

1 **Title:** Something strange in the neighborhood: Diverging signals in stock assessment data
2 for Northeast U.S. fish stocks.

3

4 **Abstract**

5 In the Northeast U.S., many stock assessments have a history of problematic
6 model diagnostics, with multiple age-based assessments recently being rejected in the
7 peer review process, and are not suitable for management advice. The role in which
8 diverging signals in the coastwide bottom trawl survey may be contributing to assessment
9 problems was explored here for 18 stocks in the region. Specifically, trends in total
10 mortality (Z) estimated from catch curve analysis and a relative measure of the harvest
11 rate (total catch / survey index; called relative F) were evaluated. Across stocks, relative
12 F has declined over time, on average, since the mid 1990s, yet Z has not for many stocks.
13 Weak positive or even negative correlations between relative F and Z resulted for 13
14 stocks. This diverging signal appears to be contributing to assessment model
15 performance, as larger retrospective patterns (a measure of assessment uncertainty)
16 occurred for stocks with negative correlations between relative F and Z . While a variety
17 of mechanisms could be involved in these diverging signals, the available evidence
18 suggests that unreported catch and / or increasing natural mortality likely play a role to
19 varying degrees for each stock.

20

21 **Keywords:** stock assessment, retrospective pattern, groundfish, climate change,
22 predation, misreported catch

23

24 **Introduction**

25 Modern fisheries management typically relies on data-intensive stock assessment
26 models to estimate current population size and management reference points. Age-based
27 assessment models are commonly used when possible to account for interannual
28 variability in cohort strength and growth, as well as size-selective removals by the
29 fishery. Such models are fit to various data sources, including indices of abundance that
30 provide trends in relative abundance over time, and catch-at-age data that provides
31 information on the magnitude of different cohorts and on how quickly those cohorts
32 disappear. A number of assumptions must be made within the assessment model to
33 account for unobserved processes such as rate of natural mortality (M), but also to link
34 the model to the data (e.g., assuming the index of abundance is proportional to overall
35 abundance). Problems can arise when model assumptions are violated or when there are
36 diverging signals in the data, which can lead to biased model estimates and the
37 subsequent over- or under-exploitation of the resource (Kraak et al., 2009; Maunder and
38 Piner, 2015; Van Beveren et al., 2017).

39 In the Northeast U.S., there exists a considerable amount of data for inclusion in
40 stock assessments. The Northeast Fisheries Science Center (NEFSC) has conducted a
41 biannual bottom trawl survey in the spring and fall each year since 1968 and 1963,
42 respectively, covering the continental shelf from Cape Hatteras, NC to the Gulf of Maine
43 (Reid et al., 1999). Additional surveys of inshore waters are operated annually by many
44 of the states in the region. These surveys, combined with the coastwide NEFSC surveys
45 provide fishery-independent information on trends in relative abundance. It is therefore
46 not surprising that of the eight Regional Management Councils in the U.S., the New

47 England and Mid-Atlantic Fishery Management Councils (NEFMC and MAFMC,
48 respectively) that manage Northeast U.S. fish stocks in federal waters have the highest
49 proportion of catch limits based on data-rich methods (Newman et al., 2015).

50 Despite the wealth of information in the region, many age-based assessments have
51 a history of problematic model diagnostics, including temporal patterns in the residuals of
52 model fits to the data, as well as strong “retrospective patterns” (e.g., NEFSC, 2008). A
53 retrospective pattern occurs when an assessment model consistently over- or
54 underestimates historical population abundance (and other quantities) with every
55 additional year of data added to the model and is indicative of some inconsistencies
56 between the model assumptions and signals in the data, or of divergences among data
57 sources within the model (Mohn, 1999). With a positive retrospective pattern in
58 abundance (typically total or spawning biomass), historical estimates of abundance are
59 overestimated (i.e., positively biased), and get revised downward as new information is
60 added to the model. In negative retrospective patterns, historical estimates of abundance
61 are underestimated, and get revised upward with new information in the model.
62 Throughout this paper we refer to the sign of retrospective patterns in abundance only. In
63 the Northeast U.S., many stocks have a history of positive retrospective patterns (NEFSC,
64 2002; 2005; 2008; Deroba et al., 2010; Brooks and Legault, 2016). In some cases, this
65 retrospective bias has been considerable, as it was found that across fifteen stocks in the
66 New England multispecies groundfish complex, nine had an average positive
67 retrospective bias greater than 50% across assessments since 2002, with three of those
68 having a bias greater than 100% across repeated assessments (Wiedenmann and Jensen,
69 2018).

70 It has been shown through simulation studies that retrospective patterns are not
71 necessarily reflective of the direction of estimation error (Legault, 2009; Hurtado et al.,
72 2015), but strong patterns, positive or negative, can lead to a lack of confidence in the
73 model results, leading to rejection of the model as a basis for management advice (Punt et
74 al., 2020). In the Northeast U.S., a few stocks with a history of age-based stock
75 assessments have had recent assessments rejected in the peer review process. These
76 stocks include Atlantic mackerel (*Scomber scombrus*), Georges Bank (GB) yellowtail
77 flounder (*Limanda ferruginea*), GB cod (*Gadus morhua*), witch flounder
78 (*Glyptocephalus cynoglossus*), and Gulf of Maine (GOM) winter flounder
79 (*Pseudopleuronectes americanus*), whose assessments were rejected largely due to
80 strong, positive retrospective patterns (Deroba et al., 2010; NEFSC, 2011; Legault et al.,
81 2014; NEFSC, 2015b; NEFSC, 2017a; Punt et al., 2020). An updated assessment for
82 mackerel has since passed peer-review (NEFSC, 2018), while the other stocks remain
83 without approved age-based assessment estimates of abundance and reference points.
84 The retrospective pattern is worsening for many other groundfish stocks (NEFSC,
85 2017b), leading to concerns that future assessments for these stocks might also be
86 rejected.

87 Positive retrospective patterns can lead to other management problems beyond
88 rejected assessments. When final year abundance in the assessment is overestimated in
89 the model, catch advice based on these estimates is also overestimated (Brooks and
90 Legault, 2016), which can lead to overfishing. For some New England groundfish
91 stocks, positive retrospective pattern resulted in continued overfishing, and these stocks
92 remain at low biomass (overfished) despite efforts to rebuild them (Wiedenmann and

93 Jensen, 2018). The current approach in the Northeast U.S. for dealing with retrospective
94 patterns is to adjust the model estimate of abundance in the final year based on the
95 average retrospective bias over the last five to seven years (called a rho adjustment;
96 Legault, 2020). However, this adjustment is not always sufficient to prevent overfishing
97 (Wiedenmann and Jensen, 2019), and does not help identify what is causing the
98 retrospective pattern.

99 The underlying mechanism(s) causing retrospective bias remains unclear.
100 Mechanisms shown to result in strong, positive retrospective patterns in biomass
101 estimates include unreported catch, increased natural mortality (M), establishment of
102 closed areas, changes in survey catchability (Legault, 2009), or fishery selectivity
103 (Hurtado-Ferro et al., 2015). Diagnosing the underlying cause(s) of a retrospective
104 pattern is of great importance, and generally requires an exploration into the signals in the
105 data going into an assessment, as opposed to looking at assessment estimates themselves
106 due to the potential biases in estimates from the retrospective pattern (ICES, 2020).
107 Standard assumptions in most of the current assessments in the region are that 1) survey
108 catchability is constant through time, 2) catch data are unbiased, and 3) M is constant
109 through time. Several assessments have explored changes in these assumptions as a
110 means of addressing the retrospective pattern (NEFSC, 2008; Legault et al., 2014;
111 NEFSC, 2017a), but such changes have ultimately been discarded or were never used in
112 the final assessments. The exception is GOM cod, which has two accepted model
113 formulations; one with a fixed $M=0.2$ and one with an assumed increase in M through
114 time (from 0.2 to 0.4 between 1988 and 2003; NEFSC, 2015b; 2017b).

115 If survey catchability is constant and catch data are unbiased, annual estimates of
116 the total catch divided by the survey index of abundance are an unbiased measure of
117 relative fishing intensity (herein called relative F ; Sinclair, 1998). Higher values of
118 relative F in certain periods are therefore indicative of higher exploitation rates, and vice-
119 versa. If M is constant through time, then trends in relative F should be positively
120 correlated with trends in total mortality (Z ; where $Z = F + M$), which can be estimated
121 using catch-at-age data from a survey or fishery via catch curve analysis (Sinclair, 2001).
122 A lack of a correlation or a negative correlation between these two variables could
123 indicate a violation of one or more of common assessment assumptions listed above, and
124 could result in a retrospective pattern.

125 As an example, the stock assessment with arguably the worst retrospective pattern
126 in the region is GB yellowtail flounder (Figure 1). In the mid 1990s, GB yellowtail
127 exhibited a sharp decline in relative F but Z estimated from the survey has remained
128 stable, rather than declining, throughout the time period (Figure 1 here; also see Legault
129 and McCurdy, 2017). This disconnect in data signals given the current model
130 assumptions (1-3 above) may be contributing to the strong retrospective patterns
131 observed over time for this stock (Figure 1). Given that many stocks in the region have
132 strong, positive retrospective patterns, it is possible that this discrepancy between relative
133 F and Z exists for other stocks in the region. In this paper, the relationship between
134 relative F and Z was evaluated across stocks in the Northeast U.S. to see if this
135 discrepancy exists for other stocks, and how it relates to the magnitude of the
136 retrospective pattern observed for each stock. Potential mechanisms driving the

137 discrepancies, where found, are then discussed with the evidence supporting or refuting
138 each mechanism.

