

# **Request for Proposals**

## **Northwest Limited Entry Cost Earnings Study**

**Actual issue date: June 26, 2006**

**Schedule/Instruction/Provisions/Clauses**

**DEADLINE FOR SUBMISSIONS: July 14, 2006**

# TABLE OF CONTENTS

SECTION 1: PROPOSED SCHEDULE	3
SECTION 2: DESCRIPTION/SPECIFICATIONS/WORK STATEMENT	4
2.1 SCOPE OF WORK.....	4
2.2 TASKS TO BE COMPLETED .....	4
SECTION 3: INSTRUCTIONS, CONDITIONS & NOTICES TO OFFERORS	7
3.1 BASIS OF CONTRACT AWARD .....	7
3.2 INFORMATION REQUESTED FROM CONTRACT BIDDERS .....	7
3.3 BUDGET TEMPLATE .....	8
3.4 SUBMISSION INSTRUCTIONS.....	10
SECTION 4: APPENDICES	11
APPENDIX A .....	11
APPENDIX B .....	12
APPENDIX C PROTOCOLS.....	14
Protocol I. Establishing Telephone Contact.....	14
Protocol II. Conducting Pretest Interviews.....	17
Protocol III . Communicating With Your Supervisor.....	20
APPENDIX D --- MAILING QUESTIONNAIRE .....	22

## **SECTION 1: PROPOSED SCHEDULE**

### **Northwest Limited Entry Cost Earnings Study**

- June 29, 2006      Revised RFP issued and distributed
- July 10, 2006      Deadline for written questions  
Written questions should be sent via email to: [dave\\_colpo@psmfc.org](mailto:dave_colpo@psmfc.org). All questions related to this RFP should have a subject line of “Northwest Limited Entry CE Survey”.
- July 12, 2006      Responses to written questions
- July 19, 2006      Deadline for submission of proposals (See page pp)  
All proposals should be submitted to:  
Pacific States Marine Fisheries Commission  
ATTN Dave Colpo  
205 SE Spokane, Suite 100  
Portland, Oregon 97202  
[front\\_office@psmfc.org](mailto:front_office@psmfc.org)
- Proposals can also be sent by e-mail to:  
[front\\_office@psmfc.org](mailto:front_office@psmfc.org)
- All proposals to this RFP should have a subject line of “Northwest Limited Entry CE Survey ”.
- July 24, 2006      Selection of Finalists

All deadlines are 4 PM Pacific Daylight Time on the date indicated.

## **SECTION 2: DESCRIPTION/SPECIFICATIONS/WORK STATEMENT**

### **2.1 Scope of Work**

The Pacific States Marine Fisheries Commission (PSMFC), in cooperation with the National Marine Fisheries Service (NMFS), is conducting a cost earnings survey of the West Coast limited entry fleet through a series of three requests for proposals (RFPs). Through the first of these three RFPs, the PSMFC has already completed a cost earnings survey of limited entry trawl vessel owners residing in Oregon, and obtained a response rate of about 60%. In this RFP, the PSMFC is seeking a contractor with expertise in conducting in-person surveys to survey limited entry trawl permit holders in Washington and fixed gear permit holders residing in Oregon and Washington. There are 98 limited entry trawl and fixed gear vessels in this survey population. A separate RFP (being issued concurrently) is being issued to survey owners of limited entry trawl and fixed gear vessels residing in California.

The chosen contractor will review survey materials and protocols developed by PSMFC and NMFS, and conduct in-person interviews using these materials and protocols. Development of materials and protocols for this voluntary survey has sought to maximize the survey response rate by accounting for the unique characteristics of commercial fisheries survey research. Compared with other fisheries cost earnings survey questionnaires, the current survey questionnaire is relatively short (Appendix D). Based on discussions with members of the fishing community, the survey is using a combination of mail, telephone, and in-person contact methods. Data will be collected through in-person interviews, typically conducted at the vessel owner's residence.

Proposals submitted under this announcement should base bids only on the tasks described below. Because only one in-person cost earnings survey of commercial fishermen has been completed on the West Coast, there is uncertainty regarding the amount of time it will take to complete the work described. As a result of this uncertainty, submitted proposals should be on a time and materials basis using the assumptions described below.

### **2.2 Tasks to be completed**

The work covered by this RFP consists of 12 tasks:

1. The contractor will review survey-fielding protocols (Appendix C) developed by PSMFC and NMFS. These protocols will cover procedures for:
  - Establishing Telephone Contact
  - Conducting Pretest Interviews
  - Conducting Remaining Oregon Limited Entry Trawl Interviews
  - Communicating With Your SupervisorThe deliverable for this task is a teleconference between the contractor, NMFS, and PSMFC staff to discuss and questions and issues related to these protocols.
2. The contractor will provide interviewers to participate in tasks 3 through 10 (below). A PSMFC contract manager will approve the final selected interviewers. Approval will be based on (1) the likelihood that the interviewer has had no contact with the fishing community in which members of

the survey population live and work, (2) experience conducting in-person interviews, and (3) any additional information relevant to the interviewer's ability to complete the tasks described in this RFP.

Because interviewers will be collecting highly confidential information about the costs and earnings of fishing vessels, a strong preference will be given to proposals which provide interviewers who do not come from the coastal communities where the vast majority of limited entry trawl vessel owners reside (see Appendix A for information on the residential location of the survey population).

