



# **Evolutionary impact assessment: accounting for evolutionary consequences of fishing in an ecosystem approach to fisheries management**

**Laugen, A.T., Engelhard, G.H. and Dieckmann, U.**

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## Interim Report

IR-12-046

### **Evolutionary impact assessment: Accounting for evolutionary consequences of fishing in an ecosystem approach to fisheries management**

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1 **Evolutionary impact assessment: Accounting for evolutionary**  
2 **consequences of fishing in an ecosystem approach to fisheries**  
3 **management**

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35 **Running title**

36 Evolutionary impact assessment

37

38 **Abstract**

39 Managing fisheries resources to maintain healthy ecosystems is one of the main goals of the  
40 ecosystem approach to fisheries (EAF). While a number of international treaties call for the  
41 implementation of EAF, there are still gaps in the underlying methodology. One aspect that has  
42 received substantial scientific attention recently is fisheries-induced evolution (FIE). Increasing  
43 evidence indicates that intensive fishing has the potential to exert strong directional selection on  
44 life-history traits, behaviour, physiology, and morphology of exploited fish. Of particular concern is  
45 that reversing evolutionary responses to fishing can be much more difficult than reversing  
46 demographic or phenotypically plastic responses. Furthermore, like climate change, multiple agents  
47 cause fisheries-induced evolution with effects accumulating over time. Consequently, FIE may alter  
48 the utility derived from fish stocks, which in turn can modify the monetary value living aquatic  
49 resources provide to society. Quantifying and predicting the evolutionary effects of fishing is  
50 therefore important for both ecological and economic reasons. An important reason this is not  
51 happening is the lack of an appropriate assessment framework. We therefore describe the  
52 evolutionary impact assessment (EvoIA) as a structured approach for assessing the evolutionary  
53 consequences of fishing and evaluating the predicted evolutionary outcomes of alternative  
54 management options. EvoIA can contribute to the ecosystem approach to fisheries management by  
55 clarifying how evolution may alter stock properties and ecological relations, support the  
56 precautionary approach to fisheries management by addressing a previously overlooked source of  
57 uncertainty and risk, and thus contribute to sustainable fisheries.

58 **Keywords**

59 Ecosystem approach to fisheries, ecosystem services, fisheries-induced evolution, fisheries yield,  
60 impact assessment, sustainable fisheries.

61

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93 **1. Introduction**

94 Maintaining a healthy ecosystem while balancing competing interests of stakeholders is one of the  
95 main goals of the ECOSYSTEM APPROACH TO FISHERIES (EAF; FAO 2003). Although there is increasing  
96 scientific agreement that EAF must encompass all aspects of an ecosystem and a number of  
97 international treaties call for the implementation of the EAF, management of marine environments  
98 still largely concentrates on the yields extracted from harvestable resources. When management of  
99 these resources considers biological consequences of intense exploitation, the main focus usually  
100 lies on reducing the demographic and ecological effects of fishing. While this is undeniably  
101 important, ignoring other biological effects of fishing conflicts with the EAF. One such effect is  
102 temporal change in the life-history TRAITS of exploited STOCKS, which many researchers have partially  
103 attributed to FISHERIES-INDUCED EVOLUTION (FIE; Law and Grey 1989; Law 2000; Jørgensen *et al.* 2007;  
104 Allendorf *et al.* 2008). The most notable changes are shifts in maturation schedules towards earlier  
105 maturation at smaller sizes, which may negatively influence stock productivity and resilience to  
106 environmental change (Jørgensen *et al.* 2007). Despite mounting evidence for its prevalence, the  
107 ecological and socio-economic consequences of FIE are not yet fully appreciated. Several studies  
108 have warned that ignoring FIE could result in negative impacts on the UTILITY of exploited stocks,  
109 including reduced yield (Law and Grey 1989; Conover and Munch 2002; Matsumura *et al.* 2011),  
110 diminished genetic diversity (reviewed by Allendorf *et al.* 2008) and impaired recovery potential of  
111 stocks (de Roos *et al.* 2006; Walsh *et al.* 2006). FIE may therefore influence the profitability and  
112 viability of the fishing industry (Eikeset 2010), the quality of recreational fisheries (Matsumura *et al.*  
113 2011), and certain aspects of coastal tourism (Jørgensen *et al.* 2007).

114 Assessments of exploited fish stocks are often highly uncertain (Cadrin and Pastoors 2008) and  
115 quantifying uncertainty in stock assessments has therefore been strongly advocated (e.g. Restrepo  
116 1999). Given that ecologically driven uncertainty is large, it is not surprising that the considerable  
117 uncertainties associated with FIE are currently not accounted for in traditional forecasts of stock  
118 development. However, as stocks subject to heavy exploitation are expected to evolve over time

119 (Allendorf *et al.* 2008; Darimont *et al.* 2009), stock assessments and management advice ignoring  
120 evolutionary changes are likely to be less accurate than those accounting for the possibility of such  
121 changes. For example, estimated target or limit reference points may be biased when FIE is not  
122 accounted for (Hutchings 2009; ICES 2009; Enberg *et al.* 2010). Because of the complex nature of the  
123 ecological and evolutionary forces shaping populations, species, and ecosystems, fisheries scientists  
124 and managers need robust methods for evaluating the occurrence and extent of FIE, and for  
125 assessing its effects on the monetary value that fish stocks provide to society. Furthermore, as life-  
126 history changes caused by FIE could be more difficult to reverse than plastic changes within the time  
127 periods relevant for fisheries management (Law and Grey 1989; de Roos *et al.* 2006; Conover *et al.*  
128 2009; Enberg *et al.* 2009), it is vital to assess the likely impacts of FIE while mitigating actions can still  
129 be implemented in an effective manner. Owing to uncertainty about the rate and extent of FIE, its  
130 potential negative implications for the utility of stocks, and its likely slow reversibility, incorporating  
131 FIE in stock assessments is mandated by the PRECAUTIONARY APPROACH to sustainable fisheries  
132 management (FAO 2003).

133 Common garden experiments have revealed rapid shifts in growth rate over relatively few  
134 generations in response to size-selective harvesting (Atlantic silversides, *Menidia menidia*; Conover  
135 and Munch 2002) and in age and size at maturation at experimentally increased mortality levels  
136 mimicking those imposed by commercial fishing (Trinidadian guppies, *Poecilia reticulata*; Reznick  
137 and Ghalambor 2005). Notwithstanding the experimental evidence and the theoretical expectations  
138 that genetic changes in heavily exploited POPULATIONS are inevitable (Allendorf *et al.* 2008; Darimont  
139 *et al.* 2009), separating the effects of genetic processes and phenotypic plasticity on temporal trends  
140 in the wild is difficult due to the lack of controlled environmental conditions (Kuparinen and Merilä  
141 2007). Detecting the presence of FIE and determining its relative importance is thus not  
142 straightforward. From a short-term perspective quantifying the genetic and environmental causes  
143 behind changing phenotypic trends may therefore seem unnecessary. After all it is likely that a  
144 substantial proportion of the observed phenotypic changes are environmentally induced, and

145 changing phenotypes will influence the utility of fish stocks irrespective of genetic or environmental  
146 origin. However, the long-term impacts on utility may differ greatly between environmentally and  
147 genetically induced changes in phenotypes. For example, if a fishing moratorium in a particular stock  
148 is implemented, plastic changes can be reversed relatively quickly. However, reversing genetic  
149 trends caused by high fishing mortality may take hundreds if not thousands of years of natural  
150 selection that commonly is much weaker than human-induced selection (Law and Grey 1989;  
151 Darimont *et al.* 2009; Enberg *et al.* 2009, but see Edeline *et al.* 2007; Palkovacs *et al.* 2011 for claims  
152 that release from predation pressure can result in rapid genetically based phenotypic change).

153         Recent analyses of different fishery selectivity patterns can be used to formulate some general  
154 expectations for FIE in exploited stocks and suggest ways to mitigate or reduce these impacts (Table  
155 1). However, given the complexity of the interactions between historical, current and predicted  
156 natural and harvest-induced selection, simple rule-of-thumbs are not reliable in all situations. Thus,  
157 we urgently need more stock-specific models accounting for the ECO-EVOLUTIONARY DYNAMICS of  
158 exploitation. While accounting for genetic changes in stock properties is warranted under the EAF  
159 paradigm, to date the estimation of FIE and its effects on utility has occurred only sporadically,  
160 mostly in academic settings, and without a collection of appropriate analytical tools. The  
161 evolutionary impact assessment (EvoIA) introduced by Jørgensen *et al.* (2007) is meant to serve as a  
162 component of the management-strategy evaluation (MSE) framework in fisheries (Smith *et al.* 1999).  
163 It aims at moving one step further towards bridging the gap between current fisheries management  
164 and the EAF by accounting for an underappreciated aspect of the biological consequences of fishing.  
165 By using a variety of methods, EvoIA aims to quantify the potential costs of FIE and to evaluate the  
166 evolutionary consequences of alternative management options for mitigating potential undesired  
167 impacts. Here, we expand upon the concept of EvoIA introduced by Jørgensen *et al.* (2007). We start  
168 by giving an overview of fishery systems and how FIE may influence their various components  
169 (Section 2; Fig. 1). We then outline how an EvoIA can help quantify the effects of FIE on the different  
170 components of a stock's utility (Section 3 and 4; Figs. 2-5). We also explain how to carry out an EvoIA

171 in practice, highlight which methods are available for that purpose, and point to studies that have  
172 used these methods to quantify FIE (Section 5; Fig. 6). Finally, we describe how an EvoIA may  
173 support the transition from traditional fisheries management to implementing the EAF (Section 6;  
174 Fig 7). Key terms and abbreviations are explained in Box 1 and highlighted with small capitals on  
175 their first occurrence in the main text.

## 176 **2. Processes in fisheries and their relation to FIE**

177 FIE may affect all parts of a FISHERY SYSTEM: (i) the natural system, including the target stock, non-  
178 target species, and the surrounding ecosystem and its physical environment, (ii) the resulting  
179 ECOSYSTEM SERVICES generated by targeted fish stocks, (iii) the management system, and (iv) the socio-  
180 economic system (Fig. 1). Each of these subsystems can be described at multiple levels of complexity  
181 (Charles 2001), such as single-species or multi-species ecology, single-component or multi-  
182 component ecosystem services, single-agency or multi-agency management, and single-fleet or  
183 multi-fleet fisheries. Because these subsystems interact, the impacts of FIE may result in cascades of  
184 indirect effects rippling through a fishery system (Fig. 2; Jackson *et al.* 2001).

### 185 **From fishing pressures to ecosystem dynamics**

186 Fishing impacts the natural system in several ways. First are the demographic effects on target  
187 stocks (Beverton and Holt 1957) such as reduced abundance and biomass (Hutchings and Myers  
188 1994; Toresen and Østvedt 2001), truncated age and size structure (Jørgensen 1990), and modified  
189 geographical distribution (Overholtz 2002). Demographic changes may have consequences for the  
190 genetic composition of stocks including altered population genetic subdivision and erosion of  
191 genetic diversity (Allendorf *et al.* 2008). Second are the effects on trait expression through  
192 phenotypic plasticity. Reduced abundances may lead to increased *per capita* resource availability  
193 and thus to faster individual growth and reduced age at maturation (Jørgensen 1990; Engelhard and  
194 Heino 2004), the latter of which might change maternal-effect contributions and average fecundity  
195 (Venturelli *et al.* 2009; Arlinghaus *et al.* 2010). Exposure to fishing may result in behavioural gear

196 avoidance (Wohlfarth *et al.* 1975; Raat 1985; Askey *et al.* 2006; Rijnsdorp *et al.* 2008) and modified  
197 migration routes (Prodanov *et al.* 1995; Jørgensen *et al.* 2008; Parsons 2011), and truncated  
198 population structures can alter size-based behavioural interactions within and among species (Huse  
199 *et al.* 2002). Third are the adaptive genetic consequences of fishing (Heino and Godø 2002). Fishing  
200 pressure may selectively favour earlier maturation at smaller size (reviewed by Jørgensen *et al.*  
201 2007), change the shape of reaction norms for maturation (Christensen and Andersen 2011; Marty  
202 *et al.* 2011), alter growth rates (Sinclair *et al.* 2002; Edeline *et al.* 2007; Swain *et al.* 2007; Nusslé *et*  
203 *al.* 2008), and change reproductive investment (Yoneda and Wright 2004; Rijnsdorp *et al.* 2005). It  
204 may also affect behavioural and physiological traits through selection for less vulnerable or bold  
205 individuals (Heino and Godø 2002; Biro and Post 2008; Uusi-Heikkilä *et al.* 2008; Philipp *et al.* 2009)  
206 or by disrupting hermaphroditism (Sattar *et al.* 2008) or sexual selection (Hutchings and Rowe 2008;  
207 Urbach and Cotton 2008). Other possible adaptive changes include altered spawning migrations and  
208 geographical distribution (Jørgensen *et al.* 2008; Thériault *et al.* 2008). Fourth are the effects that go  
209 beyond the target stock. BYCATCH of other species is often inevitable (Goldsworthy *et al.* 2001),  
210 causing changes in demography, phenotypic plasticity, and genetic characteristics of non-target  
211 species. Competitors, predators and prey of target species can be affected (Hiddink *et al.* 2006)  
212 when the properties of target stocks change. The effects of fishing and possibly also FIE can further  
213 induce trophic cascades (Frank *et al.* 2005) and trigger ecosystem-level regime shifts including  
214 nutrient cycling and altered predator-prey interactions (Daskalov *et al.* 2007; Palkovacs *et al.* 2012).  
215 Fifth are the impacts of fishing on the physical environment such as pollution and seafloor habitat  
216 destruction (Watling and Norse 1998). Traditional approaches to fisheries management tend to  
217 focus on demographic effects on target species. However, the EAF necessitates increased awareness  
218 of all impacts of fishing. EvoIA is designed to address the evolutionary dimension of this broadening  
219 focus.