139

140 **Methods**

141 Eighteen stocks in the region were included in this analysis (Table 1). The
142 NEFMC is responsible for management of 15 of these stocks, with 14 part of the same
143 multispecies Fishery Management Plan (FMP) of benthic / demersal groundfish, and the
144 other a pelagic stock (Atlantic herring; *Clupea harengus*) part of its own FMP. The
145 MAFMC is responsible for managing the remaining 3 stocks, with two benthic / demersal
146 stocks (scup (*Stenotomus chrysops*) and summer flounder (*Paralichthys dentatus*)) in the
147 same FMP, and one pelagic stock (Atlantic mackerel) in a separate FMP.

148

149 *Data sources*

150 For each stock, relative F was calculated using catch and survey data and total
151 mortality (Z) was estimated using catch curve analysis of survey data. Total catch is
152 comprised of landings, derived from dealer reports, and discards, which are estimated
153 based on observer data. For the catch curve analysis (described in detail below),
154 numerical abundance-at-age data were used from both the NMFS spring and fall bottom
155 trawl surveys. Inshore surveys from states throughout the region collect many of the
156 species included in this analysis, but they generally collect mostly younger fish. The lack
157 of older fish in these surveys limits the ability to conduct catch curve analysis, so inshore
158 surveys were excluded from the analysis. To calculate relative F for each stock, annual
159 estimates of the total catch (landings + discards, in weight) were obtained from stock

160 assessment reports and the average annual indices of abundance were obtained from the
161 spring and fall survey datasets (both in mean numbers per tow and kg per tow). Although
162 the survey extends back to the 1960s, only catch and survey data from 1978 onward were
163 used. Prior to the Magnuson Act, foreign vessels caught large amounts of groundfish and
164 other stocks in the region. The magnitude of these catches is uncertain and generally
165 assumed to be a lower bound (Anderson, 2015), and such high total catches had the
166 potential to skew the range of relative F values. For some stocks, however, total catch
167 estimates were only available starting after 1978, particularly for stocks with large
168 recreational components (where estimates started in 1982). The time period of this
169 analysis was therefore restricted to either 1978 or the first year total catch data were
170 available (Table 1).

171 Beginning in 2009, the NMFS bottom trawl surveys were conducted with a new
172 vessel, the NOAA ship *Henry B. Bigelow*, which uses a different net and protocols from
173 the previous survey vessel (the *Albatross*). Prior to retiring the previous survey vessel, a
174 large-scale study was conducted using both vessels to calculate size and species-specific
175 conversion factors to account for these differences (Miller et al., 2010). For years 2009-
176 onward the standardized survey estimates were used.

177

178 *Estimating Z: Catch curve analysis*

179 In catch curve analysis, the total mortality rate in a given cohort can be calculated
180 as the inverse slope of log-transformed abundance against age for fully-selected age
181 classes. When using fishery-independent data, catch curve analysis assumes mortality
182 has not changed over time across cohorts, and that availability to the sampling gear is

183 unchanged across years. When using fishery-dependent data, there are additional
184 assumptions that fishing effort and selectivity are the same across years. Total mortality
185 was calculated from the fisheries-independent survey data using a catch curve analysis
186 developed by Sinclair (2001) that accounts for differences in year class strength by
187 pooling multiple years of data together. The formula used is

$$188 \quad (1) \quad \log(N_{a,y})=b_0+b_1Y+b_2A+\varepsilon,$$

189 where $N_{a,y}$ is the stratified mean catch per age a in year y , Y is a class variable that
190 indicates the year class, A is the covariate age, b_1 is a parameter vector of separate
191 intercepts for each year class, and b_2 is the estimated total mortality for the time period
192 (i.e., $Z_y = -b_2$). Four year moving windows of data were used by Sinclair (2001), such
193 that the estimate of Z is an average for that time period, centered at the midpoint year
194 (e.g., 2004.5 for years 2003-2006). Four years of data were used in this analysis, but
195 three- and five-year windows were also explored with little differences found in the
196 overall results. A range of ages were explored for each stock and for each survey, with
197 age bounds selected that resulted in unbiased residuals in the youngest and oldest ages
198 following the approach of Sinclair (2001; see Table 1 for age ranges). The approach to
199 determine the age ranges was used to account for the fully-selected ages, and for the low
200 catches of older ages. Annual Z values were calculated separately over the four-year
201 intervals for both the spring and fall NMFS bottom trawl surveys, except for mackerel
202 where only the spring survey was used. Annual estimates of Z are not independent from
203 one another, as the four-year moving window approach uses some of the same years of
204 data to calculate Z between successive years. For example, the Z estimates for a stock
205 during the periods 2000-2003 and 2001-2004 both use data from 2001-2003. Therefore,

206 it is not possible to conduct standard statistical tests that assume independence, and
207 subsequent analysis of trends and patterns in Z estimates is largely descriptive. While it
208 is possible to calculate Z for non-overlapping time periods, in some cases there was
209 considerable variability in Z estimates between sequential periods with only one year of
210 different data. Therefore, overall trends in Z for some stocks could be even more
211 sensitive to the specific non-overlapping periods selected, so the moving window
212 approach with overlapping periods was used to estimate Z .

213

214 *Estimating relative F*

215 For each stock, relative F in each year t was calculated by dividing the total catch
216 (C_t ; in mt) by the stratified mean weight (kg) per tow in the survey (I_t) in that year
217 (relative $F_t = C_t / I_t$; Sinclair, 1998). Relative F was used as opposed to the assessment
218 estimates of F because assessment estimates can become biased by violations of model
219 assumptions that can result in retrospective patterns motivating this research. Relative F
220 was calculated using weight instead of numbers due to the expected differences in
221 selectivity of small, young fish between the fishery and survey. Using weight for both the
222 fishery and survey in the calculation focuses on the adult portion of the population from
223 each source. Weight-at-age from the fishery and survey often follow similar patterns over
224 time and are not expected to contribute to problems with this metric. Relative F was
225 calculated for both the spring and fall surveys (only the spring for mackerel) and
226 standardized by dividing by the mean for the entire time series for each survey and for
227 each stock. These standardized values were then used to calculate an average relative F
228 over four-year intervals (e.g., 2003-2006 to calculate a value for the midpoint year of

229 2004.5) for comparison with Z estimates for the same period. Sinclair (1998) showed
230 that estimates of relative F could become biased when the survey and fishery do not
231 overlap temporally, and that surveys conducted in the middle of the year are ideal. The
232 surveys used here generally occur in March-April and September-October, which are
233 close to the midpoint of the year. While it is possible to average the spring and fall
234 surveys each year, they were evaluated separately here because that is how they are used
235 within the assessments for each stock. Also, the high correlation between seasonal
236 surveys for most stocks (Table 2) suggests that averaging surveys would not alter the
237 overall findings.

238

239 *The relationship between relative F and Z , and retrospective patterns*

240 For each stock, the Pearson correlation coefficient between relative F and Z was
241 calculated, using estimates aggregated across surveys. Because estimates of Z are not
242 independent, however, the significance of the correlation was not calculated, but these
243 estimates were used to explore the general relationship (i.e., positive, negative) between
244 relative F and Z . Stock-specific correlations between relative F and Z were then
245 compared with estimates of Mohn's rho (Mohn, 1999) collected from recent stock
246 assessments. Mohn's rho is a measure of the average retrospective uncertainty in
247 terminal assessment estimates (typically over the most recent five to seven years), with
248 more extreme rho values (positive or negative) indicating larger uncertainty in recent
249 assessment estimates.

250

251 **Results**

252 Across stocks, relative F estimates were positively correlated between the spring
253 and fall survey, with correlations ranging from 0.27 for herring to 0.95 for Georges Bank
254 yellowtail flounder (Table 2). Annual relative F for each survey across stocks is shown
255 in Figure 2, separated out by region (Gulf of Maine, Georges Bank, Southern New
256 England / Mid-Atlantic, and pelagic stocks of mackerel and herring that span the whole
257 region). Region-specific average relative F s were calculated in each year across stocks to
258 look for regional trends. For both the GB and SNE/MA regions, relative F declined
259 sharply by the mid 1990s (Figure 2B and 2C). Some stocks in both regions had
260 occasional annual spikes in relative F since the mid 1990s, but on average, relative F has
261 remained low in these regions in more recent years. The average relative F since 1995
262 was 37% of the pre-1995 period on GB and 48% of the average of the earlier years in the
263 SNE/MA region (Table 2). A more gradual decline in relative F started in the early
264 1990s in the GOM, and there is considerably more variability across stocks (Figure 2A).
265 Nevertheless, the average relative F in the GOM has also remained low since the mid
266 1990s (46% of the earlier period; Table 2). Sharp declines in relative F occurred earlier
267 for the pelagic stocks, between the late 1980s and early 1990s, with larger declines for
268 Atlantic mackerel (Figure 2D). Across all stocks in the analysis, relative F is lower in
269 more recent years. Since 1995, the average relative F for each stock has been 8 to 81% of
270 the pre-1995 period (Table 2).

