

1 Efficiency of fisheries is increasing at the ecosystem level

2 **2** Nis S Jacobsen^{1,2}, Matthew G Burgess^{3,4,5} & Ken H Andersen¹

3
4
5
6
7
8
9
10
11
12
13
14
15
16
17
18
19
20
21
22
23
24
25
26
27
28
29
30
31
32
33
34
35
36
37
38
39
40
41
42
43
44
45
46
47
48
49
50
51
52

¹Centre for Ocean Life, DTU Aqua, Charlottenlund Castle, Charlottenlund 2920, Denmark; ²School of Aquatic and Fisheries Science, University of Washington, Seattle, WA 98195, USA; ³Sustainable Fisheries Group, University of California, Santa Barbara, CA 93106, USA; ⁴Marine Science Institute, University of California, Santa Barbara, CA 93106, USA; ⁵Bren School of Environmental Science and Management University of California, Santa Barbara, CA 93106, USA

Abstract

Managing fisheries presents trade-offs between objectives, for example yields, profits, minimizing ecosystem impact, that have to be weighed against one another. These trade-offs are compounded by interacting species and fisheries at the ecosystem level. Weighing objectives becomes increasingly challenging when managers have to consider opposing objectives from different stakeholders. An alternative to weighing incomparable and conflicting objectives is to focus on win-wins until Pareto efficiency is achieved: a state from which it is impossible to improve with respect to any objective without regressing at least one other. We investigate the ecosystem-level efficiency of fisheries in five large marine ecosystems (LMEs) with respect to yield and an aggregate measure of ecosystem impact using a novel calibration of size-based ecosystem models. We estimate that fishing patterns in three LMEs (North Sea, Barents Sea and Benguela Current) are nearly efficient with respect to long-term yield and ecosystem impact and that efficiency has improved over the last 30 years. In two LMEs (Baltic Sea and North East US Continental Shelf), fishing is inefficient and win-wins remain available. We additionally examine the efficiency of North Sea and Baltic Sea fisheries with respect to economic rent and ecosystem impact, finding both to be inefficient but steadily improving. Our results suggest the following: (i) a broad and encouraging trend towards ecosystem-level efficiency of fisheries; (ii) that ecosystem-scale win-wins, especially with respect to conservation and profits, may still be common; and (iii) single-species assessment approaches may overestimate the availability of win-wins by failing to account for trade-offs across interacting species.

Keywords Ecosystem-based fisheries management, efficiency frontiers, Pareto efficiency, size-spectrum

Correspondence:

Nis S Jacobsen,
School of Aquatic
and Fisheries Science,
1122 NE Boat St.
Seattle, WA 98105,
USA

Tel.: +1 (206) 519-
2349

3 Fax: XXXXXXXXXX

E-mail:

nisjac@uw.edu

Received 1 Mar
2016

Accepted 6 Jun 2016

Introduction	2
Methods	3
Ecological models	3
Ecological Indicator	4
Economic model	4
Fishing	4
Results	5

1	Calibration	5
2	Yield and ecosystem state	5
3	Economic rent and ecosystem state	7
4	Discussion	8
5	Moving towards the frontier	10
6	Models and calibration	10
7	Applications and Conclusions	10
8	Acknowledgements	11
9	References	11
10	Supporting Information	12

Introduction

Ecosystem-based fisheries management (EBFM) mandates an accountability of direct and indirect effects of fishing on marine populations (Pikitch *et al.* 2004). Although this has been recognized for many years, implementation of EBFM has been slow (Skern-Mauritzen *et al.* 2015), and terms of reference for multispecies management are largely unresolved, despite recent progress (Patrick and Link 2015). In seeking to define terms of reference for an EBFM, one of the central challenges is defining the objectives.

Like most resource management problems, fisheries management has myriad objectives. Most of these fall within the 'triple bottom line' of economic, ecological and social objectives (Halpern *et al.* 2013), which are challenging to weigh against one another because there are trade-offs, that is improvement on one objective may come at the cost of another. Single-species management often avoids this challenge by targeting maximum sustainable yield (MSY) or maximum economic yield (MEY), which lead to biomass depletions that are widely perceived as acceptable (Hilborn *et al.* 2015). However, the complexity of trade-offs is significantly amplified in multispecies frameworks (Link 2002; Pikitch *et al.* 2004; Andersen *et al.* 2015a), and this has sometimes led to conflicting management advice. For example, some studies have recommended reducing fishing pressure on forage fish to protect yields of valuable predator species (e.g. Smith *et al.* 2011), while other studies (sometimes using the same models) have recommended increasing fishing pressure on forage fish to boost yields and maintain the ecosystem structure (e.g. Garcia *et al.* (2012); see Rice and Duplisea (2014) for a review of this debate).

Without needing to weigh different objectives against one another, scientists and managers can target Pareto efficiency – a state from which it is impossible to improve with respect to any objective without regressing with respect to at least one other. Trade-offs between objectives are then measured by the efficiency frontier – the set of all possible outcomes that are Pareto efficient (see Polasky *et al.* (2005, 2008); Lester *et al.* (2010, 2013); White *et al.* (2012); Halpern *et al.* (2013); Rassweiler *et al.* (2014) for examples of such analyses in various resource management contexts). If the current state of a particular ecosystem is found to be inefficient with respect to its objectives, then it is possible to improve on one or more simultaneously (e.g. Polasky *et al.* (2008)), leading to a 'win-win' situation that can be relatively uncontroversially targeted by management (Carpenter *et al.* 2009).

Efficiency frontier frameworks have become increasingly common in quantifying trade-offs in marine spatial planning (Lester *et al.* 2010, 2013; White *et al.* 2012; Halpern *et al.* 2013; Rassweiler *et al.* 2014), but have only sporadically been used to quantify trade-offs between broad fisheries management objectives at the scale of large marine ecosystems (LME) (Cheung and Sumaila 2008). Here, we quantify trade-offs among yield, profit and ecosystem conservation objectives in five LMEs bordering three continents: the North Sea, the Baltic Sea, the Barents Sea, the Benguela Current and the Northeast US Continental Shelf (NEUSCS) (Fig. 1). To this end, we develop a novel calibration method for size-spectrum models that allows us to explore the effect of fishing different parts of the ecosystems. We use the calibrated models to simulate the efficiency frontier for each system and show how ecosystem exploitation patterns in

