ PUCOSTSFSHV
Non-Vessel Sources	PUWTRSFSHNV lbs	PUWTTSFSHNV lbs	PUWTPSFSHNV lbs	\$ PUCOSTSFSHNV
Other Species (please list)				
PUOSPCOTHRNAM1				
Vessel Sources	PUWTROSPCV1 lbs		PUWTPOSPCV1 lbs	\$ PUCOSTOSPCV1
Non-Vessel Sources	PUWTROSPCNV1 lbs	PUWTTOSPCNV1 lbs	PUWTPOSPCNV1 lbs	\$ PUCOSTOSPCNV1
PUOSPCOTHRNAM2				
Vessel Sources	PUWTROSPCV2 lbs		PUWTPOSPCV2 lbs	\$ PUCOSTOSPCV2
Non-Vessel Sources	PUWTROSPCNV2 lbs	PUWTTOSPCNV2 lbs	PUWTPOSPCNV2 lbs	\$ PUCOSTOSPCNV2

Numbers continue if more other fields are added.

Other fullcodes include: PUWTROSPCLET, PUWTTOSPCLET, PUWTPOSPCLET, PUCOSTOSPCLET
 PUWTROSPCLEF, PUWTTOSPCLEF, PUWTPOSPCLEF, PUCOSTOSPCLEF

VI. Annual Earnings

20. Fish Production. Provide the 2016 value of production FOB plant (after discounts and allowances and excluding freight charges).

- Frozen includes fish that is frozen in the round or fish that is processed in any form (e.g. fillets, H&G) and frozen.
- Unprocessed includes fish sold in the round.
- **Include:**
 - Products made or acquired during 2016 and held in inventory at the end of the year. Estimate the value on the basis of the average price received for similar products sold during the year.
 - Products shipped to other facilities of your company. Estimate the value on the basis of the average price received for similar products sold during the year.
 - Products made from custom processing performed for you.
 - Any post-season adjustments.
- **Do not include:**
 - Revenue from products produced or acquired in previous years.
 - Products you produced as a custom processing service for others.
 - Any additional payment you received to cover any shipping, handling, or storage costs associated with the sale beyond the plant.
 - Discards.

Type of Fish	Total <u>weight</u> of 2016 fish production (both processed and unprocessed)		Total <u>value</u> of 2016 fish production (both processed and unprocessed)		
Whiting					
Surimi	PRWTPWHTSUR1	lbs	\$	PRVALPWHTSUR1	
H&G	PRWTPWHTHG	lbs	\$	PRVALPWHTHG	
Fillets	PRWTPWHTFILL	lbs	\$	PRVALPWHTFILL	
Roe	PRWTPWHTROE	lbs	\$	PRVALPWHTROE	
Frozen Whole	PRWTPWHTFRZN	lbs	\$	PRVALPWHTFRZN	
Unprocessed	PRWTPWHTUNP	lbs	\$	PRVALPWHTUNP	
Other	PRPWHTOTHNAM1	PRWTPWHTOTHR1	lbs	\$	PRVALPWHTOTHR1
Other	PRPWHTOTHNAM2	PRWTPWHTOTHR2	lbs	\$	PRVALPWHTOTHR2
Arrowtooth flounder					
Processed Fresh	PRWTARTHFRSH	lbs	\$	PRVALARTHFRSH	
Frozen	PRWTARTHFRZN	lbs	\$	PRVALARTHFRZN	
Unprocessed	PRWTARTHUNP	lbs	\$	PRVALARTHUNP	
Other	PRWTARTHOTHR	lbs	\$	PRVALARTHOTHR	
Dover sole					
Processed Fresh	PRWTDVFRFRSH	lbs	\$	PRVALDOVFRFRSH	
Frozen	PRWTDVFRFRZN	lbs	\$	PRVALDOVFRFRZN	
Unprocessed	PRWTDVFRUNP	lbs	\$	PRVALDOVFRUNP	
Other	PRWTDVFRVOTHR	lbs	\$	PRVALDOVFRVOTHR	
English Sole					
Processed Fresh	PRWTEGLSFRSH	lbs	\$	PRVALEGLSFRSH	
Frozen	PRWTEGLSFRZN	lbs	\$	PRVALEGLSFRZN	
Unprocessed	PRWTEGLSUNP	lbs	\$	PRVALEGLSUNP	
Other	PRWTEGLSOTHR	lbs	\$	PRVALEGLSOTHR	

Numbers continue if more other fields are added.