3. The contractor will train interviewers in cooperation with PSMFC and NMFS staff. The contractor is expected to contribute at least one trainer to work with PSMFC and NMFS staff to train the two interviewers. It is anticipated that each interviewer will spend one day in training. More than one training session may be necessary if a previously trained interviewer is no longer available and additional interviewers need to be trained. Interviewers will be trained using the *Interviewer Training Manual*, which has been developed by PSMFC. This manual will be provided to the contractor upon contract award. The deliverable from this task is completed interviewer training for two interviewers, approved by a PSMFC contract manager.
4. The contractor will attempt to pretest the survey with the 28 members of the survey population residing in the Newport, Coos Bay, Port Orford, Brookings, and Klamath Falls areas. Prior to the pretest, PSMFC will mail the *Initial Mailing Package* (cover letter, written version of the questionnaire, description of how data will be used by NMFS, and a return postcard which will collect telephone and email contact information) to potential survey participants. One week after this mailing, the contractor's trained interviewers will begin to attempt telephone contact with members of the pretest population using protocols finalized in Task 1. The objective of these telephone contacts is to schedule in-person interviews with members of the pretest population. The trained interviewers will conduct in-person interviews as scheduled during telephone contact. Interviewers will participate in a weekly conference call with PSMFC and/or NMFS personnel to discuss pretest progress and experience to date. The deliverables from this task are a:
  - Completed Contact Sheet/Telephone log (showing the time and outcome of each attempted call) (Please see example in Appendix C)
  - Completed interviewer questionnairesDeliverables must be approved by the PSMFC contract manager before task 4 is considered complete.
5. Interviewers participating in task 4 will contribute feedback during a debriefing session with PSMFC and NMFS staff. The debriefing will occur in a meeting at PSMFC headquarters in Portland. It is anticipated that this meeting will take two to four hours. The first part of this meeting will focus on the debriefing of the pretest interviewers. The second part of this meeting will focus on making appropriate changes to survey protocols and questionnaires. PSMFC will then produce a list of revised protocols and questionnaires for use in surveying the remaining members of the survey population. The deliverable from the contractor for this task is participation in the debriefing meeting conducted at PSMFC headquarters.

6. After completion of task 5, interviewers will attempt telephone contact with pretest participants to collect any new data required as a result of questionnaire revisions made in task 5. Interviewers will attempt up to nine telephone contacts with pretest participants in order to collect data required by the revised questionnaire but not collected during the pretest interviews. The deliverables from this task include:
  - Updated Contact Sheet/Telephone Log
  - Revised and completed Interviewer Questionnaires (reflecting the data needs of the revised Interviewer Questionnaire) approved by the PSMFC contact manager.
7. Upon completion of task 6, PSMFC will mail the *Initial Mailing Package* to all 44 members of the survey population in the Seattle/Puget Sound and Bellingham areas. One week after PSMFC sends the *Initial Mailing Package* to these potential participants, the trained interviewers will begin attempting telephone contact to schedule in-person interviews using protocols finalized in Task 1. It is anticipated that the trained interviewers will attempt nine contacts with each member of the survey population before classifying that member as “not able to contact”.
- 8.. The contractor will conduct in-person interviews with all willing members of the survey population in the Seattle/Puget Sound and Bellingham areas using protocols developed in Task 1. These interviews will be conducted at a time and place agreed upon during telephone contacts, and will typically be conducted in homes and public areas of the coastal communities in which limited entry trawl vessel owners reside and work. See Appendix A for information on the residential location of the survey population. Note that the port in which a limited entry vessel is located (and in which the in-person interview may occur) does not always correspond to the vessel owner’s community of residence during the active fishing season. Interviewers will not be expected to travel more than 150 miles from the coast in order to conduct in-person interviews (in the very unusual case that a vessel owner resides more than 150 miles from the coast). Interviewers will participate in telephone conferences as deemed appropriate by the PSMFC contract manager to report and discuss survey progress. It is anticipated that these conferences will be held on a weekly basis. The deliverables for this subtask are (1) completed attempts of telephone contact with all members of the population of interest, (2) updated Contact Sheet/Telephone Log (Appendix C), and (3) completed *Interviewer Questionnaires* from all in-person interviews. All deliverables must be approved by the PSMFC contract manager before this task is considered completed.
9. As task 8 nears completion, PSMFC will mail the *Initial Mailing Package* to all 26 members of the survey population residing in the Astoria, Ilwaco, Aberdeen, Neah Bay/LaPush, and Port Angeles areas. One week after PSMFC sends the *Initial Mailing Package* to these potential participants, the trained interviewers will begin attempting telephone contact to schedule in-person interviews using protocols finalized in Task 1. It is anticipated that the trained interviewers will attempt nine contacts with each member of the survey population before classifying that member as “not able to contact”.
- 10.. The contractor will conduct in-person interviews with all willing members of the survey population residing in the Astoria, Ilwaco, Aberdeen, Neah Bay/LaPush, and Port Angeles areas using protocols developed in Task 1. These interviews will be conducted at a time and place agreed upon during telephone contacts, and will typically be conducted in homes and public areas of the coastal communities in which limited entry trawl vessel owners reside and work. See Appendix A for

information on the residential location of the survey population. Note that the port in which a limited entry vessel is located (and in which the in-person interview may occur) does not always correspond to the vessel owner's community of residence during the active fishing season. Interviewers will not be expected to travel more than 150 miles from the coast in order to conduct in-person interviews (in the very unusual case that a vessel owner resides more than 150 miles from the coast).. Interviewers will participate in telephone conferences as deemed appropriate by the PSMFC contract manager to report and discuss survey progress. It is anticipated that these conferences will be held on a weekly basis. The deliverables for this subtask are (1) completed attempts of telephone contact with all members of the population of interest, (2) updated Contact Sheet/Telephone Log (Appendix C), and (3) completed *Interviewer Questionnaires* from all in-person interviews. All deliverables must be approved by the PSMFC contract manager before this task is considered completed.

