



FORM APPROVED — OMB CONTROL NO. 2040-0213 — APPROVAL EXPIRES: June 30, 2006

# Industry Economic Questionnaire: Phase III Cooling Water Intake Structures

## Seafood Processing Vessels

September 2003

**U.S. Environmental Protection Agency (EPA)  
Office of Science and Technology  
Washington, DC**

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### Notice of Estimated Burden

EPA estimates that completion of the entire *Industry Economic Questionnaire: Phase III Cooling Water Intake Structures – Seafood Processing Vessels* will require an average of 56 hours per vessel. Burden means the total time, effort, or financial resources expended by persons to generate, maintain, retain, disclose, or provide information to or for a Federal agency. This includes the time needed to review instructions; develop, acquire, install, and utilize technology and systems for the purposes of collecting, validating, and verifying information, processing and maintaining information, and disclosing and providing information; adjust the existing ways to comply with any previously applicable instructions and requirements; train personnel to be able to respond to a collection of information; search data sources; complete and review the collection of information; and transmit or otherwise disclose the information. An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number.

To comment on the Agency's need for this information, the accuracy of the provided burden estimates, and any suggested methods for minimizing respondent burden, including the use of automated collection techniques, EPA has established a public docket for this ICR under Docket ID No. OW-2003-0005, which is available for public viewing at the Water Docket in the EPA Docket Center (EPA/DC), EPA West, Room B102, 1301 Constitution Ave., NW, Washington, DC. The EPA Docket Center Public Reading Room is open from 8:30 a.m. to 4:30 p.m., Monday through Friday, excluding legal holidays. The telephone number for the Reading Room is (202) 566-1744, and the telephone number for the Water Docket is (202) 566-2426. An electronic version of the public docket is available through EPA Dockets (EDOCKET) at <http://www.epa.gov/edocket>. Use EDOCKET to submit or view public comments, access the index listing of the contents of the public docket, and to access those documents in the public docket that are available electronically. Once in the system, select "search," then key in the docket ID number identified above. Also, you can send comments to the Office of Information and Regulatory Affairs, Office of Management and Budget, 725 17th Street, NW, Washington, DC 20503, Attention: Desk Office for EPA. Please include the EPA Docket ID No. (OW-2003-0005) and OMB control number (2040-0213) in any correspondence.

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# Certification Statement

## Instructions

The individual responsible for directing or supervising the preparation of the enclosed *Industry Economic Questionnaire: Phase III Cooling Water Intake Structures – Seafood Processing Vessels* must read and sign the Certification Statement below before returning the completed documents to the U.S. Environmental Protection Agency. The certifying official must be a responsible corporate official or his/her duly authorized representative. The Certification Statement must be completed and submitted in accordance with the requirements contained in the *Code of Federal Regulations* at 40 CFR 122.22.

*I certify under penalty of law that the attached questionnaire was prepared under my direction or supervision in accordance with a system designed to ensure that qualified personnel properly gathered and evaluated the information submitted. The information submitted is, to the best of my knowledge and belief, accurate and complete. In those cases where we did not possess the requested information, we have provided best economic and financial estimates or judgments. We have, to the best of our ability, indicated what we believe to be company confidential business information as defined under 40 CFR Part 2, Subpart B. We understand that we may be required at a later time to justify our claim in detail with respect to each item claimed confidential. I am aware that there are significant penalties for submitting false information, including the possibility of fines and imprisonment as explained in Section 308 of the Clean Water Act (33 U.S.C., Section 1318).*

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Signature of Certifying Official

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Date

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Printed Name of Certifying Official

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(       )  
Telephone No.

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Title of Certifying Official

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## General Information and Instructions

### What is the Purpose of this Questionnaire?

The U.S. Environmental Protection Agency (EPA) is currently developing regulations under Section 316(b) of the Clean Water Act, 33 U.S.C., Section 1326(b). Section 316(b) provides that any standard established pursuant to Sections 301 or 306 of the Clean Water Act (CWA) and applicable to a point source requires that the location, design, construction, and capacity of *cooling water intake structures* (CWIS) reflect the best technology available (BTA) for minimizing *adverse environmental impact*.

Answers to the enclosed economic questionnaire will help EPA to assess the potential impacts of compliance with cooling water intake structure guidelines (under the authority of Section 316(b) of the CWA) on the economic viability of all affected facilities. Moreover, answers to the enclosed questionnaire will help EPA identify the types and sizes of vessels that are subject to Section 316(b).

