

## SAW-45 ASSESSMENT SUMMARY REPORT

### INTRODUCTION

The 45<sup>th</sup> SAW Assessment Summary Report contains summary and detailed technical information on two assessments reviewed in June 2007 at the Stock Assessment Workshop (SAW) by the 45th Stock Assessment Review Committee (SARC-45): northern shrimp (*Pandalus borealis*) and Atlantic sea scallop (*Placopecten magellanicus*). The SARC-45 consisted of three external, independent reviewers appointed by the Center for Independent Experts (CIE) and an external SARC chairman from a fishery management council's Science and Statistical Committee (SSC). The SARC evaluated whether each Term of Reference (listed in the Appendix) was completed successfully based on whether the work provided a scientifically credible basis for developing fishery management advice. The reviewers' reports for SAW/SARC-45 are available at website: <http://www.nefsc.noaa.gov/nefsc/saw/> under the heading "Recent Reports".

An important aspect of any assessment is the determination of current stock status. The status of the stock relates to both the rate of removal of fish from the population – the exploitation rate – and the current stock size. The exploitation rate is the proportion of the stock alive at the beginning of the year that is caught during the year. When that proportion exceeds the amount specified in an overfishing definition, overfishing is occurring. Fishery removal rates are usually expressed in terms of the instantaneous fishing mortality rate,  $F$ , and the maximum removal rate is denoted as  $F_{\text{THRESHOLD}}$ .

Another important factor for classifying the status of a resource is the current stock level, for example, spawning stock biomass (SSB) or total stock biomass (TSB). Overfishing definitions, therefore, characteristically include specification of a minimum biomass threshold as well as a maximum fishing threshold. If the biomass of a stock falls below the biomass threshold ( $B_{\text{THRESHOLD}}$ ) the stock is in an overfished condition. The Sustainable Fisheries Act mandates that a stock rebuilding plan be developed should this situation arise.

Since there are two dimensions to stock status – the rate of removal and the biomass level – it is possible that a stock not currently subject to overfishing in terms of exploitation rates is in an overfished condition, that is, has a biomass level less than the threshold level. This may be due to heavy exploitation in the past, or a result of other factors such as unfavorable environmental conditions. In this case, future recruitment to the stock is very important and the probability of improvement may increase greatly by increasing the stock size. Conversely, fishing down a stock that is at a high biomass level should generally increase the long-term sustainable yield. Stocks should be managed on the basis of maximum sustainable yield (MSY). The biomass that produces this yield is called  $B_{\text{MSY}}$  and the fishing mortality rate that produces MSY is called  $F_{\text{MSY}}$ .

Given this, stocks under review are classified with respect to current overfishing definitions. A stock is overfished if its current biomass is below  $B_{\text{THRESHOLD}}$  and overfishing is occurring if current  $F$  is greater than  $F_{\text{THRESHOLD}}$ . The table below depicts status criteria.

Fisheries management may take into account the precautionary approach, and overfishing guidelines often include a control rule in the overfishing definition. Generically, the control rules suggest actions at various levels of stock biomass and incorporate an assessment of risk, in that  $F$  targets are set so as to avoid exceeding  $F$  thresholds.

		<b>BIOMASS</b>		
		$B < B_{\text{THRESHOLD}}$	$B_{\text{THRESHOLD}} < B < B_{\text{MSY}}$	$B > B_{\text{MSY}}$
<b>EXPLOITATION</b>	$F > F_{\text{THRESHOLD}}$	Overfished, overfishing is occurring; reduce $F$ , adopt and follow rebuilding plan	Not overfished, overfishing is occurring; reduce $F$ , rebuild stock	$F = F_{\text{TARGET}} \leq F_{\text{MSY}}$
<b>RATE</b>	$F < F_{\text{THRESHOLD}}$	Overfished, overfishing is not occurring; adopt and follow rebuilding plan	Not overfished, overfishing is not occurring; rebuild stock	$F = F_{\text{TARGET}} \leq F_{\text{MSY}}$

### Outcome of Stock Assessment Review Meeting

The northern shrimp assessment was accepted by the SARC. Although the reviewers were concerned about how to interpret the unprecedented high abundance index observed in the summer 2006 Gulf of Maine shrimp survey (particularly because the sampling intensity in that survey was lower than in preceding years), evidence of high abundance was also seen in commercial catch rates. The committee concluded that abundance in 2006 was high, but perhaps not as high as indicated by the survey and CSA assessment model. The large measure of agreement between the CSA and ASPIC models reinforced the credibility of the assessment results. Despite preference for reference points that take productivity into account, the reviewers concluded that, given the current low market demand and current high stock size, there is little risk to the stock of using the current reference points in the immediate future. Consumption estimates of northern shrimp by fish predators suggested that the rate of natural mortality ( $M$ ) is higher than the value assumed. The SARC felt that a higher value for  $M$  should be used in future assessments. If  $M$  is changed, reference points will have to be recomputed.

