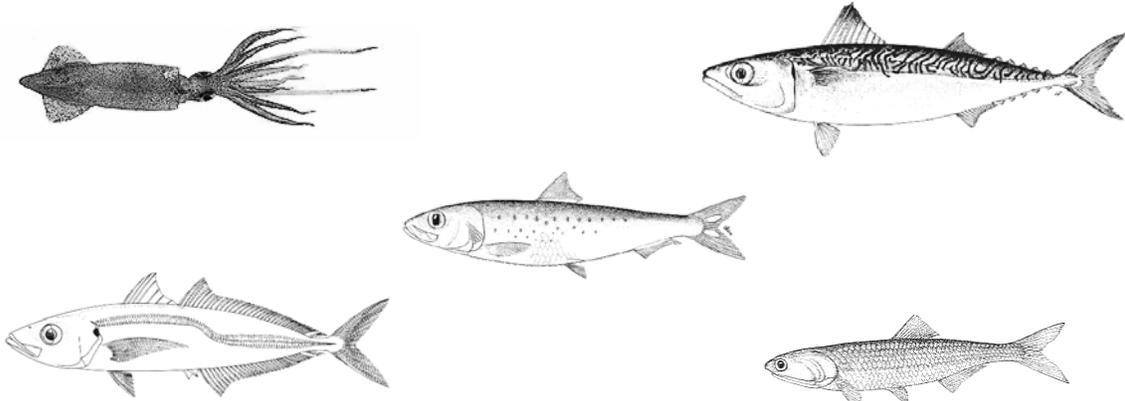


**STATUS OF THE PACIFIC COAST
COASTAL PELAGIC SPECIES FISHERY
AND
RECOMMENDED ACCEPTABLE BIOLOGICAL
CATCHES**

**STOCK ASSESSMENT AND FISHERY EVALUATION
2014**



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DECEMBER 2014

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This document may be cited in the following manner:

Pacific Fishery Management Council. 2014. Status of the Pacific Coast Coastal Pelagic Species Fishery and Recommended Acceptable Biological Catches. Stock Assessment and Fishery Evaluation for 2014.



This document is published by the Pacific Fishery Management Council pursuant to National Oceanic and Atmospheric Administration Award Number NA10NMF4410014.

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Appendix A: 2014 SAFE Tables

Appendix B: 2014 Pacific Mackerel Stock Projection Estimate

Appendix C: 2014 Pacific Sardine Stock Assessment

LIST OF ACRONYMS AND ABBREVIATIONS

| | |
|--------------|---|
| ABC | acceptable biological catch |
| ACL | annual catch limit |
| ACT | annual catch target |
| ADEPT | a population analysis model |
| APA | Administrative Procedures Act |
| ASAP | Age-structured Assessment Program |
| BO | Biological Opinion |
| CalCOFI | California Cooperative Oceanic Fisheries Investigations |
| CANSAR-TAM | Catch-at-age Analysis for Sardine - Two Area Model |
| CC | California Current |
| CCLME | California Current Large Marine Ecosystem |
| CDFW | California Department of Fish and Wildlife |
| CESA | California Endangered Species Act |
| CFGC | California Fish and Game Commission |
| CONAPESCA | National Commission of Aquaculture and Fisheries (Mexico) |
| Council | Pacific Fishery Management Council |
| CPFV | commercial passenger fishing vessel |
| CPS | coastal pelagic species |
| CPSAS | Coastal Pelagic Species Advisory Subpanel |
| CPSMT | Coastal Pelagic Species Management Team |
| CPSPDT | Coastal Pelagic Species Plan Development Team |
| CPUE | catch per unit effort |
| CS | catch shares |
| EBFM | ecosystem based fishery conservation and management |
| EEZ | exclusive economic zone |
| EFH | essential fish habitat |
| EFMP | ecosystem fishery management plan |
| EIS | environmental impact statement |
| ENSO | El Niño southern oscillation |
| ESA | Endangered Species Act |
| FMP | fishery management plan |
| GT | gross tonnage |
| HCR | harvest control rule |
| HG | harvest guideline |
| INP | Instituto Nacional de la Pesca (Mexico) |
| LE | limited entry |
| LME | large marine ecosystem |
| Magnuson Act | Magnuson-Stevens Fishery Conservation and Management Act |
| MSA | Magnuson-Stevens Fishery Conservation and Management Act |
| MAXCAT | maximum harvest level parameter |
| MEI | Multivariate El Niño Index |
| MSFMP | Market Squid Fishery Management Plan |
| MSY | maximum sustainable yield |
| mt | metric ton |
| NMFS | National Marine Fisheries Service |

| | |
|-----------|---|
| NOAA | National Oceanic and Atmospheric Administration |
| NOI | notice of intent |
| NSNA | Northern subpopulation of northern anchovy |
| NWFSC | Northwest Fisheries Science Center (NMFS) |
| ODFW | Oregon Department of Fish and Wildlife |
| OFL | overfishing limit |
| OFWC | Oregon Fish and Wildlife Commission |
| OMB | Office of Management and Budget |
| OY | optimum yield |
| PacFIN | Pacific Coast Fisheries Information Network |
| PDO | Pacific Decadal Oscillation |
| PFAU | Pelagic Fisheries Assessment Unit |
| PRD | Protected Resource Division |
| RecFIN | Recreational Fishery Information Network |
| RIR | regulatory impact review |
| ROV | remotely operated vehicle |
| SAFE | stock assessment and fishery evaluation |
| Secretary | U.S. Secretary of Commerce |
| SFD | Sustainable Fisheries Division |
| SS2 | Stock Synthesis 2 |
| SSC | Scientific and Statistical Committee |
| SST | sea surface temperature |
| st | short ton |
| STAR | Stock Assessment Review (Panel) |
| STAT | Stock Assessment Team |
| SWFSC | Southwest Fisheries Science Center (NMFS) |
| SWR | Southwest Region (NMFS) |
| TF | transformation frontier |
| USFWS | U.S. Fish and Wildlife Service |
| VPA | virtual population analysis |
| WCR | NMFS West Coast Region |
| WDFW | Washington Department of Fish and Wildlife |

1.0 INTRODUCTION

The purpose of this report is to briefly summarize aspects of the coastal pelagic species (CPS) Fishery Management Plan (FMP) and to describe the history of the fishery and its management. The guidelines for FMPs published by the National Marine Fisheries Service (NMFS) require that a stock assessment and fishery evaluation (SAFE) report be prepared and reviewed annually for each species managed under this FMP: Pacific sardine (*Sardinops sagax*), Pacific mackerel (*Scomber japonicus*), northern anchovy (*Engraulis mordax*), jack mackerel (*Trachurus symmetricus*), market squid (*Doryteuthis opalescens*), and krill (*euphausiid spp.*). Pacific herring (*Clupea pallasii*) and jacksmelt (*Atherinopsis californiensis*) were added as Ecosystem Component species, concurrent with Council approval of Amendment 13 to the CPS FMP. The SAFE report for Pacific Coast CPS fisheries was developed by the Council's Coastal Pelagic Species Management Team (CPSMT) from information contributed by scientists at NMFS, the Southwest and Northwest Fisheries Science Centers (SWFSC, NWFSC), California Department of Fish and Wildlife (CDFW), Oregon Department of Fish and Wildlife (ODFW), and Washington Department of Fish and Wildlife (WDFW). Included in this report are descriptions of landings, fishing patterns, estimates of the status of stocks, and acceptable biological catches (ABCs). Stock assessments for Pacific sardine and Pacific mackerel are typically published in briefing book materials in April and June, respectively. In addition, they may be included as appendices to the SAFE report, when there is a new full or updated assessment, or a projection estimate available. The ABC recommendations, together with social and economic factors, are considered by the Council in determining annual harvest guidelines and other measures for actively managed fisheries (i.e., Pacific mackerel and Pacific sardine).

2.0 THE CPS FISHERY

2.1 Management History

The CPS FMP builds on the *Northern Anchovy Fishery Management Plan*, which was implemented in September 1978. The Council began to consider expanding the scope of the northern anchovy FMP in 1990, with development of the seventh amendment to the FMP. The intent was to develop a greatly modified FMP, which included a wider range of coastal pelagic finfish and market squid. A complete draft was finished in November of 1993, but the Council suspended further work because NMFS withdrew support due to budget constraints. In July 1994, the Council decided to proceed with public review of the draft FMP. NMFS agreed with the decision on the condition that the Council also consider the options of dropping or amending the northern anchovy FMP. Four principal options were considered for managing CPS fisheries:

1. Drop the anchovy FMP (results in no Federal or Council involvement in CPS).
2. Continue with the existing FMP for anchovy (status quo).
3. Amend the FMP for northern anchovy.
4. Implement an FMP for the entire CPS fishery.

In March 1995, after considering the four options, the Council decided to proceed with option four, developing an FMP for the entire CPS fishery. Final action was postponed until June 1995 when the Council adopted a draft plan that had been revised to address comments provided by NMFS and the Council's Scientific and Statistical Committee (SSC). Amendment 7 was submitted to the U.S. Secretary of Commerce (Secretary), but rejected by NMFS Southwest Region (SWR) as being inconsistent with National Standard 7. NMFS announced its intention to drop the FMP for northern anchovy in a proposed rule published in the *Federal Register* on March 26, 1996 (61FR13148). The proposed rule was withdrawn on November 26, 1996 (61FR60254). Upon implementation of Amendment 8 (see below), the northern anchovy FMP was renamed the Coastal Pelagic Species Fishery Management Plan.

2.2 Recent Management

For a complete listing of formal Council actions and NMFS regulatory actions since implementation of the CPS FMP see Tables 2-1 and 2-2, respectively.

2.2.1 Amendment 8

Development of Amendment 8 to the northern anchovy FMP began during June 1997 when the Council directed the Coastal Pelagic Species Plan Development Team (CPSMT) to amend the FMP for northern anchovy to conform to the recently revised Magnuson-Stevens Fishery Conservation and Management Act (MSA) and to expand the scope of the FMP to include other species harvested by the CPS fishery.

In June 1999, NMFS partially approved the CPS FMP. Approved FMP elements included: (1) the management unit species; (2) CPS fishery management areas, consisting of a limited entry (LE) zone and two subareas; (3) a procedure for setting annual specifications including harvest guidelines (HG), quotas, and allocations; (4) provisions for closing directed fisheries when the

directed portion of a HG or quota is taken; (5) fishing seasons for Pacific sardine and Pacific mackerel; (6) catch restrictions in the LE zone and, when the directed fishery for a CPS is closed, limited harvest of that species to an incidental limit; (7) a LE program; (8) authorization for NMFS to issue exempted fishing permits for the harvest of CPS that otherwise would be prohibited; and (9) a framework process to make management decisions without amending the FMP.

At that time, NMFS disapproved the optimum yield (OY) designation for market squid, because there was no estimate of maximum sustainable yield (MSY). Bycatch provisions were disapproved for lack of standardized reporting methodology to assess the amount and type of bycatch and because there was no explanation of whether additional management measures to minimize bycatch and the mortality of unavoidable bycatch were practicable.

On December 15, 1999, final regulations implementing the CPS FMP were published in the *Federal Register* (64FR69888). Provisions pertaining to issuance of LE permits were effective immediately. Other provisions, such as harvest guidelines, were effective January 1, 2000.

2.2.2 Amendment 9 – Bycatch Provisions; Treaty Indian Fishing Rights

During 1999 and 2000, the CPSMT developed Amendment 9 to the CPS FMP. Originally, Amendment 9 addressed the disapproved provisions of the FMP – bycatch and market squid MSY. The amendment also included provisions to ensure that treaty Indian fishing rights are implemented according to treaties between the U.S. and specific Pacific Northwest tribes.

The Council distributed Amendment 9 for public review on July 27, 2000. At its September 2000 meeting, the Council reviewed written public comments, received comments from its advisory bodies, and heard public comments. Based on advice about market squid MSY determination, the Council decided to include in Amendment 9 only the provisions for bycatch and treaty Indian fishing rights. The Council decided to conduct further analysis of the squid resource and prepare a separate amendment to address OY and MSY for squid. The Secretary approved Amendment 9 on March 22, 2001, and the final rule implementing Amendment 9 was published August 27, 2001 (66FR44986).

2.2.3 Amendment 10 – Limited Entry Capacity Goal; Permit Transfers; Market OY/MSY

In April 2001, the Council adopted a capacity goal for the CPS LE finfish fishery and asked the CPSMT to begin work on a 10th amendment to the FMP. Amendment 10 included the capacity goal, provisions for permit transferability, a process for monitoring fleet capacity relative to the goal, and a framework for modifying transferability provisions as warranted by increases or decreases in fleet capacity. The amendment also addressed determination of OY and MSY for market squid.

In June 2002, the Council adopted Amendment 10 to the CPS FMP. Relative to the LE fishery, the amendment established a capacity goal, provided for LE permit transferability to achieve and maintain the capacity goal, and established a process for considering new LE permits. The purpose of this action was to ensure fishing capacity in the CPS LE fishery is in balance with resource availability. Relative to market squid, Amendment 10 established an MSY (or proxy) for market squid to bring the FMP into compliance with the MSA. The purpose of this action was to minimize the likelihood of overfishing the market squid resource. On December 30, 2002, the Secretary

approved Amendment 10. On January 27, 2003, NMFS issued the final rule and regulations implementing Amendment 10 (68FR3819).

2.2.4 Sardine Allocation Regulatory Amendment

In September 2002, a majority of the Coastal Pelagic Species Advisory Subpanel (CPSAS) recommended the Council initiate a regulatory or FMP amendment and direct the CPSMT to prepare management alternatives for revising the sardine allocation framework. The Council directed the CPSMT to review CPSAS recommendations for revising the allocation framework. At the March 2003 Council meeting, the SSC and CPSAS reviewed analyses of the proposed management alternatives for sardine allocation. Based on the advisory body recommendations and public comment, the Council adopted five allocation management alternatives for public review. In April 2003, the Council took final action on the regulatory amendment. This change was implemented by NMFS on September 4, 2003 (68FR52523).

The new allocation system: (1) changed the definition of Subarea A and Subarea B by moving the geographic boundary between the two areas from 35°40' N latitude (Point Piedras Blancas, California) to 39° N latitude (Point Arena, California); (2) moved the date when Pacific sardine that remains unharvested is reallocated to Subarea A and Subarea B from October 1 to September 1; (3) changed the percentage of the unharvested sardine that is reallocated to Subarea A and Subarea B from 50% to both subareas, to 20% to Subarea A and 80% to Subarea B; and (4) provided for coastwide reallocation of all unharvested sardine that remains on December 1. This revised allocation framework was in place for the 2003 and 2004 fishing seasons. It was also used in 2005 because the 2005 HG was at least 90% of the 2003 harvest guideline.

2.2.5 Amendment 11 - Allocation

The Council began developing options for a new allocation framework for the coastwide Pacific sardine fishery in 2003 while the fishery operated under the regulatory amendment described in the previous section. This revision to the sardine allocation framework occurred through Amendment 11 to the CPS FMP in 2006. The FMP amendment was intended to achieve optimal utilization of the resource and equitable allocation of harvest opportunity.

The Council tasked the CPSAS with initial development of a range of allocation alternatives. At the November 2004 meeting, the CPSAS presented several program objectives and a suite of alternative allocation formulae. The Council adopted for preliminary analysis a range of alternatives, including the CPSAS recommendations, as well as the following program objectives:

- Strive for simplicity and flexibility in developing an allocation scheme.
 - Transfer quota as needed.
 - Utilize OY.
 - Implement a plan that balances maximizing value and historic dependence on sardine.
 - Implement a plan that shares the pain equally at reduced HG levels.
 - Implement a plan that produces a high probability of predictability and stability in the fishery.

For the analysis of the alternatives, the Council gave specific direction to the CPSMT, including:

- Analyze each alternative in a consistent manner.
- Review differential impacts on northern and southern sectors for each alternative.

- Review effects of high and low catch years by sector for each alternative.
- Review resulting effects at various HG levels ranging from 25,000 mt to 200,000 metric tons (mt) (at appropriate intervals) for each alternative.
- At the discretion of the CPSMT, combine aspects of the various alternatives to create new alternatives that meet program objectives.

At the April 2004 Council meeting, the CPSMT presented preliminary economic analyses of these alternatives to the Council and its advisory bodies. The economic analysis of alternative allocation schemes included five-year projections of the incremental change in producer surplus and landings projections for each fishing sector and subarea. Monthly landings projections were based on 2004 landings and were inflated by 10% annually to account for expected growth in the regional fishery sectors over the next five years. These projections identified months in which there would be a shortfall in landings, and months which would start out with no available allocation. These landings projections were conducted under three HG scenarios: (1) low HG = 72,000 mt, (2) Base case HG = 136,000 mt, and (3) high HG = 200,000 mt.

The Council reviewed the preliminary results and public testimony before following the advice of both the CPSAS and CPSMT when adopting the remaining range of alternatives for further analysis and public review. The Council directed the CPSMT to take into account the advice of the SSC as they proceeded with the analysis. Specifically, the Council requested a sensitivity analysis of the effects of future fishery growth where varying growth assumptions by subarea are applied, rather than the previously assumed 10% growth of the fishery coastwide. The Council also recommended that two different provisions for the review of a sardine allocation framework be included in the documentation for public review. The first based on time, where sardine allocation would be reviewed after three, five, or seven years of implementation; the second based on the size of the HG, where sardine allocation would be revisited if the HG falls below 75,000 mt or 100,000 mt.

In June 2005, the Council adopted a long-term allocation framework to apportion the annual Pacific sardine harvest guideline among the various non-tribal sectors of the sardine fishery. The Council followed the opinion of the CPSAS when adopting a seasonal allocation scheme, which provides the following allocation formula for the non-tribal share of the HG:

- (1) January 1, 35% of the harvest guideline to be allocated coastwide;
- (2) July 1, 40% of the HG, plus any portion not harvested from the initial allocation, to be reallocated coastwide; and
- (3) September 15, the remaining 25% of the harvest guideline, plus any portion not harvested from earlier allocations, to be reallocated coastwide.

The Council also heeded the advice of the CPSAS, CPSMT, and SSC regarding the dynamic nature of the Pacific sardine resource and uncertainties inherent in long-term projections, and scheduled a formal review of the allocation formula in 2008. The review was intended to provide a comparison of the performance of the fishery to the projections used to evaluate the adopted allocation scheme and will include any new information from Pacific sardine research. The review was postponed and has not been re-scheduled.

2.2.6 Amendment 12 – Krill Fishing Prohibition

At its November 2004 meeting the Council initiated development of a formal prohibition on directed fisheries for krill, and directed staff to begin developing management measures to regulate directed fisheries for krill in Council-managed waters. The proposal for a krill ban was first proposed for West Coast National Marine Sanctuary waters by the National Marine Sanctuary Program.

This Amendment was in recognition of the importance of krill as a fundamental food source for much of the marine life along the West Coast. Moreover, state laws prohibit krill landings by state-licensed fishing vessels into California, Oregon, and Washington. Thus, the action could provide for consistent Federal and state management. There are currently no directed krill fisheries in Council-managed waters.

At the November 2005 Council meeting, the Council recommended that all species of krill be included in the CPS FMP as prohibited harvest species, and approved a range of krill fishing alternatives for public review and additional analysis over the winter. The Council narrowed the range of alternatives to: 1) status quo, 2) a prohibition on krill fishing in all Council-managed waters, and 3) an initial prohibition combined with the establishment of a process for considering future krill fishing opportunities. Of these alternatives, the Council adopted the second, a complete ban on krill fishing as a preliminary preferred alternative.

In March 2006, the Council adopted a complete ban on commercial fishing for all species of krill in West Coast Federal waters and made no provisions to allow future fisheries. They also specified essential fish habitat (EFH) for krill, making it easier to work with other Federal agencies to protect krill. This broad prohibition will apply to all vessels in Council-managed waters.

Amendment 12 was approved by the Secretary and in 2009, NMFS published the implementing regulations in a final rule (74FR33372).

2.2.7 Amendment 13 – Annual Catch Limits

The Magnuson-Stevens Fishery Conservation and Management Reauthorization Act of 2006 (MSRA) established several new fishery management provisions pertaining to National Standard 1 (NS1) of the MSA. The MSA sought to end overfishing and required rebuilding plans for those stocks considered to be overfished. It also introduced new fishery management concepts including overfishing levels (OFLs), annual catch limits (ACLs), annual catch targets (ACTs), and accountability measures (AMs) that are designed to better account for scientific and management uncertainty. Council action on Amendment 13 also included a recommendation to add Pacific herring and jacksmelt to the FMP, as Ecosystem Component Species.

At its June 2010 meeting, the Council selected preferred alternatives and approved a draft alternatives document that forms the backbone of Amendment 13 to the Coastal Pelagic Species Fishery Management Plan. Draft implementing regulations and Amendment 13 text were released for a 60-day public review on June 3, 2011. The Secretary of Commerce, via NMFS, gave final approval of Amendment 13 in September 2011.

2.2.8 Sardine Start Date Change

At its June 2013 meeting, the Council adopted an annual start date of July 1 for the Pacific sardine fishery. The previous start date was January 1 each year. The change to a different start date was made to allow more time for spring and summer sampling results to be analyzed and organized, and subsequently to become available to the Stock Assessment Team. The new schedule would allow for more confidence in the spring/summer sampling results because there is more time available for analysis, interpretation, and organization. The period allocations were not changed with the new start date. However, with the fishing year ending June 30, there will be no rollover of unused quota into the July 1-September 14 fishing period.

2.2.9 Amendments in Development

2.2.9.1 Amendment 14 – Northern Anchovy MSY

In November 2013, in response to a lawsuit by the conservation group Oceana, the Council took final action to establish an MSY value for the northern subpopulation of northern anchovy (NSNA). At its November 2010 meeting, the Council considered two options that were analyzed by the CPSMT, but ended up not adopting either one. One of those analyzed values was an MSY reference point of $F_{msy} = 0.30$, which was formally adopted by the Council in November 2013. Incorporating this reference point into management will require an FMP amendment, tentatively planned as CPS FMP Amendment 14.

2.2.9.2 Amendment 15 – Unmanaged Forage Fish

In 2014, the Council adopted a range of alternatives to provide additional protections to a suite of unfished and unmanaged forage fish. The likely scenario would be to incorporate these as Ecosystem Component species, with language added to each of the existing Council FMPs that describes the species and the process that the Council would take in order to establish a fishery for them. These fish would not be CPS stocks that are already actively managed or in monitored status in the CPS FMP.

2.3 CPS Fisheries – History and Description

During the 1940s and 1950s, approximately 200 vessels participated in the Pacific sardine fishery. In California, some present-day CPS vessels are remnants of that fleet. CPS finfish landed by the roundhaul fleet (fishing primarily with purse seine or lampara nets) are sold around the world in several product forms. For example, Pacific mackerel are typically sold to Asian and European, middle Eastern and Baltic markets for human consumption. Sardines are exported largely for canning for human consumption, high value table consumption products, and long-line bait. Although the percent of CPS sold for tuna feed or bait fluctuates based on demand, product availability, etc, the percent sold in higher value categories is generally growing (Steele, pers comm, 2014). In addition to fishing for CPS finfish, many of these vessels fish for market squid, Pacific bonito, bluefin and yellowfin tuna (which are fished primarily in California); and Pacific herring (fished primarily in Oregon/Washington but not in California).

Since 1999, a fishery for Pacific sardine has operated off Oregon and Washington. This fishery targets larger sardine, which are typically sold as bait for Asian longline tuna fisheries. Beginning in 2006, this fishery has been expanding into human consumption markets.

2.3.1 Federal Limited Entry Fishery

The CPS LE fleet currently consists of 65 permits and 56 vessels (Table 2-3), operating under a Federal permit program. The LE vessels range in age from 4 to 70 years, with an average age of 34 years (Table 2-4). The capacity goal and transferability provisions established under Amendment 10 are based on calculated gross tonnage (GT) of individual vessels. Calculated GT serves as a proxy for each vessel's physical capacity and is used to track total fleet capacity. Calculated GT incorporates a vessel's length, breadth, and depth, which are consistent measures across vessel registration and U.S. Coast Guard documentation lists. As described at 46 CFR § 69.209, GT is defined as:

$$GT=0.67(\text{length}*\text{breadth}*\text{depth})/100$$

Vessel dimension data were obtained from the U.S. Coast Guard database, and each vessel's calculated GT was attached to the permit under Amendment 10. Original GT endorsements (specified in Table 2-3) remain with the permit, regardless of whether the permit is transferred to a smaller or larger vessel.

GT values for the current fleet range from 23.8 GT to 206.9 GT, with an average of 88 GT (Tables 2-3 and 2-4). The fleet capacity goal established through Amendment 10 is 5,650.9 GT, and the trigger for restricting transferability is 5,933.5 GT (Goal + 5%). The current LE fleet is 4,753 GT, well within the bounds of the capacity goal.

2.3.2 California Federal Limited Entry Sardine Fishery

California's sardine fishery began in the 1860s as a supplier of fresh whole fish. The fishery shifted to canning from 1889 to the 1920s in response to a growing demand for food during World War I. Peaking in 1936-37, sardine landings in the three west coast states plus British Columbia reached a record 717,896 mt. In the 1930s and 1940s Pacific sardine supported the largest commercial fishery in the western hemisphere, with sardines accounting for nearly 25 percent of all the fish landed in the United States by weight. In the 1940s, the fishing fleet consisted of 376 vessels and more than 100 canneries and reduction plants which employed thousands from San Francisco to San Diego, California.

The fishery declined and collapsed in the late 1940s due to overfishing and changes in environmental conditions, and remained at low levels for nearly 40 years. The fishery declined southward, with landings ceasing in Canadian waters during the 1947-1948 season, in Oregon and Washington in the 1948-1949 season, and in the San Francisco Bay in the 1951-1952 season. The California Cooperative Fisheries Investigations (CalCOFI), a consortium of state and federal scientists, emerged to investigate the causes of the sardine decline. Analyses of fish scale deposits in deep ocean sediments off southern California found layers of sardine and anchovy scales, with nine major sardine recoveries and subsequent declines over a 1700-year period (Baumgartner et al. 1992). Sardines and anchovies both vary in abundance over periods of about 60 years. Cold-water oceanic cycles favor anchovies and warm-water cycles favor sardines. The decline of the

sardine fishery became a classic example of a ‘boom and bust’ cycle, a known characteristic of clupeoid stocks.

In 1967, the California Department of Fish and Game implemented a moratorium that lasted nearly 20 years. The remaining vessels diversified into other coastal pelagic “wetfish” fisheries. Sardines began to return to abundance in the late 1970s, when the Pacific Decadal Oscillation shifted to a warm cycle again, but this time fishery managers adopted a highly precautionary management framework. California’s sardine fishery reopened in 1986 with a 1,000 short ton quota, authorized by the Legislature when the biomass exceeded 20,000 mt. The sardine resource grew exponentially in the 1980s and early 1990s, with recruitment estimated at 30 percent or greater each year. In 1998, the sardine resource was declared “recovered,” with a biomass estimated at slightly more than 1 million mt. The quota set by CDFG had increased to 43,545 mt, and it was virtually completely utilized.

In 1999, the new coastwide harvest guideline (HG) jumped to 186,791 mt, based on a 1999 biomass estimate of 1.58 million mt. In 2000, California harvested 57,935 mt. About 71 percent of the catch was exported, valued at \$23.3 million, and approximately 17 percent of the catch went to canneries. However, the last cannery in southern California was sold in December, leaving only one cannery remaining in Monterey, in a fishery that had employed more than 100 canneries and reduction plants statewide during the fishery’s heyday in the 1930s and 1940s.

The sardine recovery appeared to level off during 1999-2002. By August 2002, the Northern area sardine fishery attained its allocation and was forced to close early. Northwest sardine interests lobbied the Council for an emergency reopening and revision to the allocation framework because thousands of tons of sardine were available and going unharvested in the Southern fishery.

In the early 2000s the California fishery encountered an abundance of small sardines on traditional fishing grounds, for which markets were very limited. The larger fish appeared to move offshore in their northern migration, out of the range of California seiners who made most of their catches inside the 3-mile state boundary. The lack of canning-size sardines caused the last cannery in Monterey to sell its canning equipment. Still, sardines ranked among the top fisheries in California in volume and sixth in value with ex-vessel ranging \$4.5 to more than \$5 million. With a main focus now on export markets, California shipped sardines to as many as 22 countries worldwide, and annual export values exceeding \$20 million.

From 1998-2006, California sardine landings averaged 46,793 mt. In 2005, Oregon landings surpassed California for the first time since the fishery reopened. California caught nearly 81,000 mt of the 152,564 mt HG in 2007 – the highest landings since the 1960s. Ex-vessel value exceeded \$8 million, and 66,896 tons of sardine were exported to 37 countries, with an export value of \$40.4 million.

In 2008, the HG declined 42 percent, to 89,093 mt, and the sardine fishery closed early in all three allocation periods, with California catching 57,803 mt of the total. Beginning in 2008, California’s sardine fishery was closed more than it was open, and it was closed early, during the peak fall season in all years but 2012 and 2013. In 2009, the annual HG was attained in 77 fishing days. California landings totaled 37,578 mt, with two-thirds of the catch in Monterey. California exported 33,909 mt to 35 countries. In 2010, California landings fell to 33,658 mt of the 72,039 mt quota, and 83 percent of the catch was landed in San Pedro. The summer period closed July 22, the fishery reopened on September 15, and closed for the year September 24. The 2011 sardine fishery experienced another 30 percent reduction in HG, with only 50,526 mt allowed to be

harvested of a 537,173 mt age 1+ biomass. California caught 27,714 mt in 83 total days of fishing opportunity.