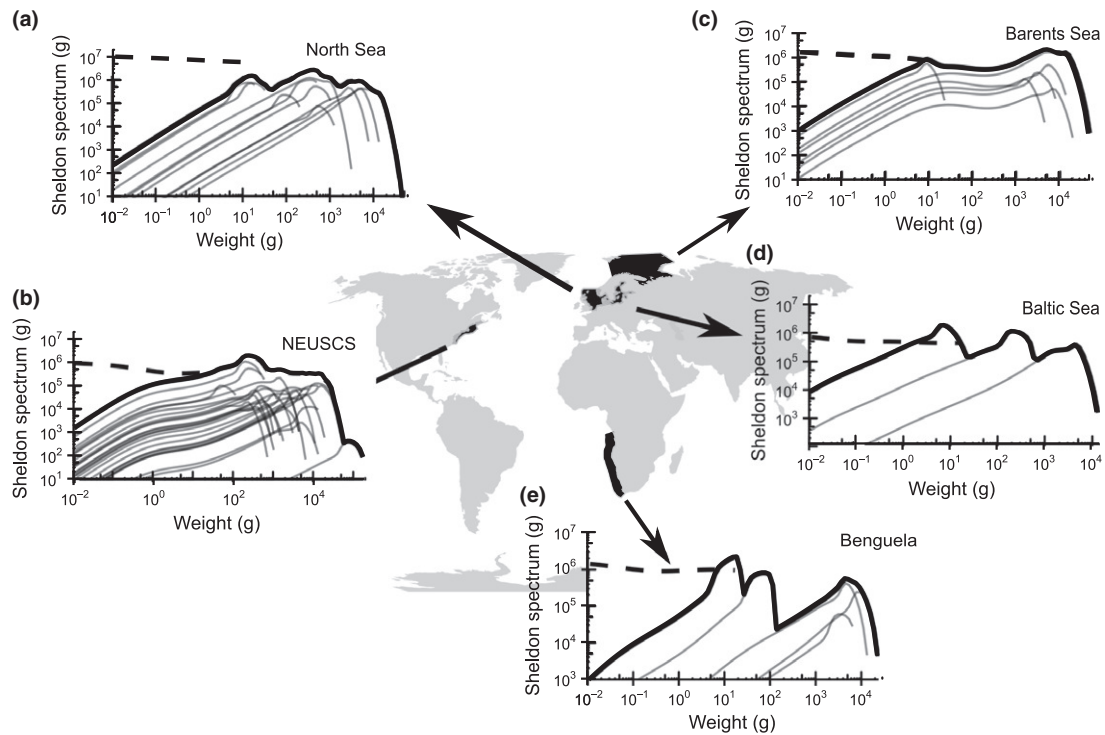


Figure 1 The five modelled large marine ecosystems (a) the North Sea, (b) North East US Continental Shelf, (c) Barents Sea, (d) Baltic Sea and (e) Benguela Current with their predicted Sheldon spectra from the calibrated models in equilibrium (corresponding to average spawning biomass over the period 1992–2002).

most cases seem to be approaching the frontier. Additionally, we project the exploitation patterns required to reach the frontier and compare them to the most recent ones.

Methods

Ecological models

We use size-spectrum models to calculate the efficiency frontiers in the considered LMEs. Size-spectrum models are based on individual-level processes and therefore have the advantage that most of the parameters can be derived from metabolic theory (Brown *et al.* 2004) or cross-species analysis (Hartvig *et al.* 2011). The models are based on a combination of the process of big individuals eating smaller ones (Ursin 1973) leading to predation mortality on prey and available energy for predators, and a bioenergetic submodel that links the available energy for growth and reproduction to the asymptotic size of predator species. Specifically, we apply the size-spectrum framework from Hartvig *et al.* (2011) and reviewed in Andersen *et al.* (2015b), while we use

the RAM stock assessment database to calibrate the models to observed biomass distributions of commercially exploited fish stocks (Ricard *et al.* 2011). Stocks that are not commercially exploited as well as lower trophic level species are included as a background spectrum that provides additional food (up to 20 g). The background spectrum is not included in the calculation of the total yield and the impact of fishing. For full model description and calibrations, see Appendices A, B, C and D.

We use LMEs as the study areas to create the models. LMEs are potentially large enough to justify ignoring migration effects for most species, while at the same time having sufficient spatial overlap between species to model interactions. We focus on a five different LMEs (Fig. 1): the North Sea, the Baltic Sea, the Barents Sea, the Benguela Current and the Northeast US Continental Shelf (NEUSCS). The LMEs represent different attributes, that is few species (Baltic Sea), high latitude (Barents Sea), high-exploitation temperate system (North Sea), upwelling (Benguela Current) and species-rich (NEUSCS). These systems were chosen as representatives as the number of stock

assessments within them are sufficient to perform meaningful multispecies calibrations. In this respect, they represent sample of exploited ecosystems biased towards fully exploited, well-managed ecosystems.

We calibrate the models to average spawning biomass and fishing mortality in the period 1992–2002. This period is chosen as it is covered by most assessments (with limited gaps) from the LMEs. We validate the models by comparing projected biomass, mortality, growth and catches to observations from the calibration time period (Figures D1–D5) and by looking at the temporal spawner biomass distributions 10 years outside the time period (i.e. 10 years before and 10 years after (Figures C1–C6)). The biomass size distributions under equilibrium are visualized as ‘Sheldon spectra’, which are proportional to a histogram of biomasses in log widths (Fig. 1).

Ecological indicator

We use a custom indicator of ecosystem impact of fishing, denoted I , that aggregates a measure of depletion of all species relative to their unfished abundance. The unfished abundance is calculated at equilibrium by setting $F = 0$ for all species in the system. The goal is to describe community structure and diversity relatively to the unfished community, which is recognized to be important for ecosystem services and function (Odum *et al.* 1971; Cardinale *et al.* 2012). The indicator is increasingly penalised when any species drops below 20% of its unfished spawner biomass (Fig. 2):

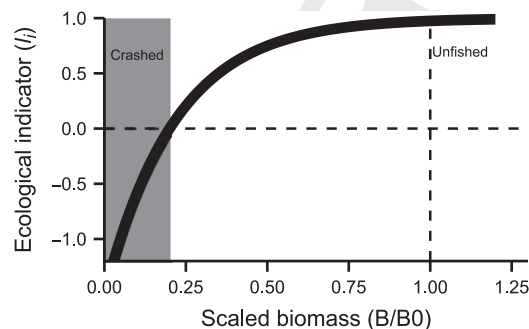


Figure 2 The indicator used to assess the state of a single species; the ecological indicator is calculated by averaging over all species. The indicator is scaled such that I_i becomes negative when spawning stock biomass B_i is less than 20% (dotted horizontal line) of the unexploited biomass, $B_{i,0}$ (dashed vertical line).

$$I = \frac{1}{n} \sum_i \left(1 - \tau^{\frac{-B_{F,i}}{B_{0,i}} - 0.2} \right) \quad (1)$$

where τ is a parameter determining the sensitivity of I to depletion. $B_{F,i}$ is the spawner biomass of species i in the fished scenario and $B_{0,i}$ is the spawner biomass in the unfished scenario, and n is the total number of species. The parameter I is largest in undisturbed systems, that is when $B_F = B_0$ for all species, and thereby provides an index measure of ecological state; large values of I are interpreted in our framework as better ecological outcomes. Qualitative results concerning efficiency are robust towards changes in τ (Appendix G); we hereafter use $\tau = 100$.

Economic model

We additionally use a simple economic model to calculate the rent of the fisheries in the North Sea and the Baltic Sea (Andersen *et al.* 2015a), based on prices in the Danish fishery. The model calculates resource rent, r_i of the i th species as

$$r_i = \int_0^{W_{\infty,i}} Y_i(w)p(w)dw - C_i \quad (2)$$

where $p(w)$ is the price per weight, defined as $p(w) = a_p W^C$ and the cost is $C_i = a_c F_0 W_{\infty,i}^b$. Y_i is the yield and $W_{\infty,i}$ the asymptotic weight. The parameter a_c is scaled such that the fishery operation under the equilibrium used for fitting is marginally profitable (Figure E1).

