

CDQ QUARTERLY REPORT FORMAT GUIDELINES



Revised
December 2, 2002

State of Alaska
Department of Community & Economic Development
Division of Community & Business Development
CDQ Program
(907) 465-5536

Quarterly Report Guideline Instructions

There will be numerous notes throughout this packet. The notes will be [bracketed and typed in Arial]. The notes are for your reference.

Please use this methodology in preparing and submitting each quarterly report:

- Three hole punched reports.
- Seven copies of the report (six confidential and one non-confidential material).
- Do not use three ring binders or other casings. A staple or clip is preferable.
- Please number the pages chronologically, ideally, the calendar year, reporting quarter, and the CDQ group initial's (E.g. APICDA, BBEDC, etc.) can be in the footer or header of each page of the entire report.
- Stamp or label all confidential material as appropriate.
- Please follow all of the above when responding to quarterly report questions from the state.
- Submit an electronic copy of the non-confidential portion of each quarterly report to the CDQ Manager prior to the deadline (for posting on state CDQ web site). The non-confidential section should be one electronic file only. This file will be used for posting on the state's web site.
- Address quarterly reports to:

Mailing Address: CDQ Program
Department of Community and Economic Development
PO Box 110801
Juneau, Alaska 99811-0801

Physical Address: CDQ Program
Department of Community and Economic Development
9th Floor State Office Building (SOB)
333 Willoughby Avenue
Juneau, Alaska 99811-0801

- Per 6 AAC 93.050(b), quarterly reports should be postmarked no later than:
 - 1st Quarter April 30
 - 2nd Quarter July 30
 - 3rd Quarter October 30
 - 4th Quarter January 30

Other reminders include:

- If additional revisions are required to the quarterly report, please include a letter of explanation along with the date and any changes in pagination.

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I. Quarterly Highlights

[Summary of quarterly activities in a one page or less format.]

II. Community Development

A. Progress Toward Goals, Objectives, Milestones

[Approach this section in the most convenient fashion. Please note all CDP milestones will be monitored to ensure that updates are provided.]

B. Outreach

[A summary of all community activities in relation to your programs, including exhibits of brochures, letters, trip reports, studies, etc.]

C. Employment

1. Data Form

	<u>Quarter</u>		<u>Year-to-Date</u>	
	People	Wages	People	Wages
Management/Administrative	###	\$\$\$	###	\$\$\$
Community Liaisons	###	\$\$\$	###	\$\$\$
CDQ Pollock Related				
A Season	###	\$\$\$	###	\$\$\$
B Season	###	\$\$\$	###	\$\$\$
Other Fishing	###	\$\$\$	###	\$\$\$
Other Employment	###	\$\$\$	###	\$\$\$
Internships	###	\$\$\$	###	\$\$\$
Total of Rows	###	\$\$\$	###	\$\$\$
Unique Individuals Total	###	\$\$\$	###	\$\$\$

2. Summary

[The employment data form should represent CDQ residents only. The state requests that non-CDQ residents be listed in the summary accompanying the table identifying the communities the employees are from.

The employment data form should not include board members as they are not employees per the Alaska Department of Labor. The CDQ groups should report their board expenses in the General and Administrative Expenses table format on Page 9 of this document.

The employment data form should include ex-vessel prices paid to CDQ residents who either make deliveries of multispecies to buyers and/or subsidiary companies owned by the CDQ groups. However, the state requests the number of fishermen making deliveries be identified and broken out in a separate sub-category under "Other Fishing".

Management and Administrative employees should be broken out by their physical location of employment in an attached notes to employment data summary. Community Liaisons should also be reported on a separate line with details on services provided. For each category please provide further details on what the numbers in the chart represent on a separate page in the notes to employment data summary. For example, the type of employment, identifying the direct employer, type of duties performed, how employment was derived, physical location of employment, residency of each employee and so on. In addition, please provide an explanation for each category of employment in a "notes to employment data" form, and identify the boat and target species for which the individual is employed in the "other fishing" category.]