## 220 **From ecosystem dynamics to ecosystem services**

221 The living aquatic resources mentioned above provide a variety of ecosystem services to society and

222 stakeholders (Daily 1997). There are different classifications of these services, each fulfilling a  
223 different purpose (Costanza 2008). In the context of an EvolA, we suggest using the four categories  
224 of ecosystem services considered in the Millennium Ecosystem Assessment (2003). Their definitions  
225 are described in Box 1 and their socio-economic valuation, including UTILITY COMPONENTS and UTILITY  
226 FUNCTIONS, are described in more detail in Section 3 below.

227         The status of an ecosystem determines the status of the associated ecosystem services (Fig.  
228 1), which may be changed by FIE in several ways. FIE typically causes earlier maturation and in some  
229 cases also increased reproductive investment and may therefore lead to a decreased average size at  
230 age after maturation. As a consequence, the biomass caught at a certain fishing-mortality rate  
231 decreases under constant recruitment (Matsumura *et al.* 2011). Furthermore, FIE towards gear  
232 avoidance reduces catch per unit effort or requires continuous development of gears and fishing  
233 techniques (Rijnsdorp *et al.* 2008; Philipp *et al.* 2009). FIE towards diminished genetic diversity may  
234 impair a stock's resilience to environmental perturbations and thereby threaten its stability (Hsieh *et*  
235 *al.* 2010). By changing properties of stocks such as their size structure, FIE could also promote or  
236 even trigger ecological regime shifts in food webs and thus undermine associated regulating services  
237 (Anderson *et al.* 2008). Finally, FIE might impact an ecosystem's cultural value through the genetic  
238 alteration of life histories or behaviour. All these changes feed through to the utility that society  
239 derives from an exploited ecosystem.

#### 240 **From ecosystem services to management measures**

241 The management of aquatic ecosystems involves many stakeholders (Hilborn 2007). Under the EAF  
242 paradigm, fisheries management should consider all stakeholder interests when identifying and  
243 implementing measures for improving the benefits of fishing that might matter to a society.  
244 Together with the demands of stakeholders, the status of the ecosystem services should determine  
245 appropriate management measures (Fig. 1). The management subsystem broadly involves fishery  
246 research, identification of suitable management measures, and policy making, as well as planning,

247 implementation, and development of the fishing industry, including processing and trade. These  
248 tasks in general, and decisions about management measures in particular, imply trade-offs between  
249 different stakeholder interests (Wattage *et al.* 2005). Because FIE may affect ecosystem services as  
250 outlined above, its existence and extent are likely to influence which management measures are  
251 adopted and should also influence fishery data collection and research. EvolA enables fisheries  
252 managers to account for FIE in their decision-making by evaluating the ecological and socio-  
253 economic effects of FIE, and thus highlights opportunities for mitigation. While the management of  
254 other natural resources could also indirectly be affected by FIE, here we focus on the effects of FIE  
255 on fisheries management.

#### 256 **From management measures to fishing pressures**

257 Aided by regulation and enforcement, management measures such as input (e.g. effort limitation  
258 such as seasonal closures or number of hooks allowed) and output (e.g. catch limitations such as  
259 total allowable catches or minimum landing sizes) controls are intended to alter fishing pressure.  
260 However, several factors within the socio-economic subsystem may shape realized fishing pressure  
261 because they influence the decisions taken by individual fishers about their fishing activities (Salas  
262 and Gaertner 2004; Johnston *et al.* 2010). Employment and profit maximization (BenDor *et al.* 2009)  
263 and the OPPORTUNITY COST of fishing (i.e., the cost of forgone activities) are often key considerations.  
264 Community traditions, within-community competition, habits, subsidies and market demands also  
265 influence the dynamics of effort, labour, capital, technology, and activity of a fishing fleet and thus  
266 the total investment, geographic and seasonal distribution, and stock-specific targeting of fishing  
267 efforts (Branch *et al.* 2006; Rijnsdorp *et al.* 2008). In recreational fisheries, non-catch related motives  
268 are additional factors determining the activity of a population of fishers (Johnston *et al.* 2010). The  
269 socio-economic subsystem also comprises the consumers of fishing products. Consumer preferences  
270 define demand, which in turn is mediated by processors and retailers, and which ultimately  
271 determines economic incentives for fishers. Certification schemes designed to alter consumer

272 preferences may create incentives for fishers and managers to bring their practices into better  
273 compliance with the certificate's requirements (Kaiser and Edwards-Jones 2006). A greater  
274 awareness of the potentially adverse effects of FIE among fishers, certification organizations, and  
275 consumers could help divert fishing pressure from stocks that have been identified as particularly  
276 vulnerable to FIE.

### 277 **3. Impacts of FIE on the utility of living aquatic resources**

278 Organizations in charge of fisheries management are often expected to evaluate the link between  
279 biological and socio-economic aspects of fishing (Charles 2001); in many countries this is even  
280 required by law. Nevertheless, explicitly incorporating social objectives into fisheries policy is often  
281 neglected (Symes and Phillipson 2009). As a small contribution towards addressing this issue, EvOlA  
282 is designed to quantify both the ecological and the socio-economic impacts of FIE, in terms of its  
283 potential consequences for the utility of exploited stocks and associated ecosystem components.  
284 This requires attributing values to different ecosystem services (Fig. 2) and quantifying how FIE  
285 changes the utility of fish stocks. Such a task consists of four steps: (i) identifying ecosystem services  
286 provided by living aquatic resources potentially affected by FIE, (ii) valuating these ecosystem  
287 services, (iii) identifying the impacts of FIE on the value of ecosystem services, and (iv) integrating  
288 these values in a global utility function. Below, we describe each of these steps. While a  
289 comprehensive EvOlA covers all four steps, EvOlAs may also comprise just a subset of these steps.

#### 290 **Identifying ecosystem services**

291 A fishery's utility represents the total benefit stakeholders derive from engaging in fishing. The  
292 attributes of fisheries and ecosystems from which stakeholders derive total utility are known as  
293 utility components (Walters and Martell 2004). These include properties such as yield and its  
294 variability, genetic diversity, recreational quality involving both catch (e.g. size of trophy fish) and  
295 non-catch (e.g., aesthetics) components of the experience, fisheries-related employment, or  
296 ecosystem functioning. Some stakeholders value undisturbed stocks and ecosystems, and thus



297 prefer full protection of aquatic biodiversity. However, such objectives usually conflict with the aim  
298 of maximizing fisheries profits or employment, which are the main goals of other stakeholders  
299 (Hilborn 2007). Traditionally, fisheries-management objectives have been tailored towards fishers as  
300 the principal stakeholders (Wattage *et al.* 2005; Hilborn 2007). The primary focus of these  
301 stakeholders is generally maximizing yields or employment (Larkin 1977) in the fisheries industry or  
302 maximizing social yield (Johnston *et al.* 2010) in recreational fisheries. Other utility components,  
303 such as preservation of genetic diversity, natural population structure, or ecological interactions  
304 have only recently received attention. The intangible nature of these latter utility components  
305 makes them more difficult to measure and value (Balmford *et al.* 2002) because they are not  
306 captured by conventional market-based economic activity. However, the need to account for utility  
307 components other than those reflecting direct use is widely recognized and drives the current move  
308 from single-species fisheries management to an ecosystem approach (Francis *et al.* 2007).

309         Utility functions quantify how utility components contribute to a fishery's total utility  
310 according to their values as perceived subjectively by stakeholders. Given the often disparate  
311 interests and objectives among stakeholders (Wattage *et al.* 2005) in terms of outcomes and utility  
312 component combinations (Bannock *et al.* 2003), their utility functions are likely to differ. For  
313 example, a commercial fisher's utility function is mainly driven by the maximization of net revenue  
314 (BenDor *et al.* 2009), while a conservationist might emphasize the preservation of a species' role in  
315 an ecosystem more or less undisturbed by human action. Inputs into fishery utility functions tend to  
316 focus on provisioning services and can include quantities such as annual catch, average size of fish  
317 caught, economic revenue, and catch stability. Additional, sometimes implicit, inputs may be  
318 measures of ecosystem preservation, fisheries-related employment, or fisheries profits (Law 2000;  
319 Wattage *et al.* 2005; Hard *et al.* 2008). Realistically, provisioning services in general and fisheries  
320 yields in particular are expected to be the centre of discussion about the evolutionary impacts of  
321 fishing. Therefore, the potential impacts of FIE on provisioning services will often be the initial focus  
322 of an EvOIA even though the effects on other ecosystem services should eventually also be

323 quantified and addressed. Additionally, because supporting and regulating services cannot always be  
324 easily distinguished (Hein *et al.* 2006), we combine these two service categories, and hereafter refer  
325 to regulating services as comprising all contributions of living aquatic resources to ecosystem  
326 structure, function, and resilience.

### 327 **Valuating ecosystem services**

328 Methods for valuating ecosystem services are described, for example, by Costanza (1997) and  
329 Wallace (2007). For the purpose of this article we distinguish four value categories. Direct-use value  
330 comes from the direct utilization of living aquatic resources, includes consumptive use values (e.g.  
331 harvest) and non-consumptive use values (e.g. recreational catch-and-release fishing or scuba-  
332 diving), and arises from provisioning and cultural services (Fig. 2). Indirect-use value comes from the  
333 indirect benefits that living aquatic resources provide in terms of promoting ecosystem stability and  
334 resilience (e.g. through the maintenance of trophic structures), and primarily arises from regulating  
335 services. Option value comes from the potential future use of living aquatic resources or related  
336 ecosystem components such as yet to be discovered resources with medicinal or industrial use, and  
337 can arise from all ecosystem services. Non-use value comes from attributes inherent to a living  
338 aquatic resource or related ecosystem components that are not of direct or indirect use to members  
339 of society but still provide value to stakeholders (Fig. 2). This includes intrinsic value (based on utility  
340 derived from knowing that something like a species or a natural gene pool exists), altruistic value  
341 (based on utility derived from knowing that somebody else benefits from using nature), and bequest  
342 value (based on utility gained from future improvements in the well-being of one's descendants).  
343 Non-use values only arise from cultural services and ethics and are the most difficult services to  
344 quantify (Hein *et al.* 2006). While it is popular, and sometimes convenient, to express utilities in a  
345 common monetary unit, it should be borne in mind that this is by no means necessary. Elaborate  
346 methodologies such as random-choice theory (McFadden 1974; Hensher *et al.* 2005) exist for  
347 quantifying monetary as well as non-monetary utility components based on statistical information  
348 about stakeholder choices and preferences collected, for example, through questionnaires. For

349 calibrated statistical choice models in the context of fisheries research, see e.g. Aas *et al.* (2000) or  
350 Dorow *et al.* (2010).

### 351 **Impact of FIE on the value of ecosystem services**

352 Evolutionary impacts on the direct-use value of living aquatic resources occur when changes in life-  
353 history traits attributed to FIE positively or negatively affect stock productivity (Enberg *et al.* 2010).  
354 Changes in stock productivity can for example be expected from earlier maturation, increased  
355 reproductive investment and lower growth rates. For instance, North Sea plaice (*Pleuronectes*  
356 *platessa*, Pleuronectidae) now mature at younger ages and smaller sizes than in the past (Grift *et al.*  
357 2003), cod (*Gadus morhua*, Gadidae) in the North Sea and west of Scotland are now more fecund  
358 than 30 years ago (Yoneda and Wright 2004), and the Gulf of Saint Lawrence cod have shown likely  
359 fisheries-induced changes in growth rates (Swain *et al.* 2007). Such impacts might interact in  
360 nonlinear ways: although earlier maturation may cause a larger fraction of a population to become  
361 adult, this adult fraction might in total become less fecund because of diminished size at age or  
362 reduced offspring survival resulting from smaller average egg size.

363 Indirect-use value may be affected through changes in trophic interactions: if a predatory fish  
364 species becomes smaller, it may shift to smaller prey, which in turn could imply altered ecosystem  
365 functioning through a trophic cascade (Jackson *et al.* 2001). While the structural and functional  
366 changes that occurred in the Scotian Shelf ecosystem (Frank *et al.* 2011) have not been directly  
367 linked to FIE (but see Shackell *et al.* 2010), it provides a good example of altered indirect-use value  
368 through reduced body size within and between fish species, reduced biomass, altered species  
369 composition, and reduced individual condition in several fish species (Choi *et al.* 2004).

370 A stock's option value and non-use value may also diminish as a result of FIE (Fig. 2). For  
371 instance, because the reversal of FIE-triggered changes in life-history traits is predicted to be slow  
372 once high fishing pressure has ceased (Law and Grey 1989; de Roos *et al.* 2006; Dunlop *et al.* 2009a),  
373 the recovery of total stock biomass to original levels is delayed compared to a situation in which FIE

374 has not occurred (Enberg *et al.* 2009). Note, however, that while the model of Enberg *et al.* (2009)  
375 predicts that recovery of total biomass is delayed when FIE occurs, it also predicts that spawning-  
376 stock biomass and recruitment recover faster after FIE. Option value may also be reduced if the  
377 systematic removal of larger fish increases variance in yield (van Kooten *et al.* 2010) and leads to FIE  
378 towards smaller fish, potentially bringing about an alternative stable state, after which the  
379 ecosystem continues to be dominated by smaller-sized and thus less valuable fish (Persson *et al.*  
380 2007). Further, if FIE decreases genetic diversity, populations may become less resistant to  
381 environmental stress, which in turn may reduce option value and non-use value. All these changes  
382 might impair a wider set of non-use values for non-fishing members of society. For example, one  
383 non-use value likely to diminish through FIE is the satisfaction of knowing about the existence of a  
384 healthy fish community; some stakeholders may dislike genetic alterations of fish stocks because this  
385 conflicts with existence, altruistic, or bequest values.

