Long term oscillations of Mediterranean sardine and anchovy explained by the combined effect of multiple regional and global climatic indices

José C. Báez, María Grazia Pennino, Ivone A. Czerwinski, Marta Coll, José M. Bellido, José María Sánchez-Laulhé, Alberto García, Ana Giráldez, Carlos García-Soto



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4 5	3	global climatic indices
6 7	4	José C. Báez <sup>a,b</sup> *, María Grazia Pennino <sup>c</sup> , Ivone A. Czerwinski <sup>d</sup> , Marta Coll <sup>e,f</sup> , José M.
8 9	5	Bellido <sup>g</sup> , José María Sánchez-Laulhé <sup>h</sup> , Alberto García <sup>a</sup> , Ana Giráldez <sup>a</sup> , Carlos García-
10 11	6	Soto <sup>i</sup>
12 13	7	
14 15	8	a. Instituto Español de Oceanografía (CN-IEO/CSIC), Centro Oceanográfico de Málaga,
16 17	9	Puerto Pesquero de Fuengirola s/n, 29640 Fuengirola, Spain.
18	10	b. Instituto Iberoamericano de Desarrollo Sostenible, Universidad Autónoma de Chile,
20	11	Temuco, Chile.
21 22	12	c. Instituto Español de Oceanografía (CN-IEO/CSIC), Centro Oceanográfico de Vigo,
23 24	13	Vigo, Spain.
25 26	14	d. Instituto Español de Oceanografía (CN-IEO/CSIC), Centro Oceanográfico de Cádiz,
27	15	Cádiz, Spain.
29	16	e. Institut de Ciències del Mar (ICM-CSIC), P. Marítim de la Barceloneta, 37-49, 08003
30 31	17	Barcelona, Spain.
32 33	18	f. Ecopath International Initiative Research Association, 08172, Barcelona, Spain.
34 35	19	g. Instituto Español de Oceanografía (CN-IEO/CSIC), Centro Oceanográfico de Murcia.
36 37	20	C/Varadero 1, 30740, San Pedro del Pinatar, Murcia, Spain.
38	21	h. Agencia Estatal de Meteorología, Centro Meteorológico de Málaga, Málaga, Spain
40	22	i. Instituto Español de Oceanografía (CN-IEO/CSIC), Centro Oceanográfico de
41 42	23	Santander, Promontorio de San Martín, Spain
43 44	24	
45 46	25	*Corresponding author: Instituto Español de Oceanografía (CN-IEO/CSIC), Centro
47 48	26	Oceanográfico de Málaga (Spain), Puerto Pesquero s/n, 29640, Spain. E-mail:
49 50	27	josecarlos.baez@ieo.csic.es
51 52	28	
53	29	Short title: ENSO and PDO affect fisheries from Mediterranean
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### 31 ABSTRACT

It is widely known that the abundance and distribution dynamics of populations of small pelagic clupeid fish, such as sardines and anchovies, are affected by large-scale climate variability, which may lead to changeovers to new regimes of small pelagics. However, long-distance climatic oscillations, such as El Niño/La Niña and the Pacific Decadal Oscillation, have been little explored in the Western Mediterranean Sea. We investigated the possible effects of the South Oscillation Index (i.e. the atmospheric oscillation coupled with the El Niño/La Niña) and Pacific Decadal Oscillation on fluctuations in catches of European anchovy (Engraulis encrasicolus) and sardine (Sardina pilchardus) in the Western Mediterranean Sea, and their association with regional climate oscillations (i.e. the Atlantic Multidecadal Oscillation, the North Atlantic Oscillation, the Western Mediterranean Oscillation index, and the Arctic Oscillation). The study covered two periods: a) landings between 1950 and 2016; and b) abundance, biomass, and physical condition (i.e., relative condition index) between 2004 and 2016. The main large-scale climatic oscillations in the region were studied using General Additive Models to investigate the relationship between a time series of species measures of European sardine and anchovy from Geographical Subarea 06. Results show that the long-term Pacific Decadal Oscillation favours sardine landings, whereas the combined effect of the Western Mediterranean Oscillation Index and the Atlantic Multidecadal Oscillation favours anchovy. We discuss potential links between the present findings and changes in the plankton community caused by prevailing winds in the region driven by long-distance climate oscillations and their impact on the reduction in small pelagic fish populations in the study area.