Specifically, EPA needs to determine how many companies that own vessels are likely to experience adverse economic impacts as a result of compliance with regulations, how large the economic impacts will be, and if these impacts will be more severe for vessels owned by small firms than those owned by large firms. In order to evaluate the full economic impact of the regulation, EPA will consider the costs associated with performing Section 316(b) studies, additions to cooling water intake equipment, operating and maintenance costs associated with the regulation, and any impacts of Section 316(b) compliance requirements on the owner company's economic efficiency. EPA will estimate compliance cost impacts a firm's cash flows and assess the likelihood of full or partial firm closures as a result of the regulation. EPA needs the information requested in this part of the survey in order to conduct these analyses. The current schedule for Phase III 316(b) regulations is for EPA to finish a proposed rule by November 1, 2004 and to take final action by June 1, 2006. More information is available at <http://www.epa.gov/waterscience/316b/>.

**This questionnaire requests financial information on both the vessel and parent company level. If a firm owns vessels not selected for the survey, the firm does not need to complete the survey for those vessels.** Frequently, your accountant or comptroller is the best source for this kind of information. You may need to contact your headquarters for some of the information requested.

Please note that it is not the intent of EPA to require personnel to go to unusual lengths to retrieve information to respond to this questionnaire. Responses should be based on data that can be accessed from records with reasonable diligence.

This questionnaire consists of five main sections. Section A requests general vessel information, such as vessel name, location, and Standard Industrial Classification (SIC) codes. Section B requests information about the vessel's owner company such as owner's name and location, name of domestic parent firm, domestic parent firm financial data for 2000, 2001, and 2002, and number of full-time equivalent employees. Section C requests information on the vessel's revenues and costs for the last three years such as total fixed costs, total variable operating costs, depreciation expenses, and total capital expenditures. Section D, the owner company balance sheet, requests information such as inventories, current assets, non-current assets, liabilities, and owner equity. Section E requests miscellaneous information such as the number of full time employee, expected remaining useful life of the vessel, last downtime due to vessel overhaul/significant capital expenditure, and vessel utilization information.

## What is the Authority for this Questionnaire?

EPA has authority to administer this questionnaire under Section 308 of the CWA (33 U.S.C., Section 1318). Late filing of the questionnaire, or failure to follow any related EPA instructions, may result in civil penalties, criminal fines, or other sanctions provided by law.

## Who Must Complete This Questionnaire?

This questionnaire has been designed for completion by industries that are point-sources as defined under Section 502 of the Clean Water Act (33 U.S.C. Section 1362). Entities potentially affected by this action are those existing facilities that use cooling water intake structures to withdraw water from waters of the U.S. for cooling purposes and that have or are required to have a National Pollutant Discharge Elimination System (NPDES) permit issued under Section 402 of the Clean Water Act (CWA). This questionnaire is primarily intended for Seafood Processing Vessels.

## Where to Get Help?



### **Toll-Free Help Line**

#### **Industry Economic Questionnaire: Phase III Cooling Water Intake Structures**

Staffed by:

**Abt Associates**

*Available weekdays, 9:00 a.m. to 5:00 p.m., Eastern Time*

**Toll-Free Phone No.: (866) 249 - 3778**

**Direct Dial Phone No.: (617) 520 - 3507** (long distance charges will apply)

## Certification Statement

A responsible corporate official or his/her duly authorized representative must verify the accuracy of the responses to the questionnaire by reading and signing the enclosed Certification Statement. This statement must be returned to EPA along with the completed questionnaire.

## When and How to Return the Questionnaire?

You must complete and return the questionnaire and Certification Statement to EPA within *45 calendar days* after receiving the materials at your vessel or firm. Please return your materials, in the enclosed self-addressed envelope, to:



### **Industry Economic Questionnaire: Phase III Cooling Water Intake Structures**

316(b) Survey

U.S. Environmental Protection Agency

c/o Abt Associates, Attn: Rob Eggleston

55 Wheeler Street

Cambridge, MA 02138-1168

**NOTE:** *Please keep a copy of the completed questionnaire and Certification Statement for your records.*



If you have extenuating circumstances that preclude you from meeting the 45 day deadline, please contact Jennifer Chan at the following email address: [chan.jennifer@epa.gov](mailto:chan.jennifer@epa.gov) to discuss your situation.

### Confidential Business Information

You may assert a business confidentiality claim for *some* or *all* of your responses to this questionnaire, as described in 40 CFR 2.203(b) (*see full text below*). Complete regulations governing confidentiality of business information (CBI) appear in 40 CFR, Part 2, Subpart B (see the following website: [www.access.gpo.gov/nara/cfr/cfrhtml\\_00/Title\\_40/40cfr2\\_00.html](http://www.access.gpo.gov/nara/cfr/cfrhtml_00/Title_40/40cfr2_00.html)).

40 CFR 2.203(b) Method and time of asserting business confidentiality claim. A business which is submitting information to EPA may assert a business confidentiality claim covering the information by placing on (or attaching to) the information, at the time it is submitted to EPA, a cover sheet, stamped or typed legend, or other suitable form of notice employing language such as ‘trade secret,’ ‘proprietary,’ or ‘company confidential.’ Allegedly confidential portions of otherwise nonconfidential documents should be clearly identified by the business, and may be submitted separately to facilitate identification and handling by EPA. If the business desires confidential treatment only until a certain date or until the occurrence of a certain event, the notice should so state.