271 While relative F has declined across stocks in each region, Z has not for many
272 stocks (Table 2 and Figure 3). There is considerable temporal variability in Z estimates,
273 particularly in the GOM for species such as haddock and pollock (Figure 3A). When
274 averaged across stocks in each region, total mortality varied without trend in both the

275 GOM and GB regions (Figures 3A and 3B). In the SNE/MA region, however, the
276 average total mortality declined gradually, concurrent with the decline in relative F ,
277 though not as sharply, nor as much (Figure 3C). For the pelagic stocks, Z increased early
278 on, but varied without trend since then (Figure 3D). Average Z for each stock was
279 calculated for the periods pre-1995 and 1995 to present (across surveys), and Z in the
280 recent period was higher for eight stocks, and lower for ten stocks (Table 2). For seven
281 of the stocks with increases in Z , the increase ranged from 10% to 67%. For mackerel, a
282 much larger increase occurred, with recent average Z 198% higher than the earlier period.
283 For the stocks with decreases in Z , the recent average Z was between 46% to 93% of the
284 pre- 1995 average (Table 2). For all stocks but herring, the correlations between
285 estimates of Z in the spring and fall surveys were weaker than the correlations in relative
286 F between surveys, with positive correlations for all but two stocks (pollock and GB
287 haddock; Table 2).

288 The relationship between relative F and Z from each survey for each stock is
289 shown in Figure 4, calculated over four-year intervals. Of the 18 stocks, only five had
290 positive correlations > 0.2 between relative F and Z . These stocks are, in order of
291 increasing correlation, GOM cod, plaice, SNE/MA winter flounder, scup, and summer
292 flounder. Only scup and summer flounder had correlations ≥ 0.4 . Eight stocks had weak
293 to no correlation (defined here as within ± 0.2). The remaining stocks (Atlantic herring,
294 witch flounder, mackerel, CC/GOM yellowtail flounder, and GB yellowtail flounder) had
295 negative correlations (< -0.2) between relative F and Z calculated using the spring and
296 fall survey data.

297 Notably, three of the four stocks with the largest negative correlations between
298 relative F and Z have had recent stock assessments that did not pass peer review in large
299 part due to strong retrospective patterns (GB yellowtail, mackerel, and witch flounder).
300 GB cod also had an assessment that did not pass review, and it had a correlation between
301 relative F and Z of -0.03. Stocks with positive correlations between relative F and Z had
302 lower estimates of rho, while those with low to negative correlations had higher estimates
303 of rho, in general, although there was variability in rho values for a number of stocks with
304 similar correlation values (Figure 5).

305 For many stocks there were large declines in relative F , without declines in Z
306 (Table 2). There are several possible causes for this disconnect, described in detail in the
307 Discussion, including the evidence for or against each mechanism. One possibility is that
308 relative F estimates are biased, and that the general declines observed across stocks
309 (Table 2) did not actually occur. In other words, relative F may not have changed over
310 the time period and that the trends observed are due to biased catch data. To result in no
311 change in relative F over the entire period, catch data would need to have been
312 overestimated earlier in the time period, or underestimated more recently. For the 13
313 stocks with weak to negative correlations (< 0.2 ; Table 2) the magnitude of bias in the
314 catch data needed to make an apparent difference in relative F was estimated. For
315 example, if biased catch data were the cause of an apparent 50% decline in relative F in
316 the mid 1990s, that could result from earlier catches being inflated twofold, or more
317 recent catches underestimated by half of the true catch. Using the relative F ratio
318 ($relF_{ratio}$, calculated as the mean relative F from 1995 onward / mean relative F before

319 1995 ; Table 2), the amount of catch needed each year in the over- and underreporting
320 cases ($C_{over,t}$ and $C_{under,t}$, respectively) was calculated with:

321
$$(2) C_{over,t} = C_{obs,t}(1 - relF_{ratio}), \text{ and}$$

322
$$(3) C_{under,t} = C_{obs,t} \left(\frac{1}{relF_{ratio}} - 1 \right),$$

323 where $C_{obs,t}$ is the observed catch in year t . The mean and ranges for $C_{over,t}$ and $C_{under,t}$ are
324 presented in Table 3. Earlier in the time period, actual catches would have needed to be
325 between 700 and 41,059 mt lower than the observed catch, on average, with the largest
326 amounts occurring for the pelagic stocks of mackerel and herring, and also for GB cod.
327 As a percentage, the amount of overreported catches needed ranged between 19 to 92%
328 of observed catch, on average, during this period, (Table 3). The average annual
329 magnitude of underreported catches needed was between 531 to 207,899 mt across
330 stocks, with the largest values for mackerel and herring. Large amounts of underreporting
331 would have also been needed for the GB stocks of haddock, yellowtail flounder, and cod
332 (9,296 to 19,709 mt annually, on average; Table 3). As a percentage, the actual catch
333 across stocks would have been between 24 to 1,147% higher than the observed catch, on
334 average (Table 3).

335

336 **Discussion**

337 Large declines in relative F occurred across stocks in the northeast U.S. since the
338 mid 1990s, yet for a number of these stocks Z has changed little or even increased. As a
339 result, there is little to no correlation, or even a negative correlation, between relative F
340 and Z for these stocks. These diverging signals in the data appear to be a large
341 contributor to the retrospective uncertainty in assessment estimates observed in the

342 region. A key remaining question therefore is, what could be leading to the discrepancy
343 between relative F and Z for these stocks? Possible mechanisms include 1) biased
344 estimates of relative F , 2) biased estimates of Z , 3) natural mortality has increased to
345 make up for the declines in fishing mortality, and 4) total mortality has been dominated
346 by natural mortality over the entire period. The plausibility of these different
347 mechanisms is discussed below, providing evidence for or against each. Although these
348 mechanisms are detailed separately, they are not mutually exclusive, and multiple
349 mechanisms may be involved to varying degrees across stocks.

350

351 *Biased estimates of relative F*

352 The declines in relative F observed here could have resulted from an increase in
353 survey catchability, underreporting of catch data (landings and/or discards), or changes in
354 fishery selectivity. If catchability increased in the NMFS bottom trawl survey in the mid
355 1990s, indices of abundance would be inflated, making our estimates of relative F (catch
356 / index) biased low in more recent years. Residual patterns in the assessment fits to the
357 NMFS spring and fall survey, coupled with strong retrospective patterns led to many of
358 the stock assessments splitting the survey time series into separate time blocks, with
359 different catchability estimates for each block (NEFSC, 2005; 2008). This approach
360 reduced the magnitude of the retrospective error in a number of the assessments, but there
361 was not a clear justification for changes in the survey catchability during that time period.
362 Over time, as the retrospective pattern re-emerged in many assessments, this approach
363 was ultimately abandoned (e.g., NEFSC, 2015b; 2017b).

364 One of the most well-documented responses of marine taxa to climate change is
365 that species are shifting their distributions poleward and into deeper water, and this
366 pattern has been documented for many species in the Northeast U.S. shelf ecosystem
367 (Nye et al., 2009; Pinsky et al., 2013). For species that make seasonal inshore-offshore
368 migrations, climate change could impact the timing of these migrations, potentially
369 altering the availability of species to the spring and fall surveys (Langan et al., 2021).
370 Changes in the distribution or phenology of stocks would need to increase the overall
371 availability of species to the survey (thereby increasing catchability) to result in the
372 declines in relative F that we observed. Additional research into these areas is warranted,
373 though it is unlikely that all stocks in our analysis would have similar increases in
374 availability to the survey in response to climate change.

375 An alternative mechanism impacting the catchability of all stocks would be
376 through changes in the survey itself, although the evidence for such a mechanism is
377 lacking. First, there have been no known changes in the survey design or gear that
378 occurred in the mid 1990s when relative F estimates began to decline. Changes in the
379 timing of the seasonal surveys towards earlier or later periods could impact the
380 catchability of some stocks. The timing of the spring and fall surveys has varied over the
381 last 50 years, although there does not appear to be an overall trend towards earlier or later
382 survey periods that would lead to consistent changes in catchability (see Figure 6 in
383 Legault and McCurdy, 2018).

