- Assessing the knowledge-base for commercially exploited marine
- fishes and invertebrates with a new global database of stock

assessments

- 4 Alternative Title 1: A new global stock assessment database for exploited marine species
- 5 Alternative Title 2: Understanding marine population dynamics using a new global database
- Suggested Running Title: A new global stock assessment database

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1 Abstract

Data used to assess the status of individual fish stocks varies from very little in-12 formation on many of the world's artisanal fisheries, to commercial landings, research 13 surveys, and sophisticated population dynamics models that integrate many sources of 14 information. Previous evaluations of the state of global fisheries have used catch data, 15 which may be poor proxies for fish stock abundances. A global compilation of stock 16 assessment data in the mid-1990s enabled substantial syntheses of stock status; however 17 its focus was on stock-recruitment relationships and it is now 15 years out of date. To facilitate contemporary syntheses, we have assembled a new database, the RAM Legacy 19 Database, of the most intensively studied commercially exploited marine fish stocks, 20 including time series of: total biomass, spawner biomass, recruits, fishing mortality, and 21 catch; reference points; and ancillary information on the life history, management, and assessment methods for each stock. Here, we present the first overview of this database and use it to evaluate the knowledge-base for assessed marine species. Globally, as-24 sessments were assembled for 324 stocks (288 fish species representing 45 families, and 25 36 invertebrate species representing 12 families), including 8 of the world's 10 largest 26 fisheries. Assessments were obtained from 18 national and international management 27 institutions, with most coming from North America, Europe, Australia, New Zealand and the High Seas. Overall, 58% of stocks are below B_{msy} , and 30% have exploitation 29 levels above U_{msy} . Assessed marine fish stocks comprise a relatively small proportion of 30 harvested taxa (24%), and an even smaller proportion of marine fish biodiversity (1%). 31 Keywords: marine fisheries, meta-analysis, population dynamics models, relational database, stock assessment, synthesis.

34 Introduction

Marine wild capture fisheries provide more than 80 million tons of fisheries products 35 (both food and industrial) per year and employ 43.5 million people (wild capture and 36 aquaculture, (FAO, 2009b)). At the same time, fishing has been recognized as having one of the most widespread human impacts in the world's oceans (Halpern et al., 2008), 38 and the Food and Agricultural Organization of the United Nations (FAO) estimates 39 that two-thirds of fish stocks globally are fully exploited or overexploited (FAO, 2009b). 40 While many fisheries have reduced exploitation rates to levels that should in theory promote recovery, overfishing continues to be a serious global problem (Worm et al., 2009). Fishery managers are asked to address multiple competing objectives, including maximizing yields, ensuring profitability, reducing bycatch, and minimizing the risk of overfishing. Given the enormous social and economic costs (Rice et al., 2003) and ecosystems consequences (Frank et al., 2005; Myers et al., 2007) of collapsed fisheries, it is imperative that we are able to quickly learn from successful and failed fisheries from around the world. 48

Effective management of exploited fish populations generally requires an under-49 standing of where the current size and harvest rate lie in relation to the size and rate 50 which maximize fishery benefits or limit the risk of overfishing. This process of quantitative determination of stock status and estimation of reference points is called stock 52 assessment. Some fisheries in developing countries have apparently provided sustainable 53 yields for long periods of time without formal stock assessment (e.g. many communitymanaged fisheries in Oceania; Johannes (2002)). This has been achieved by limiting harvest rates, often through gear restrictions or seasonal or area closures. In modern industrialized fisheries, however, where fishing capacity exceeds the productivity of fished 57 stocks, stock assessment is an integral component of responsible management (Hilborn 58 and Walters, 1992). 59

The global databases of fishery landings compiled by FAO (FAO, 2009a) and synthesized by the Sea Around Us project (Watson *et al.*, 2004) have proven to be valuable

resources for understanding the status of fisheries worldwide; however, catch data alone can be misleading when used as a proxy for stock size. Many papers have used these 63 data to examine changes in fishery status (Worm et al., 2006; Costello et al., 2008), 64 including changes in trophic level (Pauly et al., 1998; Essington et al., 2006; Newton 65 et al., 2007). Most of these analyses rely (either explicitly or implicitly) on the assumption that catch or landings is a reliable index of stock size. Critics have pointed out that catch can change for a number of reasons unrelated to stock size, including changes 68 in targeting, fishing restrictions, or market preferences (de Mutsert et al., 2008; Murawski et al., 2007; Hilborn, 2007). Standardizing catch by the amount of fishing effort (catch-per-unit-of-effort, CPUE) is an improvement, particularly when these data are modeled to account for spatial, temporal, and operational factors affecting the CPUE, but CPUE can still be an unreliable index of relative abundance since it is difficult to 73 account for all relevant factors (Hutchings and Myers, 1994; Harley et al., 2001; Walters, 74 2003; Polacheck, 2006).

Stock assessments consider time series of catch along with other sources of information such as: natural mortality rates, changes in size or age composition, stock-recruitment relationships, and CPUE coming from different fisheries and/or from fishery-independent surveys. Because they integrate across multiple sources of information, stock assessment models should provide a more accurate picture of changes in abundance than catch data alone (Sibert et al., 2006), the trade-off being that their complexity renders them difficult for non-experts to evaluate. Without a current and comprehensive database of stock assessments, however scientists wishing to conduct comparative analyses of marine fish population dynamics and fishery status have little choice but to use problematic catch data.

The first global database of stock assessment information, the Myers Stock Recruitment Database, was developed by the late Ransom A. Myers and colleagues in the mid-1990s (Myers et al., 1995b). While the database was primarily known for its time series of stock and recruitment, it did contain time series of fishing mortality rates for many stocks; biological reference points were however largely absent. The original

release version of the Myers database (Myers et al., 1995b) included spawning stock size and recruitment time series for 274 stocks representing 92 species as well as fishing 92 mortality rates time series for 144 stocks. The number of entered stocks grew to ap-93 proximately 642 stocks (509 with at least one SR pair) over the period from 1995-2005. 94 Note that anadromous fishes of the family Salmonidae comprised 290 assessments in the original database. The assessment results collated by Dr. Myers were used to: 1) decisively answer the question of whether recruitment shows any relationship to spawning 97 stock size (Myers and Barrowman, 1996), 2) investigate potential depensation in stock-98 recruitment relationships (Myers et al., 1995a; Liermann and Hilborn, 1997; Garvey 99 et al., 2009), 3) discover generalities in the annual reproductive rates of fishes (Myers 100 et al., 1999, 2002b), 4) investigate density-dependence in juvenile mortality (Myers, 101 2001; Minto et al., 2008), 5) develop informative Bayesian priors on steepness (Myers 102 et al., 1999, 2002a; Dorn, 2002), and 6) examine patterns of collapse and recovery in 103 exploited fish populations (Hilborn, 1997; Hutchings, 2001a,b). 104

Although the original Myers database (Myers et al., 1995b) was critical for motivating comparative analyses in fisheries science, most of the stocks are now 15 years out of date. For stocks that were depleted in 1995, the past 15 years include valuable observations at low stock size or of a recovering population, both of which are critical for estimating population dynamics parameters such as the behaviour of the 109 stock-recruitment relationship near the origin. In addition, there have been numerous improvements in stock assessment methodologies (including important advances in statistical catch-at-age or catch-at-length models) and assessments have been conducted for the first time for many species.