#### 386 **Integrating values by utility**

387 Integrating the values of the various utility components into a global utility function occurs at two  
388 levels. First, stakeholders decide – implicitly or explicitly – how to integrate the utility components  
389 important to them into an integrated utility function representing their interests. Second, managers  
390 decide how to combine these utility functions across all stakeholders into one global function on  
391 which management decisions can be based. Constructing a global utility function – particularly at the  
392 management level, but also at the stakeholder level – usually implies prioritizing utility components  
393 and thus involves addressing the trade-offs among them (Walters and Martell 2004; Wattage *et al.*  
394 2005). For example, intensive size-selective exploitation might bring about a short-term gain in one  
395 particular ecosystem service (e.g. direct-use value from provisioning services of the exploited fish  
396 stock) while at the same time eroding other ecosystem services (e.g. indirect-use value from  
397 regulating services). These trade-offs are partly shaped by the time frames at which stakeholders  
398 value the different services (Walters and Martell 2004; Carpenter *et al.* 2007; see below). In the  
399 simplest case, global utility functions are specified as weighted sums of utility components, with

400 weights reflecting the prioritization of different objectives (Dankel *et al.* 2007). In more complex  
401 scenarios, global utility may be expressed through nonlinear functions (Johnston *et al.* 2010) to  
402 account for interactions among different utility components. While specifying a global utility  
403 function is not a prerequisite for implementing an EvoIA, it is desirable for a transparent and  
404 quantifiable approach.

405         Evaluating changes in utility components must account for time as most stakeholders tend to  
406 value future utility less than present utility. A DISCOUNT RATE is therefore often used to convert the  
407 value of gains or losses in the future to NET PRESENT VALUE, figuratively trading goods and services  
408 across time (Carpenter *et al.* 2007). High discount rates imply a preference for realizing gains in the  
409 present and delaying costs to the future. Although FIE can occur surprisingly rapidly (Jørgensen *et al.*  
410 2007; see Andersen and Brander 2009 for an alternative perspective on speed), the time over which  
411 FIE unfolds might still cover decades. This is significantly longer than the time frames often  
412 considered in conventional fisheries management, so that the choice of discount rate is bound to  
413 have large effects on EvoIAs. Likewise, the effect of plastic vs. genetic basis for traits changes and the  
414 expected impacts these changes have on yield over time should also influence the use of discount  
415 rates. Use of discount rates is most easily defensible when considering purely economic values, an  
416 approach that has *de facto* dominated decision-making in traditional fisheries management.  
417 However, from a conservation point of view, one might argue that a positive discount rate is not  
418 justified as intrinsic values or the rights of future generations must not be discounted. Ultimately,  
419 this involves moral and ethical debates that need to be settled outside the scientific domain.

420         The second step, i.e. deciding how to integrate the utility functions of all stakeholders to  
421 obtain one global utility function determining management decisions, is also largely a political  
422 choice. Decision-makers must determine which utility components, global utility function, and  
423 discount rate best reflect the collective interests of stakeholders in their constituency. Naively,  
424 weighting the utility functions of different stakeholder groups by their prevalence in the population  
425 would seem the most democratic approach. In practice, however, such an approach may be

426 problematic, both because it might fail to protect the legitimate interests of minorities, and because  
427 the interests articulated by stakeholders are not always based on sufficient information and rational  
428 evaluation. Therefore, the integration of stakeholder interests is typically at the discretion of  
429 politicians and managers.

430         Negotiating and deciding on a global utility function is an inherently complex process.  
431 Currently, stakeholder involvement in fisheries management remains the exception rather than the  
432 rule, and when negotiations occur, quantitative specifications of utility components are often  
433 lacking. Nevertheless, ultimately only the quantification of stakeholder utilities and the mutual  
434 understanding of the used criteria can enable a maximally informed debate. When the interests of  
435 stakeholders and the decisions of politicians are articulated quantitatively, the political process of  
436 reconciling divergent interests in terms of a global utility function can become more transparent.

#### 437 **4. Evolutionary impact assessment**

438 An EvolA typically include two major steps; the assessment of how fishing practices may induce  
439 genetic changes in exploited stocks and the examination of how such evolutionary changes may alter  
440 the utility components through which living aquatic resources and their ecosystems provide value to  
441 stakeholders and society. While fishing in some cases has been shown to reduce effective population  
442 size and thereby general genetic diversity (Hauser *et al.* 2002; Hutchinson *et al.* 2003; but see e.g.  
443 Poulsen *et al.* 2006; Therkildsen *et al.* 2010 for examples of large effective population sizes despite  
444 intensive fishing), we will in the following sections focus on genetic changes in individual traits  
445 because of their stronger effects on productivity and management. In principle, however, an EvolA  
446 could be used to quantify the effect of both neutral and adaptive evolution imposed through fishing.  
447 In the simplest case, EvolA can quantify the effects of FIE on a single trait and a single utility  
448 component such as biomass yield for a single stakeholder (c.f. Law and Grey 1989; Vainikka and  
449 Hyvärinen 2012). However, including multiple traits and utility components for multiple stakeholders  
450 may be required for a more realistic assessment. Ideally, EvolA is based on a global utility function

451 reflecting overall management objectives developed through stakeholder involvement (see above).  
452 However, an EvolA can also deal with separate utility components, which may be desirable to  
453 expose the trade-offs between conflicting objectives (Walters and Martell 2004), and with multiple  
454 global utility functions that individually reflect the disparate interests of stakeholders.

#### 455 **Types of evolutionary impact assessments**

456 Two types of EvolA help address distinct challenges arising from FIE: 1) quantification of the losses or  
457 gains in utility that may result from FIE, and 2) evaluation of alternative management regimes while  
458 accounting for the potential effects of FIE. The first type, illustrated in Figure 3, quantifies the  
459 consequences of FIE by including or removing the effect of FIE in a simulated fishery system. To  
460 evaluate alternative scenarios, statistical or process-based models are needed: an evolutionary  
461 scenario allowing the genetic component of traits to change in response to fishing, and a  
462 corresponding non-evolutionary scenario in which the genetic component of the traits are kept  
463 constant over time. Being otherwise identical, the two scenarios could also track the effects of  
464 changing traits on the demography of the target stock and other ecosystem elements, and address  
465 how these demographic changes impact relevant ecosystem services and utility components (for an  
466 application to recovery dynamics, see Enberg *et al.* 2009). A further step could integrate utility  
467 components in a global utility function. In the hypothetical example illustrated in Figure 3, this  
468 integration (i.e. the step from Fig. 3d to Fig. 3e) includes the direct-use value from provisioning  
469 services and the non-use value from cultural services. The example shows how a relatively small  
470 change in a genetic trait may sometimes result in a significant negative impact on global utility.  
471 However, in other cases, FIE may have little negative impact on utility, or may even improve global  
472 utility.

473 The second type of EvolA, illustrated in Figure 4, evaluates the outcome of two or more  
474 alternative management options while accounting for the potential occurrence of FIE. Once again,  
475 this requires statistical or process-based models. The different model scenarios describe the

476 different management options under consideration but are otherwise identical in quantifying the  
477 expected genetic and phenotypic changes, demographic effects, impacts on ecosystem services, and  
478 alteration of utility components (for examples of analyses of the consequences of different fishing  
479 gears for life-history evolution and yield, see Jørgensen *et al.* 2009; Mollet 2010). A dome-shaped  
480 selection pattern protecting larger fish may for instance have evolutionary effects opposite to the  
481 typically implemented sigmoid selection pattern selecting for larger fish (Jørgensen *et al.* 2009;  
482 Mollet 2010; Matsumura *et al.* 2011). Although leaving large fish may result in short-term losses of  
483 yield (see Arlinghaus *et al.* 2010 for an example in which protecting the large fish maintained and  
484 sometimes even increased yield relative to exploitation using minimum-length limits), there may be  
485 long-term gains in yield. Using a global utility function, the total socio-economic consequences  
486 expected to result under alternative scenarios can be assessed and compared. The hypothetical  
487 example in Figure 4 illustrates such a comparison. In the first management regime, sustained  
488 moderate overfishing causes continual trait evolution, steadily declining yields, and hence reduced  
489 direct-use values (decreasing total catches) and lessened non-use values (loss of culturally important  
490 charismatic large fish). In the alternative management regime, relaxed fishing pressure (assuming  
491 absence of genetic constraints) not only results in a different direction of trait evolution, but also  
492 (after an initial strong decline in yield) eventually results in higher yields and larger fish (Matsumura  
493 *et al.* 2011), leading to enhanced direct-use and non-use values.

494         Despite efforts to predict the direction of FIE for different kinds of selection regimes (e.g.  
495 Table 1), producing general predictions and advice for mitigation across species, stocks, traits, and  
496 fishing regimes is difficult. Therefore, EvolAs need to address case studies that analyse the  
497 evolutionary impacts of a particular fishing regime on a particular stock's ecology. It is therefore  
498 necessary to calibrate models to empirical data. The retrospective part of an EvolA then use the  
499 results of the data analysis and a comparison between non-evolutionary and evolutionary versions  
500 of the model to better understand past FIE (if it occurred), its impact on past stock dynamics, and  
501 the consequences of past management measures. When the fraction of the observed phenotypic



502 change attributable to FIE cannot be clearly identified, some simplifying assumptions are needed.  
503 For instance, assuming that the entire observed phenotypic change is due to FIE, even when an  
504 environmental component is likely but unknown, could provide the basis for analysing a FIE worst  
505 case scenario. Such an analysis could reveal the maximum amount of genetic change that can be  
506 expected from a particular fishing regime. By contrast, the aim of the prospective part of an EvolA is  
507 to forecast the future extent and impact of FIE. In the light of those forecasts, it can be used for  
508 evaluating different management measures such as spatial effort allocation or use of different kinds  
509 of fishing gears with selective properties that may minimize unwanted FIE (Law and Rowell 1993;  
510 Hutchings 2009; Jørgensen *et al.* 2009; Mollet 2010). Comprehensive EvolAs are likely to use these  
511 two types of analysis in combination, first to assess the extent to which FIE is relevant for a stock's  
512 dynamics and then to evaluate which measures are most advisable for managing the stock in light of  
513 the impacts caused by FIE.

#### 514 **Quantifying the impacts of FIE**

515 To quantify the impacts of fishing on evolvable traits and utility components, three groups of  
516 quantities and their relationships must be analysed. First are fishing parameters, such as fishing  
517 mortality or minimum landing size, which characterize quantitative features of a fishing regime.  
518 Other parameters of interest might describe fishing effort or quantitative features of fishing gears,  
519 marine reserves, or seasonal closures. Second are quantitative traits, measuring a stock's evolvable  
520 characteristics. These include heritable characteristics describing maturation schedules, growth  
521 trajectories, and reproduction schemes. While it is common to focus on stock-level mean genetic  
522 values of such quantitative traits, measures of diversity such as trait variances and genetic  
523 correlations among traits can (and ultimately should) also be considered. When evaluating the  
524 causal relationships between these two groups of quantities, it is crucial to recognize that fishing  
525 parameters do not change quantitative traits directly. Instead, they alter the SELECTION PRESSURES  
526 operating on phenotypes and thus the expected rates of evolutionary change. When these rates are  
527 integrated over a given time period, they yield the magnitude by which the quantitative trait will

528 change in response to the altered fishing parameters. Because selection pressures may differ over  
529 the lifetime of individuals, an assessment of the relative strength of larval, juvenile and adult  
530 selection pressures is warranted (Johnson *et al.* 2011). Additionally, any temporal variation in fishing  
531 selectivity (Kendall *et al.* 2009) should be accounted for. Third are the utility components described  
532 in Section 3. The proposed EvoIA framework can theoretically accommodate any number of fishing  
533 parameters, quantitative traits, or utility components. Obviously, the more ingredients that are  
534 investigated at once, the more complex an EvoIA will become, which may lead to overly demanding  
535 analyses and difficult result interpretation.

536         EvoIAs sometimes have to examine scenarios that involve relatively large departures from a  
537 fishery system's current state. Such departures may originate from various drivers, including the  
538 demographic, plastic, evolutionary, ecosystem, and physical impacts of fishing, as well as external  
539 drivers of the fishery system. Large departures can occur when the magnitude of driver change is  
540 large, or when analysing relatively long time periods. To describe the resulting impacts, models then  
541 have to account for nonlinearities in the relationships among and within the fishery subsystems (Fig.  
542 1). While quantifying nonlinearities may be required for accurate assessments beyond a short time  
543 period, reliable estimation of nonlinear relationships from empirical data is often difficult. Therefore,  
544 basing EvoIAs on simpler linear analyses may often be of interest. These are powerful as long as a  
545 system is not forced too far away from its current state.