The Atlantic sea scallop assessment was accepted by the SARC. The reviewers noted that much had been accomplished since the last assessment to improve data collection and interpretation. The SARC supported the approach of modeling the Mid-Atlantic and Georges Bank resources separately before combining the results. The committee noted that elimination of the retrospective patterns when the CASA model results from the two areas were combined was fortuitous, and this does not imply that the patterns have similar causes or that the patterns will cancel out in future assessments. The SARC questioned using  $F_{\text{max}}$  as a reference point because it does not explicitly ensure sufficient biomass to protect stock productivity. The SARC supported the projection model (SAMS) because it is based on fairly realistic inputs (e.g., includes spatial considerations).

## GLOSSARY

**ADAPT.** A commonly used form of computer program used to optimally fit a Virtual Population Assessment (VPA) to abundance data.

**ASPM.** Age-structured production models, also known as statistical catch-at-age (SCAA) models, are a technique of stock assessment that integrate fishery catch and fishery-independent sampling information. The procedures are flexible, allowing for uncertainty in the absolute magnitudes of catches as part of the estimation. Unlike virtual population analysis (VPA) that tracks the cumulative catches of various year classes as they age, ASPM is a forward projection simulation of the exploited population.

**Availability.** Refers to the distribution of fish of different ages or sizes relative to that taken in the fishery.

**Biological reference points.** Specific values for the variables that describe the state of a fishery system which are used to evaluate its status. Reference points are most often specified in terms of fishing mortality rate and/or spawning stock biomass. The reference points may indicate 1) a desired state of the fishery, such as a fishing mortality rate that will achieve a high level of sustainable yield, or 2) a state of the fishery that should be avoided, such as a high fishing mortality rate which risks a stock collapse and long-term loss of potential yield. The former type of reference points are referred to as “target reference points” and the latter are referred to as “limit reference points” or “thresholds”. Some common examples of reference points are  $F_{0.1}$ ,  $F_{MAX}$ , and  $F_{MSY}$ , which are defined later in this glossary.

**$B_0$ .** Virgin stock biomass, i.e., the long-term average biomass value expected in the absence of fishing mortality.

**$B_{MSY}$ .** Long-term average biomass that would be achieved if fishing at a constant fishing mortality rate equal to  $F_{MSY}$ .

**Biomass Dynamics Model.** A simple stock assessment model that tracks changes in stock using assumptions about growth and can be tuned to abundance data such as commercial catch rates, research survey trends or biomass estimates.

**Catchability.** Proportion of the stock removed by one unit of effective fishing effort (typically age-specific due to differences in selectivity and availability by age).

**Control Rule.** Describes a plan for pre-agreed management actions as a function of variables related to the status of the stock. For example, a control rule can specify how  $F$  or yield should vary with biomass. In the National Standard Guidelines (NSG), the “MSY control rule” is used to determine the limit fishing mortality, or Maximum Fishing Mortality Threshold (MFMT). Control rules are also known as “decision rules” or “harvest control laws.”

**Catch per Unit of Effort (CPUE).** Measures the relative success of fishing operations, but also can be used as a proxy for relative abundance based on the assumption that CPUE is linearly related to stock size. The use of CPUE that has not been properly standardized for temporal-spatial changes in catchability should be avoided.

**Exploitation pattern.** The fishing mortality on each age (or group of adjacent ages) of a stock relative to the highest mortality on any age. The exploitation pattern is expressed as a series of values ranging from 0.0 to 1.0. The pattern is referred to as “flat-topped” when the values for all the oldest ages are about 1.0, and “dome-shaped” when the values for some intermediate ages are about 1.0 and those for the oldest ages are significantly lower. This pattern often varies by type of fishing gear, area, and seasonal distribution of fishing, and the growth and migration of the fish. The pattern can be changed by modifications to fishing gear, for example, increasing mesh or hook size, or by changing the proportion of harvest by gear type.

**Mortality rates.** Populations of animals decline exponentially. This means that the number of animals that die in an "instant" is at all times proportional to the number present. The decline is defined by survival curves such as:

$$N_{t+1} = N_t e^{-Z}$$

where  $N_t$  is the number of animals in the population at time  $t$  and  $N_{t+1}$  is the number present in the next time period;  $Z$  is the total instantaneous mortality rate which can be separated into deaths due to fishing (fishing mortality or  $F$ ) and deaths due to all other causes (natural mortality or  $M$ ) and  $e$  is the base of the natural logarithm (2.71828).

To better understand the concept of an instantaneous mortality rate, consider the following example. Suppose the instantaneous total mortality rate is 2 (i.e.,  $Z = 2$ ) and we want to know how many animals out of an initial population of 1 million fish will be alive at the end of one year. If the year is apportioned into 365 days (that is, the 'instant' of time is one day), then

$2/365$  or 0.548% of the population will die each day. On the first day of the year, 5,480 fish will die ( $1,000,000 \times 0.00548$ ), leaving 994,520 alive. On day 2, another 5,450 fish die ( $994,520 \times 0.00548$ ) leaving 989,070 alive. At the end of the year, 134,593 fish [ $1,000,000 \times (1 - 0.00548)^{365}$ ] remain alive. If, we had instead selected a smaller 'instant' of time, say an hour, 0.0228% of the population would have died by the end of the first time interval (an hour), leaving 135,304 fish alive at the end of the year [ $1,000,000 \times (1 - 0.00228)^{8760}$ ]. As the instant of time becomes shorter and shorter, the exact answer to the number of animals surviving is given by the survival curve mentioned above, or, in this example:

$$N_{t+1} = 1,000,000 e^{-2} = 135,335 \text{ fish}$$

**Exploitation rate.** The proportion of a population alive at the beginning of the year that is caught during the year. That is, if 1 million fish were alive on January 1 and 200,000 were caught during the year, the exploitation rate is 0.20 (200,000 / 1,000,000) or 20%.