You may claim confidentiality of business information for any of your responses by one of the methods described above. If no claim of confidentiality has been made, EPA may make the data available to the public without further notice. Please note that you may be required to justify any claim of confidentiality at a later time. Note, however, that certain types of information cannot be considered confidential under the CWA (e.g., facility location, water body, water body type, intake flow data). Your answers to these questions will be part of the public record.

If EPA reveals information covered by a claim of confidentiality, the Agency will strictly follow the requirements and procedures set forth in 40 CFR Part 2, Subpart B. Overall, EPA may reveal submitted information protected by a CBI claim *only* to other employees, officers, or authorized representatives of the United States who are responsible for implementation of the Clean Water Act. EPA has extensive standard operating procedures in place to handle, store, and transmit CBI data and has a long history of successfully managing this type of information. In addition, personnel expected to handle CBI data are required by the Agency to be trained and certified.

Agency contractors will have access to CBI data so that work can be performed under their contracts relative to the Section 316(b) rulemaking. All EPA contracts require that contractor employees must use CBI data *only* to perform work specified by EPA. The information is not to be shown to anyone, other than EPA officials, without prior written approval having been received from the affected business or from EPA’s legal office.

You may check the circle below to assert a business confidentiality claim for all eligible information in this questionnaire.

All eligible data are CBI ☐

### Specific Instructions for Completing the Questionnaire

Vessel or parent firm personnel most knowledgeable of the subject areas covered by the questions posed should complete the questionnaire:

- **Please answer the questions in sequence unless you are directed to SKIP forward in the questionnaire.** This is important since many questions are only applicable to some respondents.
- **Clearly mark responses to all questions with a black or blue ink pen, or type responses in the spaces provided.**
- For each question, **please read all instructions and definitions carefully.** Respondents should only report vessel specific data for the vessel identified on page 1.
- Most key terms are defined at the point where they first appear in the questionnaire. They are also defined in the *Glossary to Questionnaire*, which is attached to the back of the questionnaire. **Before responding to a given question, please read the definitions of any key terms used and any question-specific instructions.**
- **Please use the units specified when responding to questions requesting measurement data.**
- **Please provide responses on the basis of the time period(s) cited in each question.** Note that the time periods under which information is requested may vary from question to question.
- **Please indicate whether information provided in any of your responses is confidential.** Such information will be protected under EPA's confidentiality procedures. To claim a particular response as containing confidential business information, simply mark (✓) the circle at the end of each question, if one is provided or follow the identification procedures described on the previous page and found under 40 CFR 2.203(b).

## Section A: General Vessel Information

1. (a) For the vessel identified above, is the owner name and address correct on the label?

- ☐ Yes (if “Yes,” skip to Section 1(b))  
☐ No (if “No,” continue)

**Name of Vessel’s Owner Company :** \_\_\_\_\_

**Mailing Address/PO Box:** \_\_\_\_\_

**City, State, ZIP Code:** \_\_\_\_\_

- (b) Please provide the four-digit standard Industrial Classification (SIC) code, 6-digit North American Industry Classification System (NAICS) code, and DUNS number for the owner company.

**Owner Company SIC Code:** \_\_\_\_\_

**Owner Company NAIC Code:** \_\_\_\_\_

**Owner Company DUNS Number:** \_\_\_\_\_ ☐ Check (✓) here if none.

- (c) Please provide the following information about the person who will serve as a contact for questions about the responses to the survey.

*NOTE: The vessel contact person should be the person most knowledgeable about the information requested in this part of the survey. This person is not required to be the certifying official.*

**Name of Vessel Contact Person:** \_\_\_\_\_

**Title of Vessel Contact Person:** \_\_\_\_\_

**Employer (full legal name):** \_\_\_\_\_

**Phone Number:** \_\_\_\_\_

**Fax Number:** \_\_\_\_\_

**Mailing Address/PO Box:** \_\_\_\_\_

**City, State, ZIP Code:** \_\_\_\_\_

**Best Time to Contact:** \_\_\_\_\_

2. a) This survey focuses on the vessel's fiscal year that ended in 2002. Please indicate the month, day, and year in which that fiscal year began and ended.

This vessel is reporting data for the fiscal year beginning \_\_\_\_ / \_\_\_\_ / \_\_\_\_ and ending \_\_\_\_ / \_\_\_\_ / \_\_\_\_ (e.g., 01/01/2002).  
month / day / year month / day / year

**NOTE:** Please refer to this fiscal year whenever the survey requests FY 2002 data. Some questions also request data for FY 2001 and FY 2000. These refer to the two prior fiscal years, ending in 2001 and 2000, respectively.