56 Keywords

Climatic oscillation, Asian Monsoon, ENSO, PDO, fisheries, small pelagic fish, SOI.

#### 64 1. Introduction

It is widely known that the abundance and distribution dynamics of populations of small pelagic clupeoid fish, such as sardines and anchovies, are affected by largescale climate oscillations (e.g., see Rykaczewski and Checkley, 2008; McClatchie, 2014; Báez et al., 2021). These climate indices are considered to represent "oscillations" of a dipole that drive changes in local weather trends.

Climate oscillations, or teleconnections, are the naturally reoccurring changes of normal weather patterns in a local area and are associated with the interactions of atmospheric and oceanic conditions. Among the most relevant climatic oscillations in the northern hemisphere are the Pacific Decadal Oscillation (PDO), the Atlantic Multidecadal Oscillation (AMO), the North Atlantic Oscillation (NAO), the Western Mediterranean Oscillation index (WeMOi), and the Arctic Oscillation (AO) (e.g., see Chávez et al., 2003; Martin-Vide and Lopez-Bustins, 2006; Báez and Real, 2011; Alheit et al., 2014; Báez et al., 2019; Báez et al., 2021). However, the associations between them have not yet been fully explained (Sutton and Hodso, 2003; Hurrel and Deser, 2009). In this line, Wang et al. (2014) found that the PDO and El Niño/La Niña combination could affect dry-wet patterns even in remote areas of the Pacific Ocean. They also reported that the effect of the El Niño-South Oscillation (ENSO) on dry-wet changes varies along with the PDO phase. When in phase with the PDO, ENSO-induced dry-wet changes are amplified in relation to the canonical pattern. When out of phase, these dry-wet variations weaken or even disappear (Wang et al., 2014). Therefore, different climatic oscillations could have combined and differential effects leading to locally differential climatic responses (e.g., Báez et al., 2013; Wang et al., 2014).

In this setting, the ENSO and the Southern Oscillation Index (SOI) (i.e. the atmospheric oscillation coupled with the ENSO) are the main source of global atmosphere-ocean variability patterns. It is widely accepted that they drive climatic variability in the Pacific Ocean and adjacent Indian Ocean (Yan et al., 2011; Wang et al., 2014; Wieners et al., 2017).

93 On the other hand, although climatic oscillations have a differential local 94 response, this does not imply that they produce short-distance effects. Thus, the spatial 95 manifestation of the corresponding effects depends on the magnitude of the different 96 events (and combinations with other processes), and responses range from weak

97 regionally confined trends to global large-scale teleconnectivity patterns (Lyon and
98 Barnston, 2005; Lin and Qian, 2019; Kittel et al., 2021). Several authors have drawn
99 attention to the relevance of tropical-extratropical ocean-atmosphere interactions on the
100 North Atlantic and Mediterranean climate (Rogers, 1984; Sutton and Hodson, 2003;
101 Hurrel and Deser, 2009; Losada et al., 2012; Stan et al., 2017).