**F<sub>MAX</sub>.** The rate of fishing mortality that produces the maximum level of yield per recruit. This is the point beyond which growth overfishing begins.

**F<sub>0.1</sub>.** The fishing mortality rate where the increase in yield per recruit for an increase in a unit of effort is only 10% of the yield per recruit produced by the first unit of effort on the unexploited stock (i.e., the slope of the yield-per-recruit curve for the  $F_{0.1}$  rate is only one-tenth the slope of the curve at its origin).

**F<sub>10%</sub>.** The fishing mortality rate which reduces the spawning stock biomass per recruit (SSB/R) to 10% of the amount present in the absence of fishing. More

generally,  $F_x\%$ , is the fishing mortality rate that reduces the SSB/R to  $x\%$  of the level that would exist in the absence of fishing.

**$F_{MSY}$ .** The fishing mortality rate that produces the maximum sustainable yield.

**Fishery Management Plan (FMP).** Plan containing conservation and management measures for fishery resources, and other provisions required by the MSFCMA, developed by Fishery Management Councils or the Secretary of Commerce.

**Generation Time.** In the context of the National Standard Guidelines, generation time is a measure of the time required for a female to produce a reproductively-active female offspring for use in setting maximum allowable rebuilding time periods.

**Growth overfishing.** The situation existing when the rate of fishing mortality is above  $F_{MAX}$  and when fish are harvested before they reach their growth potential.

**Limit Reference Points.** Benchmarks used to indicate when harvests should be constrained substantially so that the stock remains within safe biological limits. The probability of exceeding limits should be low. In the National Standard Guidelines, limits are referred to as thresholds. In much of the international literature (e.g., FAO documents), “thresholds” are used as buffer points that signal when a limit is being approached.

**Landings per Unit of Effort (LPUE).** Analogous to CPUE and measures the relative success of fishing operations, but is also sometimes used a proxy for relative abundance based on the assumption that CPUE is linearly related to stock size.

**MSFCMA.** (Magnuson-Stevens Fishery Conservation and Management Act). U.S.

Public Law 94-265, as amended through October 11, 1996. Available as NOAA Technical Memorandum NMFS-F/SPO-23, 1996.

**Maximum Fishing Mortality Threshold (MFMT,  $F_{THRESHOLD}$ ).** One of the Status Determination Criteria (SDC) for determining if overfishing is occurring. It will usually be equivalent to the  $F$  corresponding to the MSY Control Rule. If current fishing mortality rates are above  $F_{threshold}$ , overfishing is occurring.

**Minimum Stock Size Threshold (MSST,  $B_{threshold}$ ).** Another of the Status Determination Criteria. The greater of (a)  $\frac{1}{2}B_{MSY}$ , or (b) the minimum stock size at which rebuilding to  $B_{MSY}$  will occur within 10 years of fishing at the MFMT. MSST should be measured in terms of spawning biomass or other appropriate measures of productive capacity. If current stock size is below  $B_{THRESHOLD}$ , the stock is overfished.

**Maximum Spawning Potential (MSP).** This type of reference point is used in some fishery management plans to define overfishing. The MSP is the spawning stock biomass per recruit (SSB/ R) when fishing mortality is zero. The degree to which fishing reduces the SSB/R is expressed as a percentage of the MSP (i.e., %MSP). A stock is considered overfished when the fishery reduces the %MSP below the level specified in the overfishing definition. The values of %MSP used to define overfishing can be derived from stock-recruitment data or chosen by analogy using available information on the level required to sustain the stock.

**Maximum Sustainable Yield (MSY).** The largest average catch that can be taken from a stock under existing environmental conditions.

**Overfishing.** According to the National Standard Guidelines, “overfishing occurs whenever a stock or stock complex is subjected to a rate or level of fishing mortality that jeopardizes the capacity of a stock or stock complex to produce MSY on a continuing basis.” Overfishing is occurring if the MFMT is exceeded for 1 year or more.

**Optimum Yield (OY).** The amount of fish that 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. MSY constitutes a “ceiling” for OY. OY may be lower than MSY, depending on relevant economic, social, or ecological factors. In the case of an overfished fishery, OY should provide for rebuilding to  $B_{MSY}$ .

**Partial Recruitment.** Patterns of relative vulnerability of fish of different sizes or ages due to the combined effects of selectivity and availability.

**Rebuilding Plan.** A plan that must be designed to recover stocks to the  $B_{MSY}$  level within 10 years when they are overfished (i.e. when  $B < MSST$ ). Normally, the 10 years would refer to an expected time to rebuilding in a probabilistic sense.