- (b) Indicate the number of months in each year listed below for which you have financial information for your vessel. In some cases, such as in new vessels, records may include only part of a year.

Number of Months of Financial Data			
	FY 2000	FY 2001	FY 2002
Months (0 to 12)			

## Section B: Information About the Vessel's Parent Firm

3. (a) Has the ownership of this vessel changed at any time since January 1, 2002?

- ☐ Yes (if "Yes," continue)  
☐ No (if "No," skip to Question 5)

(b) Please provide the name, address, and DUNS number of every previous owner that has held the largest interest in this vessel since January 1, 2002, and the dates of ownership.

**NOTE:** If the ownership in this vessel has changed more than once since January 1, 2002, please provide the additional information on additional pages.

**Name of Entity:** \_\_\_\_\_

**Mailing Address/P.O. Box:** \_\_\_\_\_

**City, State, Zip Code:** \_\_\_\_\_

**DUNS Number:** \_\_\_\_\_ ☐ Check (✓) here if none.

**Dates of Ownership (month/day/year; e.g., 01/01/2001: From:** \_\_\_\_\_ **To:** \_\_\_\_\_

4. Question 4 is omitted intentionally.

5. (a) As of the last day of Fiscal Year 2002, was this vessel's owner company owned by another entity?

**NOTE:** Please answer "yes" to this question if your vessel's owner company was owned by an entity, other than the vessel's owner company itself, such as another firm or organization, a limited partnership, a joint venture, or a government entity.

- ☐ Yes (if "Yes," continue)  
☐ No (if "No", skip to Section C)

(b) Is the Ultimate Parent Firm of the entity that owned this vessel as of the last day of Fiscal Year 2002 a foreign firm, i.e., not a U.S. firm?

**NOTE:** If the vessel owner company was owned by more than one entity, e.g., a joint venture, please provide this information for the entity that owned the largest share in this vessel.

- ☐ Yes (if "Yes," continue)  
☐ No (if "No", skip to Question 6)

**Name of Foreign Ultimate Parent Firm:** \_\_\_\_\_

**Total Employment, in terms of full time equivalent employees (FTE):** \_\_\_\_\_

**NOTE:** 1 FTE equals 1 person-year or 2,000 hours. Please include all full-time and part-time employees.

(c) For the Foreign Ultimate Parent Firm identified above, is there an intermediary firm that is a U.S. Firm?

**NOTE:** Please provide information on the U.S. firm at the highest corporate level (i.e., Ultimate Domestic Parent Firm).

- ☐ Yes (if "Yes," continue)  
☐ No (if "No", skip to Question C)

6. (a) This question pertains to the Domestic Ultimate Parent Firm (i.e., a U.S. firm) of the entity that owned this vessel as of the last day of Fiscal Year 2002. This question also pertains to the U.S. intermediate firm of a Foreign Ultimate Parent Firm identified in Question 5(c).

Please indicate below whether you are answering this question for a Domestic Ultimate Parent Firm, or U.S. intermediate firm of a foreign ultimate parent firm.

- ☐ Domestic Ultimate Parent Firm (i.e., U.S. firm)  
☐ U.S. intermediate firm of the Foreign Ultimate Parent Firm

Name of U.S. Firm: \_\_\_\_\_

Mailing Address/P.O. Box: \_\_\_\_\_

City, State, Zip Code: \_\_\_\_\_

SIC: \_\_\_\_\_

NAICS: \_\_\_\_\_

DUNS Number: \_\_\_\_\_ ☐ Check (✓) here if none.

- (b) For the U.S. Firm identified in Question above, please complete the table below with the firm's total employment, in terms of full-time equivalent employees (FTE) and number of months of financial data.

**NOTE:** 1 FTE equals 1 person-year or 2,000 hours.

**NOTE:** The number of months of financial data is the number of months in each year for which you will report information about the firm. In some cases, such as for new businesses, financial records may include only part of a year.

Consolidated Financial Information for the Domestic Parent Firm or U.S. Intermediate Firm of the Foreign Ultimate Parent Firm. (Report monetary values in whole dollars)			
	FY 2000	FY 2001	FY 2002
Total Employment (FTE)			
Number of Months of Financial Data (0 to 12)			

6. (c) For the U.S. Firm identified above, please complete the following income statement table.