In 2012, although the biomass and HG increased substantially (988,385 mt biomass and 109,409 mt HG), California landings continued declining, to only 23,037 mt. Fishermen couldn't find sardines early in the year, then focused on a banner squid season during the summer. There was further evidence of a natural sardine decline in 2013 as sardines disappeared from Canadian waters. The 2013 HG decreased 69 percent to 66,495 mt, and California harvested only 7,074 mt. Pacific mackerel landings surpassed sardine for the first time since 1993. In place of sardine, a decadal squid population explosion has occupied the California purse seine fleet in recent years. Since federal management began in 2000, the sardine biomass has declined more than 70 percent since the 2006 high of 1.3 million mt, and harvest limits have fallen from a high of an HG of 186,971 mt in 2000 to an ACT of 23,293 mt in 2014.

2.3.3 Oregon State Limited Entry Sardine Fishery

The Pacific sardine fishery off Oregon started in 1935, but there are recorded landings of sardine in Oregon dating back to 1928. The catch dropped off in the 1940s with 1948 being the last year of directed fishery landings until 1999 when the fishery was revived. Pacific sardine was managed as a developmental fishery from 1999 to 2005. In 2004, the sardine industry asked ODFW to remove Pacific sardines from the developmental species list and create a LE system for the fishery.

ODFW began work with the Developmental Fisheries Board and the industry to develop alternatives for the fishery. In December 2005, the Oregon Fish and Wildlife Commission (OFWC) moved the Pacific sardine fishery from a developing fishery into a state-run LE fishery system. Twenty Oregon permits were initially established and made available to qualifying participants for the 2006 fishery. The OFWC amended a LE permit eligibility rule in August 2006, which resulted in an immediate addition of six permits for a total of 26 LE sardine fishery permits. The Oregon Limited Entry fleet does not have capacity restrictions.

In April 2009 the OFWC enacted a number of rule changes for the Pacific sardine fishery. First, the OFWC modified the requirement for minimum landings of sardines into Oregon to qualify for permit renewal that was enacted in 2006. These minimum landing requirements for permit renewal were effective only when the federal coastwide maximum HG for the fishing year exceeded 100,000 mt. The minimum landing requirements themselves, either a minimum of ten landings of at least five mt each or landings totaling at least \$40,000 ex-vessel price, were not changed. Next, the OFWC eliminated a rule that became effective in 2008, which specified that permit holders must either own or operate a vessel that is permitted. The OFWC also established a lottery system for sardine permits. If the number of permits issued falls below 24 a lottery may be held the following year, but the total number issued shall not exceed 26 LE permits. A new rule defined catching vessels and limited catch sharing to catching vessels with state LE sardine permits. In 2012, the OFWC eliminated the landings requirements for permit renewal.

The Pacific sardine fishery in Oregon operates as a day fishery with vessels based primarily in Astoria where processing plants for sardine operate. Many vessels utilize aircraft to assist in locating schools of sardine and setting their nets when weather permits. Weather and tides are

major factors in fishing operations and timing of vessels transiting in and out of the Columbia River.

2011

Twenty-five state limited entry vessels were permitted in Oregon in the 2011. Sixteen of those vessels (64%) participated in the sardine fishery. Table 2-5(a) contains information for vessels that participated in the 2011 fishery. Note that seven vessels landing sardine in Oregon (44%) also held federal and/or Washington state LE permits. Oregon landings totaled 8,321 mt or 20% of the initial 41,326 mt federal directed sardine fishery harvest allocation. Oregon landings in 2011 were the lowest since 2000. Only 1999, the first year of the renewed Oregon sardine fishery, after its more than 50 year hiatus, had lower total landings. Sardines were landed in only two of the three allocation periods with 81.8% landed in the 2nd period and 18.2% landed in the 3rd period. Landings ranged from less than 10 mt to over 100 mt with the most being between 40 mt and 70 mt. As in the previous three years, all three allocation periods were closed to directed fishing before the end of the period because the allocation was reached. These early closures have resulted in a change in the timing of greatest harvest from August and September when sardine typically have their greatest oil content in the Pacific Northwest to July. The ex-vessel value of sardine landed in the directed fishery in Oregon totaled \$2.4 million with a modal price of \$300/mt in 2011 and averaged \$288/mt.

2012

The number of permitted vessels remained at twenty-five state limited entry vessels in Oregon. Twenty-one of those vessels (84%) participated in the sardine fishery. Table 2-5(b) contains information for vessels that participated in the 2012 fishery. Note that eight vessels landing sardine in Oregon (38%) also held federal and/or Washington state LE permits. Oregon landings totaled 39,935.8 mt or 42% of the initial 94,409 mt federal directed sardine fishery harvest allocation. Oregon landings in 2012 were the third highest in volume and by far the highest in ex-vessel revenue since the fishery resumed in 1999. Sardines were landed during all three allocation periods with 7.2% landed in the 1st period, 68.1% landed in the 2nd period and 24.7% landed in the 3rd period. Landings ranged from less than 10 mt to 110 mt with the most being between 40 and 90 mt. Directed fishing closed before the end of the second period because the allocation was reached. Unlike recent years, directed fishing remained open for the full duration of the first and third periods. The ex-vessel value of sardine landed in the directed fishery in Oregon totaled \$8.4 million. Price was more variable than in 2011 and averaged \$210/mt overall.

2013

As in recent years, twenty-five state limited entry vessels were permitted in Oregon in 2013. Fourteen of those vessels (56%) participated in the sardine fishery. Table 2-5(c) contains information for vessels that participated in the 2013 fishery. Note that three vessels landing sardine in Oregon (21%) also held federal and/or Washington state LE permits. Oregon landings totaled 24,761.5 mt or 43% of the initial 57,495 mt federal directed sardine fishery harvest allocation. Although its share of the total was equally high in 2013 as in 2012, Oregon landings declined significantly from 2011, in proportion to the reduced directed fishery allocation coastwide. Sardines were landed in all three allocation periods with 0.6% landed during the 1st period, 80.1% landed in the 2nd period and 19.3% landed in the 3rd period. As in most years, landings ranged from less than 10 mt to nearly 100 mt with the most being between 40 and 70 mt. As

in 2012, only directed fishing during the second allocation period closed before the end of the period because the allocation was reached. The ex-vessel value of sardine landed in the directed fishery in Oregon totaled \$6.0 million with an overall average price of \$241/mt in 2013.

2.3.4 Oregon Anchovy Fishery

State developmental fishery permits for harvesting anchovy were issued from 1995 to 2009. All developmental fisheries in Oregon have a limited number of permits available and landing requirements for permit renewal, but the number of permits and landing requirements differed by target species. In 2009 Oregon issued four of the 15 developmental fishery permits available for the anchovy fishery. In December 2009, all developmental fisheries programmatic activities including permitting were suspended due to lack of funding. The OFWC moved the anchovy fishery to a Category C developmental fishery, those that are managed under a state or federal FMP which has established permit and/or gear limitations. Because the federal CPS FMP does not have permit restrictions for vessels operating north of 39°N latitude, the ocean fishery for northern anchovy is now an open access fishery off Oregon limited to legal gear under the CPS FMP and state regulations. In recent years, northern anchovy were infrequently targeted during open periods for the sardine fishery.

2011-2013

During 2011, purse seine landings totaled 21.2 mt, all taken while the sardine fishery was open. A groundfish trawl vessel landed a trace amount of anchovy (<0.01mt). During 2012, no anchovy were landed in Oregon. During 2013, 12.7mt of northern anchovy were landed in the purse seine fishery and an additional 0.1 mt were landed incidentally by the whiting fishery.

2.3.5 Washington State Limited Entry Sardine Fishery

Pacific sardines are the primary coastal pelagic species harvested in Washington waters. From 2000 through 2009, participation in the sardine fishery was managed under Washington's Emerging Commercial Fishery Act (ECFA), which provides for the harvest of a newly classified species or harvest of a classified species in a new area or by new means. The ECFA offers two choices for fishery-permit designations: trial, which does not limit the number of participants or experimental, which does limit participation and prohibits the transfer or sale of the permit. From 2000 through 2002, WDFW managed the purse seine fishery for sardine under the trial designation. Absent limited participation, the Washington fishery was managed to a state HG of 15,000 mt.

The Pacific Northwest sardine fishery saw a rapid expansion of catch between the years 1999 to 2002 when landings increased from 771 mt to 15,820 mt. In response to this situation, WDFW engaged in an extensive public process to address management needs in the fishery. In 2003, following this public process, a formal Sardine Advisory Board (Board) was created, and the WDFW Director, in collaboration with the Board, advanced the sardine fishery designation from trial to experimental as provided for under the ECFA. The number of experimental fishery permits was capped at 25. The experimental fishery program continued through June 2009. Besides

limiting participation, WDFW also restricted the amount of sardines sold for reduction to a 15 percent season cumulative total by weight by individual vessel.

During the 2009 Washington State legislative session, WDFW proposed legislation to establish a commercial license limitation program specifically for the harvest and delivery of Pacific sardines into the state. The legislation was passed into rule in July 2009. The new rules established 16 licenses to be issued to holders of a 2008 sardine experimental fishery permit only, with an exception for past participants of the experimental fishery that became ineligible because of loss of their vessel at sea. These newly created sardine licenses can be sold. In addition, the new rule provides criteria for the issuance of temporary annual permits at the discretion of the WDFW Director. In combination, the number of permanent and temporary annual licenses cannot exceed 25. There are no vessel capacity restrictions in the Washington limited entry fleet.

In 2009, 16 experimental fishery permits were issued to those who met the renewal criteria, which required that they previously held such a permit and also held a minimum of 50 percent ownership in the vessel designated on the sardine permit. After the creation of the sardine license in July 2009, licenses could be transferred (sold). To maintain a sardine license, annual renewal is required; through 2013 the number of licenses remained at 16. In 2010 and 2012 a single temporary annual license was also issued. The number of actively fished Washington sardine licenses was seven in 2011, 11 in 2012 and 12 in 2013. Table 2-6 lists the vessels designated on Washington sardine fishery licenses/permits in 2013.

The Washington sardine fishery opens annually by rule on April 1. However, fishing opportunity is typically limited until late spring or early summer. In some years the first period allocation is attained before April 1, in others, sardine abundance offshore is not sufficient to support commercial activity until early or mid-June. In 2011 the sardine harvest guideline was attained March 5 and the first opportunity for fishing off Washington was at the beginning of the second allocation period on July 1. But in 2012 and 2013 the harvest guidelines from the first period were not attained and sardine abundance was such that fishermen were able to begin fishing mid-June, and continue into the second period without interruption.

A total of 8,009 mt, 34,655 mt, and 29,381 mt of sardines were landed into Washington in 2011, 2012, and 2013 respectively. In 2012 and 2013 there were 591 and 446 landings respectively which are up considerably compared to the 127 landings in 2011. The number of landings increased in 2012 and 2013 due to high abundance of sardines off the Washington and Oregon coasts and because sardine catch was low in California due to a shift in focus to squid, which allowed for greater opportunity to harvest and market sardine in Washington.

Beginning in 2008, July has consistently been the most productive month for sardines. In 2011, 77% of landings were in July and 23% were in September. In 2012, 10% of landings were in June, 39% in July, 25% in August, 19% in September, and 7% in October. In 2013, 5% of landings were in June, 45% in July, 29% in August, 12% in September, and 9% in October. The average landing in 2011 was 63 mt, in 2012, 59 mt and in 2013, 66 mt.

All landings in 2011, 2012, and 2013 were made into Westport or Ilwaco. As documented in logbooks, the majority (75% - 100%) of the catch occurs in waters adjacent to Washington. In

2012, a total of 749 sets were made and 723 (97%) were successful and in 2013, 572 sets were made with 545 (95%) of them successful. This is up from the 2011 landings in which 160 sets were made with 94% of them successful. The average catch per successful set is typically between 53 mt and 58 mt. Total ex-vessel value for 2011, 2012 and 2013 was \$2.1 million, \$7.7 million and \$6.6 million respectively.

Pacific sardines are the targeted catch in the Washington fishery, but anchovy, mackerel, and squid may be retained and landed. In 2011, 2012 and 2013 mackerel was the only other coastal pelagic species landed, fluctuating from 0.42 mt in 2011 to 636 mt in 2012 to 196 mt in 2013.

To document bycatch levels in the Pacific sardine fishery (see Section 6.3.2), WDFW conducted a five-year observer program from 2000 through 2004. Overall observer coverage in this program was in excess of 25 percent and results showed bycatch of non-targeted species in the Washington sardine fishery to be relatively low. A mandatory state logbook program has been in place since the fishery began in 2000. The logbook requires skippers to report incidental catch and bycatch. The logbook data are maintained in electronic format at the WDFW regional office at Montesano, WA.

2.3.6 Washington State Anchovy Fisheries

Although of a smaller magnitude than the sardine fishery, other coastal pelagic species – primarily northern anchovy – have supported important baitfish fisheries on the Washington Coast (ocean, Columbia River, Grays Harbor and Willapa Bay). These fisheries, distinguished by gear type, include a live-bait lampara gear fishery, and a seine gear fishery that provides both live and packaged bait to recreational and commercial fishers. About two dozen baitfish-lampara gear licenses and a couple of baitfish-purse seine licenses are issued annually. Excluding 2009, documented catch of anchovy has averaged about 108 mt a year since 1990. Actual catch has likely been higher; until recent years commercial fishermen were not required to report anchovy caught for their own use. To better account for this catch, the WDFW began in 2007 to require fishers to document all forage fish used for bait in another fishery on the fish receiving ticket for the target species.

Except for herring which is under a license limitation program, participation in baitfish fisheries is not limited. Other regulations include seasonal closures of Grays Harbor and Willapa Bay to protect out-migrating salmon. Harvest guidelines are not set, but in 2010 the WDFW adopted permanent rules restricting northern anchovy catch and disposition. The new rules limit the catch, possession or landing of anchovy to 5 mt daily and to 10 mt weekly. In addition, the rules limit the amount of anchovy taken for reduction (or the conversion of fish to products such as fish meal or fertilizer) to 15% of a landing by weight. These rules were intended to discourage the development of high-volume fisheries for anchovy and yet still accommodate traditional bait fishing activity. In 2011, Washington anchovy landings totaled 191 mt, rose to 218.1 mt in 2012, and then fell to 115.7 mt in 2013.

2.3.7 California's Market Squid Fishery

In 2001, legislation transferred the authority for management of the market squid fishery to the California Fish and Game Commission (CFGC). Legislation required that the CFGC adopt a market squid fishery management plan (MSFMP) and regulations to protect and manage the resource. In August and December of 2004, the CFGC adopted the MSFMP, the environmental documentation, and the implementing regulations, which went into effect on March 28, 2005, just prior to the start of the 2005-2006 fishing season on April 1.

The goals of the MSFMP are to provide a framework that will be responsive to environmental and socioeconomic changes and to ensure long-term resource conservation and sustainability. The tools implemented to accomplish these goals include: (1) setting a seasonal catch limit of 107,048 mt (118,000 short tons (st)) to prevent the fishery from over-expanding; (2) maintaining monitoring programs designed to evaluate the impact of the fishery on the resource; (3) continuing weekend closures that provide for periods of uninterrupted spawning; (4) continuing gear regulations regarding light shields and wattage used to attract squid; (5) establishing a restricted access program that includes provisions for initial entry into the fleet, permit types, permit fees, and permit transferability that produces a moderately productive and specialized fleet; and (6) creating a seabird closure restricting the use of attracting lights for commercial purposes in any waters of the Gulf of the Farallones National Marine Sanctuary. Under this framework, the MSFMP provides the CFGC with specific guidelines for making management decisions. The CFGC has the ability to react quickly to changes in the market squid population off California and implement management strategies without the need for a full plan amendment. The MSFMP framework structure was also designed to achieve the goals and objectives of the MLMA and to be consistent with the management outlined in CPS FMP Amendment 10.

Under the restricted access program in the MSFMP, a permit is needed to participate in the fishery. Qualification for different types of permits and transferability options was based on historical participation in the fishery. In 2013, 75 vessel permits, 34 light boat permits, 44 brail (netted scoop) permits, and zero experimental permits were issued. Of the 75 vessel permits issued, 67 vessels made commercial landings in 2013. Forty-three vessels made 90 percent of the landings (by tonnage) in 2013. Market squid vessel permits allow a vessel to attract squid with lights and use large purse seine nets to capture squid. Brail permits allow a vessel to attract squid with lights and use brail gear to capture squid. Light boat permits only allow a vessel to attract squid with lights (30,000 watts, maximum). Experimental nontransferable market squid permits allow vessels to fish in areas not historically targeted by the market squid fishery (north of San Francisco). In 2014, revised regulations went into effect clarifying the take of squid incidentally after a closure of the directed market squid fishery. These regulations require incidental landings of squid to contain 10 percent or less of squid and 2 tons or less of squid, when landed with another targeted species.

2.3.8 Treaty Tribe Fisheries

The CPS FMP recognizes the rights of treaty Indian tribes to harvest Pacific sardine and provides a framework for the development of a tribal allocation. An allocation or a regulation specific to the tribes shall be initiated by a written request from a Pacific Coast treaty Indian tribe to the NMFS West Coast (previously Southwest Region) Regional Administrator at least 120 days prior to the start of the fishing season.

The Makah Tribe sent a letter to NMFS expressing their intent to attain an allocation and to enter the Pacific sardine fishery in 2006. However, no formal request was subsequently submitted.

In fall 2011 and 2012, the Quinault Indian Nation sent a letter to the NMFS SWR Regional Administrator requesting up to 9,000 mt as a Tribal sardine allocation for the 2012 and 2013 fishing years, respectively. The Quinault Nation submitted similar requests each season since, including a request for 1,000 mt for the six month season of January 1, 2014 – June 30, 2014; and 4,000 mt for the July 1, 2014 – June 30, 2015 sardine fishing year. The Council accounted for the requests when it set harvest specifications and management measures at its November 2011, 2012, 2013, and April 2014 meetings. The final tonnage amount is subsequently agreed to between NMFS and the Quinault Nation.

Quinault Indian Nation fishers harvested 1294 mt in 2012 and 586 mt in 2013. Agreements were reached with NMFS to give unharvested fish to the coast-wide fishery both of these fishery years and also in the six month season January 1, 2014 – June 30, 2014.

2.3.9 California Live Bait Fishery

Through much of the 20th century, CDFW monitored the harvest of CPS finfish in the California live bait fisheries by requiring live bait logs. Northern anchovy and Pacific sardine are the main species in this fishery, with a variety of other nearshore or CPS taken incidentally. An estimated 20% of this harvest is sold to private fishing vessels, with the remainder to the CPFV fleet, where payment to the bait haulers is on a percentage basis of the CPFV revenues (Thomson *et al.* 1994). An example of the first Live Bait Log from 1939, termed a “Daily Bait Record” as printed for the State of California, Department of Natural Resources, and Division of Fish and Game can be found in Alpin (1942). The nature of the data collected were self-reported daily estimates of the number of “scoops” taken and sold by the fishermen, by species. Although this variety of data does not lend itself readily to rigorous scientific analysis, there are at least 74 years of data available, collected in a reasonably uniform manner that can serve as an index to this low volume, high value fishery.

Studies conducted by CDFW, NMFS, and others have examined this fishery, generally with a focus on the dominant species taken over a given period. As in the directed commercial CPS fisheries, the local availability of each CPS to the bait fleet changes periodically. Problems with the live bait data such as conversion factors for scoops of live fish to weight, the economics of the fishery, the character of the fleet, and compliance rates in submitting logs have been addressed in various agency reports (Maxwell 1974; and Thomson et al. 1991, 1992, 1994).

2.3.9.1 Legislative History

Alpin (1942) describes the earliest implementation of the live bait log program in 1939, which followed a pilot program of verbal interaction with the fishermen that established four categories describing the variation in abundance or availability of CPS to the recreational industry.

Live bait logs have been at different times mandated by state law or submitted to the CDFW on a voluntary basis. In the early 1990s sardine became more prevalent in the bait fishery, and quotas were imposed on their annual take pursuant to management efforts to recover the sardine population off California. In 1995, CDFW lifted quotas restricting the quantity of sardines that the live bait industry could harvest. The sardine population along the California Coast was

increasing toward a “recovered” level, as anchovy showed a decline, and sardines became the preferred live bait over anchovy. With the sardine quota lifted, the level of scrutiny on the harvest of the live bait industry lessened.

2.3.9.2 Species Composition

The ratio of anchovy to sardine in the southern California live bait harvests shifts significantly as the populations of these two fish expand and contract over periods of years or decades. Much of the early reported harvest consisted of anchovy, following the collapse of the sardine fishery in the 1940s. Through the years 1994 to 2006 the proportion of anchovy in the total reported harvest ranged from a high of 58 percent in 1994 to a new low in 2004 of five percent. The proportion of sardine ranged from a low of 42 percent in 1994, to a high of 95 percent in 2004 (Table 4-13).

A new market squid live bait fishery has expanded in southern California in recent years. However, the amount of market squid harvested and the value of the fishery is largely unknown, as there are no permitting and reporting requirements. The live bait fishery is likely a low-volume, high-value endeavor, as recreational anglers targeting mainly white seabass are willing to pay up to \$85 for a “scoop” of live squid, approximately 12 pounds.

2.3.9.3 Logbook Information

The CDFW Live Bait Log (Title 14, Section 158, California Code of Regulations: DFG 158, October 1989) requires only the estimated scoops taken daily of either anchovy or sardine be reported, and a check mark be made if certain other species are taken, with space for comments related to fishing. Other species noted, but not consistently enumerated in the live bait harvest, include white croaker (*Genyonemus lineatus*), queenfish (*Seriphus politus*), Pacific and jack mackerels, and various small fishes collectively known as “brown bait” that can include juvenile barracuda (*Sphyraena argentea*), Osmerids, Atherinids, and market squid (Table 4-11). Estimates of ancillary catch data has been documented in earlier reports, and in CPS FMP Amendment 9.

The CDFW Coastal Pelagic Species / Highly Migratory Species Project presently archives the CDFW live bait logs. Preliminary estimates of the reported total live bait harvest in California through 2008 have been appended to previously reported estimates from Thomson *et al.* (1991, 1992, 1994) (Table 4-12). The CDFW is in an ongoing effort to evaluate the current logbook structure, reporting requirements, and the information obtained in order to correct the data problems identified above, increase reporting compliance rates, and to better estimate the economics of the fishery.

2.3.10 Oregon Live Bait Fishery

Historically commercial capture of CPS for live bait has primarily occurred in the Umpqua River estuary where Pacific sardine, northern anchovy, and a number of other species not under Federal management may be taken by beach seine and sold as bait, some of which is sold as live bait. In 2009 the Oregon Fish and Wildlife Commission implemented rules to allow capture of northern anchovy in a limited number of Oregon estuaries. All other species must be released unharmed. This harvest of anchovy is limited to commercial vessels that use the anchovy as live bait in commercial fishing operations on the catching vessel. The gear used to capture anchovy is restricted to purse seines with a maximum length of 50 fathoms (300 ft), lampara nets, and hook

and line. This live bait fishery is open from July 1 to October 31. Fishers intending to fish for anchovy in this manner must notify Oregon State Police with the vessel name, fishing location and estimated time of the activity 12 hours prior to fishing activity. Information on live bait catch must be recorded in logbooks provided by ODFW.

2011

In 2011, there was no record of live bait capture of northern anchovy in Oregon estuaries under these new rules. One baitnet landing of Pacific herring, an ecosystem component species in the CPS FMP, was reported on fish tickets in 2011. A small amount of Pacific herring was landed with a small amount of Pacific sardine in Winchester Bay and both were likely used as live bait.

2012

As in 2011, there was no record of live bait capture of northern anchovy in Oregon estuaries. Four baitnet landings of Pacific herring by two vessels were reported on fish tickets in 2012. As in 2011, these were small amounts landed in Winchester Bay and most likely used as bait. No other species were reported in these landings.

2013

There were no landings of northern anchovy or Pacific herring reported for use as live bait, either in fish tickets or logbooks.

2.3.11 Washington Live Bait Fishery

The majority of Washington's anchovy catch is harvested as live bait for use in recreational and commercial fisheries. Although all Washington anchovy landings are reported on fish tickets, no distinction is made between anchovy destined for packaged product versus anchovy destined for use as live bait. The live bait fishery occurs inside three miles on the southern Washington coast, inside Grays Harbor, Willapa Bay, and the lower Columbia River.

Documented catch of anchovy has averaged about 108 mt a year since 1990, excluding 2009. Actual catch has likely been higher; until recent years commercial fishers were not required to report anchovy caught for their own use. To better account for this catch, the WDFW began in 2007 to require fishers to document all forage fish used for bait in another fishery on the fish receiving ticket for the target species. Incidentally caught species include other forage fish species which have various landing limits. Bycatch of non-forage fish species is not documented but includes rare encounters with sturgeon by purse seine gear. Since quality is paramount in the live bait fishery, fishermen avoid encountering non-forage fish species; any that are encountered are released quickly

2.3.12 References

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California Fish and Game Code. 2000. Lexis Law Publishing, Charlottesville, VA. 553 p.

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Title 14, California Code of Regulations. Title 14, Section 158, California Code of Regulations: DFG 158, October 1989.

3.0 REFERENCE POINTS AND MANAGEMENT FRAMEWORK

3.1 Optimum Yield

The MSA defines the term “optimum,” with respect to the yield from a fishery, as the amount of fish which:

- will provide the greatest overall benefit to the Nation, particularly with respect to food production and recreational opportunities, and taking into account the protection of marine ecosystems.
- is prescribed on the basis of the MSY from the fishery, as reduced by any relevant social, economic, or ecological factor.
- in the case of an overfished fishery, provides for rebuilding to a level consistent with producing the MSY in such fishery [50 *CFR* §600.310(f)(1)(i)].

OY for a CPS stock is defined to be the level of harvest which is less than or equal to ABC estimated using an ABC control rule, consistent with the goals and objectives of this FMP, and used by the Council to manage the stock. In practice, OY is determined with reference to ABC. As necessary additional OY considerations (economic, social, and ecological) will be used to set ACLs, ACTs, and/or HGs on an annual or multi-year basis. In particular, OY will be set less than OFL/ABC to the degree required to prevent overfishing.

3.2 Definition of Overfishing Limits, MSY, and OFL and ABC Control Rules

The harvest control rules for CPS are defined to be a harvest strategy that provides biomass levels at least as high as the F_{MSY} approach while also providing relatively high and relatively consistent levels of catch. According to Federal regulations (50 *CFR* ' 600.310(b)(1)(ii)), an MSY control rule is "a harvest strategy which, if implemented, would be expected to result in a long-term average catch approximating MSY." Similarly, MSY stock size "means the long-term average size of the stock or stock complex, measured in terms of spawning biomass or other appropriate units that would be achieved under an MSY control rule in which the fishing mortality rate is constant." The CPS harvest control rules are more conservative than MSY-based management strategies, because the focus for CPS is oriented primarily towards stock biomass levels at least as high as the MSY stock size while reducing harvest as biomass levels approach overfished levels. The primary focus is on biomass, rather than catch, because most CPS (Pacific sardine, northern anchovy, and market squid) are very important in the ecosystem for forage.

3.3 Definition of Overfishing

Overfishing occurs whenever a stock or stock complex is subjected to a level of fishing mortality or annual total catch that jeopardizes the capacity of a stock or stock complex to produce MSY on a continuing basis. The definition of overfishing is in terms of a fishing mortality or exploitation rate. In general, overfishing criteria for CPS are based on MSY or MSY proxy harvest rates applied to the best available estimate of biomass. In cases where biomass estimates or stock distributions include portions of the population in foreign waters, a DISTRIBUTION term will be used to estimate the percentage of the population in U.S. EEZ.

Overfishing in the CPS fishery is “approached” whenever projections indicate overfishing will occur within two years. Depending on the exploitation rate, overfishing can occur when CPS stocks are at either high or low abundance levels. The Council must take action to eliminate overfishing when it occurs and to avoid overfishing when exploitation rates approach the overfishing level.

In operational terms, overfishing occurs in the CPS fishery whenever catch exceeds the overfishing limit (OFL); an annual amount of catch. This annual amount of catch corresponds to the estimate of MSY fishing mortality on an annual basis.

3.4 Definition of an Overfished Stock

By definition, an overfished stock in the CPS fishery is a stock at a biomass level low enough to jeopardize the capacity of the stock to produce MSY on a continuing basis. An overfished condition is approached when projections indicate that stock biomass will fall below the overfished level within two years. The Council must take action to rebuild overfished stocks and to avoid overfished conditions in stocks with biomass levels approaching an overfished condition.

3.5 Rebuilding Programs

Management of overfished CPS stocks must include a rebuilding program that can, on average, be expected to result in recovery of the stock to MSY levels in ten years. It is impossible to develop a rebuilding program that would be guaranteed to restore a stock to the MSY level in ten years, because CPS stocks may remain at low biomass levels for more than ten years even with no fishing. The focus for CPS is, therefore, on the average or expected time to recovery based on realistic projections. If the expected time to stock recovery is associated with unfavorable ecosystem conditions and is greater than ten years, then the Council and the Secretary may consider extending the time period as described at 50 CFR § 600.310(e).

