

APPENDIX E
CATCH HISTORY WORK SHEET, ALLOCATION
WORK SHEET AND EXAMPLE ALLOCATIONS

The Catch History Work Sheet of this appendix starts on Page E-1. The Catch History Work Sheet aids the reader in compiling personal and permit catch history for the purpose of evaluating the amount of quota shares which might be issued under different allocation formula options. The results from the Catch History Work Sheets should be entered in the Catch History Value Table which will be found on the second page (Page E-15) of the Allocation History Work Sheet. These are the catch history values which will be used in the Allocation History Work Sheet. The Council will adopt one of the catch history options prior to final action on the individual quota program. The details of the allocation options will be found in Section 15.6.2 of Appendix A. There are 12 combinations of catch history and allocation formula options. The Allocation History Work Sheet is intended to aid the reader in working through these options and begins on Page E-14. The first page of the work sheet contains an Allocation Results Table which provides a place for the reader to record the results from each allocation formula for the purposes of comparison and to calculate the pounds of individual fishing quotas which might be allocated for a given amount of quota shares.

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CATCH HISTORY WORK SHEET

There are two parts to the Catch History Work Sheet. The first part covers catch history of the person as a vessel owner and the second part covers catch history of the permit.

Who Should Fill Out The Catch History Work Sheet?

Only persons owning a longline or fishpot "A" permit, in whole or in part, may qualify for an initial allocation of quota shares (QS) and should fill out this work sheet.

What Catch History Should Be Entered On The Work Sheet?

The landings entered in this work sheet should be landings of West Coast sablefish made during the allocation period (January 1, 1984 through November 13, 1991) with longline or fishpot gear. Additional directions on the catch history to be used are included in the following sections on personal history as a vessel owner and permit history.

Catch History Used in the Personal History Section

For applications based on personal history as a vessel owner, one application should be filled out by each entity with a personal history.

Example A

- Individual A owned a vessel from 1981-1988.
- Individual B owned a vessel from 1984-1988.
- In 1988, Individual B sold the vessel and joined in a partnership with Individual A.
- *Individual A fills out a work sheet using the history from 1984-1988.*
- *Individual B fills out a work sheet using the history from 1984-1988.*
- *The partnership fills out a work sheet using its history from 1988 through November 13, 1991.*
- *While three separate applications may be made under the partnership's "A" permit, portions of the allocation formula, based on equal sharing, would be claimed on only one of the applications.*

Example B

- From 1984-1987, Individuals A and B own equal shares in a vessel.
- Their partnership breaks up in 1987.
- Individual B continues fishing with the same vessel.
- In 1988, Individual A enters into joint ownership of a vessel with Individual C.
- *Individual A fills out a work sheet, claiming 50 percent of the catch history of the vessel owned from 1984-1987.*
- *The partnership of Individuals A and C fills out a work sheet based on the catch history of their partnership.*

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- *Individual B fills out a work sheet using complete personal history from 1988 through November 13, 1991, but claims only 50 percent of the history of the vessel owned from 1984-1987.*

Example C

- From 1984-1987, Individuals A and B own equal shares in a vessel.
- Their partnership breaks up in 1987.
- Individual B continues fishing with the same vessel.
- After the partnership breaks up, Individual A temporarily leaves the fishery.
- In 1993, Individual A joins a partnership owning a vessel.
- *Individual A cannot claim any catch history because he/she did not meet recent participation requirements (he/she did not use a vessel under his/her ownership to catch sablefish between August 1, 1988 and November 13, 1991).*
- *Individual B fills out a work sheet using complete personal history from 1988 through November 13, 1991, but . . . Option 1: claims only 50 percent of the history of the vessel owned in partnership from 1984-1988 . . . Option 2: claims 100 percent of the history of the vessel owned in partnership from 1984-1988. (Option to be decided by the Council prior to final adoption.)*

Catch History Used in the Permit History Section

If a person applies for QS based on permit history, that person may be eligible for QS for each permit owned and may include the calculations for each permit in the work sheet. If the person continuously owned the same vessel throughout the entire allocation period and that vessel qualified for a permit, the permit history will be identical to personal history. If the permit or permit rights have been separated from the qualifying vessel and transferred to another vessel (for example, a vessel is sold and the seller reserves the permit rights in the sales contract), the permit history includes (1) the history of the vessel with the catch history that qualified for the permit, up through the time the permit or permit rights were separated from the vessel and (2) the catch history of any other vessel with which the permit rights have been associated during the time those rights were associated with the vessel. A more exceptional case might be that where a vessel qualifying under construction provisions was lost and replaced in the middle of its provisional "A" endorsement upgrade period. In this situation, the permit catch history would include the catch history of the vessel which initially qualified under the construction provision, plus the catch history of the vessel which replaced the lost vessel. In general, the permit history includes (1) the catch history of the first vessel whose catch, construction, conversion, purchase or other history did or would have initially qualified the vessel for a permit and (2) the catch history of any other vessel with which the permit rights have been associated during the time those rights were associated with the vessel.

Note: Permit history may only be claimed once. Co-owners of a permit would have to decide among themselves who would file an application for the permit QS based on permit history.

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Vessel X owned by Individual A qualified for an "A" permit. Vessel X was purchased in 1990 by Individual B and continued to fish in the sablefish fishery. An "A" permit was issued to Individual B based on the qualifying history of Vessel X.

Individual B may claim QS based on the history of the permit issued for Vessel X. The permit history is identical to the Vessel X catch history.

Example B

Vessel X, owned by Individual A, met the minimum landing requirements for an "A" permit. Individual A sold Vessel X to Individual B in 1989, but reserved in the sale contract the rights to the "A" permit from Vessel X. Individual A then acquired Vessel Y which did not qualify for an "A" permit. Individual A has fished Vessel Y through to the present.

The permit history used by the owner of Vessel Y to claim QS is (1) the history of Vessel X up through 1989, plus (2) the history of Vessel Y from the date it was purchased through November 13, 1991. Individual B would not be entitled to QS based on the catch history of Vessel X because Vessel X's catch history was considered transferred with the permit.

Example C

In 1989, Individual A purchased Vessel Y which did not qualify for a permit. Individual A acquired permit rights from Vessel Z in 1990.

The catch history used by the owner of Vessel Y would be the catch history of the permit from Vessel Z: the catch history of Vessel Z; i.e., up through 1990 and the catch history of Vessel Y from the date the permit rights were purchased through the end of the allocation period (November 13, 1991) would be used.

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Part I: Personal History

I-1. Did you land West Coast sablefish using longline or fishpot gear between August 1, 1988 and November 13, 1991 using a vessel that was owned by you, in whole or in part, at the time of the landing? (There is an option which would allow this requirement to be met with any groundfish, rather than requiring the landing be sablefish. See Section 15.6.1 of Appendix A.)

- Yes. You will likely qualify for some allocation based on your personal history as a vessel owner. Continue with I-2. and complete the remainder of the personal history section of this work sheet.
- No. You would not qualify for any allocation based on personal history as a vessel owner. Stop here and go to Part II.

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I-2. If you answered yes in Part I-1, complete a separate copy of this page for each vessel you owned and for which you would claim some QS based on your catch of sablefish with longline and fishpot gear during the allocation period.

Enter the vessel identification number and dates you owned the vessel.