Type of Fish	Total <u>weight</u> of 2016 fish production (both processed and unprocessed)	Total <u>value</u> of 2016 fish production (both processed and unprocessed)
Lingcod		
Processed Fresh	<u>PRWTLCODFRSH</u> lbs	\$ <u>PRVALLCODFRSH</u>
Frozen	<u>PRWTLCODFRZN</u> lbs	\$ <u>PRVALLCODFRZN</u>
Unprocessed	<u>PRWTLCODUNP</u> lbs	\$ <u>PRVALLCODUNP</u>
Other	<u>PRWTLCODOTHR</u> lbs	\$ <u>PRVALLCODOTHR</u>
Pacific Sanddab		
Processed Fresh	<u>PRWTUDABFRSH</u> lbs	\$ <u>PRVALUDABFRSH</u>
Frozen	<u>PRWTUDABFRZN</u> lbs	\$ <u>PRVALUDABFRZN</u>
Unprocessed	<u>PRWTUDABUNP</u> lbs	\$ <u>PRVALUDABUNP</u>
Other	<u>PRWTUDABOTHR</u> lbs	\$ <u>PRVALUDABOTHR</u>
Petrале sole		
Processed Fresh	<u>PRWTPTRLFRSH</u> lbs	\$ <u>PRVALPTRLFRSH</u>
Frozen	<u>PRWTPTRLFRZN</u> lbs	\$ <u>PRVALPTRLFRZN</u>
Unprocessed	<u>PRWTPTRLUNP</u> lbs	\$ <u>PRVALPTRLUNP</u>
Other	<u>PRWTPTRLOTHR</u> lbs	\$ <u>PRVALPTRLOTHR</u>
Rex sole		
Processed Fresh	<u>PRWTREXFRSH</u> lbs	\$ <u>PRVALREXFRSH</u>
Frozen	<u>PRWTREXFRZN</u> lbs	\$ <u>PRVALREXFRZN</u>
Unprocessed	<u>PRWTREXUNP</u> lbs	\$ <u>PRVALREXUNP</u>
Other	<u>PRWTREXOTHR</u> lbs	\$ <u>PRVALREXOTHR</u>
Rockfish		
Processed Fresh	<u>PRWTROCKFRSH</u> lbs	\$ <u>PRVALROCKFRSH</u>
Frozen	<u>PRWTROCKFRZN</u> lbs	\$ <u>PRVALROCKFRZN</u>
Unprocessed	<u>PRWTROCKUNP</u> lbs	\$ <u>PRVALROCKUNP</u>
Other	<u>PRWTROCKOTHR</u> lbs	\$ <u>PRVALROCKOTHR</u>
Sablefish		
Processed Fresh	<u>PRWTSABLFRSH</u> lbs	\$ <u>PRVALSABLFRSH</u>
Frozen	<u>PRWTSABLFRZN</u> lbs	\$ <u>PRVALSABLFRZN</u>
Unprocessed	<u>PRWTSABLUNP</u> lbs	\$ <u>PRVALSABLUNP</u>
Other	<u>PRWTSABLOTHR</u> lbs	\$ <u>PRVALSABLOTHR</u>
Thornyheads		
Processed Fresh	<u>PRWTHDSFRSH</u> lbs	\$ <u>PRVALTHDSFRSH</u>
Frozen	<u>PRWTHDSFRZN</u> lbs	\$ <u>PRVALTHDSFRZN</u>
Unprocessed	<u>PRWTHDSUNP</u> lbs	\$ <u>PRVALTHDSUNP</u>
Other	<u>PRWTHDSOTHR</u> lbs	\$ <u>PRVALTHDSOTHR</u>
Sharks, Skates, Rays		
Processed Fresh	<u>PRWTSHRKFRSH</u> lbs	\$ <u>PRVALSHRKFRSH</u>
Frozen	<u>PRWTSHRKFRZN</u> lbs	\$ <u>PRVALSHRKFRZN</u>
Unprocessed	<u>PRWTSHRKUNP</u> lbs	\$ <u>PRVALSHRKUNP</u>
Other	<u>PRWTSHRKOTHR</u> lbs	\$ <u>PRVALSHRKOTHR</u>
Coastal Pelagic (include sardines and mackerel)		
Processed Fresh	<u>PRWTCPELFRSH</u> lbs	\$ <u>PRVALCPELFRSH</u>
Frozen	<u>PRWTCPELFRZN</u> lbs	\$ <u>PRVALCPELFRZN</u>
Canned	<u>PRWTCPELCAN</u> lbs	\$ <u>PRVALCPELCAN</u>
Unprocessed	<u>PRWTCPELUNP</u> lbs	\$ <u>PRVALCPELUNP</u>
Other	<u>PRWTCPELOTHR</u> lbs	\$ <u>PRVALCPELOTHR</u>