D. Training
 1. Data Form

	Quarter		Year-to-Date	
	People	Expenditure	People	Expenditure
Scholarships				
Postsecondary	###	\$\$\$	###	\$\$\$
Vocational	###	\$\$\$	###	\$\$\$
Voc-tech classes				
Basic	###	\$\$\$	###	\$\$\$
Advanced	###	\$\$\$	###	\$\$\$
Other Training				
Fisheries related	###	\$\$\$	###	\$\$\$
Student Loans	###	\$\$\$	###	\$\$\$
CDQ Staff/Board	###	\$\$\$	###	\$\$\$
Other	###	\$\$\$	###	\$\$\$
Other Expenditures				
To Educational Institutes	N/A	\$\$\$	N/A	\$\$\$
Educational Endowment Funds	N/A	\$\$\$	N/A	\$\$\$
Other	N/A	\$\$\$	N/A	\$\$\$
Total	###	\$\$\$	###	\$\$\$

2. Summary

[For each category, provide some description to support the numbers from the chart including specifics such as type of training, the physical location of where it occurred, type of course work, how the training was derived, the community the people were from, etc. In addition, please provide an explanation for each category of training in a “notes to training data” form. Please do not count employment numbers in the training data form. For example, if an individual is enrolled in a paid internship or apprenticeship with a pollock partner, either count the expenditure in the training or employment category, but not both.]

E. Other Issues

III. Administration

A. Board Activities

1. Changes in Members
2. Decisions
3. Board Meeting Minutes

[The transcription of board meeting minutes is an important source of information. The minutes provide detail regarding the operations of a CDQ group. If you wish please insert them into the confidential section of the report. Note that 6 AAC 93.050(c)(5) requires the submittal of “minutes for any CDQ group board or directors meetings that were held during the quarter.” This includes minutes from executive committee meetings].

B. State of Alaska Reporting Compliance

[This would involve a brief summary to justify that a CDQ group has successfully complied with reporting regulations].

C. Amendment Status

[Provide a brief summary of any CDP amendment activity including any completed or pending amendments].

D. Other Issues

IV. Harvesting Report

A. Pollock & Multi-species Harvest Activities by Target Fishery.

1. Table of data.

SPECIES							
Pollock	CDQ Allocation	Metric Tons Harvested					Target Fishery Information
SEASON	Metric Tons Allocated	1st Qtr.	2nd Qtr.	3rd Qtr.	4th Qtr.	YTD Harvest	% of Target Harvest
A							
B							
BYCATCH							
Pacific Cod							
Greenland Turbot							
Atka Mackerel							
Rock Sole							
Flathead Sole							
Arrowtooth							
Other Species							
PROHIBITED SPECIES							
Halibut							
Opilio Tanner							
Bairdi Tanner							
Red King Crab							
Chinook Salmon							
Other Salmon							
TOTAL HARVEST							

2. Summary of Harvesting Activities by Target Fishery.
 [A description of the harvesting activities by each target fishery during each quarter including year-to-date (YTD) totals.]

B. CDQ Harvest by Quarter and Year-to-Date. [This table should include all CDQ species allocations including halibut and crab.]

Species	2002 CDQ Allocation	1 st Qtr.	2 nd Qtr.	3 rd Qtr.	4 th Qtr.	YTD Harvest	% of CDQ Allocation Harvested
Pollock							
Pacific Cod							
Halibut							
Sablefish							
Atka Mackerel							
POP							
BB Red King Crab							
Opilio Crab							
Prohibited Species							
Halibut							
Bairdi Crab							
Opilio Crab							
BB Red King Crab							
Chinook Salmon							
Other Salmon							

1. [Please provide a quarterly and YTD summary of CDQ harvests by target and prohibited species per the NMFS annual allocation matrix.]
2. Please note that the state is requesting harvest **data for all CDQ species including halibut and crab** (referenced in the table).