Enter your share in the ownership of the vessel in Column E. Two lines are provided for each year to facilitate mid-year changes in ownership shares. If there was more than one change in ownership shares within a year, you may wish to start a second copy of this sheet with the date of the second change in ownership for the year.

Enter the amount of sablefish caught for each year (Columns A), calculate the round pound equivalent for dressed catch (Column A x 1.6), and total pounds of catch (Columns B + C).

Multiply the total pounds in Column D by your ownership share from Column E and determine your personal catch history for the vessel. Place the result in Column F.

Vessel Identification Number: _____

Dates Owned: _____

to _____

Year	(A) Dressed Pounds	(B) Round Pound Equivalent	(C) Round Pounds	(D) Total Pounds (B + C)	(E) Ownership Share	(F) Total (D x E)
1984	_____ x 1.6 = _____	_____ + _____	_____ = _____	_____ x _____	_____ = _____	
	_____ x 1.6 = _____	_____ + _____	_____ = _____	_____ x _____	_____ = _____	
1985	_____ x 1.6 = _____	_____ + _____	_____ = _____	_____ x _____	_____ = _____	
	_____ x 1.6 = _____	_____ + _____	_____ = _____	_____ x _____	_____ = _____	
1986	_____ x 1.6 = _____	_____ + _____	_____ = _____	_____ x _____	_____ = _____	
	_____ x 1.6 = _____	_____ + _____	_____ = _____	_____ x _____	_____ = _____	
1987	_____ x 1.6 = _____	_____ + _____	_____ = _____	_____ x _____	_____ = _____	
	_____ x 1.6 = _____	_____ + _____	_____ = _____	_____ x _____	_____ = _____	
1988	_____ x 1.6 = _____	_____ + _____	_____ = _____	_____ x _____	_____ = _____	
	_____ x 1.6 = _____	_____ + _____	_____ = _____	_____ x _____	_____ = _____	
1989	_____ x 1.6 = _____	_____ + _____	_____ = _____	_____ x _____	_____ = _____	
	_____ x 1.6 = _____	_____ + _____	_____ = _____	_____ x _____	_____ = _____	
1990	_____ x 1.6 = _____	_____ + _____	_____ = _____	_____ x _____	_____ = _____	
	_____ x 1.6 = _____	_____ + _____	_____ = _____	_____ x _____	_____ = _____	
1991	_____ x 1.6 = _____	_____ + _____	_____ = _____	_____ x _____	_____ = _____	
	_____ x 1.6 = _____	_____ + _____	_____ = _____	_____ x _____	_____ = _____	

(through 11/13/91)

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I-3. Enter the information from Column F of I-2 for each copy of I-1 you filled out. Total the catch for each year (Column Z). (If necessary add more columns to the back side of this sheet.)

	(A) Vessel 1 (Vessel Currently Owned)	(B) Vessel 2	(C) Vessel 3	(D) Vessel 4	(E) Vessel 5	(Z) Total
Vessel ID:	_____	_____	_____	_____	_____	_____
1984	_____	_____	_____	_____	_____	_____
1985	_____	_____	_____	_____	_____	_____
1986	_____	_____	_____	_____	_____	_____
1987	_____	_____	_____	_____	_____	_____
1988	_____	_____	_____	_____	_____	_____
1989	_____	_____	_____	_____	_____	_____
1990	_____	_____	_____	_____	_____	_____
1991 (through 11/13/91)	_____	_____	_____	_____	_____	_____

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I-4. Enter the total pounds from Column Z of I-3 into Column A. Total Column A. Multiply Column A by the adjustment factor for the year to determine adjusted personal catch history as a vessel owner. Also, enter the Column A total as Value E on the Catch History Value Table on Page E-15.

Year	(A) Total Pounds From Z	(B) Adjustment Factor	(C) Adjusted Personal Catch History
1984		x 0.71 =	
1985		x 0.50 =	
1986		x 0.48 =	
1987		x 0.45 =	
1988		x 0.54 =	
1989		x 0.68 =	
1990		x 0.86 =	
1991		x 1.00 =	
(through 11/13/91)			
Total			

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I-5. Personal catch history to be used in evaluating your share based on best 5 of 8 years.

Enter the 5 highest values from Column C of I-4. Total the result and divide by 5.

Year	Adjusted Catch History
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
Total	_____

+ 5 = _____

This result will be entered as Value A in the first part of the Allocation History Work Sheet on Page E-15.

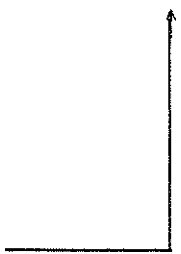
(Your total catch history would be divided by 5 even if you fished sablefish fewer than 5 years during the allocation period.)

I-6. Personal catch history to be used in evaluating your share based on equal allocation.

Divide the total from Column A of I-4 by the total number of years in which at least some fixed gear sablefish landing was made.

Total from Column A ==>> _____ ÷ _____ = _____

Enter number of years in which some sablefish were landed here.



This result will be entered as Value B in the first part of the Allocation History Work Sheet on Page E-15.

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Part II: Permit History

If you own more than one permit, fill out a separate copy of Part II for each permit you own.

II-1. Do you meet the recent participation requirement for permit history? Does your permit history include at least 1 longline or fishpot landing of West Coast sablefish between August 1, 1988 and November 13, 1993? If your permit rights were not transferred from one vessel to another prior to permit issuance, your permit history for the time period considered here is identical to the history of the vessel for which your permit was initially issued. For other situations, see Page E-2 for additional explanation of permit catch history.

(There is an option which would allow this requirement to be met with any groundfish, rather than requiring the landing be sablefish. See Section 15.6.1 of Appendix A.)

- Yes. Your permit would likely qualify you for some allocation based on its history. Continue with II-2.
- No. You do not qualify for any allocation based on permit history. Do not complete the rest of Part II. If you also answered no in Part I., you would not qualify for an allocation of QS and should not fill out the Allocation History Work Sheet. If you answered yes at the start of Part I., you may qualify for QS if some part of the allocation is based on personal history. You should proceed with filling out the Allocation History Work Sheet.

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II-2. Enter the identification number for the vessel which initially established that an "A" permit might be issued, the permit identification number, and date the permit rights were transferred from the vessel (if there has been a transfer)—see Page E-2. For this vessel, enter the sablefish caught each year from 1984 through the date the permit rights were transferred from the vessel (Columns A and C). Calculate the round pound equivalent for dressed catch (Column A x 1.6) and total pounds of catch (Columns B + C).

Vessel Identification Number: _____

Permit Identification Number: _____

Date Permit Rights Were Transferred From the Vessel:
(if there was a transfer) _____

Year	(A) Dressed Pounds		(B) Round Pound Equivalent	+	(C) Round Pounds	=	(D) Total Pounds (B + C)
1984	_____	x 1.6 =	_____	+	_____	=	_____
1985	_____	x 1.6 =	_____	+	_____	=	_____
1986	_____	x 1.6 =	_____	+	_____	=	_____
1987	_____	x 1.6 =	_____	+	_____	=	_____
1988	_____	x 1.6 =	_____	+	_____	=	_____
1989	_____	x 1.6 =	_____	+	_____	=	_____
1990	_____	x 1.6 =	_____	+	_____	=	_____
1991	_____	x 1.6 =	_____	+	_____	=	_____

(through 11/13/91)

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II-3. Prior to November 13, 1991, were the rights to the permit you own associated with a vessel other than the vessel with the catch, construction, conversion, purchase or other history that established the "A" permit might be issued (see page E-2).