11. The contractor will build an electronic database to contain all interview responses (the contractor will work with PSMFC and NMFS to develop an appropriate format). In addition, the contractor will be responsible for all data entry. All survey data will be transferred from the completed *Interviewer Questionnaires* to the electronic database using a double entry system (where each *Interviewer Questionnaire* is entered by two different people and the resulting electronic entries are compared in order to check for data entry errors). The deliverable from this task is an electronic database approved by the PSMFC
12. PSMFC and NMFS recognize that an experienced survey researcher may identify additional survey implementation protocols that need to be developed prior to the implementation of survey fielding. Bidders on the RFP should identify and describe additional protocols in this subtask.

### **SECTION 3: INSTRUCTIONS, CONDITIONS, AND NOTICES TO OFFERORS**

#### **3.1 Basis of contract award**

This contract will be awarded on a time and materials basis. The contract will be awarded based on the following criteria:

1. Cost (20%)
2. Previous experience and expertise in conducting survey research, particularly in person interviews (30%).
3. Proposed methodology (25%).
4. Previous relevant experience with the fishing community (25%).

Bidders should carefully follow the instructions below in the section "Information Requested from Contract Bidders".

#### **3.2 Information Requested from Contract Bidders**

Each contract bidder is asked to supply the following:

1. A list of qualifications of each person who will manage or work on the project.

2. A brief statement of previous experience the firm has in conducting survey research, particularly in-person surveys or surveys of businesses. Experience in conducting in-person surveys in coastal communities or with the fishing industry should be noted.
3. A list and brief description of all other fisheries related projects the bidder has worked on during the past ten years. This list should include all fisheries related projects not involving survey research (fisheries related survey research projects should be listed under item 2).
4. A description of the contractor's specific work experience relevant to each task.
5. A description of the proposed methodology for accomplishing each task.
6. A completed Budget Template. The three-part Budget Template is provided in Appendix B.

### **3.3 Budget Template**

The *Budget Templates* should be completed using the following assumptions. These assumptions are for budgeting purposes only; the contract will be awarded on a time and materials basis, so actual expenditures on a given task may be higher or lower than those shown on the *Budget Template*, depending upon the accuracy of the provided assumptions.

- a. 31 limited entry fixed gear vessels whose owner resides in Oregon and 67 limited entry trawl and fixed gear vessels whose owner resides in Washington.
- b. 28 vessels in the pretest population to be contacted/surveyed in Task 4 44 vessels in the population to be contacted/surveyed in Task 9, and 26 vessels to be contacted/surveyed in Task 8.
- c. An average of four telephone contact attempts per member of the population of interest. Nine contacts will be attempted before a trawl vessel owner is classified as "not able to contact".
- d. A 60% survey response rate.
- e. An average of two completed surveys per day per in-field interviewer. With two interviewers, this implies each interviewer will need to be in-field conducting interviews for an average of 15.5 days
- f. Assume all in-person interviews will occur in the community where the vessel owner resides. Appendix A provides information on the geographic distribution of vessel owners by community of residence, which should be used for developing budget estimates. In practice, some in-person interviews may occur in other communities, such as where the vessel (and/or owner) is located while fishing.

Other instructions for completing the Budget Template:

- a. If you do not anticipate any expenses for a particular category for a particular task, you should enter \$0 for that category/task.
- b. Provide the name, title, and hourly rate of each person working on this project in the appropriate places. If fewer than five people from your firm will work on this project, simply write "not needed" for the name of those persons who you do not propose using.
- c. Budget estimates should include all travel costs (airfare, ground transportation, hotel, meals, and other travel costs) incurred by the contractor that will be charged to PSMFC.
- d. The hourly rate provided for each person should cover all charges that will be incurred by PSMFC, including benefits and overhead.
- e. If you do not know the name of a person you propose using, write "not known" for the name.
- f. The cost for each person on each task should equal the number of proposed hours multiplied by the billing rate for that person.

- g. The number of roundtrip flights should indicate the number of trips made between the home location (presumably the home location the person will be flying from) and the work location (presumably the work location the person will be flying to).
- h. Expenses for automobile travel should be provided in the form of the number of miles driven and a charge per mile. The per mile charge should include all automobile costs which will be charged to PSMFC, such as charges for rental cars, gasoline, repairs, etc.
- i. Travel cost estimates for tasks 3,4,5,8, and 10 should include all travel costs (airfare, automobile, hotel, per diem, and other) that interviewers and any other contract personnel incur while making telephone contact and conducting interviews as part of the survey pretest with the nine members of the survey pretest population.
- j. Your responses to Part III of the *Budget Template* should clearly explain the assumptions behind numerical responses to Part II. For example, if you indicated hotel costs of \$2560 for task 5, you should indicate the number of hotel room nights and the average nightly charge used in developing this assumption. For example, you may indicate 10 nights in Seattle hotels at \$80 a night, 10 nights in Bellingham hotels at \$90 a night, 8 nights in Aberdeen hotels at \$70 a night, and 5 nights in Newport hotels at \$60 a night.