**Recruitment.** This is the number of young fish that survive (from birth) to a specific age or grow to a specific size. The specific age or size at which recruitment is measured may correspond to when the young fish become vulnerable to capture in a fishery or when the number of fish in a cohort can be reliably estimated by a stock assessment.

**Recruitment overfishing.** The situation existing when the fishing mortality rate is so high as to cause a reduction in spawning

stock which causes recruitment to become impaired.

**Recruitment per spawning stock biomass (R/SSB).** The number of fishery recruits (usually age 1 or 2) produced from a given weight of spawners, usually expressed as numbers of recruits per kilogram of mature fish in the stock. This ratio can be computed for each year class and is often used as an index of pre-recruit survival, since a high R/SSB ratio in one year indicates above-average numbers resulting from a given spawning biomass for a particular year class, and vice versa.

**Reference Points.** Values of parameters (e.g.  $B_{MSY}$ ,  $F_{MSY}$ ,  $F_{0.1}$ ) that are useful benchmarks for guiding management decisions. Biological reference points are typically limits that should not be exceeded with significant probability (e.g., MSST) or targets for management (e.g., OY).

**Risk.** The probability of an event times the cost associated with the event (loss function). Sometimes “risk” is simply used to denote the probability of an undesirable result (e.g. the risk of biomass falling below MSST).

**Status Determination Criteria (SDC).** Objective and measurable criteria used to determine if a stock is being overfished or is in an overfished state according to the National Standard Guidelines.

**Selectivity.** Measures the relative vulnerability of different age (size) classes to the fishing gears(s).

**Spawning Stock Biomass (SSB).** The total weight of all sexually mature fish in a stock.

**Spawning stock biomass per recruit (SSB/R or SBR).** The expected lifetime contribution to the spawning stock biomass

for each recruit. SSB/R is calculated assuming that F is constant over the life span of a year class. The calculated value is also dependent on the exploitation pattern and rates of growth and natural mortality, all of which are also assumed to be constant.

**Survival Ratios.** Ratios of recruits to spawners (or spawning biomass) in a stock-recruitment analysis. The same as the recruitment per spawning stock biomass (R/SSB), see above.

**TAC.** Total allowable catch is the total regulated catch from a stock in a given time period, usually a year.

**Target Reference Points.** Benchmarks used to guide management objectives for achieving a desirable outcome (e.g., OY). Target reference points should not be exceeded on average.

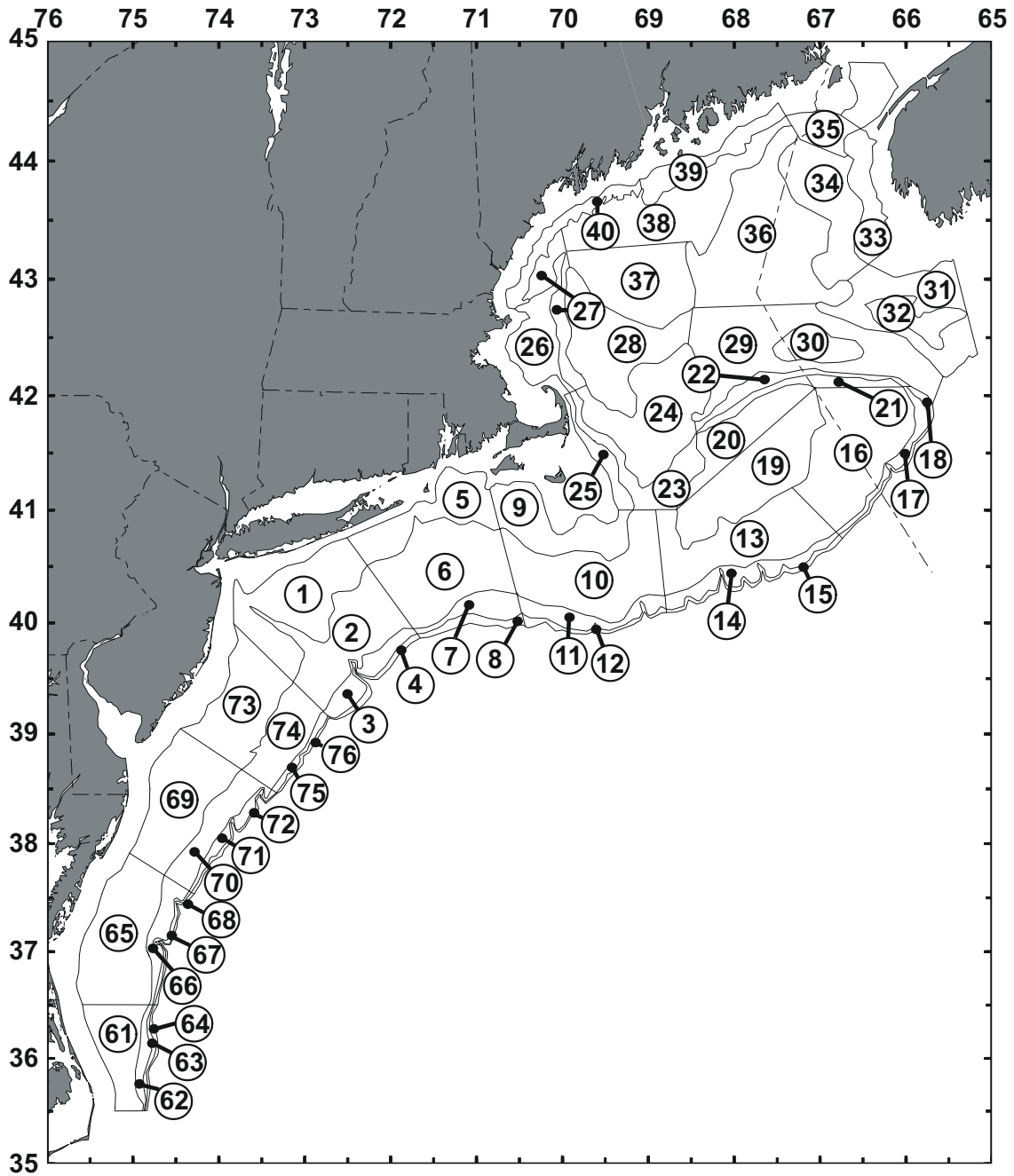
**Uncertainty.** Uncertainty results from a lack of perfect knowledge of many factors that affect stock assessments, estimation of reference points, and management. Rosenberg and Restrepo (1994) identify 5 types: measurement error (in observed quantities), process error (or natural