_____ Yes. Complete this part.

_____ No. Go on to II-4.

Fill out a separate copy of this page for each vessel with which the rights to the permit you currently own have been associated (except the vessel whose history you included in II-2.).

Enter the identification number for the vessel with which your permit rights have been associated and the dates with which it was associated with the vessel.

Enter the amount of sablefish caught for those dates up through November 13, 1991 (Columns A and C). Calculate the round pound equivalent for dressed catch (Column A x 1.6) and total pounds of catch (Columns B + C).

Vessel Identification Number: _____

Date Permit Rights Were Associated With the Vessel: _____

Year	(A) Dressed Pounds	x 1.6 =	(B) Round Pound Equivalent	+	(C) Round Pounds	=	(D) Total Pounds (B + C)
1984	_____	=	_____	+	_____	=	_____
1985	_____	=	_____	+	_____	=	_____
1986	_____	=	_____	+	_____	=	_____
1987	_____	=	_____	+	_____	=	_____
1988	_____	=	_____	+	_____	=	_____
1989	_____	=	_____	+	_____	=	_____
1990	_____	=	_____	+	_____	=	_____
1991	_____	=	_____	+	_____	=	_____

(through 11/13/91)

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II-4. Enter the information from Column D of II-2. and from Column D of each copy of II-3. you filled out. Total the catch for each year (Column Z). (If necessary add more columns to the back side of this sheet.)

	(A) Vessel 1 (From II-2.)	(B) Vessel 2 (From II-3.)	(C) Vessel 3 (From II-3.)	(D) Vessel 4 (From II-3.)	(E) Vessel 5 (From II-3.)	(Z) Total
Vessel ID:	_____	_____	_____	_____	_____	_____
1984	_____	_____	_____	_____	_____	_____
1985	_____	_____	_____	_____	_____	_____
1986	_____	_____	_____	_____	_____	_____
1987	_____	_____	_____	_____	_____	_____
1988	_____	_____	_____	_____	_____	_____
1989	_____	_____	_____	_____	_____	_____
1990	_____	_____	_____	_____	_____	_____
1991	_____	_____	_____	_____	_____	_____
(through 11/13/91)						

II-5. Enter the pounds from Column Z of II-4. into Column A. Total Column A. Multiply Column A by the adjustment factor for the year to determine the adjusted catch history for your current vessel. Also, enter the Column A total as Value F in the Catch History Value Table on Page E-15. (If you own more than one permit, enter a separate Value F in the Catch History Value Table for each copy of Part II. you fill out.)

Year	(A) Total Pounds From Z	(B) Adjustment Factor	(C) Adjusted Personal Catch History
1984	_____	x 0.71 =	_____
1985	_____	x 0.50 =	_____
1986	_____	x 0.48 =	_____
1987	_____	x 0.45 =	_____
1988	_____	x 0.54 =	_____
1989	_____	x 0.68 =	_____
1990	_____	x 0.86 =	_____
1991	_____	x 1.00 =	_____
(through 11/13/91)			
Total	_____		

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II-6. Permit catch history to be used in evaluating your share based on best 5 of 8 years.

Enter the 5 highest values from Column C of II-5. Total the result and divide by 5.

Year	Adjusted Catch History	
_____	_____	
_____	_____	
_____	_____	
_____	_____	
_____	_____	
Total	_____	+ 5 = _____

This result will be entered as Value C in the first part of the Allocation History Work Sheet on Page E-15. (If you own more than one permit, total this result from each copy of Part II. you filled out and enter as Value C in the Catch History Value Table.)

(Your total catch history would be divided by 5 even if you fished sablefish fewer than 5 years during the allocation period.)

II-7. Permit catch history to be used in evaluating your share based on equal allocation.

Divide the total from Column A of II-5. by the total number of years in which at least some fixed gear landing was made.

Total from Column A ==>> _____ ÷ _____ = _____

This result will be entered as Value D in the first part of the Allocation Work Sheet on Page E-15. (If you own more than one permit, enter a separate Value D in Allocation History Work Sheet for each copy of Part II. you fill out.)

Enter number of years in which some sablefish were landed here.

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ALLOCATION HISTORY WORK SHEET

The following table contains a key to the allocation formulas contained in this work sheet. Locate the allocation formula according to the key provided for each cell in the table, calculate your QS and record the resulting QS in this table for comparison. For an example of how many pounds of individual fishing quotas (IFQ) you might receive for your QS, multiply your percentage share by 55,100 to estimate the amount of IFQ you might receive in a year in which the allocation to the fixed gear limited entry fishery is 2,500 mt. Note that the adjustment factors used in the allocation work sheets are based on data which may be incomplete, particularly with respect to ownership histories. The adjustment factors used here are the best estimates available at this time, however, they are likely to be somewhat different from those used when the program is implemented.

Allocation Results Table

Catch History Options (Section 15.6.2.1)				
Allocation Options (Section 15.6.2.6)	Permit Catch History	Personal Catch History as a Vessel Owner	50 Percent Permit Catch History 50 Percent Personal Catch History	Choice of Personal or Permit Catch History (Cut-off Date 11/13/91)
Option A (Best 5 of 8 Years)	1. (Page E-16) QS% = <input style="width: 50px; height: 15px;" type="text"/> x 55,100 IFQ = <input style="width: 50px; height: 15px;" type="text"/>	2. (Page E-16) QS% = <input style="width: 50px; height: 15px;" type="text"/> x 55,100 IFQ = <input style="width: 50px; height: 15px;" type="text"/>	3. (Page E-17) QS% = <input style="width: 50px; height: 15px;" type="text"/> x 55,100 IFQ = <input style="width: 50px; height: 15px;" type="text"/>	4. (Page E-17) QS% = <input style="width: 50px; height: 15px;" type="text"/> x 55,100 IFQ = <input style="width: 50px; height: 15px;" type="text"/>
Option B-1 (Modified Equal Allocation)	5. (Page E-18) QS% = <input style="width: 50px; height: 15px;" type="text"/> x 55,100 IFQ = <input style="width: 50px; height: 15px;" type="text"/>	6. (Pages E-19, E-20) QS% = <input style="width: 50px; height: 15px;" type="text"/> x 55,100 IFQ = <input style="width: 50px; height: 15px;" type="text"/>	7. (Page E-21) QS% = <input style="width: 50px; height: 15px;" type="text"/> x 55,100 IFQ = <input style="width: 50px; height: 15px;" type="text"/>	8. (Page E-21) QS% = <input style="width: 50px; height: 15px;" type="text"/> x 55,100 IFQ = <input style="width: 50px; height: 15px;" type="text"/>
Option B-2 (Straight Equal Allocation)	9. (Page E-22) QS% = <input style="width: 50px; height: 15px;" type="text"/> x 55,100 IFQ = <input style="width: 50px; height: 15px;" type="text"/>	10. (Pages E-23, E-24) QS% = <input style="width: 50px; height: 15px;" type="text"/> x 55,100 IFQ = <input style="width: 50px; height: 15px;" type="text"/>	11. (Page E-25) QS% = <input style="width: 50px; height: 15px;" type="text"/> x 55,100 IFQ = <input style="width: 50px; height: 15px;" type="text"/>	12. (Page E-25) QS% = <input style="width: 50px; height: 15px;" type="text"/> x 55,100 IFQ = <input style="width: 50px; height: 15px;" type="text"/>

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Catch History Value Table

Enter catch history values from the Catch History Work Sheet. These are the values which will be used in the allocation work sheet.