20. (Continued)

Type of Fish	Total weight of 2016 fish production (both processed and unprocessed)	Total value of 2016 fish production (both processed and unprocessed)
Crab		
Processed Fresh	<u>PRWTCRABFRSH</u> lbs	\$ <u>PRVALCRABFRSH</u>
Frozen	<u>PRWTCRABFRZN</u> lbs	\$ <u>PRVALCRABFRZN</u>
Canned	<u>PRWTCRABCAN</u> lbs	\$ <u>PRVALCRABCAN</u>
Unprocessed	<u>PRWTCRABUNP</u> lbs	\$ <u>PRVALCRABUNP</u>
Other	<u>PRWTCRABOTHR</u> lbs	\$ <u>PRVALCRABOTHR</u>
Echinoderms (include sea urchins and sea cucumbers)		
Processed Fresh	<u>PRWTECHNFRSH</u> lbs	\$ <u>PRVALECHNFRSH</u>
Frozen	<u>PRWTECHNFRZN</u> lbs	\$ <u>PRVALECHNFRZN</u>
Unprocessed	<u>PRWTECHNUNP</u> lbs	\$ <u>PRVALECHNUNP</u>
Other	<u>PRWTECHNOTHR</u> lbs	\$ <u>PRVALECHNOTHR</u>
California Halibut		
Processed Fresh	<u>PRWTCHLBFRSH</u> lbs	\$ <u>PRVALCHLBFRSH</u>
Frozen	<u>PRWTCHLBFRZN</u> lbs	\$ <u>PRVALCHLBFRZN</u>
Unprocessed	<u>PRWTCHLBUNP</u> lbs	\$ <u>PRVALCHLBUNP</u>
Other	<u>PRWTCHLBOTHR</u> lbs	\$ <u>PRVALCHLBOTHR</u>
Pacific Halibut		
Processed Fresh	<u>PRWTPHLBFRSH</u> lbs	\$ <u>PRVALPHLBFRSH</u>
Frozen	<u>PRWTPHLBFRZN</u> lbs	\$ <u>PRVALPHLBFRZN</u>
Unprocessed	<u>PRWTPHLBUNP</u> lbs	\$ <u>PRVALPHLBUNP</u>
Other	<u>PRWTPHLBOTHR</u> lbs	\$ <u>PRVALPHLBOTHR</u>
Herring		
Processed Fresh	<u>PRWTPHRGFRSH</u> lbs	\$ <u>PRVALPHRGFRSH</u>
Frozen	<u>PRWTPHRGFRZN</u> lbs	\$ <u>PRVALPHRGFRZN</u>
Unprocessed	<u>PRWTPHRGUNP</u> lbs	\$ <u>PRVALPHRGUNP</u>
Other	<u>PRWTPHRGOTHR</u> lbs	\$ <u>PRVALPHRGOTHR</u>
Salmon		
Processed Fresh	<u>PRWTSAMNFRSH</u> lbs	\$ <u>PRVALSAMNFRSH</u>
Frozen	<u>PRWTSAMNFRZN</u> lbs	\$ <u>PRVALSAMNFRZN</u>
Smoked	<u>PRWTSAMNSM</u> lbs	\$ <u>PRVALSAMNSM</u>
Canned	<u>PRWTSAMNCAN</u> lbs	\$ <u>PRVALSAMNCAN</u>
Unprocessed	<u>PRWTSAMNUNP</u> lbs	\$ <u>PRVALSAMNUNP</u>
Other	<u>PRWTSAMNOTHR</u> lbs	\$ <u>PRVALSAMNOTHR</u>
Shrimp		
Processed Fresh	<u>PRWTSRMPFRSH</u> lbs	\$ <u>PRVALSRMPFRSH</u>
Frozen	<u>PRWTSRMPFRZN</u> lbs	\$ <u>PRVALSRMPFRZN</u>
Canned	<u>PRWTSRMPCAN</u> lbs	\$ <u>PRVALSRMPCAN</u>
Unprocessed	<u>PRWTSRMPUNP</u> lbs	\$ <u>PRVALSRMPUNP</u>
Other	<u>PRWTSRMPOTHR</u> lbs	\$ <u>PRVALSRMPOTHR</u>

20. (Continued)