384 Biased estimates of relative F could also result from biased catch data. The
385 decline in relative F across many stocks in in the mid 1990s is coincident with the
386 implementation of Amendment 5 to the New England multispecies (groundfish) FMP,

387 which covers 14 of the stocks in our analysis. Amendment 5 was aimed at reducing
388 fishing mortality by 50% across groundfish stocks through large reductions in allowable
389 fishing days and increases in mesh size, but it also resulted in a large increase in data
390 coverage by making vessel and dealer reporting mandatory (NEFMC, 1993). The large-
391 scale effort reduction associated with Amendment 5 could have increased noncompliance
392 in the groundfish fishery. Through surveys with fishermen, managers, scientists, and
393 enforcement officers, King and Sutinen (2010) estimated an increase in noncompliance
394 since the 1980s, with unreported catches between 12-24% of the total catch by the mid
395 2000s. They also noted strong economic incentives for noncompliance in the New
396 England groundfish fishery based on the likelihood of detection and the penalties
397 imposed versus potential profit. More recently, the owner of the most vessels in the
398 entire New England groundfish fishery and holder of the largest quota for many stocks,
399 was convicted of mislabeling landed stocks with limited quota (GB yellowtail, GB cod,
400 plaice and witch flounder) as the more abundant stock in the region (GB haddock;
401 Bellanger et al., 2019). Unfortunately, the magnitude and period of unreported catches
402 from this single operation is unknown, nor is it known if this behavior was more
403 widespread across the fishery.

404 Although there is evidence of unreporting of catches in the region, the magnitude
405 needed to be the sole cause of the patterns we observed is likely much higher than is
406 feasible for many stocks. The catches reported in Table 3 can be used as an
407 approximation for the amount of unreported catch needed to make relative F unchanged
408 over time assuming that the unreported catch has the same length and age characteristics
409 of the reported catch. For some groundfish stocks, the amount of unreported catches

410 needed each year may be feasible (hundreds to a few thousand metric tons each year; e.g.,
411 witch flounder). For other stocks, ten thousand plus metric tons of unreported catch each
412 year for each stock seems unfeasible both from a fishery perspective and from an
413 enforcement perspective. In other words, how could the fishery land or discard that much
414 additional catch, and how could it go undetected? An alternative approach to estimating
415 the amount of unreported landings has been explored in some of the assessments, where
416 some multiplier increases catches until the retrospective pattern disappears (e.g. Legault
417 et al., 2013; NEFSC, 2017a; Legault, 2020). Such approaches have similarly shown that
418 large multipliers (three to five-fold increases) of observed catches are needed to remove
419 the retrospective pattern.

420 Another way relative F could be biased is by large-scale changes in the fishery
421 selectivity pattern over time changing the relationship between catch in the fishery and
422 catch in the survey. For example, if the fishery switched gears from one that produced a
423 flat-topped selectivity pattern to one that produced a strong dome in selectivity, while the
424 survey maintained a constant selectivity pattern over time, the ratio of catches would no
425 longer reflect a constant ratio of selectivity patterns. This change in fishery selectivity
426 could create a bias in the relative F , but has not been explored extensively to date. There
427 are no large-scale changes in fishery selectivity over time in any of the assessments
428 examined here.

429

430 *Biased estimates of total mortality*

431 Estimates of Z were calculated via catch curve analysis using numbers-at-age
432 from the spring fall surveys. As previously noted, many species in the region are moving

433 into deeper waters in response to climate change (Nye et al., 2009; Pinsky et al., 2013).
434 For demersal and benthic species, older, larger fish tend to occupy deeper waters
435 compared to younger fish (Swain, 1993; Methratta and Link, 2007; Friedland et al.,
436 2021). Climate-driven shifts of a population over time into deeper water could result in
437 fewer older fish being available to the survey if they have shifted outside of the survey
438 area. A decline in the availability of older fish to the survey would result in dome-shaped
439 selectivity in the survey, violating the assumption of flat selectivity in the catch curve and
440 resulting in higher estimates of Z . However, the approach used here to determine suitable
441 age bounds for the catch curve analysis likely mitigates against this effect. This potential
442 mechanism, and how the selection of age bounds impacts the Z estimate, has not been
443 widely explored, making this is a potentially important area of future research.

444

445 *Increases in natural mortality*

446 If the trends in relative F are genuine, then increases in M could account for Z
447 remaining high or even increasing in recent years. Due to the available evidence, the
448 focus here is on climate change and increased predation as mechanisms for increasing M ,
449 but changes in prey abundance or availability, or inter- and intra-specific competition are
450 also plausible mechanisms for increasing M .

451 The Northeast U.S. continental shelf is rapidly warming, with increases both in
452 mean annual temperature, but also in the occurrence of marine heat waves (Mills et al.,
453 2013; Pershing et al., 2015; Hare et al., 2016; see Figure 6A, B here). Warming is
454 expected to have different impacts on stock productivity for different species (e.g.,
455 Blanchard et al., 2012; Free et al., 2019), but recent studies suggest that most groundfish

456 stocks in the region will be negatively impacted by climate change (Hare et al., 2016;
457 Klein et al., 2016). Increasing temperatures will increase metabolic demands of fish and
458 reduce oxygen saturation in the water (Carazzo et al., 2019), and continued exposure to
459 such conditions could lead to stress- or starvation-induced increases [in](#) M in adult fish.
460 Periodic, rapid changes in temperatures (that may not be captured in an annual average)
461 have also been linked with mass mortality events in marine systems (Genin et al., 2020).

462 In the Northeast U.S., there is a growing body of research linking M with
463 changing environmental conditions. For example, age-specific values for M were
464 estimated for GOM cod using assessment estimates of numbers-at-age and correlated
465 these estimates with temperature (Pershing et al., 2015; though this finding has been
466 debated; Palmer et al., 2016 and Swain et al., 2016). Environmental indices linked to M
467 were incorporated into an assessment model for summer flounder, and it was found that
468 the Gulf Stream Index (GSI; an annual measure of the northward position of the warm
469 Gulf Stream) was the best predictor of M , and that including GSI as a driver improved the
470 overall model fit (O’Leary et al., 2019). Time-varying M was estimated within an
471 assessment model for weakfish (*Cynoscion regalis*), an inshore species of recreational
472 importance in the region that had also exhibited discrepancies in relative F and Z (Jiao et
473 al., 2012). Increases in the estimated M over time for weakfish were then linked to the
474 Atlantic Multidecadal Oscillation (AMO), a basin-wide index of sea surface temperature.
475 A growing body of literature suggests wide-ranging impacts of the AMO on ecosystems
476 throughout the Atlantic (see Nye et al., 2014 for a review), and the AMO switched from a
477 cool phase to a warm phase in the in the mid 1990s, coincident with the decline in
478 relative F but not Z observed here.

479 Increases in M could also be driven by increased abundance of predators. In
480 nearby Canadian waters, there is compelling evidence that large increases in marine
481 mammal abundance, most notably grey seals (*Halichoerus grypus atlantica*), resulted in
482 large increases in natural mortality for a number of demersal fish stocks (Chouinard et al.,
483 2005; Benoit et al., 2011; O’Boyle and Sinclair, 2011; Swain and Benoit, 2015,
484 Neuenhoff et al., 2019; Swain et al., 2019b). Many of these stocks were severely
485 depleted by overfishing, and increased consumption by grey seals or other predators
486 could be resulting in a “predator pit”, preventing the recovery of these stocks despite
487 management efforts (e.g., Swain and Benoit, 2015; Neuenhoff et al., 2019; Swain et al.
488 2019b; see Swain et al., 2011 for a detailed exploration into multiple hypotheses
489 regarding the sustained high Z for cod in the southern Gulf of St Lawrence). In the mid
490 1980s, grey seals from Canada began colonizing a few isolated locations in our study
491 region, (Moxley et al., 2017; Hayes et al., 2018). The population in U.S. waters is
492 growing (Figure 6C), but the estimated size is well below the recent estimates in
493 Canadian waters (Hayes et al., 2018). Smith et al. (2015) estimated the consumption of
494 groundfish and other species by marine mammals in the Northeast U.S., and found
495 overall consumption comparable to or higher than commercial fisheries landings. To
496 reproduce the patterns observed here, increases in M would have started in the mid 1990s
497 for most stocks when relative F started declining. This timing is coincident with the
498 predator-induced increases in M in neighboring Canadian ecosystems (e.g., Swain and
499 Benoit ,2015; Swain et al., 2019b), and with the increases observed in the study region
500 (Figure 6C), adding support to the notion of increased M via predation. It is also worth
501 noting that the two stocks with the highest correlations between relative F and Z are

502 species primarily found in the Mid-Atlantic region where grey seals and harbor seals
503 (*Phoca vitulina vitulina*) occur only seasonally, and at lower abundances than in New
504 England waters (Hayes et al., 2018).

505 While it is likely that M has increased over time for many stocks, the data are not
506 available to independently estimate time-varying M across individual stocks. Estimation
507 of time-varying M can be done within an assessment model (e.g., Lee et al., 2011; Jiao et
508 al., 2012; Legault, 2020), and the increasing use of state-space assessment models will
509 allow for ecosystem variables to be linked to M and other population process
510 (recruitment, growth, maturity; e.g., Miller et al., 2017; O’Leary et al., 2019). However,
511 estimation of M is conditioned on other assumptions within the model, and estimated
512 patterns in M may not be genuine, and result from something else, such as unreported
513 catch (Rossi et al., 2019). Cadigan (2016) developed a state-space assessment model for
514 northern cod that allowed for time-varying M and survey catchability, as well as
515 unreported catches, but this work required tagging data to reliably estimate changes in M .
516 Estimation of M over time can also be done in cases where fisheries are closed and $F \sim 0$
517 (Swain and Mohn, 2012; Sinclair et al., 2015; Swain and Benoît, 2015; Swain et al.,
518 2019a), but this condition does not exist for most stocks in the region (Wiedenmann et
519 al., 2019) and is confounded with the potential for unreported landings or discards.
520 Independent estimates of M via tagging studies could be useful to determine the relative
521 contribution of M versus unreported catch. Exploration of other indicators of change in
522 M across stocks in the region is certainly warranted. Such an approach could explore a
523 range of datasets across stocks looking for commonalities, including changes in size-at-
524 age and / or body condition, changes in diet composition of the focal species, or changes

525 in consumption estimates of the focal species by predators. Long-term information on
526 the diet composition and foraging areas of marine mammals is lacking across the region,
527 but studies that can improve the magnitude of current consumption estimates at the stock
528 level would be very valuable to help understand the role marine mammals are playing
529 across the ecosystem.