Catch History Values		
	Catch History for Portion of Allocation Based on Best 5 of 8 Years	Catch History for Equal Allocation Portion of Allocation Formulas
<p>Personal History as a Vessel Owner</p>	<p>Value A (from Catch History Work Sheet I-5 on Page E-8)</p> <p style="text-align: center;">_____</p>	<p>Value B (from Catch History Work Sheet I-6 on Page E-8)</p> <p style="text-align: center;">_____</p>
<p>History of Permit Currently Owned</p>	<p>Value C (from Catch History Work Sheet II-6 on Page E-13)</p> <p style="text-align: center;">_____</p>	<p>Value D (from Catch History Work Sheet II-7 on Page E-13)</p> <p style="text-align: center;">_____</p> <p style="font-size: small;">If you own more than one permit, use the extra space in this block to fill in a value for D for each copy of Part II. you filled out.</p>
<p>Enter Your Total Personal Catch History From Column A of I-4 on Page E-7</p>	<p>Value E</p> <p style="text-align: center;">_____</p>	
<p>Enter Your Total Permit Catch History From Column A of II-5 on Page E-12</p> <p style="font-size: small;">If you own more than one permit, use the extra space in this block to fill in a value for D for each copy of Part II. you filled out.</p>	<p>Value F</p> <p style="text-align: center;">_____</p>	

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Allocation Formulas

1. Allocation **Option A** (Best 5 of 8 Years), based on **permit** catch history.

Enter Value C from the Catch History Value Table on Page E-15.	
Multiply by Adjustment Factor==>>	_____ x 0.0000130
Result is Your QS Expressed as a Percent of the Total QS (For example, a QS of 0.01 equals 1/10,000 of the total QS issued. A QS of 1 equals 1/100 of the total QS issued.)	_____ Enter this result in Cell 1 of the Allocation Results Table on Page E-14.

2. Allocation **Option A** (Best 5 of 8 years), based on **personal** catch history as a vessel owner.

Enter Value A from the Catch History Value Table on Page E-15.	
Multiply by Adjustment Factor==>>	_____ x 0.0000158
Result is Your QS Expressed as a Percent of the Total QS (For example, a QS of 0.01 equals 1/10,000 of the total QS issued. A QS of 1 equals 1/100 of the total QS issued.)	_____ Enter this result in Cell 2 of the Allocation Results Table on Page E-14.

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3. Allocation Option A (Best 5 of 8 years), based 50 percent on permit catch history and 50 percent on personal catch history as a vessel owner.

Multiply your permit history QS from Number 1 on Page E-16 by 0.5.	_____ x 0.5 = _____
Multiply your personal history QS from Number 2 on Page E-16 by 0.5.	_____ x 0.5 = _____
Total the results from the last two calculations in this box and enter final result (QS) in Cell 3 of the Allocation Results Table on Page E-14.	_____
Final result is your QS expressed as a percent of the total QS. For example, a QS of 0.01 equals 1/10,000 of the total QS issued. A QS of 1 equals 1/100 of the total QS issued.	

4. Allocation Option A (Best 5 of 8 years), based on your choice of permit catch history and personal catch history as a vessel owner. (The choice of catch history option would only be available to you only if you have not bought or sold a permit or permit rights since November 13, 1991. For everyone who has engaged in such a transaction the catch history to be applied will be . . . (Option 4a, Personal Catch History . . . Option 4b, Permit Catch History, to be determined by the Council prior to final adoption of the program. See section 15.6.2.1)

Multiply your permit history QS from Number 1 on Page E-16 by the adjustment factor for the choice option.	_____ x 0.853 = _____
Multiply your personal history QS from Number 2 on Page E-16 by the adjustment factor for the choice option.	_____ x 0.853 = _____
Choose the largest of the two shares and enter in Cell 4 of the Allocation Results Table on Page E-14. (The result is your QS expressed as a percent of the total QS. For example, a QS of 0.01 equals 1/10,000 of the total QS issued. A QS of 1 equals 1/100 of the total QS issued.)	_____ Best of the shares based on personal history and the shares based on permit history.

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5. Allocation Option B-1 (Modified Equal Allocation), based on permit history.

Under this formula, up to 25 percent of the QS allocated will be based on a "modified equal allocation" and at least 75 percent will be based on best 5 of 8 years.

Your share of the QS "equally" allocated and based on the permit catch history (multiple permit owners should go through the calculation of the QS "equally" allocated once for each permit they own and total the results):

Enter Value D from the Catch History Value Table on Page E-15.	_____
Multiply by Adjustment Factor==>>	x 0.0000181
Enter result here==>>	_____
Re-enter the result, or enter 0.027 if the result is less than 0.027, or enter 0.175 if the result is greater than 0.175.	Equal allocation share based on permit history. (The value you entered here should not be less than 0.027 or greater than 0.175.)

Your share of the 75 percent allocated based on best 5 of 8 years and permit catch history:

Enter Value C from the Catch History Value Table on Page E-15.	_____
Multiply by Adjustment Factor==>>	x 0.0000103
Enter Result Here==>>	_____
	Share based on your best 5 of 8 years and permit history.

Total for your QS based on permit history:

Total your shares from the two boxes above to get your total QS, expressed as a percent of the total QS issued. For example, a QS of 0.01 equals 1/10,000 of the total QS issued. A result of 1 equals 1/100 of the total QS issued.	_____
	Enter this result in Cell 5 of the Allocation Results Table on Page E-14.

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6. Allocation Option B-1 (Modified Equal Allocation), based on personal catch history as a vessel owner.

Under this formula, up to 25 percent of the QS allocated will be based on a "modified equal allocation" and at least 75 percent will be based on "best 5 of 8 years."

Your share of the QS "equally" allocated based on personal catch history:

Enter Value B from the Catch History Value Table on Page E-15.	_____
Multiply by Adjustment Factor==>>	x 0.0000181
Enter result here==>>	_____
Re-enter the result; or enter 0.027 if the result is less than 0.027; or enter 0.192 if the result is greater than 0.192. Only one "equal allocation" will be made per permit. If some other person is claiming an equal share, based on their part ownership of the same permit you own, you may not also claim an equal share. In that case, you would enter 0 here and proceed with the remainder of the allocation work sheet.	The value you enter here should <u>not</u> be less than 0.027 or greater than 0.192, unless someone else who shares ownership of your permit is claiming an equal share based on their part in the ownership of your permit, in which case you must enter 0.
Enter the number of longline or fishpot "A" permits owned for which no one else is claiming an equal share <u>and</u> multiply by the result you re-entered or entered in the step immediately above. If you only own one permit and someone else is claiming an equal share allocation, based on their part ownership of the permit, you would enter a 0 here. If you own more than one permit for which no one else is also claiming an equal share, based on their part ownership of the permit, then enter that number of permits.	x _____ = _____ Equal allocation share based on personal history.