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Meta-analyses of fishery status also have been hampered by the lack of a global as-114 sessment database containing biological reference points (BRPs, e.g., the total/spawning 115 biomass and fishing mortality rate that produce Maximum Sustainable Yield (MSY), 116 B_{MSY} and F_{MSY}). Knowledge of BRPs is important if stocks are to be managed for high 117 yields that can be sustained over time (Mace, 1994). Without information on reference 118 points, previous analyses of stock assessments or catch data have instead relied upon 119

non-biological thresholds to define fishery status, such as the greatest 15-year decline 120 (Hutchings and Reynolds, 2004) or 10 percent of maximum catch (Worm et al., 2006). 121 Ad hoc reference points based on some fraction of the maximum of a time series also 122 have undesirable statistical properties and can result in false collapses when applied to 123 inherently variable time series of catch or abundance (Wilberg and Miller, 2007; Branch, 124 2008). Complicating comparisons of fishery status is the fact that different BRPs are 125 used in different parts of the world and even the same BRP can be used in a different 126 manner, for example, as a target or as a limit. 127

Here we present a new global database of stock assessments for commercially exploited marine fish populations. The database is an update and extension of that developed by Ransom A. Myers, and is named the RAM Legacy database in honour of his pioneering contribution. This effort is the first global stock assessment database to:

1. Use a formal relational database structure;

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- 2. Use source control software to organise release versions;
- 3. Include metadata related to the geographic location of the stock, the type of assessment model used, and the original source document for the assessment data;
 - 4. Include biological reference points, in addition to stock-specific life history information.

We use the new RAM Legacy database (Version 1.0, 2010) to evaluate the knowledge-138 base for commercially exploited marine populations in terms of institutional contri-139 butions, geography, taxonomy, ecology, timespan, stock assessment methodologies and 140 BRPs. We compare the database's taxonomic coverage to that of global fisheries catches and to global fish diversity. We then evaluate the status of assessed stocks globally, and 142 by management body, referencing all stocks to a comparable benchmark. Finally, we 143 discuss biases in the knowledge base for assessed marine species, highlight potential ap-144 plications of the database, point out its caveats and limitations, and outline directions 145 for future development.

47 Methods

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148 The RAM Legacy database

The RAM Legacy database is a global relational database designed and developed 149 to store data from all current and accessible population dynamics model-based fisheries 150 stock assessments for marine fish and invertebrate populations. Time series of spawning 151 stock biomass (SSB), total biomass (TB), recruits (R), total catch (TC) or landings 152 (TL), and fishing mortality (F) from individual stock assessments form the core of 153 the database. Apart from catch/landings, these time series are not raw data, but 154 rather the output of population dynamics models; depending on the type of assessment 155 model not all of these time series were available for every stock. The database also 156 contains details about the time series data, including the age and sex of spawners, age 157 of recruits, and the ages used to compute the fishing mortality, as well as BRPs and 158 some life history information (e.g. growth parameters, age and length at 50% maturity 159 and natural mortality rate). Metadata for each stock assessment consists of taxonomic 160 information about the species and the geographic location of the stock (detailed in 161 "Links to related databases"), the management body that conducted the assessment, 162 the assessment methodology, the reference for the stock assessment document, the name 163 of the recorder entering the assessment data, and the date the assessment was entered. 164 Some assessments, particularly those for invertebrates, were based only on CPUE time 165 series rather than population dynamics models. While we included these in the database 166 (n=26), the database description and analyses presented here focus on those stocks 167 assessed using population dynamics models. 168

Over the past two and a half years, we have employed a variety of search methods in an attempt to obtain all recent fisheries stock assessments. Publicly available stock assessment reports available from the internet were the primary data source. These reports were obtained either from the website of the relevant management agency or directly from stock assessment scientists. Other assessments were obtained from the primary literature and through personal contacts at fisheries management agencies.

Significant contributions were also made by the other members of the National Center for Ecological Analysis and Synthesis (NCEAS) working group "Finding common ground in marine conservation and management". Relevant assessment data were first transferred into a standardized spreadsheet template by a number of recorders, including ourselves, assessment authors, our NCEAS collaborators, and associated graduate students and postdoctoral researchers, and then uploaded into the relational database management system by the first author.

Database structure and advantages

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The database is implemented in the Open Source PostgreSQL relational database management system (RDBMS) (PostgreSQL Global Development Group, 2009), and includes tables for the assessment metadata, time series values, time series units, and biometrics (a catch-all term for data, such as life history characteristics or BRPs, that are not part of a time series). The entity relationship diagram of the database and its component tables can be found in the Supplementary Materials.

RDBMSs form the server back-end to many applications of interest to ecologists, 189 including web-clients and GIS software, and have a number of advantages over spread-190 sheet or flat text file data compilations. First, housing stock assessments in an RDBMS 191 allows multiple users to concurrently access and extract subsets of data in an efficient 192 and reproducible manner. Second, with the development of Application Programming 193 Interfaces (APIs) that allow analytical softwares to directly communicate and extract 194 data from the database, a common data environment is established, independent of 195 one's choice of analytical software (e.g., SAS:SAS ACCESS, Matlab: Matlab/Database, 196 R:RDBI/RODBC, Perl:DBI, etc.). Users familiar with Structured Query Language 197 (SQL) can also query the database directly from their analytical software of choice 198 and the same SQL query will extract the same data through each of these applica-199 tions. Third, data products tailored to specific projects can be generated and stored as 200 dynamic (i.e., continually updated) "views" within the database. These are typically 201 rectangular, spreadsheet-like results of an expansive query of the relevant tables that 202

can be readily read into all commonly-used analytical software. The use of views is advantageous over manipulating spreadsheets or flat text files for importing into a specific analytic software, which runs the risk of losing data integrity (e.g. multiple copies) and becomes impractical with large, non-rectangular datasets and multiple users.