530 An approach analogous to the missing catch analysis but to estimate the amount
531 of additional M needed to produce the patterns here is not possible given the information
532 used in this study. However, Legault (2020) conducted an analysis where a range of M
533 values were explored over different time periods in the assessment model to determine
534 the magnitude of an increase in M needed to remove the retrospective pattern. This
535 analysis was conducted for four stocks of New England groundfish, three of which have
536 positive retrospective patterns (GB yellowtail flounder, witch flounder, and white hake).
537 The amount of extra M needed to remove the retrospective pattern ranged between 1.5 to
538 5 times the assumed M , but the exact value depended on when and how quickly the
539 increase occurred for a given stock. Larger increases in M were needed for the stocks
540 with larger retrospective patterns (GB yellowtail and witch flounder; Legault, 2020).

541

542 *Natural mortality has always dominated total mortality*

543 Another mechanism for the lack of correlation between relative F and Z is that Z
544 has always been dominated by natural mortality, such that changes in catch have little
545 impact on Z . Recent estimates of swept area biomass for some stocks from the NMFS
546 bottom trawl survey have been higher than the age-based assessment estimates, and the
547 estimated harvest fractions (catch / swept-area biomass) are very low in recent years for

548 some stocks (1-5% and 2-7% for GB yellowtail and witch flounder, respectively; Legault
549 and Finley, 2019; NEFSC, 2017a). These estimates, however, ignore the potential for
550 unreported catch. If Z were largely comprised of M over the entire time period, then this
551 would mean that M is considerably higher than previously assumed for many stocks. For
552 example, average Z estimates for all yellowtail flounder stocks and SNE/MA winter
553 flounder ranged between 0.84 and 1.30, while the assumed M for these stocks is between
554 0.2 and 0.25 (Legault et al., 2013; NEFSC, 2017b). Also, if catches were small compared
555 to total biomass, then it is likely that the fishery would frequently meet or exceed the
556 catch limit in most years. However, observed catches (notwithstanding the potential for
557 unreported catches) for New England groundfish have been well below the target in most
558 years for most stocks (Wiedenmann and Jensen, 2018), casting additional doubt on the
559 possibility that total biomass was much higher than previously estimated.

560

561 **Conclusion**

562 In summary, patterns in relative F across stock in the region suggest an overall
563 decline in the fishing pressure during the 1990s. However, total mortality has not
564 decreased for many stocks, leading to diverging signals in the data used in the stock
565 assessments. As a result, strong, positive retrospective patterns exist across many
566 assessments, particularly for stocks where this discrepancy is acute. Multiple mechanisms
567 may be causing these diverging signals, but the most plausible ones are unreported catch
568 and increased natural mortality (from predation or climate change). However, it is
569 unlikely that a single cause can explain the divergence across all stocks, or perhaps even
570 any given stock, and the importance of different mechanisms almost certainly varies

571 among stocks and over time for individual stock. Continued explorations into the relative
572 contribution of these or other mechanisms is certainly justified to help address the
573 retrospective patterns common in many the assessments for Northeast U.S. fish stocks.
574 Management strategy evaluation (MSE) simulation studies (e.g., Punt et al., 2016) that
575 explore different mechanisms separately will be useful to identify robust management
576 practices regardless of the presence or the cause of the divergence in the data.

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908

909 Table 1. List of the 18 stocks in our analysis, with the federal management council listed.
 910 All stocks management by the New England Council (NEFMC) except herring are part of
 911 the Northeast Multispecies FMP, and are collectively referred to as groundfish. Scup and
 912 summer flounder are in a separate FMP in the Mid-Atlantic (MAFMC). The three letter
 913 abbreviations (e.g., GBC) are used in Figure 5. Ages refers to the age range used to
 914 calculate Z in Eqn. 1 for the spring and fall surveys.

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Full stock name	Abbreviated name	Scientific name	Council	Ages (spring)	Ages (fall)	Years used*
Georges Bank Atlantic cod	GB cod (GBC)	<i>Gadus morhua</i>	NEFMC	3-9	2-10	1978-2014
Gulf of Maine Atlantic cod	GOM cod (GMC)	<i>Gadus morhua</i>	NEFMC	4-11	3-12	1982-2014
Georges Bank haddock	GB haddock (GBH)	<i>Melanogrammus aeglefinus</i>	NEFMC	3-11	2-12	1978-2014
Gulf of Maine haddock	GOM haddock (GMH)	<i>Melanogrammus aeglefinus</i>	NEFMC	2-12	2-11	1978-2014
Georges Bank yellowtail flounder	GB yellowtail (GBY)	<i>Limanda ferruginea</i>	NEFMC	4-11	3-11	1981-2014
Cape Cod / Gulf of Maine yellowtail flounder	CC / GOM Yellowtail (GMY)	<i>Limanda ferruginea</i>	NEFMC	3-9	3-9	1978-2014
Southern New England / Mid-Atlantic yellowtail flounder	SNE / MA Yellowtail (SNY)	<i>Limanda ferruginea</i>	NEFMC	3-10	2-8	1985-2014
Georges Bank winter flounder	GB winter (GBW)	<i>Pseudopleuronectes americanus</i>	NEFMC	4-9	3-10	1978-2014
Southern New England / Mid-Atlantic winter flounder	SNE / MA winter (SNW)	<i>Pseudopleuronectes americanus</i>	NEFMC	3-9	3-9	1978-2014
Witch flounder	Witch (WCH)	<i>Glyptocephalus cynoglossus</i>	NEFMC	5-13	4-12	1978-2014
American plaice	Plaice (PLA)	<i>Hippoglossoides platessoides</i>	NEFMC	5-12	4-11	1978-2014
Acadian redfish	Redfish (RED)	<i>Sebastes fasciatus</i>	NEFMC	7-27	6-27	1978-2014
Pollock	Pollock (POL)	<i>Pollachius virens</i>	NEFMC	3-10	2-12	1988-2014
White hake	White hake (WHK)	<i>Urophycis tenuis</i>	NEFMC	4-9	3-9	1978-2014

Atlantic herring	Herring (HER)	<i>Clupea harengus</i>	NEFMC	4-8	4-7	1978-2014
Atlantic mackerel	Mackerel (MAC)	<i>Scomber scombrus</i>	MAFMC	-	2-8	1978-2014
Scup	Scup (SCP)	<i>Stenotomus chrysops</i>	MAFMC	1-8	1-8	1984-2014
Summer flounder	Summer (SFL)	<i>Paralichthys dentatus</i>	MAFMC	1-10	1-10	1982-2014

*The range of years where age-based survey data, total survey, and total catch data were all available for a stock

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919 Table 2. Estimates of relative F and Z averaged across time periods prior to 1995, and
920 from 1995 onward. The ratio reported for relative F and Z are the value from the more
921 recent period divided by the earlier period. For each time period and stock, the averages
922 were calculated across the spring and fall NMFS bottom trawl survey. At the bottom,
923 region-specific averages of the ratios are calculated, with herring and mackerel lumped in
924 their own pelagics group due to their wide distribution across the regions. For mackerel
925 (MAC), the 2010 assessment (Deroba et al. 2010) split the survey time series to deal with
926 the retrospective pattern, which resulted in a much lower reported Mohn's rho (-0.38).
927 We used the rho estimate from the assessment without a survey split. For GOM cod
928 (GMC), two assessment formulations were accepted, one with a fixed $M=0.2$ across all
929 years, and one with a higher $M=0.4$ in more recent years (NEFSC 2015b). We used the
930 rho estimate from the $M = 0.2$ model.
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933 Table 2.