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6. (Continued)

Your share of the 75 percent allocated based on best 5 of 8 years and **personal** catch history:

Enter Value A from the Catch History Value Table on Page E-15.	
Multiply by Adjustment Factor==>>	x 0.0000125
Enter result here==>>	<div style="border-top: 1px solid black; height: 15px; width: 100%;"></div>
Share based on your best 5 of 8 years and personal history.	

Total for your QS based on **personal** history:

<p>Total your shares from the two boxes above and the last box on the previous page to get your total QS, expressed as a percent of the total QS issued. For example, a QS of 0.01 equals 1/10,000 of the total QS issued. A result of 1 equals 1/100 of the total QS issued.</p>	<div style="border-top: 1px solid black; height: 15px; width: 100%;"></div> <p>Enter this result in Cell 6 of the Allocation Results Table on Page E-14.</p>
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7. Allocation **Option B-1** (Modified Equal Allocation), based **50 percent** on **permit catch history** and **50 percent** on **personal catch history**.

Multiply your permit history QS from Number 5 on Page E-18 by 0.5.	_____ x 0.5 = _____
Multiply your personal history QS from Number 6 on Page E-20 by 0.5.	_____ x 0.5 = _____
Total the results from the last two calculations in this box and enter final results (QS) in Cell 7 of the Allocation Results Table on Page E-14.	
Final result is your QS expressed as a percent of the total QS. For example, a QS of 0.01 equals 1/10,000 of the total QS issued. A QS of 1 equals 1/100 of the total QS issued.	

8. Allocation **Option B-1** (Modified Equal Allocation), based on your **choice** of **permit catch history** and **personal catch history** as a vessel owner. (The choice of catch history option would only be available to you only if you have not bought or sold a permit or permit rights since November 13, 1991. For everyone who has engaged in such a transaction, the catch history to be applied will be . . . (Option 4a, Personal Catch History . . . Option 4b, Permit Catch History, to be determined by the Council prior to final adoption of the program. See Section 15.6.2.1.)

Multiply your permit history QS from Number 5 on Page E-18 by the adjustment factor for the choice option.	_____ x 0.868 = _____
Multiply your personal history QS from Number 6 on Page E-20 by the adjustment factor for the choice option.	_____ x 0.868 = _____
Choose the largest of the two shares and enter in Cell 8 of the Allocation Results Table on Page E-14. (The result is your QS expressed as a percent of the total QS. For example, a QS of 0.01 equals 1/10,000 of the total QS issued. A QS of 1 equals 1/100 of the total QS issued.)	
Best of the shares based on personal history and the shares based on permit history .	

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9. Allocation Option B-2 (Straight Equal Allocation), based on permit history.

Under this formula, 25 percent of the QS allocated will be based on a "straight equal allocation" and 75 percent will be based on best 5 of 8 years.

Your share of the QS "equally" allocated and based on permit history (multiple permit owners should go through the calculation of the QS "equally" allocated once for each permit they own and total the results):

<p>Enter Value F from the Catch History Value Table on Page E-15.</p> <p>If this value is less than 3,000 pounds you would not qualify for any allocation of QS based on the Option B-2 formula-- STOP HERE AND GO ON TO 10.</p> <p>If this value is 3,000 pounds or greater you would qualify for an allocation.</p>	<p>_____</p>
<p>If you qualify for an allocation, your share, based on the straight equal allocation portion of the formula, would be derived by taking 25 percent of the total QS to be allocated and dividing that amount by the number of permits owned by persons receiving QS. Only one "equal allocation" will be made per permit. The current estimate for the equal value share is 0.195.</p>	<p>If the value above is 3,000 or greater, enter your estimated equal share value (0.195).</p> <p>_____</p>

Your share of the 75 percent allocated based on best 5 of 8 years and permit catch history:

<p>Enter Value C from the Catch History Value Table on Page E-15.</p> <p>Multiply by Adjustment Factor==>></p>	<p>_____</p> <p>x 0.0000098</p>
<p>Enter Result Here==>></p>	<p>_____</p> <p>Share based on your best 5 of 8 years and permit history.</p>

Total for your QS based on permit history:

<p>Total your shares from the two boxes above to get your total QS, expressed as a percent of the total QS issued. For example, a QS of 0.01 equals 1/10,000 of the total QS issued. A result of 1 equals 1/100 of the total QS issued.</p>	<p>_____</p> <p>Enter this result in Cell 9 of the Allocation Results Table on Page E-14.</p>
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10. Allocation **Option B-2** (Straight Equal Allocation), based on **personal** catch history as a vessel owner.

Under this formula, 25 percent of the QS allocated will be based on a "straight equal allocation" and 75 percent will be based on best 5 of 8 years.

Your share of the QS equally allocated based on **personal** history:

Enter Value E from the Catch History Value Table on Page E-15.

If this value is less than 3,000 pounds, you would **not** qualify for **any** allocation of QS based on the Option B-2 formula -- **STOP HERE AND GO ON TO 11.**

If this value is 3,000 pounds or greater, you would qualify for an allocation.

If you qualify for an allocation, your share, based on the straight equal allocation portion of the formula, would be derived by taking 25 percent of the total QS to be allocated and dividing that amount by the number of permits owned by persons receiving QS.

However, only one "equal allocation" will be made per permit. If some other person is claiming an equal share, based on their part ownership of the same permit, you own, you may not also claim an equal share.

Enter the number of longline or fishpot "A" permits owned for which no one else is claiming an equal share **and** multiply by the estimated equal share value, which is currently 0.216.

x 0.216

If you only own one permit and someone else is claiming an equal share allocation based on their part ownership of the permit, you would enter a 0 here for number of permits. If you own more than one permit for which no one else is also claiming an equal share, based on their part ownership of the permit, then enter that number of permits.

= _____

Equal allocation share based on **personal** history.

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10. (Continued)

Your share of the 75 percent allocated based on best 5 of 8 years and **personal** history:

Enter Value A from the Catch History Value Table on Page E-15.	
Multiply by Adjustment Factor==>>	x 0.0000119
Enter result here==>>	Share based on your best 5 of 8 years and personal history.

Total for your QS based on **personal** history:

Total your shares from the two boxes above to get your QS (if any), expressed as a percent of the total QS issued. For example, a QS of 0.01 equals 1/10,000 of the total QS issued. A result of 1 equals 1/100 of the total QS issued.	Enter this result in Cell 10 of the Allocation Results Table on Page E-14.
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11. Allocation **Option B-2** (Straight Equal Allocation), based **50 percent** on **permit** catch history and **50 percent** on **personal** catch history as a vessel owner.

Multiply your permit history QS from Number 9 on Page E-22 by 0.5.	_____ x 0.5 = _____
Multiply your personal history QS from Number 10 on Page E-24 by 0.5.	_____ x 0.5 = _____
Total the results from the last two calculations in this box and enter final results (QS) in Cell 11 of the Allocation Results Table on Page E-14.	
Final result is your QS expressed as a percent of the total QS. For example, a QS of 0.01 equals 1/10,000 of the total QS issued. A QS of 1 equals 1/100 of the total QS issued.	