### **3.4 Submission Instructions**

All information must be submitted via paper media or email. Email submissions are preferred by PSMFC. Proposals may not be submitted by fax. The bidder is responsible for confirming that PSMFC has received the proposal by the deadline.

All paper media proposals should be submitted to:  
Pacific States Marine Fisheries Commission  
ATTN: DAVE COLPO  
205 SE Spokane, Suite 100  
Portland, Oregon 97202  
503-595-3100

Proposals as well as written questions should be sent via email to: [front\\_office@psmfc.org](mailto:front_office@psmfc.org) All email correspondence related to this survey should have a subject line of “Northwest Limited Entry CE Survey”.

## **SECTION 4: APPENDICES**

### **Appendix A**

#### **Residential Location Limited Entry Fixed Gear Vessels With Owner Residing in Oregon or Washington Plus Limited Entry Trawl Vessels With Owner Residing in Washington**

Bellingham --- 7

Seattle/Puget Sound --- 37

Port Angeles --- 6

Neah Bay/LaPush --- 5

Aberdeen --- 8

Ilwaco --- 4

Astoria --- 3

Newport --- 11

Coos Bay --- 5

Port Orford --- 9

Brookings --- 2

Klamath Falls --- 1

## Appendix B

### Budget Template

#### Part 1

Person 1:

Name:

Title:

Hourly Rate:

Residence (City and State):

Person 2:

Name:

Title:

Hourly Rate:

Residence (City and State)

Person 3:

Name:

Title:

Hourly Rate:

Residence (City and State):

Person 4:

Name:

Title:

Hourly Rate:

Residence (City and State):

Person 5:

Name:

Title:

Hourly Rate:

Residence (City and State):

Person 6:

Name:

Title:

Hourly Rate:

Residence (City and State):

## Part 2

	Task 1	Task 2	Task 3	Task 4	Task 5	Task 6	Task 7	Task 8	Task 9	Task 10	Task 11	Task 12
Person 1 Hours												
Person 2 Hours												
Person 3 Hours												
Person 4 Hours												
Person 5 Hours												
Person 6 Hours												
Airfare Costs (\$)												
Ground Transportation Costs (\$)												
Hotel Costs (\$)												
Meal Costs (\$)												
Other Travel Costs (\$)												
Material Costs (\$)												
Other Miscellaneous Costs (\$)												

## Part 3

Please explain how each cost (listed below) was estimated, in addition to how each was calculated, clearly stating all assumptions.

1. Airfare costs
2. Ground Transportation
3. Hotel Costs
4. Meal Costs
5. Other Travel Costs
6. Material Costs and
7. Other miscellaneous costs

## Appendix C Protocols

### Protocol I. Establishing Telephone Contact

The first interaction you may have with a potential survey participant will be over the phone. Aside from the introductory letter the trawler receives in the mail, the telephone contact you make with them to schedule an interview, will be their only additional exposure to the survey. Because of this, it is critical that the interviewer:

- Answer questions the harvester may have about the survey,
- Reiterate to the harvester how **not** participating in the survey may **impact** him/her,
- Schedule an interview time and location and
- Refer the harvester to a PSMFC/NOAA supervisor if you cannot answer additional questions.

Because fishermen schedule fishing efforts around the weather, regulations, resource availability, and other factors, fishermen may be difficult to get a hold of over the telephone. However, participants that returned the post card (provided to them in the initial mailing packet) identifying the best time to call them by phone will be easier to get a hold of. In cases where the postcard was not returned, multiple phone messages might be needed before finally reaching the harvester.

Please follow the guidelines below:

- Call the harvester during different times of the day (i.e. non-business hours) if you continue to get a message machine during business hours.
- Do not leave more than **one** message per day.
- Spread your three voice messages over a **two-week** period. This two-week period addresses situations where fishermen might be unavailable the first week because of fishing activity and available for contact the second week.
- A harvester should **not** be called more than **nine** times. The nine calls include, **six** calls leaving no voice messages, and **three** calls leaving voice messages. If the harvester cannot be reached after leaving **three** phone messages, record them as *not able to contact* in the *Contact Sheet* table (discussed below). It is suggested that you alternate leaving voice messages with phone calls without voice messages. This will result in a broader breadth of attempted contact time over the two-week period.

### Scheduling the Interview

The interviewer is responsible for scheduling all interviews with limited entry trawlers him/herself. Scheduling an interview around a meal or cup of coffee can provide additional incentive to participate in the survey. Petty cash will be provided to you in situations where interviews are scheduled around a meal or cup of coffee. In some cases, interviews might need to be scheduled during different hours of the day (i.e. evenings) to accommodate the participants work schedule. Additionally, all interviews

must be scheduled at locations that are most accommodating to the survey participant. This might require that you meet the participant at his/her home, place of work, fishing vessel, coffee shop, etc.

#### Number of interviews per day

On average, approximately three to four interviews (depending on how long they take) can be completed in one day (eight hour). Because in-person interviews require more effort than mail or telephone interviews, it is recommended that no more than five interviews be completed each day.