546         Linear impact analyses are based on sensitivity measures. Once a sensitivity measure has been  
547 estimated, the impacts of changes in a fishing parameter are obtained simply by multiplying this  
548 measure with the magnitude of change in the causative parameter and, where the result is a rate, by  
549 multiplying it with the duration of the considered time period. If changes in several fishing  
550 parameters are considered at once, their aggregated impact is obtained by summing their individual  
551 impacts. The following four sensitivity measures (Fig. 5) may be of particular relevance in EvoIAs.  
552 *Adaptability* is known in ecology as a system's ability to cope with uncertainty and perturbations  
553 (Conrad 1983). In the context of EvoIA, we define it more specifically as the sensitivity with which a

554 change in a fishing parameter alters a quantitative trait's evolutionary rate. When the absolute value  
555 of adaptability is high, the genetic component of the quantitative trait quickly changes according to  
556 the considered change in fishing. Positive (negative) adaptability means that the quantitative trait's  
557 evolutionary rate increases (decreases) in response to an increase in the considered fishing  
558 parameter. The change in the quantitative trait's evolutionary rate might originate from direct  
559 selection pressure imposed by fishing or indirectly through genetic covariance or pleiotropy with  
560 other evolving traits. *Desirability* is the sensitivity with which a changing quantitative trait alters a  
561 utility component. When the absolute value of desirability is high, the utility component is strongly  
562 influenced by the quantitative trait so that, and this is mathematically equivalent, the rate of change  
563 in this utility component is strongly influenced by the rate of change in the quantitative trait. Positive  
564 (negative) desirability means that the utility component increases (decreases) as the considered trait  
565 value increases. *Vulnerability* is the sensitivity with which a change in a fishing parameter alters the  
566 rate of change in a utility component. When the absolute value of vulnerability is high, the utility  
567 component quickly changes in response to the considered change in fishing. Positive (negative)  
568 vulnerability means that the rate of change in the utility component increases (decreases) in  
569 response to an increase in the considered fishing parameter. It is critical to appreciate, however,  
570 that a fishing parameter's impact on a utility component often has nothing to do with FIE. We  
571 therefore introduce a fourth quantity, *evolutionary vulnerability*, as the sensitivity with which a  
572 change in a fishing parameter alters the rate of change in a utility component through FIE. Following  
573 the multivariate chain rule of calculus, we define this as the product of adaptability and desirability  
574 summed over all considered quantitative traits (Fig. 5). We here define traits as the genetic  
575 component of the life-history traits in question, so that the trait changes reflect genetic and not  
576 plastic changes. This definition implies that evolutionary vulnerability only concerns changes in the  
577 rate of change of a utility component that originate through evolutionary changes in the considered  
578 traits. In other words, evolutionary vulnerability should ignore effects of altered fishing parameters  
579 on utility component not mediated by genetic changes in life history traits. When the absolute value

580 of evolutionary vulnerability is high, the rate of change in utility component through FIE in response  
581 to the considered change in fishing is high. Positive (negative) evolutionary vulnerability means that  
582 the utility component increases (decreases) through FIE in response to an increase in the considered  
583 fishing parameter. The difference between vulnerability and evolutionary vulnerability describes  
584 non-evolutionary changes in utility caused by fishing, and the ratio of evolutionary vulnerability and  
585 vulnerability describes the proportion of vulnerability caused by FIE. Assessing and comparing these  
586 two measures thus yields important insights into a stock's vulnerability to fishing. In an EvolA, large  
587 and negative evolutionary vulnerabilities ought to be a cause for concern: these occur when changed  
588 fishing patterns cause rapid FIE that is detrimental to utility.

## 589 **5. Methods for evolutionary impact assessment**

590 EvolA requires methods that enable practitioners to estimate trait values and their trends, to study  
591 the demographic and evolutionary dynamics of populations and communities, to account for the  
592 socio-economic objectives of stakeholders, and to quantify a fishery's utility accordingly. On this  
593 basis, practitioners can evaluate the evolutionary impact that alternative management measures  
594 may have on exploited stocks. Therefore, the EvolA approach requires integrating methods that until  
595 now have often been used in isolation. To facilitate a structured approach, we now distinguish  
596 between four tasks addressed by EvolAs and review the corresponding methods. These tasks and  
597 methods serve as building blocks for assembling specific EvolAs and are illustrated in Figure 6. The  
598 combination of the methods we present here is highly flexible and they can and should be tailored  
599 to the needs of each particular fishery system as has recently been done for North Sea plaice (Box 2).

### 600 **Estimating the impact of fishing on traits**

601 A range of statistical methods is available for quantifying changes in life-history and other traits over  
602 time and for determining the relative importance of phenotypic plasticity and evolution in  
603 generating observed changes. Broadly speaking, these methods – which have been applied to  
604 patterns of growth, maturation, and reproduction – examine the plausibility of an evolutionary

605 interpretation of observed phenotypic changes by (i) analysing environmental variables, (ii)  
606 estimating selection pressure, and (iii) examining multiple stocks. The three paragraphs below  
607 outline these approaches in turn.

608         Some methods control for environmental variance in life-history traits by including relevant  
609 additional explanatory variables in the fitted statistical models, and thus aim to remove the effects  
610 of phenotypic plasticity from genetic trends. While removal of all other known effects will never  
611 conclusively demonstrate genetic change, residual year or cohort effects may indicate evolutionary  
612 change. For instance, the estimation of probabilistic maturation reaction norms (PMRN) was  
613 developed to disentangle genetic and environmentally induced changes in age and size at  
614 maturation by accounting for growth variation (Dieckmann and Heino 2007). Recent experimental  
615 evaluations, however, call for caution in the interpretation as the method can both overestimate or  
616 underestimate genetic influence on changes in PMRNs depending on environmental and genetic  
617 circumstances (Kinnison *et al.* 2011; Uusi-Heikkilä *et al.* 2011). The approach has been extended to  
618 control for other factors influencing maturation, such as condition (Grift *et al.* 2007; Mollet *et al.*  
619 2007; Vainikka *et al.* 2009; Uusi-Heikkilä *et al.* 2011). Other authors have controlled for the effects of  
620 temperature-dependent and density-dependent growth to identify residual changes in growth rates  
621 that may be ascribed to evolution (Swain *et al.* 2007). Corresponding methods have also been  
622 developed for addressing potential evolution in reproductive investment (Rijnsdorp *et al.* 2005;  
623 Baulier 2009). Directly or indirectly, the aforementioned methods are all based on the concept of  
624 reaction norms (e.g. Reznick 1993) and describe how the translation of genotypes into phenotypes is  
625 changed by environmental factors.

626         Although the statistical methods mentioned above can be applied using data commonly  
627 available from harvested fish, it remains impossible to separate genetic responses from all potential  
628 plastic responses in life-history traits for most wild fish stocks (Dieckmann and Heino 2007; Kinnison  
629 *et al.* 2011; Kuparinen *et al.* 2011; Uusi-Heikkilä *et al.* 2011). This is because a number of genetic and  
630 environmental processes such as temporal collinearity, phenotypic correlations, genetic covariance,

631 genotype-by-environment interactions, and counter-gradient variation can confound phenotypic  
632 patterns that might be attributed to genetic responses. Estimating SELECTION DIFFERENTIALS (Law and  
633 Rowell 1993; Olsen and Moland 2011) therefore adds important knowledge about the relationship  
634 among life histories, fishing patterns, and the resultant expected strengths of selection on relevant  
635 quantitative traits, and thereby enables a critical evaluation of hypothesized evolutionary responses  
636 to fishing. While fitness itself is difficult to estimate in marine systems, proxies such as viability or  
637 fecundity are often used. Assuming that selection acts only through viability and if sufficiently  
638 detailed data are available describing the composition of cohorts with respect to a trait of interest,  
639 selection differentials can be estimated directly. For example, Nusslé *et al.* (2008) measured  
640 selection differentials on growth by comparing the growth of fish from the same cohort, caught at  
641 different ages. In anadromous fish such as salmonids, catch and escapement data from rivers may be  
642 used to estimate selection differentials for size and age at maturation (Kendall *et al.* 2009) or size at  
643 age (Saura *et al.* 2010). However, selection seldom acts only through viability. Thus, when fecundity  
644 selection is involved, or when cohorts are insufficiently sampled, the estimation of selection  
645 differentials requires model-based full-lifecycle analyses of the fitness consequences of trait changes  
646 (e.g. Arlinghaus *et al.* 2009; Matsumura *et al.* 2011). Together with the estimated heritability of  
647 traits, selection differentials enable quantifying responses to selection through the breeder's  
648 equation (see below).

649         Regardless of the nature of the phenotypic trends in commercial fish stocks, an additional  
650 challenge in EvoIA is to link the observed trends to fishing pressure. This is directly related to the  
651 general problem of inferring causation from correlation in insufficiently controlled settings. One way  
652 to alleviate – albeit not remove – this problem is to include multiple fish stocks in a single analysis.  
653 For example, one can test whether fishing pressure is correlated with rates of trait changes across  
654 multiple fish stocks, as suggested by Sharpe and Hendry (2009). However, when applying this idea, it  
655 must be kept in mind that different life histories may respond evolutionarily to the same fishing  
656 pressure in ways that can differ not only quantitatively (i.e. in terms of the rate of evolutionary

657 change), but also qualitatively (i.e. in terms of the direction of evolutionary change) and temporally  
658 (i.e. in terms of how best to align the time series of fishing pressure with the time series of traits).  
659 Consequently, a weak correlation between fishing pressure and the rates of trait changes does not  
660 carry a strong implication, whereas a strong correlation could indeed strengthen the interpretation  
661 that the observed changes are caused by fishing.

662 An additional complication arises when fisheries are targeting mixed assemblages of fish from  
663 several different evolutionary units such as in the migrating Atlantic herring (Ruzzante *et al.* 2006) or  
664 the North Sea cod (Holmes *et al.* 2008). Thus, if the resolution of the available fisheries and survey  
665 data does not reflect the genetic population structure in targeted stocks, it will not be possible to  
666 disentangle within-population changes from shifting migration patterns of different population  
667 components. One of the high-priority tasks must therefore be that data collection on commercially  
668 exploited stocks is biologically meaningful and reflecting existing genetic structure. As long as the  
669 genetic substructure of many stocks is still unknown and structured data still lacking, estimates of  
670 FIE from existing data must incorporate this uncertainty and a precautionary approach is warranted  
671 as much as ever (Hutchinson 2008).

## 672 **Demographic and evolutionary dynamics**

673 EvolAs typically require examination of the demography and evolution of populations and, ideally,  
674 ecological communities (Fig. 6). We can broadly categorize corresponding models as being either  
675 statistical or process-based; these alternative approaches offer different strengths and limitations.  
676 First, to describe demographic or evolutionary changes in a population retrospectively, statistical  
677 models use time as one explanatory variable among others. By contrast, process-based models  
678 successively update a system's changing state variables through time via difference or differential  
679 equations. External drivers, such as relevant environmental factors, are represented by explanatory  
680 variables in statistical models and by changing parameters in process-based models. Because all  
681 effectors in process-based models are known, such models are useful to study complex temporal

682 trends, especially when interactions among the drivers of such trends are nonlinear. The findings of  
683 such analyses may be helpful when interpreting the outcome in statistical analyses. Second, for  
684 assessing the costs of FIE, process-based models make it easy to “switch off” evolution, so that the  
685 impact of a management measure on utility can be compared between an evolving and a non-  
686 evolving population (Enberg *et al.* 2009; Eikeset 2010; Mollet 2010). This allows isolation of  
687 genetically mediated changes in utility. If statistical models are used for population projections, year  
688 or cohort effects attributed to evolution can be explicitly removed to predict behaviour in the  
689 absence of evolution (Heino *et al.* 2002). Third, although statistical methods can be used for  
690 population projections (by extrapolating time series and the impacts of drivers), process-based  
691 models usually offer greater capacity and flexibility in predicting a system’s behaviour in the future  
692 or under alternative management regimes. Fourth, to evaluate alternative management measures,  
693 extrapolations based on statistical models are likely to be of limited use, especially when such  
694 measures are expected to take a system far away from its current state. Moreover, process-based  
695 models facilitate modelling a broad range of uncertainties in fishery systems, by accounting for  
696 observed or anticipated patterns of fluctuations and trends in external drivers. Thus, prospective  
697 EvolAs rely primarily on process-based models.

698         Models used for EvolA may be classified according to the variables structuring the  
699 demographic component of stock dynamics. In the context of modelling FIE, researchers have used  
700 age-structured models (e.g. Law and Grey 1989; Law and Rowell 1993; Gårdmark *et al.* 2003;  
701 Bradshaw *et al.* 2007; Eldridge 2007; Arlinghaus *et al.* 2009) and continuously size-structured models  
702 (Ernande *et al.* 2004; de Roos *et al.* 2006; Morita and Fukuwaka 2006; Dunlop *et al.* 2009b; Dunlop *et*  
703 *al.* 2009a; Enberg *et al.* 2009; Vainikka and Hyvärinen 2012). Stage structure is useful for  
704 distinguishing between mature and immature individuals or to describe spatially segregated fishing  
705 grounds. However, many practical questions associated with EvolA requires, for example,  
706 distinguishing between mature fish of different sizes. Models based on stage structure alone are  
707 therefore often insufficient for detailed comparisons with data because of their overly simplified



708 demography.

709         A further distinction among process-based models arises from methods used for quantifying  
710 the effects of selection, and thus for describing the evolutionary component of stock dynamics (Fig.  
711 6). In modelling FIE, researchers have estimated selection differentials (Law and Rowell 1993),  
712 selection responses based on the breeder's equation of quantitative genetics theory (de Roos *et al.*  
713 2006; Hilborn and Minte-Vera 2008; Nusslé *et al.* 2008; Andersen and Brander 2009; Arlinghaus *et*  
714 *al.* 2009), evolutionary outcomes based on evolutionary optimization models and ESS theory (Law  
715 and Grey 1989; Heino 1998; Jørgensen *et al.* 2009), selection responses based on the canonical  
716 equation of adaptive dynamics theory (Gårdmark *et al.* 2003; Ernande *et al.* 2004; de Roos *et al.*  
717 2006), and finally, selection responses based on modelling the dynamics of the full trait distributions  
718 of quantitative traits (Baskett *et al.* 2005; Dunlop *et al.* 2007; Arlinghaus *et al.* 2009; Dunlop *et al.*  
719 2009a; Dunlop *et al.* 2009b; Enberg *et al.* 2009; Okamoto *et al.* 2009; Matsumura *et al.* 2011).