Surprisingly, Hasanean (2004) found an association between the mean seasonal and annual precipitation in the Mediterranean region and the ENSO during the period 1951 to 1998. Using observational datasets and atmospheric reanalyses, Mariotti et al. (2002) showed that the interannual variability of rainfall in the Euro-Mediterranean sector is significantly influenced by the ENSO in a way that varies by season. Sánchez-Laulhé (2020) showed that there is a direct relationship between the development of La Niña conditions in the Tropical Pacific and the wind regime during the summer in the Western Mediterranean region. This relationship could be mediated by the Indian summer monsoon. Rodwell and Hoskins (2001) suggested that the warm-to-hot and very dry summers of Mediterranean-type climates were associated with adiabatic descents induced remotely by the monsoon to the east. The PDO can also influence the interannual variability of Indian Summer Monsoon (ISM) rainfall by strengthening the ENSO-ISM relationship when the ENSO and the PDO are in phase, while weakening the relationship when they are out of phase (Krishnamurthy and Krishnamurthy, 2013; Dong et al., 2018). Moreover, previous studies have also shown that the El Niño event affects planktonic communities in the Western Mediterranean Sea (Hernández-Almeida et al., 2005, 2011). 

Based on the foregoing, the current study investigates the possible long-distance effect of major world climate oscillations (i.e., the PDO and SOI) and local climate oscillations (i.e. AMO, AO, NAO, and WeMOi) on stocks of European anchovy (*Engraulis encrasicolus*) and sardine (*Sardina pilchardus*) in the Western Mediterranean Sea. This area can respond quickly to any such effects. Understanding the response of small pelagic fish to great climate variability over long-term periods is relevant to forecasting human-induced responses to climate change.

#### 127 Material and Methods

**Fisheries data** 

**128** 58

130	The main challenge in analysing biological processes in oceans over long-term
131	periods is the general lack of available time series of oceanographic studies and data on
132	the physical condition of fish. However, the use of landing data can be used as a proxy
133	for fish abundance (for example Castro-Gutiérrez et al., 2022). Nevertheless, the use of
134	such data can be controversial, because they include fleet variability and technical
135	improvements, and can also miss unreported catches (Pauly et al., 2013). Nevertheless,
136	according to Pauly et al. (2013), landings are very often the best data available and have
137	been used by the FAO and Fisheries Management Regional Organization for stock
138	assessments. Thus, it is reasonable to use them as a proxy for abundance, or at least
139	regarding abundance trends over time. To address this issue, we studied two sets of data
140	with different time scales. On the one hand, as a proxy for abundance, we used the
141	sardine and anchovy landings in subarea GSA06 (General Fisheries Commission for the
142	Mediterranean) (Figure 1) from 1950 to 2016. On the other hand, we also analysed
143	direct estimates of biomass, abundance, and physical condition per species annually
144	between 2003 and 2016, as data were available for this period.

Specifically, the landing database of European anchovy and sardine from the GSA06 (from the French border to the Cape of Gata) (Figure 1) was built using annual time series provided by different national authorities (i.e. Spanish Fisheries Authorities, the Spanish Autonomous Communities, and own data of the Instituto Español de Oceanografía: further details on the time series can be found in Abad and Giráldez, 1990; Abad et al., 1991; Giráldez and Abad, 1991, 2000, and Giráldez and Alemany, 2002). 

For the period 2003 to 2016, we used the data from the Spanish Acoustic Survey "Eco-MEDiterranean" (ECOMED) (2003 to 2008) and the EUfunded MEDIterranean International Acoustic Survey (MEDIAS) (2009 to 2016). The following data were obtained from the aforementioned oceanographic surveys: biomass (metric tons), abundance (number of individuals), relative condition index (Kn; Le Cren, 1951) (Brosset et al., 2016; Albo-Puigserver et al., 2020; Pennino et al., 2020, Baez et al., 2021). Further details on the performance of these anchovy and sardine biological variables can be consulted in previous studies (Pennino et al., 2020; Baez et al., 2021).

#### Large-scale climate data

We studied the NAO, AO, AMO, and WeMOi, which are the main drivers of climatic variability in the northern hemisphere regional area. We also studied the SOI and PDO, which are main global climatic oscillations. The WeMOi values were obtained from the University Barcelona Climatology Group of (http://www.ub.edu/gc/es/WeMOi/) and the PDO index used was the classic estimation (1997)proposed by Mantua et al. (http://research.jisao.washington.edu/pdo/PDO.latest.txt: accessed: 18/04/2021). Data on the other climatic oscillations were obtained from the National Oceanic and Atmospheric Administration of USA website. 