#### Interview Location

Ideally a cluster of interviews will be scheduled in one location (Astoria/Warrenton/Hammond). Once surveys have been completed in one fishing community/location, additional interviews will be scheduled in fishing communities in close proximity (Garibaldi/Nehalem). The Oregon interview clusters are as follows:

Lake Oswego/Gresham/Clackamas/Dallas/Sublimity  
Astoria/Warrenton/Hammond  
Garibaldi/Nehalem  
Newport/Toledo/Siletz/South Bend/Blodgett  
Coos Bay/Charleston/North Bend/Port Orford/Allegany/Scottsburg/Roseburg  
Brookings/Harbor

It is strongly discouraged that one interview scheduled in Astoria be followed by one interview in Newport on the same day. Travel time should be considered when scheduling interviews with participants. If required travel time between interview locations is unclear consult *yahoo maps*, *map quest*, or ask a PSMFC/NOAA supervisor for suggestions. Be sure to allow adequate travel time when scheduling interviews, as it is very important to arrive on time for scheduled interviews.

#### Interview No-Shows

In some cases you might have a situation where an interviewer may not be able to meet his/her commitment of meeting with you for their scheduled interview. In this case, use the extra time to:

- Finalize previously completed interviews
- Schedule interviews over the phone
- Complete data entry
- Coordinate with PSMFC on other tasks that might be useful

Additionally, record the no-show in the *No-show* section of your *Contact Sheet/Telephone Log* (discussed below) and attempt to reschedule the interview. Use the same telephone procedures discussed above.

#### Telephone Schedule Documentation

In order for you to schedule interviews with harvesters, a contact list of all potential participants will be provided to you by PSMFC/NOAA. This list is called *Contact Sheet/Telephone Log* and contains both contact information and space for you to record when and where the interview will take place, etc. Below is a description of items provided in the *Contact Sheet/Telephone Log* as well as items you are responsible for completing. Please do not leave any cell (item) in the table blank.

Please note the following color codes in the *Contact Sheet/Telephone Log* (Table I):

- A. Data cells highlighted in green will be provided to you. One exception are the

phone numbers, where at least one number will be listed in the table. Use this number for the initial telephone contact. If the trawler supplies additional phone numbers, please record them in the space provided.

- B. Data cells highlighted in blue are to be completed by you.
- C. Data cells highlighted in yellow may or may not be provided for you (please record collected data in the space provided).

### Contact Sheet/Telephone Log

1. Name	2. Adr1	3. Adr2	4. HPh	5. WPh	6. CPh	7. Email

8. Time Available	9. Phone Call 1		10. Phone Call 2		11. Phone Call 3		12. Phone Call 4		13. Phone Call 5	
	Date		Date		Date		Date		Date	
	Time		Time		Time		Time		Time	
	Message	Yes No	Message	Yes No	Message	Yes No	Message	Yes No	Message	Yes No

14. Phone Call 6		15. Phone Call 7		16. Phone Call 8		17. Phone Call 9	
Date		Date		Date		Date	
Time		Time		Time		Time	
Message	Yes No	Message	Yes No	Message	Yes No	Message	Yes No

18. Able to Contact via Phone	19. Participating	20. Date/Time/ Location of Interview	21. No-Show	22. Completed Interview	23. Notes
Yes	Yes		Yes	Yes	
No	No		No	No	

*Example Contact Sheet/Telephone Log Column Headings:*

1. Name –check for accuracy
2. Adr1 –check for accuracy
3. Adr2 –check for accuracy
4. HPh – home phone may/may not be provided for you, check for accuracy
5. WPh – work phone may/may not be provided for you, check for accuracy
6. CPh – cell phone may/may not be provided for you, check for accuracy
7. Email – may/may not be provided for you, check for accuracy
8. Time Available – this is the time the trawler provided on the return post card (call them during these hours/days)

- 9-17. Phone Call – record the date and time you attempted each telephone contact. Please do not call the participant more than **nine** times (**six** calls **without** leaving a message and **three** calls **leaving** a message). Circle yes or no to record if a voice message was left.
18. Unable to Contact Via Phone –circle no if the participant could not be reached after nine phone calls.  
Circle yes if the participant was reached by phone.
19. Participating – circle yes or no
20. Date/Time/Location of Interview – this is the date/time/location you schedule for the interview
21. No-Show – if your scheduled interview participant does not make it to the interview, circle no
22. Completed Interview – circle yes or no to record if the interview is complete
23. Notes – record any additional notes here

## **Protocol II. Conducting Pretest Interviews**

During the pretest of nine participants, the interviewer will complete the following two tasks:

1. Collect cost earnings data from nine limited trawlers resulting in nine completed surveys.

Collected cost earnings data will be recorded in the *Interviewer Questionnaire* (please see the *How to Complete the Interviewer Questionnaire* section below).

2. Gather feedback from survey participants about survey ease, length, question wording, misunderstanding of questions, etc.

Interviewers participating in task 4 will contribute feedback during a debriefing session with PSMFC and NMFS staff. The debriefing will occur in a meeting at PSMFC headquarters in Portland.

### How to Complete the *Interview Questionnaire*

The interviewer questionnaire is designed to contain all the information you may need during an interview (interview questions, directions, how to code the form/record responses, follow up questions and explanations for every question being asked). In addition, it is designed for you to record **all** responses and notes on the form itself. The interview questionnaire is composed of 16 pages (including front and back of pages). Below is a brief description of each page and their contents:

Page 1 Record your name, interview location (address), interview date, start time and end time. Please indicate why type of compensation was provided at the time of the interview (circle one).

The Interview Questionnaire Key describes the layout of the form and how to distinguish the different fonts, and texts:

1. CAPITAL TEXT = READ THIS QUESTION AND RECORD CORRESPONDING ANSWERS
2. *Italic text*= Your question instructions including how to code responses to **each** question.
3. Dashed Underlined Text = Follow up questions. Please ask the participant these follow up questions if you have time.  
These questions are of secondary importance. The survey questions take first priority.
4. **-all lower case bold text starting with the dash (-) describe data uses specific to that question**  
This information will be especially useful if the participant asks why a particular question is being asked of him. If the information provided on the interviewer questionnaire does not satisfy the participant, please provide him with your supervisors contact information.