Stock	Correlation between				
	Relative F and Z (combined)	Relative F and Z (spring only)	Relative F and Z (fall only)	Relative F between spring and fall	Z estimates between spring and fall
GB cod	-0.02	-0.13	0.07	0.69	0.34
GOM cod	0.20	0.02	0.42	0.65	0.47
GB haddock	0.01	-0.04	0.05	0.77	-0.04
GOM haddock	0.05	0.05	0.14	0.56	0.43
GB yellowtail	-0.35	-0.40	-0.30	0.95	0.29
CC / GOM yellowtail	-0.36	-0.54	-0.22	0.79	0.05
SNE / MA yellowtail	0.15	0.05	0.21	0.65	0.36
GB winter	0.13	0.26	0.11	0.36	0.23
SNE / MA winter	0.40	0.53	0.41	0.94	0.32
Witch	-0.31	-0.48	-0.17	0.56	0.31
Plaice	0.35	0.37	0.35	0.83	0.48
Pollock	0.02	0.13	-0.07	0.70	-0.23
White hake	0.15	0.16	0.14	0.34	0.23
Redfish	0.13	-0.69	0.24	-	-
Summer	0.85	0.83	0.91	0.78	0.72
Scup	0.48	0.32	0.73	0.35	0.20
Mackerel	-0.44	-0.44	NA	-	-
Herring	-0.20	-0.47	-0.17	0.27	0.34

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stock	Relative F (avg. <1995)	Relative F (avg. \geq 1995)	Relative F ratio	Survey Z (avg. <1995)	Survey Z (avg. \geq 1995)	Survey Z ratio	Mohn's rho	Source
GB cod	1.43	0.62	0.43	0.66	0.73	1.10	0.68	NEFSC 2013
GOM cod	1.51	0.66	0.44	0.65	0.77	1.20	0.54	NEFSC 2015b
GB haddock	1.47	0.58	0.40	0.56	0.52	0.93	0.50	NEFSC 2015b
GOM haddock	1.84	0.26	0.14	0.35	0.18	0.52	-0.04	NEFSC 2015b
GB yellowtail CC / GOM	1.77	0.31	0.18	1.03	1.25	1.22	1.99	Legault et al. 2013
yellowtail	1.62	0.69	0.42	0.87	1.45	1.67	0.98	NEFSC 2015b
SNE / MA	1.51	0.45	0.30	1.06	0.84	0.79	1.06	NEFSC 2015b
yellowtail	1.51	0.45	0.30	1.06	0.84	0.79	1.06	NEFSC 2015b
GB winter	1.38	0.66	0.48	0.72	0.56	0.78	0.83	NEFSC 2015b
SNE / MA	1.77	0.44	0.25	1.31	1.03	0.79	0.21	NEFSC 2015b
winter	1.77	0.44	0.25	1.31	1.03	0.79	0.21	NEFSC 2015b
witch	1.10	0.89	0.81	0.40	0.50	1.25	0.91	NEFSC 2015b
plaice	1.42	0.62	0.44	0.80	0.66	0.82	0.32	NEFSC 2015b
pollock	1.21	0.82	0.68	0.30	0.36	1.23	0.28	NEFSC 2015b
white hake	1.20	0.83	0.69	1.04	0.82	0.79	0.18	NEFSC 2015b
redfish	1.95	0.16	0.08	0.13	0.17	1.30	0.26	NEFSC 2015b
summer	1.90	0.40	0.21	1.29	0.59	0.46	0.11	Terceiro 2016
scup	1.65	0.64	0.39	1.61	1.14	0.70	-0.08	NEFSC 2015a
mackerel	1.74	0.34	0.20	0.50	1.48	2.98	1.68	Deroba et al. 2009
herring	1.35	0.81	0.61	1.11	0.55	0.49	0.67	Deroba 2015
		Region	Avg.		Region	Avg.		
		GB	0.37		GB	1.01		
		GOM	0.46		GOM	1.10		
		SNE/MA	0.48		SNE/MA	0.90		
		Pelagics	0.40		Pelagics	1.73		
		All stocks	0.40		All stocks	1.06		

939 Table 3. For the 14 stocks with weak to negative correlations between relative F and
 940 survey Z (≤ 0.2 ; see Table 2), we calculated the amount of catch overestimation prior to
 941 1995, or the amount underestimation since 1995 needed to produce no change in the
 942 mean relative F between time blocks.

Stock	Avg. catch	Over-reported catch (mt)			Avg. catch		Under-reported catch (mt)	
	up to 1994	Average	Min	Max	1995-on	Average	Min	Max
GB cod	40,129	22,679 (57%)	9,066	35,327	7,153	9,296 (130%)	2,371	17,816
GOM cod	13,884	7,805 (56%)	5,065	11,775	5,604	7,196 (128%)	1,889	10,590
GB haddock	11,561	6,956 (60%)	2,809	16,629	13,048	19,709 (151%)	3,688	39,125
GOM haddock	2,892	2,487 (86%)	161	6,581	997	6,108 (613%)	2,089	9,660
GB yellowtail	5,556	4,579 (82%)	1,469	10,318	3,118	14,616 (469%)	745	34,773
CC / GOM yellowtail	1,871	1,078 (58%)	539	2,620	1,276	1,735 (136%)	645	3,559
SNE / MA yellowtail	7,857	5,508 (70%)	515	15,571	756	1,773 (235%)	682	3,398
GB winter	2,953	1,528 (52%)	595	2,219	1,830	1,961 (107%)	902	3,567
witch	3,677	700 (19%)	297	1,287	2,259	531 (24%)	226	813
pollock	16,202	5,256 (32%)	1,407	8,161	6,743	3,238 (48%)	1,781	5,866
white hake	6,980	2,155 (31%)	1,558	2,844	2,830	1,264 (45%)	672	2,126
redfish	4,715	4,337 (92%)	502	13,572	1,416	16,243 (1147%)	4,395	58,360
mackerel	51,009	41,059 (80%)	20,434	69,566	50,378	207,899 (413%)	52,002	463,955
herring	87,288	35,907 (41%)	17,800	49,579	112,716	75,311 (67%)	53,764	96,377

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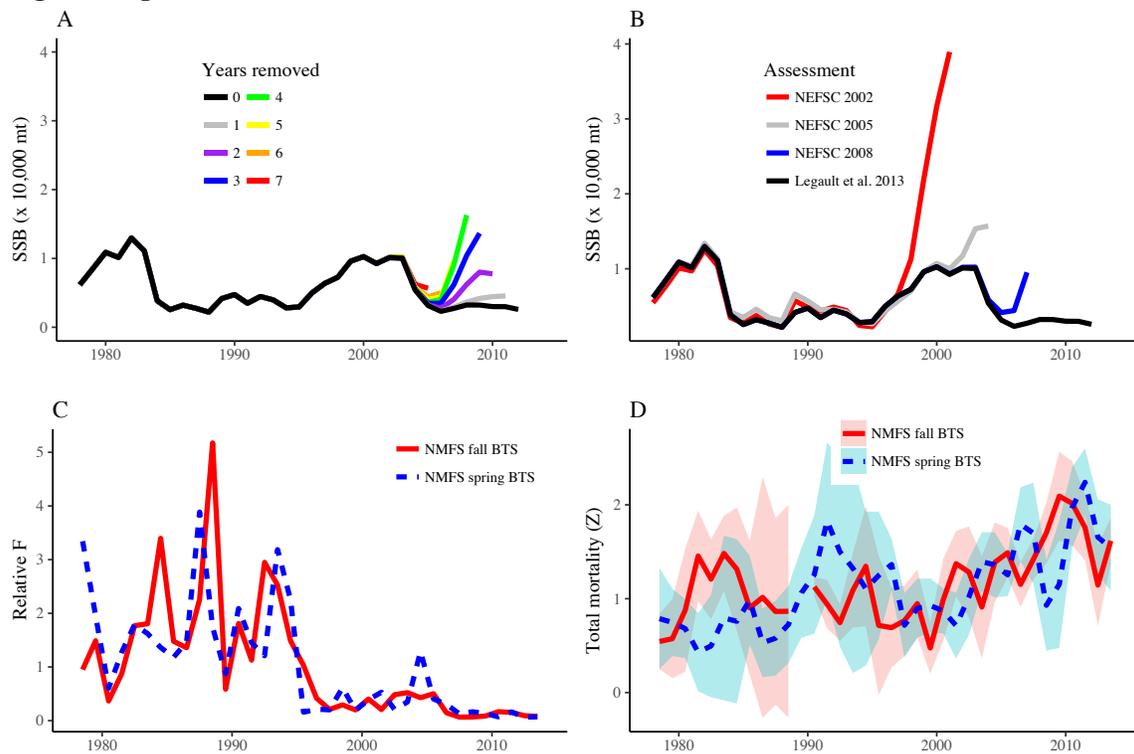
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950 **Figure Captions**