12. Allocation **Option B-2** (Straight Equal Allocation), based on your **choice** of **permit** catch history and **personal** catch history as a vessel owner. **(The choice of catch history option would only be available to you only if you have not bought or sold a permit or permit rights since November 13, 1991. For everyone who has engaged in such a transaction, the catch history to be applied will be . . . (Option 4a, Personal Catch History . . . Option 4b, Permit Catch History, to be determined by the Council prior to final adoption of the program. See Section 15.6.2.1.)**

Multiply your permit history QS from Number 9 on Page E-22 by the adjustment factor for the choice option.	_____ x 0.867 = _____
Multiply your personal history QS from Number 10 on Page E-24 by the adjustment factor for the choice option.	_____ x 0.867 = _____
<p>Choose the largest of the two shares and enter in Cell 12 of the Allocation Results Table on Page E-14. (The result is your QS expressed as a percent of the total QS. For example, a QS of 0.01 equals 1/10,000 of the total QS issued. A QS of 1 equals 1/100 of the total QS issued.)</p>	
<p>Best of the shares based on personal history and the shares based on permit history.</p>	

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EXAMPLES

Example Catch Histories

For persons who have owned the same vessel since 1984 and received an "A" permit, the question of whether to allocate on the basis of permit history or personal history of the vessel owner will not affect the number of pounds of catch they use under the allocation formula. Where transfers of vessels or permits have occurred, there may be dramatic differences in the catch histories which may be claimed depending on whether an allocation is based on permit or personal history. Table E-1 shows five example histories of vessel and permit ownership and their effect on the amount of catch which may be used to claim QS. The first row of the table designates the person from whose perspective the catch history is being examined; the second row designates the vessels involved in the transactions; the third row shows whether or not the vessels qualified for "A" permits; and the fourth row provides a description of the transactions which have occurred. The middle rows of the table show catch history of the vessels by year. The last two rows show, based on permit and personal catch history, the annually weighted 5-year average catch history which might be used in an allocation formula based on the best 5 of 8 years (parenthetical values show the unweighted catch histories). In Figures E-1 through E-4, estimated allocations and average catch history for years fished for four of the persons in Table E-1 are shown. In these figures, the catch history options are grouped by allocation option. Comparison of the averages in the last two rows of Table E-1 with the QS allocation may aid the reader in considering other performance histories and the expected outcomes in allocation results.

From the table and figures it can be seen that

- those with consistent participation and medium to large annual catches will receive considerably less IFQ than they have historically harvested (Figure E-1, personal average catch; Figure E-2; Figure E-3; and Figure E-4, permit average catch).
- those with low catch histories may receive more IFQ than their historical averages if allocation is based on the equal sharing option. Option B-1 keeps the IFQ allocated more in line with actual catch history than Option B-2 (Figure E-4, personal average catch).
- as compared to Option A, the proportional effect of the equal sharing options (Options B-1 and B-2) on persons with catch histories smaller than that of than 70 to 85 percent of the potential applicants is relatively small (Figure E-1, personal average catch; Figure E-2, permit average catch); the effects may be substantial for those with the largest catch histories, top 10 percent (Figure E-3).
- for those who would receive about 50,000 pounds or less IFQ, the equal sharing options (Options B-1 and B-2) are not much different or better than the straight historic catch option (Option A). Roughly 75 to 80 percent of the fleet is expected to fall in this category (Figures E-1; Figure E-2; and Figure E-4).
- when permit and personal histories are identical, the option of choosing histories results in less IFQ than personal history and the 50/50 option, but more than permit history. This

TABLE E-1. Examples of catch histories which may be applied to QS initial allocation formulas given different histories of vessel and permit ownership (catch histories expressed in thousands of pounds, shaded cells show personal history).

Person	Person 1			Person 2			Person 3		Person 4		Person 5		
	L	M	N	O	P-1	P-2	P-3	Q	R	None	S	T	U
Vessel													
Vessel Qualifies for Permit	Y	Y	Y	N	Y	Y	Y	Y	N	-	Y	N	Y
Situation	Vessel L is sold in 1989 and Vessel M is purchased in 1990.			Vessel N is sold in 1988 and Vessel O is purchased in 1989. Vessel O does not receive a permit. A permit is purchased from Vessel P in 1992. Three alternative example catch histories for the permit from Vessel P are presented (P-1, P-2 and P-3).				Vessel Q is sold in 1989 but the permit rights are reserved. Vessel R is purchased in 1990.		Was not a participant in the groundfish fishery prior to 1992. In 1992, buys Vessel S along with the groundfish permit rights.		Enters the sablefish fishery in 1990 and buys a permit from Vessel Y in 1994 in order to remain active in the fishery.	
YEAR	VESSEL CATCH HISTORIES												
1984	80	10	120	-	10	-	40	240	40	-	-	-	-
1985	80	10	120	-	10	-	40	240	40	-	-	-	40
1986	80	10	-	-	10	160	40	240	40	-	-	-	40
1987	80	10	-	-	10	160	40	240	40	-	40	-	40
1988	80	10	120	-	10	160	-	240	40	-	40	-	40
1989	80	10	-	120	10	160	-	240	40	-	40	-	20
1990	-	80	-	-	10	160	-	20	240	-	40	5	10
1991 (thru Nov. 13)	-	80	-	-	10	-	-	20	240	-	40	5	-
Average Catch History for 5 Best Years ^{a/} (Unweighted)	34	(38)	61	(80)	57	57	57	182	182	28	(40)	1.9	(2)
Permit					(80)	(160)	(0)	(240)	(240)				(36)
Personal					(96)	(96)	(96)	(96)	(240)	0	(0)		(2)

a/ Using annual weightings specified in Section 15.6.2.4.

b/ Permit had no history of recent participation; therefore, no catch history could be counted toward the quota.

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Figure E-1. IFQ Allocation to Person 1 from Table E-1