Rebuilding programs for CPS are an integral part of general control rule for actively managed stocks but may be developed or refined further in the event that biomass of a CPS stock reaches the overfished level.

3.6 Harvest Control Rules

Harvest control rules in the CPS fishery may vary depending on the nature of the fishery, management goals, assessment and monitoring capabilities, and available information. Under the framework management approach used for CPS, it is not necessary to amend the CPS FMP in order to develop or modify harvest control rules or definitions of overfishing.

The use of harvest control rules for actively managed stocks is to provide managers with a tool for setting and adjusting harvest levels on a periodic basis while preventing overfishing and overfished stock conditions. All actively managed stocks must have stock-specific harvest control rules, a definition of overfishing and a definition of an overfished stock.

Along with preventing overfishing, the main use of control rules for the monitored stocks is to help gauge the need for active management. Harvest control rules and harvest policies for monitored CPS stocks may be more generic and simple than those for actively managed stocks with significant fisheries. Any stock supporting catches approaching the ABC levels should be actively managed unless there is too little information available or other practical problems.

In 2011, Amendment 13 to the CPS FMP was adopted to ensure the FMP was consistent with new aspects of the advisory guidelines published at 50 CFR 600.310 with respect to a process for setting ACLs and accountability measures (AMs). Amendment 13 modified management measures to include the specification of new reference points such as ACLs. This included the process for annually setting ACLs and associated AMs, as well as other provisions for preventing overfishing, such as the potential of setting ACTs.

The formulas established by Amendment 13 for actively managed species such as Pacific sardine and Pacific mackerel are shown below.

| | |
|-----|--|
| OFL | BIOMASS * F_{MSY} * DISTRIBUTION |
| ABC | BIOMASS * BUFFER * F_{MSY} * DISTRIBUTION |
| ACL | LESS THAN OR EQUAL TO ABC |
| HG | (BIOMASS - CUTOFF) * FRACTION * DISTRIBUTION |
| ACT | EQUAL TO HG OR ACL, WHICHEVER VALUE IS LESS |

The OFL is an annual catch amount that corresponds to the estimate of (annual) MSY fishing mortality. The OFL is expressed in terms of numbers or weight of fish; overfishing occurs if catch exceeds the OFL. For Pacific sardine the OFL is based on a MSY proxy harvest rate, determined by the best available scientific information, applied to the best available estimate of biomass. Additionally, because a portion of the sardine population is in foreign waters, the OFL is adjusted using a DISTRIBUTION to estimate the percentage of the population in the U.S. EEZ.

The ABC is a harvest specification set below the OFL and is a threshold that incorporates a scientific uncertainty buffer against overfishing (i.e., exceeding the OFL). The ABC is decided by the Council based on its preferred level of overfishing risk aversion. The ABC incorporates a percentage reduction of the OFL selected according to an SSC determination on scientific uncertainty and a risk policy determined by the Council. In cases where scientific uncertainty (σ) associated with estimating an OFL is quantified by the SSC, the percentage reduction that defines the scientific uncertainty buffer and the ABC can be determined by translating the estimated σ to a range of probability of overfishing (P_{star}) values. After the Council decides on its level of preferred risk (P_{star}) that value is matched to its corresponding BUFFER fraction. The BUFFER fraction then is applied to the OFL according to the ABC control rule.

An ACL is the level of annual catch of a population or population complex that is set to help prevent overfishing from occurring and, if met or exceeded, that triggers accountability measures such as a closure of the fishery or a review the management strategy of the fishery. The Pacific sardine fishery is managed to keep total catch from all sources below the ACL. ACLs are set no higher than ABC, and the HG cannot exceed the ACL or ABC. In cases where the result of the HG formula exceeds the ABC value, the Council will set a lower ACL, HG, or ACT in response. Along with optimum yield (OY) considerations, an HG or ACT may be utilized below an ACL or sector-specific ACL to account for management uncertainty, discard or bycatch mortality and

research take. These provisions will be considered on an annual basis in response to changing resource status and fishery dynamics.

Along with the setting of HGs or ACTs below the ACL, accountability measures (AMs) are in place, such as inseason management controls and post-season review processes, to prevent ACLs from being exceeded and to correct or mitigate overages of the ACL if they occur.

To some extent, the previously existing HG control rules for actively managed species also merge scientific uncertainty and OY considerations thereby providing additional reductions from OFL levels. Therefore, HG control rules are considered in conjunction with ABC control rules to prevent overfishing (see Section 4.6).

For monitored stocks, Amendment 13 maintained the previously existing harvest control rules but modified them so as to specify the new necessary management reference points. Amendment 13 stated that for the monitored finfish stocks (Northern anchovy [northern and central subpopulations] and jack mackerel) the OFL would be based on existing species-specific MSYs, if previously specified, or other MSY proxies. The existing 75 percent reduction buffer in the ABC control rule (ABC equals 25 percent of MSY) would remain in use until recommended for modification by the Council's Scientific and Statistical Committee (SSC) based on best available science and approved by the Council (below). ABCs are further reduced based on estimated resident stock size in U.S. waters. ACLs would be specified for multiple years until such time as the species becomes actively managed or new scientific information becomes available.

Default control rules for CPS Finfish Monitored Stocks:

| | |
|-----|--|
| OFL | STOCK SPECIFIC MSY OR MSY PROXY |
| ABC | OFL * 0.25 |
| ACL | Equal to ABC or reduced by other OY considerations |

Reference points for monitored CPS stocks are difficult to determine due to limited data to estimate biomass and productivity, however current landings of CPS finfish monitored stocks are extremely low. While landings remain low, the stock remains in the monitored category, ACLs are specified for multiple years, and stock status is assessed infrequently; any stock supporting catches approaching or exceeding the ACL levels will be reviewed to see if they should be moved to active management.

The default control rules and overfishing specifications are generally used for these monitored stocks. Stock specific MSY proxies, ABC, and ACLs can be revised based on the best available science as recommended by the SSC and as adopted through the annual harvest specification process, and will be reported in the CPS SAFE.

3.6.1 General Harvest Guideline/Harvest Control Rule for Actively Managed Species

The general form of the harvest control rule used for actively managed CPS fisheries was designed to continuously reduce the exploitation rate as biomass declines. The general formula used is:

$$HG = (BIOMASS - CUTOFF) \times FRACTION$$

where HG is the harvest target level, CUTOFF is the lowest level of estimated biomass at which directed harvest is allowed, and FRACTION is the fraction of the biomass above CUTOFF that can be taken by the fishery. The BIOMASS is generally the estimated biomass of fish age 1+ at the beginning of the fishing season. The purpose of CUTOFF is to protect the stock when biomass is low. The purpose of FRACTION is to specify how much of the stock is available to the fishery when BIOMASS exceeds CUTOFF. It may be useful to define any of the parameters in this general harvest control rule, so they depend on environmental conditions or stock biomass. Thus, the harvest control rule could depend explicitly on the condition of the stock or environment.

The formula generally uses the estimated biomass for the whole stock in one year (BIOMASS) to set harvest for the entire stock in the following year (HG), although projections or estimates of BIOMASS, index of abundance values, or other data may be relied upon as well. The BIOMASS represents an estimate and thus is subject to some amount of uncertainty. For example, recent CPS stock assessments resulted in coefficients of variation associated with terminal biomass estimates of roughly 30%. It is important to note that scientific uncertainty around biomass estimates (stock assessment error) was accounted for in the current Pacific sardine harvest guideline rule.

The general harvest control rule for CPS (depending on parameter values) is compatible with the MSA and useful for related species that are important as forage. If the CUTOFF is greater than zero, then the harvest rate (HG/BIOMASS) declines as biomass declines. By the time BIOMASS falls as low as CUTOFF, the harvest rate is reduced to zero. The CUTOFF provides a buffer of spawning stock that is protected from fishing and available for use in rebuilding if a stock becomes overfished. The combination of a spawning biomass buffer equal to CUTOFF and reduced harvest rates at low biomass levels means that a rebuilding program for overfished stocks may be defined implicitly. Moreover, the harvest rate never increases above the FRACTION. If the FRACTION is approximately equal to F_{MSY} , then the harvest control rule harvest rate will not exceed F_{MSY} . In addition to the CUTOFF and FRACTION parameters, a maximum harvest level parameter (MAXCAT) was established so that total harvest specified by the general formula never exceeds the 200,000 mt. The MAXCAT is used to protect against extremely high catch levels due to errors in estimating biomass, to reduce year-to-year variation in catch levels, and to avoid overcapitalization during short periods of high biomass and high harvest. Also, the MAXCAT distributes the catch from strong year classes across a wider range of fishing seasons.

Other general types of control rules may be useful for CPS and this FMP does not preclude their use as long as they are compatible with National Standards and the MSFCMA.

3.6.2 Harvest Guideline Control Rule for Pacific Sardine

The harvest control rule for Pacific sardine sets an HG for the U.S. fishery based on an estimate of biomass for the whole sardine stock, a minimum biomass threshold (CUTOFF) equal to 150,000 mt, a harvest FRACTION between 5% and 15% (depending on oceanographic conditions as described below), and maximum allowable catch (MAXCAT) of 200,000 mt (PFMC 1998). The

U.S. HG is calculated from the target harvest for the whole stock by prorating the total HG based on 87% DISTRIBUTION of total biomass in U.S. waters, e.g.:

$$\text{HG} = (\text{BIOMASS} - \text{CUTOFF}) \cdot \text{FRACTION} \cdot \text{DISTRIBUTION}$$

Harvest FRACTION depends on recent ocean temperatures, because sardine stock productivity is typically higher under ocean conditions associated with warm water temperatures. An estimate of the relationship between F_{MSY} for sardine and ocean temperatures is:

$$F_{\text{MSY}} = 0.248649805 T^2 - 8.190043975 T + 67.4558326,$$

where T is the average three-season sea surface temperature (SST) ($^{\circ}\text{C}$) at Scripps Pier (La Jolla, California) during the three preceding seasons. Thus, the control rule for Pacific sardine sets the control rule parameter FRACTION equal to F_{MSY} over a narrow range of temperatures, such that FRACTION is never allowed to be higher than 15% or lower than 5%.

Although F_{MSY} may be lesser or greater, FRACTION can never be less than 5% or greater than 15% unless the control rule for sardine is revised, because the 5% and 15% bounds are policy decisions based on social, economic, and biological criteria. In contrast, relationships between FRACTION, F_{MSY} and environmental conditions are technical questions and estimates or approaches may be revised by technical teams (e.g., the CPSMT) to accommodate new ideas and data.

In February 2013, the Council and the NOAA Southwest Fisheries Science Center convened a workshop of experts to re-visit parameters of Pacific sardine harvest control rule. The workshop participants found that the California Cooperative Oceanic Fisheries Investigations (CalCOFI) temperature series provides a better relationship to sardine productivity than the SIO temperature series. Subsequently, the council initiated a process to use the CalCOFI temperature index in sardine management. The Council was able to use the new temperature series and revised F_{MSY} relationship to determine the OFL and ABC at the April 2014 meeting. However, using the new temperature and temperature relationship in the HG control rule required a different process, under the framework of the CPS FMP. Council and NMFS staff, along with the CPSMT, developed a draft environmental assessment, with final Council action scheduled for the November 2014 meeting. That would allow the Council to use the revised HG control rule when it sets annual sardine management measures at its April 2015 meeting. The revised F_{MSY} relationship under consideration at the September and November 2014 Council meetings is:

$$F_{\text{MSY}} = -18.46452 + 3.25209 (T) - 0.19723(T^2) + 0.0041863(T^3)$$

The Council also considered adjusting the harvest FRACTION range to something other than 5%-15%, in order to provide the same harvest policy approach toward Pacific sardine that has been employed under the CPS FMP. Alternative FRACTION ranges considered included 0%-20%, 5%-20%, and 10%-20%. The Council took final action in November 2014, and adopted a harvest FRACTION range of 5%-20%.

3.6.3 Harvest Control Rule (Harvest Guideline (HG) rule) for Pacific Mackerel

The HG control rule for Pacific mackerel sets the CUTOFF and the definition of an overfished stock at 18,200 mt and the FRACTION at 30%. Overfishing is defined as any fishing in excess of the OFL calculated using the OFL control rule. No MAXCAT is defined, given the U.S. fishery appears to be limited by markets and resource availability to about 40,000 mt per year; however,

in the event landings increase substantially, then the need for such a cap should be revisited. The target harvest level is defined for the entire stock in Mexico, Canada, and U.S. waters (i.e., not just the U.S. portion), and the U.S. target harvest level is prorated based on 70% relative abundance in U.S. waters.

3.6.4 Default CPS Control rule and Monitored Stocks

Northern anchovy (northern and central subpopulations), jack mackerel and market squid are currently classified under monitored status in CPS FMP. The Council may use the default harvest control rule ($ABC = OFL * 0.25$) for setting ABC for Monitored species unless a better species-specific rule is available, as is the case for market squid. The default harvest control rule can be modified under framework management procedures.

3.3.5.1 Northern Anchovy-Central Subpopulation

The central subpopulation of northern anchovy ranges from approximately San Francisco, California, to Punta Baja, Mexico. The OFL or ABC is prorated by the DISTRIBUTION of the stock in U.S. waters to arrive at ABC in U.S. waters. In November 2010, the Council adopted an ABC and ACL both equal to 25,000 mt.

3.3.5.2 Northern Anchovy-Northern Subpopulation

The northern subpopulation of northern anchovy ranges from San Francisco north to British Columbia, with a major spawning center off Oregon and Washington that is associated with the Columbia River plume. The northern subpopulation supports small but locally important bait and human consumption fisheries. Northern anchovy is an important source of forage to local predators, including depleted and endangered salmonid stocks.

Additionally the portion of the northern subpopulation of northern anchovy resident in U.S. waters is unknown. It is likely that some biomass occurs in Canadian waters off British Columbia. In November 2010, the Council adopted an ABC and ACL both equal to 9,750 mt.

3.3.5.3 Jack Mackerel

The MSY level for jack mackerel is calculated by age/area from mid-range potential yield values. OFL or ABC in U.S. waters is prorated according to the DISTRIBUTION of the stock in U.S. waters (65 percent). In November 2010, the Council established an ABC and an ACL both equal to 31,000 mt.

3.3.5.4 Market Squid

The MSY Control Rule for market squid is founded generally on conventional spawning biomass “per recruit” model theory. Specifically, the MSY Control Rule for market squid is based on evaluating (throughout a fishing season) levels of egg escapement associated with the exploited population. The estimates of egg escapement are evaluated in the context of a “threshold” that is believed to represent a minimum level that is considered necessary to allow the population to maintain its level of abundance into the future (i.e., allow for “sustainable” reproduction year after year). In practical terms, the Egg Escapement approach can be used to evaluate the effects of

fishing mortality (F) on the spawning potential of the stock, and in particular, to examine the relation between the stock's reproductive output and candidate proxies for the fishing mortality that results in MSY (F_{MSY}).

The fishing mortality (F_{MSY}) that results in a threshold level of egg escapement of at least 30 percent is used as a proxy for MSY. However, it is important to note that the level of egg escapement is reviewed periodically, as new information becomes available concerning the dynamics of the stock and fishery, to ensure that the threshold meets its objective as a long-term, sustainable biological reference point for this marine resource. This is not a trivial exercise, given the need for ongoing research regarding the biology of this species, which may result in revised recommendations in the future. Current studies include developing an aging program, sampling reproductive status of squid landed in the fishery, and a collaboration with industry to develop a long-term index of paralarval abundance. The market squid fishery operates within the constraints of currently adopted regulations of the MSFMP (e.g., annual landings cap, weekend closures, closed areas, limited entry), and also monitored by NMFS, as long as egg escapement is equal to, or greater than, the threshold value. In the event that egg escapement is determined to be below the 30 percent threshold for two successive years, then a point-of-concern would be triggered under the FMP's management framework, and the Council could consider moving market squid from Monitored to Active management status. Current state regulations for squid are not anticipated to change in the near future, however, should existing laws limiting effort or harvest be rescinded, further management actions by the Council could also be considered. In November 2010, the Council adopted an ABC proxy of F_{msy} resulting in egg escapement $\geq 30\%$. Recent research has provided new information regarding squid egg escapement (see Dorval et al 2013).

3.7 Annual Specifications and Announcement of Harvest Levels

Each year, the Secretary will publish in the *Federal Register* the final specifications for all CPS Actively managed by the Council. The total U.S. harvest will be allocated to the various fisheries as ACLs, HGs or ACTs, or as quotas.

In calculating ACLs, ACTs, HGs and quotas for each species, an estimate of the incidental catch of each species caught while fishermen are targeting other species will be taken into account. Therefore, the total HG will consist of an incidental catch portion and a directed fishery portion. In general, HGs or ACTs will be used to describe direct and incidental commercial fishery take, will be set in accordance with harvest control rules, and may be below the ACL to take into account management uncertainty and additional known sources of mortality such as recreational harvest, discards, bycatch, research take, and live bait fisheries. This will be done to minimize the chances of exceeding the target harvest levels and the ACL.

If the HG, ACL, or ACT for the directed fishery is reached the directed fishery will be closed by an automatic action and incidental catch will continue to be allowed under the incidental catch allowance, which is expressed in an amount of fish or a percentage of a load (Section 5.1). If the estimated incidental catch portion of the HG, ACL, or ACT has been set too high, resulting in the probability of not attaining the target harvest level by the end of the fishing season, the remaining incidental catch portion may be allocated to the directed fishery through the "routine" management procedures. This reallocation of the remaining incidental catch portion of the HG to the directed

fishery is not likely to be necessary unless substantial errors are discovered in calculations or estimates.

3.7.1 General Procedure for Setting Annual Specifications

The intent of the management approach under the FMP is to reassess the status of each Actively managed species at frequent intervals and preferably every year (although a full analytic stock assessment may not be necessary or possible in some cases). The general procedure for making the annual specifications for CPS is as follows:

1. The CPSMT will produce a SAFE report that documents the current estimates of biomass for each CPS assessed and status of the fishery. In the report, the CPSMT will include the most recent harvest specifications and the stock assessment used to inform harvest specifications.
2. The Council will review all information compiled for the annual specifications, consider recommendations of the SSC, CPSMT, CPSAS; and will hear public comments. The Council also will review any important social and economic information at that time, then make a recommendation to the NMFS Regional Administrator on the final specifications, including OFL, ABC, OY levels, ACLs, ACTs, HGs, quotas, allocations, and other management measures for the fishing season.
3. Following the Council meeting, the NMFS Regional Administrator will make a determination of the final specifications. This determination will be published in the *Federal Register* with a request for additional public comment.
4. Alternate Procedure: If assessment and season schedules warrant, the NMFS Regional Administrator may make preliminary harvest specifications quickly (without prior discussion at a Council meeting) to allow fishing to begin without delay. As soon as practicable, the Council will review all background documents contributing to the determination of the biomass estimates and make a final recommendation for the resulting target harvest level, HGs and quotas. Following the meeting of the Council, the NMFS Regional Administrator will consider all comments and make a determination of whether any changes in the final specifications are necessary. If such changes are warranted, they will be published in the *Federal Register*.

The intention of the proposed regulations is to have public review of and a Council recommendation on the estimated biomass and HGs before the fishing season begins; however, the NMFS Regional Administrator is not precluded from announcing the HGs in the *Federal Register* before the process is completed so that fishermen can plan their activities and begin harvesting when the fishing season begins.

If assembling the data and producing a report would require enough time that permitting a complete public review before the beginning of the fishing season could reduce the season, then this alternate procedure should be used.

5. NMFS and the west coast states will monitor the fishery throughout the year, tracking incidental catch, ACTs, and HGs and quotas. If an HG or quota for any species is or is likely

to be reached prematurely, a "point of concern" may occur, triggering a possible review of the status of the stock. If the directed harvest portion of an ACT or ACL, HG, or quota is reached, then directed fishing will be prohibited and the pre-specified incidental trip limit will be imposed as an automatic action through publication of a notice in the *Federal Register*.

3.8 Section References:

California Department of Fish and Game (CDFG). 2005. Final market squid fishery management plan. Document can be obtained from State of California Resources Agency, Department of Fish and Game, Marine Region, 4665 Lampson Avenue (Suite C), Los Alamitos, CA 90720. 124 p.

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Pacific Fishery Management Council (PFMC). 2002. Status of the Pacific Coast coastal pelagic species fishery and recommended acceptable biological catches: stock assessment and fishery evaluation (2002). Appendix 3: market squid MSY. Document can be obtained from Pacific Fishery Management Council, 7700 NE Ambassador Place, Suite 200, Portland, OR 97220.

4.0 Bycatch and Discard Mortality

Fishery management plans prepared by a fishery management council or by the Secretary must, among other things, establish a standardized reporting methodology to assess the amount and type of bycatch occurring in the fishery, and include conservation and management measures to the extent practicable and in the following priority:

1. Minimize bycatch.
2. Minimize the mortality of bycatch that cannot be avoided.

The MSA defines bycatch as “fish which are harvested in a fishery, but which are not sold or kept for personal use, and includes economic discards and regulatory discards. Such term does not include fish released alive under a recreational catch and release fishery management program” (16USC1802).

CPS vessels fish with roundhaul gear (purse seine or lampara nets). These are encircling type nets, which are deployed around a school of fish or part of a school. When the school is surrounded, the bottom of the net may be closed, then the net drawn next to the boat. The area including the free-swimming fish is diminished by bringing one end of the net aboard the vessel. When the fish are crowded near the fishing vessel, pumps are lowered into the water to pump fish and water into the ship’s hold. Another technique is to lift the fish out of the net with netted scoops (e.g., stocking brails). Roundhaul fishing results in little unintentionally caught fish, primarily because the fishermen target specific schools, which usually consists of one species. CPS typically school with similarly sized fish. The most common incidental catch in the CPS fishery is another coastal pelagic species (e.g., Pacific mackerel incidental to the Pacific sardine fishery). If larger fish are in the net, they can be released alive before pumping or brailing by lowering a section of the cork-line or by using a dip-net. The load is pumped out of the hold at the dock, where the catch is weighed and incidentally-caught fish can be observed and sorted. Because pumping at sea is so common, any incidental catch of small fish would not be sorted at sea. Grates can be used to sort larger non-CPS from the catch. Grates are mandatory in Oregon to sort larger non-CPS from the catch. At-sea observers have recorded discard at one time or another since the year 2000 off the states of Oregon, Washington, and California. Incidental harvest of non-prohibited larger fish are often taken home for personal use or processed.

Historically, market squid have been fished at night with the use of powerful lights, which cause squid to aggregate, allowing fishermen to pump squid directly from the sea or to encircle them with a net. California actively manages the market squid fishery in waters off California and has developed an FMP for the state-managed fishery. Management measures pertinent to bycatch include

Establishing a prohibition on use of lights in Gulf of the Farallones National Marine Sanctuary to eliminate the potential of future negative interactions with seabirds.

Additionally, several circumstances in the fishery tend to reduce bycatch:

1. Most of what would be called bycatch under the MSA is caught when roundhaul nets fish in shallow water over rocky bottom. Fishermen try to avoid these areas to protect their gear. Also, they may be specifically prohibited to fish these areas because of closures.
2. South of Pt. Buchon, California, many areas are closed to roundhaul nets under California law and the FMP, which reduces the chance for bycatch.

3. In California, a portion of the sardine caught incidentally by squid or anchovy harvesters can be sold.
4. A provision in the CPS FMP allowing landings of less than five tons without a LE permit should reduce an regulatory discard, because those fish can be landed without penalty.
5. From 1996 to 2003, bycatch from the live bait logs was reported with an incidence of 10%. The primary species taken as incidental catch was barracuda. Virtually all fish caught incidentally in this fishery are either used for bait, for personal use, or released alive. (See Table 4-11).
6. CDFW's logbook program for the squid fishery collects data including bycatch.

4.1 Federal Protection Measures

The National Marine Fisheries Service regularly conducts Endangered Species Act (ESA) section 7 consultations to ensure that federally threatened or endangered species are not adversely affected by federally managed fisheries. Since 1999, the NMFS Sustainable Fisheries Division (SFD) Southwest Region/West Coast Region has conducted numerous formal and informal consultations with Federal agencies, including the NMFS Protected Resource Division (PRD) and U.S. Fish and Wildlife Service (USFWS) regarding CPS fisheries. In all informal consultations the PRD concurred with the SFD, that the CPS fishery is not likely to adversely affect protected resources. In all formal consultations on the Pacific sardine fishery specifically, no jeopardy determinations were made.

Most recently, the NMFS SWR Sustainable Fisheries Division initiated a formal Section 7 consultation with NMFS SWR Protected Resources Division (PRD) on the continued management and prosecution of the Pacific sardine fishery. PRD completed a formal Section 7 consultation on this action and in a biological opinion (BO) dated December 21, 2010, determined that fishing activities conducted under the CPS FMP and its implementing regulations are not likely to jeopardize the continued existence of any endangered or threatened species under the jurisdiction of NMFS or result in the destruction or adverse modification of critical habitat of any such species. Specifically, the current status of the Lower Columbia River Chinook, Snake River Fall Chinook, Upper Willamette Chinook, Puget Sound Chinook, Lower Columbia River coho and Oregon coast coho, were deemed not likely to be jeopardized by the Pacific sardine fishery. Additionally, NMFS determined that the potential for direct incidental take of other ESA-listed salmon, marine mammals, sea turtles, green sturgeon, abalone, or steelhead, through the harvest of sardines in the purse seine fishery was discountable, and the potential indirect adverse effects of sardine harvest on ESA-listed species were insignificant.

NMFS also initiated an ESA Section 7 consultation with USFWS regarding the possible effects of implementing Amendment 11 to the CPS FMP. USFWS concurred with NMFS and determined that implementing Amendment 11 may affect, but was not likely to adversely affect: the endangered tidewater goby, the threatened western snowy plover, the Santa Ana sucker, the endangered short tailed albatross, the endangered California brown pelican, the endangered California least-tern, the threatened marbled murrelet, the threatened bald eagle, the threatened bull trout, and the candidate Xantus's murrelet. Formal consultation, however, was deemed necessary on the possible effects to the southern sea otter. The resulting BO signed June 16, 2006, concluded that fishing activities conducted under Amendment 11 and its implementing regulations were not likely to jeopardize the continued existence of the otter. As a result of this BO new

reporting requirements and conservation measures were implemented within the CPS FMP to provide further protection for southern sea otters.

These reporting requirements and conservation measures require all CPS fishermen and vessel operators to employ avoidance measures when sea otters are present in the fishing area and to report any interactions that may occur between their vessel and/or fishing gear and otters. Specifically, these new measures and regulations are:

1. CPS fishing boat operators and crew are prohibited from deploying their nets if a southern sea otter is observed within the area that would be encircled by the purse seine.
2. If a southern sea otter is entangled in a net, regardless of whether the animal is injured or killed, such an occurrence must be reported within 24 hours to the Regional Administrator, NMFS West Coast Region.
3. While fishing for CPS, vessel operators must record all observations of otter interactions (defined as otters within encircled nets or coming into contact with nets or vessels, including but not limited to entanglement) with their purse seine net(s) or vessel(s). With the exception of an entanglement, which will be initially reported as described in #2 above, all other observations must be reported within 20 days to the Regional Administrator.

4.1.1 California Coastal Pelagic Species Pilot Observer Program

NMFS SWR initiated a pilot observer program for California-based commercial purse seine fishing vessels targeting CPS in July 2004 with hopes of augmenting and confirming bycatch rates derived from CDFW dockside sampling. SWR personnel trained the first group of CPS observers in mid-July in Long Beach, California. Frank Orth and Associates, a private contractor, hired and provided observers for training and subsequent deployment. Six observers who had previous experience in other SWR-observed fisheries attended and completed the course. The training course emphasized a review of ongoing observer programs (drift gillnet, pelagic longline) and introduction to the soon-to-be observed fisheries (purse seine, albacore hook-and-line). The training curriculum included vessel safety, fishing operations, species identification, and data collection.

In late July 2004, observers began going to sea aboard CPS vessels. Observers used ODFW's Sardine Bycatch Observations' form to record data on fishing gear characteristics, fishing operations, and target/non-target species catch and disposition. Observers also recorded data on trip specifics and protected species sightings/interactions. Observers had access to data field definitions in their SWR observer program Field Manuals. Most data detailing length, volume, or weight were obtained verbally from the vessel operator. Position and time data were recorded by the observer directly from hand-held or on-board electronics.

Data from this program has been compiled through 2008 (Tables 6-1 through 6-4). A total of 107 trips by vessels targeting CPS (228 sets) were observed from July 2004 to January 2006. Tables 6-1 through 6-4 show how incidental catch and bycatch data collected during this time and are categorized by target species of the trip (i.e., Pacific sardine, Pacific mackerel, market squid or anchovy). Additionally, from January 2006 to January 2008 a total of 199 trips (426 sets) were observed.

Potential future needs of any CPS observer program include: standardization of data fields, development of a fishery-specific Observer Field Manual, construction of a relational database for

the observer data, and creation of a statistically reliable sampling plan. A review of the protocol and catch data by NMFS Southwest Science Center staff, the CPS Management team and other CPS interested parties is planned in the future to help address some of these needs.