720         Depending on the objectives of a specific EvoIA, a population's demographic and evolutionary  
721 dynamics may best be described by different combinations of the alternative model choices  
722 described above. Nevertheless, one type of models, coined "eco-genetic" models (Dunlop *et al.*  
723 2009a) offer a particularly suitable process-based modelling framework for use in EvoIA. Such  
724 models account for continuous size structure and describe the full trait distributions of quantitative  
725 traits. They integrate quantitative genetic detail with ecological detail, enable a tighter coupling to  
726 empirical data than many traditional models, and allow the prediction of evolutionary rates,  
727 transients, and endpoints (Dunlop *et al.* 2007; Thériault *et al.* 2008; Dunlop *et al.* 2009a; Dunlop *et*  
728 *al.* 2009b; Enberg *et al.* 2009; Okamoto *et al.* 2009; Wang and Höök 2009). The recent scientific focus  
729 on eco-evolutionary dynamics leaves very little doubt that changing phenotypes whether they are  
730 plastic or genetic in nature may have far-reaching effects on food webs and ecosystems. Because the  
731 eco-genetic models described above are difficult to extend to multispecies cases, including  
732 interactions and feedback between species in EvoIA depend on other kinds of quantitative modelling  
733 (Gårdmark *et al.* 2003; Matsuda and Abrams 2004).

734 **Socio-economic dynamics**

735 EvolAs need to evaluate the socio-economic implications of the impacts of fishing on ecosystem  
736 services and utility values. Usually, this can be achieved by coupling a biological model of a stock to a  
737 socio-economic model describing the utility components stakeholders derive from that stock. The  
738 complexity of the latter models may range from relatively simple, focusing on a small set of readily  
739 quantifiable utility components such as yield or profit (e.g. Dankel 2009; Eikeset 2010; Mollet 2010),  
740 to more comprehensive models using a global utility function and as many key utility components as  
741 possible (Johnston *et al.* 2010). Additional utility components may, for instance, characterize the  
742 quality of the fishing experience or describe the benefits and costs that fishing activities imply for  
743 society. Examples of the former are quantitative measures of catch stability, the size structure of  
744 catch, gear regulations, and fishing-related employment, while examples of the latter are  
745 quantitative measures of social surplus, stock or ecosystem preservation, biodiversity, fishing  
746 sustainability, as well as the reduction of bycatch, DISCARDS, and of physical damages caused by  
747 fishing gear. The last few examples belong to the category of effects that economic theory calls  
748 externalities; these ought to be integrated in quantitative analyses if unsustainable fishing regimes  
749 are to be detected and avoided.

750 To date, most attempts to quantify changes in utility arising from fishing have included only a  
751 small subset of traditional utility components (but see Dichmont *et al.* 2008 for an analysis of  
752 multiple utility components). Dankel *et al.* (2007) demonstrated how quantitative measures of stock  
753 preservation and fishing-related employment can be integrated into a utility function that also  
754 contains measures of yield and profit. Johnston *et al.* (2010) analysed how multi-component utility  
755 functions can be used to optimize utility across heterogeneous groups of recreational fishers  
756 engaged in dynamic fishing behaviour. The utility components included in that study were based on  
757 minimum-size limits, license costs, catch rates, average and maximum size of captured fish, and  
758 crowding among fishers.

759           In recognition of the potentially significant changes in utility that could result from FIE, some  
760 recent studies have attempted to quantify changes in utility brought about by demographic, plastic,  
761 and evolutionary changes (e.g. McAllister and Peterman 1992; Okamoto *et al.* 2009; Guttormsen *et*  
762 *al.* 2008; Eikeset 2010). In their theoretical bio-economic model, Guttormsen *et al.* (2008) studied  
763 the optimal long-term management of a renewable resource under harvest-induced selection. Their  
764 model shows that the optimal management regime depends not only on biological parameters of  
765 the resource, such as the productivity and growth rate of desirable vs. undesirable genotypes, but  
766 also on the discount rates associated with these parameters (low discount rates favour a  
767 management regime that places more value on the long-term future state). Okamoto *et al.* (2009)  
768 showed how the objective of avoiding FIE can be used in a utility function to identify fishing regimes  
769 most suited to that purpose. Eikeset (2010) also specifically modelled FIE under different fishing  
770 scenarios and found that higher fishing mortality causing FIE towards earlier maturation eventually  
771 decreases economic yield in comparison with lower fishing mortality. Mollet (2010) used a model  
772 explicitly calibrated to historical life-history data and the rate of evolutionary response in North Sea  
773 flatfish to determine the evolutionary impact on traits by comparing models with and without  
774 evolution. Furthermore, Mollet (2010) estimated the evolutionary impact on utility components  
775 such as yield and on reference points defined through maximum sustainable yield. Finally, when  
776 evaluating the outcome of different management scenarios on the aforementioned utility  
777 components, Mollet (2010) found that large fish should be protected to avoid undesired  
778 evolutionary impacts. Protecting large fish however trades off against short-term gains in yield and  
779 this measure potentially generates conflicts of interest among stakeholders. Managers will thus have  
780 to balance long-term gains against short-term losses when maximizing yields over long time spans  
781 and EvolA allows for transparency in the rationale behind management decisions.

782           An additional challenge arising when describing the socio-economic dynamics associated with  
783 fisheries is to account for the disparity of time horizons among stakeholders. For example, fishers  
784 often focus their interests on relatively short-term developments, whereas conservation groups

785 usually advocate an emphasis on longer-term considerations. As we already discussed above,  
786 attempts to capture such differences in the time horizons of stakeholders often involve the use of  
787 different discount rates, which convert future costs or benefits into different net present values that  
788 reflect the interests of different stakeholders. While this approach is meant to account for the  
789 different time preferences and opportunity costs of resource users, it has been argued that using  
790 market-based discount rates for managing natural resources is inherently problematic (e.g. Arndt  
791 1993; Eikeset 2010). Thus, to achieve the sustainable use of fisheries resources it may be appropriate  
792 to consider a discount rate of zero, or even to explore the effects of using a negative discount rate  
793 over a suitably chosen finite time horizon. The latter approach implies a particularly high regard for  
794 the well-being of future generations, by attributing a higher value to their benefits than to those of  
795 the current generation.

#### 796 **Management strategy evaluation**

797 Management strategy evaluation (MSE) is a framework assessing and comparing the differential  
798 merits of management strategies in the face of uncertainty (Smith *et al.* 1999; Bunnefeld *et al.*  
799 2011). Naturally, methods already developed in the general context of MSE are valuable in the  
800 specific context of EvOIA. A management strategy is defined as a fully specified set of rules for  
801 determining management actions under a variety of circumstances. In its most general form, these  
802 rules include protocols for data collection and monitoring, assessment procedures, and decision  
803 rules for adjusting regulations (Dichmont *et al.* 2008). MSE is a simulation-based approach that can  
804 be used to quantitatively assess the performance of alternative management options with respect to  
805 specified management objectives (Smith 1993). Application of MSE to ecosystem management in  
806 general (Smith *et al.* 2007), and to fisheries management in particular (Dichmont *et al.* 2008), has  
807 been advocated as a robust method for comparing alternative management strategies in the face of  
808 multiple, and often conflicting, objectives. MSE requires the specification of three major elements:  
809 (i) a plausible operating model representing the considered fishery system including key  
810 uncertainties, (ii) a set of management strategies to be evaluated, and (iii) a performance metric

811 corresponding to the objectives identified by decision-makers or stakeholders (Kell *et al.* 2006).

812 In the EvoIA framework, MSE methods can be used either for relatively simple tasks, such as  
813 examining whether a specific alternative management strategy should be adopted instead of a  
814 currently applied strategy, or for more complex tasks, such as selecting an optimal management  
815 strategy by evaluating a continuum of possible management options according to a given global  
816 utility function. MSE could thus offer a possible platform for embedding EvoIA in current practices  
817 for assessment and management by drawing on existing operating models and by extending these as  
818 necessary to cover the relevant ecological, evolutionary, and socio-economic components. A  
819 particular appeal of interfacing EvoIA with MSE is the explicit treatment of uncertainty in MSE.  
820 Sources of uncertainty include observation error limiting the accuracy of monitoring efforts,  
821 parametric and structural uncertainty associated with operating models, process uncertainty  
822 resulting from fluctuations in the natural and socio-economic subsystems, and implementation  
823 uncertainty involved in adopting and enforcing management measures. For example, uncertainty  
824 about estimated selection differentials or selection responses could be accommodated relatively  
825 easily by considering these quantities in terms of their distributions, whilst qualitatively different  
826 predictions about evolutionary dynamics could be treated as alternative hypotheses about the  
827 operating model.

## 828 **6. Discussion**

829 Overexploited and collapsed fish stocks, poor recovery after fishing ceases, and altered interspecific  
830 interactions indicate that fisheries science and management are not accounting for all relevant  
831 factors that influence the dynamics of aquatic ecosystems (Francis *et al.* 2007). Evolutionary change  
832 is likely to be one such factor, but undoubtedly not the only one. We suggest that while FIE is  
833 certainly not the most important driver of the current fisheries crisis, it nevertheless deserves more  
834 attention, owing to its cumulative consequences and our still rather limited level of knowledge.  
835 Currently, fisheries scientists and managers are facing uncertainty over the potential occurrence and

836 implications of FIE in many stocks. EvolA can help them determine the prevalence and consequence  
837 of FIE, and to evaluate management measures accordingly (Jørgensen *et al.* 2007). Here we have  
838 expanded upon the concept of EvolA introduced by Jørgensen *et al.* (2007), outlining how an EvolA  
839 can be structured, what functions it can fulfil, and which methods are available for its  
840 implementation.

841         The majority of methods highlighted in this paper are already in place. Yet, most of these  
842 methods have been developed in isolation and have been used for disparate purposes. In principle,  
843 these methods can be used to investigate any kind of environmental impact on marine systems, but  
844 we have here focused solely on the impacts of exploitation. EvolA provides a framework for  
845 combining these methods towards the common purpose of assessing impacts of FIE on the utility of  
846 aquatic living resources. Nevertheless, it goes without saying that a continuous development of new  
847 methods will further strengthen the EvolA approach. First, in addition to probabilistic maturation  
848 reaction norms (Dieckmann and Heino 2007) and common-garden experiments (Conover and Munch  
849 2002; Reznick and Ghalambor 2005), other methods are necessary for controlling for environmental  
850 effects on phenotypes to convincingly show that observed phenotypic changes currently attributed  
851 to evolution are indeed most likely to have a genetic basis (Law 2000; Kuparinen and Merilä 2007).  
852 Even though genomic methods still cannot be used to predict complex phenotypic expressions of  
853 DNA variation, they are ultimately bound to offer valuable tools for analysing FIE (Naish and Hard  
854 2008). The increasing power of high-throughput sequencing methods and the recent assembly of the  
855 Atlantic cod genome are promising steps in this direction (Star *et al.* 2011), and coupling genomic  
856 approaches with time series of historical samples will be particularly valuable (Poulsen *et al.* 2006;  
857 Nielsen *et al.* 2012). Second, estimating stock- and trait-specific selection differentials and then  
858 analysing their temporal correlations with fishing mortality rates is another way of strengthening the  
859 evidence for FIE (Swain *et al.* 2007; Kendall *et al.* 2009). Third, to our knowledge no methods have  
860 yet been developed for assessing possible evolutionary effects of fishing on behavioural traits in  
861 commercial fisheries (but see Philipp *et al.* 2009 for an example from recreational fishing), although

862 there is considerable indirect and anecdotal evidence that behavioural evolution may well be  
863 widespread (Uusi-Heikkilä *et al.* 2008), preventing increases in catchability despite innovations in  
864 fishing technologies (Rijnsdorp *et al.* 2008). Fourth, improved quantitative and data-based tools are  
865 needed for assessing the differential evolutionary vulnerability of specific stocks. Naturally, the need  
866 for additional methodology must not delay the implementation of existing tools, as even small  
867 evolutionary changes can have surprisingly large effects on ecological processes in populations,  
868 communities and ecosystems (Pelletier *et al.* 2009).

869         A possible application of EvoIA concerns the determination of reference points for fisheries  
870 management in a way that accounts for FIE (Hutchings 2009; ICES 2009; Mollet 2010). It has already  
871 been shown that reference points that fail to account for climate change may not be robust (e.g. Kell  
872 *et al.* 2005), which in turn may have implications for management advice. Analogously, reference  
873 points determined without accounting for potential FIE are likely to be biased, and those biases may  
874 grow over time (Enberg *et al.* 2010). Because reference points are key quantities in fisheries  
875 management – as illustrated by their pivotal role in harvest-control rules, especially in setting total  
876 allowable catches – hidden biases and trends are highly undesirable.

877         In many cases, fishing may be assumed to exert the main selection pressure on a fish stock  
878 (Heino 1998; Arlinghaus *et al.* 2009), and will therefore be the main selective force examined in an  
879 EvoIA. In other situations, other external drivers such as changes in climate or habitats (Carlson *et al.*  
880 2007), selection on other life stages (Berkeley *et al.* 2004), internal processes such as sexual  
881 selection (Hutchings and Rowe 2008), and interspecific interactions (Gårdmark *et al.* 2003) can exert  
882 selection pressures on body size and other life history traits that might be comparable in magnitude  
883 to those caused by fishing. These additional evolutionary forces can reinforce or oppose those  
884 underlying FIE (e.g. Dunlop *et al.* 2007) and should thus be accounted for in EvoIA as necessary. The  
885 flexibility of EvoIA, in terms of the diversity of available methods, facilitates such an inclusion of a  
886 number of important drivers of ecological and evolutionary processes.

887           Great complexity characterizes the possible impacts of FIE. In some cases, these impacts are  
888 desirable, such as when declining age at maturation increases a stock's resilience to high fishing  
889 pressure (Heino 1998; Enberg *et al.* 2009). Without such FIE, more stocks might already have  
890 collapsed. However, life-history evolution often has undesirable consequences, and it is not easy to  
891 predict the ultimate extent of such evolutionary changes and their eventual implications (Jørgensen  
892 *et al.* 2007). Like climate change, anthropogenic evolution is caused by a multitude of dispersed  
893 agents and has delayed effects on a global scale that accumulate over time. This unavoidably  
894 increases our uncertainty about long-term ecological changes associated with FIE and implies a  
895 certain risk of unexpected system-wide regime shifts caused by FIE. Through concerted scientific  
896 efforts across disciplines, climate-change science is currently rising to the challenge of predicting  
897 future trajectories of the physical system together with their socio-economic implications  
898 (MacKenzie *et al.* 2007; Rijnsdorp *et al.* 2009). This achievement provides a promising precedent for  
899 tackling the complex ecological and socio-economic impacts that can be expected from FIE.