173 Generalized Additive Models

 Generalized Additive Models (GAMs) were used to investigate the effect of the climate oscillation indices on the species variables (i.e., landings, abundance, biomass, and Kn). The main advantage of GAMs is that they are a non-parametric generalization of multiple linear regressions and have less restrictive assumptions regarding the underlying statistical data distributions (Hastie and Tibshirani 1990). GAMs use data-driven functions, such as splines and local regression, which have superior performance relative to the polynomial functions used in linear models (Zwolinski et al., 2011; Diankha and Thiaw, 2016). Specifically, for each species and dependent variable, GAMs with a Gaussian distribution were applied after the response variables had been log transformed. 

Prior to performing the GAMs, we used a standard technique—in this case, a Pearson's correlation test with the *corrplot* package (Wei and Simko, 2017)—to identify possible correlations between the explanatory variables. Pairs of variables with high correlation values (Pearson's correlation > 0.7) were identified. In particular, a high correlation was found between the AO and NAO (r > 0.70) and thus the AO was excluded from further analysis (Supplementary Materials, Figure S1).

In addition to the climate oscillation indices, the year was included as a continuous variable in all the GAMs in order to assess unexplained temporal variability. Semi-parametric smooth functions (s) were used to fit the interactions between the climatic indices and each of the fish species variables, restricting the dimension of the basis (k) to 4 in order to allow a high degree of flexibility while avoiding overfitting problems (for example Lloret-Lloret et al., 2022).

197	After a stepwise forward procedure, the best final model was selected according
198	to the lowest Akaike Information Criterion (AIC) and the highest adjusted R-square. For
199	each final GAM, the assumptions of the model were determined by testing on residuals
200	the theoretical assumptions of normality, homoscedasticity, and independence. Temporal
201	correlations in the residuals were determined using the autocorrelation (ACF) and
202	partial (PACF) functions (Wood, 2006).
203	Data exploration and statistical analyses were conducted with R 4.0.3 (R Core
204	Team, 2020). The GAMs were analysed using the mgcv library (version 1.8, Wood and
205	Wood, 2015) in R.
206	
207	Results
208	
209	Landings (1950-2016)
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211	For sardine landings (1950-2016), the only significant variables in the final
212	model were the Pacific Decadal Oscillation (PDO) and the unexplained annual trend.
213	This model explained 79% of the variability in sardine landings. Specifically, a positive
214	association was found between the PDO and sardine landings, while the year effect
215	shows that although there was an increase in landings in the 1980s and 1990s, landings
216	decreased from 2000 onward (Figure 2).
217	The anchovy landings model retained as significant predictors the Atlantic
218	Multidecadal Oscillation (AMO) and Western Mediterranean Oscillation (WeMOi)
219	indices as well as the unexplained annual trend. For these variables two opposite
220	relationships were found with respect anchovy landings, negative for the AMO and
221	positive for the WeMOi and the year. Overall, these predictors explained 53% of the
222	variability in anchovy landings (Figure 3).
223	
224	Biomass, abundance, and physical condition (2004-2016)
225	
226	Results of the sardine biomass model highlighted that all the variables were
227	significant, except for the unexplained annual trend. This model explained 78% of the
228	total data variability. Specifically, a positive association was found between the North
229	Atlantic Oscillation (NAO) and Atlantic Multidecadal Oscillation (AMO) indices and
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the sardine biomass, whereas a negative association was found between the PDO,
WeMOi, and SOI and the sardine biomass (Figure 4). On the contrary the anchovy
biomass model retained only the annual trend that alone explained 76% of the
variability of the data (Figure 5).