4.2 Fishery South of Pigeon Point

Information from at-sea observations by the CDFW and conversations with CPS fishermen suggest that bycatch south of Pigeon Point is not significant in these fisheries. However, some individuals have expressed concern that game fish and salmon might constitute significant bycatch in this fishery. This is a reasonable concern, because anchovy and sardine can be forage for these predators, but there are no data to confirm significant bycatch of these species. CDFW port samples indicate minimal incidental catch in the California fishery (Tables 4-5). The behavior of predators, which tend to dart through a school of prey rather than linger in it, and can more easily avoid encirclement with a purse seine, may help to minimize bycatch.

CDFW port samplers collect information from CPS landings in Moss Landing and ports to the south. Biological samples are taken to monitor the fish stocks, and port samplers report incidentally caught fish. Reports of incidental catch by CDFW port samplers confirm small and insignificant landings of bycatch at California off-loading sites (Tables 4-5). These data are likely representatives of actual bycatch, because (as noted) fish are pumped from the sea directly into fish holds aboard the vessel. Fishermen do not sort catch at sea or what passes through the pump. Unloading of fish also occurs with pumps. The fish are either pumped into ice bins and trucked to processing facilities in another location, or to a conveyor belt in a processing facility, where fish are sorted, boxed, and frozen.

From 1985 through 1999, there were 5,306 CDFW port samples taken from the sardine and mackerel landings. From 1992 to 1999, incidental catch was reported on only 179 occasions, representing a 3.4 percent occurrence. Up to 1999 reports of incidental catch were sparse, and prior to 1992 none were reported. Earlier incidents of bycatch may not have been noted, because the harvest of anchovy and sardine was small, and only since 1995 did the harvest of sardine increased substantially (see Table 8-1). The incidental catch reported are primarily marketable species that do not meet the definition of bycatch in the MSA. During this period, unless an incidental species represented a significant portion of the load (at least a whole percentage point) the amount of the incidental catch was not recorded. Of the incidental catch reported from 1992 to 1999, the two most prevalent species were market squid at 79 percent, and northern anchovy at 12 percent incidence within samples (not by load composition). CDFW port samples provide useful information for determining the significance of bycatch in the CPS fishery off California (south of Pigeon Point).

In 2001, California wetfish port samplers began tallying undocumented incidental catch observed during landings in greater detail, and listed the occurrence of species in each sampled landing. The port sampling program records bycatch observed (i.e., presence or absence evaluations), but actual amounts of incidental catch have not been quantified to date. In 2011, bycatch data was recorded by estimates of pounds observed in an offload at northern California ports. Offloading facilities in northern California allow observations and estimates of bycatch amounts compared to southern California ports. These observations are summarized in Table 4-5 for the 5 years between 2009 and 2013. The dynamic of the 2008 sardine fishery changed due to a decrease in the annual harvest guideline. Since then, fishing activity no longer takes place year around, but has been truncated

within each allocation period. This may have affected the types and frequencies of organisms observed during the offloading process of sardine. The most commonly occurring flora and fauna in wetfish landings during 2013 were jack mackerel, market squid, kelp, Pacific sanddab, hornyhead turbot, kelp bass, unspecified octopus, Pacific bonito, and California scorpionfish. Fifty-six incidental species were observed in total.

Larger fish and animals are typically sorted for market, personal consumption, or nutrient recycling in the harbor. To document bycatch more fully at sea, including marine mammal and bird interactions, NOAA Fisheries placed observers on a number of California purse seine vessels beginning in the summer of 2004, under a pilot program that continued until 2008 (see Sec. 11.6).

4.2.1 *Incidental Catch Associated with the Market Squid Fishery*

Because market squid frequently school with CPS finfish, mixed landings of market squid and incidentally caught CPS finfish occur intermittently. In 2013, less than one percent of round haul market squid landings (by tonnage) included reported incidental catch of CPS (Table 4-6).

Although non-target catch in market squid landings is considered minimal, the presence of incidental catch (species that are landed along with market squid that are not recorded through landing receipt processes [i.e., not sold] as is typically done for incidentally-caught species) has been documented through CDFW's port sampling program. During 2013, incidental catch consisted of 58 species (Table 4-7). Similar to previous years, most of this catch was other pelagic species, including Pacific sardine and mackerel. However, kelp and jellyfish were also observed frequently.

The extent that market squid egg beds and bottom substrate are damaged by purse seine operations, which may contribute to mortality of early life stages, is not known at this time. One way to determine if nets are disturbing egg beds is to look for egg cases in market squid landings. When market squid egg cases are observed at offloading sites, there are two potential reasons that egg cases may be in the net: 1) market squid released eggs in the net after being captured, or 2) egg cases were taken from the ocean floor during fishing activity. In 2013, market squid egg cases were identified in 6.7 percent of observed landings. Since market squid exude egg cases while in a purse seine net, the observed egg cases need to be collected and aged. If egg cases are more than one day old, then egg cases were likely to have been taken from the bottom. Based on market squid embryo development and the condition of the outside of the egg capsule, determining if the egg case was laid in the net or collected from the bottom is possible.

4.3 Fishery North of Point Arena

The Pacific sardine fishery north of Point Arena began again in 1999 after more than a 50 year hiatus. Oregon and Washington closely monitor these fisheries and collect information about landings. Information on bycatch and incidental catch from Oregon and Washington is summarized in Tables 6-8 through 6-10.

4.3.1 *Oregon*

CPS vessels landing in Oregon primarily target Pacific sardine. Oregon's LE sardine permit rules stipulate that an at sea observer be accommodated aboard vessels when requested by ODFW.

ODFW does not have personnel dedicated to observe and document bycatch of non-target species on sardine vessels and available state personnel were unable to conduct onboard observations of any CPS fishery vessels during 2011 through 2013. Also, no federal observers were placed on the vessels. To reduce bycatch, the state requires the use of a grate over the intake of the hold to sort out larger species of fish, such as salmon or mackerel. The grate size spacing can be no larger than 2-3/8 inches between bars. Oregon rules require seine gear logbooks that record incidental catch including salmonids and other species.

In 2010, the Council designated Pacific herring, which occur in waters off all three states, and jacksmelt, which typically occur only in waters off California, as “ecosystem component species” defined in the National Standard 1 guidelines when Amendment 13 to the CPS FMP was adopted (see section 2.2 for more on the status of Amendment 13). The Council also required that incidental catch of these two species continue to be reported in the SAFE document.

2011

Based on logbook records, bycatch of salmonids by the Oregon fleet remained low in 2011 and 49% of the 72 salmon caught were released live. Thus, the incidental catch rate was 0.009 salmon per mt of sardines landed (Table 4-8). Both logbook data (Table 4-9) and fish ticket data (Table 4-10) indicate that other non-target species catch in the sardine fishery remained low and in 2011 was composed entirely of Pacific mackerel. Non-target species catch in the sardine fishery included only 5.2 mt of Pacific mackerel (Table 4-10) with the 8,321 mt of sardines landed. Thus, non-target species accounted for 0.06% of total landings in the 2011 sardine fishery.

In July 2011, one vessel targeted northern anchovy and landed only Pacific sardine as incidental catch, and the quantity of sardine landed was 2.6 mt or 0.03% of targeted sardine catch. For the sardine fishery, no ecosystem component species were landed as incidental catch or recorded in logbooks in 2011 (Tables 4-9 and 4-10).

2012

The bycatch of salmonids reported in logbooks by the Oregon fleet remained at the low levels of recent years. Half (49%) of the 125 salmon reportedly caught were released live. The incidental catch rate was 0.003 salmon per mt of sardines landed (Table 4-8). Large amounts of Pacific mackerel (1,585.8 mt) were landed during the course of the sardine fishery in 2012. Some landings were comprised of 100% Pacific mackerel and likely represented opportunistic targeting when sardines may not have been as readily accessible. Other than Pacific and jack mackerels, both logbook data (Table 4-9) and fish ticket data (Table 4-10) indicate that the catch of other non-target species in the sardine fishery was comprised of Pacific herring (0.35 mt) and a trace amount of shad with the 39,936 mt of sardines landed. Non-target species, including mackerels, accounted for 4% of the sardine fishery landings in 2012.

For ecosystem component species during 2012, a small amount of Pacific herring (0.35 mt) was reported in fish ticket landing records for the sardine fishery. As in 2011, there were no reports of jacksmelt being taken in 2012, based on both fish ticket and logbook records.

2013

As in 2012, the bycatch of salmonids by the Oregon fleet was similar to levels of recent years, according to logbook records (Tables 4-8 and 4-9). Of the 198 salmon reportedly caught, 59% were released live. The incidental catch rate was 0.008 salmon per mt of sardines landed. Both logbook data (Table 4-9) and fish ticket data (Table 4-10) indicate that with the exception of mackerel, other non-target species catch in the sardine fishery remained low. Non-target species catch in the sardine fishery included 435.6 mt of Pacific mackerel, 60.1 mt of jack mackerel, and trace amounts of shad and sablefish (Table 4-10) with the 24,762 mt of sardines landed. Thus, non-target species accounted for 2.0% of total landings in the 2013 sardine fishery.

4.3.2 Washington

From 2000 through 2004, WDFW required fishers to carry at-sea observers, and to provide financial support for this observer effort. Bycatch information was collected in terms of species, amount, and condition; observers noted whether the fish were released or landed, and whether alive, dead, or in poor condition. During the five-year period of the program, overall observer coverage averaged over 25 percent of both total landed catch and number of landings made. Based on observer data, the bycatch of non-targeted species in the Washington sardine fishery was relatively low. Due to low bycatch levels, as well as a WDFW commitment to industry that the observer fee would only be assessed until bycatch in the sardine fishery could be characterized, the mandatory observer program was suspended at the conclusion of the 2004 season. A comparison of logbook and observer data from 2000 to 2004 indicated that logbook data, in general, tended to under report bycatch by 20 to 80 percent (Culver and Henry, 2006). For this reason, salmon bycatch in the Washington sardine fishery for years subsequent to the observer program is calculated by multiplying total sardine catch and the observed five-year average bycatch rates. Bycatch and mortality estimates of incidentally captured salmon by year and species are shown in Table 4-8. The estimated bycatch was 488 fish: 242 Chinook and 246 coho in 2011; 2,116 fish: 1,050 Chinook and 1,067 coho in 2012; and 1,794 fish: 890 Chinook and 904 coho in 2013.

Incidental species caught and reported on Washington fish tickets are shown in Table 4-14. Mackerel, both Pacific and jack, comprise the majority of non-target catch in the sardine fishery. Until recent years incidental catch, other than mackerel, was minimal. In 2011, mackerel was the only non-target catch (0.43 mt). However, in 2012 and 2013 other non-target species were landed and reported on fish tickets. Seven species other than mackerel were recorded in 2012 and consisted of American shad, Chinook, chum, coho, Pacific herring, pink salmon, and spiny dogfish. The non-target catch landed was less than 0.01 mt each, with the exception of Chinook (0.03 mt) and coho (0.29 mt). In 2013, eight non-target species were landed; of these the largest amount, other than mackerel, was Chinook (0.12 mt).

4.4 Section References

Culver, M., and C. Henry, 2006. Summary Report of the 2005 Experimental Purse Seine Fishery for Pacific Sardine (*Sardinops sagax*). Washington Department of Fish and Wildlife, Montesano, Washington. 11 pp.

5.0 SAFETY AT SEA CONSIDERATIONS

The safety of fishing activities is an important management concern. Roundhaul fisheries operating off the Pacific Coast are often limited by environmental conditions, most notably inclement weather. Given that the average age of permitted CPS vessels in the LE fishery is 34 years and many older vessels are constructed of wood, concern has been raised regarding their safety and seaworthiness. Implementing time/area closures or restricting transferability could impact safety by making more difficult to replace an older vessel with a newer, safer vessel; or by promoting fishing during hazardous weather conditions. This concern in part is addressed by Amendment 10 to the CPS FMP (January 2003), which allows LE permits to be transferred to another vessel and/or individual.

As discussed in Section 2.2, the Council created a long-term allocation strategy for sardines under Amendment 11 to the CPS FMP. This action is not expected to adversely impact public health or safety. However, it is expected to enhance safety at sea by advancing the reallocation date from October 1 to September 15. Waiting until October 1 to reallocate has the potential of inducing fishermen to fish in unsafe weather conditions. Ocean conditions off Oregon and Washington become increasingly rough in October. Also, crossing the Columbia River bar, always a hazardous exercise, becomes very dangerous during this time of year.

From 2008 through 2013, the directed Pacific sardine fishery experienced seasonal closures because the period allocation was (in most cases) met prior to the end of that fishing period. The declining trend in HGs, beginning in 2008 have led to a “derby style” fishery where vessels compete for a share of the seasonal harvest guideline over a short period of time. Such derby fisheries can create unsafe conditions, as season duration is compressed and competition increases.

The 2014-2015 ACT (set equal to the ACL of 23,293 mt) is the lowest in more than 10 years, and may contribute to another derby style fishery. In 2012 and 2013, the fishery did not close during the January 1-June 30 and the September 15-December 31 fishing periods, but the July 1-September 14 fishery did close. This may be more likely to occur during the July 1-September 14 fishing period than the January 1-June 30 fishing period, due to the fact that fishing is typically happening coastwide during the summer period, and early inclement weather may restrict the northwest fishery in the fall.

6.0 ECONOMIC STATUS OF WASHINGTON, OREGON, AND CALIFORNIA CPS FISHERIES IN 2011

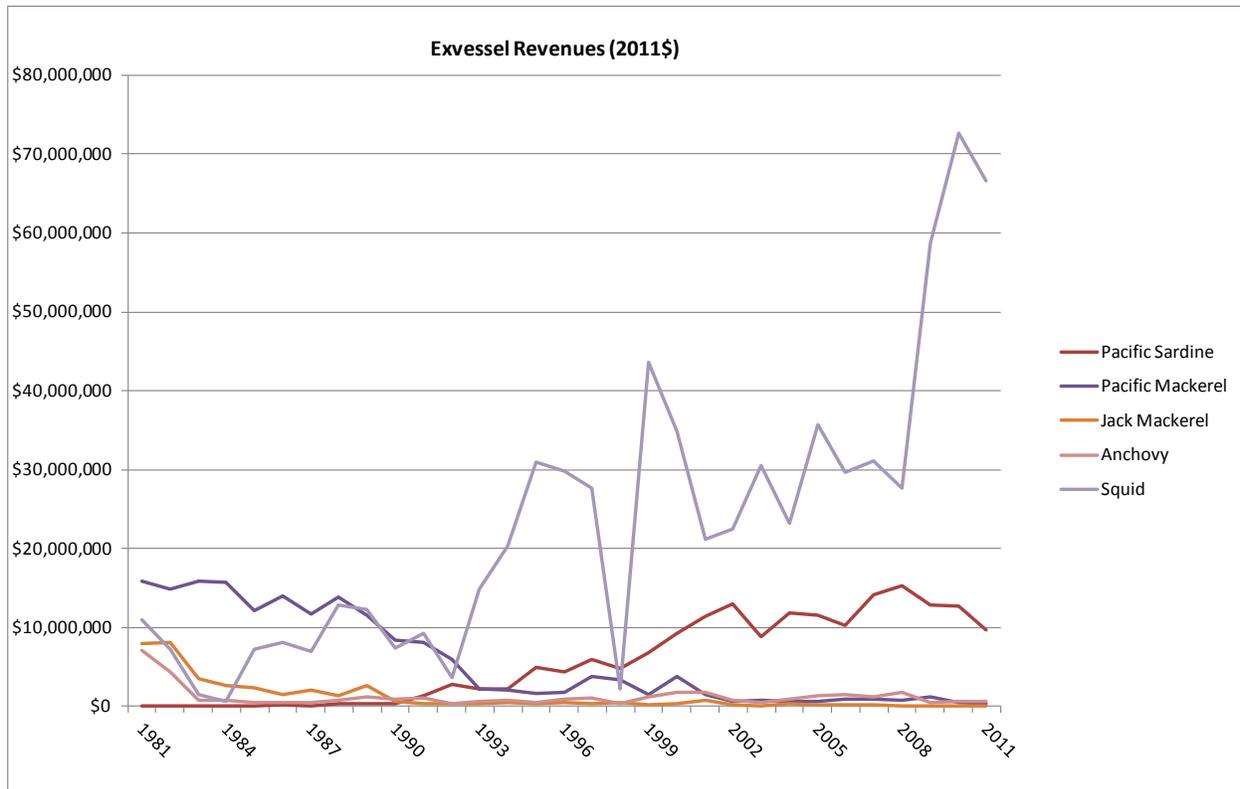
NOTE: This section, including text and figures, will be updated to reflect current data and information relevant to the economic status of CPS fisheries.

This section summarizes economic data presented in Tables 6-1 through 6-5 (Appendix A) and Figures 6-1 through 6-10 (at the end of this section). The tables have been updated, through 2013. However, the narrative in this section is pending. It reflects information through 2011 only. For more up to date information, please refer to Tables 6-1 through 6-5.

Preliminary data shows Washington, Oregon and California landings of CPS totaled 172,580 mt in 2011, a 14 percent decrease from 2010. Market squid landings, all in California, totaled 121,555 mt in 2011, down 7 percent from 2010. Pacific sardine landings of 46,746 mt in 2011 fell 30 percent from 2010 (66,892 mt). The ex-vessel revenue from all CPS landings was \$77.3 million in 2011, down 11 percent from 2010 (2010 converted to 2011 dollars).

Market squid accounted for 70 percent and Pacific sardine 27 percent of total west coast, CPS landings in 2011. Landings of Pacific mackerel decreased 35 percent, and landings of northern anchovy rose 119 percent from 2010 to 2011. Real ex-vessel market squid revenues (2011\$) decreased 8 percent from 2010. The decrease in market squid landings was accompanied by a 1 percent decrease in ex-vessel price from \$555 to \$548 per mt (2011\$). There was a 28 percent decrease in aggregate CPS finfish landings from 2010; ex-vessel revenue decreased by 22 percent. In 2011, market squid accounted for slightly more than 11 percent of total west coast ex-vessel revenues, and CPS finfish accounted for almost 2 percent. Washington, Oregon and California shares of total west coast CPS landings in 2011 were 5 percent, 6 percent and 89 percent respectively.

California sardine landings were 27,714 mt in 2011 down 18 percent from 2010, 33,659 mt. Market squid again ranked first in ex-vessel revenue generated by California commercial fisheries in 2011, with ex-vessel revenue of \$66.6 million, \$17.2 million greater than that for Dungeness crab in second place. Landings of Pacific sardine ranked seventh highest in California ex-vessel revenues in 2011 at \$4.4 million. California Pacific mackerel landings were 1,357 mt in 2011, down 34 percent from 2010. California landings of Northern anchovy were 2,601 mt in 2011, up 93 percent from 2010.



Oregon’s landings of Pacific sardine decreased 47 percent in 2011, from 20,852 mt to 11,023 mt. Sardine generated \$3.2 million in ex-vessel revenue for Oregon in 2011, 2 percent of the state’s total ex-vessel revenues, ranking it eighth behind Dungeness crab in total ex-vessel revenues. Washington landings of Pacific sardine decreased 35 percent from 12,381 mt in 2010 to 8,009 mt in 2011. With ex-vessel revenue less than 1 percent of the Washington total in 2011, sardine ranked 15th behind Dungeness crab in ex-vessel value.

Oregon landings of Pacific mackerel decreased from 49 mt in 2010 to 7 mt in 2011, and anchovy landings fell from 138 mt to 21 mt. In Washington there were no landings of Pacific mackerel in 2010 and anchovy landings rose from 120 mt to 188 mt.

In 2011, there were 148 vessels with west coast landings of CPS finfish, unchanged from 2010. With no change in the number of vessels and a decrease in total CPS finfish landings, finfish landings per vessel, 345 mt in 2011, decreased 27 percent from 2010. Of the vessels landing CPS finfish in 2011, 17 percent depended on CPS finfish for the greatest share of their 2011 ex-vessel revenues. From 2010 to 2011, the number of vessels with west coast landings of market squid increased from 159 to 167, with 60 percent of these vessels dependent on market squid for the largest share of their total 2011 exvessel revenue. Market squid landings were 727 mt per vessel in 2011, down 11 percent from 2010. Market squid total exvessel revenue shares for vessels that depend mainly on market squid, and finfish total ex-vessel revenue shares for vessels that depend mainly on CPS finfish have averaged about 80 percent and 77 percent respectively per vessel since 2000. Roundhaul gear accounted by far for the largest share of total CPS landings and ex-vessel revenue by gear type in 2011, dip net gear was a far distant second.

The major west coast processors and buyers of CPS finfish are concentrated in the Los Angeles, Santa Barbara-Ventura, Monterey and the Columbia River port areas of Oregon and Washington. The ex-vessel markets for market squid are mainly in the Los Angeles, Santa Barbara-Ventura and Monterey port areas.

In 2011, 130,064 mt of market squid were exported through west coast customs districts with an export value of \$178.5 million; a 10 percent increase in quantity, and a 23 percent increase in value of west coast market squid exports from 2010. Exports exceeded domestic landings by 8,509 mt in 2011 indicating that they included inventories from previous years. The primary country of export was China, 58 percent of the total, which received 75,659 mt, down 11 percent from the quantity exported to China in 2010. Over 80 percent of market squid exports went to China and five additional countries: Philippines (11,133 mt), Spain (7,170 mt), Viet Nam (5,458 mt), Japan (5,539 mt), and Hong Kong (3,245 mt). Domestic sales were generally made to restaurants, Asian fresh fish markets or for use as bait.

In 2011, 40,693 mt of sardines were exported through west coast customs districts down 30 percent from 2010. Sardine exports were valued at \$34.8 million in 2011, down 21 percent from 2010. Japan was the primary export market in 2011, receiving 4,212 mt, a 49 percent decrease in its imports from 2010, and representing 23 percent of total west coast sardine exports in 2011. Thailand was second with 6,877 mt, 17 percent of the total a 56 percent decrease from 2010, followed by China, Australia and Russia. Together these five countries accounted for over 60 percent of total west coast sardine exports in 2011.

Figure 9-1. Annual west coast landings and real exvessel revenues (2011\$) for all CPS species, 1981-2011.

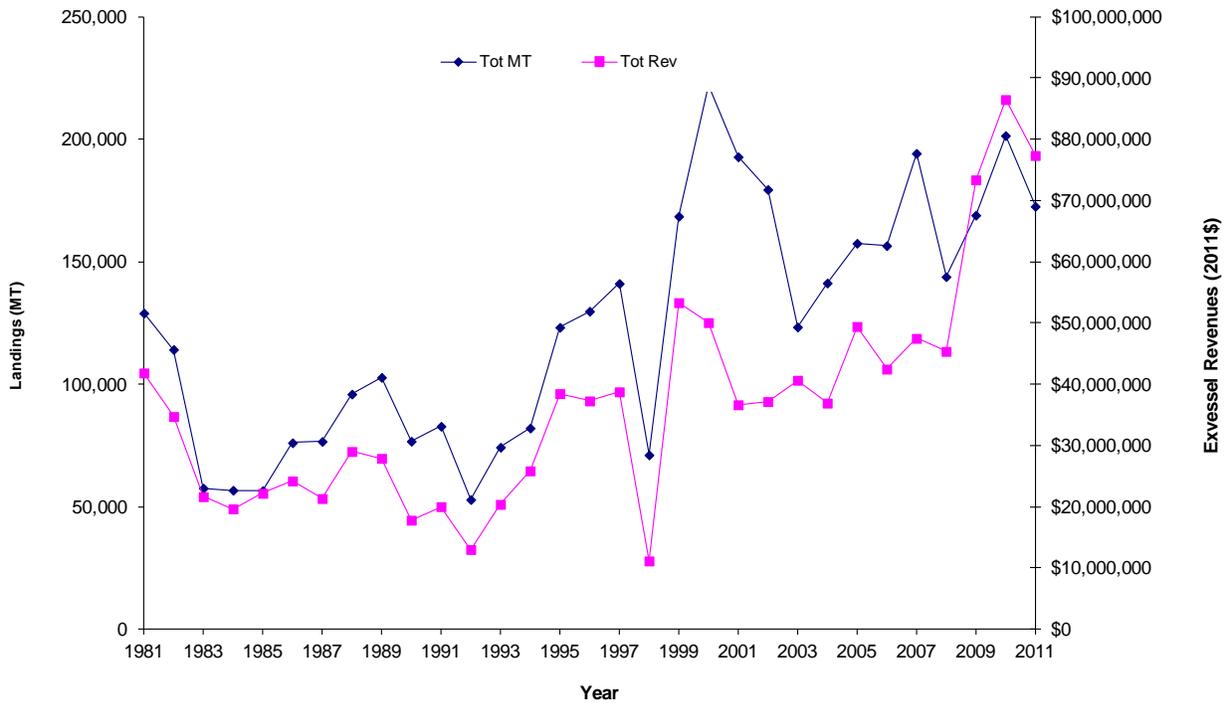


Figure 9-2. Percentage contribution of west coast CPS finfish and market squid landings to the total exvessel value of all west coast landings, 1981-2011.

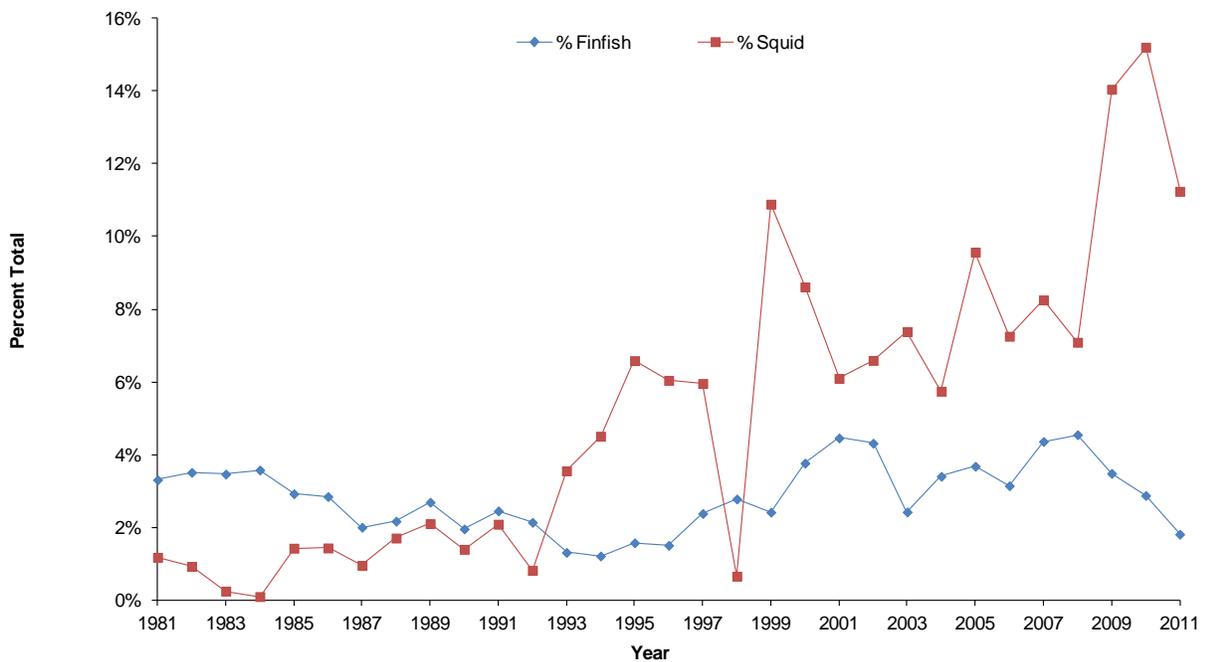


Figure 9-3. West coast CPS finfish landings and real exvessel price (\$/lb, 2011\$), 1981-2011.

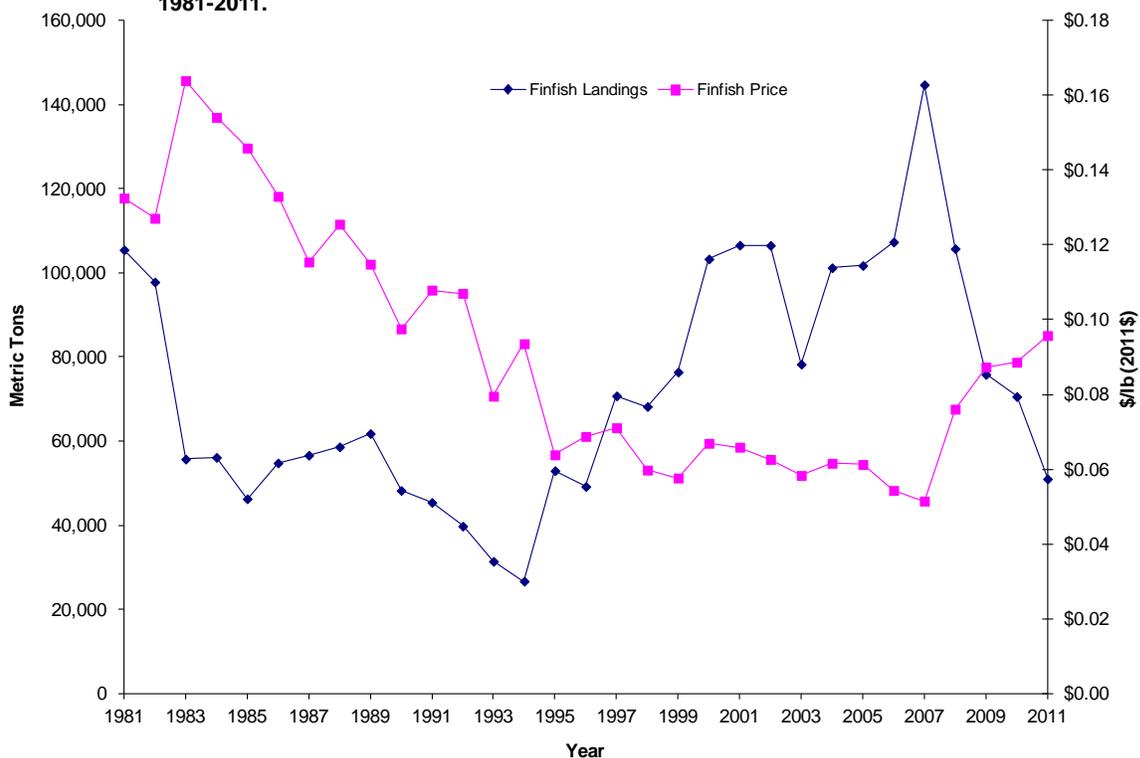


Figure 9-4. West coast market squid landings and real exvessel price (\$/lb, 2011\$), 1981-2011.