Fishing

We model fishing assuming trawl selectivity for each species, where fish are gradually selected with a 50% selection at $0.1W_{\infty}$ for all species. We calculate the exploitation needed to reach maximum sustainable yield (F_{MSY}) for each species by iteratively changing the input fishing mortality until maximum yield is reached under equilibrium. The other species in the systems are fished with a constant mortality during this calculation. We test the impact of these simplifying assumptions by comparing the simulated F_{MSY} with the ones estimated in the stock assessments (Appendix D).

To estimate the efficiency frontiers, we model fishing as a combination of three fleets in each LME. The fleets target small, medium or large fish (see Table F1). The fleets correspond roughly to a ‘forage fishery’ (small, $W_{\infty} < 1500g$), a ‘pelagic

fishery' (medium, $1500 < W_{\infty} < 10\,000g$) and a 'demersal fishery' (large, $W_{\infty} > 10\,000g$) (Ander-
 sen *et al.* 2015a). By calculating all combinations
 of fishing mortalities in the three fleets (upper
 bound of $2F_{MSY,i}$), we characterize the trade-off
 spaces between total yield and I , and total rent
 (profit) and I across the ecosystems. The efficiency
 frontier for each set of objectives (yield-ecological
 indicator (I), profit-ecological indicator) is the set
 of equilibrium outcomes beyond which it is impos-
 sible to improve on one objective without regress-
 ing on the other. We use an equilibrium-based
 measure of efficiency instead of a transient mea-
 sure, because it is possible to transiently have
 combinations of yield or profit and ecosystem state
 that are impossible to achieve at equilibrium (be-
 cause they are unsustainable, e.g. when starting
 from a high abundance and employing a high
 fishing mortality). We find transient yield-ecosys-
 tem state combinations outside the equilibrium
 efficiency frontier in the Barents Sea, for example
 (Fig. 3). Defining efficiency in reference to these
 unsustainable outcomes would be misleading.

The efficiency of a particular fishing pattern is
 evaluated by comparing the outcomes it would
 produce with all other possible outcomes. Here, we
 present the fishing patterns that are Pareto effi-
 cient (Fig. 3). We also quantify hind-casted yields,
 profits and ecological indicator (I)-values from
 1980 to 2010 by simulating the ecosystems forced
 by observed fishing patterns (Fig. 3).

We measure trends in efficiency (with respect to
 conservation and yields or profits) by comparing:
 (i) the equilibrium state that would have resulted
 from the average fishing mortality from 1980 to
 1985 in perpetuity (the value is averaged in the
 beginning to avoid sensitivity to developing fish-
 eries at that time period) and (ii) the equilibrium
 state that would result from fishing mortalities in
 most recent management (year 2010) in perpetu-
 ity. Comparing these equilibrium states measures
 both the direction and magnitude of the trend in
 fishing patterns within the ecosystem state-yield/
 profit trade-off spaces (Fig. 3).

Results

Calibration

The calibrated models predict the average spawn-
 ing biomass distributions in the five LMEs accu-
 rately (Figures D1-5ab). The emergent growth

rates of individuals correspond closely to the obser-
 vations (Figures D1-5b), but with some exceptions,
 for example in the North Sea the modelled growth
 is marginally slower than observed growth (Fig-
 ure D7). Other observed rates (natural mortality
 and F_{MSY}) also show patterns close to the observed
 ones, although with some variation among the
 LMEs.

The temporal trends (both within and outside
 the calibrated time period) correspond strikingly
 well to the estimated biomass trend from the
 assessments, considering that the only external dri-
 ver is changes in fishing mortality (Figures C1-6).
 For some species, smaller species in particular, fluc-
 tuations are not fully captured in the models (see
 e.g. Benguela Current anchovy, *Engraulis capensis*,
 Engraulidae). This is to be expected as fluctuations
 in shorter lived species are driven partly by envi-
 ronmental variability that is not resolved by the
 model.

Yield and ecosystem state

We estimate that the fisheries in the North Sea,
 the Benguela Current and the Barents Sea LMEs
 were operating close to the efficiency frontier with
 respect to yield and ecological state (Fig. 3, a, c,
 d). Over the 1980–2010 period, changes in fishing
 patterns in each of the three LMEs led to a reduc-
 tion in long-term ecological impact by our mea-
 sure (I) at the expense of a decrease in long-term
 yield (Fig. 3). Fishing patterns in the North Sea
 and Barents Sea did not change in their average
 distance from the long-term efficiency frontier,
 whereas fishing patterns in the Benguela Current
 moved closer to the frontier – implying projected
 improvements in both yield and ecosystem state
 (I).

Conversely, fishery outcomes in the North East
 US Continental Shelf and the Baltic Sea were
 inefficient with respect to yield and ecological
 state. We project that these LMEs have potential
 to increase yield over twofold without negatively
 impacting ecological state (by our metric, I).
 They could also improve I significantly (from
 ≈ 0.55 to ≈ 0.90) without compromising yield.
 The increase in I in these two systems can be
 achieved by rebuilding stocks with lower
 exploitation rates than is employed in most
 recent year (Fig. 4). In the last year, considered
 all fleets (small, medium and large) are overfish-
 ing and cause some species to go below 20% of