U.S. Firm Income Statement Information (Report monetary values in whole dollars) (continued)				
		FY 2000	FY 2001	FY 2002
6(d)	<b>Total Revenues</b>	\$	\$	\$
6(e)	<b>Total Costs:</b> All variable and fixed costs including labor and material costs, administrative expenses, utilities, R&D, etc. (Do not include depreciation, amortization, depletion, and interest expenses and income taxes)	\$	\$	\$
6(f)	<b>Depreciation, Amortization, and Depletion Expense:</b> Depreciation, amortization, and depletion on buildings, vessel, equipment and machinery.	\$	\$	\$
6(g)	<b>Interest Expense:</b> Total, estimated if necessary. Firms with debt should have interest expenses.	\$	\$	\$
6(h)	<b>Income Taxes:</b> Total federal, state and local income taxes. Estimate if necessary.	\$	\$	\$
6(i)	<b>After-Tax Income or Loss:</b> Subtract sum of (e) through (h) from (d).	\$	\$	\$

The information in Question 6(c) is confidential business information (CBI) ☐

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## Section C: Vessel Revenues and Costs

This section and Section E of the questionnaire ask for data about your vessel. Your firm, however, if different than the vessel, may not customarily compile financial reports at the level of your vessel. In that case, vessel-level information must be estimated from data reported at the level closest to your vessel. This may be a division, an entire firm, or some other business unit.

You should report information about your vessel either from compiled reports or by estimating vessel-level data. If you have to estimate the data, you may use any method and information that, in your opinion, will yield the best estimate of vessel-level data. If no such method or information is available, you should follow the procedures outlined on this page.

7. Read the questions in the rest of this economic and financial survey. Then choose one of the following two ways to report data for your vessel's owner company. Check (✓) only one circle.

This vessel will report actual data ..... ☐

This vessel will report data estimated following the procedures outlined below ..... ☐

**Instructions for estimating vessel data (if different from the firm):** If you need to estimate vessel data, you may use any method and information that, in your opinion, will yield the best estimate of vessel-level data. If no such method or information is available, you should estimate vessel data from financial reports for the business unit that is closest to your vessel in terms of business activities performed. Please estimate vessel data by multiplying that business unit's numbers by the ratio of your vessel revenues to that business unit's revenues. That is:

$$\text{Estimated Vessel Data} = \text{Business Unit Data} \times \left( \frac{\text{Vessel Revenues}}{\text{Business Unit Revenues}} \right)$$

If revenues are not available, then use the ratio of production costs. That is:

$$\text{Estimated Vessel Data} = \text{Business Unit Data} \times \left( \frac{\text{Vessel Production Cost}}{\text{Business Unit Production Cost}} \right)$$

8. Please complete the following table. Only include costs and capital expenditures incurred by the vessel.

Vessel-Level Income Statement and Capital Expenditure Information (Report monetary values in whole dollars)				
		FY 2000	FY 2001	FY 2002
8(a)	<b>Total Vessel Revenues</b>	\$	\$	\$
8(b)	<b>Total Fixed Costs:</b> Include all overhead expenses, fixed operating costs, administrative costs, licensing/permitting costs, etc. (Do not include depreciation, amortization, and depletion expenses)	\$	\$	\$
8(c)	<b>Total Variable Operating Costs:</b> Include all material, O&M, utility, contract work, and labor (wages, fringe, payroll tax) costs that vary with utilization/operation. (Do not include depreciation, amortization, and depletion expenses)	\$	\$	\$
8(d)	<b>Depreciation, Amortization, and Depletion Expense:</b> Depreciation, amortization, and depletion of vessel and equipment.	\$	\$	\$
8(e)	<b>Interest Expense:</b> Total, estimated if necessary. Vessels with debt should report interest expense.	\$	\$	\$
8(f)	<b>Other Costs and Expenses:</b> All costs and expenses not reported above.	\$	\$	\$
8(g)	<b>Total Vessel Costs:</b> Add 8(b) through 8(f).	\$	\$	\$
8(h)	<b>Earnings before income taxes:</b> Subtract 8(g) from 8(a).	\$	\$	\$
8(i)	<b>Income Tax Expense:</b> Total federal, state, and local income taxes.	\$	\$	\$
8(j)	<b>After Tax Income:</b> Subtract 8(i) from 8(h)	\$	\$	\$
8(k)	<b>Total Capital Expenditures:</b> Include all capital outlays for equipment and vessel upgrades and overhauls.			
8(l)	Check here if the data above pertain to a Type S corporation or non-corporate proprietorship <input type="radio"/>			

The information in Question 8 is confidential business information (CBI) ☐

## Section D: Vessel's Owner Company Balance Sheet Information

9. Please complete the following table with information from your vessel's owner company *balance sheet or other report on assets and liabilities*. Only include assets and liabilities information pertaining to this vessel.