207 Data integrity and quality control

We have employed several mechanisms to ensure that the database is of high quality. 208 During the data recording process, assessment authors often were contacted to clarify 209 aspects of the assessment or to obtain more detailed data. Time series data presented 210 only in assessment report figures were, for example, only entered into the database if 211 the exact numbers could be obtained from the assessment or its authors. In cases where 212 multiple models were presented in an assessment without a preferred or best model 213 being denoted, we attempted to ascertain which model was preferred by the stock 214 assessment scientist, but included all model results whenever this was not possible. 215 Once uploaded into the database all stock assessments underwent an additional Quality 216 Assurance/Quality Control (QA/QC) step, to ensure that the entered data replicated 217 that of the original assessment document exactly. This process consisted of creating 218 a QA/QC summary document for each assessment, containing summary details of the 219 stock, a selection of biometrics and ratios for comparison (e.g. current status relative to 220 BRP), and time series plots of the biomass, recruitment, and exploitation trajectories. 221 QA/QC documents were then returned to assessment recorders and an electronic trail of 222 subsequent correspondence was captured using a bug tracking system. Recorders were 223 responsible for checking, and where necessary correcting, their QA/QC documents, 224 after which all corrections were transmitted back to the operational database and a 225 quality controlled flag was inserted to signify the assessment had passed the check. Only 226 assessments that have passed this QA/QC step are available for subsequent analyses. 227

228 Links to related databases

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To facilitate integration of the RAM Legacy database with related databases, such as Fishbase (Froese and Pauly, 2009) and the Sea Around Us Project's (SAUP) global

landings database (Watson et al., 2004), each species present in the RAM Legacy 231 database was assigned a matching FishBase species name and species code, a matching 232 SAUP taxon code, and taxonomic information from the Integrated Taxonomic Infor-233 mation System (ITIS) (http://www.itis.gov). Additionally, each stock was assigned to 234 a primary (and in some cases secondary and tertiary) Large Marine Ecosystem (LME) 235 (NOAA, 1998). LMEs encompass the continental shelves of the world's oceans and 236 represent the most productive areas of the oceans. Open ocean areas beyond the con-237 tinental shelves are, however, not included in the LME classification. Large, highly 238 migratory oceanic species such as tuna were therefore assigned to new categories "At-239 lantic High Seas", "Pacific High Seas", "Indian High Seas", and "Subantarctic High 240 Seas". 241

242 Assessing the knowledge-base for commercially exploited stocks

We assess the knowledge-base for commercially exploited stocks, as represented by 243 the RAM Legacy database, using a variety of metrics. To evaluate the taxonomic scope 244 of the database, we compare the taxonomy of assessed stocks with the diversity of i) 245 all marine fishes (as represented by FishBase), and ii) marine fishes in global fisheries 246 catches (as represented by the species available from the SAUP database), and discuss 247 taxonomic biases in species included in catch data and in populations assessed using 248 stock assessments. We evaluate the ecological scope of assessed stocks in terms of age 249 at sexual maturity as reported in the assessments, and trophic level of those assessed 250 stocks as reported in FishBase. We overview the types of assessment models used, and 251 BRPs estimated, for all stock assessments and by management body. To determine 252 what fraction of world wild-capture fisheries landings come from assessed stocks, we 253 used the SAUP's average global fisheries catches from the most recent ten years of 254 available data (1995-2004); we also discuss limitations to obtaining assessments for 255 some of the world's major fisheries. Comparisons between assessments and catch data 256 at a regional level are hampered by the geographic mismatch between stocks and FAO 257 statistical areas or the SAUP's Large Marine Ecosystems. 258

Assessing the status of commercially exploited marine stocks 259

We evaluate the status of assessed stocks overall and by management body, using 260 standard reference points so that all stocks are referenced to a comparable benchmark. 261 Following Froese and Proelß (2010) and Worm et al. (2009), we compare the current 262 biomass and exploitation rate of stocks relative to their MSY reference points, B_{MSY} 263 and U_{MSY} , respectively. 26 We do not advocate the use of MSY targets for management, but still report MSY-265 related BRPs because they are the most commonly estimated BRP and can be used 266 to compare multiple stocks. For those assessments that did not contain MSY reference 267 points, but did include total catch $(TC_{i,s}, i \in 1, ..., n_s)$ and total biomass $(TB_{i,s}, i \in 1, ..., n_s)$ 268 (i, i, i, n_s) time series data, we used a Schaefer surplus production model to estimate 269 total biomass and exploitation rate at MSY (TB_{MSY_s} and u_{MSY} , respectively). Surplus

production of stock s in year t, $P_{s,t}$, is a commonly used measure of stock productivity,

representing the amount of catch that can be taken while maintaining the biomass at

$$P_{s,t} = TB_{s,t+1} - TB_{s,t} + TC_{s,t} \tag{1}$$

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 $TB_{s,t}$ is the total biomass of stock s in year t

constant size, and can be calculated as:

 $TC_{s,t}$ is the total catch of stock s in year t

We fit a Schaefer surplus-production model, which is based on a logistic model of population growth to the catch and total biomass time series data. The predicted surplus production in each year in the Schaefer model is given by:

$$\hat{P_{s,t}} = \frac{4mTB_{s,t}}{K} - 4m\left(\frac{TB_{s,t}}{K}\right)^2 \tag{2}$$

280 where,

m is the maximum sustainable yield, equal to rK/4

K is the carrying capacity or equilibrium total biomass in the absence of fishing (Hilborn and Walters, 1992)

We estimated the model parameters (m and K) using maximum likelihood in AD Model Builder (ADMB Project, 2009) assuming that the residuals $\epsilon_{s,t} = P_{s,t} - \hat{P_{s,t}}$ were normally distributed. For the Schaefer model, B_{MSY} is simply 0.5K, and the harvest rate that results in maximum sustainable yield, u_{MSY} , is m/B_{MSY} . Carrying capacity was constrained to be less than twice the maximum observed total biomass.

Finally, we discuss potential applications of the database, point out its limitations and caveats about its use, and outline directions for future development.

Statistical analyses and plot generation were conducted with the R Environment for Statistics and Graphics (Development Core Team, 2009) using the packages *RODBC* (Ripley *et al.*, 2009), *KernSmooth* (original by Matt Wand. R port by Brian Ripley., 2009), *xtable* (Dahl, 2009), *ape* (Paradis *et al.*, 2004), *gsubfn* (Grothendieck, 2010), *IDPmisc* (Ruckstuhl *et al.*, 2009), and *doBy* (with contributions from Kevin Wright and Leidi., 2010). Figure 1 was generated using the Generic Mapping Tools (Wessel and Smith, 1991).

298 Results

299 The knowledge-base for commercially-exploited marine stocks

In total, 324 recent stock assessments for 288 marine fish and 36 invertebrate populations are included in the RAM Legacy database (Version 1.0, 2010; Table S1). Together these comprise time series of catch/landings for 308 stocks (95%), SSB estimates for 271 stocks (84%), and recruitment estimates for 269 stocks (83%) (Table S1).

304 Management bodies and geography

Stock assessments are derived from fisheries management bodies in Europe, the 305 United States, Canada, New Zealand, Australia, Russia, South Africa and Argentina 306 (Table 1). Also included are assessments conducted by eight Regional Fisheries Manage-307 ment Organizations (RFMOs), in the Northwest Atlantic, Atlantic, Pacific and Indian 308 Ocean (Table 1). Assessments from the United States comprise by far the most stocks 309 of any country or region (n=139); assessments from the European Union's manage-310 ment body, the International Council for the Exploration of the Seas (ICES), comprise 311 the the second greatest number of stocks (n=63). Whereas nations are responsible for 312 managing all populations within their EEZs, RFMOs typically focus on a certain type 313 of species (e.g. halibut, tunas) or fisheries (e.g. pelagic high seas) within a given area 314 and hence assess a smaller number of stocks. 315

Most assessments come from North America, Europe, Australia, New Zealand and the High Seas, while there are few from regions such as Southeast Asia, South America, and the Indian Ocean (outside Australian waters) (Figure 1). Assessments were available for 31 LMEs, with the greatest number of assessed stocks coming from Northeast U.S. Continental Shelf (n=58), California Current (n=35), New Zealand Shelf (n=29), Gulf of Alaska (n=26), Celtic-Biscay Shelf (n=26), East Bering Sea (n=22) and Southeast U.S. Continental Shelf (n=20) (Figure 1).