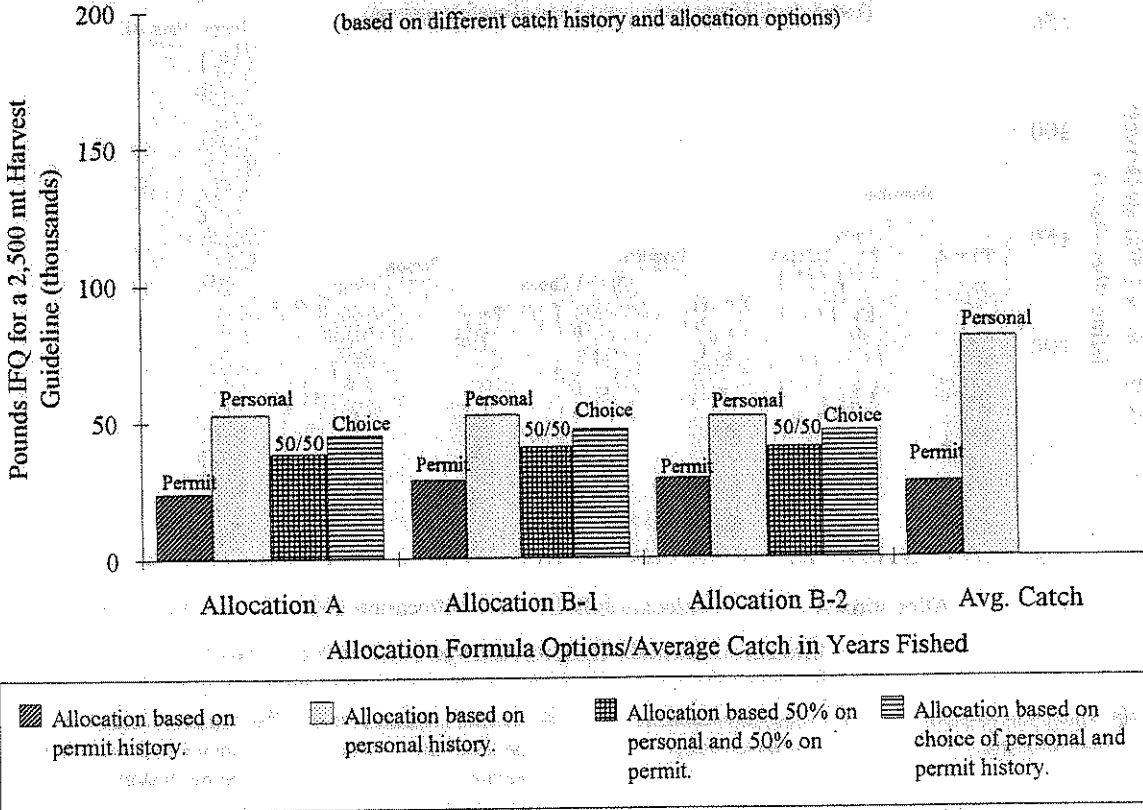
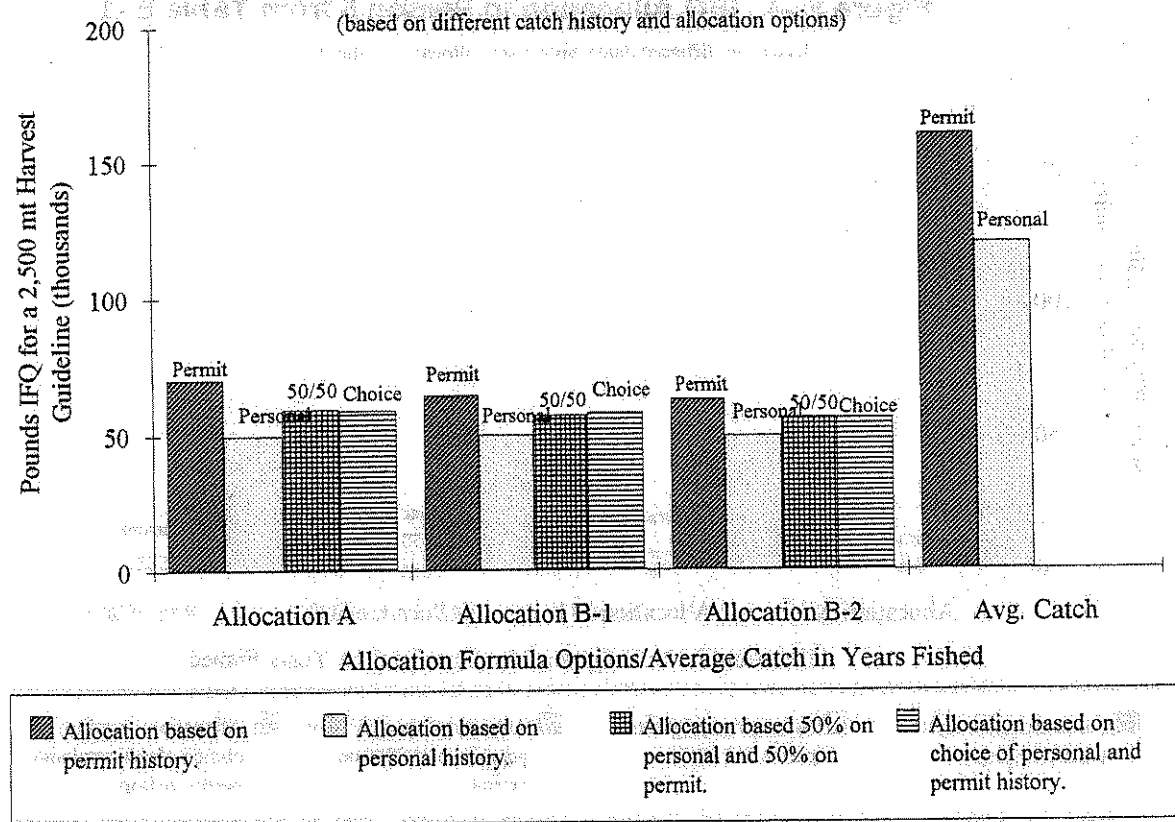


Figure E-2. IFQ Allocation to Person 2 from Table E-1



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Figure E-3. IFQ Allocation to Person 3 from Table E-1