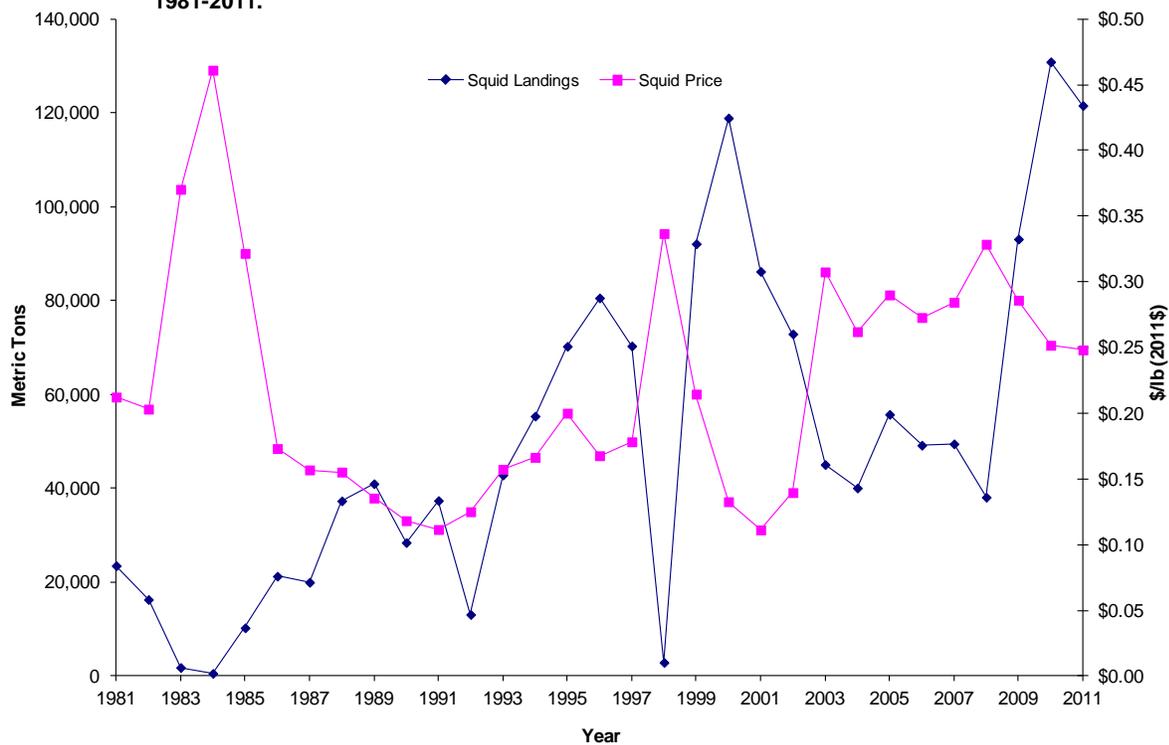
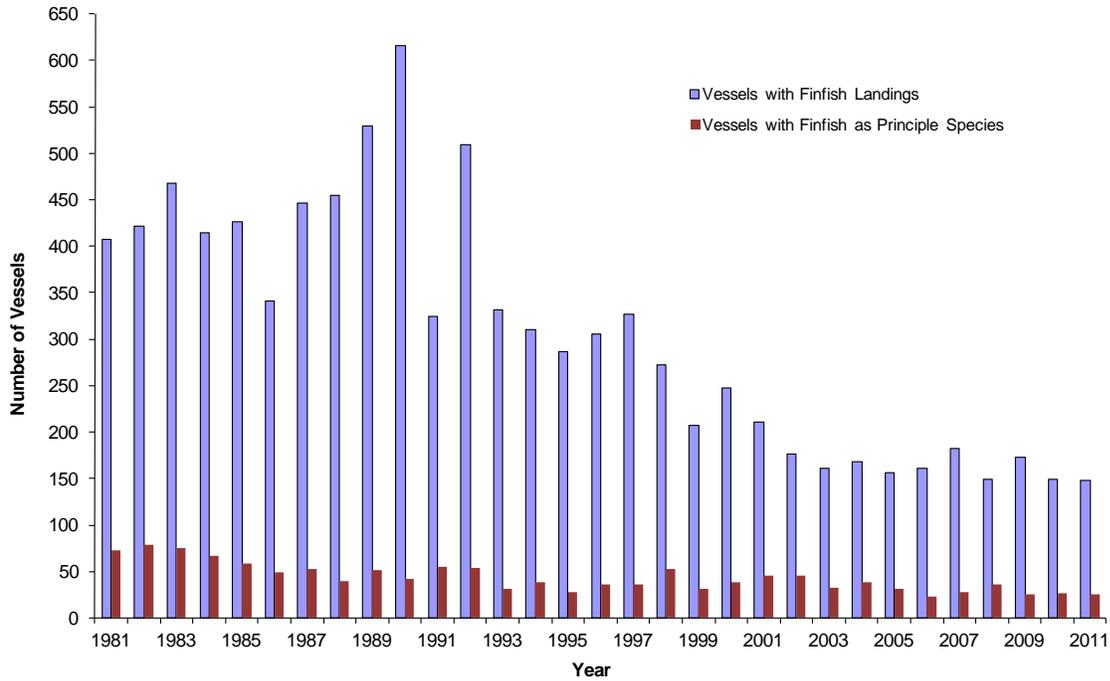
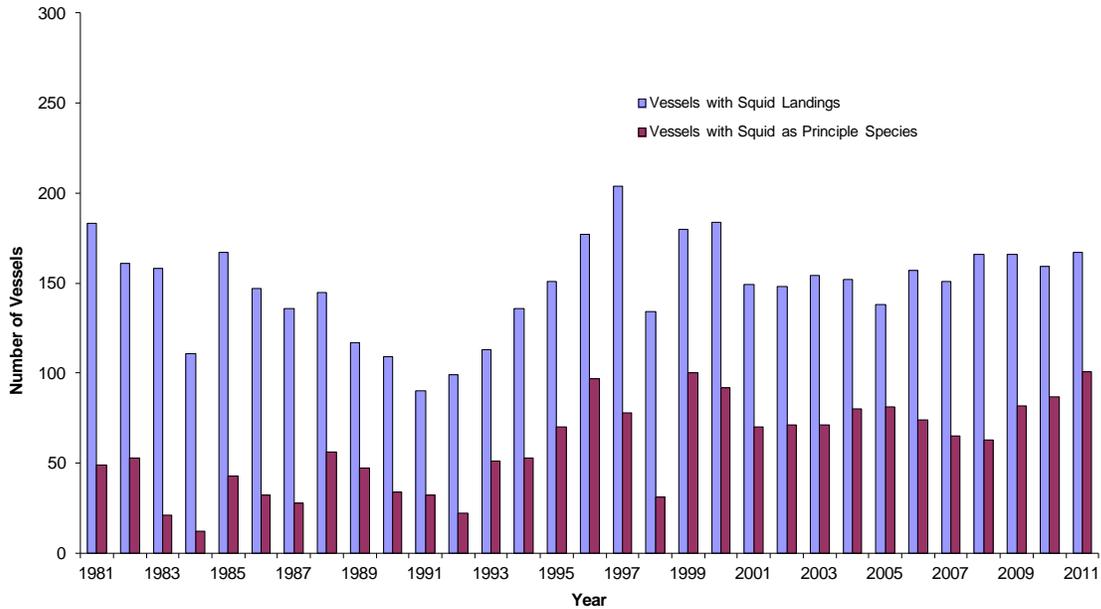


Figure 9-5. Number of vessels with west coast landings of CPS finfish, and number for which CPS finfish was the principle species, 1981-2011.



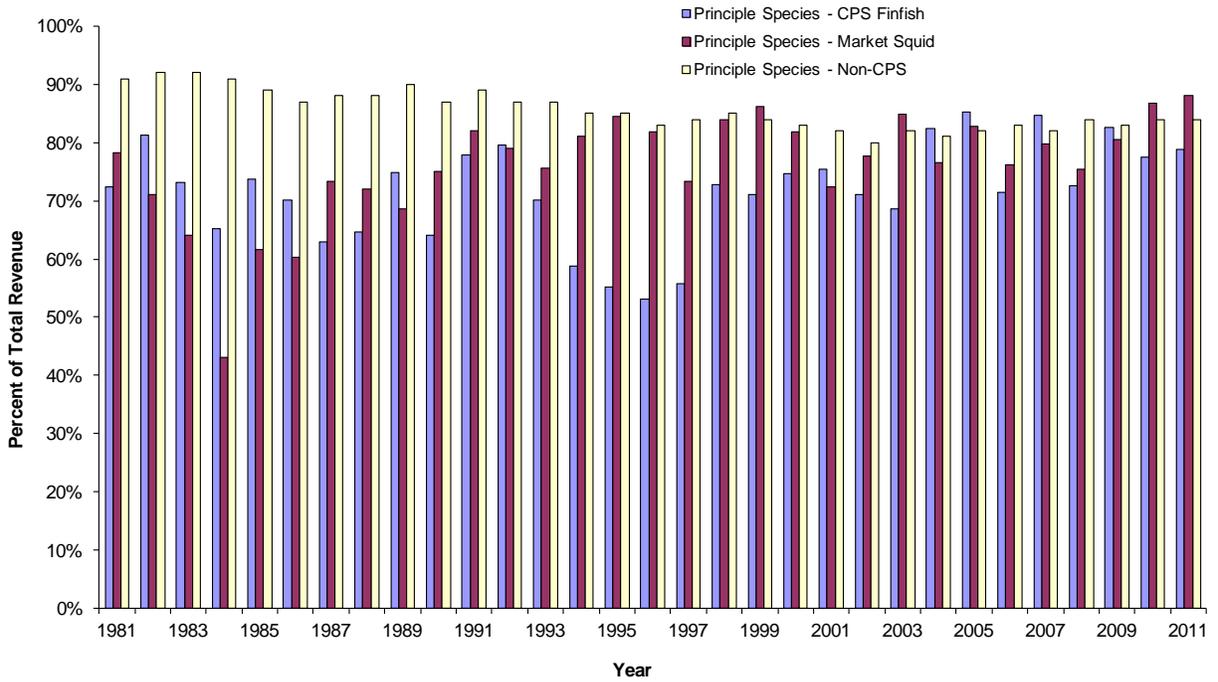
Note: The principle species accounts for the largest share of the vessel's annual exvessel revenue.

Figure 9-6. Number of vessels with west coast landings of market squid, and number for which market squid was the principle species, 1981-2011.



Note: The principle species accounts for the largest share of the vessel's annual exvessel revenue.

Figure 9-7. Average share of principle species revenues of total revenues for vessels whose principle species was CPS finfish, market squid or non-CPS, 1981-2011.



Note: The principle species accounts for the largest share of the vessel's annual exvessel revenue.

Figure 9-8. West coast sardine and squid exports as a share of landings, 2002-2011

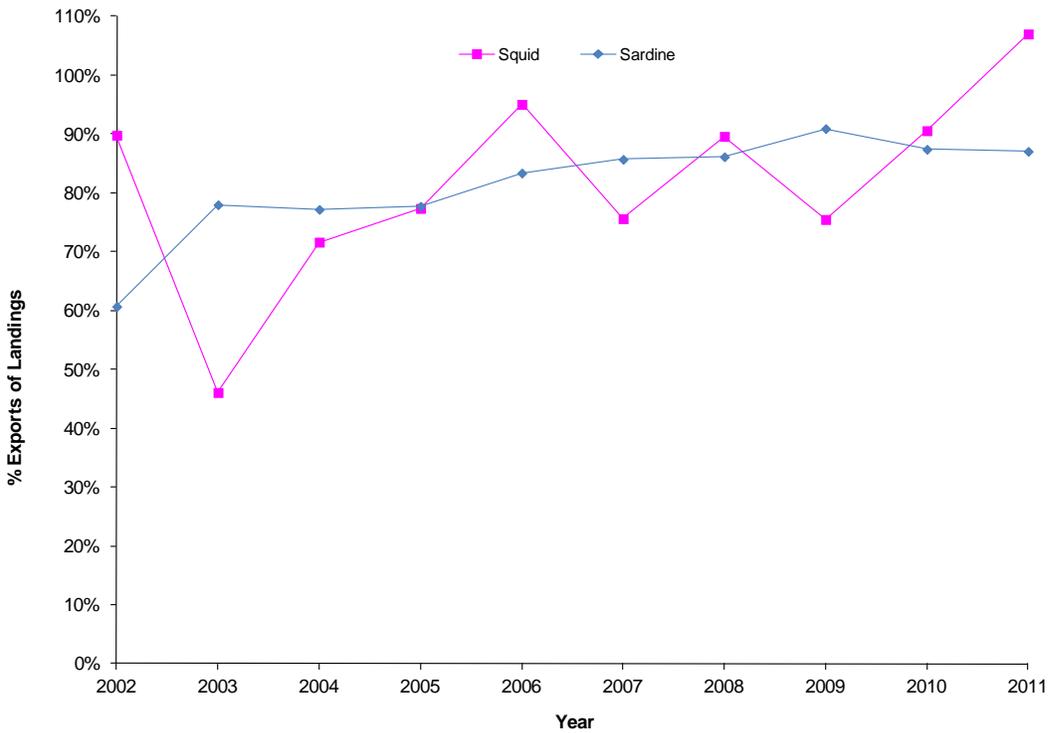


Figure 9-9. West coast CPS landings by species, 1981-2011.

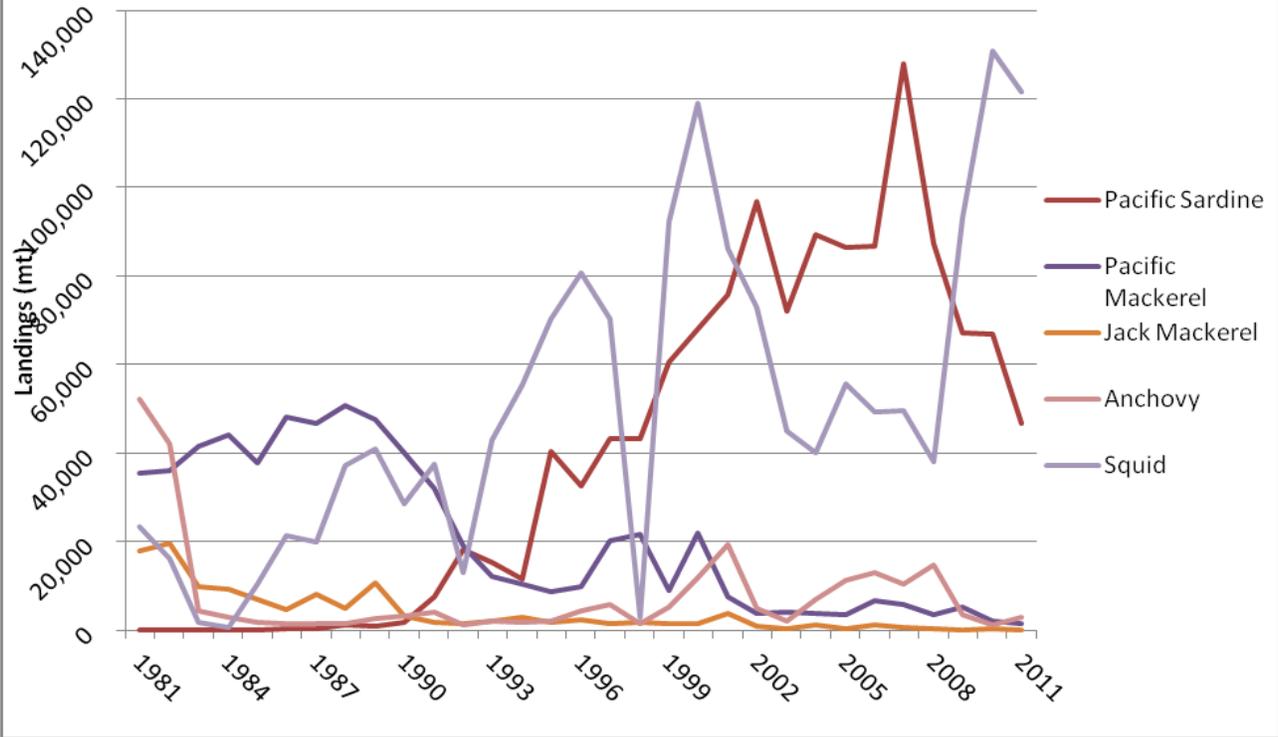
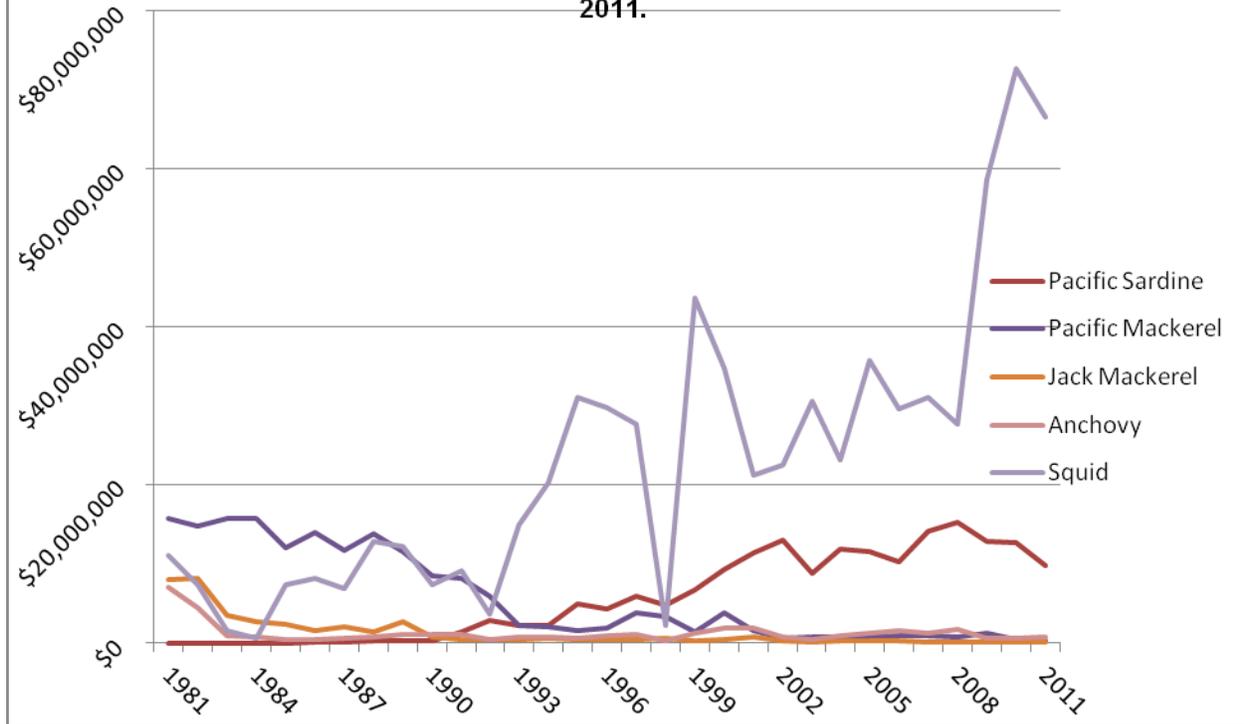


Figure 9-10. West coast CPS exvessel Revenues (2011\$) by species, 1981-2011.



7.0 ECOSYSTEM CONSIDERATIONS

7.1 INTRODUCTION

There is a growing national interest in augmenting existing single-species fisheries management approaches with ecosystem-based fishery management principles that could place fishery management decisions and actions in a the context of a broader scope. NOAA/NMFS Science Centers around the country are working to improve the science behind ecosystem-based fishery management including status monitoring and reporting on ecosystem health (Levin et al. 2009). In March 2014, the NWFSC and SWFC presented an “Annual State of the California Current Report” to the PFMC (PFMC 2014). Some of the ecosystem information in that report is also presented here. This section provides a summary of ecosystem trends and indicators being tracked by NOAA and other scientists that are related CPS. Additionally, Appendix A of Amendment 8 to the CPS FMP provides a review of the life-cycles, distributions, and population dynamics of CPS and discusses their roles as forage and can be found on the Council’s web site. Appendix D provided a description of CPS essential fish habitat that is closely related to ecosystem health and fluctuation. Research efforts into ecosystem functions and trophic interactions will improve our knowledge base and improved CPS management decisions.

7.2 Description of the California Current Large Marine Ecosystem

The California Current (CC) (Figure 1) is formed by the bifurcation of the North Pacific Current. At approximately Vancouver

Island, Canada, it begins to flow southward along the West Coast to mid-Baja, Mexico. The California Current flows southward year round off shore from the shelf break to ~200 miles. Other coastal currents that generally dominate along the continental shelf including the northward

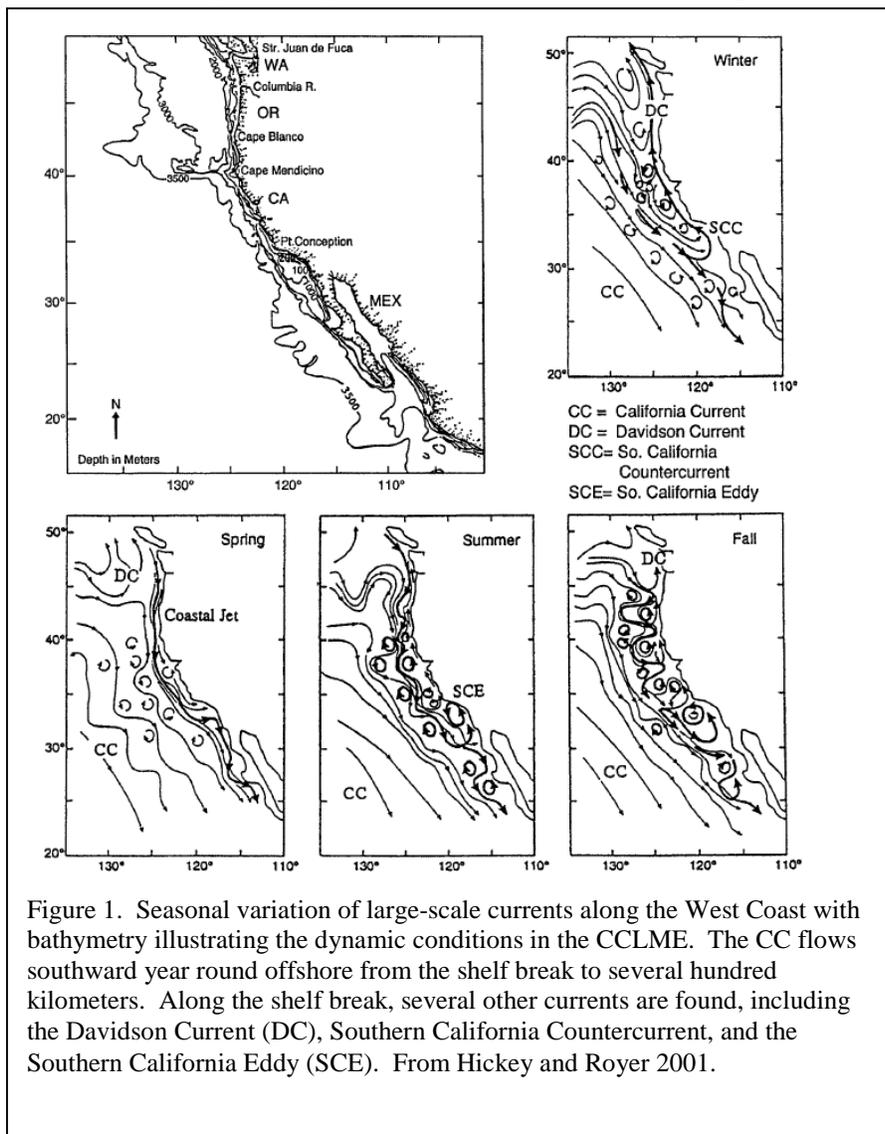


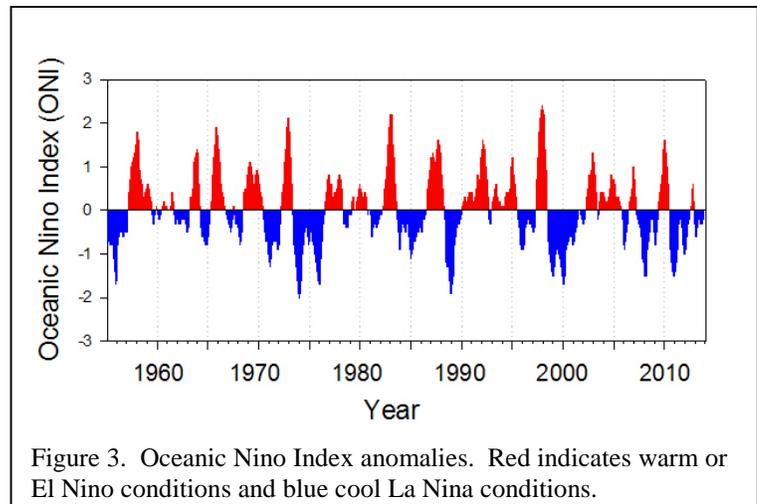
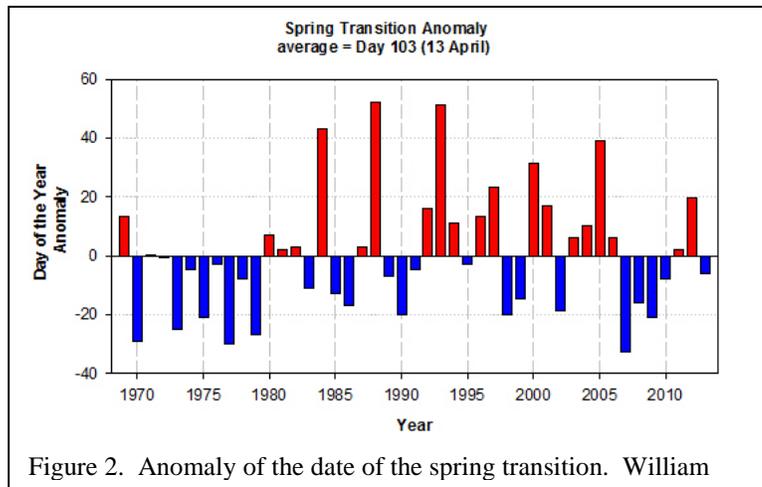
Figure 1. Seasonal variation of large-scale currents along the West Coast with bathymetry illustrating the dynamic conditions in the CCLME. The CC flows southward year round offshore from the shelf break to several hundred kilometers. Along the shelf break, several other currents are found, including the Davidson Current (DC), Southern California Countercurrent, and the Southern California Eddy (SCE). From Hickey and Royer 2001.

Davidson Current and California Undercurrent, the Southern California Countercurrent, as well as many eddies and smaller shelf currents.

The California Current also defines the outer boundary of the California Current Large Marine Ecosystem (CCLME) that is delineated by bathymetry, productivity and trophic interactions. The LME is an organizational unit to facilitate management of an entire ecosystem and recognizes the complex dynamics between the biological and physical components. NOAA’s ecosystem based management approach uses the LME concept to define ecosystem boundaries.

The CCLME is characterized as often having very high biological productivity (>250 mg C/m²/day) that is stimulated by the addition of nutrients that is either upwelled along the shelf break or advected in surface currents from the Gulf of Alaska into the northern region or beginning of the California Current (Ware and Thomson 2005, Hickey and Banas 2008). The biological productivity is reflected in the extensive nearshore kelp beds, large schools of CPS (e.g., sardine, anchovy, squid, etc.) and groundfish (Pacific hake) that, in turn, support large populations of marine mammals, sea birds and highly migratory species (e.g., tuna, sharks, billfish).

The CCLME is heavily influenced by climate at the annual, interannual and decadal time scales. Annually, between winter and spring, the large scale wind fields in the NE Pacific reverse (from southerly to northerly) and the prevailing shelf currents also reverse. The transition in currents and concurrent increase in solar radiation in the spring leads to the dramatic increase in productivity, and is called the ‘Spring Transition’. The timing and duration of the Spring Transition and their anomalies off N California/Oregon/Washington is determined by NMFS’ Newport, OR laboratory for 45°N 125°W. The Spring Transition has been identified as the first day of the year when the value of the 10–day running average for upwelling is positive and the value of the 10–day running average for sea level is negative. Anomalies are calculated as the difference between the long-term averages (Figure 2). Additional oceanographic data from survey lines off Trinidad Head (Humboldt Co.), CA (NMFS) and Bodega, CA (Sonoma Water Agency-UCD) confirms the Newport prediction.