323 Taxonomy

Assessments for 157 species from 57 families and 20 orders are included in the 324 database (Figure 2). Five taxonomic orders (Gadiformes (n=67), Perciformes (n=62), 325 Pleuronectiformes (n=53), Scorpaeniformes (n=41) and Clupeiformes (n=36)) account 326 for 80% of available stock assessments. Of these, Perciformes, the most speciose Order 327 of marine fishes are in fact underrepresented in the database (46.04% of all marine fish 328 species vs. 19% of all marine fish assessments), while the other four orders are taxonom-329 ically overrepresented: Clupeiformes (2.1\% of marine fishes vs. 11\% in the database), 330 Gadiformes (3.3% of marine fishes vs. 21% in the database), Pleuronectiformes (4.5% 331 of marine fishes vs. 17% in the database), Scorpaeniformes (8.5% of marine fishes vs. 332 12% in the database) (Figure 3). 333

Assessed marine fish stocks in the RAM Legacy database comprise a relatively small proportion of harvested taxa (24% of fish species from the SAUP database) and an even smaller proportion of marine fish biodiversity (1% of fish species in FishBase; Figure 3). In turn, catches from the SAUP database, which come from 649 species and 36 orders (Figure 3), represent only 5% of the 12339 species and 67% of the 54 different orders present in FishBase (Figure 3). The diversity of harvested marine invertebrates is clearly underrepresented in the stock assessment database and likely in stock assessments in general.

Ecology

Assessed species span a range of ecological traits. Some life-history information (e.g. growth, maturity, fecundity) is available for 288 of the collated assessments. In some cases, this information is derived from biological studies, while in other cases life-history parameters represent model assumptions (e.g., natural mortality = 0.2) or model estimates. The trophic level of assessed species ranged from 2 to 4.5 with a mean of 3.7, with no apparent relationship between trophic level and stock status (Figure 4).

Timespan

The median lengths of catch/landings, SSB, and recruitment timeseries were 38, 34, and 33 years, respectively (Figure 5). The time period covered by 90% of assessments is: catch/landings (1967-2007), SSB (1972-2007), recruitment (1971-2006), while that covered by 50% of assessments is: catch/landings (1983-2004), SSB (1985-2005), recruitment (1984-2003) (Figure 5).

355 Stock assessment methodologies and BRPs

The three most common assessment methods were Statistical catch-at-age/length models (n=164), Virtual Population Analyses (n=90) and Biomass dynamics model (n=45). Regionally, Virtual Population Analysis (VPA) is still the most common assessment model for ICES (71% of 63 assessments), DFO (59% of 22 assessments) and Argentina's CFP (83% of 6 assessments), whereas statistical catch-at-age and -length models are more common for NMFS (66% of 139 assessments), AFMA (81% of 16 assessments) and MFish (76% of 29 assessments).

Biomass- or exploitation-based reference points were available for 257 (81%) and 222 (69%) assessments, respectively. The most commonly reported biomass-based BRPs relate to biomass at MSY (e.g. B_{msy}), to "limit" biomass (e.g. B_{lim}) and to "precautionary approach" biomass (e.g. B_{pa}). Biomass and exploitation of US stocks under the management of NMFS must follow MSY-based reference points whereas other fisheries agencies use different BRPs.

369 Global Fisheries

Assessments were available for 8 of the 10 largest fisheries for individual fish stocks globally (Table 2). Assessments for Peruvian anchoveta, the world's largest fishery, and for Japanese anchovy in the East China Sea (the eighth largest species for an individual stock, and tenth overall) were not accessible. Looking more broadly, the database contains assessments for 16 of the 30 largest fisheries for individual fish stocks globally, and 17 of the 40 largest fisheries globally (including those recorded at lower taxonomic resolutions) (Table 2). Many of the fisheries not included in the RAM Legacy database,

especially those recorded in the SAUP database as "Marine fishes not identified" (n=7),
occur in developing countries and have no known formal stock assessment conducted
for them. From a national perspective, assessments are only included for 2 of the top
wild-caught marine fisheries producing nations, U.S.A. and Russia (FAO, 2009b),
with only two assessments from the latter. We were unable to obtain any assessments
from the other top 10 countries: China, Peru, Indonesia, Japan, Chile, India, Thailand,
Philippines (FAO, 2009b).

384 The status of commercially exploited marine stocks

To evaluate stock status, we single out stocks where both a biomass BRP and an ex-385 ploitation BRP are available. Of the 241 stocks presented in Figure 6, 66 come directly 386 from assessments and 175 come from surplus production model fits. To identify poten-38 tial biases arising from using BRPs derived from surplus production models we com-388 puted a contingency table of status classification for stocks that have both assessment-389 and Schaefer-derived BRPs (Table S2). Surplus production models correctly classified 390 ratios of current biomass to BRPs in 71% of cases (for 67 of 95 assessments) and 63% 391 of cases for exploitation BRPs (for 37 of 59 assessments). 392

Overall, 58% of stocks are estimated to be below their biomass-related MSY BRP, 393 that is $B_{curr} < B_{msy}$, and 30% are above their exploitation-related MSY BRP, $U_{curr} >$ 394 U_{msy} (n=241 stocks total; Figure 6). Of the stocks for which biomass is currently es-395 timated to be below B_{msy} , 53% have had their exploitation rate reduced below U_{msy} , 396 suggesting potential for recovery (Figure 6). The remaining 47% of these stocks how-397 ever, still have excessive exploitation rates (Figure 6). Encouragingly, 42% of all stocks 398 are estimated to be above B_{msy} , and 94% of the stocks above B_{msy} also have $U_{current}$ 399 below U_{msy} . 400

The status of exploited marine stocks, as estimated from biomass- and exploitaion-BRPs, varied widely depending on the management body (Figure 7). Most European stocks (managed by ICES) have biomasses less than B_{msy} (79%), and over half of these stocks (61%) still have exploitation rates exceeding U_{msy} . Canadian stocks (managed by DFO) also had low biomass (79% $< B_{msy}$), but all but one of these has had its exploitation rate reduced below U_{msy} . In contrast, about half (49%) of U.S. stocks (managed by NMFS) are estimated to still be above B_{msy} , and of the 45 stocks that are below B_{msy} 58% have exploitation rates below U_{msy} (Figure 7). In the New Zealand and Australian waters, stocks managed by MFish and AFMA are above B_{msy} in 61% and 42% of cases, respectively. For the stocks grouped as "Atlantic" in Figure 7 we found that 5 of the 10 ICCAT stocks and 5 of the 10 of NAFO stocks were below B_{msy}