Vessel's Owner Company Balance Sheet Information (Report monetary values in whole dollars)				
		FY 2000	FY 2001	FY 2002
ASSETS				
9(a)	<b>Inventories:</b> Finished products, products in process, raw materials, supplies, fuels, etc. Report inventories at cost to market. If LIFO basis, use sum of LIFO amount plus LIFO reserve.	\$	\$	\$
9(b)	<b>Other Current Assets:</b> Pre-paid expenses (such as rent), cash, accounts receivable, etc.	\$	\$	\$
9(c)i	<b>Non-Current Assets--At Cost Value:</b> Equipment, machinery, other physical capital, and intangibles (patents, franchises, etc.) capital stocks and bonds, etc.	\$	\$	\$
9(c)ii	<b>Non-Current Assets--Accumulated Depreciation, Depletion, and Amortization:</b> Accumulated depreciation, depletion, and amortization on non-current assets listed in 9(c)i.	\$	\$	\$
9(c)iii	<b>Non-Current Assets--Net of Depreciation, Depletion, and Amortization:</b> Subtract (c)ii from (c)i.	\$	\$	\$
9(d)	<b>Total Assets:</b> Add 9(a), (b), and (c).	\$	\$	\$
LIABILITIES AND EQUITY				
9(e)	<b>Current Liabilities:</b> Liabilities due for payment within the reporting year.	\$	\$	\$
9(f)	<b>Non-Current Liabilities:</b> Including long-term debt, such as bonds, debentures and bank debt.	\$	\$	\$
9(g)	<b>Owner Equity:</b> Total assets minus total (current and non-current liabilities).	\$	\$	\$
9(h)	<b>Total Equity and Liabilities:</b> Add 9(f), (g), and (h) (should equal 9(e) above).	\$	\$	\$

The information in Question 9 is confidential business information (CBI)



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## Section E: Miscellaneous Vessel Information

- 10.** Please complete the table below with total vessel employment, in terms of full-time equivalent employees. Include both production and non-production employees, and full-time and part-time employees. Exclude contract labor.

**NOTE:** 1 FTE equals 1 person-year or 2,000 hours.

Total Vessel Employment			
	FY 2000	FY 2001	FY 2002
Total Employment (FTE)			

- 11.** Please report the rate of interest on the line of credit of short-term debt available to support this vessel's activities. If such short-term borrowing is transacted by another business unit related to this vessel (for example, the firm owning the vessel), please report the interest rate for that business unit.

Percentage rate as of last day of FY 2002: \_\_\_\_\_ %

The information in Question 11 is confidential business information (CBI) ☐

- 12. (a)** In the DOMESTIC market, which of the following is the most significant source of competition for your main line of business? Please check (✓) only one box.

Domestic firms..... ☐

Foreign firms ..... ☐

This vessel has no significant source of competition ..... ☐

This vessel does not sell products and services in the domestic market .. ☐

- (b)** In the INTERNATIONAL market, which of the following is the most significant source of competition for your main line of business? Please check (✓) only one box.

Domestic firms..... ☐

Foreign firms ..... ☐

This vessel has no significant source of competition ..... ☐

This vessel does not sell products and services in the international market..... ☐

13. Question 13 is omitted intentionally.

14. (a) Please report the original commissioning date for this vessel (e.g., 01/01/2000).

\_\_\_\_/\_\_\_\_/\_\_\_\_

(b) What is the expected remaining useful life of the vessel, without substantial upgrades (in years)?

\_\_\_\_\_

The information in Question 14 is confidential business information (CBI) ☐

15. (a) Please report the date of the last downtime due to vessel overhaul/significant capital expenditure (e.g., 01/01/2000).

\_\_\_\_/\_\_\_\_/\_\_\_\_

(b) What is the estimated duration of time that the vessel was out of service due to the last overhaul (in months)?

\_\_\_\_\_

(c) What is the date of the next scheduled vessel overhaul/significant capital expenditure, which will result in downtime? (e.g., 01/01/2000).

\_\_\_\_/\_\_\_\_/\_\_\_\_

(d) What is the estimated duration of time the vessel is expected to be out of service for the next overhaul/significant capital expenditure (in months)? \_\_\_\_\_

The information in Question 15 is confidential business information (CBI) ☐

16. Please complete the following table with information regarding expected future capital expenditures associated with your vessel.

Expected Future Capital Expenditures (Report in whole dollar values)			
	FY 2003	FY 2004	FY 2005
Total Capital Expenditures			

The information in Question 16 is confidential business information (CBI) ☐

17. Please complete the following table with information regarding past utilization of the vessel.

Vessel Utilization Information				
		FY 2000	FY 2001	FY 2002
17(a)	<b>Number of Days Under Lease:</b> Include all days vessel was under contract			
17(b)	<b>Number of Days Processing</b>			
17(c)	<b>Days Out of Service:</b> Include days out for repair, maintenance, overhaul, etc.			
17(d)	<b>Days Operating Outside U.S. Waters</b>			
17(e)	<b>Average Day Rate for Operating in U.S. Waters (in dollars)</b>			
17(f)	<b>Average Day Rate for Operating Outside U.S. Waters (in dollars)</b>			
17(g)	<b>List Regions in which Vessel Operated</b>			