900           The overlap between EvolA and the ecosystem approach to fisheries management, in terms of  
901 goals and methods, is substantial (Francis *et al.* 2007), and the way the two approaches complement  
902 each other is illustrated in Figure 7. While a multispecies assessment might be challenging to achieve  
903 because of its complexity, it should nonetheless be the ultimate goal. However, a reasonable first  
904 step in considering the evolutionary consequences of fishing would be to implement single-species  
905 EvolA in systems where no EvolAs have previously been made. Our recommendation to implement  
906 EvolA is based on the recognition that evolution is an important ingredient of ecological dynamics  
907 (Pelletier *et al.* 2007; Carlson *et al.* 2011; Schoener 2011) because traits can evolve on timescales  
908 relevant for management. Due to FIE, actors in the ecological theatre gradually change their roles  
909 and interactions over time. An ecosystem approach to fisheries management should therefore  
910 account for this possibility (FAO 2003). In the end, the relative contribution of FIE might turn out to  
911 be small compared with the ecological and environmental challenges already considered to be  
912 threatening sustainable fisheries (e.g. Andersen and Brander 2009). However, it is likely that specific



913 management recommendations that decision-makers currently hesitate to implement will become  
914 even more convincing as knowledge about the effects of FIE grows through the implementation of  
915 EvolA (Eikeset 2010). In many cases, evolutionary concerns align with already existing ecological  
916 concerns. In other cases, well-intentioned management focused on mitigating a particular ecological  
917 change may inadvertently induce undesired evolutionary change.

918         Undoubtedly the EvolA approach outlined here is highly complex and a full-scale EvolA will be  
919 a very challenging task. Beyond accounting for FIE in estimates of demographics and sustainability,  
920 the effective incorporation into fisheries management will largely depend on the extent to which the  
921 various components proposed are taken up by fishery managers. Furthermore, because of the many  
922 building blocks – each with many parameters of which many are highly uncertain and inherently  
923 difficult to estimate – it can be easy to dismiss this approach as a purely academic exercise without  
924 practical value. However, the complicated nature of ecological, evolutionary and socio-economic  
925 processes does not lend themselves well to simplified analyses. Thus, the EAF mandates that the  
926 scientific basis for management decision rely on analyses that are as complicated as necessary to  
927 incorporate all relevant factors. Moreover, the fact that we in many cases may have to rely on  
928 models including a high level of uncertainty should in any case not be an excuse for inaction. As a  
929 start, progressively building and extending assessment models by including evolutionary thinking  
930 into practices will be more realistic than an immediate implementation of the whole framework.  
931 However, because there is a strong need for immediate operational advice we have in Table 1  
932 summarized general expectations for FIE for two types of selectivity patterns as well as possible  
933 mitigative actions. While we are reluctant to provide explicit advice on how to reduce the potential  
934 for FIE when relatively few stocks have been investigated, we can observe that a dome shaped  
935 selection patterns almost always is beneficial for reducing FIE.

936         Improved assessment of the evolutionary impacts of fishing can lead to better management  
937 practices and more accurate predictions of stock dynamics and ecosystem effects. Failure to  
938 investigate the presence of and account for FIE in stock assessments, management advice, and

939 policy making may exacerbate the negative consequences of phenotypic changes already commonly  
940 observed across the fish stocks we aim to sustain.

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- 1372

1373 **Box 1. Glossary**

- 1374     ▪ **Discount rate:** An interest rate used to convert the value of a sum of money due in the future  
1375         relative to its worth today. The discount rate reflects the opportunity cost of investing money in a  
1376         particular action or project, given that it could have earned interest elsewhere.
- 1377     ▪ **Eco-evolutionary dynamics:** Linked feedback between ecological and evolutionary dynamics  
1378         where ecological change lead to (rapid) evolutionary change and microevolutionary change  
1379         influence ecological processes (Pelletier *et al.* 2009).
- 1380     ▪ **Ecosystem approach to fisheries (EAF):** The goals of the EAF are “to balance diverse societal  
1381         objectives, by taking into account the knowledge and uncertainties about biotic, abiotic, and  
1382         human components of ecosystems and their interactions and applying an integrated approach to  
1383         fisheries within ecologically meaningful boundaries” (FAO 2003). Extending the conventional  
1384         fisheries management paradigm, “the approach thus intends to foster the use of existing  
1385         management frameworks, improving their implementation and reinforcing their ecological  
1386         relevance, and will contribute significantly to achieving sustainable development” (Garcia and  
1387         Cochrane 2005).
- 1388     ▪ **Ecosystem services:** “The benefits people obtain from ecosystems” (Millennium Ecosystem  
1389         Assessment 2003). *Supporting services* are the basis for the three following categories of  
1390         ecosystem services and benefit humans through fundamental long-term ecological processes,  
1391         including nutrient cycling and primary production, and may thus be directly or indirectly affected  
1392         by FIE through changes to ecological and genetic processes. *Regulating services* benefit humans  
1393         through ecosystem regulation such as climate and disease regulation or water purification and  
1394         water-quality control (e.g., water clarity), which may be impacted if FIE changes trophic  
1395         interactions, size structures, or migration distances. *Provisioning services* benefit humans through  
1396         tangible products such as fisheries yields, recreational fishing experiences, and economic rents

1397 and are likely to be modified by FIE through changes in the characteristics and demography of  
1398 stocks and the dynamics of communities. *Cultural services* benefit humans through the values  
1399 ecosystems offer for education, recreation, spiritual enrichment, and aesthetics, which may all be  
1400 affected if FIE occurs.

1401 ▪ **Fisheries-induced evolution (FIE):** “Genetic change in a population, with fishing serving as the  
1402 driving force of evolution” (ICES 2007). Includes both neutral and adaptive genetic changes.

1403 ▪ **Fishery system:** The entire system in which a fishery operates, including subsystems such as the  
1404 socio-economic system of fishers, fishing companies, and the sellers and buyers of fish products;  
1405 the natural system of target and non-target species and their ecosystem and environmental  
1406 settings; the ecosystem services provided to humankind; and the management system consisting  
1407 of fishery management, planning and policy, fishery development, and fishery research (Charles  
1408 2001).

1409 ▪ **Net present value.** “The difference between the present value of a future flow of profits arising  
1410 from a project and the capital cost of the project” (Bannock *et al.* 2003).

1411 ▪ **Opportunity cost:** “The value of that which must be given up to acquire or achieve something”  
1412 (Bannock *et al.* 2003).

1413 ▪ **Precautionary approach:** Principle 15 of Agenda 21 agreed on at the Earth Summit meeting at Rio  
1414 de Janeiro in 1992: “In order to protect the environment, the precautionary approach shall be  
1415 widely applied by States according to their capabilities. Where there are threats of serious or  
1416 irreversible damage, lack of full scientific certainty shall not be used as a reason for postponing  
1417 cost-effective measures to prevent environmental degradation” (UN 1992).

1418 ▪ **Selection differential:** The difference between the mean trait value of a population and the mean  
1419 of the individuals selected to be parents of the next generation.

1420 ▪ **Selection pressure:** A general term describing the extent to which reproductive success varies

1421 across the current phenotypes in a population. Over time across generations, selection pressure  
1422 is expected to lead to a change in the composition of genetic traits in a population, provided the  
1423 phenotypes under selection have a heritable component.

1424 ▪ **Stocks and populations:** A stock is usually a management unit and can include one or several  
1425 populations, or only part of a population. A population is a biological/evolutionary unit often  
1426 defined as a collection of interbreeding individuals in a given area, and can belong to several  
1427 stocks or form part of one stock. When assessing the presence and importance of FIE, knowledge  
1428 about the evolutionary units present in a particular area is crucial as growth trajectories and  
1429 maturation schedules and thereby the impact of FIE may differ between units.

1430 ▪ **Trait:** Here we define trait as a character of interest for fisheries management, e.g. growth rate,  
1431 age or size at maturation. While the expression of these quantitative traits is dependent on a  
1432 multitude of other quantitative traits, they are interesting because of their influence on the utility  
1433 of fish stocks. Moreover they are characters that are relatively easy to estimate from the type of  
1434 data available to fisheries scientists. The main goal of EvolA is to quantify how the genetic  
1435 component of traits changes with selection pressures. Thus, unless otherwise stated, “trait”  
1436 refers to the estimated genetic component of a quantitative character with an unknown  
1437 molecular genetic basis

1438 ▪ **Utility:** “The pleasure or satisfaction derived by an individual from being in a particular situation  
1439 or from consuming goods and services” (Bannock *et al.* 2003). Utility can be, but need not be,  
1440 expressed in monetary units.

1441 ▪ **Utility components:** Various attributes of a system from which utility is derived, contributing to  
1442 the total utility associated with the system. Stock abundance, biodiversity, employment, profit,  
1443 and yield are important utility components associated with fisheries. Stakeholders often differ in  
1444 the utility they ascribe to these various components.

1445   ▪ **Utility function:** “A mathematical representation of consumer preferences for goods and  
1446   services” (Calhoun 2002). More specifically, utility functions describe how the value stakeholders  
1447   attribute to utility components varies with the status of these components and how the utility  
1448   derived from these individual components is combined into a measure of a system’s total utility.  
1449

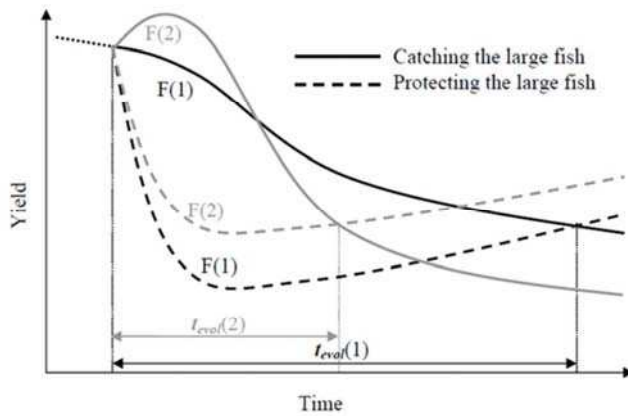
## 1450 **Box 2. EvoIA example: North Sea plaice**

1451           The EvoIA of North Sea plaice by Mollet *et al.* (2010) is among the very first of its kind. The  
1452 authors explored the impact of FIE on the productivity of plaice using an eco-genetic individual-  
1453 based model by comparing different management scenarios with and without an evolutionary  
1454 response. They showed that under a business-as-usual scenario where larger plaice are more likely  
1455 to be caught than smaller ones, plaice evolve towards smaller size at age, earlier maturation, and  
1456 higher reproductive investment (see also Grift *et al.* 2003). Their model predicts that as a  
1457 consequence, the biological reference points of maximum sustainable yield (MSY) and  
1458 corresponding fishing mortality ( $F_{MSY}$ ) should be reduced compared to the current reference points  
1459 for this stock, which ignore FIE. This is because the estimated optimal fishing mortality when FIE is  
1460 ignored ('static'  $F_{MSY}$ ) is well above the evolutionary optimal fishing mortality ('evolutionary'  $F_{MSY}$ ).  
1461 Hence, even if the stock would be fished at the currently estimated 'static'  $F_{MSY}$ , this mortality would  
1462 still be too high and decrease the future yield. The currently advised reference points can therefore  
1463 not be considered sustainable.

1464           Mollet *et al.* (2010) also show that the evolutionary response can be reversed, by changing  
1465 fishing effort and size-selectivity. This would require a dome-shaped exploitation pattern where  
1466 plaice of intermediate size are most likely to be caught and not just the smallest but also the largest  
1467 fish escape the mortality window. In the case of North Sea plaice, managers have the option to apply  
1468 such a dome-shaped exploitation pattern by influencing the spatiotemporal behaviour of the  
1469 trawling fleet, as plaice are distributed in space and time according to their size with larger  
1470 individuals feeding further offshore, and only for reproduction all size classes are encountered on  
1471 the spawning grounds (Rijnsdorp *et al.* 2012). On the short term a dome-shaped exploitation pattern  
1472 would imply a loss in yield as the largest fish are not caught but this would trade off against the long-  
1473 term loss that would otherwise take place due to evolution resulting in smaller sized fish. The  
1474 optimal levels of effort and selectivity depend on the time horizon considered: over a time-scale of  
1475 years to a few decades a strategy targeting larger fish gives more yield but if time is long enough



1476 (multidecadal to centennial time-scale), the long-term evolutionary impact becomes more  
 1477 important.



1478

1479 Figure (Box 2). Long-term trends in predicted North Sea plaice yield under low [F(1)] and high [F(2)]  
 1480 fishing mortality levels, and under two patterns of size-selectivity: a sigmoidal selectivity pattern  
 1481 where larger fish are most likely to be caught (solid lines) and a dome-shaped selectivity pattern  
 1482 where intermediate fish are most likely to be caught with the largest escaping (dashed lines).  $t_{evo}$   
 1483 represents the time span until the short-term gain in yield due to catching large fish (discounted by  
 1484 the evolutionary loss of catching them) falls below the long-term evolutionary gain in protecting  
 1485 them (discounted by the short-term loss of not catching them). This time-span is longer under  
 1486 moderate fishing mortality,  $t_{evo}(1)$ , than under high fishing mortality,  $t_{evo}(2)$

**Table 1**

Expectations for FIE of life-history traits and possible mitigation for two different selectivity patterns. A sigmoidal selectivity curve represents a scenario in which there is a minimum-size limit for harvested fish and harvesting targets all fish above this minimum-size limit (e.g. many types of trawls). A dome-shaped curve may have both maximum- and minimum-size limits so that both large and small fish are protected, but is not constrained to be symmetrical.