population variability), model error (mis-specification of assumed values or model structure), estimation error (in population parameters or reference points, due to any of the preceding types of errors), and implementation error (or the inability to achieve targets exactly for whatever reason).

**Virtual population analysis (VPA) (or cohort analysis).** A retrospective analysis of the catches from a given year class which provides estimates of fishing mortality and stock size at each age over its life in the fishery. This technique is used extensively in fishery assessments.

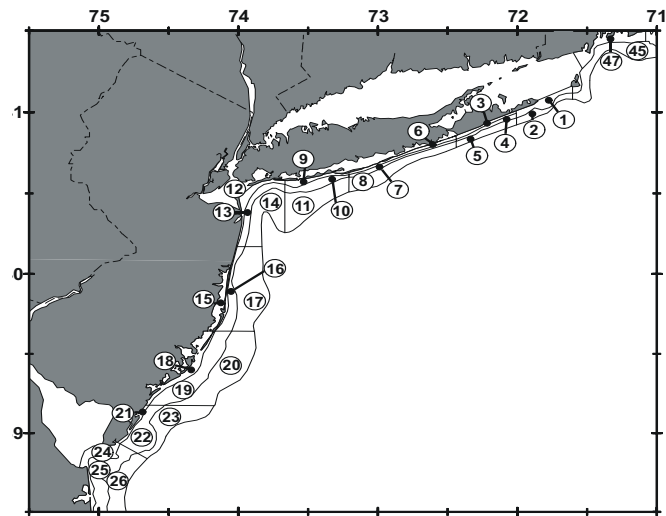
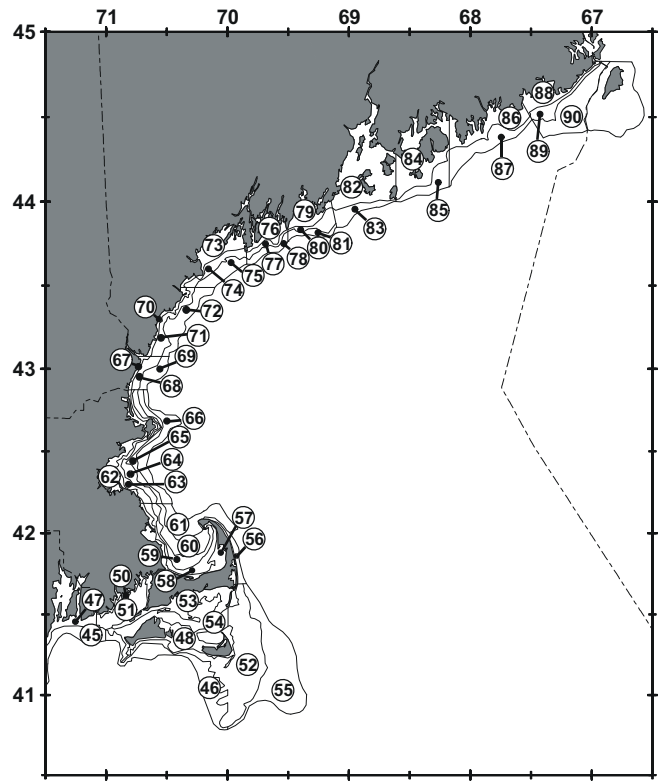
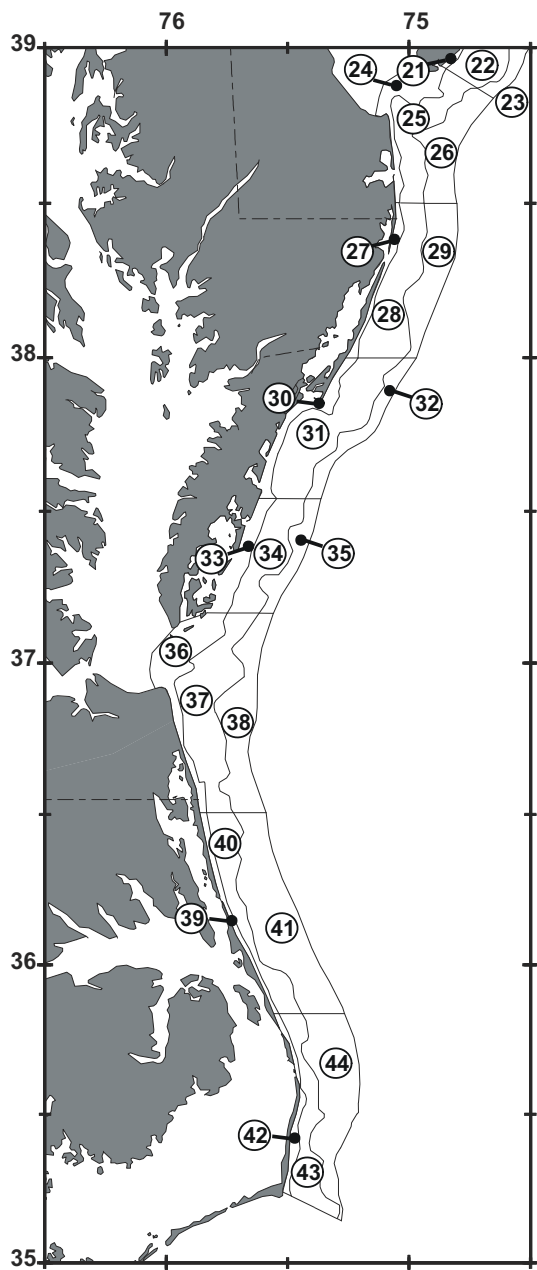
**Year class (or cohort).** Fish born in a given year. For example, the 1987 year class of cod includes all cod born in 1987. This year class would be age 1 in 1988, age 2 in 1989, and so on.