For the sardine abundance, the majority of the variability (49%) was explained by the WeMOi and unexplained annual trend (Figure 6). Both variables showed a negative association with the abundance of sardine.

The unexplained annual trend was also a final predictor in the anchovy abundance model, jointly with the PDO. Both variables showed slightly significant positive associations with the anchovy abundance (Figure 7) and explained 57% of the variability.

For sardine Kn, the final model explained 64% of the variability. The retained significant predictors were the NAO and WeMOi indices. A dome-shaped association was found between the NAO and sardine Kn, whereas a mixed association was found between the WeMOi index and sardine Kn (Figure 8). Finally, in the GAM for anchovy Kn, significant positive associations were only found between the Southern Oscillation Index (SOI) and the AMO indices and anchovy Kn. Both variables jointly explained 93% of the variability in anchovy Kn (Figure 9).

For all GAM analyses, the residuals show the absence of any violations and
temporal autocorrelations (see Supplementary Materials, Figures S2 to S17).

Table 1 shows the main results of the GAM analysis in relation to landings,abundance, biomass, and physical condition (Kn) by species.

#### 253 Discussion

Alheit et al. (2014) demonstrated that, over the long-term, sardine and anchovy from the European Atlantic and Mediterranean coasts respond to the Atlantic Multidecadal Oscillation. In this line, Báez et al. (2022) found that, over the short-term, there is a positive association between sardine landings and the Atlantic Multidecadal Oscillation, whereas this association is negative in the case of anchovies. They also found positive associations between sardine biomass and the Atlantic Multidecadal Oscillation and between anchovy biomass and physical condition. Alheit et al. (2014) also observed that, since the mid-1990s, increases in the abundance and spatial

occupation of European anchovy in the North Sea have been related to the Atlantic Multidecadal Oscillation, whereas from 2012 to 2022, there has been a strong decreasing trend in sardine landings in the Western Mediterranean Sea (Quattrocchi and Maynou, 2017; Coll et al., 2019; Báez et al., 2022). Our findings were similar to those of Alheit et al. (2014) in the case of anchovy from the Western Mediterranean Sea over the long term. However, we found a long-term association between sardine and the Pacific Decadal Oscillation (PDO). In effect, and as highlighted by Alheit et al. (2014), the period from 1992 to 1998 corresponds to a positive PDO phase with the highest average landings (i.e. 43978 t). In contrast, the period between 2007 and 2013 corresponds to a negative PDO phase with the lowest average landings (13120.4 t).

In the short term, there could be an association between the PDO and sardine biomass and anchovy abundance, and an association between the Southern Oscillation Index (SOI) and the physical condition of anchovy. As these findings refer to the short term, they should be taken with caution: further research is needed using longer data series. Fortunately, we were able to make use of a 67-year period of sardine and anchovy landings to test our hypothesis. Nevertheless, we are aware that this period is not homogeneous in relation to fishing characteristics because there have been significant technical advances over this period as well as changes in the catch composition of the fleet that could distort the results. However, the results show a clear association between the PDO and sardine, and, to a lesser extent, between the PDO and anchovy.

A possible explanation for the distant effect of the PDO on fluctuations of sardine and anchovy could be related to rain patterns and wind regimes in the Mediterranean region due to the Asian monsoon, which in turn is driven by the PDO/SOI. Rykaczewski and Checkley (2008) showed that increases in the level of wind-stress curl and SST affected the production of Pacific sardine Sardinops sagax. They also showed that the wind-stress curl has oscillated over the past 6 decades and that it is positively correlated with the extent of isopycnal shoaling, nutricline depth, and chlorophyll concentration. Likewise, wind regimes over the Mediterranean Sea driven by the PDO/SOI could have a similar effect. Previous studies have also shown that the El Niño event affects planktonic communities in the Western Mediterranean Sea (Hernández-Almeida et al., 2005, 2011). 