Colour online, B&W in print

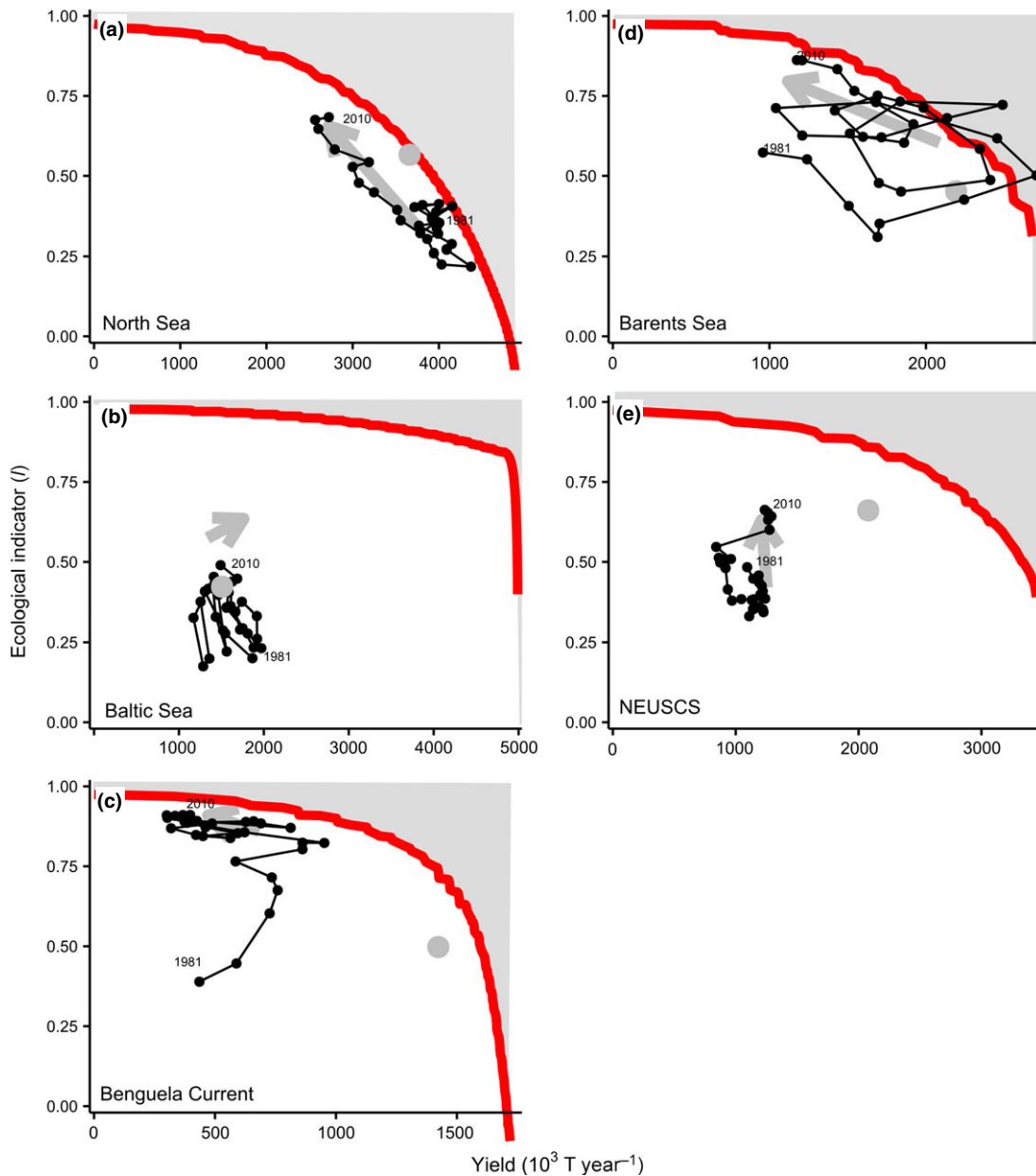


Figure 3 Yield and ecology state efficiency frontiers of five large marine ecosystems. The red line is the frontier and grey point represents all species fished at maximum sustainable yield for each species individually. The black line with dots shows the temporal movement of the systems (from 1980 to 2010). The grey arrow denotes the change in management from 1980–1985 to 2010 by calculating the equilibrium solutions using the average fishing mortalities from those years, respectively. Grey shaded area is the trade-off area that not attainable in the long term; systems may enter this area, but only in a transient.

the unfished spawning biomass which increasingly penalizes I . The observed temporal changes in fishing patterns in both systems would result in minor changes in equilibrium yield, with some improvement of ecological state in the NEUSCS (Fig. 3b, e).

The fishing mortality that leads to maximum sustainable yield for each species individually (single-species management) is only efficient with respect to yield and ecological state in the North Sea, although it is an improvement over the 2010 fishing pattern in the NEUSCS (Fig. 3).

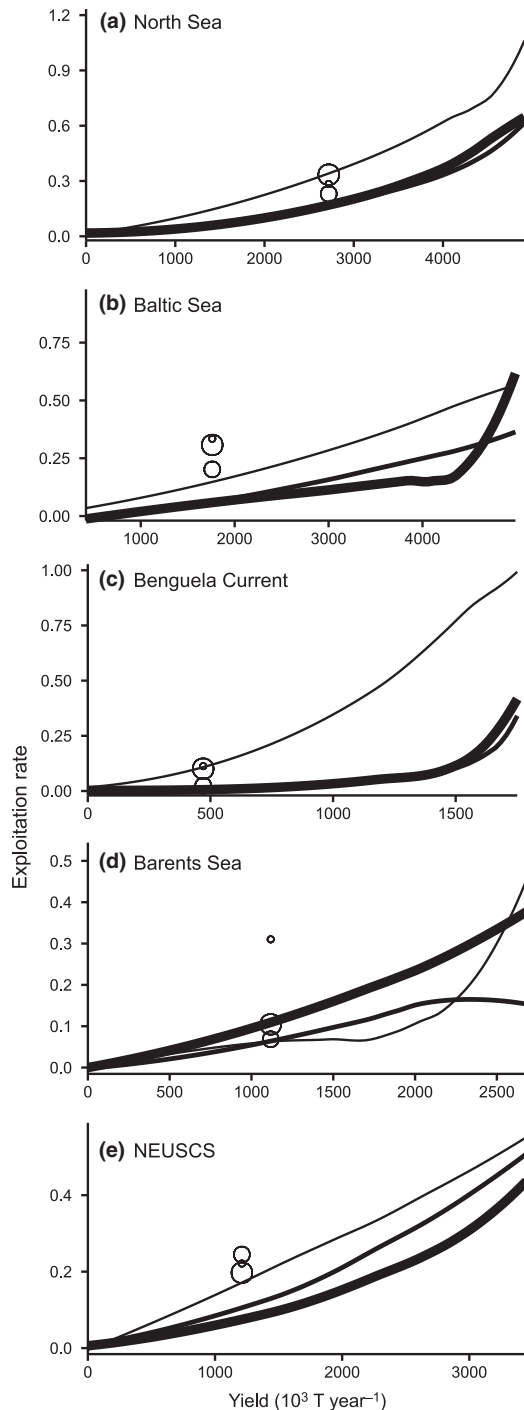


Figure 4 Exploitation rate (mean yield per biomass, yield/biomass, for small, large and medium species) at the efficiency frontiers as a function of yield (1 mill. metric tonnes per year). The lines are smoothed by a loess function. Line thickness indicates fleets targeting small, medium or large species. 2010 exploitation pressure and total yield in equilibrium is denoted by the open circles (small, medium, large, for small, medium and large fleets, respectively).

The exploitation patterns required to reach the efficiency frontier involve exploitation of all species included in the analysis (Fig. 4). The fishing pattern at the frontier varies among LMEs, particularly related to the exploitation of the small species: in most systems small species should be more highly exploited to reach the frontier. This is not the case in the Barents Sea, however, where the small species (capelin, *Mallotus villosus*, Osmeridae) is less tolerant to depletion, possibly due to being the dominant prey fish included in the model. The highest yields on the efficiency frontier in four of five systems (all except NEUSCS) are achieved by employing a high fishing mortality on the large species and utilizing the release of predation on smaller species, which increases their productivity.

All of the ecosystems could maintain their current yield and increase I by redistributing their exploitation patterns (Figs 3 and 4); or alternatively increase yield without further structural changes to the ecosystem (Fig. 3). The North Sea has the potential to move closer to the frontier with a slight increase in the exploitation of small fish and a slight decrease in the exploitation of large species. (Fig. 4a, circles vs. lines). Efficiency gains are achievable in the Baltic Sea and NEUSCS by decreasing exploitation of all three fleets which achieves the same total yield while increasing I (Fig. 4a and e). In the Benguela Current, yields could be kept constant with less effort directed towards large species. The Barents Sea has potential to increase I without compromising yield by lowering the fishing mortality of small species.