**Yield per recruit (Y/R or YPR).** The average expected yield in weight from a single recruit. Y/R is calculated assuming that F is constant over the life span of a year class. The calculated value is also dependent on the exploitation pattern, rate of growth, and natural mortality rate, all of which are assumed to be constant.

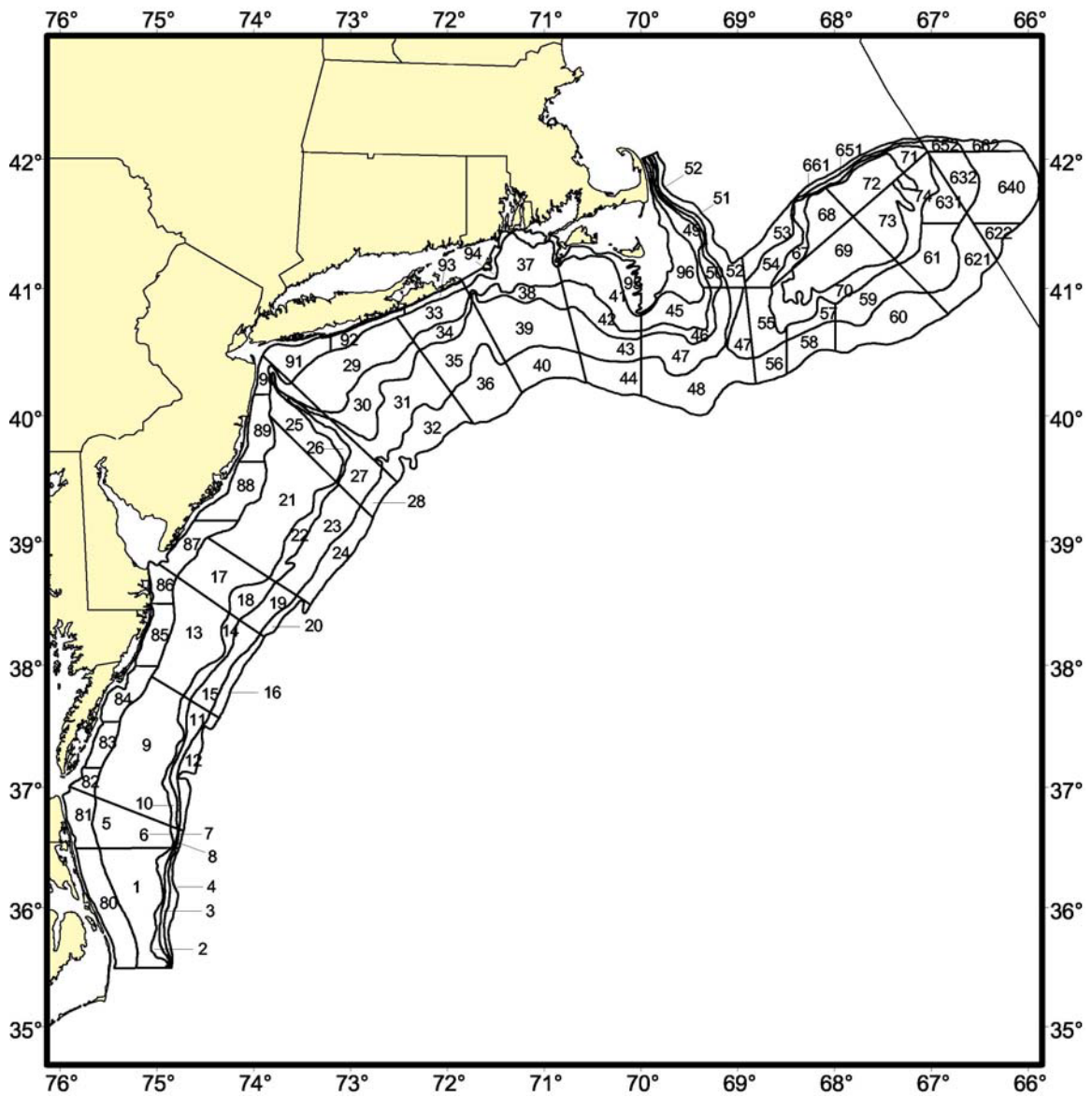


**Figure 1.** Offshore depth strata sampled during Northeast Fisheries Science Center bottom trawl research surveys.





**Figure 2.** Inshore depth strata sampled during Northeast Fisheries Science Center bottom trawl research surveys.



**Figure 3.