Selectivity pattern	Expectations	Possible mitigative actions
Sigmoidal	<ul style="list-style-type: none"> <li>▪ Size-refuge for small fish increase the advantage of staying small leading to evolution towards smaller sizes and younger ages even at low fishing mortality (Boukal <i>et al.</i> 2008; Dunlop <i>et al.</i> 2009a,b; Enberg <i>et al.</i> 2009; Jørgensen <i>et al.</i> 2009; Kuparinen <i>et al.</i> 2009; Mollet <i>et al.</i> 2010; Box 2)</li> <li>▪ The stronger the fishing pressure, the larger the evolutionary response (Dunlop <i>et al.</i> 2009a,b; Enberg <i>et al.</i> 2009; Jørgensen <i>et al.</i> 2009; Kuparinen <i>et al.</i> 2009; Mollet <i>et al.</i> 2010; Matsumura <i>et al.</i> 2011; Box 2)</li> <li>▪ Harvesting mature individuals selects for later maturation at larger sizes, whereas harvesting only immature individuals or both mature and immature individuals selects for earlier maturation at smaller sizes (Ernande <i>et al.</i> 2004)</li> <li>▪ Feeding ground reserve (marine protected area) favours delayed maturation, spawning ground reserve</li> </ul>	<ul style="list-style-type: none"> <li>▪ Increase the minimum-size limit, i.e. protecting a larger proportion of the size spectrum</li> <li>▪ Forcing a dome-shaped selectivity pattern by introducing a maximum size limit (will</li> </ul>

	<p>favours earlier maturation (Dunlop <i>et al.</i> 2009b)</p> <ul style="list-style-type: none"> <li>▪ FIE of growth rate depends on the difference between minimum size limit and size at maturation; low minimum size limits below size at maturation, increase growth capacity, and opposite effect for higher minimum-length limits (Boukal <i>et al.</i> 2008; Dunlop <i>et al.</i> 2009a)</li> <li>▪ High evolutionarily stable yield can be achieved only with very low harvest rates (Jørgensen <i>et al.</i> 2009; Mollet <i>et al.</i> 2010; Box 2)</li> <li>▪ Recovery of genetic properties of traits to pre-harvest levels slow compared to the speed of FIE (Enberg <i>et al.</i> 2009)</li> </ul>	<p>not be possible for all types of fishing gear)</p> <ul style="list-style-type: none"> <li>▪ Reduce fishing mortality to precautionary levels</li> <li>▪ Well tailored marine protected areas or seasonal moratoria</li> </ul>
<p><b>Dome-shaped</b></p>	<ul style="list-style-type: none"> <li>▪ If gillnets capture mostly smaller fish i.e. highly asymmetrical dome-shape: shifts towards later maturation at larger sizes (Boukal <i>et al.</i> 2008; Kuparinen <i>et al.</i> 2009)</li> <li>▪ If gillnets protect both small and large fish: evolutionary response determined by the intensity of harvesting vs. the intensity of natural selection towards increased size and higher fecundity (Boukal <i>et al.</i> 2008; Jørgensen <i>et al.</i> 2009).</li> <li>▪ At high fishing mortality, few individuals escape the harvestable size spectrum leading to earlier maturation at smaller sizes (Jørgensen <i>et al.</i> 2009).</li> <li>▪ Less intense fishing pressure reduces the chances of being caught while growing larger than the minimum-size</li> </ul>	<ul style="list-style-type: none"> <li>▪ Adjusting the width and the position of the harvestable size-spectrum (harvestable-slot length limits), e.g. adjust the mesh size of gillnets or a combination of minimum-length and</li> </ul>

	<p>limit and growing to a large size to increase fecundity may be adaptive, depending on the relative strength of the selective pressures (Boukal <i>et al.</i> 2008; Jørgensen <i>et al.</i> 2009; Mollet <i>et al.</i> 2010; Box 2).</p> <ul style="list-style-type: none"> <li>▪ Implementing harvest-slot length limits under positively size-selective fishing where the lower bound of the window is set larger than maturation size reduces selection on maturation size and age and leads to positive selection on immature growth rate (Matsumura <i>et al.</i> 2011)</li> <li>▪ Evolutionary stable yield can be obtained under greater fishing mortality than for sigmoidal selectivity (Jørgensen <i>et al.</i> 2009; Mollet <i>et al.</i> 2010; Box 2)</li> <li>▪ Maximum evolutionary sustainable yield depend on time horizon (Mollet <i>et al.</i> 2010; Box 2)</li> </ul>	<p>maximum-length limits for recreational fisheries.</p> <ul style="list-style-type: none"> <li>▪ Reduce fishing mortality to precautionary levels</li> </ul>
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## Figure legends

**Figure 1.** Schematic illustration of the interactions among the main components of a fishery system. The thin black arrows represent direct interactions, whereas the grey triangular arrows illustrate how the direct effects of fisheries-induced evolution (FIE) on the natural system cascade through the fishery system, affecting fishery management and the socio-economic system through their impacts on ecosystem services (see Fig. 2 for an example detailing such a cascading effect).

**Figure 2.** Example of the cascading effects of fisheries-induced evolution (FIE) on ecosystem services and their values. This illustrates how the effects of FIE on a single trait of one component of the natural system (reduced age and size at maturation in the target stock) may impact two ecosystem services (provisioning and cultural services) and associated socio-economic values (direct-use value and non-use value). Specific applications of the evolutionary impact assessment (EvoIA) framework may capture fewer or more ecosystem services, and fewer or more linkages may connect associated socio-economic values. This illustration is therefore by no means exhaustive: fishing may also cause the evolution of other traits and have a variety of indirect effects on different ecosystem services and associated socio-economic values.

**Figure 3.** Schematic illustration of a hypothetical retrospective evolutionary impact assessment aiming to quantify the consequences of past fisheries-induced evolution (FIE) from the individual trait to a combined utility function. The curves therefore represent the genetic component of the trait in question. The assessment compares time series of quantities of interest from an evolutionary scenario (continuous lines) with those from a non-evolutionary scenario (dashed lines) given a particular fishing regime. (a) This example focuses on FIE in a stock's average age at maturation and assumes that FIE causes fish to mature at earlier ages and smaller sizes. (b) In the evolutionary scenario, fishing results in more rapid decreases in spawning-stock biomass (SSB) and in the average body size of spawners. (c) This has effects on ecosystem services: provisioning services decline due to a more strongly reduced yield, and cultural services decline, e.g., due to the loss of desirable large

fish. (d) This implies secondary effects on the associated socio-economic values or utility components: direct-use values are diminished due to a less valuable total yield, and non-use values are diminished due to the loss of existence value. (e) The loss of values from provisioning and cultural services can be assessed jointly, in terms a combined utility function, which is found to decline more strongly as a result of FIE. Note that although FIE may often lead to earlier maturation at smaller sizes, as shown in this example, under some circumstances it may result in delayed maturation

**Figure 4.** Schematic illustration of a hypothetical prospective evolutionary impact assessment aiming to evaluate two alternative management regimes while accounting for the potential effects of fisheries-induced evolution (FIE). The curves therefore represent the genetic component of the trait in question. The assessment compares time series of quantities of interest between a status-quo management regime (continuous lines) and an alternative management regime aiming to mitigate FIE by changing fishing selectivity (dashed lines). (a) The status-quo regime is assumed to cause a continual decline of the stock's mean age and size at maturation, whereas the alternative regime is assumed to enable an evolutionary recovery of this rate. (b) The status-quo regime implies more severe phenotypic effects – a steadily declining spawning-stock biomass (SSB) and a diminishing average body size of spawners – than the alternative regime, which leads to the recovery of SSB and to increasing fish size. (c) This has consequences for ecosystem services: provisioning services monotonically decline with yield under the status-quo regime, whereas a steep initial decline is followed by recovery under the alternative regime. Similar conclusions apply to cultural services affected by the loss or preservation of large desirable fish. (d) This implies secondary effects on the associated socio-economic values or utility components. (e) While the resultant combined utility function is found to decline monotonically under the status-quo regime, it recovers under the alternative regime. Note that although FIE may often lead to a reduction in age at maturation, as shown in this example, under particular circumstances it may result in delayed maturation.

**Figure 5.** Four sensitivity measures of particular relevance in evolutionary impact assessment

(EvoIA). The adaptability  $A_{ij}$  measures the sensitivity with which a change in the fishing parameter  $f_i$  alters the evolutionary rate  $\dot{q}_j$  of the quantitative trait  $q_j$ . The desirability  $D_{jk}$  measures the sensitivity with which a change in the quantitative trait  $q_j$  alters the utility component  $u_k$  (according to the chain rule, this is equivalent to the sensitivity with which a change in the evolutionary rate  $\dot{q}_j$  of the quantitative trait  $q_j$  alters the rate of change  $\dot{u}_k$  in the utility component  $u_k$ ). The vulnerability  $V_{ik}$  measures the sensitivity with which a change in the fishing parameter  $f_i$  alters the rate of change  $\dot{u}_k$  in the utility component  $u_k$ . The evolutionary vulnerability  $V_{ik}^{evo}$  measures the part of the vulnerability  $V_{ik}$  that is caused by FIE. EvoIAs can estimate the matrices  $A$ ,  $D$ ,  $V$ , and  $V^{evo}$ .

**Figure 6.** Main types of building blocks in an evolutionary impact assessment (EvoIA). When devising a specific EvoIA, practitioners can go through up to four tasks (grey boxes). These are best carried out in an order as indicated by the arrows, although not every EvoIA will necessarily address all four tasks. For carrying out each task, different modules are available (white boxes). While not all modules have to be used in each EvoIA, different modules may need to be combined to address a task. The modules listed here are not intended to be exhaustive. Methods associated with each module are mentioned in the main text.

**Figure 7.** Evolutionary impact assessment (EvoIA) facilitates accounting for two major dimensions of complexity confronting modern fisheries management – evolutionary complexity and ecological complexity. Current single-species management (bottom-left box) incorporates variable degrees of ecological detail, but omits interspecific interactions (top-left box) and evolutionary impacts (bottom-right box). The vertical arrow on the left represents on-going developments towards multi-species or ecosystem-based approaches to fisheries management, whereas the horizontal arrow at the bottom represents developments towards single-species EvoIA. The top-right box represents an EvoIA that explicitly accounts for the evolutionary consequences of fishing in an ecosystem approach

to fisheries management.