Economic rent and ecosystem state

In examining the efficiency frontiers for the North Sea and Baltic Sea with respect to economic rent instead of yield, we focus on the years 2000–2010, as the price data used for the model are from this decade (Fig. 5). We project that both systems have a scope for $\approx 30\%$ rent increase using a more rent-oriented distribution of fishing mortalities. This emphasizes the difference between maximizing biomass yields and economic yields: The North Sea was performing close to the yield-efficiency frontier in this time period, whereas the economy–efficiency frontier has ample scope for improvement. However, we also find evidence for steady improvement in the efficiency of the fishing

Colour online, B&W in print

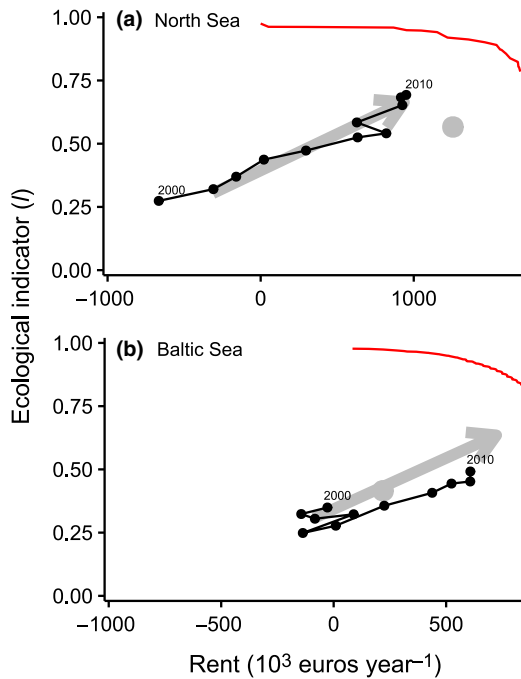


Figure 5 The economic efficiency frontier of the North Sea and the Baltic Sea. The red line is the efficiency frontier between 2000 and 2010. The grey arrow shows the average direction since year 2000; both systems have increased their total rent, while improving ecological state.

patterns in these LMEs over the last decade, which we predict to increase both their total rent as well and our indicator (I) of ecosystem state.

Single-species MSY management targets would not be efficient with respect to rent and ecosystem state in either of these two LMEs. In principle, this is not surprising: MSY management targets yield and neither profits nor ecosystem state *per se*. In a single-species model where $B_{MSY} < B_{MEY}$, MSY

management would also not be efficient with respect to profits and ecological state (by our measure, I). However, the degree of inefficiency of MSY management with respect to profits and I is noteworthy (Fig. 5), by showing a large potential for win–wins in both systems. MSY management is inefficient because less fishing effort is required to reach the economic frontier (Fig. 6) than the yield frontier (Fig. 4). An increase in fishing effort is additionally included in the cost function (eq. 2), and thus, the higher fishing mortality produces an increase in costs for fishing operations. This is similar to the single-species case (where generally $F_{MEY} < F_{MSY}$).

The fishing patterns leading to the efficiency frontier with respect to profits and ecosystem state in the Baltic Sea are surprisingly similar to the patterns needed to reach the yield–ecosystem state efficiency frontier (Fig. 6), but with more moderate exploitation rates. The efficient fishing patterns include fishing all three species (sprat (*Sprattus sprattus*, Clupeidae), herring (*Clupea harengus*, Clupeidae) and cod (*Gadus morhua*, Gadidae)) in the system. In the case of the North Sea, the profit–ecosystem state frontier is achieved by exploiting medium and large fish very moderately, while maintaining lower exploitation on the small species. As the larger fish get more exploited, there is also the possibility to gain profit from catching small fish (sprat, sandeel (*Ammodytes marinus*, Ammodytidae), Norway pout (*Trisopterus esmarkii*, Gadidae) and herring).

Discussion

Here, we demonstrate the utility of Pareto efficiency as a concept for navigating multi-objective

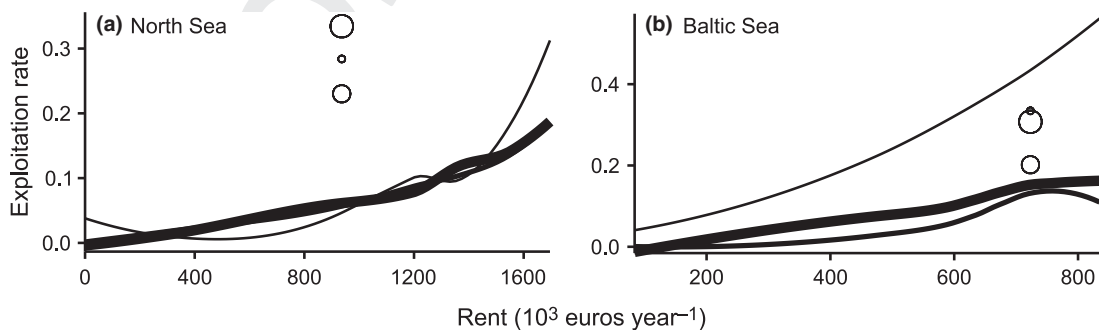


Figure 6 Exploitation rate (mean yield/biomass for small, large and medium species) used for the economic efficiency frontiers. Line thickness indicates fleets targeting small medium or large species. Circles indicate the equilibrium total yield of running 2010 exploitation (small, medium and large circle circumference denotes fleets of that size).

1 trade-offs in ecosystem-based fisheries manage-
2 ment. Efficiency frontiers can be directly applied to
3 investigate the long-term efficiency of fishing pat-
4 terns in aquatic ecosystems with respect to multi-
5 ple objectives in systems with interacting species.
6 We suggest that assessing Pareto efficiency with
7 respect to key objectives as an essential part of a
8 management strategy evaluation (Smith *et al.*
9 1999). Efficiency frontiers and trade-off analyses
10 are already widely used in this manner in both
11 terrestrial and marine spatial planning, for exam-
12 ple Polasky *et al.* (2008) and Rassweiler *et al.*
13 (2014).

14 We find positive trends over time in the ecosys-
15 tem-level efficiency of fisheries, with respect to our
16 measure of ecosystem state and both yield and
17 profits, in all of the LMEs examined. With respect
18 to yield and ecosystem state, ecosystem-level fish-
19 ing patterns have either moved closer to the effi-
20 ciency frontier (Baltic Sea, NEUSCS and Benguela
21 Current, Fig. 3) or moved along the frontier
22 towards better long-term ecosystem states and 20–
23 30% lower long-term yields (North Sea and Bar-
24 ents Sea, Fig. 3). The former LMEs therefore have
25 scope for further yield-ecosystem state win–wins,
26 as they have not yet reached the efficiency fron-
27 tier. We also find that the economic efficiency of
28 both the North Sea and the Baltic Sea has been
29 increasing over the last decade and now exhibits
30 positive rent on the ecosystem scale, albeit with
31 sizeable win–wins remaining.

32 Our results provide cause for optimism, like
33 other recent studies finding evidence of improve-
34 ments in the management of assessed stocks (Hil-
35 born and Ovando 2014), although certainly not
36 complacency. In particular, we find evidence for
37 sizeable profit-conservation win–wins in the North
38 Sea and Baltic Sea LMEs, which could be realized
39 by fishing less and redistributing fishing pressure
40 across species to better account for indirect effects
41 of fishing across species. This line of reasoning has
42 parallels to recent calls for more holistic fishing
43 patterns: (i) ‘balanced harvesting’ (e.g. Zhou *et al.*
44 2010; Garcia *et al.* 2012) – fishing all ecosystem
45 components in proportion to their productivity –
46 or (ii) protecting ‘forage fish’ to increase food web
47 stability and predator yields (Smith *et al.* 2011;
48 Pikitch *et al.* 2012; Essington and Munch 2014);
49 so it is worth briefly highlighting the nuances.