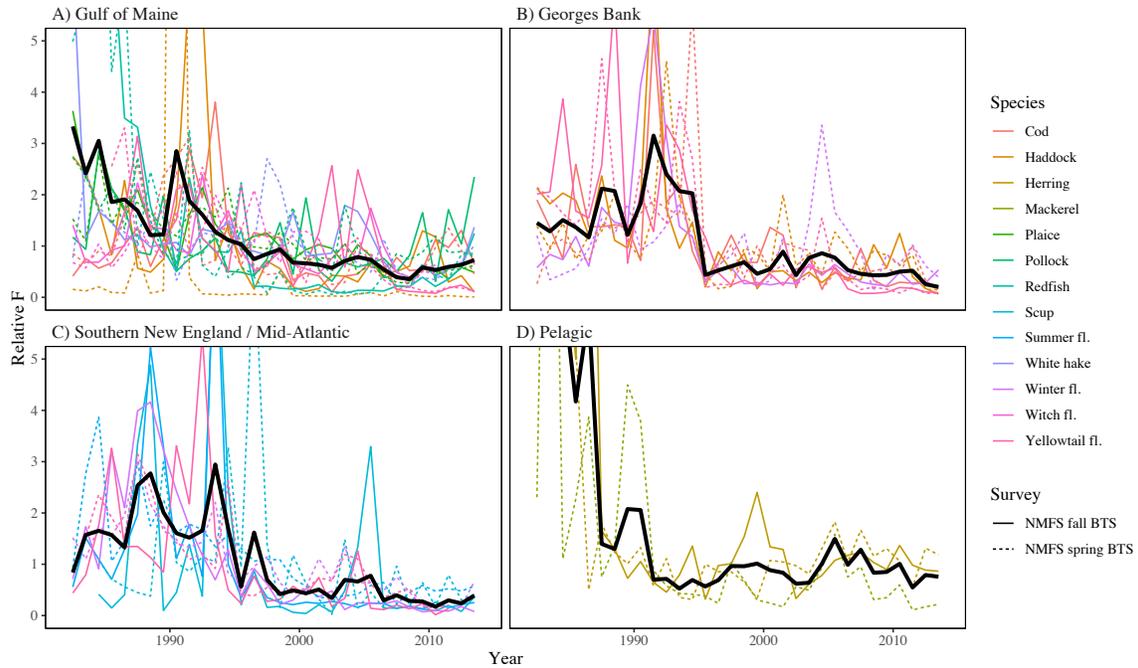


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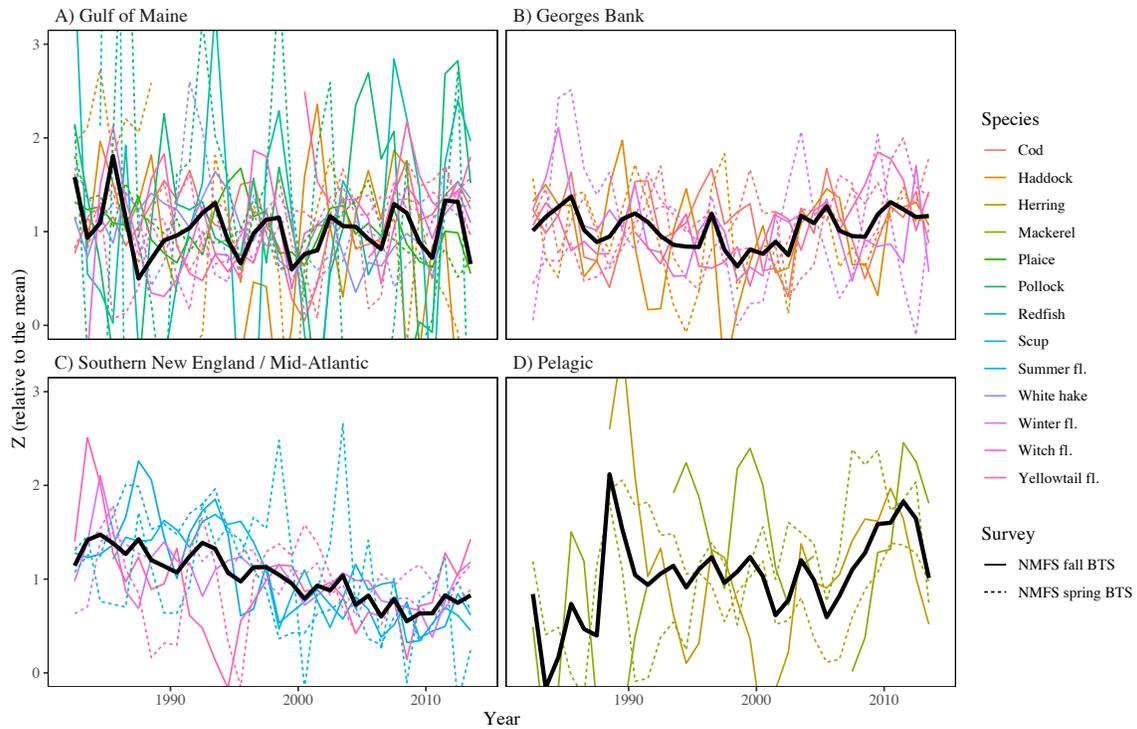
953 Figure 1. For GB yellowtail flounder: A) Positive retrospective pattern in spawning
 954 biomass (SSB) within the 2013 assessment (Legault et al. 2013). B) Historical
 955 retrospective pattern across assessments from 2002 onward. C) Relative F (total catch in
 956 mt divided by the average survey index of abundance in kg tow^{-1}) in the spring and fall
 957 bottom trawl survey (BTS), standardized by dividing by the mean value for the entire
 958 time series. D) Total mortality (Z) from the spring and fall surveys, calculated using the
 959 catch curve method of Sinclair (2001) using four years of consecutive data and plot at the
 960 midpoint of the year range (e.g., Z calculated using data from 1980-1983 is plotted at
 961 1981.5). The shaded regions represent the 90% confidence intervals for Z .

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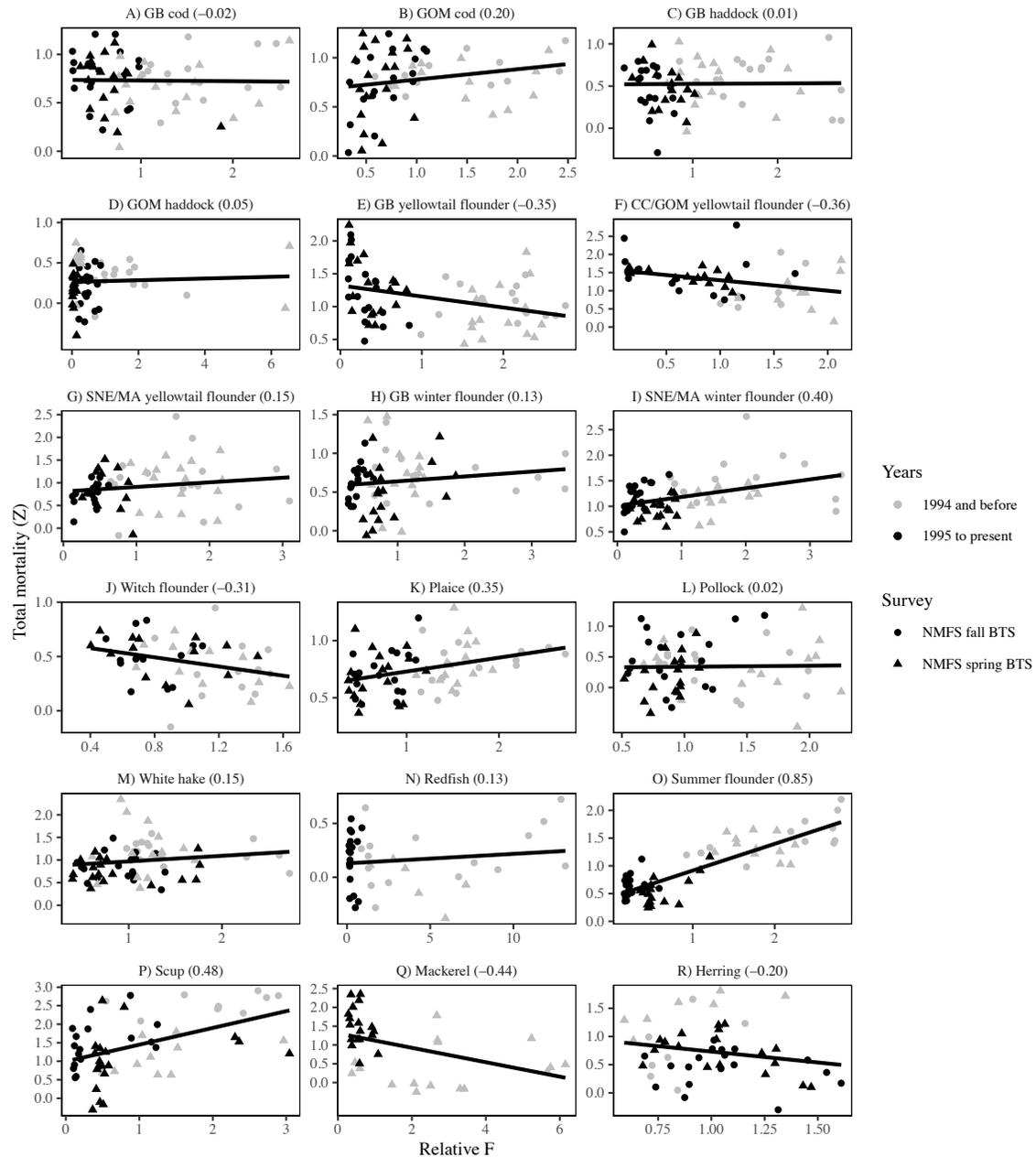
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Figure 2. Relative F in the spring (dashed lines) and fall (solid lines) bottom trawl survey (BTS) for stocks in the Gulf of Maine (A), Georges Bank (B) and Southern New England / Mid-Atlantic (C) regions, and pelagic (D) stocks of herring and mackerel that are found throughout all of these regions. Pollock, white hake, witch flounder, plaice, and redfish are largely found in the Gulf of Maine region (where they were classified here), although they are also found on Georges Bank. Colored lines represent the individual species, with the same color used for stocks of a species across regions, and the thick black line is the average value across stocks in the region. The y-axis is truncated at a maximum value of 5 to better illustrate the overall trends, as there were some very large values (> 10) in some years for some stocks.