Page 2 Extra space for notes if needed.

Page 3 Questions 1-5, record participant information here. If two people are participating, record harvesters name and contact information as well as contact information for the second participant. Record vessel ownership characteristics.

Page 4 Extra space for notes if needed.

Page 5 Record responses to question 7 and ask follow up questions if time allows.

Page 6 Extra space for notes if needed.

Page 7 Record responses to question 8 and ask follow up questions if time allows.

Page 8 Record responses to question 9 and ask follow up questions if time allows.

Page 9 Record responses to question 10 and ask follow up questions if time allows.

Page 10 Extra space for notes if needed.

Page 11 Record responses to question 11 and stress the information collected is **only** for the **groundfish** fishery. Ask follow up questions if time allows.

Page 12 Extra space for notes if needed.

Page 13 Record responses for questions 12 – 15. Ask follow up questions if time allows.

Please realize that every question on the survey has a specific purpose. Because of this it is critical that no blanks are left on the survey. If a specific value is not collected, the following codes should be used instead:

- Record a **-9** if the response was refused,

- Record an **-8** if the participant doesn't know the answer,
- Record a **-7** if there was no participation,
- Record a **-6** if the participant will provide the information at a later date and
- Record a **-5** if any other reason for not answering the question exists.

Specify\_\_\_\_\_

More space than the forms allow may be needed for recording both comments to related questions, answers to follow up questions, or additional notes. If this is the case, use the space provided on the back of the existing form to continue recording survey data. All survey pages should be stapled together when you turn in the completed questionnaires to your supervisor. The following is a general checklist to complete prior to turning in questionnaires:

- Check for empty cells and appropriate coding.
- Ensure handwriting is legible and readable. Rewriting is called for when the form becomes illegible.
- Put your forms in the order that the interviews were done (assignment number, date, interview number and time).
- Make sure no question is left blank.

During the interview, please repeat the values the participant provides you to each question. This will ensure that you heard the participant and that you are coding the interviewer questionnaire correctly. You are encouraged to edit and correct your forms upon completion of the interview while your memory is fresh and again prior to giving them to your supervisor. The time spent in editing is just as important as time spent interviewing. Errors found later require more time and money to fix.

### **Protocol III . Communicating With Your Supervisor**

On a daily basis (or as needed), you will be expected to participate in a telephone conference call with a PSMFC/NMFS supervisor during both the pretest portion of the project as well as the first two weeks interviewing the remaining OR survey population. A designated time and call in number will be established to discuss progress, ease of attempted phone calls, etc.

On a weekly basis, you will be expected to complete a progress report (Figure I) for the duration of the project. This report should be emailed to your supervisor each Friday of your workweek. This communication is necessary for charting the ease of telephone communication and completed interviews for future limited entry trawl surveys in Washington and California.

In addition to the weekly progress report, attach an updated version of the *Contact Sheet/Telephone Log* to the weekly report. Feel free to contact your supervisor via email or telephone at any time with questions or concerns.



## **Appendix D --- Mailing Questionnaire**

There are two versions of the mailing questionnaire. One version is intended for vessels with a trawl endorsement while the other version is intended for vessels with a fixed gear endorsement. The two versions of the questionnaire are very similar. This appendix provides both the trawl mailing questionnaire and the fixed gear mailing questionnaire.

**PART 1 --- LIMITED ENTRY TRAWL MAILING QUESTIONNAIRE**

**CONTACT INFORMATION FOR SURVEY RESPONDENT**

1. Name: \_\_\_\_\_ 2. Email: \_\_\_\_\_  
 3. Date (Month/Day/Year): \_\_\_\_\_ 4. Telephone: (\_\_\_\_) \_\_\_\_\_  
 5. Mailing Address (Street, City, State, and Zip Code): \_\_\_\_\_

**VESSEL OWNERSHIP AND CHARACTERISTICS**

6. Please verify the following information on record about your vessel's characteristics. If the information on record is correct, please place a check mark in the Corrections column. If the information on record is incorrect or there is no information on record, please provide the correct information in the Corrections column.

Item	Information on Record	Corrections
a. Owner's Name	<i>Charles Smith</i>	
b. Owner's Address	<i>333 1<sup>st</sup> Street, Waldport, OR 97005</i>	
c. USCG Vessel ID	<i>33221843</i>	
d. State Vessel ID	<i>OR33214</i>	
e. Home Port	<i>Newport, OR</i>	
f. Length (feet)	<i>75</i>	
g. Fuel Capacity	<i>300</i>	
h. Engine Make and Model	<i>No Information on Record</i>	

7. Please provide your vessel's fuel consumption and speed when engaged in each of the following activities. If this vessel does not engage in an activity, please check "NA" in the Fuel Consumption and Speed columns.