413 Discussion

The knowledge-base and status of commercially exploited marine stocks

The RAM Legacy Database provides detailed time series and point data from avail-415 able stock assessments for the world's industrial marine fisheries, thus providing a basis 416 for evaluating the existing knowledge-base and current status of these fisheries. Acces-417 sible stock assessments are predominantly from developed nations in north-temperate 418 regions, and tend to cover only the past few decades, typically a significantly shorter 419 period than that for which the stock has been exploited. The taxonomic makeup of 420 available assessments is a very limited subset of the accepted taxonomic coverage of 421 marine species worldwide, and of globally exploited species. Most notably (with the 422 exception of tunas), assessment-based knowledge is not available for coral reef and other 423 tropical fishes. Inshore (e.g. estuarine species) and anadramous populations are also 424 noteworthy in their absence (as a result of our focus on federally or internationally 425 managed marine species) and, as such, any assessment of global status of exploited 426 populations must be interpreted only for that subset of exploited species for which 427 assessments are present in the database. 428

In its latest State of the World Fisheries and Aquaculture (FAO, 2009b), the FAO 429 reports that 20% of stocks are underexploited, 52% are fully exploited, 19% are over-430 exploited and 1% is recovering from depletion. The ambiguous classification of stocks 431 as "underexploited", "fully exploited" and "overexploited" makes comparisons of our 432 results with those from the FAO difficult. Our estimates are that almost 60% of stocks 433 are below the biomass reference point that maximises their yield. Almost half of stocks 434 that are below B_{msy} still experience exploitation rates that are above those that would 435 maximise yield. Our results also provide evidence that appropriate fisheries manage-436 ment measures can curtail over-exploitation and that stocks can recover. For depleted 437 stocks, recovery requires strongly articulated legislation, potentially difficult short- to 438 medium-term regulations to decrease fishing mortality, protection of habitat through 439 area closures and recovery targets with well-defined timelines. For stocks that exist in 440

areas beyond national jurisdiction, nation members of various Regional Fisheries Management Organisations must treat international regulations as bindings agreements that must be fulfilled.

Biases in the knowledge-base for commercially exploited marine stocks

445 Geographic bias

Bias in the geographic scope of the RAM Legacy database (relative to that of all 446 fisheries globally) may arise for several reasons, all of which vary geographically in their 447 prevalence: 1. an assessment is not conducted on a stock; 2. it is not possible to access 448 the assessment; or 3. the non-exhaustive collation we undertook overlooked the assess-449 ment. Whether an assessment is conducted for a given stock depends upon a multitude 450 of factors, including the economic value of the stock, the availability of fiscal resources 451 to collect the data required for an assessment (which frequently includes conducting 452 fisheries-independent research surveys) and the expertise to conduct assessments. In 453 general, conducting stock assessments is a costly endeavour that is restricted to wealthy 454 fishing nations. The legal context where fisheries are prosecuted can also strongly in-455 fluence the requirement for conducting stock assessments. In the United States, the 456 Magnuson-Stevens Act defines which stocks are to be monitored and managed, hence a 457 large number of the assessments in the RAM Legacy database are under the jurisdiction 458 of the US National Marine Fisheries Services. How accessible assessments are for entry 459 depends upon the transparency and access policies of the relevant management agen-460 cies, which also varies geographically. Our search for assessments could also give rise 461 to geographic biases, as concerted collation efforts have only been conducted in those 462 known assessment-rich regions. It is hoped that readers of this article can assist in cor-463 recting these biases by participating in future updates of the RAM Legacy database, 464 and that the development of this database will encourage greater transparency amongst 465 fishing nations. 466

Taxonomic bias

Related to geographic bias is the taxonomic bias in those species that are known, 468 caught and assessed. At a broad level the Gadiformes and Clupeiformes occupy dis-469 proportionate taxonomic representation in the catch compared to overall species occurrence (Figure 3, panels a and b). Taxonomic biases at this level may reflect behavioural 471 tendencies of the over-represented species in the catch to form large aggregated popula-472 tions in temperate regions that are readily accessible to fishing. Consumer preferences 473 may also be an important determinant of what taxonomic groups are more likely to 474 be caught. The over-representation of the Gadiformes and, to a lesser degree, the Clupeiformes, continues when caught and assessed taxa are compared (Figure 3, panels b 476 and c). 477

Historical economic importance as well as the geographic distribution of the taxa in 478 relation to mandated assessments may play important roles in determining what fished 479 taxa are assessed. Even in developed countries, however, not all stocks are assessed. 480 For example, in 2007, of the 528 fish and invertebrate stocks recognized by the Na-481 tional Marine Fisheries Service (NMFS), only 179, or slightly over one-third, were fully 482 assessed (National Marine Fisheries Service, 2008). An assessment by the European 483 Environment Agency (EEA) in 2006 indicated that the percentage of commercial land-484 ings obtained from assessed stocks ranged between 66-97 percent in northern European 485 waters and 30-77 percent in the Mediterranean (European Environment Agency, 2009). 486 The New Zealand Ministry of Fisheries reports the status of 117 stocks or sub-stocks 487 out of a total of 628 stocks managed under New Zealand's Quota Management System 488 (New Zealand Ministry of Fisheries, 2009). In Australia, 98 federally managed stocks 489 have been assessed (Wilson et al., 2009) out of an unknown total. The extent to which 490 stocks are assessed elsewhere in the world is currently unknown. 491

492 Temporal bias

Most of the assessments in the RAM Legacy database contain time series of 30 years or less whereas industrial fishing began long before this. Dominant age-structured as-

sessment methodologies typically rely on catch-at-age data, which are often available for considerably shorter periods of time than total catch unless significant reconstruc-496 tion efforts are made. Such historical reconstructions of catch-at-age data are highly 497 uncertain and in many cases the "base case" models used for management are based 498 only on more reliable recent catch data. For assessments used in a tactical sense and 499 for short-term projection, e.g., to understand whether a particular quota level will re-500 sult in an increase or decrease in stock size, using only reliable recent catch data may 501 be preferable. This is particularly true for backward projection methods (e.g., VPA), 502 which may converge on parameter estimates within the more reliable recent period and 503 potentially benefit little from reaching further back in time. Nevertheless, a focus on 504 only the recent history of a fishery can be seriously misleading for strategic decisions 505 about goals and BRPs. Put simply, if we don't know what's historically possible (in 506 terms of stock size), it's hard to know where we should set our goals. This "shifting 507 baseline" problem has been widely recognized (Pauly, 1995; Sáenz-Arroyo et al., 2005), 508 but is still apparent in the relatively short time series of most assessments. 509

510 Future applications of the RAM Legacy database

We anticipate that this new database will be of utility for fisheries scientists, ecolo-511 gists, and marine conservation biologists interested in conducting comparative analyses 512 of global fisheries status, collapse and recovery patterns, fisheries productivity or ma-513 rine population dynamics. In addition to the initial aim of providing reliable access to 514 time series information about stocks, we hope to also stimulate research in the relation-515 ships of life-history characteristics and their relation to exploitation. The RAM Legacy 516 database contains the corresponding species codes to the Sea Around Us Project and 517 FishBase, thus facilitating researchers' use of a global fisheries data "toolkit" to address 518 questions on the relationships between life history attributes and resulting population 519 dynamics in an exploited setting. 520

