## Title:

Rebuttal to Frank et al 2016

## Authors:

NAFC1Montevecchi WA2  
Robert D3  
Davoren GK4  
Rose G5?

## Affiliations:

1. Northwest Atlantic Fisheries Centre, Fisheries and Oceans Canada, St. John's, NL, Canada
2. Cognitive and Behavioural Ecology Programme, Departments of Biology and Psychology, Memorial University of Newfoundland, St. John’s, NL, Canada
3. Institut des sciences de la mer, Université du Québec à Rimouski, Rimouski, QC, Canada
4. Department of Biological Sciences, University of Manitoba, Winnipeg, MB, Canada
5. CFER/ UBC ?

## Abstract

## Introduction

Forage fish play a crucial role in many ecosystems, acting as a conduit of energy between lower trophic levels and large vertebrate predators. Forage fish are small shoaling species that characteristically have rapid growth, short life expectancies, and population responses tightly linked to environmental control. These characteristics lead this group of species to exhibit boom and bust dynamics, i.e. their abundances change rapidly and substantially and undergo phases of extremely high and extremely low abundances (Soutar & Issacs 1969, Schwartzlose et al. 1999, Chavez et al. 2003, Alheit et al. 2009, Pikitch et al. 2012). Forage fish species can experience prolonged periods of ‘bust’ dynamics. For example, Norwegian spring-spawning herring stock collapsed in the late 1960s and remained at very low levels until the late 1980s (Toresen & Østvedt 2000, Skagseth et al. 2015); and sardine and anchovy have decade-scale regimes of high and low abundances where populations thrived for 20 to 30 years and then disappeared for similar periods (Schwartzlose et al. 1999, Chavez et al. 2003). Capelin is the focal forage species in ecosystems of the northern Atlantic Ocean (Templeman 1948, Jangaard 1974, Vilhjálmsson 1994, Carscadden et al. 2001). The three most important capelin populations in the North Atlantic are in the Barents Sea, off Iceland, and off Newfoundland and Labrador (Canada). The Barents Sea capelin stock underwent three collapses during the last 4 decades, during the mid- to late 1980s, mid-1990s, and mid-2000s. The size of the stock fluctuated between 3 - 7 million tonnes during the boom and around 200 thousand tonnes during the bust phases. There is general agreement that ecosystem changes were the driving forces behind these dynamics (Gjøsæter et al. 2009). The Icelandic capelin stock underwent similar dynamics, with three bust phases in the last 4 decades, in the early 1980s, in the early 1990s, and during most of the 2000s. The size of the stock was around 1.5 - 2 million tonnes during the boom and between 100 and 500 thousand tonnes during the bust phases (ICES 2017).The first two cases were due to a combination of poor recruitment and the stock being easily available to the fishing fleet, while the last case was likely associated to a climate-related shift in distribution (Pálsson et al. 2012, Carscadden et al. 2013).

Fisheries and Oceans Canada is responsible for the assessment of the Newfoundland and Labrador capelin stock; it has concluded that there was an order of magnitude decline in the stock in the early 1990s, and that capelin abundance declined to less than 1% of historic levels in 2010 (DFO 1994, Miller 1994, 1997, DFO 2008, 2010, 2013, 2015). The size of the stock fluctuated between 2 - 6 million tonnes prior to 1991, and between 25 and 900 thousand tonnes during the ensuing period (DFO 2015).This decline was concomitant with drastic changes in the ecosystem during the late 1980s and early 1990s (Hutchings & Myers 1994, Gomes et al. 1995, Lilly et al. 2000, Rice 2002, Koen-Alonso et al. 2010, Hammill et al. 2011, Pedersen et al. 2017), including major changes in the biology and ecology of capelin (Carscadden & Nakashima 1997, Carscadden et al. 2001, Nakashima & Wheeler 2002, DFO 2010). The collapse was identified as an important signal contributing to a regime shift that occurred in the early 1990s (Buren et al. 2014, Pedersen et al. 2017). Several aspects of the stock’s dynamics, such as recruitment, growth, and mortality of pre-spawners, have been linked to bottom-up processes (Frank & Leggett 1981, Leggett et al. 1984, Dalley et al. 2002, Buren et al. 2014, Obradovich et al. 2014, Murphy et al. 2018) with little empirical evidence of top-down processes (Carscadden et al. 2001, Frank et al. 2005) driving capelin population dynamics in Newfoundland.

Frank et al. (2016) concluded that the capelin stock off Newfoundland and Labrador did not collapse. The debate over the collapse or non-collapse of capelin in the NL region is not new, and it stems from the unexplained discordance between the inshore and offshore indices in the 1990s, where inshore indices suggested little change in capelin biomass since the 1980s while the offshore acoustic survey found a dramatic decrease in capelin biomass (Nakashima 1996, Carscadden & Nakashima 1997, Carscadden et al. 2001, DFO 2001). And while this discordance resulted in the exclusion of the offshore acoustic survey as an input into the capelin multiplicative year-class model, this model still had large statistical uncertainties ((Evans & Nakashima 2002), suggesting that the inshore indices alone did not explain capelin year class variability. This model is no longer in use as the number of inshore indices collected has been reduced over time (DFO 2000). Since 1999, the offshore acoustic survey is considered the best method to obtain an index of the immature capelin biomass in NL (O'Driscoll et al. 2002, Mowbray 2014), which is in accordance with Iceland and the Barents Sea (e.g. Gjøsæter et al. 2009, ICES 2017). In Frank et al. (2016), support for the non-collapse of capelin was based on changes in biology of capelin post-1991 (i.e. distribution and demography), re-analysis of the offshore research surveys (multi-species bottom trawl and acoustic), and the response of various components of the ecosystem (e.g., zooplankton, northern cod, birds, seals) to the large scale changes that occurred during the early 1990s. These authors postulated that the reported collapse was not real and proposed two hypotheses to interpret why the offshore spring acoustic surveys have failed to detect largecapelin aggregations since 1991: 1) capelin changed its migratory patterns while the timing of the acoustic survey has remained constant leading to a spatio-temporal mismatch between the survey and the stock, and 2) the capelin stock has become less migratory and are remaining in inshore waters, and therefore undetected by the offshore surveys. using all available data

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