50 First, the fishing patterns required to reach the
51 efficiency frontier do not conform to a universal
52 balanced pattern (Figs 4 and 6), and the economic

analysis specifically targets some of issues related
to balanced harvesting by accounting for size
specific price differences (Burgess *et al.* 2015).
Balanced harvesting could perhaps be an improve-
ment from the status quo with respect to yield and
conservation (Jacobsen *et al.* 2014; Zhou *et al.*
2014). Second, in contrast to some calls for bal-
anced harvesting, we only analyse alternate fish-
ing patterns among already commercially
exploited species; thus, implementing recommen-
dations arising from our analyses would not nec-
essarily require a large change to the current
management system or fishing technologies (e.g.
Reid *et al.* 2016). Third, our models suggest in
some LMEs that efficiency can be improved by
slightly increasing exploitation on some forage fish
(e.g. in the North Sea or the economic frontier in
the Baltic Sea), in contrast to previous calls to
reduce fishing on forage fish (e.g. Smith *et al.*
2011). This discrepancy may be system-specific
and may in part be due to size-based models tak-
ing ontogenetic ecological changes (e.g. adult for-
age fish competing with juvenile predators, see
e.g. Jacobsen *et al.* (2015) and Essington and
Munch (2014)) into account that other ecosystem
models do not, discussed in more detail below; in
either case it merits further study. However, our
results are in agreement with both balanced har-
vesting studies and studies suggesting the protec-
tion of forage fish in the general suggestion of
adjusting ecosystem-level fishing patterns to better
account for ecologically driven externalities across
fisheries. Finally, we note that the cause for opti-
mism found here does not necessarily extend to all
exploited ecosystems. The examined sample is
heavily biased towards fully exploited, well-mana-
ged systems.

We find that single-species MSY management,
by failing to account for ecologically mediated
indirect effects of fishing, is likely to perform ineffi-
ciently with respect to yields, economic rents and
ecosystem impact. This is not a surprising result; it
is well-known that fishing has important indirect
effects in an ecosystem context, especially through
food chains (Frank *et al.* 2005; Walters *et al.*
2005; Andersen *et al.* 2015a). Forage fish stocks,
for example, provide significant biological and eco-
nomic supporting services to higher-trophic-level
fisheries (Smith *et al.* 2011; Pikitch *et al.* 2012;
Plaganyi and Essington 2014). Conversely, deple-
tion of species higher in the food chain can
increase the yields of prey fisheries through

1 predator release (Rice and Gislason 1996; Daan
2 *et al.* 2005; Matsuda and Abrams 2006).

3 4 5 **Moving towards the frontier**

6 Efficiency frontier analyses not only identify what
7 combinations of outcomes are possible, but also
8 provide specific suggestions for how to get there.
9 In our analysis, the direction of change in the fish-
10 ing pattern projected to promote efficiency can be
11 derived from Figs 4 and 6 (for yields and ecosys-
12 tem impact, and economic rents and ecosystem
13 impact, respectively). For example, our results sug-
14 gest that efficiency could be increased in the North
15 Sea and Baltic Sea, with respect to economic rents
16 and ecosystem impact, by reducing fishing pres-
17 sure on most stocks. In the Baltic Sea, economic
18 efficiency is obtained with exploitation relatively
19 higher on sprat than on other species, as sprat
20 can interact with younger life stages of cod (a
21 commercially valuable stock) through competition
22 and predation (Van Leeuwen *et al.* 2008; Köster
23 *et al.* 2009).

24 Because the recommendations of efficiency fron-
25 tier analyses are almost always derived from mod-
26 els, it is also important to consider implementation
27 challenges that are unaccounted for (and also to
28 subject the recommendations to scrutiny from
29 other lines of evidence). For example, in Polasky
30 *et al.*'s (2008) analysis of land use for biodiversity
31 and economic returns, many of the efficient land-
32 use patterns would require moving large residen-
33 tial areas and other drastic and likely infeasible
34 interventions. Often the practical utility of the effi-
35 ciency frontier analysis is demonstrating the mere
36 existence of win–wins and the general direction
37 management needs to move in to realize them
38 (which can motivate policymakers and stakehold-
39 ers), rather than providing an accurate estimate of
40 the magnitude of what can be realistically
41 achieved. In our analysis, the notion of increasing
42 fishing pressure on Baltic Sea sprat, for example,
43 could be both scientifically and politically con-
44 tentious, given that it is currently estimated (by
45 single-species assessments) to be experiencing mild
46 overfishing (although not overfished). Thus, this
47 recommendation would likely (and rightly) be sub-
48 jected to rigorous scrutiny and debate before being
49 implemented. The recommendation to reduce fish-
50 ing pressure on other stocks would likely be less
51 scientifically contentious but could nonetheless
52 face political barriers (Österblom *et al.* 2010).

Charles *et al.* (2015) and Reid *et al.* (2016) discuss
similar implementation challenges in more detail
in the context of implementing balanced harvest-
ing. In general, implementing changes to ecosys-
tem-level fishing patterns could face myriad
technological challenges (especially in multispecies
fisheries with non-selective gears) and institutional
challenges, which merit consideration.

11 **Models and calibration**

12 The results should be interpreted in light of the sim-
13 plifying assumptions within the model: (i) feeding
14 interactions are determined by individual size only
15 and not by species-specific preferences. The remark-
16 ably good performance of the calibrated model con-
17 firms that this assumption captures the major part
18 of the actual interactions (Figure C1–C6). (ii) The
19 models only resolves assessed stocks within a LME
20 and thereby does not represent rare and potentially
21 vulnerable species such as elasmobranchs captured
22 as by-catch or in mixed fisheries (Stevens *et al.*
23 2000), which are of little commercial interest.
24 These species are therefore not part of the ecologi-
25 cal indicator and have to be considered separately;
26 (iii) the bioeconomic model is calibrated such that
27 the rent in the equilibrium state in the North Sea is
28 close to zero following Andersen *et al.* (2015a).
29 This calibration procedure does not give a precise
30 estimate of the economic rent of the two systems,
31 but it does not influence the direction and the dis-
32 tance to the economic frontier. The models applied
33 here should be perceived as 'strategic ecosystem
34 models' that aid in the long-term development of
35 fishing patterns in ecosystems and act as a supple-
36 ment to tactical assessment models (Collie *et al.*
37 2014).

38 **Applications and conclusions**

39 The implementation of ecosystem-based fisheries
40 management has been discussed for decades, but
41 it is evident that the path to get there is difficult
42 (Skern-Mauritzen *et al.* 2015). One of the crucial
43 steps to implementing EBFM is developing strate-
44 gies that consider trophic interactions, climate and
45 human impacts from a tactical perspective (Collie
46 *et al.* 2014; Plagányi *et al.* 2014). Instead of
47 proposing a strategy *a priori* that should guide
48 fisheries management efficiently, the methods pre-
49 sented here provide a framework to investigate
50 which strategies optimize desired objectives and

what the associated trade-offs are. All objectives cannot be optimized simultaneously, as some objectives will be inherently conflicting (Link 2002; Andersen et al. 2015a).

We suggest using Pareto efficiency as a concept to guide management of exploited populations with conflicting objectives. The framework presented here emphasizes that the challenge of weighing objectives against one another does not have to impede consensus or progress as long as win-wins exist. In many of the cases in which the Pareto framework has been used – here included – available win-wins have been found to be common.