Caveats and limitations

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Stock assessment outputs (e.g. biomass time series), which comprise the majority of 522 the new RAM Legacy database are model estimates, not raw data. The uncertainty as-523 sociated with these estimates should be carried forth in subsequent analyses. Although 524 the database structure allows for inclusion of estimates of uncertainty (standard er-525 rors, 95% credible/confidence intervals), because these estimates were typically missing 526 from assessments, either because they weren't produced by the assessment model (e.g. 527 non-bootstrapped VPA assessments) or the focus of the assessment document was on 528 central tendency (e.g. mean biomass) not the associated uncertainty, they have not 529 been included in this first version of the database. Note that this view of assessment 530 uncertainty is changing with the advent of MCMC approaches to Bayesian inference for 531 assessments, bootstrap methods, statistical catch-at-age models (ADMB Project, 2009) 532 and a general focus on uncertainty (Walters and Maguire, 1996). As with any analysis, 533 clearer inference on the strength of a signal is available when all uncertainty in the data 534 is carried forth. This represents a difficulty for synthetic analyses of fisheries data in 535 that in an ideal world one would access the raw data for each stock and carry forth 536 the uncertainty at all levels of the analysis. In the case of assessments, the raw data is 537 typically catch-at-age matrices and potentially survey indices. To understand the fleet 538 characteristics and survey stratification schema for each stock in a potentially global 539 meta-analysis would be extremely time consuming and error-prone. Instead, the expert 540 opinion of those researchers most familiar with the data, stock assessment authors, is 541 used, while recognizing that without accompanying uncertainty estimates the strength 542 of conclusions drawn may be weakened.

While the database provides detailed trends for individual stocks, it will never have the geographic and taxonomic coverage provided by catch statistics. Assessment results will also never replace the essential role played by fisheries-independent scientific surveys in determining abundance, biomass and diversity trends in marine living resources.

BRPs derived from surplus production models are to be interpreted with great care. For stocks where both were available we found that Schaefer-derived B_{msy} were

systematically higher than those obtained from assessments. This stems from the fact that under the Schaefer surplus production model, MSY occurs at 50% of the carrying capacity whereas in most age-based assessment models, yield is maximised at a lower fraction of the carrying capacity.

The original database developed by Ransom A. Myers was used to address a vari-554 ety of ecological questions derived from stock-recruit relationships. This was possible 555 because the VPA-type assessment models that comprised most of that database gen-556 erated time series of stock and recruitment with relatively few a priori assumptions. 557 Forward projection methods generally specify the form of the stock-recruit relationship, 558 and in many cases even fix parameters (infinitely dense point prior) such as steepness. 559 Stock-recruitment "data" from such models, are clearly inappropriate for straightfor-560 ward meta-analysis. In general, as more assessments incorporate some type of prior 561 information from other stocks or species (Hilborn and Liermann, 1998), there is less 562 stock-specific information available for future meta-analysis. One solution is for stock 563 assessments to report not only best estimates of parameters based on all available data, 564 but also stock-specific parameter estimates that do not incorporate prior information 565 from other stocks or species. 566

567 Future development

We anticipate that the RAM Legacy database will continue to grow with hith-568 erto unentered stocks e.g. freshwater and anadramous populations, particularly the 569 Salmonidae that comprised 45% of the stocks in the original Myers Stock Recruit-570 ment Database, and updated assessments for already included stocks. Future versions 571 of the database will also include timelines of management actions per stock, as well 572 as age-varying and length-varying data such as maturity ogives and age-disaggregated 573 natural mortality. Depending on availability, subsequent releases of the database could 574 also include estimates of assessment uncertainty. Future database products will in-575 clude management-agency-level reports containing summaries of all stocks within their 576 remit. The development of a standard for assessment reporting at the management 577

agency level would greatly assist in the acquisition of new assessments, and hence to ensure that the database remains current. For example, ICES assessments have a very 579 regular standard, including agreed-upon reference points and regular estimate report-580 ing. This makes the process of data collation much more routine than unstandardized 581 documents where the recorder trawls through a report for the relevant information. 582 ICES also has a central database of assessments for stocks of the region. Certainly 583 different stocks and regions require different formats but basic output tables, consisting 584 of total and spawning biomass, recruitment, catch/landings, estimated fishing mortal-585 ity over vulnerable age groups, associated measures of uncertainty, and commonly-used 586 reference points would streamline the process immensely. A process whereby the as-587 sessment spreadsheets are filled out at each assessment meeting would facilitate the process even further and be the least error prone method. In return, the assessment 589 scientists can access results for a global collation of assessments to further their own 590 research initiatives in population assessment and management. The ultimate goal is to 591 provide a comprehensive stock assessment database for researchers to use results from 592 multiple regions to assist in their own applied and fundamental research in population 593 ecology, fisheries science, and conservation biology. 594

95 Availability of the database

Contributions or corrections to the existing database, as well as requests to use the database (subject to standard "Fair Use" policies), should be directed to the corresponding author.

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755 Tables

Table 1: Number of assessments included in the RAM Legacy database

Country/Ocean	Management Body	A cronym	No. stocks
Australia	Australian Fisheries Man-	AFMA	16
	agement Authority		
Multinational	Commission for the Conser-	CCAMLR	1
	vation of Antarctic Marine		
	Living Resources		
Argentina	Consejo Federal Pesquero	CFP	6
South Africa	South African national	DETMCM	14
	management		
Canada	Department of Fisheries	DFO	22
	and Oceans		
Multinational	Inter-American Tropical	IATTC	2
	Tuna Commission		
Multinational	International Commission	ICCAT	10
	for the Conservation of		
	Atlantic Tunas		
Multinational	International Council for	ICES	63
	the Exploration of the Sea		
Multinational	Indian Ocean Tuna Com-	IOTC	1
	mission		
Multinational	International Pacific Hal-	IPHC	1
	ibut Commission		
New Zealand	Ministry of Fisheries	MFish	29
Multinational	Northwest Atlantic Fish-	NAFO	9
	eries Organization		
USA	National Marine Fisheries	NMFS	139
_	Service		
Russia	Russian Federal Fisheries	RFFA	2
	Agency 33	apper so	
Multinational	South Pacific Regional Fish-	SPRFMO	1
	eries Management Organi-		

Table 2: The world's forty largest wild-caught fisheries (comprising less than 41% of total global catches, based on average catches 1995-2004 in SAUP database), and the thirty largest fisheries of individual stocks (i.e. fisheries identified to the species level; comprising more than 32% of total global catches), including their LME, whether or not stock assessments for them are included in the RAM Legacy database, and the reason if not included (e.g. 1= no known assessment, 2=assessment is not based on a population dynamics model, 3=assessment inaccessible).