Along the OR coast, the timing and duration of the Spring Transition has been linked to coho salmon abundance in the Columbia River (Peterson et al. 2006). The connection between the Spring Transition and CPS is presently not known but it is suspected to affect recruitment of Pacific herring, smelt, northern anchovy and other coastal pelagic species.

On an interannual time scale of 3-7 years, the CCLME and the entire Pacific Ocean is affected by the El Niño/La Niña conditions that are captured by the Oceanic Niño Index (Figure 3). During El Niños, upwelling is generally ineffective and warm salty surface waters move up from the south which reduces primary productivity. During La Niñas the productivity of the California Current is usually enhanced by the addition of cool, nutrient rich waters from the north, and increased effective upwelling. During El Niños, CPS landings in CA often fluctuate widely, with decreased catches of market squid, anchovy and Pacific herring, while the landings for sardine and mackerel often remain relatively constant (Figure 4, CDFW).

At periods between 20 to 50 years, low frequency climatic forcing from the Pacific Decadal Oscillation (PDO) affects the CCLME (Figure 5). The mechanism(s) behind the PDO are still being researched (Beamish et al. 2004). The PDO was mostly negative (warm in the central North Pacific Ocean and cool near the west coast of the Americas) from 1942-1976 and primarily

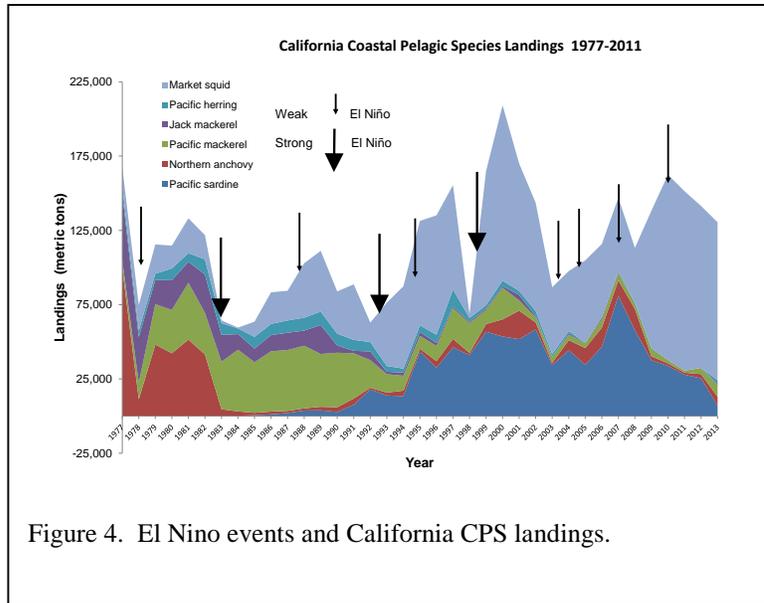


Figure 4. El Niño events and California CPS landings.

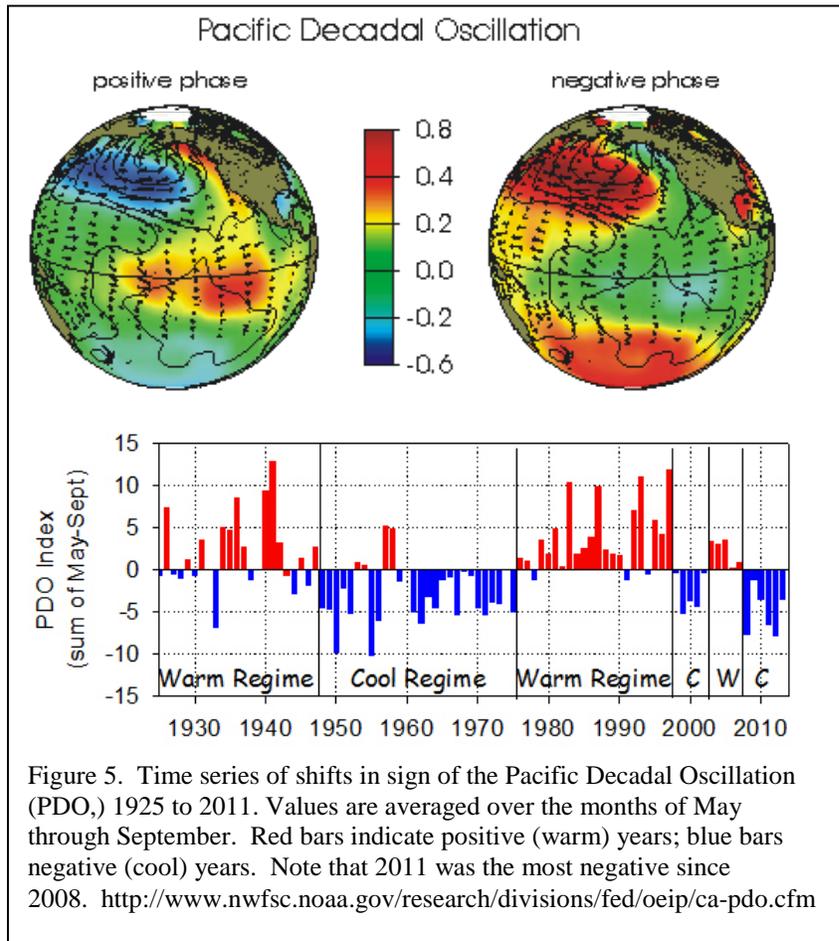


Figure 5. Time series of shifts in sign of the Pacific Decadal Oscillation (PDO,) 1925 to 2011. Values are averaged over the months of May through September. Red bars indicate positive (warm) years; blue bars negative (cool) years. Note that 2011 was the most negative since 2008. <http://www.nwfsc.noaa.gov/research/divisions/fed/oeip/ca-pdo.cfm>

positive from 1977-1998. Since 1998 the PDO has fluctuated positive and negative, perhaps indicating an unusual climatic period for the CCLME.

The effects of the PDO on fisheries are mixed. In general, the warm phase of the PDO is associated with warm ocean temperatures off the West Coast and reduced landings of coho and Chinook salmon while the cool phase is associated with higher salmon landings (Mantua et. 1997). For sardine, positive PDO indices seem to correlate with high landings along the CCLME, while anchovy landings are reduced under positive PDO (Figure 6) (Takasura et al. 2008). Recent work by Zwolinski and Demer (2013) indicate that sardine recruitment is strongly linked to adult condition and the PDO prior to spawning. Others have found that environmental conditions during spawning, such as sea surface temperatures (Lindegren and Checkley 2013) and curl-driven upwelling (Rykaczewski and Checkley 2008) are important for sardine larval survival and recruitment. Until a good understanding of the oceanographic/ecological mechanisms that affect the productivity of sardine and anchovy stocks is achieved, this correlation, which is essentially based on one cycle of the PDO, must be viewed with caution. A recent paper by Zwolinski and Demer (2012) highlighted the similarity between present oceanographic conditions and past condition (1930's) when the CCLME sardine population crashed after a change in the PDO. However, MacCall et al. (2012) noted that management/harvest rates were much different in the 1930's.

Like all marine ecosystems, the CCLME is very complex, and despite 60 years of research from the California Cooperative Fisheries Investigation (CalCOFI) surveys, understanding and predicting recruitment success for any fishery including CPS remains elusive. In light of the complexity, ecological indicators have been used as surrogates of ecosystem health and status of fisheries. Preliminary physical indicators and sentinel species are being used to provide information on an ongoing Integrated Ecosystem Assessment of the CCLME. Since 2008, the Pacific Coast Ocean Observing System (PaCOOS) has produced a quarterly summary of climate and ecosystem science and management in the CCLME has tracked the indicators and sentinel species (www.pacoos.org).

As scientists begin to examine and model the effects of changes in the ecology of the CCLME, the value of long term data sets monitoring such things as oceanographic parameters, relative abundance and geographic distribution of various species, and diet studies of higher order predators is becoming apparent.

Finally, climate change is a significant threat to the CCLME. While ocean temperatures have been relatively cool the last few years, these are expected to rise in the future. Furthermore, ocean acidification appears to already be having an effect on CCLME plankton and perhaps forage fish feeding and recruitment. Recent work by Bednarsek et al. (2014) revealed that ocean acidification

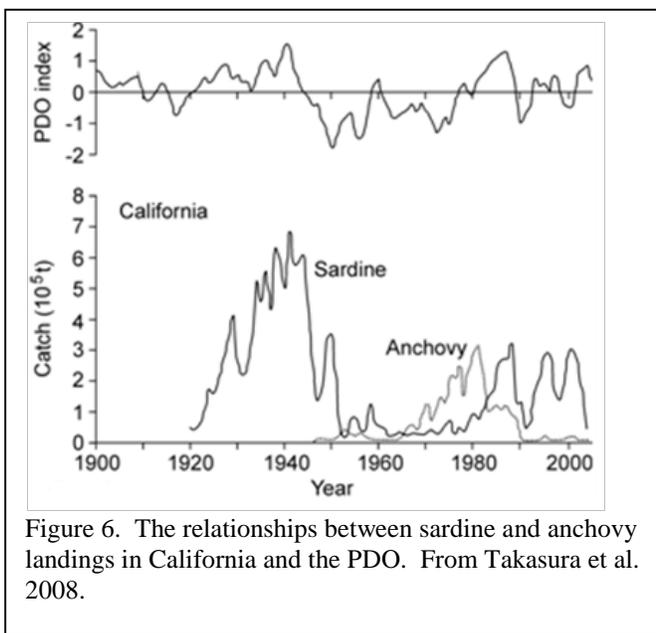


Figure 6. The relationships between sardine and anchovy landings in California and the PDO. From Takasura et al. 2008.

in some areas of the CCLME is now great enough to dissolve the shells of the pelagic snail (*Limacina helicina*), and important prey for forage fish and other pelagic species.

7.3 Current Climate and Oceanographic Conditions

7.3.1 Spring Transition

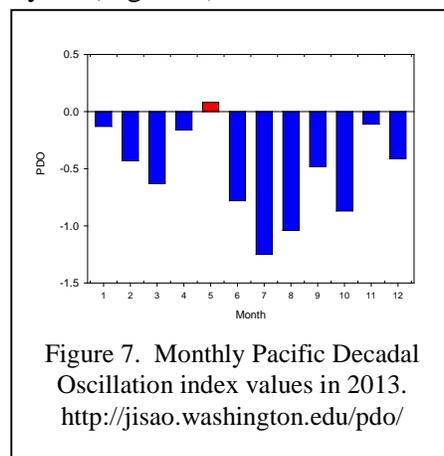
In 2013, the Spring Transition (Figure 2) was average (7 April 2014), and once upwelling began the Northwest winds (which cause upwelling) remained relatively weak through much of the spring and summer. Most upwelling occurred in July. Upwelling was limited in September and October resulting in an average year of upwelling. The North Pacific Ocean remained in a La Niña condition all of 2013. As such, sea surface temperatures were anomalously cold most months, but chlorophyll *a*, was not very high most months, as is typical during a La Niña. These oceanographic conditions may have been good for anchovy, herring, and smelt recruitment, but they were probably not good for sardine. However, since an coast wide index of recruitment (i.e., 0-age survey) is unavailable for these fishes, we will have to wait until the 2013 age class enters the fishery before we know if ocean conditions in 2013 were conducive for some CPS spawning and recruitment.

7.3.2 El Niño/Southern Oscillation

The Oceanic Niño Index for the Pacific Ocean reflects a mostly La Niña neutral condition for all of 2013. Cold water dominated the CCLME during most of the year (Figure 3). Based on model forecasts, an El Niño is may be forming and arrive by late spring or summer 2014.

7.3.3 Pacific Decadal Oscillation

The PDO was negative for most of the entire year in 2013 (Figure 7). A negative PDO is considered unfavorable for sardine and favorable for anchovy (Chavez et al. 2003). Effects of a negative PDO on other CPS, such as market squid, appears to also be positive. The continued negative PDO is good for Pacific salmon and anchovy populations.



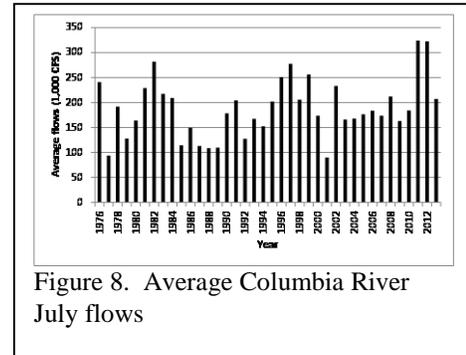
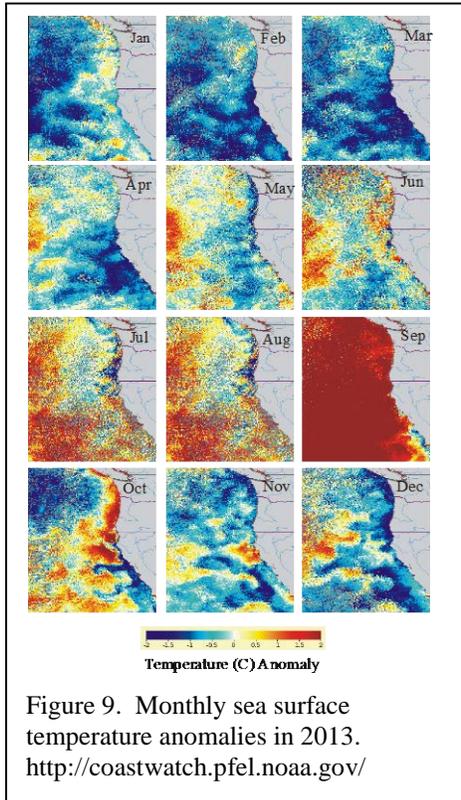
7.3.4 Columbia River Flows

The Columbia River provides the largest source of freshwater entering the California. As such, it has a large effect on the oceanography and biological resources on the region (Hickey et al. 2009; Litz et al. 2013). The mouth of the Columbia River is often the center of the sardine fishing off the Pacific Northwest, not only because it is close to processing plants, but because sardines and other CPS actively congregate feed in the biological rich plume habitat (Peterson and Peterson. 2009). In July 2013(the beginning of the sardine commercial opening) relative high flows (Figure 8) and associated low salinities may have forced sardines to stay away from the mouth of the Columbia River but not as much as 2011 and 2012 (Emmett et al. 2012).

7.4 Trends in Ecosystem Indicators

7.4.1 Sea Surface Temperatures

Sea surface temperatures appear to affect the abundance/productivity of sardine, anchovy and other CPS species abundance (Chavez et al. 2003; Jacobson et al. 2001, 2005). In 2013 coastal ocean temperatures were anomalously cold in January through May but extremely warm in September and October before being cold again in November and December (Figure 9).

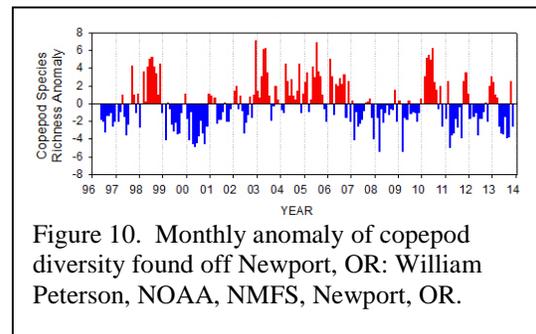


in November and December (Figure 9). These cold ocean temperatures reflected the continued La Niña and negative PDO conditions that began in late 2008.

7.4.2 Ocean Productivity

Chlorophyll *a* is a phytoplankton pigment that can be measured at the surface by satellites. In 2013 coastal chlorophyll *a* was below normal from March-May. During the rest of the year Chlorophyll levels average.

7.4.3 Copepods

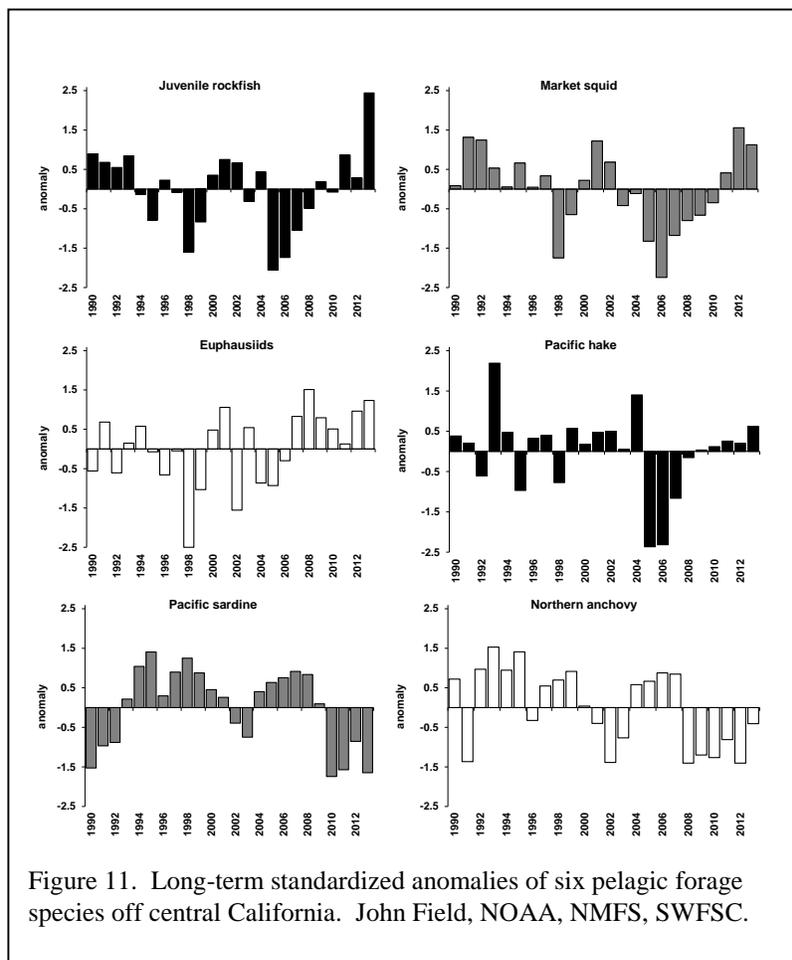


Copepod species richness is surveyed by the NMFS, NWFSC off Newport, OR and is highly correlated to the PDO. (<http://www.nwfsc.noaa.gov/research/divisions/fed/oeip/ea-copepod-biodiversity.cfm>). In 2013 (Figure 10) the copepod community was composed of a few, primarily subarctic species, species typical of highly productive ocean conditions. This indicates the physical ocean remained in a La Niña and the biological environment did also. The presence of subarctic species is favorable for coho salmon returns to the Columbia River, but they have not been correlated to CPS abundance in the CCLRM, although preliminary information indicates that when these cold-water copepods are abundant, Pacific herring and anchovy often recruit. However, sardines appear to recruit better during warm ocean conditions and when a subtropical copepod community is present (Emmett 2012).

7.4.4 Forage fishes and invertebrates

Night time pelagic forage fish surveys off the Columbia River by NMFS/NWFSC were discontinued in 2012. At this time, only day time pelagic survey data are available. Since daytime surveys typically underestimate forage fish abundance, they are not presented here (Krutzikowsky and Emmett 2005).

Surveys for juvenile fish and krill have been conducted by the NMFS/SWFSC off the Central California in the May-June time period since 1983 (Figure 11). In 2010, juvenile sardine numbers dropped far below their long-term average and they have remained low through 2013. Juvenile anchovy abundance also remains low, although slightly more than 2012. Market squid encounters were above average, while juvenile rockfish densities were the highest ever observed. Krill densities also continued to be above average, but only slightly.



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Climate Indicators:

PaCOOS Quarterly Update of Climatic and Ecological Conditions in the CA Current Large Marine Ecosystem V4 2010, V1 2010 (<http://www.pacoos.org>)

El Niño Southern Oscillation (ENSO):

Source: Bill Peterson, NOAA, NWFSC

Source: <http://www.cdc.noaa.gov/people/klaus.wolter/MEI/mei.html>

Pacific Decadal Oscillation (PDO):

Source: The PDO

Source: <http://jisao.washington.edu/pdo/>, <http://jisao.washington.edu/pdo/PDO.latest>

California Current Ecosystem Indicators:

Copepods:

Source: William Peterson, NOAA, NWFSC

Coastal Pelagics:

Ecosystem indicators for the Central California Coast, May-June 2010

Source: John Field, Fisheries Ecology Division, SWFSC

8.0 Stock Assessment Models, Stock Status, and Management Recommendations

The CPS FMP distinguishes between “actively managed,” “monitored,” “ecosystem component, and “prohibited harvest” species management categories. Actively managed species (Pacific sardine and Pacific mackerel) are formally assessed through Council proceedings annually or biennially. Over the years, seasonal closures and allocations, harvest guidelines, incidental landing allowances, and other management controls have been used for these stocks. Other CPS species (northern anchovy, jack mackerel, and market squid) are monitored to ensure their stocks are stable, but annual stock assessments and Federal fishery controls are not used on an annual basis. Ecosystem component species Pacific herring and jacksmelt) are not considered part of the CPS fishery, but can be discretionarily categorized in the FMP as EC species. EC species do not require specification of reference points, but incidental catch of EC species should be monitored for indications of change in status of their vulnerability to the fishery. Krill (consisting primarily of two species of euphausiids) are listed under the prohibited harvest category, and there is no directed take allowed.

While this document focuses on U.S. fisheries, many CPS stocks are distributed coastwide, hence, catch information from Mexican fisheries is of interest. See Table 8-1 for information on commercial harvest of CPS finfish landed into Ensenada, Mexico (1978-2013).

On a systematic basis, the CPSMT makes recommendations to the Council and related agencies regarding appropriate management categories for each stock, both short- and long-term. Changes to the appropriate management category for each species can be made annually by the Council, based on all available data, including ABC levels and MSY control rules, and goals as outlined in the CPS FMP (PFMC 2010).

Finally, while this document focuses on U.S. fisheries, many CPS stocks are characterized by expansive ranges depending on oceanographic conditions and thus, catch information from both Mexico and Canada are of critical interest. See Table 8-4 for CPS harvest statistics from commercial fisheries operating in the U.S., Mexico, and Canada (2000-2013).

In June 2013, the CPSMT recommended moving Pacific mackerel from actively managed to monitored status starting in the 2014-2015 season, based on very low catches, limited additional sample information, and indications that the population’s sustainability is not presently being compromised by fishing pressure. At the June 2013 meeting, the Council chose to keep Pacific mackerel as an actively-managed species.

Based on biomass estimates, landings, conservation, socio-economics, and other information, the CPSMT recommends that Pacific sardine and Pacific mackerel remain as an actively managed species, while jack mackerel, northern anchovy, and market squid remain as Monitored stocks.

8.1 Actively Managed Species

8.1.1 Pacific sardine

Hill *et al.* (2014) summarized the status of the Pacific sardine resource off the U.S. Pacific Coast, British Columbia, and northern Baja California, Mexico. Pacific sardine landings for these areas

totaled 111,935 mt in calendar year 2013 (Table 8-4). Total international harvest of sardine was 170,085 mt in 2012 and 137,801 mt in 2011. During 2013, landings in California (7,114 mt) decreased from the previous year (23,044 mt in 2012) (Table 8-3). Combined Oregon-Washington landings for 2013 (54,532 mt) were lower than in 2012 (78,059 mt) (Table 8-3). U.S. landings totaled 61,646 mt in 2013.

The U.S. sardine fishery is regulated using a quota-based HG management approach (see Section 8.1.1.1). From 2000 to 2007, landings by the U.S.-based fisheries were typically lower than the recommended HGs (Table 8-3). Due to a series of lower quotas, the U.S. fishery has been subjected to in-season closures during 2008 to 2011 and 2013. The 2013 HG (66,495 mt) was about 40% lower than the 2012 HG, and was almost entirely captured. The Council established a U.S. ACL/ACT of 23,293 mt for the 2014-15 management year beginning July 1, 2014 (see section 8.1.1.1 below).

Harvest of Pacific sardine by the Ensenada (Mexico) fishery is not yet regulated by a quota system, but there is a minimum legal size requirement of 150 mm standard length and measures are in place to control fleet capacity. The Ensenada fishery landed 50,289 mt in 2013, similar to catch from the previous year (Table 8-4). Canadian sardine landings increased substantially after 2007 (1,524 mt), peaking at 22,223 mt in 2010. However, the Canadian fishery found no sardine in 2013 (Table 8-4).

The stock assessment update conducted in 2014 (Hill *et al.* 2014) provided a stock biomass (age 1+) estimate of 369,506 mt in July 2014 (Table 8-2). Recent biomass and recruitment estimates (2000-14) from Hill *et al.* (2014) are provided in Table 8-2. In all past Pacific sardine stock assessments, it was assumed that all U.S. catches were of the northern subpopulation. However, it is now generally agreed that during warm months, some of the catch in the Southern California area include southern subpopulation fish. The 2014 stock assessment used satellite oceanography data to partition catch data from Ensenada and Southern California ports, in order to exclude landings and biological compositions attributed to the southern subpopulation.

8.1.1.1 Pacific Sardine Harvest Control Rules for 2014-2015

In April 2014 the Council adopted the most recent sardine stock assessment (Hill *et al.* 2014) to set harvest specifications for the 2014-15 management year beginning July 1, 2014. Stock biomass from that assessment (369,069 mt, Hill *et al.* 2014) was used to calculate all harvest control rules below.

In March 2014 the PFMC adopted the use of CalCOFI SST data for specifying environmentally-dependent E_{MSY} each year, beginning July 2014. Based on this recent decision, the OFL and ABC was based on an $E_{MSY} = 0.12197$, which corresponds to the three-year running average of CalCOFI SST for 2011-13 (15.3353 °C). In April 2014, the Council chose to establish an ACL and ACT for 2014-15 using a harvest fraction equal to 0.12197 based on the CalCOFI data. Harvest control rule formulas for the 2014-15 management year were calculated as follows:

$$OFL = BIOMASS * E_{MSY} * DISTRIBUTION,$$

$$ABC = BIOMASS * BUFFER_{P-star} * E_{MSY} * DISTRIBUTION,$$

$$ACL/ACT = (BIOMASS - CUTOFF) * FRACTION * DISTRIBUTION,$$

Where: BIOMASS = 369,069 mt; E_{MSY} and FRACTION= 0.12197; DISTRIBUTION = 0.87; $BUFFER_{P\text{-star } 0.4}$ = 0.9128; and CUTOFF = 150,000 mt.

Using these control rules, the Council approved an OFL of 39,210 mt and an ABC of 35,792 mt. The Council set the ACL and ACT equal to 23,293 mt, and adopted a 500 mt incidental set aside for each of the three fishing periods. Accounting for a Quinault Indian Nation allotment of 4,000 mt and a total of 1,500 mt incidental set-aside, the period allocations were established as follows: Period 1 (July 1-September 14, 2014) = 7,218 mt; Period 2 (September 15-December 31, 2014) = 4,323 mt; and Period 3 (January 1-June 30, 2015) = 6,252 mt. Any uncaught allocation from Periods 1 and 2 will be rolled into the subsequent period. Any uncaught allocation from Period 3 will not be rolled into the subsequent period. The Council also adopted a mixed load allowance of up to 45 percent sardines caught in other coastal pelagic species fisheries, after directed fishing is closed.

| 2014-2015 Pacific Sardine Harvest Specifications | | | | |
|--|------------------|-------------------|------------------|--------|
| ACL/ACT = 23,293 mt; Tribal set-aside = 4,000 mt; Adjusted ACL/ACT = 19,293 mt | | | | |
| | Jul. 1 – Sep. 14 | Sep. 15 – Dec. 31 | Jan. 1 – Jun. 30 | Total |
| Seasonal Allocation | 7,718 (40%) | 4,823 (25%) | 6,752 (35%) | 19,293 |
| Incidental Set-Aside | 500 | 500 | 500 | 1,500 |
| Adjusted (Directed) Allocation | 7,218 | 4,323 | 6,252 | 17,793 |

8.1.2 Pacific Mackerel

Total biomass (age-1+ biomass, B) steadily declined from the mid-1980s to the early 2000s, at which time the population began to increase moderately in size. However, in historical terms, the population remains at a relatively low abundance level, due primarily to oceanographic conditions, given limited fishing pressure over the last decade has likely not compromised this species' biology (i.e., their role in the larger CPS assemblage off the Pacific coast). Finally, recent estimates of stock size are necessarily related to assumptions regarding the dynamics of the fish (biology) and fishery (operations) over the last several years, which generally confound long-term (abundance) forecasts for this species (see Crone *et al.* 2011). It is important to note that exploitation of this stock has changed considerably over the last two decades, i.e., during the 1990s, the directed fisheries off California had average annual landings of roughly 18,000 mt, whereas since 2002, average yearly landings have decreased substantially. This pattern of declining yields in recent years generally characterized all of the fisheries, including U.S. commercial and recreational sectors, as well as the commercial fishery of Mexico. California landings in the 2013-14 fishing year were 10,629 mt, almost double as compared with the previous fishing year, but still below the ACT and well below the ABC.

