Appendix I

This project required resident-type designations for QS and IFQ permit holders. Resident-type was based upon addresses on NMFS-RAM demographic files at the end of each year from 1995 through 1998. Each "place," or community, on the NMFS-RAM files was given an Urban/Rural designation and a Local/Nonlocal designation.

Decision Rules Used to Designate Urban and Rural

(1) Urban includes all towns with 1990 U.S. Census populations of 2,500 or more.

(2) Communities also are designated as urban even though their populations are under 2,500 if they lie within an "urbanized area." Urbanized areas are defined as all communities and places connected by highway to urban centers with populations of 6,000 or more <u>and</u> lying <u>within</u> a 20-mile radius of the urban center (for centers from 6,000 to 20,000 population) or a 40-mile radius (for centers of more than 20,000). The radius is measured from the center of the city as denoted by the city location point on maps, rather than from the city limits. An exception to the radius rule is that the Anchorage "urbanized area" does not extend north of Knik Arm nor south of Turnagain Arm.

The cities of 6,000 to 20,000 population are Ketchikan, Kenai, Kodiak, and Sitka. The cities above 20,000 are Anchorage, Fairbanks, and Juneau.

Decision Rules Used to Designate Local and Non-local

Localness to sablefish management areas is determined using the following rules:

(1) If the place is a coastal community, it is local to the sablefish management areas of that coastline.

(2) If a community's border is within 25 miles of the coast, and is connected to the coast by a navigable body of water or road, it is local to the sablefish management areas of that coastline.

(3) If a community is determined to be local to a management area as defined above, and there is another management area adjacent, then localness to the adjacent area is determined by the following rule:

If the community is a coastal community, and it is within 25 straight-line miles of the adjacent area boundary, it is local to the adjacent area.

Appendix III

Sablefish "Catcher Vessels Only" File

Tables in Chapter 16 examine sablefish harvest and participation for sablefish catcher vessels only. A "catcher vessel only" subset of harvest data provides a means to compare average CFEC permit holders per vessel prior to and after implementation of the IFQ program. Building this file required a blend of data from several sources.

1991 - 1994 Catcher Vessels

Since 1990, ADFG fish tickets have not been required for sablefish or other groundfish harvested in the Exclusive Economic Zone (EEZ) if the catch is not processed in waters controlled by the State of Alaska; therefore, some of the catch from catcher/processors in the EEZ is only recorded on NMFS's Weekly Production Reports (WPRs). Weekly Production Reports do not collect information on the CFEC permit holders involved in the landings.

Sablefish catcher/processor activity from 1991 to 1994 was identified on WPRs, and any corresponding activity on these vessels that had been recorded on ADFG fish tickets was identified and eliminated. The remaining harvest on the ADFG fish tickets was therefore attributed only to catcher vessels.

1995 - 1996 Catcher Vessels

Again, catcher/processors were identified and their harvest was separated from the harvest by catcher vessels. Catcher/processor vessels that fished in the 1995 and 1996 seasons were identified using a combination of the NMFS-RAM Registered Buyer's file, the ADFG Processor Intent to Operate file, and ADFG fish tickets.

NMFS-RAM requires businesses to have a Registered Buyer's permit if they purchase IFQ halibut or sablefish. Persons who sell IFQ halibut or sablefish dockside must also obtain a Registered Buyer's permit. Catcher/processors are somewhat identified on the Registered Buyer's file; however, the file lacks precise characterization of some buying operations, especially catcher/sellers and catcher/processors. For example, registered buyers are allowed to indicate several processor types on their permit form, but the corresponding electronic data entry form contained space for only one processor type; therefore, data entry personnel had to make a choice on which processor type is entered.

Consequently, there were numerous operations which were labeled as catcher/sellers (catchers who sell *unprocessed* fish) on the NMFS-RAM system, but which were

classified as catcher/processors on the ADFG system. Since the ADFG system had a more strict methodology of assigning processor type, and since several of the entities classified as "catcher sellers" by NMFS-RAM had harvests exceeding 300,000 pounds, it was deemed prudent to use the ADFG data to identify catcher/processors.

State processor codes from fish ticket data were also used to augment the NMFS-RAM Registered Buyers file. Most processors on the NMFS-RAM Registered Buyers file have been assigned state processor codes; however, some processor codes are missing because individuals sometimes do not list their state processor codes when they fill out their Registered Buyers permit forms. When state processor codes were missing from the NMFS-RAM Registered Buyers file, it was possible to find state processor codes for some of the registered buyers by linking specific fish tickets with NMFS-RAM IFQ harvest data by pre-printed fish ticket number.

The final step in this procedure was to hand review the names and addresses and harvest amounts of each processor within each category. Catcher/processor harvest that had been identified was then removed from the harvest data, leaving a "catcher vessel only" subset.

1997 Catcher Vessels

In 1997, the NMFS-RAM Registered Buyer's file appeared to do a somewhat better job of differentiating between catcher/processors and catcher/sellers. However, there were still problems due to the reporting ambiguities noted above.

Catcher/processors were identified and their harvest was separated from the "catcher vessel only" file by using three criteria:

>   1) All NMFS-RAM harvest records that indicate the catch was taken by catcher/processors.
>
>   2) All NMFS-RAM harvest records that match to ADFG fish tickets where the state processor code indicates a catcher/processor.
>
>   3) All NMFS-RAM harvest records from IFQ vessel category "A" that indicated they were catcher/sellers.

1998 Catcher Vessels

The methods for identifying 1998 catcher/processors and catcher vessels are again somewhat different than previous years. There was no special merge to the ADFG fish ticket file to identify some of the catcher/processors. Instead, the NMFS-RAM Registered Buyers file was merged to the ADFG Processor Intent to Operate file. This

merge was reviewed and some catcher/processors were identified that otherwise would not have been properly identified solely by the NMFS-RAM Registered Buyers File.

In summary, 1998 catcher/processors were identified using the following methods:

1) All NMFS-RAM harvest records that indicate the catch was taken by catcher/processors.

2) All NMFS-RAM harvest records that match to the ADFG Processor Intent to Operate file and where the processor code indicates the vessel was a catcher/processor.

3) All NMFS-RAM harvest records that indicate the catch was taken by catcher/sellers and where the IFQ vessel category was "A" (freezer).