Stock	Stock	Species (Common name,	LME	In	Reason
Rank	Num-	Latin name) or higher		Database?	if not
	ber	taxonomic unit			included
1	1	Peruvian anchoveta, En-	Humboldt Current	x	3
		graulis ringens			
2		Marine fishes not identified	South China Sea	X	1
3		Marine fishes not identified	Bay of Bengal	X	1
4	2	Alaska pollock, Theragra	Okhotsk Sea	✓	
		chalcogramma			
5	3	Ammodytes	North Sea	✓	
6	4	Atlantic herring, Clupea	Norwegian Sea	✓	
		harengus			

Continued on next page

Stock	$\Big \ Individual$	Species (Common name,	LME	l In	Reason
Rank	species	Latin name) or higher		Database?	if not
	rank	taxonomic unit			included
7	5	Alaska pollock, Theragra	East Bering Sea	✓	
		chalcogramma			
8	6	Capelin, Mallotus villosus	Iceland Shelf/Sea	✓	
9	7	European pilchard, Sardina	Canary Current	✓	
		pilchardus			
10	8	Japanese anchovy, Engraulis	East China Sea	X	3
		japonicus			
11	9	Inca scad, Trachurus mur-	Humboldt Current	✓	
		phyi			
12		Marine fishes not identified	East China Sea	X	1
13	10	Gulf menhaden, Brevoortia	Gulf of Mexico	✓	
		patronus			
14		Marine fishes not identified	Yellow Sea	X	1
15		Marine fishes not identified	Indonesian Sea	X	1
16	11	Alaska pollock, Theragra	Gulf ofAlaska	✓	
		chalcogramma			

Continued on next page

Stock	Individual	Species (Common name,	LME	l In	Reason
Rank	species	Latin name) or higher		Database?	if not
	rank	taxonomic unit			$included$
17	12	Argentinean short-finned	Patagonian Shself	x	1
		squid, Illex argentinus			
18	13	Argentine hake, Merluccius	Patagonian Shelf	✓	
		hubbsi			
19	14	Japanese anchovy, Engraulis	South China Sea	X	1
		japonicus			
20	15	Araucanian herring, Stran-	Humboldt Current	X	?
		gomera bentincki			
21	16	Atlantic cod, Gadus morhua	Barents Sea	✓	
22	17	European sprat, Sprattus	Baltic Sea	✓	
		sprattus			
23	18	Atlantic herring, Clupea	North Sea	√	
		harengus			
24	19	Alaska pollock, Theragra	Arctic Ocean	X	?
		chalcogramma			
25		Marine fishes not identified	Gulf of Thailand	x	1

Continued on next page

Stock	igg Individual	Species (Common name,	LME	l In	Reason
Rank	species	Latin name) or higher		Database?	if not
	rank	taxonomic unit			$\mid included$
26	20	Atlantic herring, Clupea	Baltic Sea	√	
		harengus			
27	21	Cape horse mackerel, Tra-	Benguela Current	✓	
		churus capensis			
28	22	Largehead hairtail, Trichiu-	East China Sea	X	?
		rus lepturus			
29	23	Japanese anchovy, Engraulis	Yellow Sea	X	?
		japonicus			
30	24	European anchovy, Engraulis	Black Sea	X	?
		encrasicolus			
31	25	Chub mackerel, Scomber	East China Sea	X	?
		japonicus			
32	26	Indian oil sardine, Sardinella	Arabian Sea	X	1
		longiceps			
33		Decapterus	South China Sea	X	?
34		Sciaenidae	Arabian Sea	X	?
Continu	ed on next page	'	'		1

Stock	Individual	Species (Common name,	LME	l In	Reason
Rank	species	Latin name) or higher		Database?	if not
	rank	taxonomic unit			$included$
35	27	Atlantic mackerel, Scomber	North Sea	✓	
		scombrus			
36	28	Largehead hairtail, Trichiu-	Yellow Sea	X	?
		rus lepturus			
37		Merluccius	Benguela Current	✓	
38		Marine fishes not identified	Kuroshio Current	X	?
39	29	Alaska pollock, Theragra	Sea of Japan	X	?
		chalcogramma			
40	30	Round sardinella, Sardinella	Canary Current	X	?
		aurita			
		I	I	I	I

56 Figures

757 Figure legends

Figure 1. Global map of Large Marine Ecosystems (LMEs) and High Seas Areas (ovals)

showing the number of stock assessments present in the database for each area.

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Figure 2. Taxonomic coverage of assessed marine species present in the RAM Legacy 761 database. The circle located near the middle of the circular dendrogram represents 762 kingdom Animalia and each subsequent branching represents a different taxonomic 763 group (Kingdom to Phylum to Class to Order to Family to Genus to Species). The 764 width of each line is proportional to the square root of the number of assessments in 765 the database. The outermost lines represent species and the number of lines is the 766 number of assessments for each species. The names of multi-assessment species are not 767 repeated on the outermost portion of the dendrogram but continue counter-clockwise 768 from the first entry. Note that branch lengths are chosen for graphical purposes and do 769 not convey phylogenetic distance. 770

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Figure 3. Comparison of the taxonomic diversity of marine species as provided by FishBase (top panel), the coverage of catch data as provided by the Sea Around Us Project
(SAUP) database (middle panel) and the new RAM Legacy database (bottom panel).
To facilitate the identification of the taxonomic groups that are not presented in the
catch and assessment data, the FishBase branching pattern of the spoked dendrogram
is maintained to generate the other two dendrograms.

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Figure 4. Mean trophic level (obtained from FishBase) of the assessed species, grouped by their B/B_{msy} and U/U_{msy} ratios.

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Figure 5. Temporal coverage of (A) catch/landings, (B) spawning stock biomass and (C) recruitment. The temporal coverage for individual assessments is represented by

thin alternating black and grey horizontal lines in the main panels. Thick horizontal lines at the base of each main panel represent the time periods which are present in 90% (black) and 50% (grey) of all series for that data type. Subfigure histograms contain the frequency of occurrence of the various timespans without reference to time period. Solid and long-dash vertical lines within the subfigures represent the median, 2.5% and 97.5% quantiles, respectively.

790

Figure 6. Current exploitation rate versus current biomass for 241 individual stocks. Exploitation is scaled relative to that which should allow maximum sustainable yield (U_{msy}); biomass is scaled relative to B_{msy} . Shades of grey indicate probability of occurrence as revealed by a kernel density smooth function. Solid circles indicate B_{msy} and U_{msy} that were obtained directly from assessments; open circles indicate that they were estimated from surplus production models.

797

Figure 7. Current exploitation rate versus biomass for individual stocks grouped by management unit. The panel labelled "Atlantic" comprises ICCAT and NAFO. Plot details as in Figure 6.