## Figures

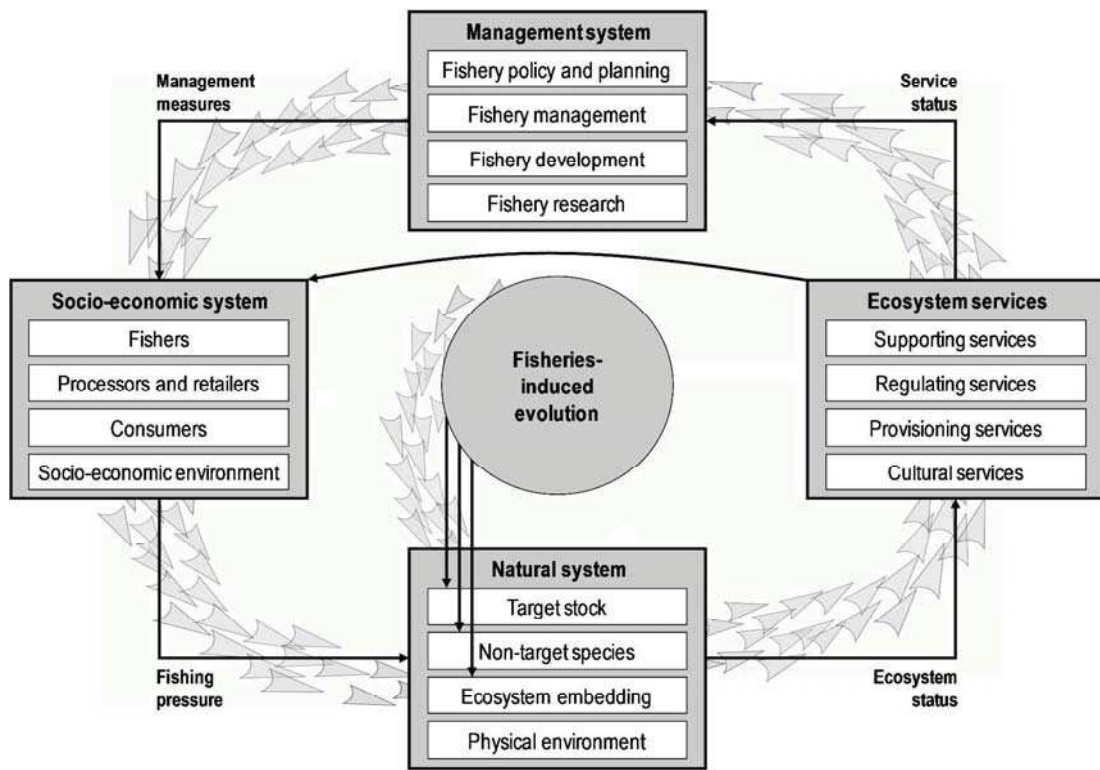


Figure 1

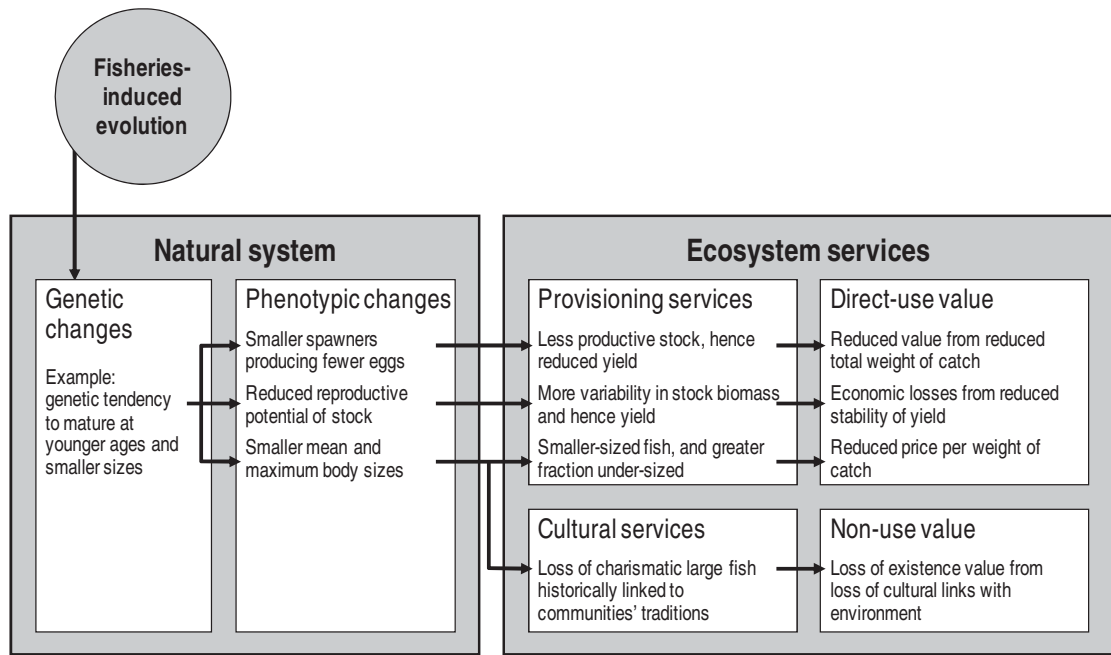


Figure 2

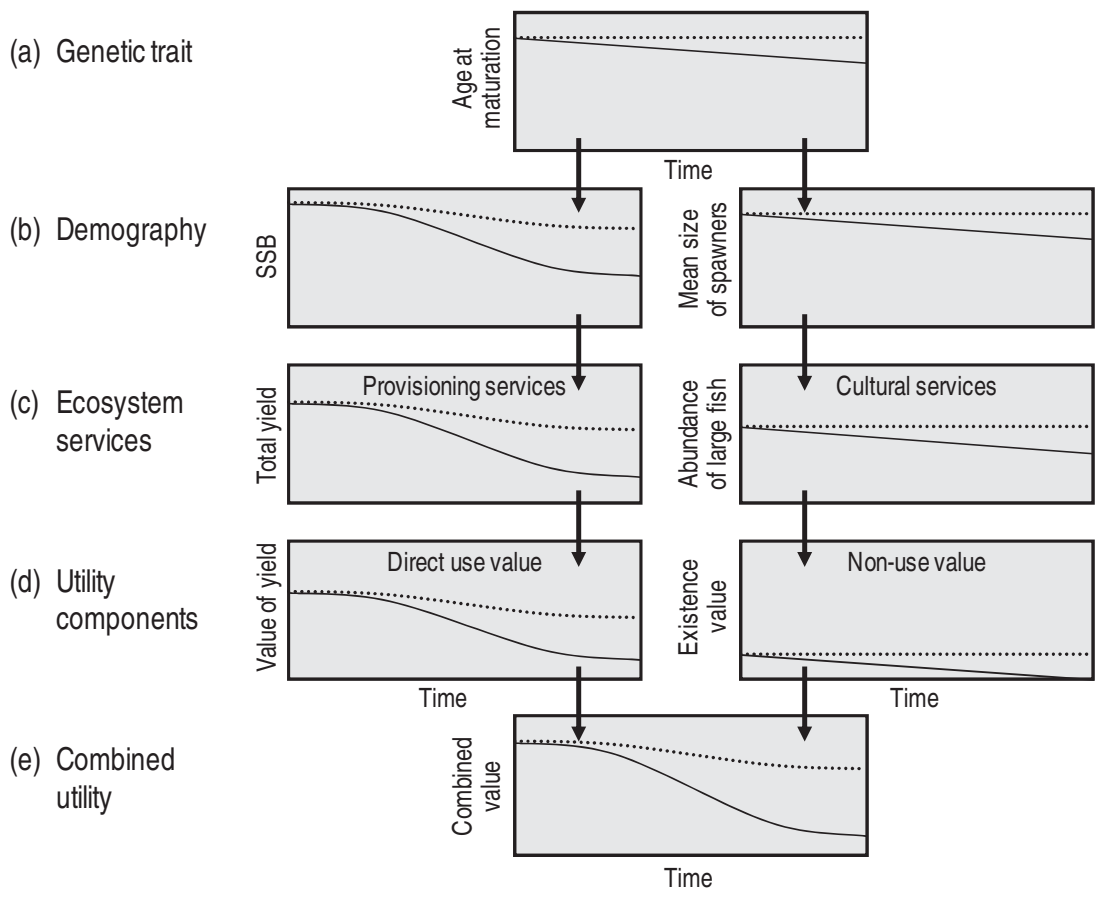


Figure 3

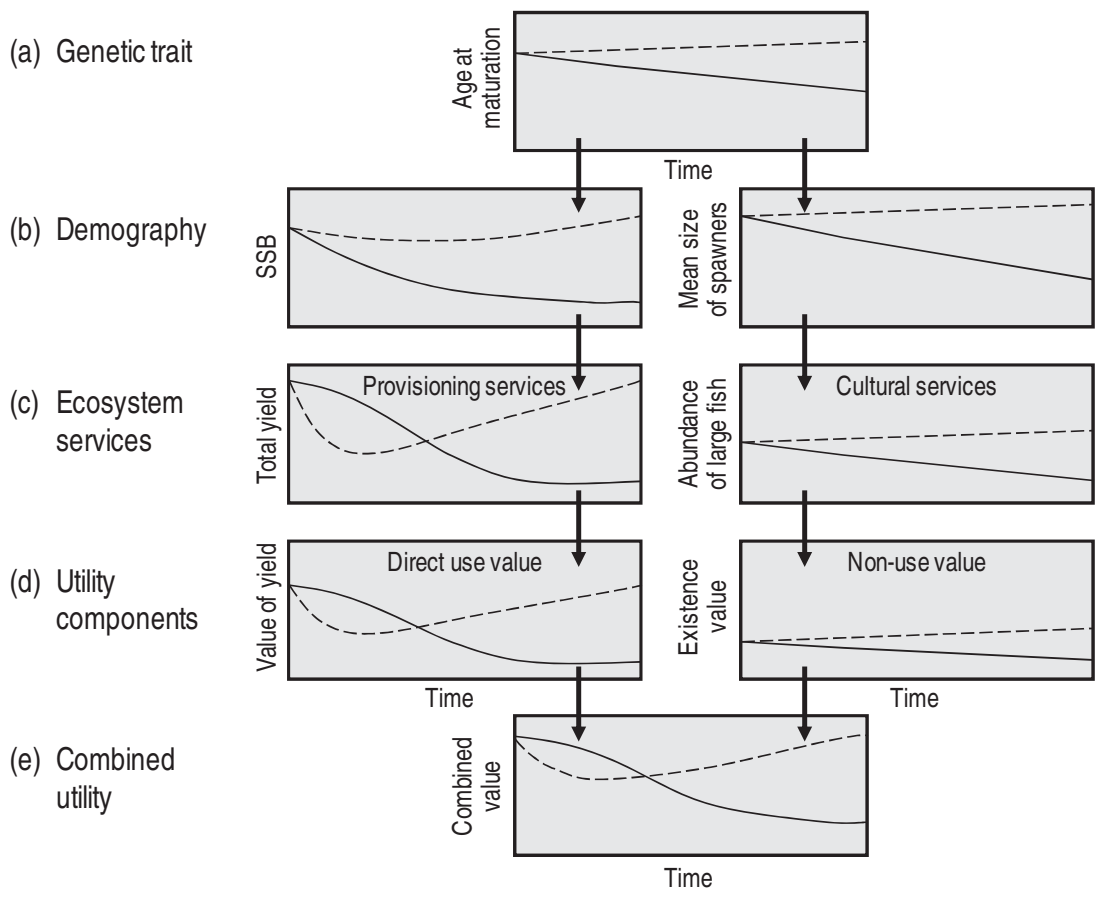


Figure 4

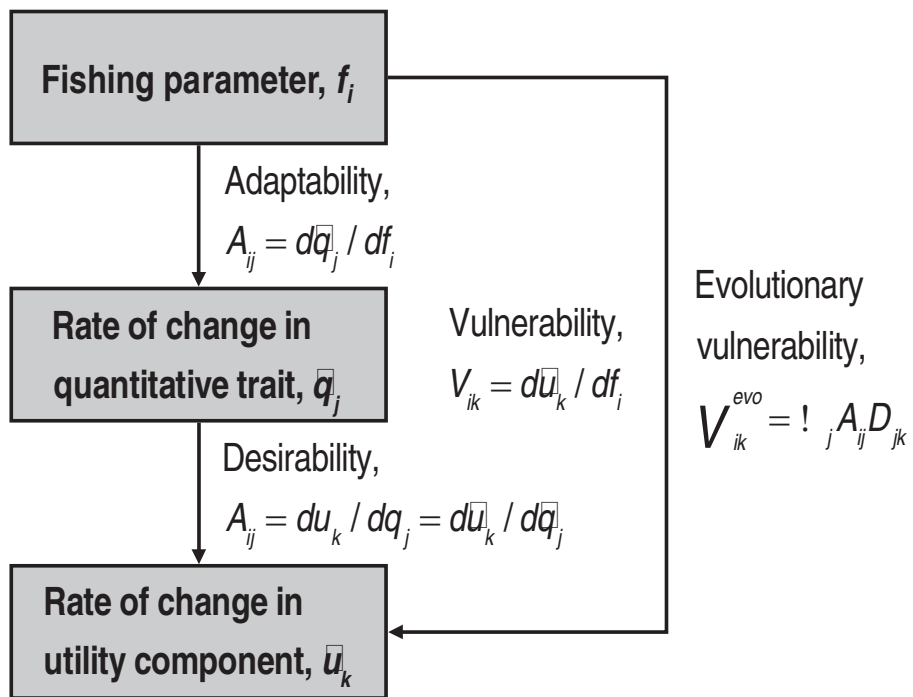


Figure 5

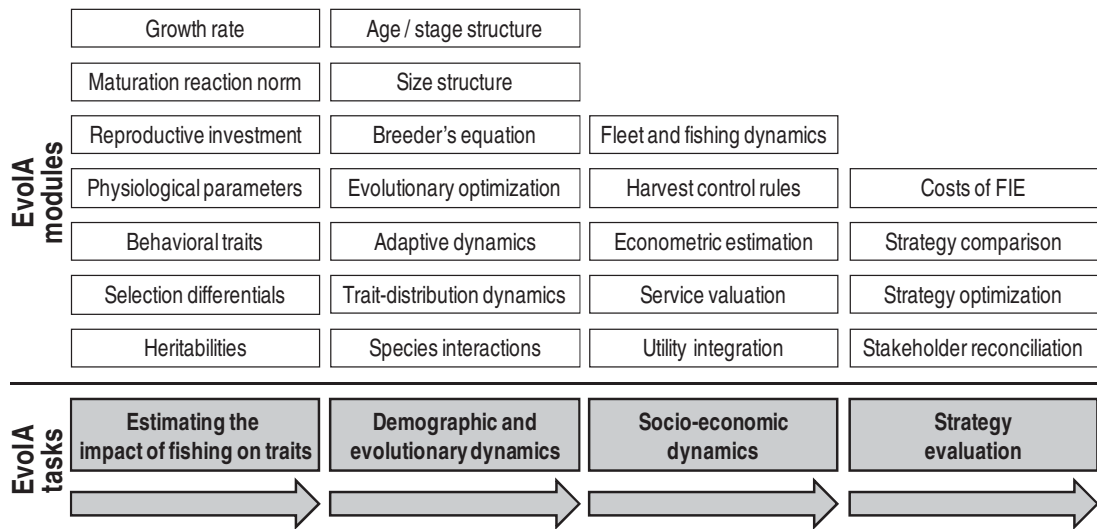


Figure 6

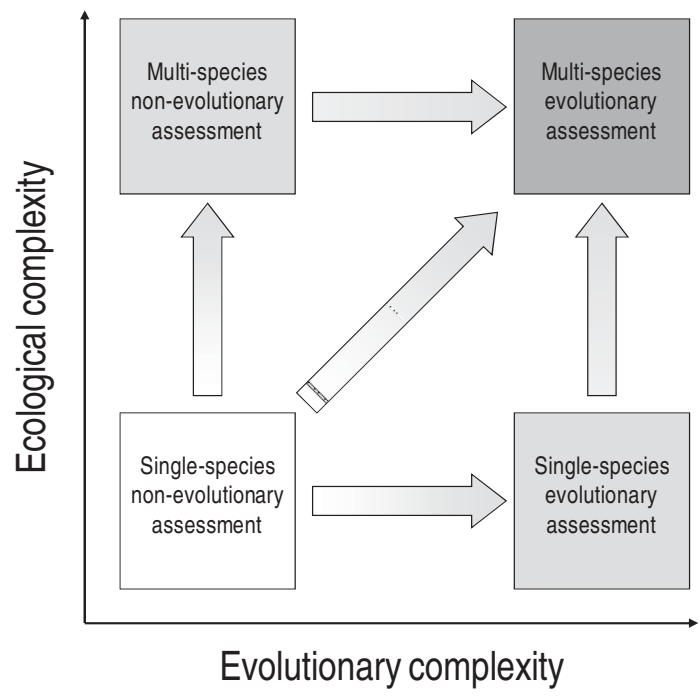


Figure 7