Activity	Fuel Consumption (Gallons Per Hour)	Speed (Knots Per Hour)
a. Trawling (while towing)	NA <input type="checkbox"/>	NA <input type="checkbox"/>
b. Shrimping (while towing)	NA <input type="checkbox"/>	NA <input type="checkbox"/>
c. Crabbing	NA <input type="checkbox"/>	NA <input type="checkbox"/>
d. Trolling	NA <input type="checkbox"/>	NA <input type="checkbox"/>
e. Steaming (fully loaded)	NA <input type="checkbox"/>	NA <input type="checkbox"/>
f. Steaming (empty)	NA <input type="checkbox"/>	NA <input type="checkbox"/>

## COSTS AND EARNINGS

Questions 8 through 10 collect information about this vessel's costs and earnings **while operating in all fisheries** (groundfish, crab, shrimp, salmon, etc.). This survey's primary objective is to collect data on costs and earnings for 2004. However, we recognize that conditions in the fishery change from year to year and that two years of data can provide a more complete picture than a one-year snapshot. If possible, we would appreciate receiving your cost and earnings data for both 2003 and 2004.

8. In what month did your vessel's fiscal year begin in 2003 \_\_\_\_\_ & 2004? \_\_\_\_\_

9. For each of the earnings (income) sources listed below, please indicate the income earned during your fiscal year 2003 and fiscal year 2004. If no income was earned from a particular source during a particular year, please write NA in the appropriate box.

Earnings (Income) Source	2003 (\$)	2004 (\$)
a. Landings in Alaska		
b. Landings in Hawaii		
c. Landings outside of the United States		
d. West Coast at-sea deliveries		
e. Sale and leasing of permits associated with this vessel		
f. Other (please specify) _____		

10. For each cost category below, please provide total annual expenditures during your fiscal year 2003 and fiscal year 2004. If you do not have separate data on expenditures for captain (part a) and crew (part b), please write combined expenditures in part *a* and write "NA" in part b. If no expenditures were incurred in a particular category during a particular year, please write NA in the appropriate box.

Cost (Expenditure) Category	2003 (\$)	2004 (\$)
a. Captain (including share payments, bonuses, other forms of compensation, and payroll taxes)		
b. Crew (including share payments, bonuses other forms of compensation, and payroll taxes)		
c. Fuel and Lube		
d. Food and crew provisions		
e. Ice		
f. Bait		
g. Purchase of permits used with this vessel		
h. Leasing of permits used with this vessel		
i. Repair, maintenance, and improvements for vessel, gear, and equipment		

## CREW COMPENSATION

Questions 11 through 15 collect information about crew payments when this vessel is participating in the West Coast (Washington, Oregon, and California) groundfish fishery.

11. Does this vessel use a crew share system to pay its crew when operating in West Coast groundfish fisheries?

- a. Yes (proceed to question 12).
- b. No (proceed to the Survey Conclusion after question 15).

12. Which of the following expenses were deducted from total revenue before calculating the crew share when this vessel operated in West Coast groundfish fisheries?

	Deducted Before Calculating Crew Share?	
a. Fuel and lube.	Yes	No
b. Food and other crew provisions.	Yes	No
c. Landing taxes.	Yes	No
d. Unloading expenses	Yes	No
e. Trucking expenses	Yes	No
f. Other. Please specify _____.	Yes	No

13. On what percentage of fishing trips does the vessel owner serve as captain? \_\_\_\_\_%

14. On trips when the vessel owner serves as captain, please indicate the share of net revenue (revenue minus the deductions listed in question 12) going to the vessel, captain, and crew. If the vessel owner does not serve as captain on any trips, please circle "NA".

Vessel share \_\_\_\_\_%    Captain share \_\_\_\_\_%    Crew share \_\_\_\_\_%    NA

15. On trips when the vessel owner does not serve as captain, please indicate the share of net revenue (revenue minus the deductions listed in question 12) going to the vessel, captain, and crew. If the vessel owner always serves as captain, please circle "NA".

Vessel share \_\_\_\_\_%    Captain share \_\_\_\_\_%    Crew share \_\_\_\_\_%    NA

### Survey Conclusion

Thank you for participating in this survey. The information you have provided will improve studies of the economic performance and economic impact of the West Coast limited entry trawl fishery.

A report summarizing limited entry trawl fleet responses to this survey will be prepared upon completion of this survey. As a participant in this survey, you will automatically be sent a copy of this report. If you want, we will also send you a comparison of your responses to those for the entire limited entry trawl fleet. If you would like to receive this comparison, please ask during your in-person interview for this comparison to be sent to you by registered mail (as this comparison will contain confidential information you have provided).

### Paperwork reduction act statement:

This survey requests information on fishing costs in the West Coast limited entry trawl fishery. This information will be used to assess a wide range of management issues, including (but not limited to) the effect of the recent buyback program and assessments of the effect of alternative ITQ programs. Public reporting burden for this information collection, including time for gathering data needed, and completing the survey with an interviewer is estimated to average **one hour** per respondent.

**PART 2 --- LIMITED ENTRY FIXED GEAR MAILING SURVEY**

**CONTACT INFORMATION FOR SURVEY RESPONDENT**

1. Name: \_\_\_\_\_ 2. Email: \_\_\_\_\_  
 3. Date (Month/Day/Year): \_\_\_\_\_ 4. Telephone: (\_\_\_\_) \_\_\_\_\_  
 5. Mailing Address (Street, City, State, and Zip Code): \_\_\_\_\_

**VESSEL OWNERSHIP AND CHARACTERISTICS**

6. Please verify the following information on record about your vessel's characteristics. If the information on record is correct, please place a check mark in the Corrections column. If the information on record is incorrect or there is no information on record, please provide the correct information in the Corrections column.