C. Compliance

[A detailed report of any interaction with the National Marine Fisheries Service, U.S. Coast Guard, the Alaska Department of Fish & Game or any other regulatory/enforcement agency. The report would include any vessel violations, harvesting violations, illegal activities that occurred on board any harvesting vessel(s) and any other fines or penalties.]

D. Other Fishing Issues/ Activities

V. Confidential Issues

A. Financial Statements - CDQ Group

1. Consolidated Statement of Activities (One to Two Pages)

2. Consolidated Statement of Financial Position (One to Two Pages)
3. Consolidated Statement of Cash Flows (One to Two Pages)
4. Subsidiary Report - CDQ Group Subsidiaries
[Provide a current narrative summary of all CDQ subsidiary, joint-venture, L.L.C., L.L.P., and partnership activities that occurred during the quarter. The summary information pertains to all CDQ investment activity. Financial statements for all subsidiary investments are required. Please note that special circumstances may exist requiring the state to request financial information on businesses, projects, and programs that fall beyond the scope of the reporting requirements.]
 - a) Income Statement (Statement of Activities)
 - b) Balance Sheet (Statement of Financial Position)
 - c) Cash Flow Statement (Statement of Cash Flows)
 - d) Organizational Chart

[Please maintain all current organizational charts in the CDP. The charts should list the complete names of all major partners/owners along with percentages of ownership, the state of incorporation, and the type of business, i.e. non-profit corporation, limited liability corporation, etc.]

5. Consolidated General and Administrative Expenses
 - a) [General and administrative expenses include all expenses charged to the CDQ group and its subsidiaries. General and Administrative Expenses include “program delivery expenses”. The categories listed in the table below are required. Please contact the state if there are any questions.]
 - b) [Please provide the cumulate amounts in the following format:]

CONSOLIDATED GENERAL & ADMINISTRATIVE EXPENSES FOR
 CDQ GROUP (BY QUARTERLY REPORTING PERIOD).

	SUBSIDIARY/ L.L.C. A	SUBSIDIARY/ L.L.C. B	SUBSIDIARY/ L.L.C. C	PROGRAM A	PROGRAM B	PROGRAM C	TOTAL
BOARD EXPENSES:							
• Transportation (airfare, taxi, etc.)							
• Per Diem (hotel, meals, etc)							
• Honorariums/Stipends/Board Fees							
STAFF							
• Salaries							
• Benefits							
• Payroll Taxes/Expenses							
TRAVEL/PER DIEM:							
• Staff							
• Consultants							
• Contract Personnel							
TRAINING:							
• Staff							
• Consultants/Contract Personnel							
• Board Members (Tuition)							
ACCOUNTING FEES							
AUDIT EXPENSES							
LEGAL FEES							
OTHER PROFESSIONAL FEES:							
• Lobbying							
• Allocation Management							
• Investment/Fund Management							
• Contract Personnel							
• Similar Services (Consultants)							
RENT							
UTILITIES							
OFFICE SUPPLIES							
POSTAGE							
TELEPHONE/INTERNET FEES							
INSURANCE							
DUES/SUBSCRIPTIONS							
COPYING/PRINTING							
OFFICE EQUIPMENT REPAIR							
ADVERTISING							
OFFICE EQUIPMENT PURCHASE							
TOTAL							

b) [Please provide any further details in an accompanying footnote.]

- 6. Budget Summary
 [Include actual versus projected revenues and expenses with a column for the variance.]

- 7. Notes to Financial Statements
 [Please provide a quarterly breakdown of CDQ royalties received by species, complete with year-to-date amounts (YTD). Please make sure the table listed below includes only CDQ royalties. The table listed below should not include revenues from any other source. Please use the following format and the specific CDQ species listed in the table below:]

CDQ Royalties by Species

Species	1st Qtr.	2nd Qtr.	3rd Qtr.	4th Qtr.	YTD
Pollock					
Pollock Roe					
Pacific Cod					
Halibut					
Sablefish					
Atka Mackerel					
Bristol Bay Red King Crab					
Opilio Crab					
Other Multi-species					
Total					

- B. Tax Issues

- C. Imminent Major Investments

- D. Other