801

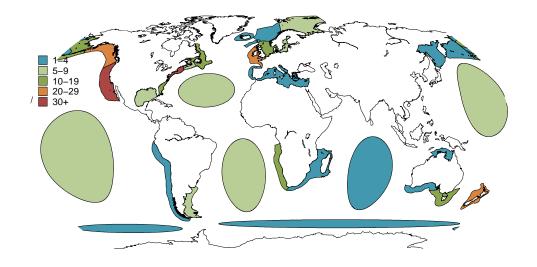


Figure 1:

802 Figures

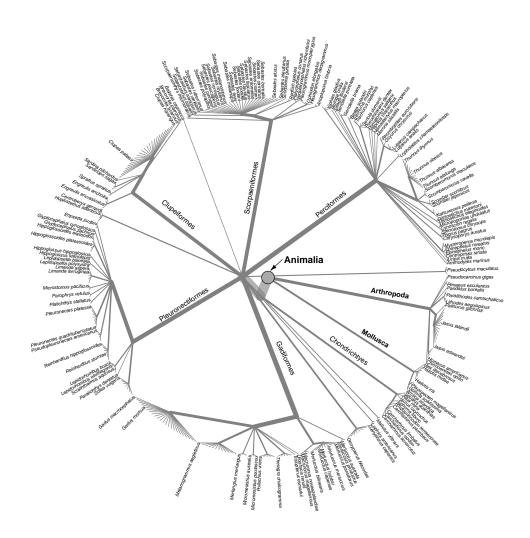


Figure 2:

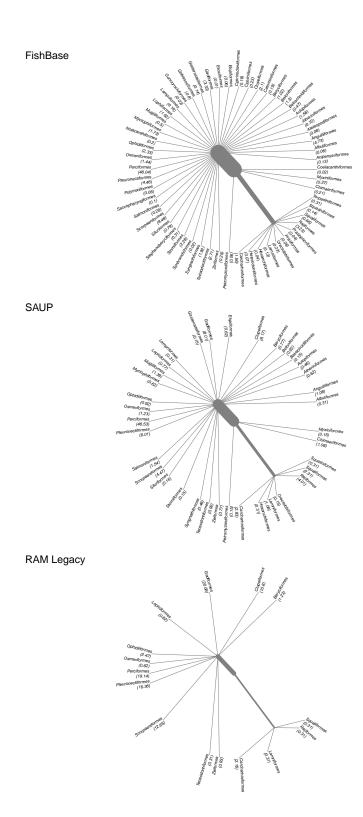


Figure 3:

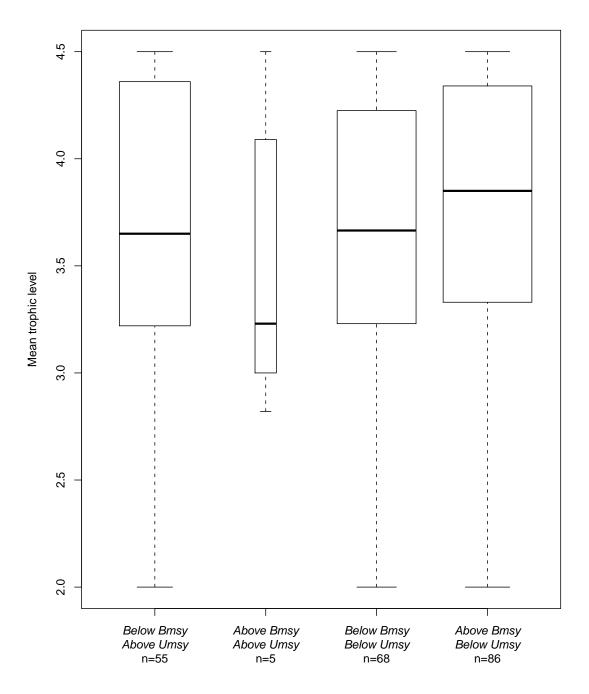


Figure 4:

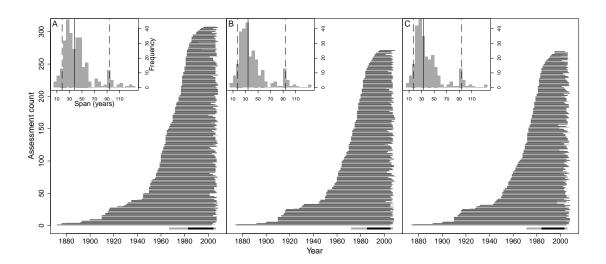


Figure 5:

all assessments (n=241)

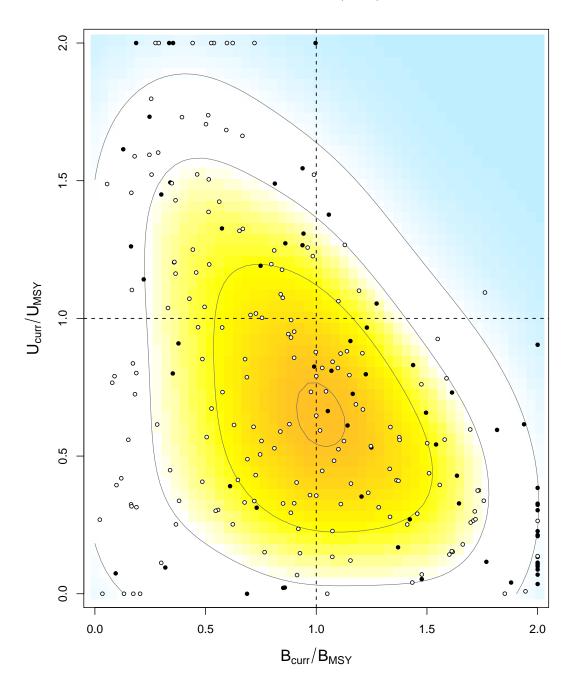


Figure 6:

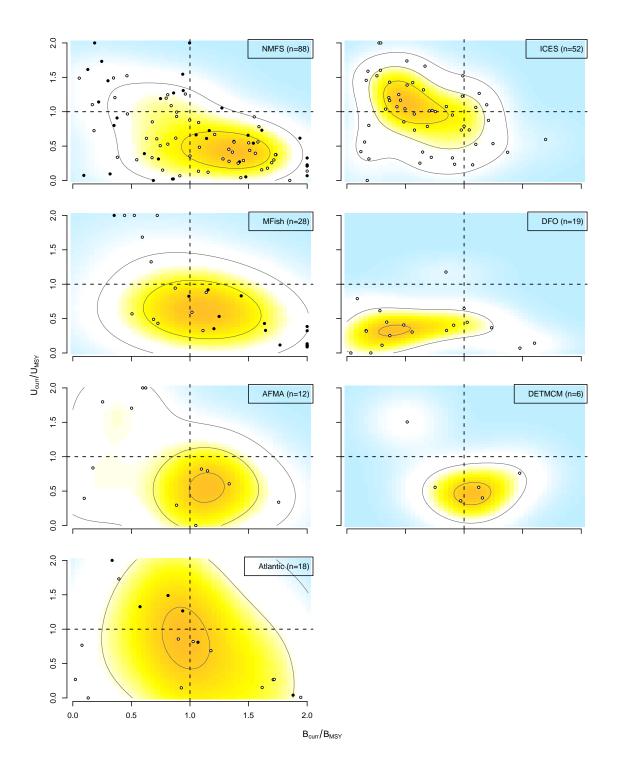


Figure 7: