

1 **Fine-scale depth structure of pelagic communities throughout the global ocean based on**  
2 **acoustic sound scattering layers**

3 Running page header: **Sound scattering layer depth structure**

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9 **Abstract**

10 Most biomass in the mesopelagic zone (200 – 1000 m) comprises zooplankton and fish  
11 aggregated in layers known as sound scattering layers (SSLs; they scatter sound and are  
12 detectable using echosounders). Some of these animals migrate vertically to and from the  
13 near surface on a daily cycle (diel vertical migration; DVM), transporting carbon between  
14 the surface and the deep ocean (biological carbon pump; BCP). To gain insight to potential  
15 global variability in the contribution of SSLs to the BCP, and to pelagic ecology generally  
16 (SSLs are likely prey fields for numerous predators), we report here regional-scale (90000  
17 km<sup>2</sup>) community depth structure based on the fine-scale (10s of m) vertical distribution of  
18 SSLs. We extracted SSLs from a near-global dataset of 38 kHz echosounder observations and  
19 constructed local (300 km by 300 km) SSL depth and echo intensity (a proxy for biomass)  
20 probability distributions. The probability distributions fell into six spatially coherent  
21 regional-scale SSL probability distributions (RSPDs). All but one RSPD exhibited clear DVM,  
22 and all RSPDs included stable night-time resident deep scattering layers (DSLs; SSLs deeper

23 than 200 m). Analysis of DSL number and stability (probability of observation at depth)  
24 revealed 2 distinct DSL types: 1.) Single-Shallow DSL (single DSL at c. 500 m), and 2.) Double-  
25 Deep DSL (two DSLs at c. 600 and 850 m). By including consideration of this fine-scale depth  
26 structure in biogeographic partitions and ecosystem models, we will better understand the  
27 role of mesopelagic communities in pelagic food-webs and consequences for them of  
28 climate change.

29

30 **Keywords:** Biogeography, DVM, Acoustics, Water column, DSL, Mesopelagic

31

## 32 **Introduction**

33 The biological carbon pump (BCP), mediated by the regular vertical migrations of  
34 mesopelagic organisms, transfers large quantities of carbon from the atmosphere in to the  
35 deep ocean (Anderson et al. 2018). It is estimated that the atmospheric concentration of  
36 carbon dioxide is presently about 200 ppm lower than it would otherwise be in the absence  
37 of the BCP (Parekh et al. 2006). The diel vertical migration (DVM) that is integral to the  
38 operation of the BCP can be detected, using scientific echosounders, as the upward and  
39 downward migrations at dusk and dawn of the open-ocean communities that comprise  
40 acoustic deep scattering layers (DSLs; sound scattering layers deeper than 200 m). The fine-  
41 scale (10s of m) depth structure of these communities will likely impact the efficiency of the  
42 BCP (see Klevjer et al. 2016) and the foraging behaviour of air-breathing deep-diving  
43 predators including *Mirounga* sp. (Northern and Southern Elephant Seals) and *Aptenodytes*  
44 *patagonicus* (King penguins) (Scheffer et al. 2010, Boersch-Supan et al. 2012). It is therefore

45 important to consider regional variability in open-ocean community depth structure in  
46 studies of open-ocean ecology and in the design of open-ocean ecosystem/biogeochemical  
47 models such as SEAPODYM, Atlantis and MIZER (Lehodey et al. 2008, Fulton et al. 2011,  
48 Trebilco et al. 2013, Scott et al. 2014), which are in turn important components of climate  
49 models (Giering et al. 2014). Variability in depth structure should also be considered when  
50 partitioning the ocean into ecological regions (Proud et al. 2017, Sutton et al. 2017).

### 51 *Vertical structure of water-column communities*

52 From the sea-surface to 1000 m deep, the pelagic zone (i.e. the water-column away from  
53 the seabed) can be divided into two zones, the epipelagic (0 to 200 m) and the mesopelagic  
54 (200 to 1000 m). The epipelagic contains an illuminated mixed-layer that is isothermal and  
55 usually bounded by a steep seasonal thermocline, which is variable in depth. The epipelagic  
56 is the site of oceanic primary production (PP), the magnitude of which is a function of light  
57 intensity, temperature and nutrient availability (via mixing). PP varies widely both  
58 geographically and over time (Boyce et al. 2010, 2012), and PP variability has been one  
59 prominent basis for partitioning the global ocean into ecological regions, such as the  
60 'provinces' derived by Longhurst (Longhurst 2007). The mesopelagic is typically colder than  
61 the epipelagic, and seawater there is denser. Key inhabitants of the mesopelagic are the  
62 zooplankton, squid and small bony fish that aggregate in layers and which generally migrate  
63 daily (i.e. undertake DVM) upwards towards the surface at dusk to feed before returning to  
64 depth at dawn (Bianchi et al. 2013, Bianchi & Mislán 2016). However, not all organisms  
65 migrate daily, and 'resident' night-time mesopelagic communities have often been observed  
66 (Koslow et al. 1997, Flynn & Kloser 2012). Generally, the migrating community follows low-  
67 light intensity isolumes, such that they ascend to feed whilst minimising the risk of being

68 detected by visual predators (Hays, 2003). Daily movements and rest periods at depth  
69 facilitates transport of carbon, nutrients and energy (via respiration and excretion) from the  
70 surface to deep water (Schnetzer & Steinberg 2002). Seasonal community movements  
71 including overwintering at depth by copepods also contribute to nutrient and energy flux  
72 (Jónasdóttir et al. 2015).

### 73 *Deep Scattering Layers*

74 DSLs, which form in the mesopelagic zone, take their name from the fact that they scatter  
75 sound. A consequence of this is that they can be detected using active acoustic sampling  
76 (scientific echosounding). The depth at which DSLs are located varies geographically and  
77 seasonally (Anderson et al. 2005, Kloser et al. 2009, Irigoien et al. 2014, Knutsen et al. 2017,  
78 Proud et al. 2017). This variability is thought to be predictable, since observed depths of  
79 DSLs have been linked to environmental drivers such as seawater density (Godø et al. 2012),  
80 light intensity (Hays 2003, Aksnes et al. 2017, Proud et al. 2017), oxygen concentration  
81 (Bianchi et al. 2013; Klevjer et al. 2016) and wind-driven mixing (Proud et al. 2017).  
82 Furthermore, regional variability in the intensity of echoes from DSLs, a rough proxy for  
83 biomass, has been linked to PP in the waters above and to temperature (Irigoien et al. 2014,  
84 Fennell & Rose 2015, Proud et al. 2017). There is often more than one DSL in a given  
85 location (Andreeva et al. 2000), and DSLs at different depths likely comprise different  
86 communities (the stacked DSLs can be considered as rungs in Vinogradov's (1968) 'ladders  
87 of migration'). The vertical distributions of these multiple DSLs can shift at twilight, with  
88 some migrating in unison, some remaining stationary, some merging, and some splitting,  
89 such that there are distinct day and night patterns (e.g. Klevjer et al. 2012). These complex  
90 and variable depth structures vary globally and may well be intimately linked to

91 concomitant environmental variability. By characterising the form and variability of these  
92 depth structures, we inadvertently characterise complex and distinct environments, which  
93 may enable improved partitioning of the ocean into biogeographic regions.

#### 94 *Biogeography*

95 Historically, biogeographic partitioning of the ocean was generally performed using just  
96 biological data (Brinton 1962, Alvarino 1965, Briggs 1974, Semina 1997), but more recent  
97 classifications have been able to capitalize on the availability of open-access data and to  
98 incorporate numerous data sources (including biological, chemical and physical) into their  
99 partitioning algorithms (Longhurst 2007, Proud et al. 2017, Sayre et al. 2017, Sutton et al.  
100 2017). Distributions and abundances of species and 'environmental' parameters vary with  
101 depth, so it is not necessary to expect that the same spatial grid of classification at the  
102 surface, say, would pertain in the mesopelagic. Further, the number of separate classes,  
103 units, or provinces that can be identified/discriminated depends on many factors including  
104 chosen scale and number of variables considered. In most cases the number of separations  
105 can be considered to be an arbitrary, artificial construct, and is usually selected for a specific  
106 purpose e.g. management (e.g. Sayre et al. 2017) or research applications. Biogeographies  
107 vary by depth strata, from surface and epipelagic classification (Longhurst 2007, Oliver &  
108 Irwin 2008, Spalding et al. 2012), mesopelagic and water-column (Flynn & Marshall 2013,  
109 Proud et al. 2017, Sayre et al. 2017, Sutton et al. 2017) to seabed (UNESCO 2009, Watling et  
110 al. 2013). However, none have included detailed (10s of m) water-column community depth  
111 structure because data have not been readily available.

112

113

114 *Hypothesis and objectives*

115 The biophysical drivers of DSL depth and echo intensity (a proxy for biomass; Proud et al.  
116 2018) have been used to demark global biogeographies (Proud et al. 2017). We therefore  
117 hypothesise that distinct communities, with distinct depth preferences, exist and that these  
118 preferences lead to spatially coherent vertical structuring at regional-scales. To test this  
119 hypothesis, our approach was as follows: 1.) extract sound scattering layer (SSL; non-depth-  
120 specific scattering layer) depth, thickness and echo intensity (between 0 to 1200 m) from  
121 globally collated 38 kHz echosounder data using the SSL extraction method (SSLEM, Proud  
122 et al. 2015); 2.) produce local (300 km by 300 km) SSL probability distributions (SPD), which  
123 provide, for a given area, the probability of observing an SSL at a specific depth and echo  
124 intensity value; 3.) cluster the SPDs by likeness and derive regional-scale SSL probability  
125 distributions (RSPDs), and 4.) categorize RSPDs by DSL depth structure and vertical stability,  
126 defined as the probability of DSL observation at its principal, or most common, depth (e.g.  
127 where a DSL is always observed at a certain depth for a specific RSPD, DSL vertical stability  
128 would equal 1).

129

130 **Method**

131 SSLs were extracted from an extensive acoustic dataset (3196 38 kHz echograms; equal to  
132 380 days of observations), spatially binned into 300 km by 300 km cells (90000 km<sup>2</sup>),  
133 grouped by day and night, and summarised by depth and mean volume backscattering  
134 strength (MVBS, dB re 1m<sup>-1</sup>, Maclennan et al. 2002) SSL probability distributions (SPDs). SSLs  
135 that had a mean depth > 200 m were defined as deep scattering layers (DSLs). Cluster

136 analysis was used to group similar SPDs in space, and regional-scale SPDs were defined,  
137 enabling inferences on the underlying biological communities to be made.

138

139 *Acoustic data*

140 38 kHz echosounder observations, recorded between 2006 and 2015, were collated from  
141 the British Oceanographic Data Centre (BODC, [www.bodc.ac.uk](http://www.bodc.ac.uk), 2014), the British Antarctic  
142 Survey (BAS 2015, [www.bas.ac.uk](http://www.bas.ac.uk)), the Pelagic Ecology Research Group (PERG), the  
143 Integrated Marine Observing System (IMOS 2013, [www.imos.org.au](http://www.imos.org.au)) and the Surface Mixed  
144 Layer Evolution at Sub-mesoscales Cruise (SMILES 2015). Seasonal coverage was variable,  
145 ranging from near uniform sampling with full seasonal coverage in the South Indian Ocean,  
146 to regions with lower sample coverage (1-2 seasons) in the polar and North Pacific regions  
147 (polar regions are not typically sampled during winter due to sea ice cover).

148 Data were calibrated and noise was removed (see Proud et al. 2017 supplemental  
149 information for details of data processing). SSLs persisting for longer than 30 minutes were  
150 extracted and characterised using the SSL extraction method (SSLEM, Proud et al. 2015).  
151 Individual SSLs were described by their mean depth, thickness and MVBS, and binned by  
152 geographic location onto a uniform global 300 km by 300 km grid (where seabed depth >  
153 1000 m) as per the spatial scale applied by Proud et al. (2017). Gridded SSLs were grouped  
154 by day and night periods (demarcated using local sunrise and sunset times) and summarised  
155 by depth and MVBS SSL probability distributions (SPDs).

156

157

158 *Sound scattering layer probability distributions*

159 Following Proud et al. (2017), we define the probability (P) of observing an SSL at a specific  
160 depth (z) and MVBS value as

161 
$$P_{z,MVBS} = \frac{obs_{z,MVBS}}{se_z}, \quad (1)$$

162 where  $obs_{z,MVBS}$  is the total time of SSL observation (s) by depth (0 to 1200 m by 5 m  
163 intervals) and MVBS level (-50 dB re  $1m^{-1}$  to -100 dB re  $1m^{-1}$  by 2 dB re  $1m^{-1}$  intervals) and  
164  $se_z$  is the sampling effort (s) by depth i.e. for each depth interval the probability of SSL  
165 observation (including the probability of no observation) sums to one. Calculating P over the  
166 entire depth and MVBS range yielded an SSL probability distribution (SPD) for each  
167 geographic cell for both day and night.

168 *Seasonal coverage index (SCI)*

169 To quantify the temporal distribution of echosounder observations for each SPD, a seasonal  
170 coverage index (SCI), given by,

171 
$$SCI = \sum_{i=1}^4 se_i / \max([se_1, se_2, se_3, se_4]) \quad (2)$$

172 was calculated, where  $se_i$  is the sampling effort (s) for each season, represented by the  
173 integer i, ranging from 1 (spring) to 4 (winter) and  $\max$  is a function that returns the  
174 maximum value of a given vector. For an SPD where all observations were made in a single  
175 season, SCI would equal 1, whereas for an SPD where the sampling effort for all four  
176 seasons was the same (uniform distribution), SCI would equal 4.

177



178 *Epipelagic and mesopelagic nautical area scattering coefficient*

179 The total amount of scattered energy produced per square nautical mile over a depth range  
 180 is known as the nautical area scattering coefficient (NASC,  $s_A$ ,  $m^2 \text{ nmi}^{-2}$ , Maclennan et al.,  
 181 2002). The NASC values over the epipelagic ( $s_{\text{epi}}$ , 0 – 200 m,  $m^2 \text{ nmi}^{-2}$ ) and mesopelagic  
 182 ( $s_{\text{meso}}$ , 200 – 1000 m,  $m^2 \text{ nmi}^{-2}$ ) zones (in 5 m depth bins in both) are given by

183 
$$s_{\text{epi}} = \sum_{j=0}^{40} \left( \sum_{i=0}^{25} (P_{\mathbf{Z}[j], \mathbf{M}[i]} \times 10^{(\mathbf{M}[i]/10)}) \right) \times 4\pi \times 1852^2 \quad (3)$$

184 and

185 
$$s_{\text{meso}} = \sum_{j=40}^{200} \left( \sum_{i=0}^{25} (P_{\mathbf{Z}[j], \mathbf{M}[i]} \times 10^{(\mathbf{M}[i]/10)}) \right) \times 4\pi \times 1852^2 \quad (4)$$

186 respectively, where  $j$  is an index for the vector  $\mathbf{Z}$ , which is consistent of 200 equally spaced  
 187 SSL depth bins (0 – 1000 m by 5 m) and  $i$ , is an index for the vector  $\mathbf{M}$ , which comprises 25  
 188 equally spaced SSL MVBS bins (-50 dB re  $1m^{-1}$  to -100 dB re  $1m^{-1}$  by 2 dB re  $1m^{-1}$ ).

189

190 *Principal deep scattering layer depth, MVBS and stability*

191 The probability of observing an SSL at a specific depth,  $P_{\mathbf{Z}[j]}$ , defined as the vertical stability  
 192 of an SSL, is given by

193 
$$P_{\mathbf{Z}[j]} = \sum_{i=0}^{25} P_{\mathbf{Z}[j], \mathbf{M}[i]}. \quad (5)$$

194 The principal or most common DSL depth,  $Z_{\text{PDSL}}$  (see Proud et al. 2017), was determined by  
 195 finding the maximum value of  $P_{\mathbf{Z}[j]}$  between 200 and 1000 m ( $\mathbf{Z}[40]$  to  $\mathbf{Z}[200]$ ):

196 
$$P_{Z[40:200]} = \{P_{Z[40]}, P_{Z[41]}, P_{Z[42]} \dots, P_{Z[199]}\}, \quad (6)$$

197 
$$P_{PDSL} = \max(P_{Z[40:200]}), \quad (7)$$

198 
$$Z_{PDSL} = \mathbf{Z}[\mathit{argmax}(P_{Z[40:200]})], \quad (8)$$

199 where  $P_{PDSL}$  is the probability of observing the principal DSL defined here as DSL vertical  
 200 stability and  $\mathit{argmax}$  is a function that returns the index of the maximum value. For  
 201 example, in the case where a DSL was always observed at a specific depth,  $P_{PDSL}$  would equal  
 202 1, i.e. the DSL was always observed at  $Z_{PDSL}$  and therefore had a high vertical stability.  
 203 Similarly, given that a DSL has been observed, the most likely MVBS value of the principal  
 204 DSL,  $MVBS_{PDSL}$ , is given by

205 
$$P_{M[i]} = \sum_{j=40}^{200} P_{Z[j],M[i]} / \sum_{j=40}^{200} \left( \sum_{i=0}^{25} (P_{Z[j],M[i]}) \right), \quad (9)$$

206 
$$P_{M[0:25]} = \{P_{M[0]}, P_{M[1]}, P_{M[2]} \dots, P_{M[24]}\}, \quad (10)$$

207 
$$P_{PMVBS} = \max(P_{M[0:25]}), \quad (11)$$

208 
$$MVBS_{PDSL} = \mathbf{M}[\mathit{argmax}(P_{M[0:25]})], \quad (12)$$

209 where  $P_{MVBS}$  is the probability of the principal DSL having a MVBS value of  $MVBS_{PDSL}$ .

210 *Clustering sound scattering layer probability distributions (SPDs)*

211 A distance measure was derived to determine the similarity between each SPD. Since the  
 212 SPDs were all constructed from a set of discrete probabilities, with values between 0 and 1  
 213 and with just one value per depth/MVBS bin, a simple matrix subtraction was used to  
 214 calculate a relative distance measure,

215 
$$\text{dist}_{AB} = \sum \text{abs}(\mathbf{A} - \mathbf{B}), \quad (13)$$

216 where  $\mathbf{A}$  and  $\mathbf{B}$  are 2-dimensional arrays (SPDs) and  $\text{dist}_{AB}$  is a relative distance measure  
 217 between  $\mathbf{A}$  and  $\mathbf{B}$ . The maximum value of  $\text{dist}_{AB}$  is equal to the size of the SPD arrays (240  
 218 depth bins  $\times$  25 MVBS bins = 6000 cells) i.e. where the probability of SSL observation at a  
 219 specific depth and MVBS combination in  $\mathbf{A} = 0$ , the probability for the same depth and MVBS  
 220 values in  $\mathbf{B}$  would equal 1. By the same logic, where two SPDs are identical (i.e. where the  
 221 probability of observing SSLs across all depth and MVBS combinations is the same)  $\text{dist}_{AB} =$   
 222 0.

223 Using Eq. 13, a dissimilarity matrix  $\mathbf{D}$  that contained the pairwise distances between all  
 224 daytime SPDs (total number of SPDs =  $X$ ) was constructed. Classical multi-dimensional  
 225 scaling (MDS, Hout et al. 2013) was applied to reduce the data to a smaller number of  
 226 dimensions, improving computational efficiency. From the resulting configuration matrix, an  
 227 appropriate number of dimensions,  $D$ , was assigned by evaluating values of stress (the  
 228 degree of correspondence between the distances of the original data and MDS map, where  
 229 a value of 0 is perfect correspondence). A k-means clustering algorithm (Hartigan & Wong  
 230 1979) was applied to the resultant reduced dataset (size =  $X$  by  $D$ ) to determine the natural  
 231 number of groupings or clusters that were evident within the data. The optimum number of  
 232 clusters was selected by identifying interruptions, or elbow-like features, in the Log-  
 233 Likelihood (LL) trend (e.g. Sugar 1998). The algorithm was run for a range of  $k$  clusters (2 –  
 234 20), where at each step the LL value was determined (Eq. 14 and 15) to enable model  
 235 assessment:

236 
$$P(\mathbf{x}|\mathbf{u}) = \frac{e^{-\sum_{d \in D} (u_d - x_d)^2}}{\sum_{\mathbf{u}} e^{-\sum_{d \in D} (u_d - x_d)^2}}, \quad (14)$$

237 
$$LL = \sum_{x \in X} \log \max (P(x|u)), \quad (15)$$

238 where  $P(x|u)$  is the probability of sample  $x$  (i.e. a single SPD) belonging to model  $u$  (k-means  
239 model).

240

#### 241 *Regional-scale sound scattering layer probability distributions (RSPDs)*

242 The resultant  $k$ -clusters, consisting of  $n$  cluster members (SPDs formed from observations  
243 made within a single 300 km by 300 km cell) were merged to form new ‘regional-scale’ SPDs  
244 with larger spatial coverage (equal to  $n \times 90000 \text{ km}^2$ ) by matrix addition. This operation was  
245 carried out by adding the underlying data ( $obs_{z,MVBS}$ , see Eq. 1) for all the SPDs in each  
246 cluster together, and then determining a new set of probabilities by applying new values of  
247  $se_z$  to Eq. 1; this accounted for differences in sampling effort between cluster members. The  
248 merged clusters of SPDs were termed ‘regional-scale SSL probability distributions’ (RSPDs)  
249 and are associated spatially with individual cluster members. Finally, a local neighbourhood  
250 dilation filter (3 x 3 cells) was passed over the spatial grid of cells labelled by cluster number  
251 ( $k$ ), and the centre value of the filter (either a cluster number or an unlabelled cell) was  
252 replaced with the maximum value calculated over the local neighbourhood. This filtering  
253 process removed anomalies and smoothed spatial transitions between RSPDs.

254

## 255 **Results**

256 In total, 39455 SSLs were extracted from the acoustic survey data via the SSLEM (Proud et  
257 al. 2015), including 26474 DSLs, and summarised by a set of metrics (depth, thickness and

258 MVBS). The SSL metrics were split by day and night and assigned to 297 unique 300 km by  
259 300 km cells (these equate to c. 9% of the surface of the global open-ocean where seabed  
260 depth > 1000 m). SSL probability distributions (SPDs) were determined for each cell, and a  
261 distance measure was computed resulting in a dissimilarity matrix,  $\mathbf{D}$ , with 297 rows and  
262 columns. The MDS analysis of  $\mathbf{D}$  indicated that for a stress value of 0.1 (Kruskal 1964),  $\mathbf{D}$   
263 could be reduced from 297 dimensions to 37. The lower dimensional representation of the  
264 data,  $\mathbf{D}'$ , accounted for 72% of the variance.

265 K-means clustering was applied to  $\mathbf{D}'$  and using calculated values of the Log-Likelihood (Eq.  
266 15), a six-cluster model was selected. An elbow-like feature was apparent when fitting six  
267 clusters (Fig. 1), increasing the value of the Log-Likelihood away from the decreasing trend;  
268 this feature indicated that there was a better than expected fit at this scale. As the number  
269 of clusters increased, particularly towards 15, more of these features appeared. Since in this  
270 study we were interested in regional-scale trends, taking the first natural grouping was  
271 appropriate. For the six-cluster model, 89% of the SPDs were assigned to a cluster with a  
272 probability (Eq. 14) that was at least twice the value of the next best selection, indicating a  
273 good fit.

274

275 [Figure1]

276

277

278

279

280 *DSL vertical stability and sampling effort of SPD cluster members*

281 Sampling effort per SPD ranged between c. 1 hour and 175 hours, and DSL vertical stability  
282 ( $P_{\text{PDSL}}$ ) ranged between c. 0.32 and 1 (Fig. 2). DSLs were typically less stable during the night-  
283 time than the day and the lowest values of DSL vertical stability occurred in summer (Fig. 2).  
284 DSLs in clusters 1, 2, 4 and 5 were the most vertically stable, whereas in cluster 6 DSLs were  
285 highly unstable across the full range of sampling effort values.

286 [Figure 2]

287

288

289 *Geographical distribution of SPD clusters*

290 The SPD cluster members were plotted in space, revealing the underlying spatial affiliation  
291 of the echosounder observations (Fig. 3). The clusters formed large-scale spatially  
292 aggregated regions (Fig. 3). Cluster 6 was located mostly at higher latitudes, typically lying  
293 poleward of 40° latitude in both hemispheres. Cluster 3 formed a single region within the  
294 south Indian Ocean. The other clusters occurred at mid to low latitudes forming sub-regions  
295 both north and south of the equator (Fig. 3).

296

297 [Figure 3]

298

299

300

301 *Regional-scale SSL probability distributions*

302 SPDs were merged by cluster to form six distinct RSPDs (Fig. 4). RSPDs 1 to 5 exhibited  
303 strong compact trunk-like features in depth-MVBS space (Fig. 4). MVBS values of these  
304 RSPDs varied by a factor of 10 from RSPD1 ( $MVBS_{PDSL} = -67$  dB re  $1m^{-1}$ ) to RSPD5 ( $MVBS_{PDSL} =$   
305  $-77$  dB re  $1m^{-1}$ ). There was also an increase in backscattering intensity from day to night at  
306 the surface and a decrease in the mesopelagic depth zone, indicating DVM (Table 1).

307

308 [Figure 4]

309

310 All RSPDs had relatively stable depth structures during both day and night (Fig. 4) i.e. in all  
311 regions there was a component of the DSL assemblage that did not migrate, suggesting that  
312 'resident' night-time DSLs are a ubiquitous feature of open-ocean pelagic ecosystems. This  
313 phenomenon could be explained by a component of the DSL consisting of either a  
314 temporary (e.g. through ontogenetic migration) or permanent (e.g. non-migrating fish  
315 species) resident mesopelagic community, or by asynchronous vertical migration (e.g.  
316 Dupont et al. 2009) where individuals of a given species behave as individuals, each  
317 selectively undertaking migration (intermittently or opportunistically) at a time cued by  
318 some individual trigger (e.g. predation pressure/food availability).

319 RSPD6, by contrast, was characterised by a broad, shallow probability distribution (Fig. 4),  
320 i.e. SSLs varied substantially in both depth and MVBS and there was no common structure.  
321 This RSPD arises from seasonally-limited sampling, so is not an artefact caused by blurring of  
322 temporal variability (Table 1, SCI = 1.8). It is formed from cells with low DSL vertical stability

323 (Fig. 2) and cells that contain relatively low MVBS SSLs ( $< -85$  dB re  $1\text{m}^{-1}$ , see Fig. 4). RSPD6  
324 MVBS increased from day to night in the mesopelagic (Table 1).

325

326 [Table 1]

327

### 328 *Depth structure and DSL stability of RSPDs*

329 RSPDs were ranked by  $s_{\text{meso}}$ , which is reflected by the decreasing value of  $\text{MVBS}_{\text{PDSL}}$  (Table 1  
330 and Fig. 5) from RSPD1 to 6. Analysis of the mesopelagic depth structure (number and depth  
331 of DSLs) and DSL vertical stability ( $P_{z[40-200]}$ , see Eq. 5), enabled categorisation of the RSPDs  
332 into 3 DSL types: 1.) Single-Shallow DSL (SS-DSL: RSPD1, 3 and 5), a single DSL at c. 500 m, 2.)  
333 Double-Deep DSL (DD-DSL: RSPD2 and 4), two DSLs at c. 600 m and 850 m and 3.)  
334 Unclassified DSL (U-DSL: RSPD6), highly variable depth structure and/or low ( $< -85$  dB re  $1\text{m}^{-1}$ )  
335 MVBS values (Table 1, Fig. 2, 4 and 5).

336

337 [Figure 5]

### 338 **Discussion**

339 The RSPDs defined here give new insight to fine-scale (10s of m) depth structure of open-  
340 ocean communities and their day-to-night vertical stability (i.e. probability of observation at  
341 depth) and MVBS variability. They provide evidence that regional-scale spatially coherent  
342 community depth structures exist between 0 and 1200 m (Fig. 3 and 4). Since DSL metrics  
343 (e.g.  $Z_{\text{PDSL}}$  and  $\text{MVBS}_{\text{PDSL}}$ , see Table 1) are characteristics of the underlying mesopelagic



344 biological communities and that similar partitions arise from environmentally-based  
345 regionalisations (e.g. Longhurst provinces), then the observed cohesion here is likely to be  
346 due to environmental control. The between-region differences in DSL vertical stability and  
347 MVBS variability (Fig. 2, 4 and 5) are not artefacts of uneven sampling effort (see SCI in  
348 Table 1 and Fig. 2). The most vertically stable region was RSPD4 (defined by highest  $P_{\text{PDSL}}$   
349 values, see Table 1) which occurred in the Southern Indian Ocean (Fig. 3), the area for which  
350 we have full seasonal sampling coverage (Table 1, SCI = 3.1). Conversely, the high vertical  
351 instability in the polar regions was evident in our seasonally-restricted data (we do not have  
352 data for the logistically-challenging winter period, see Table 1, RSPD6, SCI = 1.8). All RSPDs  
353 include resident night time DSLs which adhere to their daytime depth (Fig. 4). Spatial  
354 variability in DSL number and fine-scale depth structure will impact predator-prey  
355 interactions in pelagic food-webs and carbon transfer in the water-column via the biological  
356 carbon pump (Klevjer et al. 2016). Such variability should be considered in ocean  
357 partitioning schemes and in the design of mesopelagic components of ecosystem and  
358 biogeochemical models.

359

### 360 *Implications for predator-prey interactions*

361 DSL inhabitants (e.g. micronektonic organisms such as mesopelagic fish) represent a  
362 potentially rich food resource for both epipelagic predators (e.g. southern bluefin tuna  
363 (*Thunnus maccoyii*) and Pacific bluefin tuna (*Thunnus orientalis*); Bestley et al. 2008) at night  
364 and deep-sea consumers during the day (Hazen & Johnston 2010). Variability in daytime and  
365 night-time depth of DSLs, spatially characterised by RSPDs (Fig. 4), will likely impact the  
366 energy budgets of their inhabitants and deep-diving air-breathing predators (e.g. Southern

367 Elephant seals *Mirounga leonina*) for which DSLs constitute a dynamic prey-landscape  
368 (Boersch-Supan et al. 2012). For active vertical migrators, the opportunity to feed (and  
369 digest) in shallow, warm and productive waters may bring metabolic advantages that  
370 outweigh the cost of migration. For predators, however, the fact that potential prey  
371 biomass is deep during the day may effectively take it out of their reach: prey may exist but  
372 be inaccessible.

373 Predators adjust the time allocated to foraging according to the prey patch quality  
374 (Schoener 1979, Mori & Boyd 2004). Deep-diving air-breathing predators that are  
375 constrained by their oxygen requirements have been observed to rely on spatially  
376 predictable foraging grounds (Brown 1980, Charrassin & Bost 2001). Variation in prey  
377 availability leads predators to adjust their foraging behaviour and/or location, affecting their  
378 foraging success, which in turn has an impact on survival, breeding success, and eventually  
379 population abundance (New et al. 2014). Mesopelagic fish are a key component of the DSL  
380 as well as an important prey item for King penguins and Southern Elephant seals (Olsson &  
381 North 1997, Vacquié-Garcia et al. 2015). Both Southern Elephant seals and King penguins  
382 routinely dive to depths coincident with the DSL although direct evidence for foraging on  
383 DSLs by these species remains lacking. King penguins can dive down to depths of c. 400 m  
384 (Charrassin et al. 2002) and Southern Elephant seals have dive ranges beyond the  
385 mesopelagic zone (down to 2000 m; McIntyre et al. 2010). If they do feed upon DSLs,  
386 variation in DSL depth will impact the energy expenditure of their dives.

387 The daytime vertical range of DSLs in RSPD1, 3 and 5 extends to c. 400 m at their shallowest  
388 extent, whereas in RSPD2 and 4, DSLs reside slightly deeper at their shallowest extent (c.  
389 500 m, see Fig. 4). Geographically, the only RSPDs within the latitudinal feeding range of

390 King penguins (i.e. south of the polar front) are the shallower DSLs (e.g. RSPD5 see Fig. 3). It  
391 is perhaps no coincidence that at the far extent of the King penguin's diving range, prey  
392 biomass starts to increase because predation pressure upon DSL occupants is reduced.  
393 Vertical zonation is a common phenomenon in the marine realm. The most readily apparent  
394 examples come from the intertidal, where the lower depth distributions of many species are  
395 set by predation (e.g. Luckens 1975). On land, a vivid evidence of the impact of consumption  
396 on vertical distribution is seen by the browsing of giraffes on trees (Woolnough & Du Toit  
397 2001). However, although the probability of DSL observation at shallower depths is low in  
398 RSPD1, 3 and 5 (Fig. 4), they have been observed on occasion (< 10% probability), and we  
399 have sampled from an incomplete dataset both temporally (e.g. missing winter period in the  
400 Southern Ocean) and spatially (e.g. missing large sections of the Atlantic and eastern  
401 boundary upwelling systems).

402 The energy consumption by mesopelagic organisms that actively migrate can be divided into  
403 four different energy-consuming activities: i) foraging at the surface during the night (e.g.  
404 Dypvik & Kaartvedt 2013); ii) buoyancy control, via a gas bladder, lipid investment or by  
405 swimming (Proud et al. 2018); iii) predator evasion (Hays 2003), and iv) actively swimming  
406 during vertical migration (Brierley 2014). Variability in DSL depth directly impacts activities  
407 ii-iv to different degrees. For example, a gas-bladdered fish that re-inflates its gas bladder at  
408 depth to maintain neutral buoyancy, moving from a daytime position of 500 m down to 600  
409 m (e.g. from RSPD1 to RSPD2), needs to produce more gas (due to higher pressure) to  
410 remain neutrally buoyant. The fish may also experience reduced predation from above by  
411 becoming inaccessible to some predators (e.g. King penguins), and more energy is required  
412 to vertically migrate. Foraging will also be impacted indirectly, as the energy remaining after  
413 other activities (ii-iv) may limit energy availability for foraging.

414 To investigate further, fine-scale predator-prey studies between access-restricted diving  
415 predators and DSLs should be conducted.

416

#### 417 *Low deep scattering layer vertical stability in Polar Regions*

418 We have revealed two different DSL depth structures, Single-Shallow DSL (SS-DSL) and  
419 Double-Deep DSL (DD-DSL). The remaining cluster, RSPD6, found mainly in polar regions  
420 (Fig. 3), consisted of SPDs with low DSL vertical stability (Fig. 2) and relatively low intensity  
421 scattering layers (Fig. 4). Polar regions are cold, metabolic rates are reduced and life cycle  
422 stages are longer, reducing survival probability of larvae and hence lowering trophic  
423 efficiency (Rogers et al. 2011). There are relatively few mesopelagic fish species in the polar  
424 regions (3 spp. of *Myctophidae* in the Arctic and 19 in the Antarctic compared with > 100  
425 spp. in the Indian Ocean, [www.fishbase.org](http://www.fishbase.org)), which may lead to reduced productivity and  
426 ecosystem stability (Johnson et al. 1996). As the climate warms, fish diversity in polar  
427 regions may increase (e.g. Kaartvedt & Titelman 2018) and, with it, ecosystem stability and  
428 biomass may increase. In the Southern Ocean, a proportion of the fish population is  
429 believed to be migratory, spending their early life-cycle stages equatorward of the polar  
430 front (Saunders et al. 2017) and progressing towards the Antarctic shelf as adults, following  
431 Bergmann's Rule (Saunders & Tarling 2017). Since fish are relatively strong scatterers  
432 compared with zooplankton (Lavery et al. 2007), high spatial and temporal variability in  
433 community composition (proportion of zooplankton to fish) and biomass, along with patchy  
434 immigrations, could lead to the observed low vertical stability in DSL depth (see Table 1 and  
435 Fig. 2) and high variability in MVBS (Fig. 4, RSPD6).

436

437 *Partitioning the ocean*

438 The spatial coherence of the clusters (see Fig. 3) provides evidence that pelagic communities  
439 as described using SSL characteristics (z, MVBS etc.) are distinct at the regional-scale. This is  
440 particularly apparent in the south Indian Ocean region, where even though the underlying  
441 data had the most extensive seasonal coverage (Table 1, RSPD4, SCI = 3.1), spatially  
442 coherent regions formed. The spatial extent of the RSPDs varied geographically. Across the  
443 North Atlantic, for example, the SSL structure varied substantially, shifting between 4  
444 different RSPDs over a relatively small distance (Fig. 3). Anderson et al. (2005) reported  
445 similar findings, observing high spatial and seasonal variability in DSL depth and echo  
446 intensity, inferring that changes in oceanographic regimes were responsible. Conversely, in  
447 the North Pacific, the SSL structure was more spatially stable, formed in the majority of a  
448 single RSPD (Fig. 3).

449 Flynn and Marshall (2013) describe four zoogeographic regions off eastern Australia based  
450 on lanternfish species occurrence data and related environmental variables (nitrate,  
451 phosphate, oxygen, salinity and temperature). The four regions, Coral Sea, Subtropical  
452 Lower water, Subantarctic, and Subtropical Convergence zone (South Tasman region)  
453 correspond spatially to our RSPD5, 3, 6 and 1 respectively (Fig. 3 here and Flynn & Marshall's  
454 (2013) Fig. 7). There is a stark difference between the Subantarctic region (RSPD6), also  
455 defined by Longhurst (2007) as the Subantarctic water ring (SANT, Fig. 3), and the other  
456 three RSPDs/zoogeographic regions, which all fall into the SS-DSL depth structure type and  
457 are not as well-defined (Flynn & Marshall 2013, Fig. 7). In Flynn and Marshall's  
458 bioregionalization model (2013), latitude is a significant covariate and they suggest that this  
459 is a proxy for some unknown parameter, speculating that it could be related to food source

460 distribution, breeding, competitive exclusion or a consequence of larval transport barriers or  
461 aggregating eddies. Here, the RSPDs are distinguished by their DSL echo intensity, which  
462 increases from RSPD1 to RSPD6 (Table 1). This increase could be related to an increase in  
463 biomass (Irigoien et al. 2014), and therefore related to food source distribution, or may just  
464 be a consequence of differences in fish population scattering properties (Davison et al.  
465 2015).

466 Recently, Proud et al. (2017), described a mesopelagic biogeography based on the daytime  
467 depth of the principal DSL and 38 kHz backscattering intensity of observed daytime DSLs.  
468 They predicted global mesopelagic backscatter using a simple linear model in which the  
469 product of PP and temperature at the depth of the principle DSL was used as a predictor  
470 variable. In this study, we have defined RSPDs based on the full water-column SSL structure  
471 (not just the depth of the principle DSL), and quantified vertical stability of these structures.  
472 By including consideration of the full water-column structure, ecological partitions could be  
473 constructed that are more suitable for studies where fine-scale distribution of DSLs is  
474 required e.g. foraging behaviour of deep-diving predators such as Elephant Seals and King  
475 penguins in the Southern Ocean (Boersch-Supan et al. 2012).

476

#### 477 *Mesopelagic components in Ecosystem models*

478 Recognition of the importance of the role of diel vertical migration in the carbon cycle has  
479 increased over the last decade (Van De Waal et al. 2010, Doney et al. 2012, Passow &  
480 Carlson 2012, Giering et al. 2014, Mitra et al. 2014), but modelling of these processes at  
481 fine-scales has not developed as quickly. Traditional ecological models such as Ecopath  
482 (Christensen & Walters 2004) do not explicitly define depth structure. Newer, more complex

483 models such as Atlantis (Fulton et al. 2011) have both diel variability and integrated depth  
484 levels. Modelers are now beginning to adapt their models. For example, SEAPOYDM  
485 (Lehodey et al. 2008) has recently been updated to included DVM behaviour and  
486 consideration of DSL depth structure related to euphotic depth (Lehodey et al. 2014).  
487 Accurate representation of the BCP in these models is important because output from these  
488 models feed into climate/Earth-system models.

489

#### 490 *Conclusions*

491 Regional-scale, spatially and vertically coherent, water-column community depth structures  
492 can be derived from echosounder observations. In total, we describe six regional-scale  
493 sound scattering layer probability distributions from a near-global acoustic dataset. Other  
494 characteristic SSL depth structures may exist in regions for which we had no observations  
495 e.g. in the central and South Atlantic and the eastern boundary upwelling systems.  
496 Variability in deep scattering layer (DSL) number, depth, mean volume backscattering  
497 strength and vertical stability drive the characteristic forms of these day-night depth  
498 structures (Single-Shallow DSL and Double-Deep DSL) and these forms will likely impact the  
499 efficiency of the biological carbon pump and predator-prey interactions. The results  
500 presented here highlight the variability in fine-scale depth structure and vertical stability of  
501 the mesopelagic community throughout the global ocean. Both of these should be  
502 considered when partitioning the ocean's water-column into bioregions, and in the future  
503 development of ecological models.

504

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511

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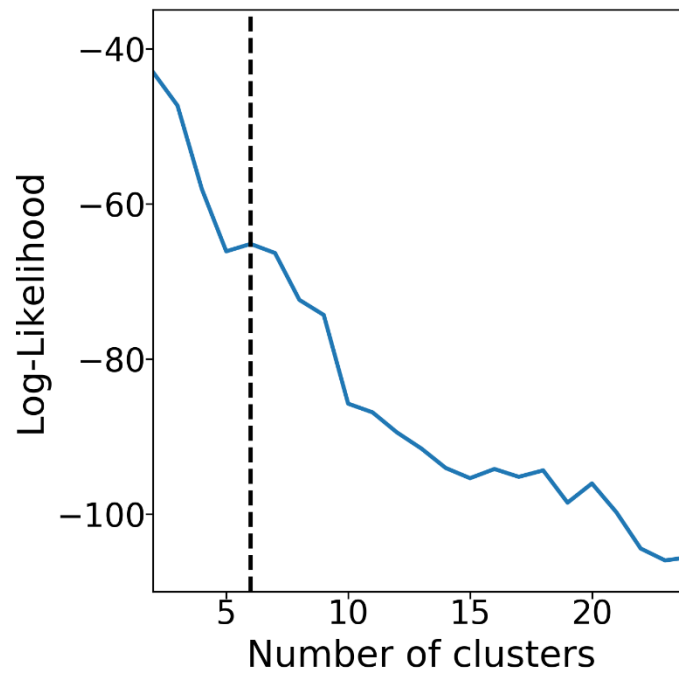
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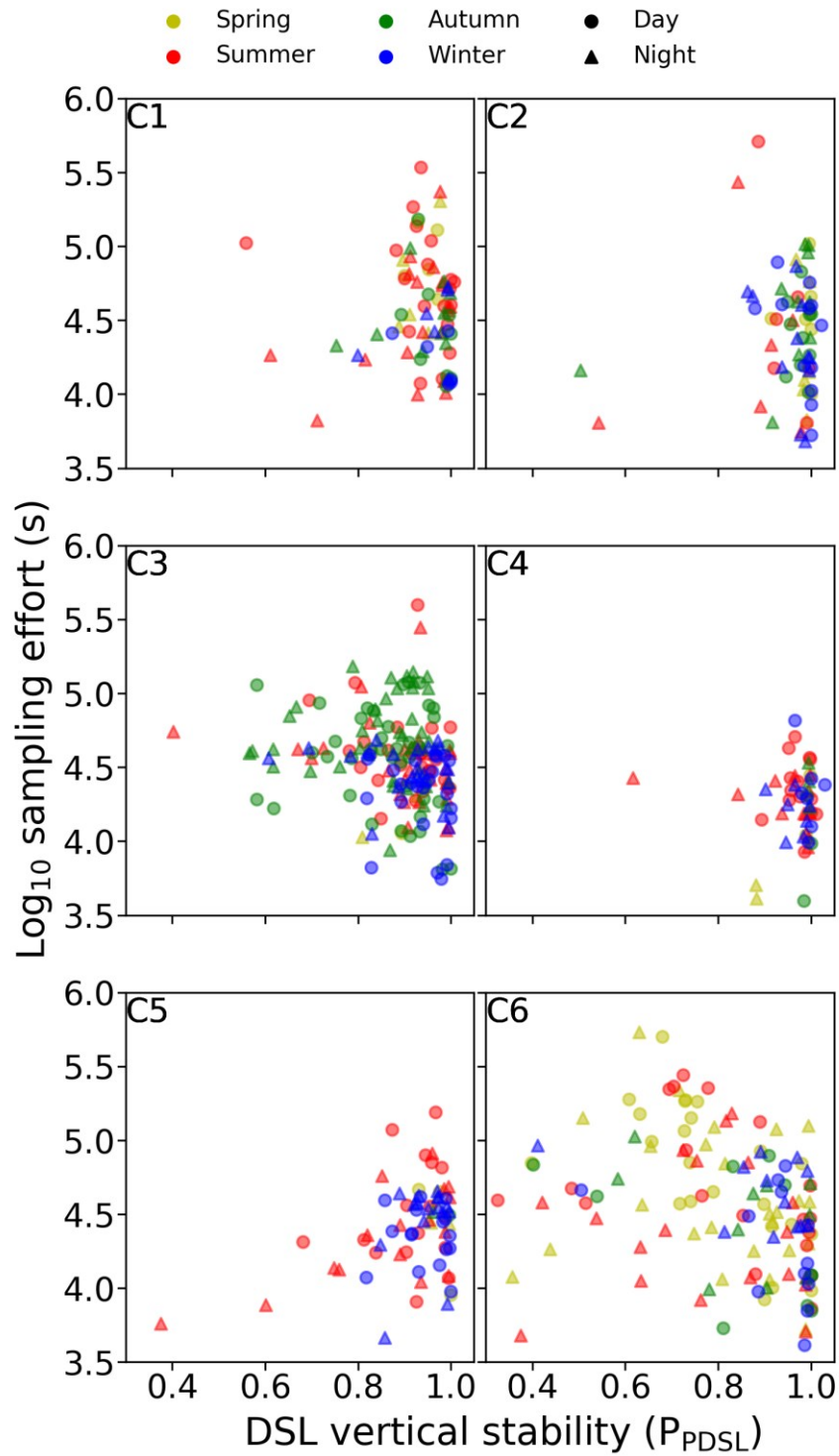


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720 Fig. 1. Change in Log-Likelihoods by number of k-means clusters. Six clusters were selected

721 (indicated by a black dashed line) on the basis that an elbow-like feature with an increasing

722 Log-Likelihood at that scale diverged from the otherwise decreasing linear trend.



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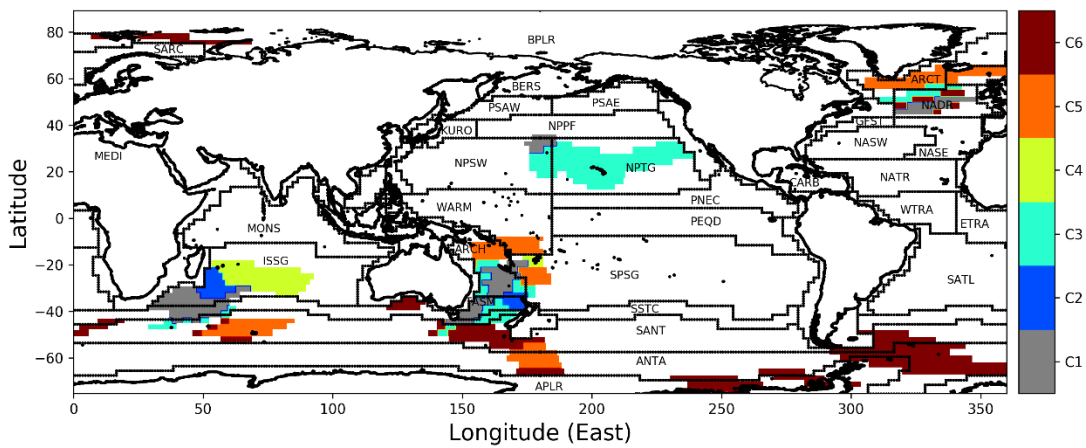
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Fig. 2. Deep scattering layer (DSL) vertical stability, defined as the maximum probability of DSL observation ( $P_{PDSL}$ ) and sampling effort (echosounder observations) by season, diel state and cluster for each local-scale (300 by 300 km cell) sound scattering layer probability distribution.

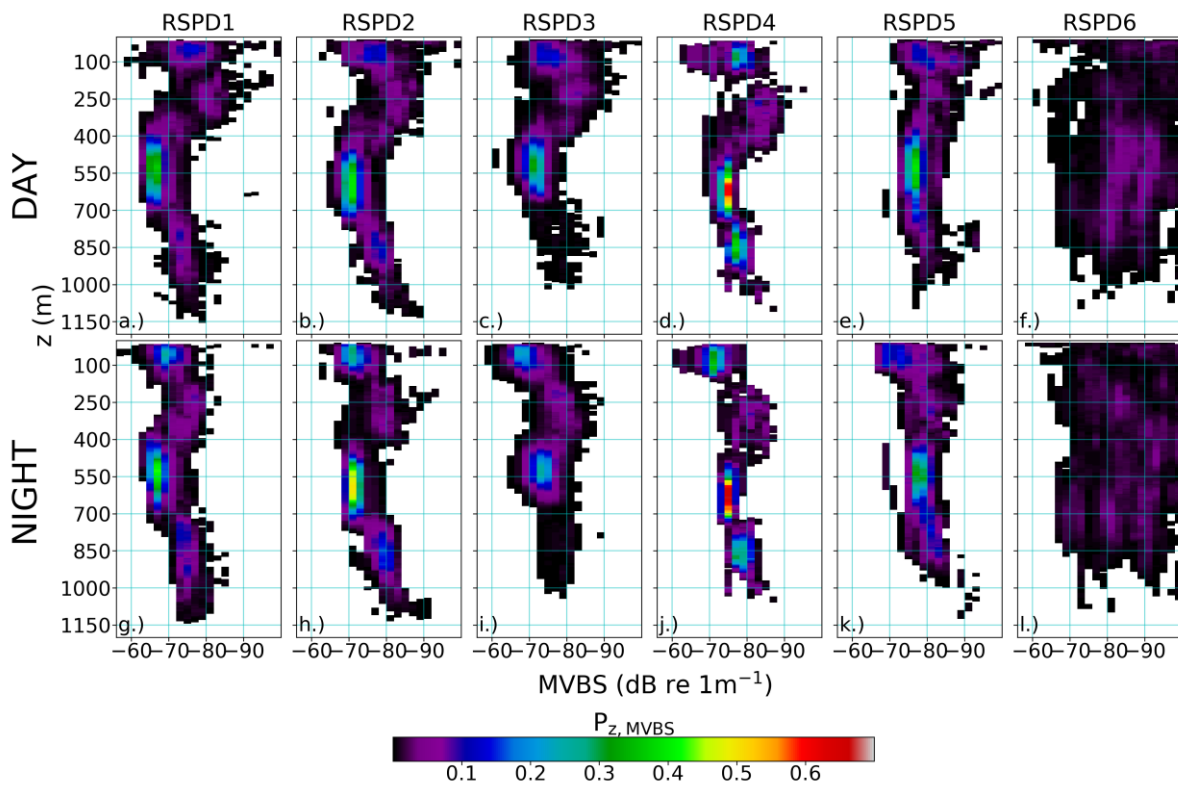


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729 Fig. 3. Geographical distribution of echosounder data (coloured cells) and sound scattering

730 layer probability distribution cluster membership (C1 to C6). Longhurst's (2007) pelagic

731 ocean provinces are shown for reference, labelled by their short-name.



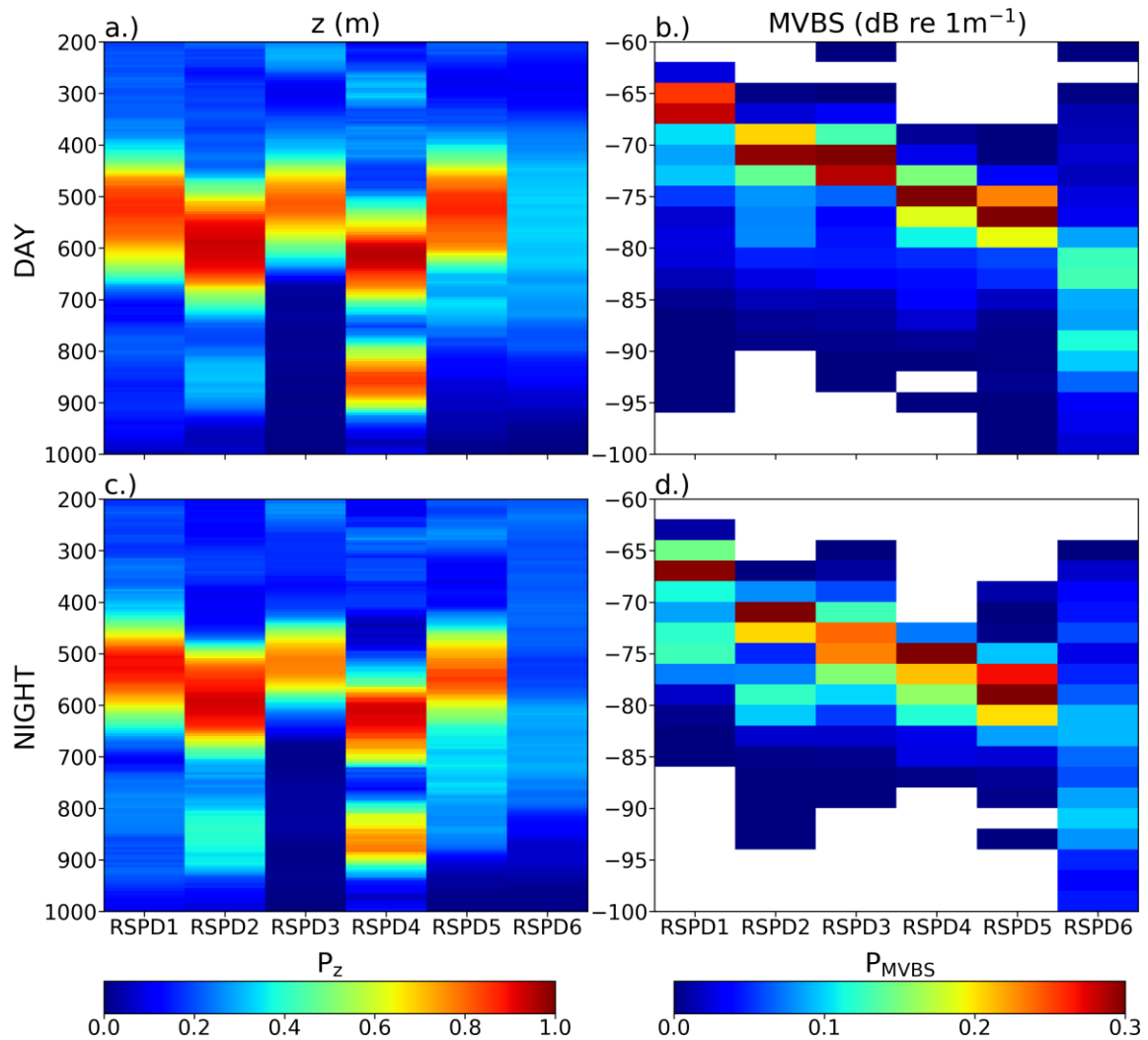
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733 Fig. 4. Regional-scale sound scattering layer probability distributions (RSPDs) plotted in

734 depth-MVBS space. Each RSPD has a day and night component.  $P_{z, MVBS}$  is the probability of

735 observing a sound scattering layer of a given depth ( $z$ ) and MVBS value. White regions

736 indicate a probability of 0 i.e. no sound scattering layers were observed in the region  
 737 represented by the RSPD for those specific depth-MVBS combinations.



738  
 739 Fig. 5. Stability of deep scattering layer (DSL; sound scattering layer > 200 m) depth and  
 740 mean volume backscattering strength (MVBS) for each regional-scale sound scattering layer  
 741 probability distribution (RSPD).  $P_z$  (panels a and c), is the probability of DSL observation by  
 742 depth and,  $P_{MVBS}$  (panels b and d), is the probability of an observed DSL having a specific  
 743 MVBS value.

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745

746 **Tables**

RSPD	SCI (1-4)	Day				Night			
		Z <sub>PDSL</sub> (m)	MVBS <sub>PDSL</sub> (dB re 1m <sup>-1</sup> )	S <sub>meso</sub> (m <sup>2</sup> nmi <sup>-2</sup> )	S <sub>epi</sub> (m <sup>2</sup> nmi <sup>-2</sup> )	Z <sub>PDSL</sub> (m)	MVBS <sub>PDSL</sub> (dB re 1m <sup>-1</sup> )	S <sub>meso</sub> (m <sup>2</sup> nmi <sup>-2</sup> )	S <sub>epi</sub> (m <sup>2</sup> nmi <sup>-2</sup> )
1	2.1	510 (0.87)	-67 (0.23)	2692	139	525 (0.91)	-67 (0.27)	2173	479
2	2.9	590 (0.94)	-71 (0.25)	1103	143	585 (0.93)	-71 (0.33)	848	368
3	1.7	510 (0.82)	-73 (0.25)	679	121	510 (0.77)	-73 (0.2)	390	650
4	3.1	615 (0.95)	-75 (0.31)	517	232	605 (0.97)	-75 (0.31)	370	511
5	1.8	530 (0.87)	-77 (0.35)	287	44	545 (0.85)	-79 (0.26)	215	280
6	1.8	625 (0.44)	-83 (0.12)	95	19	615 (0.46)	-91 (0.09)	152	35

747

748 Table 1. Regional-scale sound scattering layer (SSL) probability distribution (RSPD)  
 749 characteristics ranked in accordance to their daytime S<sub>meso</sub> values. SCI is the seasonal  
 750 coverage index, which ranges between 1 (single season) and 4 (all seasons uniformly  
 751 represented). Z<sub>PDSL</sub>, is the principal (most common) deep scattering layer (DSL; SSL deeper  
 752 than 200 m) depth, MVBS<sub>PDSL</sub>, is the most likely MVBS value for the principal DSL, given that  
 753 a DSL is observed, and S<sub>meso</sub> and S<sub>epi</sub>, are the nautical area scattering coefficient (NASC)  
 754 values for SSLs found within the mesopelagic (200 – 1000 m) and epipelagic (0 – 200 m)  
 755 zones respectively. Bracketed values are stability of principal DSL depth (P<sub>PDSL</sub>) and principal  
 756 DSL MVBS value (P<sub>PMVBS</sub>). Day-to-night increase in NASC in the epipelagic and decrease in the  
 757 mesopelagic implies DVM (shaded cells).

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