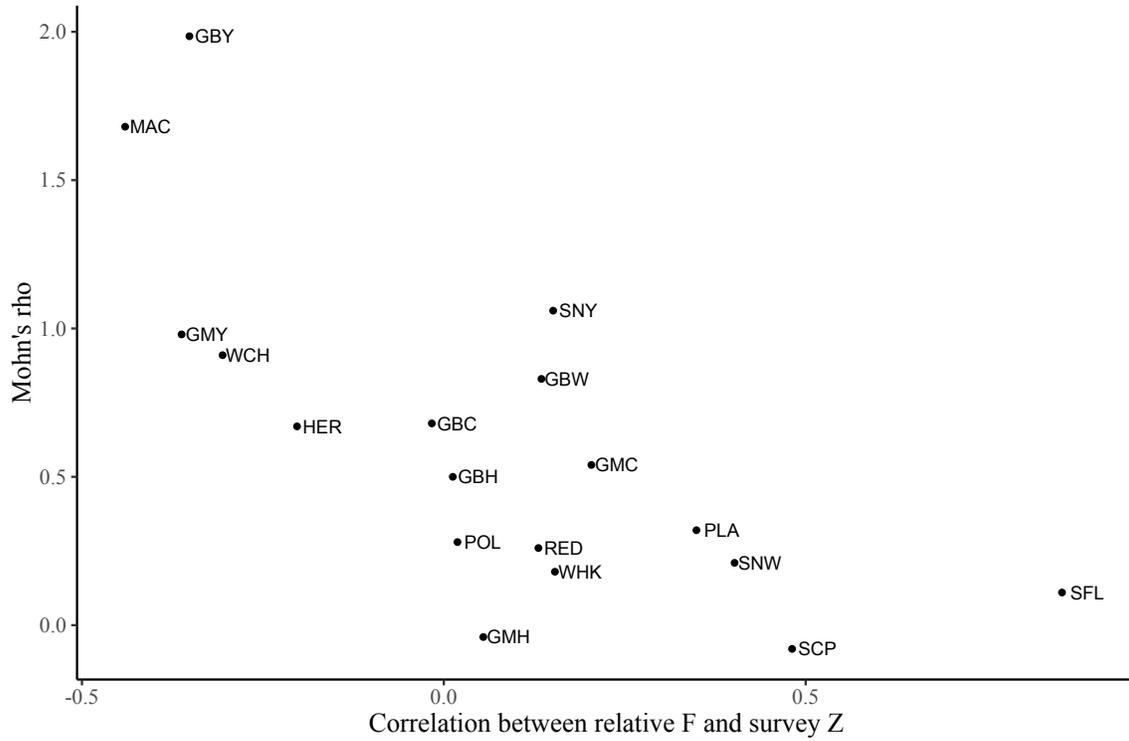


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Figure 3. Similar to Figure 2, but showing total mortality (Z; scaled to time series mean for each stock) in the spring (dashed lines) and fall (solid lines) bottom trawl survey (BTS) for stocks in the Gulf of Maine (A), Georges Bank (B) and Southern New England / Mid-Atlantic (C). Colored lines represent the individual species, with the same color used for stocks of a species across regions, and the thick black line is the average value across stocks in the region. The y-axis is truncated between 0 and 3 to better illustrate the overall trends in Z.

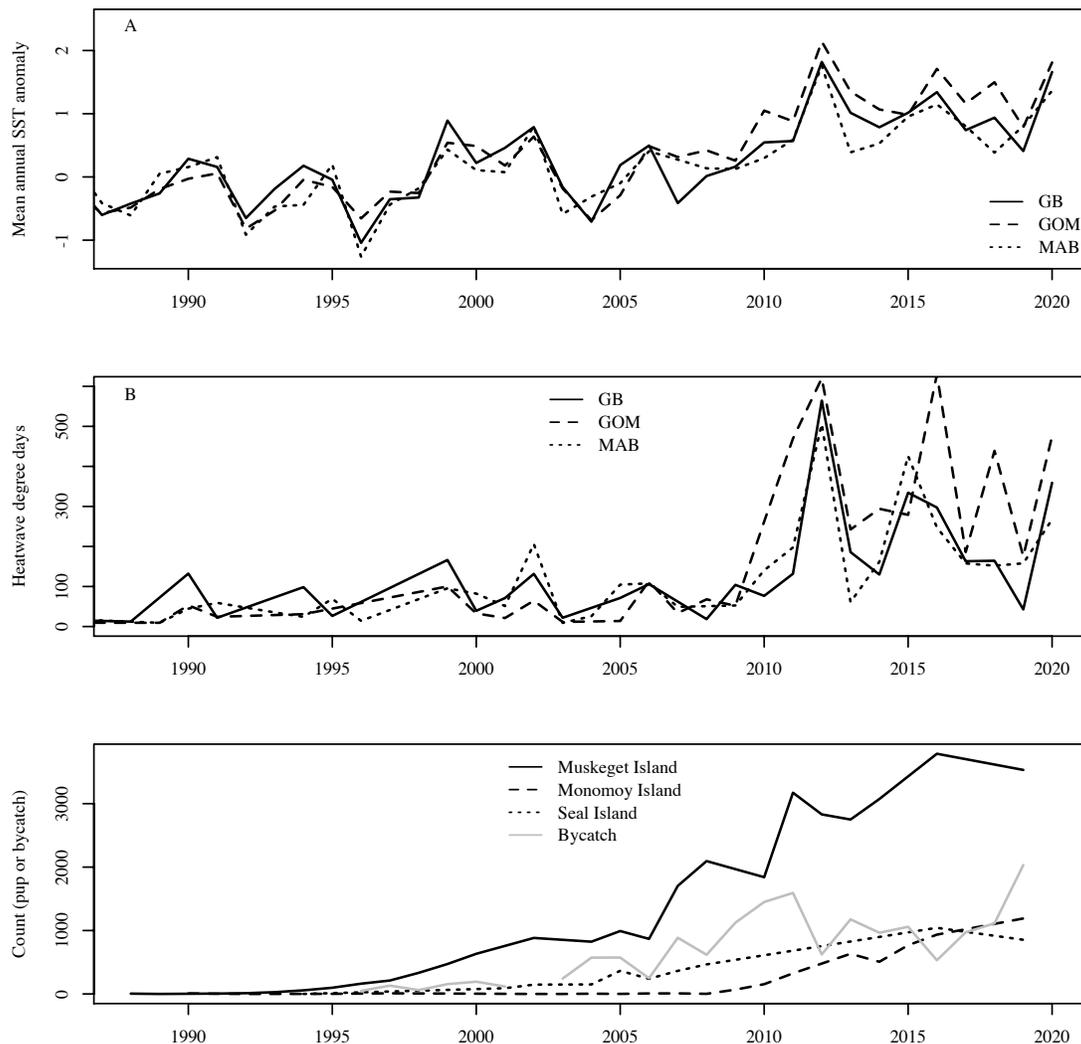


986
 987 Figure 4. Relationship between the relative F (C/I) and the estimate of total mortality
 988 (Z), with both metrics calculated using four years of data. The relative F is standardized
 989 to mean value in the time series, and for all stocks except herring we used the weight-
 990 based survey index. Gray points represent years from 1995 onward while black points
 991 are from prior to 1995. The circles and crosses denote the spring and fall bottom trawl
 992 surveys, respectively. The solid black line is a linear fit to the data aggregated across
 993 surveys. The axes are the same for each panel, so some points are not shown for certain
 994 stocks. The line shown is the linear fit to the data to show the overall trend in the
 995 relationship. The numerical value in parentheses next to the stock name is the correlation
 996 coefficient between relative F and Z .
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Figure 5. The estimated Mohn's rho for spawning biomass (a measure of the retrospective pattern) from a recent assessment for each stock (denoted by the 3 letter abbreviation; see Table 1) as a function of the correlation between the relative F and estimated Z from the surveys. Sources for the estimates of Mohn's rho are listed in Table 2.



1005
 1006 Figure 6. (A) Satellite-derived mean annual sea surface temperature (SST) anomalies ($^{\circ}\text{C}$;
 1007 relative to the 1982-2010 average) by region. (B) Annual degree days when the daily
 1008 temperature exceeded +1 standard deviation from the long-term average temperature for
 1009 that day. (C) Five-year rolling averages of grey seal pup counts on three islands in the
 1010 region (black lines) and of the estimated adult seals bycatch in fisheries in the region (red
 1011 line). Pups counts and bycatch have been suggested for use as proxies for trends in adult
 1012 population size in the region (Hayes et al., 2018). Muskeget and Monomoy islands are
 1013 part of the state of Massachusetts (USA) and Seal Island is part of the state of Maine
 1014 (USA). All the data used in the figure were obtained from [https://github.com/NOAA-](https://github.com/NOAA-EDAB/ecodata)
 1015 [EDAB/ecodata](https://github.com/NOAA-EDAB/ecodata).