Acknowledgements

NSJ and KHA are funded by the Centre for Ocean Life: A Villum Kann Rasmussen Centre of Excellence funded by the Villum Foundation. KHA is further supported by the BIOC3 EU FP7 project. MGB is supported by the Waitt Foundation and the Ocean Conservancy. We thank Cody Szuwalski for comments on an early version of the paper. Model calibrations and R code are available upon request.

References

- Andersen, K.H., Brander, K. and Ravn-Jonsen, L. (2015a) Trade-offs between objectives for ecosystem management of fisheries. *Ecological Applications* **25**, 1390–1396.
- Andersen, K.H., Jacobsen, N.S. and Farnsworth, K.D. (2015b) The theoretical foundations for size spectrum models of fish communities. *Canadian Journal of Fisheries and Aquatic Science*, ???, ???–??? in review.
- Brown, J.H., Gillooly, J.F., Allen, A.P., Savage, V.M. and West, G.B. (2004) Toward a metabolic theory of ecology. *Ecology* **85**, 1771–1789.
- Burgess, M.G., Diekert, F.K., Jacobsen, N.S., Andersen, K.H. and Gaines, S.D. (2015) Remaining questions in the case for balanced harvesting. *Fish and Fisheries*, ???, ???–??? n/a–n/a.
- Cardinale, B.J., Duffy, J.E., Gonzalez, A. et al. (2012) Corrigendum: Biodiversity loss and its impact on humanity. *Nature* **489**, 326–326.
- Carpenter, S.R., Mooney, H. A., Agard, J. et al. (2009) Science for managing ecosystem services: Beyond the Millennium Ecosystem Assessment. *Proceedings of the National Academy of Sciences of the United States of America* **106**, 1305–1312.
- Charles, A., Garcia, S.M. and Rice, J.C. (2015) Balanced harvesting in fisheries: economic considerations. *ICES Journal of Marine Science* **69**, 380–388.
- Cheung, W.W.L. and Sumaila, U.R. (2008) Trade-offs between conservation and socio-economic objectives in managing a tropical marine ecosystem. *Ecological Economics* **66**, 193–210.
- Collie, J.S., Botsford, L.W., Hastings, A. et al. (2014) Ecosystem models for fisheries management: finding the sweet spot. *Fish and Fisheries* ???, 1–25.
- Daan, N., Gislason, H., Pope, J.G. and Rice, J.C. (2005) Changes in the North Sea fish community: evidence of indirect effects of fishing? *ICES Journal of Marine Science: Journal du Conseil* **62**, 177–188.
- Essington, T. and Munch, S. (2014) Trade-offs between supportive and provisioning ecosystem services of forage species in marine food webs. *Ecological Applications* **24**, 1543–1557.
- Frank, K.T., Petrie, B., Choi, J.S. and Leggett, W.C. (2005) Trophic Cascades in a Formerly Cod-Dominated Ecosystem. *Science* **308**, 1621–1623.
- Garcia, S.M., Kolding, J., Rice, J. et al. (2012) Reconsidering the Consequences of Selective Fisheries. *Science* **335**, 1045–1047.
- Halpern, B.S., Klein, C.J., Brown, C.J. et al. (2013) Achieving the triple bottom line in the face of inherent trade-offs among social equity, economic return, and conservation. *Proceedings of the National Academy of Sciences of the United States of America* **110**, 6229–6234.
- Hartvig, M., Andersen, K.H. and Beyer, J.E. (2011) Food web framework for size-structured populations. *Journal of Theoretical Biology* **272**, 113–122.
- Hilborn, R. and Ovando, D. (2014) Reflections on the success of traditional fisheries management. *ICES Journal of Marine Science* **71**, 1040–1046.
- Hilborn, R., Fulton, E.A., Green, B.S., Hartmann, K., Tracey, S.R. and Watson, R.A. (2015) When is a fishery sustainable? ????? **9**, 1–9.
- Jacobsen, N.S., Gislason, H. and Andersen, K.H. (2014) The consequences of balanced harvesting of fish communities. *Proceedings. Biological sciences/The Royal Society* **281**, 20132701.
- Jacobsen, N.S., Essington, T.E. and Andersen, K.H. (2015) Comparing model predictions for ecosystem based management. *Canadian Journal of Fisheries and Aquatic Sciences*. ???, ???–???.
- Köster, F.W., Vinther, M., Mackenzie, B.R., Eero, M. and Plikshs, M. (2009) Environmental Effects on Recruitment and Implications for Biological Reference Points of Eastern Baltic Cod (*Gadus morhua*). *Journal of Northwest Atlantic Fishery Science* **41**, 205–220.
- Lester, S.E., McLeod, K.L., Tallis, H. et al. (2010) Science in support of ecosystem-based management for the US West Coast and beyond. *Biological Conservation* **143**, 576–587.
- Lester, S.E., Costello, C., Halpern, B.S., Gaines, S.D., White, C. and Barth, J.A. (2013) Evaluating tradeoffs among ecosystem services to inform marine spatial planning. *Marine Policy* **38**, 80–89.