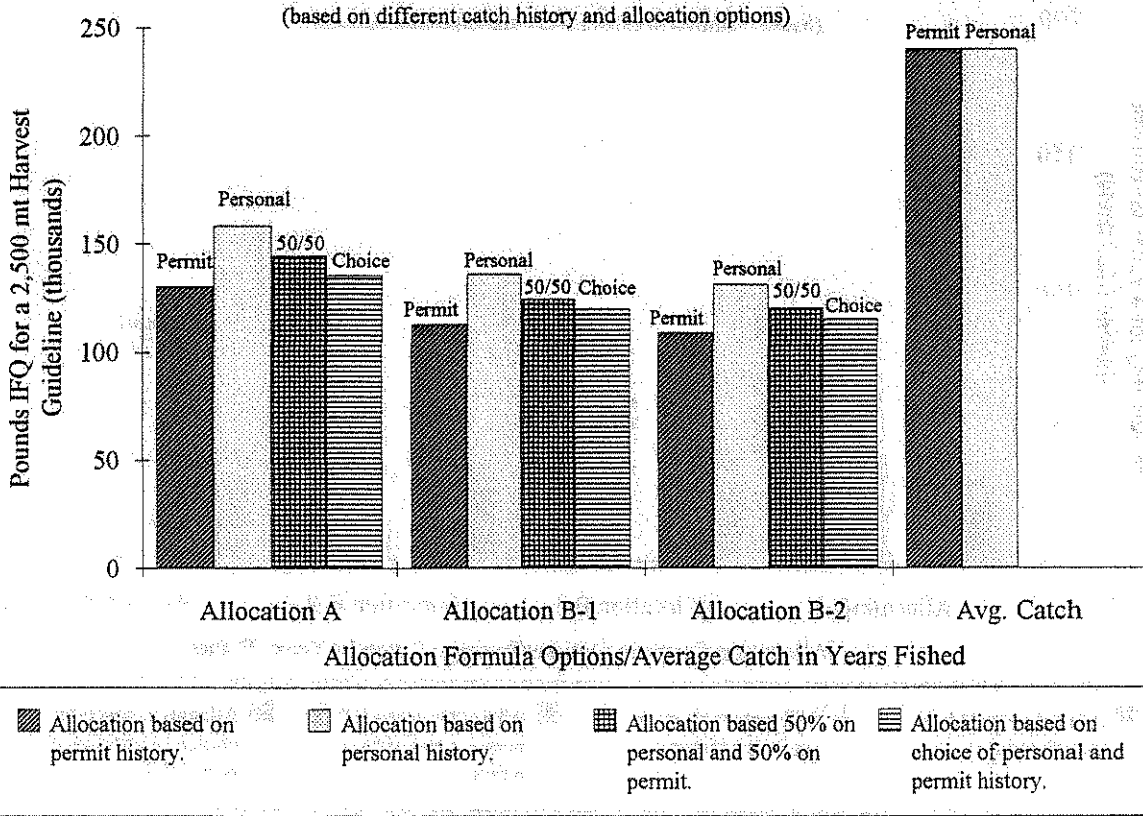
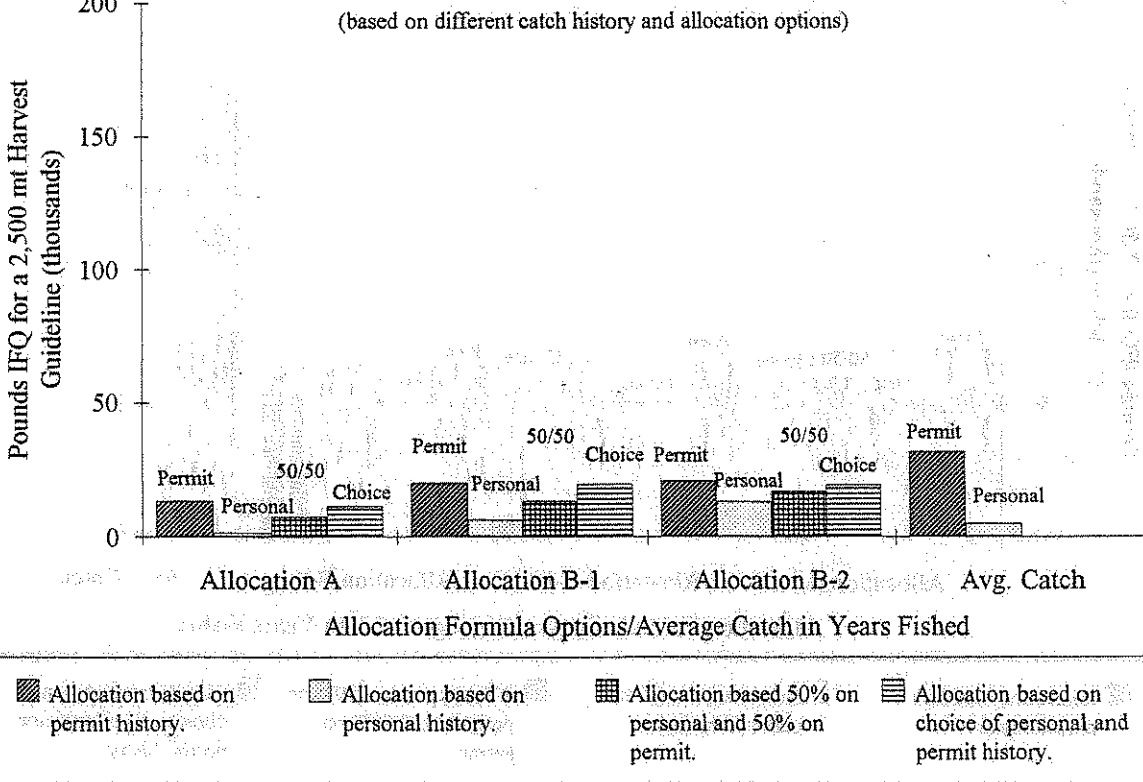


Figure E-4. IFQ Allocation to Person 5 from Table E-1



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would be the situation of anyone who had the same vessel throughout the allocation period and now holds the permit to that vessel (Figure E-3).

- the annual weighting factor and missing a years catch may have a significant effect on the size of allocation relative to catch history (Figure E-2, personal compared to permit average catch).
- if a person with no personal history has paid to acquire a permit with substantial sablefish history, but the personal history option is chosen by the Council, this person receives no QS (Table E-1, Person 4).
- by considering catch history to be transferred with the permit, permit history performs like personal history where a person has reserved permit rights or kept the permit when selling a vessel (Table E-1, Person 3).

Not illustrated by the examples is the situation of the person who may have purchased Vessel Q from Person 3 in Table E-1. If allocation is based on permit history, this individual would receive no allocation because (1) the catch history of Vessel Q prior to 1990 was transferred with the permit and (2) the catch history of Vessel Q in 1990 and 1991 cannot be claimed without a permit for the vessel. The catch history of any permit purchased for Vessel Q would replace the 1990 and 1991 catch history of Vessel Q.

Table E-2 shows the allocations which would result from a number of alternative catch histories without regard for how the catch histories were accumulated. The calculations of IFQ are based on the adjustment factors used in the personal history options. Using this table, one can compare total and average catches, to the IFQ which one might expect to be allocated on the basis of the QS, given a 2,500 mt harvest guideline. Total catches and averages using and not using the annual weighting factors provide a sense of how these weighting factors affect the allocations. In comparing weighted and unweighted catches, it is important to remember that if catches were not weighted the amount of QS issued per pound of catch would significantly decrease. The catch history in Column A was derived using the approximate performance of the 75th percentile vessel in each year of the allocation period (the vessel which in that year performed better than 75 percent of the other vessels in the sablefish fishery). The last three rows of the table show that under allocation Option A such a vessel might receive close to 60 percent of its average catch in its best 5 years and slightly more under the two equal allocation options (Options B-1 and B-2). One can compare the allocation results from Example B with those from Examples C and D to get a general understanding of the effects of missing 1 year of fishing and having catch earlier in the allocation period as opposed to later in the period. Comparing Option A and equal allocation option results for Examples D, E and F shows the increasing influence of the equal allocation options as actual catch history declines. Examples G and H illustrate the differences between Options B-1 and B-2. Under B-1, catch histories above 3,000 pounds receive less of a share than under Option B-2 where any catch history greater than 3,000 pounds entitles the applicant to one equal share. Under Option B-2, catch histories less than 3,000 pounds entitle the applicant to no QS where as the minimum QS under Option B-1 is the equivalent of 1,500 pounds of IFQ under a 2,500 mt harvest guideline.

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TABLE E-2. Examples of claimed catch history and the resulting allocations (allocations estimated based on adjustment factors applicable under a personal allocation).

Year	Example Catch Histories (thousands of pounds)							
	A	B	C	D	E	F	G	H
1984	95	160	160					
1985	95	160						
1986	75	160	160					
1987	75		160					
1988	60		160	160	80	40		
1989	50	160		160	80	40		
1990	25	160		160	80	40	10	5
1991	35			160	80	40	10	5
Catch History (Unweighted)	510	800	640	640	320	160	20	10
Catch History (Weighted)	308	517	349	493	246	123	19	9
Best 5 or 8 Years (Unweighted Average)	80	160	128	128	64	32	4	2
Best 5 of 8 Years (Weighted Average)	44	103	70	99	49	25	4	1.9
Average of Years Fished (Unweighted)	64	160	160	160	80	40	10	5
IFQ Based on 2,500 mt Quota and								
Option A	38	90	61	86	43	21	3	2
Option B-1	41	82	59	78	45	28	13	6
Option B-2	41	80	58	77	44	28	14	13