The information in Question 17 is confidential business information (CBI) ☐

**THANK YOU FOR COMPLETING EPA'S *INDUSTRY ECONOMIC QUESTIONNAIRE: PHASE III COOLING WATER INTAKE STRUCTURES*. WE APPRECIATE YOUR COOPERATION. PLEASE RETURN THE QUESTIONNAIRE WITH A SIGNED CERTIFICATION STATEMENT IN THE ENVELOPE PROVIDED.**

**STOP--END OF SURVEY**

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## Glossary to Questionnaire

**NOTE:** *The following terms are defined for purposes of this questionnaire only. The definitions at present do not have any legal meaning with respect to Section 316(b) of the Clean Water Act.*

**Average Daily Intake Flow Rate:** The total volume of cooling water withdrawn over an average 24-hour day.

**Cooling Operations:** Activities that transfer heat from one medium or activity to cooling water (with the exception of nonprocess air conditioning).

**Cooling Water:** Refers to both contact and non-contact cooling water, including water used for equipment cooling, and dilution of effluent heat content. Cooling water may be used for the cooling of engines and related parts, cooling of desalination equipment, cooling of fish freezing equipment, cooling of equipment used for cooking crab and shrimp or other. The intended use of the cooling water is to absorb waste heat rejected from the process or processes employed or from auxiliary operations on the vessel's premises.

**Cooling Water Intake Structure (CWIS):** The total structure used to withdraw water from a water source up to the point of the first intake pump or series of pumps. The intended use of the cooling water is to adsorb waste heat rejected from processes employed or from auxiliary operations on the vessel. If a vessel has intake structures that withdraw water for purposes in addition to cooling, the entire intake structure should be considered a cooling water intake structure.

**Cooling Water System:** A system that provides water to/from a vessel to transfer heat from equipment or processes therein. The system includes, but is not limited to, seachests, through-hull penetrations, simple pipes, pumps or other water intake structures. For vessels that use surface water for cooling, a system begins at the first barrier(s) to ingress and/or egress by fish and other aquatic wildlife (e.g., at the seachest screen) and ends at the discharge outlet(s). *See also Cooling Water Intake Structure.*

**Design Intake Flow:** The total design capacity of the cooling water intake structures. A cooling water intake structure is an intake structure that withdraws any portion of water for cooling purposes, even if a large portion of that water is used for non-cooling purposes. For example, if an intake structure (e.g., seachest) has one or more lines and pumps withdrawing from it, some supplying cooling systems, and some not (e.g. fire mains), the capacity of all pumps withdrawing through the intake structure would be counted. If a fire main or a ballast tank is supplied through a separate intake structure that does not have any lines and pumps supplying cooling water, that capacity would not be counted.

**Design Through-Screen Velocity:** The value assigned during the design phase of a CWIS to the speed at which intake water passes through the intake screen (or other technology) against which organisms may be impinged or where they may be entrained.

**Discharge:** When used without qualification, means the discharge of a pollutant. Discharge of a pollutant means: (i) any discharge of any pollutant or combination of pollutants to waters of the United States from any point source, or (ii) any addition of any pollutant or combination of pollutants to the waters of the contiguous zone or the ocean from any point source other than a vessel or other floating craft which is being used as a means of transportation. *See also 40 CFR 122.2.*

**Domestic Parent Firm:** The highest level domestic business entity in a facility's organizational structure. A firm owned by another U.S. firm is *not* a domestic parent firm. On the contrary, a U.S. firm owned by a foreign firm *is* a domestic parent firm.

**DUNS Number:** A number assigned to a business using the Data Universal Numbering System (DUNS) developed by the Dun and Bradstreet Corporation.

**Effluent:** Outflow of wastewater from a vessel to waters of the United States.

**Entrainment:** The merging of small aquatic organisms with the flow of cooling water entering and passing through a cooling water intake structure, and, thus, into a cooling water system.

**Estuary:** A semi-enclosed coastal body of water that has a free connection with the open sea and is strongly affected by tidal action. In an estuary, sea water is mixed (and usually measurably diluted) with fresh water from land drainage. [NOTE: *The Chesapeake Bay and the San Francisco Bay are examples of estuaries even though the term bay appears in their name. For the purposes of this questionnaire, the term “tidal river” means the seaward most reach of a river/stream where the salinity is  $\leq 0.5$  ppt at a time of annual low flow its surface elevation responds to the effects of coastal lunar tides. Where the river salinity exceeds 0.5 ppt, the respective river reach will be viewed as estuarine.*]

**Full-Time Equivalent Employee (FTE):** The normalized unit for counting employees at a facility. One FTE equals 2,000 hours of work (8 hours per day for 250 days) during a calendar year. As such, two part-time employees, each working 1,000 hours per year, would be counted together as one FTE.

**Impingement:** The trapping and holding of larger aquatic organisms to the outer part of an intake structure or against screening devices during periods of cooling water withdrawal.