- 1 Link, J.J.S. (2002) What does ecosystem-based fisheries
2 management mean. *Fisheries (Bethesda)* **27**, 18–21.
- 3 Matsuda, H. and Abrams, P.A. (2006) Maximal Yields
4 from Multispecies Fisheries Systems : Rules for Systems
5 with Multiple Trophic Levels. *America* **16**, 225–237.
- 6 Odum, E.P., Odum, H.T. and Andrews, J. (1971) *Funda-*
7 *mentals of Ecology*, Vol. **3**. Saunders, Philadelphia.
- 8 Österblom, H., Gårdmark, A., Bergström, L. et al. (2010)
9 Making the ecosystem approach operational-Can
10 regime shifts in ecological- and governance systems
11 facilitate the transition? *Marine Policy* **34**, 1290–1299.
- 12 Patrick, W.S. and Link, J.S. (2015) Hidden in plain sight:
13 Using optimum yield as a policy framework to opera-
14 tionalize ecosystem-based fisheries management. *Mar-*
15 *ine Policy* **62**, 74–81.
- 16 Pikitch, E., Santora, E., Babcock, A. et al. (2004) Ecosys-
17 tem-based fishery management. *Science (New York,*
18 *N.Y.)* **305**, 346–347.
- 19 Pikitch, E.K., Rountos, K.J., Essington, T.E. et al. (2012)
20 The global contribution of forage fish to marine fish-
21 eries and ecosystems. *Fish and Fisheries* ???, ???–???.
22 **11**
- 23 Plagányi, E.E. and Essington, T.E. (2014) When the
24 SURFs up, forage fish are key. *Fisheries Research* **159**,
25 68–74.
- 26 Plagányi, É.E., Punt, A.E., Hillary, R. et al. (2014) Mul-
27 tispecies fisheries management and conservation: tacti-
28 cal applications using models of intermediate
29 complexity. *Fish and Fisheries* **15**, 1–22.
- 30 Polasky, S., Nelson, E., Lonsdorf, E., Fackler, P. and Star-
31 field, A. (2005) Conserving species in a working land-
32 scape: land use with biological and economic
33 objectives. *Ecological Society of America* **15**, 1387–
34 1401.
- 35 Polasky, S., Nelson, E., Camm, J. et al. (2008) Where to
36 put things? Spatial land management to sustain biodi-
37 versity and economic returns. *Biological Conservation*
38 **141**, 1505–1524.
- 39 Rassweiler, A., Costello, C., Hilborn, R. and Siegel, D. A.
40 (2014) Integrating scientific guidance into marine spa-
41 tial planning Integrating scientific guidance into mar-
42 ine spatial planning. ??? ???? ????–???.
43 **12**
- 44 Reid, D.G., Graham, N., Suuronen, P., He, P. and Pol, M.
45 (2016) Implementing balanced harvesting: practical
46 challenges and other implications. *ICES Journal of Mar-*
47 *ine Science* ???, ???–???.
48 **13**
- 49 Ricard, D., Minto, C., Jensen, O.P. and Baum, J.K. (2011)
50 Examining the knowledge base and status of commer-
51 cially exploited marine species with the RAM Legacy
52 Stock Assessment Database. *Fish and Fisheries* ???,
???–??? no–no.
14
- Rice, J. and Duplisea, D. (2014) Management of fisheries
on forage species: the test-bed for ecosystem
approaches to fisheries. *ICES Journal of Marine Science*
71, 143–152.
- Rice, J. and Gislason, H. (1996) Patterns of change in
the size spectra of numbers and diversity of the North
Sea fish assemblages, as reflected in surveys and mod-
els. *ICES Journal of Marine Science* **53**, 1214–1225.
- Skern-Mauritzen, M., Ottersen, G., Handegard, N.O. et al.
(2015) Ecosystem processes are rarely included in tac-
tical fisheries management. *Fish and Fisheries* ???,
???–??? n/a–n/a. **15**
- Smith, A.D., Sainsbury, K.J. and Stevens, R.A. (1999)
Implementing effective fisheries-management systems –
management strategy evaluation and the Australian
partnership approach. ???, ???, 967–979. **16**
- Smith, A.D.M., Brown, C.J., Bulman, C.M. et al. (2011)
Impacts of fishing low-trophic level species on marine
ecosystems. *Science (New York, N.Y.)* **333**, 1147–1150.
- Stevens, J.D., Bonfil, R., Dulvy, N.K. and Walker, P.A.
(2000) The effects of fishing on sharks, rays, and chi-
maeras (chondrichthyans), and the implications for
marine ecosystems. *ICES Journal of Marine Science: Jour-*
nal du Conseil **57**, 476–494.
- Ursin, E. (1973) On the prey size preferences of cod and
dab. *Meddelelser fra Danmarks Fiskeri- og Havun-*
dersøgelser **7**, 85–98.
- Van Leeuwen, A., De Roos, A.M. and Persson, L. (2008)
How cod shapes its world. *Journal of Sea Research* **60**,
89–104.
- Walters, C.J., Christensen, V., Martell, S.J. and Kitchell,
J.F. (2005) Possible ecosystem impacts of applying
MSY policies from single-species assessment. *ICES Jour-*
nal of Marine Science **62**, 558–568.
- White, C., Halpern, B.S. and Kappel, C.V. (2012) Ecosys-
tem service tradeoff analysis reveals the value of mar-
ine spatial planning for multiple ocean uses.
Proceedings of the National Academy of Sciences **109**,
4696–4701.
- Zhou, S., Smith, A.D.M., Punt, A.E. et al. (2010) Ecosys-
tem-based fisheries management requires a change to
the selective fishing philosophy. *Proceedings of the*
National Academy of Science U.S.A. **107**, 9485–9489.
- Zhou, S., Smith, A.D. and Knudsen, E.E. (2014) Ending
overfishing while catching more fish. *Fish and Fisheries*
???, ???–???, n/a–n/a. **17**

Supporting Information

Additional Supporting Information may be found in the online version of this article:

Appendix S1. Content

Table A1. List of parameters. *see Appendix B.

Figure C1. Temporal spawner biomass (metric tons) from the North Sea.

Figure C2. Temporal spawner biomass (metric tons) from the Baltic Sea.

Figure C3. Temporal spawner biomass (metric tons) from the Benguela Current.

Figure C4. Temporal spawner biomass (metric tons) from the Barents Sea.

1 **Figure C5.** Temporal spawner biomass (metric
2 tons) from the North East US Continental Shelf
3 (see remaining species In Figure A6).

4 **Figure C6.** Temporal spawner biomass (metric
5 tons) from the North East US Continental Shelf.

6 **Figure D1.** North Sea calibration verification
7 under equilibrium.

8 **Figure D2.** Baltic Sea Calibration. (a–l) see Fig-
9 ure D1 caption.

10 **Figure D3.** Benguela Current calibration. (a–l)
11 see Figure D1 caption.

Figure D4. Barents Sea calibration. (a–l) see
Figure D1 caption.

Figure D5. North East US Continental Shelf cal-
ibration. (a–l) see Figure D1 caption.

Figure E1. The profit divided by the cost as a
function of asymptotic weight under the equilib-
rium calibrations. (a) The North Sea, (b) The Bal-
tic Sea.

Figure G1. Sensitivity of the yield-ecology effi-
ciency frontiers to changes in τ (both axes scaled
to 1).

18

Author Query Form

Journal: FAF
Article: 12171

Dear Author,

During the copy-editing of your paper, the following queries arose. Please respond to these by marking up your proofs with the necessary changes/additions. Please write your answers on the query sheet if there is insufficient space on the page proofs. Please write clearly and follow the conventions shown on the attached corrections sheet. If returning the proof by fax do not write too close to the paper's edge. Please remember that illegible mark-ups may delay publication.

Many thanks for your assistance.

Query reference	Query	Remarks
1	AUTHOR: Two article title has been presented in author file. Please check and approve whether we have followed correct one.	
2	AUTHOR: Please confirm that given names (red) and surnames/family names (green) have been identified correctly.	
3	AUTHOR: Please provide fax number for corresponding author and also check the corresponding author details.	
4	AUTHOR: The phrases "North East US Continental Shelf" and "Northeast US Continental Shelf" have been used inconsistently throughout the article. Kindly suggest which has to be followed.	
5	AUTHOR: The term 'F.i', 'O.i', ∞.i, and i.0 has been changed to 'F,i', 'O,i', ∞,i and i,0. Please check and correct if necessary.	
6	AUTHOR: Please provide the volume number, page range for reference Andersen et al. (2015b).	
7	AUTHOR: Please provide the volume number, page range for reference Burgess et al. (2015).	
8	AUTHOR: Please provide the volume number for reference Collie et al. (2014).	
9	AUTHOR: Please provide the journal title for reference Hilborn et al. (2015).	
10	AUTHOR: Please provide the volume number, page range for reference Jacobsen et al. (2015).	
11	AUTHOR: Please provide the volume number, page range for reference Pikitch et al. (2012).	

12	AUTHOR: Please provide the journal title, volume number, page range for reference Rassweiler et al. (2014).	
13	AUTHOR: Please provide the volume number, page range for reference Reid et al. (2016).	
14	AUTHOR: Please provide the volume number, page range for reference Ricard et al. (2011).	
15	AUTHOR: Please provide the volume number, page range for reference Skern-Mauritzen et al. (2015).	
16	AUTHOR: Please provide the journal title, volume number for reference Smith et al. (1999).	
17	AUTHOR: Please provide the volume number, page range for reference Zhou et al. (2014).	
18	AUTHOR: Supplementary Material/Supporting Information has been supplied with this paper. Please check the legends to ensure they are correct.	