Item	Information on Record	Corrections
a. Owner's Name	<i>Charles Smith</i>	
b. Owner's Address	<i>333 1<sup>st</sup> Street, Waldport, OR 97005</i>	
c. USCG Vessel ID	<i>33221843</i>	
d. State Vessel ID	<i>OR33214</i>	
e. Home Port	<i>Newport, OR</i>	
f. Length (feet)	<i>75</i>	
g. Fuel Capacity	<i>300</i>	
h. Engine Make and Model	<i>No Information on Record</i>	

7. For each of the following activities, please provide this vessel's average fuel consumption and speed. If this vessel does not engage in an activity, please check "NA" in the Fuel Consumption and Speed columns for that activity.

Activity	Fuel Consumption (Gallons Per Hour)	Speed (Knots Per Hour)
a. Longlining	NA <input type="checkbox"/>	NA <input type="checkbox"/>
b. Crabbing	NA <input type="checkbox"/>	NA <input type="checkbox"/>
c. Trolling	NA <input type="checkbox"/>	NA <input type="checkbox"/>
d. Steaming (fully loaded)	NA <input type="checkbox"/>	NA <input type="checkbox"/>
e. Steaming (empty)	NA <input type="checkbox"/>	NA <input type="checkbox"/>

## REVENUE AND EXPENDITURES

Questions 8 through 10 collect information about this vessel's revenue sources and expenditures **while operating in all fisheries** (groundfish, sablefish, crab, salmon, etc.).

This survey's primary objective is to collect data on revenue and expenditures for 2005. However, we recognize that conditions in the fishery change from year to year and that two years of data can provide a more complete picture than a one-year snapshot. If possible, we would appreciate receiving your revenue and expenditure data for both 2004 and 2005.

8. In what month did your vessel's fiscal year begin in 2004\_\_\_\_\_ & 2005? \_\_\_\_\_

9. For each of the revenue sources listed below, please indicate the revenue earned during your fiscal year 2004 and fiscal year 2005. If no revenue was earned from a particular source during a particular year, please write NA in the appropriate box.

Revenue Source	2004 (\$)	2005 (\$)
a. Landings in Alaska		
b. Landings in Hawaii		
c. Landings outside of the United States		
d. West Coast at-sea deliveries		
e. Sale and leasing of permits associated with this vessel		
f. Other (please specify)_____		

10. For each expense category below, please provide total annual expenditures during your fiscal year 2004 and fiscal year 2005. If you do not have separate data on expenditures for captain (part a) and crew (part b), please write combined expenditures in part *a* and write "NA" in part *b*. If no expenditures were incurred in a particular category during a particular year, please write NA in the appropriate box.

Expense Category	2004 (\$)	2005 (\$)
a. Captain (including share payments, bonuses, other forms of compensation, and payroll taxes)		
b. Crew (including share payments, bonuses other forms of compensation, and payroll taxes)		
c. Fuel and Lube		
d. Food and crew provisions		
e. Ice		
f. Bait		
g. Purchase of permits used with this vessel		
h. Leasing of permits used with this vessel		
i. Repair, maintenance, and improvements for vessel, gear, and equipment		

**CREW COMPENSATION**

Questions 11 through 15 collect information about crew payments when this vessel is participating in the West Coast (Washington, Oregon, and California) **groundfish (including sablefish) fishery**.

11. Does this vessel use a crew share system to pay its crew when operating in West Coast **groundfish (including sablefish) fisheries**?

- c. Yes (proceed to question 12).
- d. No (proceed to the Survey Conclusion after question 15).

12. Which of the following expenses were deducted from total revenue before calculating the crew share when this vessel operated in West Coast **groundfish (including sablefish) fisheries**?

	Deducted Before Calculating Crew Share?	
g. Fuel and lube.	Yes	No
h. Food and other crew provisions.	Yes	No
i. Landing taxes.	Yes	No
j. Unloading expenses	Yes	No
k. Trucking expenses	Yes	No
l. Other. Please specify _____.	Yes	No

13. On what percentage of fishing trips does the vessel owner serve as captain? \_\_\_\_\_%

14. On trips when the vessel owner serves as captain, please indicate the share of net revenue (revenue minus the deductions listed in question 12) going to the vessel, captain, and crew. If the vessel owner does not serve as captain on any trips, please circle "NA".

Vessel share \_\_\_\_\_%      Captain share \_\_\_\_\_%      Crew share \_\_\_\_\_%      NA

15. On trips when the vessel owner does not serve as captain, please indicate the share of net revenue (revenue minus the deductions listed in question 12) going to the vessel, captain, and crew. If the vessel owner always serves as captain, please circle "NA".

Vessel share \_\_\_\_\_%      Captain share \_\_\_\_\_%      Crew share \_\_\_\_\_%      NA

**Survey Conclusion**

Thank you for participating in this survey. The information you have provided will improve studies of the economic performance and economic impact of the West Coast limited entry trawl fishery.

A report summarizing limited entry trawl fleet responses to this survey will be prepared upon completion of this survey. As a participant in this survey, you will automatically be sent a copy of this report. If you want, we will also send you a comparison of your responses to those for the entire limited entry trawl fleet. If you would like to receive this comparison, please ask during your in-person interview for this comparison to be sent to you by registered mail (as this comparison will contain confidential information you have provided)..

**Paperwork reduction act statement:**

This survey requests information on fishing costs in the West Coast limited entry trawl fishery. This information will be used to assess a wide range of management issues, including (but not limited to) the effect of the recent buyback program and assessments of the effect of alternative ITQ programs. Public reporting burden for this information collection, including time for gathering data needed, and completing the survey with an interviewer is estimated to average **one hour** per respondent.