Type of Fish	Total weight of 2016 fish production (both processed and unprocessed)	Total value of 2016 fish production (both processed and unprocessed)
Squid		
Processed Fresh	<u>PRWTSQIDFRSH</u> lbs	\$ <u>PRVALSQIDFRSH</u>
Frozen	<u>PRWTSQIDFRZN</u> lbs	\$ <u>PRVALSQIDFRZN</u>
Unprocessed	<u>PRWTSQIDUNP</u> lbs	\$ <u>PRVALSQIDUNP</u>
Other	<u>PRWTSQIDOTHR</u> lbs	\$ <u>PRVALSQIDOTHR</u>
Sturgeon		
Processed Fresh	<u>PRWTSTRGFRSH</u> lbs	\$ <u>PRVALSTRGFRSH</u>
Frozen	<u>PRWTSTRGFRZN</u> lbs	\$ <u>PRVALSTRGFRZN</u>
Canned	<u>PRWTSTRGCAN</u> lbs	\$ <u>PRVALSTRGCAN</u>
Unprocessed	<u>PRWTSTRGUNP</u> lbs	\$ <u>PRVALSTRGUNP</u>
Other	<u>PRWTSTRGOTHR</u> lbs	\$ <u>PRVALSTRGOTHR</u>
Tuna		
Processed Fresh	<u>PRWTTUNAFRSH</u> lbs	\$ <u>PRVALTUNAFRSH</u>
Frozen	<u>PRWTTUNAFRZN</u> lbs	\$ <u>PRVALTUNAFRZN</u>
Canned	<u>PRWTTUNACAN</u> lbs	\$ <u>PRVALTUNACAN</u>
Unprocessed	<u>PRWTTUNAUNP</u> lbs	\$ <u>PRVALTUNAUNP</u>
Other	<u>PRWTTUNAOTHR</u> lbs	\$ <u>PRVALTUNAOTHR</u>
Other Shellfish		
Processed Fresh	<u>PRWTSFSHFRSH</u> lbs	\$ <u>PRVALSFSHFRSH</u>
Frozen	<u>PRWTSFSHFRZN</u> lbs	\$ <u>PRVALSFSHFRZN</u>
Unprocessed	<u>PRWTSFSHUNP</u> lbs	\$ <u>PRVALSFSHUNP</u>
Other	<u>PRWTSFSHOTHR</u> lbs	\$ <u>PRVALSFSHOTHR</u>
Other Non-Species Specific Products		
Fish Meal	<u>PRWTNSPCML</u> lbs	\$ <u>PRVALNSPCML</u>
Fish Oil	<u>PRWTNSPCOIL</u> lbs	\$ <u>PRVALNSPCOIL</u>
Bait	<u>PRWTNSPCBAIT</u> lbs	\$ <u>PRVALNSPCBAIT</u>
Other products	<u>PRWTNSPCOTHR</u> lbs	\$ <u>PRVALNSPCOTHR</u>
Other Species (please list)		
<u>PROSPCOTHRNAM1</u>	<u>PRWTOSPCOTHR1</u> lbs	\$ <u>PRVALOSPCOTHR1</u>
<u>PROSPCOTHRNAM2</u>	<u>PRWTOSPCOTHR2</u> lbs	\$ <u>PRVALOSPCOTHR2</u>
<u>PROSPCOTHRNAM3</u>	<u>PRWTOSPCOTHR3</u> lbs	\$ <u>PRVALOSPCOTHR3</u>

Numbers continue if more other fields are added.

VII. Other Earnings

21. Provide the revenue received by you for **custom processing** of fish owned by another processor outside of this facility in 2016.

	2016 Custom Processing Revenue
Whiting	\$ CUPRVALPWHT
Non-Whiting Groundfish	\$ CUPRVALGRND
Other (Specify): CUPRVALTHRNAM1	\$ CUPRVALOTHR1

Numbers continue if more other fields are added.

22. Provide the **revenue** received in 2016 for each of the earnings sources listed below.

23.

Earnings Source	2016 Total Revenue
Offloading earnings received from others	\$RVOFFLOAD
Sale of quota pounds	\$ RVQPSL
Leasing of quota pounds	\$ RVQPLS
Leasing of quota share	\$ RVQSLS
Sale of quota share	\$ RVQSSL
Insurance settlements	\$ RVINS
Other (Specify): RVOTHNAM1	\$ RVOTHR1

24. Read the following statement, and sign and date the box below.

I certify under penalty of perjury that I have reviewed all the information in this questionnaire and that it is true and complete to the best of my knowledge.	
Signature	Date signed _____/_____/_____ mm dd yyyy
Print Name	

