

PARTICIPATION CONSENT FORM

TITLE OF PROJECT

“Defining Excessive Shares in the Northeast Multispecies Fishery.”

RESEARCH TEAM

This project is led by Dr. Glenn Mitchell, Senior Vice President, and Dr. Steven Peterson, Executive Vice President of Compass Lexecon.

WHAT IS THE PURPOSE OF THIS PROJECT?

The purpose of this project to give independent advice to the New England Fishery Management Council to help the Council determine an appropriate excessive shares limit in the Northeast multispecies fishery, focusing on approaches that may achieve Goal #4 of Amendment 18: “To prevent any individual(s), corporation(s), or other entity(ies) from acquiring or controlling excessive shares of the fishery access privileges.” Compass Lexecon has been contracted by the New England Fishery Management Council, with specific Terms of Reference as outlined below.

WHAT DOES YOUR PARTICIPATION IN THIS STUDY INVOLVE?

You are being asked to participate in an interview which will take about one hour. You will be asked to describe your involvement with the multispecies fishery and your perspectives on the economics of the fishery. After the interview, you may be contacted to clarify your answers.

WHAT ARE THE POSSIBLE RISKS OF PARTICIPATING IN THIS STUDY?

Some participants may perceive provision of information about fishing practices and business operations to be a risk. However, every effort will be made to ensure that raw data remain confidential and that results are reported such that individuals may not be identified.

WHAT ARE THE POSSIBLE BENEFITS OF PARTICIPATING IN THIS STUDY?

The benefit of participating in this study is contributing directly towards fishery policy impact assessment, which is very important. This project is expected to help provide a basis from which to evaluate sector management and document the experience of fishermen and their communities.

IF YOU CHOOSE TO PARTICIPATE IN THIS STUDY, WILL IT COST YOU ANYTHING?

No, apart from the contribution of your time, this study will not cost you anything.

WHAT IF YOU DO NOT WANT TO TAKE PART IN THIS STUDY?

You understand that your consent to participate in this research is entirely voluntary. Your refusal to participate will involve no prejudice, penalty or loss of benefits to which you would otherwise be entitled.

CAN YOU WITHDRAW FROM THIS STUDY?

If you consent to participate, you are free to stop your participation at any time.

HOW WILL THE CONFIDENTIALITY OF YOUR RECORDS BE PROTECTED?

The researchers seek to maintain the confidentiality of all data and records associated with your participation in this research. You should understand, however, there are rare instances when the researcher is required to share personally-identifiable information. For example, in response to a complaint about the research, designees of the sponsor(s), and/or regulatory and oversight government agencies may access research data. You also should understand that the researcher is required by law to report certain information to government and/or law enforcement officials (e.g., child abuse, threatened violence against self or others, communicable diseases). Although the researcher plans to maintain confidentiality of responses, if you participate in a group interview, group participants may repeat responses outside the focus group setting. Data will be kept in a secured location at Compass Lexecon. Data will be reported in aggregate, so that study participants may not be identified personally. The results will be used in reports, presentations and publications.

TERMS OF REFERENCE

1. Describe a theoretically sound method to specify the maximum possible allowable percentage share of the market for the fishery access privileges (permits, PSC) and/or the quota leasing (ACE trading) that would prevent an entity from obtaining an excessive share of the access privileges allocated under the Northeast Multispecies Fishery. Use the Herfindahl-Hirschman Index prescribed within the “US Department of Justice Horizontal Merger Guidelines” or other accepted rule as appropriate.
2. Apply the process or rule developed under Number 1 to determine if excessive shares already exist in this fishery. If excessive shares do not exist today, describe potential constraints that could prevent excessive shares from existing in the future. Alternatively, if excessive shares do exist, describe a process or rule that will allow for a theoretically sound procedure to prevent future increase.
3. If the rule cannot be applied because of incomplete data, provide suggestions of how to apply the rule in the best way possible that is consistent with the theoretical underpinnings of the rule. Also, identify data that would be necessary to apply the rule.
4. Identify conditions where entities, could exert “inordinate control” of quota as outlined in the National Standard 4 Guidelines. Such entities could include business entities holding permits, sectors, or organizations of sectors.
5. Alternate approaches to achieving the Amendment 18 goals (other than accumulation caps) may be proposed.

WHOM TO CONTACT IF YOU HAVE QUESTIONS ABOUT THIS STUDY

You can contact Glenn Mitchell, 213-452-6402 or gmitchell@compasslexecon.com.

I, _____ CONSENT/AGREE to participate in this project.

Signature of participant

Date