** NEFSC clam survey strata.

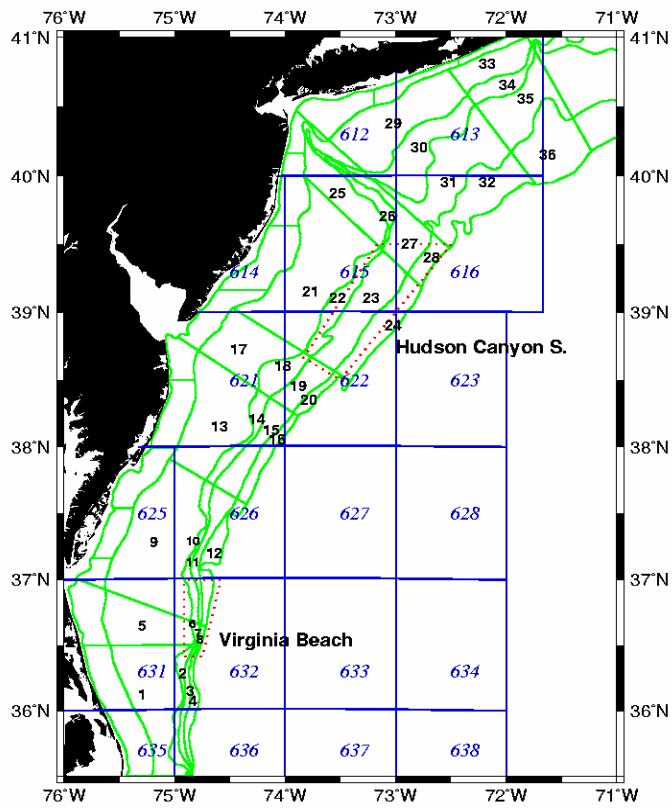
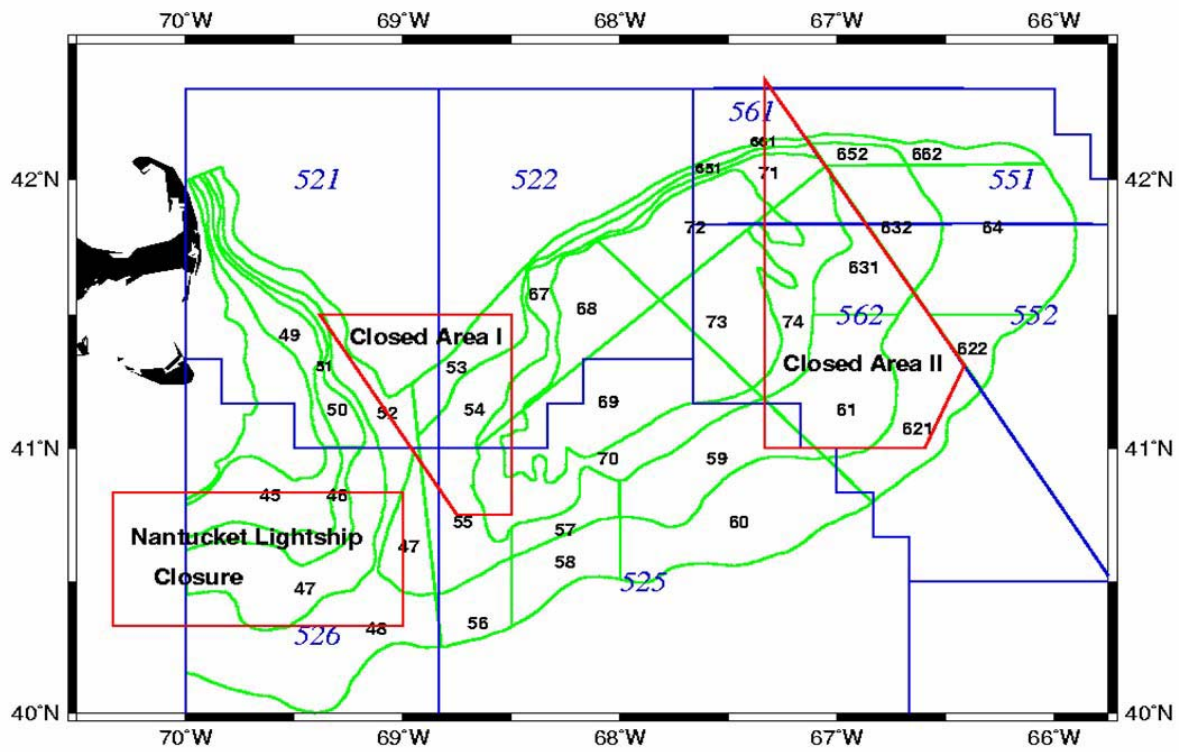
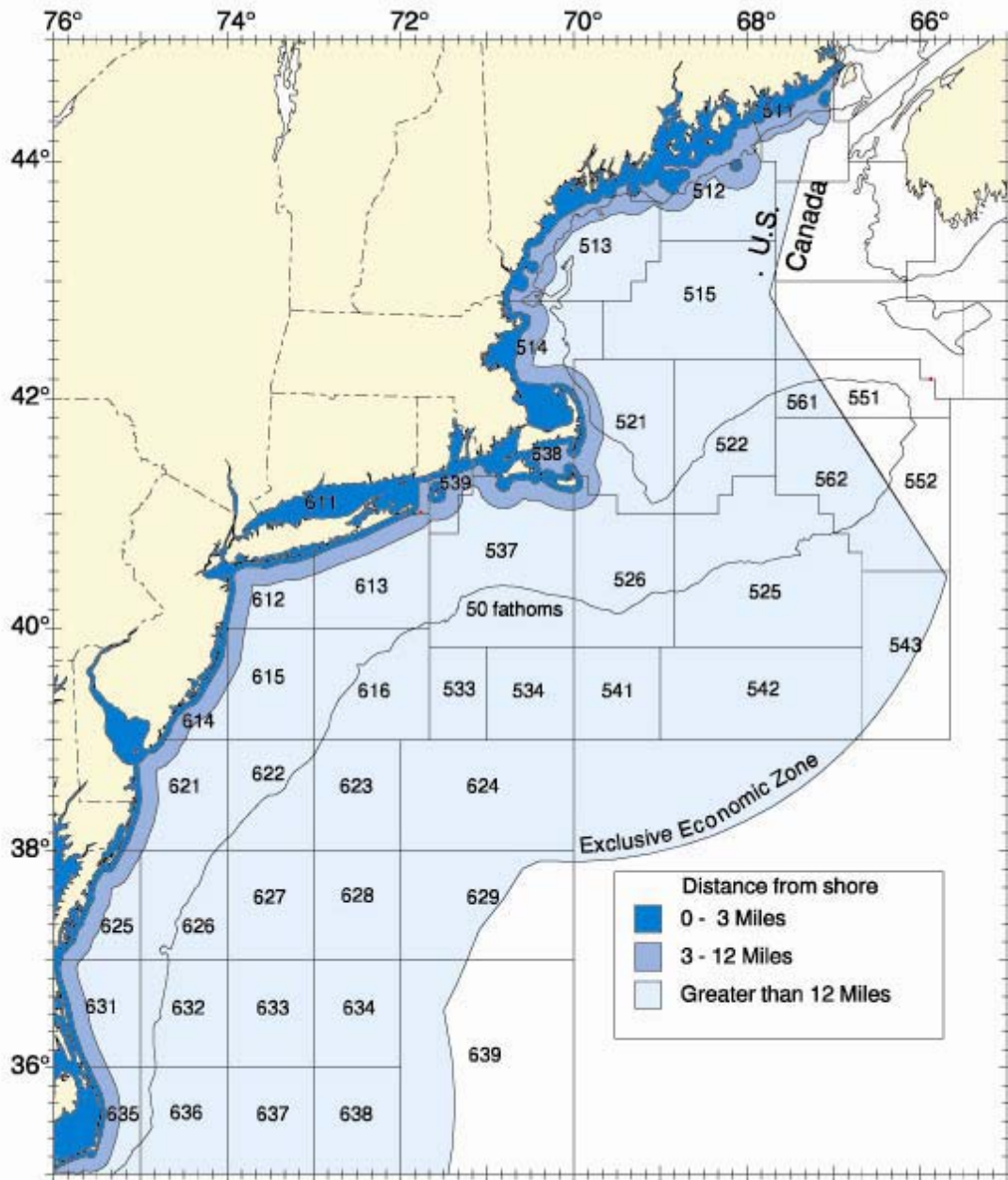


Figure 4. NEFSC sea scallop survey strata, closed areas and statistical areas.



**Figure 5.** Statistical areas used for reporting commercial catches.