**Intake Screen System:** Devices placed at or near the opening of an intake structure to mechanically stop debris and/or organisms from entering a vessel’s water system.

**Intake Structure:** See *Cooling Water Intake Structure*.

**Latitude:** The angular distance north or south of the equator measured in degrees or in hours, minutes, and seconds along a meridian.

**Longitude:** The angular distance on the earth east or west of the prime meridian, expressed in degrees or in hours, minutes, and seconds.

**Non-Contact Cooling Water:** Cooling water that does **not** come into contact with any raw materials, intermediate products, finished products, by-products, or waste products.

**North American Industrial Classification System (NAICS):** A new system initiated in January 1997 to classify industries. This new system replaces the existing Standard Industrial Code (SIC) system and identifies industries according to the type of production activities performed. NAICS industries are identified using a 6-digit code.

**NPDES (National Pollutant Discharge Elimination System) Permit:** A permit required to be held under Section 402 of the Clean Water Act (33 U.S.C. 1342 *et seq.*) by any point source discharging pollutants to waters of the United States. Permits may address effluent discharges, storm water, or sewage sludge management practices and may be issued by an EPA Region or a Federally-approved State NPDES program.

**Ocean:** Marine open coastal waters other than those water bodies classified as estuaries, embayments or fjords, each of which are semi-enclosed and have readily identifiable geographic boundaries.

**Operating Days:** The total number of days (1 day = 24 hours) a cooling water intake structure operated during a specified time period, excluding any days the cooling water intake structure was offline for routine maintenance or otherwise was not operational. A partial day (i.e., operations of less than 24 hours) does not constitute an operating day and should not be counted as such.

**Passive Intake System:** Devices placed at or near the opening of an intake structure that, with little or no mechanical activity, stops debris and/or organisms from entering a plant's water system. Most passive intake systems achieve very low withdrawal velocities at the screening medium.

**Point Source:** Any discernible, confined, and discrete conveyance, including but not limited to, any pipe, ditch, channel, tunnel, conduit, well, discrete fissure, container, rolling stock, concentrated animal feeding operation, landfill leachate collection system, vessel or other floating craft from which pollutants are or may be discharged. The term does not include return flows from irrigated agriculture or agricultural storm water run off. *See also 40 CFR 122.2.*

**Presently Operating:** Cooling water systems that are currently in commercial service.

**Process Operations:** Industrial activities that directly result in the production of a vessel's primary output.

**Production Line:** Each of the successive steps taken on a vessel to produce a product.

**Revenues:** The total amount of money received by a firm from sales of its products and/or services, gains from the sales or exchange of assets, interest and dividends earned on investments, and other increases in the owner's equity except those arising from capital adjustments.

**Standard Industrial Classification (SIC) Code:** A national classification system that organizes business entities into production-based and market-based categories identified by a 4-digit code. There are three levels of SIC codes: primary, secondary, and tertiary. Primary SIC codes are assigned based on the principal product or group of products produced or distributed by an establishment or for services rendered by the facility. Additional SIC codes are assigned for any secondary and tertiary products produced or for services rendered by an establishment.

**Surface Water:** Bodies of water including lakes, ponds, or reservoirs; non-tidal rivers or streams; tidal rivers; estuaries; fjords; oceans; and bays/coves.

**Temporarily Offline:** Cooling water systems that are presently out of commercial service but are expected to return. The category includes systems on inactive reserve and systems deactivated (i.e., systems not normally used but available for service).

**Total Capital Costs:** The total sum of all construction costs; design, engineering, and architectural costs; equipment costs; construction material costs; instrumentation costs; installation labor costs; and allowances for funds used during construction (AFUDC).

**Typical Calendar Year:** A year in which the facility and its cooling water intake structures are operated in a normal, routine, regular, or otherwise standard fashion.

**Water Body:** Any number of potential sources of intake water for cooling water intake structures. Includes municipal water sources, ground well water, oceans, lakes, reservoirs, rivers, and estuaries.

**Waters of the United States (U.S.):** All waters which are currently used, were used in the past, or may be susceptible to use in interstate or foreign commerce, including all waters subject to the ebb and flow of the tide. Waters of the United States include, but are not limited to, all interstate waters and intrastate lakes, rivers, streams (including intermittent streams), mudflats, wetlands, sloughs, prairie potholes, wet meadows, playa lakes, or natural ponds. The definition includes waters which are or could be used by interstate or foreign travelers for recreation or other purposes and those waters from which fish or shellfish are or could be taken and sold in interstate or foreign commerce or which are used or could be used for industrial purposes by industries in interstate commerce. Waste treatment systems, including treatment ponds or lagoons designed to meet the requirements of the CWA are **not** waters of the U.S. *See 40 CFR 122.2 for a more complete definition.*