The last full assessment in 2011, with no assessment conducted in 2012, and catch-only projection estimates done in 2013 and 2014. In June 2013, the Council amended the assessment and

management schedule for Pacific mackerel, such that a full stock assessment will be conducted every four years, starting in 2015, with catch-only projections every alternating four years, in off-science years. Annual harvest specifications and management measures will be set for two years at a time, starting with the 2015-16 and 2016-17 fishing years.

8.1.2.1 Harvest Guideline for 2014-15

At its June 2014 meeting, the Council adopted a catch-only biomass projection estimate of 157,106 mt and an OFL of 32,992 mt. Based on the biomass estimate and a P^* of 0.45, the Council set the ABC and ACL both equal to 30,138 mt, a HG of 29,170 mt, an ACT of 24,170, and an incidental set aside of 5,000 mt.

Should the directed fishery realize the ACT of 24,170 mt, the directed fishery will close, and will shift to an incidental-only fishery, with a 45 percent mixed load allowance when Pacific mackerel are landed with other CPS, with the exception that up to 1 mt of Pacific mackerel could be landed without landing any other CPS. The Council also adopted a check-in provision to consider re-allocating a portion of the set-aside to the directed fishery, should the directed fishery attain the ACT.

The Council will consider a full mackerel assessment at its June 2015 meeting, and will set annual specifications for two consecutive years.

8.2 Monitored Species

The monitored species category of the CPS FMP includes the northern subpopulation of northern anchovy, the central subpopulation of northern anchovy, jack mackerel, and market squid. This management category is intended for those species or stocks that do not require intensive harvest management and where monitoring of landings and available abundance indices are considered sufficient to manage the stock. The default control rules and overfishing specifications are used for Monitored stocks unless otherwise specific. Stock-specific MSY proxies, ABC, and ACLs can be revised based on the best available science as recommended by the SSC and as adopted through the annual harvest specification process, and will be reported in the CPS SAFE.

Under the default harvest control rule, the ABC is set to 25% of the OFL until the SSC recommends an alternate value based on best available science. ACLs are set for multiple years until new information becomes available, or until the stock is moved to active management. Stocks may be moved between active and monitored categories on short notice, under the point-of-concern framework.

8.2.1 Northern Anchovy

The most recent complete assessment for northern anchovy was described in Jacobson *et al.* (1995). California landings of northern anchovy began to increase in 1964, peaking in 1975 at 143,799 mt. After 1975, landings declined. From 1983 to 1999, landings did not exceed 6,000 mt per year. There were no reported landings of northern anchovy in Oregon from 1981 through 1999. Washington landings of anchovy were rarely reported before 1967. Landings peaked in the 1970's

at 286 mt in 1975 and thereafter declined, not exceeding 100 mt until 1995. From 2000 to 2013, northern anchovy landings averaged 203 mt for Washington and 51 mt for Oregon for years with reported landings, and 7,881 mt for California. The greatest northern anchovy landings in California occurred in 2001 (19,277 mt). In Washington, the peak occurred in 2009 (810 mt). In Oregon, the peak in northern anchovy landings occurred in 2008 and 2010. Anchovy landings in other years were less than 70 mt.

| Anchovy (mt) | WA | OR | CA |
|---------------------|-----------|-----------|-----------|
| 2000 | 79 | <1 | 11,753 |
| 2001 | 68 | 0 | 19,277 |
| 2002 | 229 | 3 | 4,650 |
| 2003 | 214 | 39 | 1,676 |
| 2004 | 213 | 13 | 6,793 |
| 2005 | 164 | 68 | 11,182 |
| 2006 | 161 | 9 | 12,790 |
| 2007 | 153 | 5 | 12,390 |
| 2008 | 109 | 260 | 14,285 |
| 2009 | 810 | 39 | 2,668 |
| 2010 | 108 | 138 | 1,847 |
| 2011 | 191 | 21 | 2,601 |
| 2012 | 218 | 0 | 2,488 |
| 2013 | 116 | 13 | 5,933 |

Through the 1970s and early 1980s, Mexican landings increased, peaking at 258,745 mt in 1981 (Table 8-1). Mexican landings decreased to less than 2,324 mt per year during the early 1990s, with a spike of 17,772 mt in 1995, primarily during the months of September through November. Catches in Ensenada decreased to 4,168 mt in 1996; and remained at less than 5,000 mt through 2013.

In 2010, with the reauthorization of the MSA, the Council adopted new management benchmarks for northern anchovy. The overfishing limit (OFL) values are based on past estimates of biomass and the ABC values account for a 75% uncertainty buffer in the OFL. The annual catch limit was set equal to the ABC. An annual catch target (ACT) for the northern subpopulation of northern anchovy was established.

| Stock | OFL | ABC | ACL | ACT |
|-------|-----|-----|-----|-----|
|-------|-----|-----|-----|-----|

| | | | | |
|---|------------|-----------|--------------|----------|
| Northern anchovy, northern subpopulation | 39,000 mt | 9,750 mt | Equal to ABC | 1,500 mt |
| Northern anchovy, central subpopulation | 100,000 mt | 25,000 mt | Equal to ABC | N/A |

8.2.2 Jack Mackerel

Jack mackerel have not been significantly targeted on the West Coast regular stock assessments or efforts to collect biological information on jack mackerel have not been a priority. The SWFSC Acoustic-Trawl survey, which began in 2006 could potentially be used to provide abundance estimates in the future, but may need a methodology review prior to use in a stock assessment. Management efforts to collect fishery-dependent age composition data, such as the CDFW Port Sampling Program, are in place for the two actively managed CPS (Pacific sardine and Pacific mackerel), but not for jack mackerel, aside from samples taken prior to 1995.

Landings of jack mackerel in the California pelagic wetfish fishery through the decade of the 1990s reached a maximum of 5,878 mt in 1992, and averaged under 1,900 mt over 1990-2000. During the previous decade, California landings ranged from a high of 25,984 mt in 1982 to a low of 9,210 mt in 1985. Currently, most landings of jack mackerel are incidental to Pacific sardine and Pacific mackerel in California; however, pure landings do occur sporadically. From 2000 to 2013, jack mackerel landings averaged 13 mt for Washington for years with reported landings, 67 mt for Oregon, and 779 mt for California. In California and Oregon, jack mackerel landings occurred each year; however, in Washington, jack mackerel were landed in 2002, 2003, 2010, 2012, and 2013.

| Jack mackerel (mt) | WA | WA (unspecified mixed mackerel) | OR | CA |
|--------------------|----|---------------------------------|-----|-------|
| 2000 | - | | 161 | 1,269 |
| 2001 | - | 371 | 196 | 3,624 |
| 2002 | 12 | 238 | 8 | 1,006 |
| 2003 | 2 | 54 | 74 | 156 |
| 2004 | - | 22 | 126 | 1,027 |
| 2005 | - | 24 | 70 | 213 |
| 2006 | - | 41 | 5 | 1,167 |
| 2007 | - | 36 | 14 | 631 |

| | | | | |
|------|----|-----|-----|-----|
| 2008 | - | 6 | 46 | 274 |
| 2009 | - | 4 | 2 | 119 |
| 2010 | <1 | 2 | 3 | 306 |
| 2011 | - | <1 | 14 | 80 |
| 2012 | 14 | 553 | 96 | 133 |
| 2013 | 24 | 123 | 123 | 894 |

Mason (2001) concluded that spawning biomass estimates of the past were inadequate.

Anecdotal evidence suggests that the spawning biomass may be large in California waters, but test fishing found the adult fish too scattered for economical harvest, since portions of the contemporary catch are sometimes found in small aggregations of young fish along rocky shores.

In 2010, in accordance with the reauthorized MSA, the Council adopted new management benchmarks for jack mackerel. The overfishing limit (OFL) value is based on past studies and the ABC value accounts for a 75% uncertainty buffer in the OFL. The ACL was set equal to the ABC:

| Stock | OFL | ABC | ACL |
|---------------|------------|-----------|--------------|
| Jack mackerel | 126,000 mt | 31,000 mt | Equal to ABC |

Coastwide landings 2010-2013 were as follows:

| Jack Mackerel | ACL (mt) | Landings (mt) |
|----------------------|----------|---------------|
| 2010 | 31,000 | 310 |
| 2011 | 31,000 | 80 |
| 2012 | 31,000 | 145 |
| 2013 | 31,000 | 892 |

8.2.3 Market Squid

The CDFW manages the market squid fishery through a state-based management plan including an annual landings cap and various spatial/temporal constraints, such as weekend closures, area and time closures to address seabird issues, and harvest replenishment areas within MPAs (CDFG 2005). In addition, the Egg Escapement Method has been used as an assessment tool, to evaluate population dynamics and biological reference points (MSY related) regarding this species (Section 4.3.4 and Dorval et al. 2008). The fishery control rules currently in place under the California

MSFMP, are thought to preclude the need for active Federal management. However, if fishery operations change substantially in the future (for example, spatially expands, harvest high amounts of immature squid), additional management measures could be considered.

In 2010, the Council approved benchmarks for market squid, which remain in place until changed by the Council:

| Stock | OFL | ABC | ACL |
|--------------|---|---|--------|
| Market squid | Fmsy proxy resulting in egg escapement \geq 30% | Fmsy proxy resulting in egg escapement \geq 30% | Exempt |

8.2.3.1 California’s Market Squid Fishery

In 2001, legislation transferred the authority for management of the market squid fishery to the California FGC. Legislation required that the FGC adopt a Market Squid Fishery Management Plan (MSFMP) and regulations to protect and manage the squid resource. In August and December of 2004, the FGC adopted the MSFMP, the environmental documentation, and the implementing regulations, which went into effect on March 28, 2005, just prior to the start of the 2005/2006 fishing season, which started April 1.

In 2013, the market squid fishery was California’s largest fishery, with landings estimated at 104,404 mt. This is a 7 percent increase from 2012 (97,732 mt). The total ex-vessel value increased from \$63.9 million in 2012 to \$73.7 million in 2013. The median ex-vessel price per ton of market squid in 2013 was \$640. The fishing permit season for market squid extends from April 1 through March 31 of the following year. During the 2012-2013 season (as opposed to the 2013 calendar year) 96,239 mt were landed, a decrease from the 2011-2012 season (122,390 mt). In addition, the California market squid fishery closed early for the third consecutive season, due to projected attainment of the harvest guideline of 118,000 st.

8.3 Prohibited Species

Amendment 12 to the CPS FMP was approved by the Secretary of Commerce in 2009. Amendment 12 prohibits the directed harvest of krill species. The Amendment described EFH for krill, and set an ACL equal to zero.

8.4 Ecosystem Component Species

In June 2010, the Council added Pacific herring (*Clupea pallasii*) and jacksmelt (*Atherinopsis californiensis*), two species not under Federal management, to the Ecosystem Component category of the CPS FMP. Several criteria should be met for a species to be included in the EC category (MSA Section 660.310(d)(5)(i)). These are 1) be a non-target stock/species; 2) not be subject to overfishing, approaching overfished, or overfished and not likely to become subject to overfishing or overfished in the absence of conservation and management measures; and 3) not generally retained for sale or personal use within the CPS fishery, although “occasional” retention is not by itself a reason for excluding a species from the EC category. There is no directed California commercial herring fishery. Identifying and including EC species in an FMP is not mandatory but

may be done for a variety of purposes, including data collection, for ecosystem considerations related to specification of OY for the associated fishery, as considerations in the development of conservation and management measures for the associated fishery, and/or to address other ecosystem issues.

A 2010 review of bycatch species in CPS fisheries confirmed that incidental catch and bycatch in CPS fisheries is dominated by other CPS and that bycatch/incidental catch of non-CPS is extremely low. However, jacksmelt and Pacific herring are infrequently caught with CPS gear and were therefore added to the FMP under Amendment 13 to ensure continued monitoring of incidental catch and bycatch of these species through sampling and logbook programs. This information will continue to be reported in the Stock Assessment and Fishery Evaluation (SAFE) report. The Council intends to continue and expand its consideration of ecological factors when developing status determination criteria (SDCs) and management measures for CPS management unit species. These considerations will evolve as improved information and modeling of ecological processes become available and will likely include predator/prey relationships and the overall status and role of forage species including these two EC species.

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9.0 Emerging Issues

This section describes current and potential issues that may need to be addressed relative to FMP species and management in general.

9.1 Pacific Sardine

9.1.2 *Exempted Fishing Permits and Aerial Survey*

From 2009 through 2013, the Northwest Aerial Sardine Survey, LLC (NWSS) conducted an aerial stock survey to provide a biomass estimate for use in the sardine stock assessment. In 2009-2010 the survey was a coordinated effort covering the entire coast from Mexico to Canada, but from 2011-2013 it covered only portions of the Oregon and Washington coasts. The survey utilized up to 3,000 mt of the total allowable harvest, with any un-used set-aside returned to the subsequent period's directed fishery. Table 9.1 shows the Oregon/Washington EFP landings from 2009-2013, and Table 9.2 shows the California EFP landings in 2009-2010.

The survey involved a two-stage sampling design. First, aircraft flew at a specified elevation over a set of transects that extend approximately 38 miles off the coast. Photos were taken of sardine schools, to estimate surface area and biomass. Then spotter planes worked in tandem with purse seine vessels to capture sardine schools of varying sizes, to establish a relationship between surface area and biomass. The survey also collected biological samples from captured point sets. The

survey generally followed the same protocols and design each year, with relatively minor adjustments.

The survey encountered challenges from poor weather, cloud cover, and funding. The summer 2013 survey was only partially completed, and was subsequently not included as an index in the 2014 sardine stock assessment. Citing these challenges, as well as relatively low allowable harvest for the 2014-15 fishing year, the NWSS did not request an EFP for 2014. However, the NWSS also expressed interest in conducting the survey again in the future.

In November 2013, CDFW proposed a methodology review of a Southern California aerial survey, in cooperation with CWPA. That methodology review was recommended by the Council, but postponed until the survey proponents had a chance to collect more field data and refine their methods.

9.1.3 Harvest Control Rule/Management Strategy Evaluation

The current Pacific sardine harvest control rule includes stock-recruit and temperature-recruit relationships that play roles in determining the harvestable fraction of the stock. The temperature index used in the harvest control rules has been the Scripps Institution of Oceanography (SIO) Pier. However, a November 2010 publication by McClatchie et al. (Can. J. Fish. Aquat. Sci. 67: 1782–1790, November 2010) identified a divergence of temperatures between the SIO Pier and sea surface temperatures (SST) in the Southern California Bight. The SST readings from the California Cooperative Oceanic Fisheries Investigations (CalCOFI) showed declines that were not seen in the SIO temperatures. The publication also called into question the sardine productivity assumptions inherent in the sardine harvest control rules.

In February 2013, the Council and the Southwest Fisheries Science Center co-sponsored a workshop to explore the temperature-recruitment parameters and other issues relative to sardine harvest management. The workshop took place February 5-8, 2013, at the Scripps Institution of Oceanography in La Jolla, California, with advanced distribution of key documents. These included a workshop Terms of Reference with a purposed statement and four objectives related to Pacific sardine management: 1) mathematical specifications for an initial risk assessment framework to evaluate the performance of alternative Overfishing Limit and HG control rules, 2) a new formulation of the temperature-recruit relationship, 3) consideration of potential changes to the Distribution term used in the HCR, and 4) preliminary plans for a full management strategy evaluation.

Invited workshop participants included experts in the fields of fisheries oceanography, stock assessment modeling, and ecosystem modeling. These participants included the original authors of Amendment 8, attendees from Canada and Mexico, CPSAS representatives, the CPSMT, and many others who have participated in the science and management of Pacific sardine.

At its April 2013 meeting, the Council considered the workshop report, which was included in that meeting's briefing book materials, agreeing with the workshop participants that Objectives #1 and #2 warranted further consideration. The Council set a schedule to implement relevant changes to sardine management. At subsequent meetings (November 2013, March 2014, September 2014, and November 2014) the Council approved incorporation of the new temperature-recruit relationship and use of the CalCOFI temperature index into Pacific sardine management.

9.2 Pacific Mackerel

At its June 2013 meeting, the Council adopted a revised assessment and management schedule, with full assessments occurring every four years, starting in 2015, and catch-only projection estimates occurring every alternating four years. Annual harvest specifications and management measures will be set for two years in a row, starting with the 2015-2016 fishing year. Landings of Pacific mackerel have been well below the ABC, up until the 2013-2014 fishing year, which saw a significant increase in landings.

9.3 Management Issues

Emerging management issues include implementation of new provisions in the reauthorized MSA, ecosystem-based fishery management, and international CPS research.

9.3.1 Implementation of the Magnuson-Stevens Reauthorization Act of 2006

As noted above, the Council amended the CPS FMP to comply with provisions of the 2007 MSA reauthorization. In accordance, NMFS has revised guidance on preventing overfishing under MSA National Standard 1.

Precautionary HCRs for Pacific sardine and Pacific mackerel provide a solid foundation for the implementation of new fishery management provisions such as overfishing limits and annual catch limits. The CPS FMP's monitored stocks are either exempt from the new MSA requirements because of their short life-cycle (market squid) or are currently harvested at relatively low levels (anchovy, jack mackerel). ACLs for monitored stocks may be implemented with greater flexibility but greater precaution than the actively managed species because they are assessed with less frequency. Amendment 13 to the CPS FMP was approved by the Council in 2010, and NMFS issued draft regulations in June, 2011. The final rule was issued in November 2011.

9.3.2 Ecosystem Based Fishery Management

In November 2006, the Pacific Council initiated development of an Ecosystem Fishery Management Plan (EFMP). The EFMP is intended to serve as an advisory "umbrella" plan over the four existing FMPs, helping with coastwide research planning and policy guidance and creating a framework for status reports on the health of the CCLME. The plan envisioned by the Council would not replace the existing FMPs, but would advance fishery management under these FMPs by introducing new science and new authorities to the current Council process.

The Council formally established an Ecosystem Plan Development Team (EPDT), which developed an advisory fishery ecosystem plan (FEP). The Council also established an Ecosystem Advisory Subpanel. The two bodies held a joint kick off meeting in February, 2010.

In June, 2011, the Council chose to move forward with an advisory ecosystem plan, and adopted a purpose and need statement developed by the EPDT. In addition, the Council directed the EPDT to develop a list of species that are not currently managed or listed under the ESA, including a subset that could be subject to future target fishing.

In 2014, the Council approved a range of alternatives for additional protections of currently unfished and unmanaged forage fish. Draft FMP amendment language is under consideration,

which would be added to each of the four regulatory FMPs, adding a suite of species to the Ecosystem Component category in each FMP. The proposal also includes requirements that must be met prior to starting a fishery on one or more of the species on the list. Final action is scheduled for March 2015.

9.4 International CPS Fisheries

There has been significant interest in coastwide management for the Pacific sardine fishery, which would entail a more consistent forum for discussion between the U.S., Mexico, and Canada. Continued U.S.-Mexico bilateral meetings indicate Mexico's willingness to continue scientific data exchange and cooperation on research. In June, 2011, the Council and NMFS sponsored the second installment of a workshop aimed at improving stock assessment science for CPS species. Participants shared information about several different survey methods. Participants from British Columbia and Mexico attended, in addition to fisheries scientists, industry representatives, and other stakeholders. The group produced a research plan that lays the groundwork for a coordinated survey designed to compare the various survey methods, and to collect important stock assessment data.

In addition, Mexico has a new research vessel that will be capable of conducting acoustic-trawl surveys from the southern tip of the Baja Peninsula to the U.S. – Mexico border. In conjunction with the U.S. surveys, this will provide a synoptic acoustic-trawl survey from the southern tip of Baja to the northern tip of Vancouver Island, Canada.

The Trinational Sardine Forum (TSF) has been a positive venue for international exchange. The 2013 TSF was held December 5-6, at the Centro de Investigación Científica y de Educación Superior de Ensenada (CICESE), in Ensenada, Mexico.

9.5 Rights-based Management

NOAA issued a Catch Shares Policy in late 2009, encouraging fishery management councils to explore the potential for catch shares as a tool to address problems in management of fisheries. NOAA offers technical and financial support to councils exploring catch shares, but there is no requirement to explore or implement catch share systems.

The National Marine Fisheries Service (NMFS) sponsored a Catch Shares Workshop in February 2010 to explore the applicability and utility of catch shares in the sardine fishery. That workshop included representatives of the commercial and recreational fishing industries; Federal and state governments; and NGOs. Workshop proceedings were issued in early 2011, and are available from the NMFS Southwest Region Office.

NMFS hosted a second workshop in April 2012, that explored the pros and cons of rights-based management (i.e., catch shares), and solicited input regarding what elements of a CS program would make sense and which wouldn't, in the context of the west coast sardine fishery. There are no current plans to implement a catch shares approach for CPS fisheries. The 2012 workshop proceedings can be found at http://docs.lib.noaa.gov/noaa_documents/NMFS/CPSII-Proceedings.pdf, and the 2010 workshop proceedings can be obtained by contacting Amber Rhodes in the NMFS Long Beach office, at 562-980-4000.

9.6 Ocean Renewable Energy

9.6.1 Summary

The development of ocean renewable energy is moving forward off the West Coast, particularly in Oregon (http://www.oregon.gov/ENERGY/RENEW/Hydro/Ocean_Wave.shtml). Proposed wave and wind energy projects could eventually affect thousands of acres of nearshore habitat. A variety of ocean energy structures have been proposed for deployment. The specific areas proposed are sandy habitat within 2.5 miles from shore. Areas targeted for wave energy are generally, but not exclusively, sandy or muddy habitat within three miles of shore. These areas provide the most energy, allow for appropriate anchoring, and are close to onshore support facilities. The deployment of these structures may change local currents, alter bottom sediments, and possibly have other effects on marine habitat.

9.6.2 Adverse Impacts

The biological effects of ocean energy parks on CPS and other species are highly uncertain but studies underway (Boehlert et al. 2008). Structures could act as large fish aggregating devices. They would likely be off limits to sport and commercial fishing, creating a defacto marine reserve. There are also concerns related to biological effects of anti-fouling paints, fuel spills, changes in water flows, increased predator abundance, and electro-magnetic forces on biological organisms.

9.7 Climate Change

9.7.1 Summary

Recent reports by the International Panel on Climate Change (IPCC) have made it clear that the earth's climate is changing, and with it the environmental conditions in the ocean are also changing (http://www.ipcc.ch/publications_and_data/ar4/wg1/en/contents.html). The Pacific and other oceans are expected to warm in the future. The California Current is known to historically have large natural fluctuations in its oceanography and CPS abundance. Baumgartner et al. (1992) and Field et al. (2009) looked at deposits of coastal pelagic fish scales and were able to identify historic periods or regimes of anchovy and sardine abundance, probably linked to large scale climate phenomena. For example, during the 1930s-1950s when the California Current was undergoing a "warm" period as reflected in the Pacific Decadal Oscillation (Mantua et al. 1997) sardines were highly abundant, only to crash as the California Current and the North Pacific entered a cool period. The biological mechanisms causing these abrupt shifts in abundance are still unclear (Checkley et al. 2009), but probably related to decadal changes in wind-stress curl (Rykaczewski and Checkley 2007) and ocean temperatures (Takasuka et al. 2008) linked to productivity and temperature tolerances. Scientists originally thought that anchovy and sardine populations fluctuated out of phase because of "competitive" interactions, but this may not be true (Barange et al. 2009).

9.7.2 Adverse Impacts

Changes in the North Pacific Ocean climate were recently identified as major factors in the decline and subsequent ESA listing of the anadromous smelt eulachon (*Thaleichthys pacificus*) (Eulachon Biological Review Team. 2010). Such changes are also affecting Pacific salmonid populations (Schindler et al. 2009). How climate change will alter the productivity of the California Current

fish stocks, or if it will enhance decadal fluctuations in fish abundance is uncertain, but the future effects on fisheries could be modeled based on current knowledge (Hollowed et al. 2009).

9.8 Aquaculture

NOAA's National Aquaculture Policy seeks to streamline the permitting process as one way to decrease the seafood "trade deficit" (much more seafood is imported than exported) in the United States. Among many competing uses of the U.S. EEZ, aquaculture too requires dedicated space for infrastructure and operations, and in some cases, the proposed site can conflict with traditional fishing areas. In 2014, the Council considered a proposed mussel mariculture facility off Southern California (http://www.pcouncil.org/wp-content/uploads/E1_SUP_OC3_CatalinaSeaRanch_APR2014BB.pdf). The CPSAS commented that the proposed site was located in important CPS fishing areas, and that the proponents had not sufficiently engaged the fishing community.

This type of user group conflict will likely continue, although the implementation of marine planning may eventually serve as a tool to identify, minimize, and successfully resolve conflicts over use of ocean resources.

9.9 References

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10.0 Research and Data Needs

A declining trend in Pacific sardine biomass estimates points to the need for robust assessment procedures and appropriate management responses, in order to meet the requirements of the FMP. These include the recognition of the importance of CPS as forage for many salmon and groundfish stocks that are currently at low abundance levels, the importance of CPS biomass estimates to the Council’s annual determination of allowable coastal pelagic harvests, and the need to monitor status of the market squid stock using data-intensive techniques.

In addition to research and data needs presented in this section, refer to the Council’s comprehensive research and data needs document last revised in March 2013. The document includes a chapter dedicated to CPS matters and can be obtained by contacting the Council office or by visiting the Council web page. Also, the most recent Pacific sardine and Pacific mackerel assessments and STAR Panel reports include detailed, species-specific, research and data needs.

The 2014 Pacific sardine stock assessment, for the first time, differentiated the northern and southern subpopulations, generating a biomass estimate for only the northern subpopulation. This is a departure from past stock assessments, which assumed that all landings from Ensenada, Mexico, north were of the northern stock.

The highest priority research and data needs for CPS are:

- Develop methods for differentiating southern from northern subpopulation of Pacific sardines, and develop an appropriate management approach.
- Gain more information about the status of CPS resources in the north using egg pumps, trawl and sonar surveys, and spotter planes.
- Develop a coastwide (Mexico to British Columbia) synoptic survey of sardine and Pacific mackerel biomass; i.e., coordinate a coastwide sampling effort (during a specified time period) to reduce "double-counting" caused by migration.

- Develop a formal review process for the harvest control rules for Pacific sardine and Pacific mackerel. Currently this review is not part of the stock assessment process.
- Increase fishery sampling for age structure (Pacific sardine and Pacific mackerel) in the northern and southern end of the range. Establish a program of port sample data exchange with Mexican and Canadian scientists.
- Evaluate the role of CPS resources in the ecosystem, the influence of climatic/oceanographic conditions on CPS, and define predator-prey relationships.
- Routinely, collect detailed cost-earnings data to facilitate analyses for long-term changes to the sardine allocation structure.

10.1 Pacific Sardine

High priority research and data needs for Pacific sardine include:

- 1) gaining better information about Pacific sardine status through annual coastwide surveys that include ichthyoplankton, hydroacoustic, and trawl sampling;
- 2) standardizing fishery-dependent data collection among agencies, and improving exchange of raw data or monthly summaries for stock assessments;
- 3) obtaining more fishery-dependent and fishery-independent data from northern Baja California, México, and British Columbia, Canada;
- 4) further refinement of ageing methods and improved ageing error estimates through a workshop of all production readers from the respective agencies. A sardine ageing workshop is scheduled for December, 2011, at the Trinational Sardine Forum;
- 5) further developing methods (e.g., otolith microchemistry, genetic, morphometric, temperature-at-catch analyses) to improve our knowledge of sardine stock structure. If sardine captured in Ensenada and San Pedro represent a mixture of the southern and northern stocks, then objective criteria should be applied to the catch and biological data from these areas;
- 6) exploring environmental covariates (e.g., SST, wind stress) to inform the assessment model, and to address recent research that brings into question the temperature-recruitment relationship.

10.2 Pacific Mackerel

Given the transboundary status of Pacific mackerel, it is imperative to encourage collaborative research and data exchange between NMFS SWFSC and researchers from both Canada's and in particular, Mexico's academic and federal fishery bodies. For example, such cooperation is critical to providing a synoptic assessment that considers available sample data across the entire range of this species in any given year.

Fishery-independent survey data for measuring changes in mackerel spawning (or total) biomass are currently lacking. Further, at this time, a single index of relative abundance is used in the assessment, which is developed from a marine recreational fishery (CPFV fleet) that typically does not (directly) target the species, nor report all catches. Future research funds should focus on

improving the current CPFV survey, with a long-term emphasis, which will necessarily rely on cooperative efforts between the industry, research, and management bodies. Finally, further sensitivity analysis related to this index of relative abundance, including issues surrounding catchability (and/or selectivity) and influences regarding time-varying vs. constant parameterization of these fishery time series should be examined.

Given the importance of age (and length) distribution time series to developing a sound understanding of Pacific mackerel population dynamics, it is critical that data collection programs at the Federal and state levels continue to be supported. In particular, CDFW/NOAA funding should be bolstered to ensure ongoing ageing-related laboratory work is not interrupted, and for long-overdue related biological research. For example, maturity-related time series currently relied upon in the assessment model are based on data collected over twenty years ago during a period of high spawning biomass that does not reflect current levels. Also, work is needed to obtain more timely error estimates from production ageing efforts in the laboratory; for example, accurate interpretation of age-distribution data used in the ongoing assessment requires a reliable ageing error time series. Finally, examinations of sex-specific age distributions will allow hypotheses regarding natural mortality/selectivity (i.e., absence of older animals in sex-combined age distributions) to be more fully evaluated.

10.3 Market Squid

Currently, market squid population dynamics are poorly understood which has hampered assessing the status (health) of this valuable marine resource found primarily off California. General information concerning important stock- and fishery-related parameters suggests maximum age is less than one year, and the average age of squid harvested is roughly six to seven months. Under the National Standard 1 Guidelines, market squid are exempt from ACLs due to their short lifespan. However, the CPSMT recommends that current monitoring programs continue for this species, including tracking fishery landings, collecting reproduction data from the fishery, and obtaining logbook information.

Although some coastwide squid distribution and abundance has been extracted from fishery-independent midwater and bottom trawl surveys aimed at assessing other finfish species, there is no reliable measure of annual recruitment success beyond information obtained from the fishery. Since fishing activity generally occurs only on shallow-water spawning aggregations, it is unclear how fluctuations in landings are related to actual population abundance and/or availability to the fishery itself. That is, the general consensus from the scientific and fishery management communities is that squid do inhabit, to some degree, greater depths than fished by the fleet; however, species' range suppositions are qualitative at this point in time. Better information on the extent and distribution of spawning grounds along the U.S. Pacific Coast is needed, particularly, in deep water and areas north of central California. Additionally, fecundity, egg survival, and paralarvae density estimates are needed from different spawning habitats in nearshore areas and oceanographic conditions associated with the population. Data on mechanisms and patterns of dispersal of adults, as well as paralarvae, along the coast is necessary to clarify how local impacts might be mitigated by recruitment from other areas inhabited by this short-lived species. See Dorval 2008 and Dorval et al 2013 for additional information.

Although some fishery effort information is now being collected with a logbook program in the State of California, the continuation of this program is essential to provide estimates of relative

abundance (e.g., CPUE time series) in the future. Continuation and/or establishment of annual surveys using midwater trawls, bottom trawls, remotely operated vehicles, and satellite and aerial surveys would also provide useful information for developing alternative indices of abundance other than those derived from logbook data.

Potential impacts to EFH-related issues could arise in concert with fishing activity by the purse-seine fleet on spawning aggregations in shallow water if gear potentially makes contact with the sea floor. In this regard, there are two areas of potential concern that have not been quantified to date: (1) damage to substrate where eggs may be deposited; and (2) damage or mortality to egg masses from contact with the gear itself. The CDFW is currently working on research methods to evaluate egg stage of squid egg capsules collected in fishery landings to determine how long the egg capsule had been laid before being taken by the fishery or if the egg case was released in the net.

Currently, market squid fecundity estimates, based on the Egg Escapement Method (Dorval et al. 2008 and 2013), are used informally to assess the status of the stock through evaluations of alternative biological reference points related to productivity and MSY. The Egg Escapement Method is based on several assumptions, (1) immature squid are not harvested; (2) potential fecundity and standing stock of eggs are accurately measured; (3) life history parameters are accurately estimated (e.g., natural mortality, egg laying rate); and (4) instantaneous fishing mortality (F) translates into meaningful management units. Given the inherent uncertainty associated with these assumptions, each must receive more scrutiny in the future through continuation of rigorous sampling programs in the field that generate representative data for analysis purposes, as well as further histological evaluations in the laboratory and more detailed assessment-related work. For example, data collected through the CDFW port sampling program will provide information on the age and maturity stages of harvested squid. Further, laboratory work concerning mantle condition, especially the rate of mantle “thinning,” will benefit our understanding of squid life history and subsequently help improve the overall assessment of this species. Finally, other poorly-understood biological parameters relate to spawning and senescence (for example, life history strategies concerning spawning frequency, the duration of time spent on spawning grounds, and the period of time from maturation to death).

10.4 Live Bait Fishery

The California live bait fishery supplies product for several recreational fisheries, primarily in southern California, but as far north as Eureka. Live bait catch is generally comprised of both Pacific sardine and northern anchovy. Sardine typically represents a larger portion of the live bait catch, ranging from about 50% to 95% between 1994 and 2010. Total live bait landings in those years vary between about 2500 mt and 5000 mt, with effort increasing in summer months. However, these estimates are based only on logbooks provided by a limited number of bait haulers, and estimates provided by the CPFV industry. Since the sale of live bait in California is not permitted in a manner similar to that used for the commercial sale of CPS, estimates of tonnage and value are imprecise. Therefore, no estimates of volume or value for the sale of market squid for live bait are available at this time. However, the CDFW will reexamine reporting requirements and data needs to better estimate landings and value.

Although tonnage of CPS and market squid taken in the live bait fishery is minimal compared with volume taken in the commercial fishery, the price per pound is significantly greater. Live bait

haulers report that sardines sold as live bait average approximately \$4 per pound, based on a 10-pound scoop and scoop price of about \$40. (Buck Everingham, pers. comm.)

10.5 Socioeconomic Data

Economic analyses of management actions affecting coastal pelagic fisheries requires detailed, representative cost and earnings data for the sardine harvesters and processors making up each fishery sector. These data are used to evaluate the economic impacts of proposed management actions. Experience with the long-term allocation of the Pacific sardine HG emphasizes this need, and underscores the necessity for routine data collection. Collecting such data on an irregular basis, or to address an issue at hand, often makes them suspect in terms of strategic bias and validity.

Under Ecosystem-based fishery conservation and management, economic analyses will need to examine changes in yields from a number of different species. This will involve finding a balance among the variety of ecosystem services CPS can provide. The tradeoffs of interest are between benefits CPS provide as directed harvests, food for higher trophic level commercial predators, food for recreationally important predators, and food for non-commercial but ecologically important predators. The economic data required to evaluate tradeoffs involving recreationally important versus non-commercial but ecologically important species will entail the development of non-market data acquisition and valuation techniques.

10.5.1 Commercial Fisheries

A comprehensive CPS vessel logbook program for Washington, Oregon, and California vessels would greatly contribute to economic analyses of the commercial CPS fishery. Such a program would not only serve as a means of collecting biological and stock assessment related data, but also vessel-trip-level fishery economic data (e.g., fuel cost and consumption, number of crew, cost of provisions) across all CPS fishery operations. A logbook program would also need to include other fishery operations in which vessels engage in order to fully evaluate their economic opportunities. To fully understand fleet economics, the at-sea data would need to be supplemented with annual expenditure data, and other data that are not trip-specific, such as interest payments.

A parallel effort should be taken with processors. To fully evaluate the economic impacts of proposed management actions detailed, representative cost and earnings data for West Coast sardine processors should be reported on a routine basis. This would entail periodic surveys of CPS processors to collect representative economic data on their processing operations.

10.5.2 Non-market Values

Economic analyses of conservation and management actions affecting the availability of sardines as forage for non-commercial predators will entail developing a framework and compiling the data to estimate the non-market values of recreationally and ecologically important sardine predators. These nonmarket values can then be used to impute the economic value (shadow prices) of Pacific sardine as forage for these predators.

10.6 Observer Program

Bycatch in the California contingent of the CPS fishery has been qualitatively monitored by the CDFW's dockside monitoring program since the mid-1980s (Sweetnam and Laughlin, Pers. Comm., 2005). CDFW does not document the amount or quantity of bycatch, instead only documenting the species or type of bycatch encountered at the fish processing plant. In order to confirm bycatch rates derived from CDFW's dock-side sampling, NMFS conducted a pilot observer program from July 2004 through 2008 on the California purse seine fishing vessels landing CPS in the LE fishery. The pilot observer program's main focus was to gather data on total catch and bycatch, and on interactions between their fishing gear and protected species such as marine mammals, sea turtles, and sea birds. See Section 6.1.1 for additional information and preliminary results from this program.

10.7 References

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11.0 ESSENTIAL FISH HABITAT

Recognizing the importance of fish habitat to the productivity and sustainability of U.S. marine fisheries, in 1996 Congress added new habitat conservation provisions to the Magnuson Fishery Conservation and Management Act of 1976, the federal law that governs U.S. marine fisheries management. The re-named Magnuson-Stevens Fishery Conservation and Management Act (MSA) mandated the identification of essential fish habitat (EFH) for managed species as well as measures to conserve and enhance the habitat necessary to fish to carry out their life cycles. The MSA requires cooperation among the National Marine Fisheries Service (NMFS), the Councils, fishing participants, Federal and state agencies, and others in achieving EFH protection, conservation, and enhancement. Congress defined EFH as "those waters and substrate necessary to fish for spawning, breeding, feeding, or growth to maturity" (16 U.S.C. 1802(10)). The EFH guidelines under 50 *CFR* 600.10 further interpret the EFH definition as follows:

“Waters include aquatic areas and their associated physical, chemical, and biological properties that are used by fish and may include aquatic areas historically used by fish where appropriate; substrate includes sediment, hard bottom, structures underlying the waters, and associated biological communities;

necessary means the habitat required to support a sustainable fishery and the managed species' contribution to a healthy ecosystem; and "spawning, breeding, feeding, or growth to maturity" covers a species' full life cycle."

The Councils and NMFS are expected to periodically review the EFH components of FMPs. Each FMP should include a procedure to review and update EFH provisions if newly-available information warrants revision of EFH. The schedule for this review should be based on an assessment of the quality of both the existing data and expectations when new data will be available. Such a review of information should be conducted at least once every five years (50 *CFR* 600.815).

Process for five-year Review of CPS EFH

The review process was initiated at a meeting of the Coastal Pelagic Species Management Team (CPSMT) in January, 2010, in La Jolla, California, with a discussion of the existing EFH, habitat needs, and new information. The team subsequently compiled publications (see References) relevant to CPS habitat needs and associations. The CPSMT discussed CPS EFH at its April 27-30, 2010 meeting in Portland, Oregon; and during the June 13-14, 2010 Council meeting. In addition, the CPS Subcommittee of the SSC, the CPSMT, and some members of the Coastal Pelagic Species Advisory Subpanel (CPSAS) attended the sardine assessment meeting in October, 2010 in La Jolla, CA, which included discussion of CPS EFH.

The Council's Habitat Committee (HC), Scientific and Statistical Committee (SSC), and the CPSAS considered the issue during the June, 2010 Council meeting in Foster City, California. The full Council also considered CPS EFH at that meeting, and added it to the November, 2010 Council meeting agenda in Costa Mesa, California, scheduled for final action.

In August, 2010, Council staff issued a request for comments on CPS EFH, via an email to the Council's HC, CPSMT, CPSAS, and the CPS subcommittee of the SSC. These advisory and management groups of the Council include representatives from the NMFS Northwest and Southwest Fisheries Science Centers; the NMFS Northwest and Southwest Regions; state agencies of California, Oregon, and Washington; commercial and recreational fishing interests; conservation interests; a port representative; and a tribal representative. No comments were received in response to that request.

The CPSMT considered new information, comments and discussion with Council advisory bodies, and best professional judgment to review CPS EFH in the context of three primary questions:

1. Does new information indicate that existing CPS EFH should be revised?
2. Does new information suggest establishing Habitat Areas of Particular Concern (HAPC)?
3. Are there emerging threats that could adversely affect CPS EFH?

Description of Existing EFH

The CPS fishery includes four finfish species, market squid, and krill:

- Pacific sardine (*Sardinops sagax*)

- Pacific (chub) mackerel (*Scomber japonicus*)
- Northern anchovy (two stocks) (*Engraulis mordax*)
- Jack mackerel (*Trachurus symmetricus*)
- Market squid (*Loligo opalescens*)
- Krill (*Euphasiid spp.*)

CPS finfish inhabit the water column, are not typically associated with bottom substrate, and generally occur above the thermocline in the upper mixed layer. For the purposes of EFH, the four CPS finfish species are treated as a single species complex, because of similarities in their life histories and similarities in the habitat requirements. Market squid inhabit the water column, but are also associated with bottom substrate during spawning events and egg development. Squid are treated in the same complex as CPS finfish because they are similarly fished above spawning aggregations (PFMC 1998).

Unless the Council and NMFS conclude that there are reasons to substantiate a change to the definition of CPS EFH at this time, the description of EFH will remain the same as that identified in Amendment 8 to the FMP (PFMC, 1998). A detailed description of existing EFH for CPS can be found in Appendix D of that document. In determining EFH for CPS, the estuarine and marine habitats necessary to provide sufficient production to support maximum sustainable yield and a healthy ecosystem were considered.

Using presence/absence data, EFH is “based on a thermal range bordered within the geographic area where a managed species occurs at any life stage, where the species has occurred historically during periods of similar environmental conditions, or where environmental conditions do not preclude colonization by the species” (PFMC 1998). The specific description and identification of EFH for CPS finfish accommodates the fact that the geographic range of all species varies widely over time in response to the temperature of the upper mixed layer of the ocean, particularly in the area north of 39° N latitude. For example, an increase in sea surface temperature since the 1970s has led to a northerly expansion of the Pacific sardine resource. With an environment favorable to Pacific sardine, this species can now be found in significant quantities from Mexico to Canada. Adult CPS finfish are generally not found at temperatures colder than 10° C or warmer than 26° C. Preferred temperatures (including minimum spawning temperatures) are generally above 13° C. Spawning is most common at 14° C to 16° C (PFMC 1998).

Essential fish habitat for West Coast CPS species was established in December, 1998, with the issuance of Appendix D to Amendment 8 of the Northern Anchovy Fishery Management Plan. Appendix D contains the identification and description of CPS EFH; information on life history and habitat needs; fishing and non-fishing effects on CPS EFH; and potential conservation and enhancement measures. CPS EFH is linked to ocean temperatures, which shift temporally and spatially, providing a dynamic description of CPS EFH.

This description is as follows:

The east-west geographic boundary of EFH for each individual CPS finfish and market squid is defined to be all marine and estuarine waters from the shoreline along the coasts of California, Oregon, and Washington offshore to the limits of

the exclusive economic zone (EEZ) and above the thermocline where sea surface temperatures range between 10⁰C to 26⁰C. The southern boundary of the geographic range of all CPS finfish is consistently south of the US-Mexico border, indicating a consistency in SSTs below 26⁰C, the upper thermal tolerance of CPS finfish. Therefore, the southern extent of EFH for CPS finfish is the US-Mexico maritime boundary. The northern boundary of the range of CPS finfish is more dynamic and variable due to the seasonal cooling of the SST. The northern EFH boundary is, therefore, the position of the 10⁰C isotherm which varies both seasonally and annually.

Krill species were added to the CPS FMP in 2006, and EFH for krill was issued in 2008. The two most prevalent species of krill are *Euphausia pacifica* and *Thysanoessa spinifera*, although six other krill species are also included in the FMP. All are prohibited from harvest on the U.S. West Coast. The two species (*E. pacifica* and *T. spinifera*) form large aggregations of moderate density, while the other species are typically more dispersed. EFH is identified individually for *E. pacifica* and *T. spinifera*, and then collectively for the other krill species. The following descriptions are taken from Amendment 12 to the CPS FMP (PFMC 2006).

Euphausia pacifica EFH

Larvae, juveniles and adults: From the baseline from which the shoreline is measured seaward to the 1000 fm (1,829 m) isobath, from the U.S.- Mexico north to the U.S.-Canada border, from the surface to 400 m deep, from the U.S.- Mexico north to the U.S.-Canada border. Highest concentrations occur within the inner third of the EEZ, but can be advected into offshore waters in phytoplankton-rich upwelling jets that are known to occur seaward to the outer boundary of the EEZ and beyond.

Thysanoessa spinifera EFH

Larvae, juveniles and adults: From the baseline from which the shoreline is measured to the 500 fm (914 m) isobath, from the U.S.- Mexico north to the U.S.-Canada border, from the surface to 100 m deep. Largest concentrations in waters less than 200 m deep, although individuals, especially larvae and juveniles, can be found far seaward of the shelf, probably advected there by upwelling jets.

Other krill species EFH

Larvae, juveniles and adults: From the baseline from which the shoreline is measured seaward to the 1000 fm (1,829 m) isobath, from the U.S.- Mexico north to the U.S.-Canada border, from the surface to 400 m deep, from the U.S.- Mexico north to the U.S.-Canada border. Amendment 12 concluded that no biological, social or economic impacts are expected beyond administrative costs of reviewing federally regulated projects for potential impacts on this habitat, where krill and krill predators concentrate.

New Information

Existing EFH descriptions for CPS are based largely on presence/absence data and upon a thermal range within the broader geographic area in which CPS stocks occur. The 1998 EFH identification and descriptions also base EFH on historical presence or “where environmental conditions do not preclude colonization by the CPS” (PFMC 1998). Although temperature associations among individual species and life stages within the CPS complex exhibit some variation, the temperature range that describes existing EFH is sufficiently representative of habitat associations. This temperature range is between 10°-26° C, although CPS can be found at temperatures outside that

range. The CPSMT considered information contained in several recent publications relevant to CPS. The new information continues to support the strong linkage between CPS distribution and sea surface temperature, which varies spatially and temporally, and thus does not present any significant change in existing documented habitat associations. All the new information considered during this process is included in the References section below.

Because krill EFH was only recently established (under Amendment 12, finalized in 2008), the CPSMT did not invest significant effort in reviewing information on which EFH designations for krill are based. However, this periodic review offers an opportunity to synchronize the timing of krill with the other CPS stocks for future EFH reviews.

Amendment 8 cited several research needs related to market squid habitat and potential adverse effects to EFH. More specifically, these research needs centered on spawning distribution, depth, and location; as well as egg and paralarvae production and survival. Dispersal of larvae was also cited as key information that could help to understand how local impacts could be mitigated by recruitment from other areas. There remains a relatively meager volume of literature on market squid habitat. However, there are recent reports and research that are either published or in submission.

A comparison of new and newly-available literature since the last EFH review in 2005, and from when CPS EFH was originally established in 1998, shows that the California Current (CC) and CPS EFH continues to have significant annual and decadal variations in its oceanographic conditions; this includes upwelling, currents, primary and secondary productivity, and plankton and nekton species abundance and distributions (e.g., Humboldt squid in 2009).

Zwoliniski et al. (2011) found that they could identify the pelagic habitat of Pacific sardine using satellite-derived SST and Chlorophyll information. Their information clearly shows the movement of this preferred habitat from southern California in winter/early spring to off the Pacific Northwest in summer. The pelagic habitat off northern Washington appears to have particularly high phytoplankton concentrations during summer (Hickey and Banas 2008; Hickey et al. 2009) and is probably why sardines track this particular habitat.

From 2003-2005 California Current Ecosystem (CCE) ocean temperatures were warmer than average. From 2006 and on, SST were colder – especially in 2008. The PDO also went from positive to negative in 2006. These colder temperatures appear to have had a negative effect on sardine recruitment (Chavez et al. 2005; Jacobson and MacCall 1995; Jacobson et al. 2001, 2005; Takasuka et al. 2008) and may have had a positive effect on squid (Vidal et al 2002; Zeidberg et al. 2006). This may be why the stock size of sardines appears to be lower now.

Climate change has the potential to alter CPS EFH significantly. However, there are still many unknowns regarding how climate change will affect the CCE. At this time it is still uncertain if the CC will actually get colder or warmer in the future. Increasing land temperatures could lead to larger air pressure differentials and cause more upwelling. However, these upwelled waters could be much less productive if ocean acidification affects primary and secondary production (Fabry et al. 2008; Juranek et al. 2009).

Habitat Areas of Particular Concern (HAPCs)

The implementing regulations for the EFH provisions of the MSA (50 CFR part 600) encourage the FMCs to identify specific types or areas of habitat within EFH as “habitat areas of particular

concern” (HAPC), based on one or more of the following considerations: (1) the importance of the ecological function provided by the habitat; (2) the extent to which the habitat is sensitive to human-induced environmental degradation; (3) whether, and to what extent, development activities are, or will be, stressing the habitat type; and (4) the rarity of the habitat type. The intended goal of identifying such habitats as HAPCs is to provide additional focus for conservation efforts. While the HAPC designation does not add any specific regulatory process, it highlights certain habitat types as ecologically very important. This designation is manifested in EFH consultations where federally permitted projects with potential adverse impacts to HAPC are more carefully scrutinized during the consultation process.

Habitat Areas of Particular Concern were not considered in Appendix D of Amendment 8, for CPS. HAPCs for krill species were considered under Amendment 12, but were not adopted. CPS finfish and market squid are highly mobile, and generally associated with a range of thermal conditions rather than fixed physical habitat. In addition, CPS are somewhat unpredictable and not particularly dependent on any single habitat type or spatially discrete location. Their strong association with a dynamic habitat feature creates a challenge in proposing HAPCs, especially in open ocean waters where CPS stocks are found. This association, combined with the large range of habitats suitable for many CPS, makes it infeasible to provide appropriate justification for designating HAPCs at this time.

For the reasons described above, it was determined that the available information was insufficient to recommend designating HAPCs as part of this review.

Fishing Gear Effects

The MSA requires each FMP to identify fishing activities that may adversely affect EFH and to minimize adverse effects of those activities to the extent practicable. Fishing activities should include those regulated under the CPS FMP that affect EFH identified under any FMPs, as well as those fishing activities regulated under other FMPs that affect EFH designated under the CPS FMP.

Appendix D to Amendment 8 of the CPS FMP describes CPS fishing activities and gear that have the potential to adversely affect EFH, and notes that direct interactions with habitat are unlikely because CPS fisheries typically occur in waters deeper than the height of the net. However, it is important to clarify that while CPS fishing gear does interact with the water (which is EFH), a fishing net passing through the water column is not expected to adversely affect the functioning of that habitat. Direct interactions between gear and CPS EFH may occur when derelict gear comes into contact with the benthos, which could potentially harm squid eggs embedded in the benthos. Even so, Appendix D concludes that habitat impacts resulting from net interactions are rare, minimal, and transitory.

Although some sector shifts and species harvest has changed since Appendix D was written, the gear type, harvest levels, and methods have remained essentially the same over time. In the 1990s, the industry was dominated by roundhaul and lampara gear, which still was true in 2009 (PFMC 2010).

One notable change in fishing activities since 1998 has been a spatial shift in west coast CPS landings. In 1998, the Pacific Northwest sector harvested approximately 1-2% (by weight) of the total west coast CPS landings. More recently, the Pacific Northwest was responsible for harvesting

approximately 28% of total CPS landings in 2009 (PFMC 2010). It is important to note that the increase in Pacific Northwest landings represents a shift in where landings are occurring, and not necessarily an overall increase in landings along the west coast. There is no reason to conclude any increase in effects, because methods and gear are essentially the same between California and the Pacific Northwest industry sectors.

This review concludes that based on fishery information and statistics, compared over time, there is no substantial change in gear or activities. Therefore, the description, adverse impacts, and mitigation measures contained in Appendix D are still relevant and valid, and do not suggest that any new evaluation is warranted.

Emerging Threats

Climate Change

Fluctuating oceanographic conditions are known to have significant effects on the abundance of CPS in the Pacific Ocean and worldwide. Ocean temperatures, which are known to have direct effects on CPS recruitment, distribution, and abundance, have increased worldwide (Domingues et al. 2008). The California Current, the dominant large-scale oceanographic feature along the US west coast, is known to fluctuate significantly at annual and longer time scales. At short time scales the El Niño/Southern Oscillation (ENSO) (<http://www.esrl.noaa.gov/psd/people/klaus.wolter/MEI/mei.html>) is a short-term cooling or warming of the ocean at the equator caused by altering wind patterns. El Niño periods can produce considerable warming and reductions in primary and secondary production in the CC and reduce some CPS abundances. Many CPS and other fishes show significant alterations in their coastal distributions during strong El Niño or warm ocean periods (Phillips et al. 2007). For example, jellyfish blooms appear to be having significant effects on fisheries all over the world. Recently, Brodeur et al. (2008) indicated that that jellyfish may compete directly with CPS in the California Current. The CC moved from an El Niño condition to a La Niña or cold condition in the summer of 2010. The PACOOS program (<http://www.pacoos.org/Default.htm>) is presently tracking many oceanographic (physical and biological) indices that are revealing how oceanographic fluctuations affect marine resources, including some CPS. Climate change is expected to alter ENSO frequencies and duration but the levels are still impossible to predict.

Recent research has also shown that the entire North Pacific Ocean oscillates (Pacific Decadal Oscillation, or PDO) between warm and cold states at decadal scales, with significant effects on living marine resources (both benthic and pelagic) (Mantua et al. 1997; Hare et al. 1999; Beamish et al. 2000; Hare and Mantua 2000; Hollowed et al. 2001; Kar et al. 2001; and Brinton and Townsend 2003). Sardines appear to become abundant during warm PDO periods and anchovy during cool PDO periods. However, the time series is short and the mechanisms involved are still uncertain.

The “source water” for the California Current appears to fluctuate depending on the status of the PDO and ENSO (DFO. 2010). This has significant effects on CPS and other species in the CC. In 2008, the North Pacific Current was very strong, as was the amount of water that split south from this current to become the CC. When the southern split is strong, much nutrient rich North Pacific waters enter the CC and appear to enhance primary and secondary productivity (DFO 2010;

<http://www.pac.dfo-mpo.gc.ca/science/oceans-eng.htm>). In 2009 and spring 2010 North Pacific flows to the CC were reduced, which decreased overall productivity.

The most significant local feature along the west coast is wind induced upwelling (Bakun 1996). Upwelling is responsible for bringing nutrient rich waters from depth to the surface, thus enhancing primary production. Future climate change scenarios indicate much uncertainty as to whether winds and ocean conditions will be more conducive to upwelling or not, but Bakun (1990) thought that upwelling related winds would intensify because of higher pressure differentials between ocean and land. There is also concern that the phenology (i.e., timing of upwelling relative to the evolved life histories of various species) might be affected by alterations or changes in the seasonality and timing of upwelling periods along the west coast (Bograd et al. 2008).

One of the most significant impacts of climate change comes directly from the increased concentrations of carbon dioxide dissolving into the oceans and leading to decreased pH or ocean acidification. Lower ocean pH levels may have significant consequences on some calcifying organisms, many of which are prey for sardines and other CPS (Feely et al. 2004; 2008; Kerr 2010).

Recently, periods of hypoxia, or very low levels of oxygen, were observed on the continental shelf off Washington and Oregon and are expected to occur more often in the future (Grantham et al. 2004; Chan et al. 2008). Hypoxia could be related to changes in wind and currents directly tied to climate change.

The last few years and particularly in 2009, large numbers of Humboldt squid (*Dosidicus gigas*) were observed in the CC from Canada to Mexico (Field 2008). It is unknown if the unusual abundance of this species in the CC was related to climate change or some other oceanographic condition. However, their occurrence does appear to be related to the recent abundance of the hypoxic area off the west coast (Gilly et al. 2006). Humboldt squid are very efficient predators that have some of the highest growth rates of any species. They can consume significant numbers of CPS and other species and may affect their abundance.

Finally, harmful algal blooms (HABs) have been observed more frequently in recently years and are expected to be more common in the future. The effects of various HAB on CPS are unknown at this time.

Ocean Energy Development

At this time there is a lot of interest in developing renewable ocean energy projects in the CC. Possible energy projects include wave, wind, tidal, ocean currents, and thermal gradient. All of these will have structures that may affect benthic and pelagic environments. Unfortunately, the environmental effects of these projects needs study (Boehlert et al. 2008; Boehlert and Gill 2010). Some energy structures may act as fish aggregating devices (FADs) for CPS or their predators. Very few studies have been done to look at the effects of electromagnetic effects on migrations/movements of CPS. As these energy projects become initiated, it will be important to identify how they interact with CPS.

Presently the nearshore areas that have the highest potential for wave energy development are also areas where many CPS and other fisheries (e.g., Dungeness crab, salmon) are focused. This nearshore habitat has also been identified as Essential Fish Habitat for CPS and other fishes (Boehlert et al. 2008). From an ecosystem management position, these habitats (both pelagic and benthic) have not been well studied and their utilization by various species is not well mapped or documented in time or space.

Many coastal pelagic species undertake broad migrations in the coastal region. Wave energy devices may directly affect this migration by their physical structure or by emitting electromagnetic, acoustic, or chemical field that interfere with fish navigation/orientation systems.

Forecasting the effects of wave energy on pelagic species is presently difficult because we have limited information on the effects of large versus small projects and our time series of data from these habitats is also limited. Besides directly altering habitats, these structures could possibly alter food webs and may leach anti-fouling chemicals into the environment which may affect the health and marketability of CPS fishes caught in their vicinity.

Finally, large scale wave energy developments have the potential to conflict with existing or potential CPS fisheries. CPS fish often congregate in very specific areas depending on currents, time of year, predator abundance, etc. If CPS fish are highly congregated in areas that are off-limits to fishing because of wave energy structures, they would significantly affect potential harvest.

Conclusions

After review of recently-published literature, discussion and presentation at several Council-related meetings, and based on the opportunity provided for public comment; the CPSMT makes the following conclusions:

- New information still supports the strong linkage between CPS habitat utilization and sea surface temperature, which along with other oceanographic conditions like upwelling and primary productivity, is both spatially and temporally variable. Therefore, although this information is likely to help inform EFH consultations, and provides additional background on CPS habitat, it does not warrant changes to the existing description of CPS EFH.
- The fishing impacts and non-fishing impacts sections of Appendix D to Amendment 8 sufficiently describe those adverse impacts as well as conservation measures to mitigate those impacts.
- New information on climate change and ocean energy development should be added to body of information on potential impacts to CPS EFH. This should be published in the 2011 SAFE¹ document, to remain available for use in EFH consultations and for future EFH reviews.
- The timing of the periodic review of krill EFH should be synchronized with the future reviews of CPS EFH.

¹ The Federal EFH regulations call for publishing the results of periodic EFH reviews in the SAFE report.

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