Thus, there is a connection between long-distance wind regimes and changes in plankton communities. In turn, it has been observed that there is a differential trophic

gradient in anchovy and sardine in the Western Mediterranean Sea, which is due to the differential community plankton composition (Bachiller et al., 2020). Moreover, Brosset et al. (2016) suggested that there is an association between small pelagic dietary shifts and ecosystem changes in the Gulf of Lion. Finally, it has been shown that rain patterns in the Mediterranean region increase the productivity of the sea (Macías et al., 2015), which could alter trophic gradients.

A key finding of the present study is that the combined effect of multiple regional and global climatic oscillations provides the best explanation of variability in anchovy and sardine abundance. Similar associations have been observed in other sites worldwide (Chavez et al., 2003; Checkley et al., 2017).

As argued by Báez et al. (2021), although there are many climatic oscillations, there is only a single atmosphere (i.e. climate on a global scale is interconnected by so-called atmospheric bridges or teleconnections). The PDO has also been shown to have remote associations with multi-decadal drought and pluvial conditions over many distant areas through atmospheric teleconnections (Zanchettin et al., 2008; Wang et al., 2009; Wang et al., 2014; Vance et al., 2015; Johnson et al., 2020) and marine biological process (Mantua et al., 1997; Mantua and Hare, 2002; Chavez et al., 2003; Báez et al., 2020). There are inter-basin atmosphere-ocean interactions from the Atlantic to the North Pacific and vice versa, such as the Arctic Oscillation interaction (mediated by the Sea Surface Temperature in the North Atlantic) or the Atlantic Multidecadal Oscillation, which influences the PDO in such a way that it affects the wet/dry patterns in the Atlantic region (Johnson et al., 2020). Thus, in combination with other climatic oscillations, the PDO can be considered to be a good proxy for both the regional and global variability that affects the regional climate of the Western Mediterranean. The fact that the response of ecosystems can be better explained by distant climatic oscillations than by local physical variables is a paradox that has been previously described (Stenseth et al., 2003; Hallett et al., 2004; Báez et al., 2021). Stenseth et al. (2003) suggested that climatic oscillations affect multiple weather variables simultaneously-sometimes in distant areas-in what they called packages of weather, thus affecting the response of corresponding ecosystems (Stenseth et al., 2003; Hallett et al., 2004; Bastos et al., 2016). 

On the other hand, the Western Mediterranean Oscillation index could have a relevant impact at a regional scale (Martin-Vide and Lopez-Bustins, 2006), at least in the case of anchovy. Martin et al. (2012) found that the Western Mediterranean

Oscillation index affected sardine and anchovy populations. We found that the Western Mediterranean Oscillation index had an effect on anchovy biomass. 

The North Atlantic Oscillation is the largest source of interannual variability in the Northern Hemisphere and is related to the multiple biological responses of many fish stocks (for a recent review, see Báez et al., 2021). However, the North Atlantic Oscillation was not included in all of the final models. In fact, according to Martin-Vide and Lopez-Bustins (2006), due to the orography and geographic position of the Western Mediterranean area, climatic variability could be better captured by the WeMOi than by the North Atlantic Oscillation. Nevertheless, according our results there is an unimodal relationship between the North Atlantic Oscillation and sardine Kn (Figure 8). The North Atlantic Oscillation reflects the difference in atmospheric pressure at sea level between the Icelandic low and the high over the Azores archipelago. It is therefore a difference between pressures, and can take positive or negative signs. However, values close to zero are a mild North Atlantic Oscillation. In fact, as reviewed in Báez et al. (2021) the extreme values of the North Atlantic Oscillation, are the most important. Therefore, the inverted U-shaped effect on sardine Kn could respond, on the one hand, to a worsening of sardine feeding due to an extreme value (positive or negative phase), and on the other hand, to an increased competitive stress due to an extreme value of the NAO variable (positive or negative phase). 

Regarding the Arctic Oscillation index, the Arctic Oscillation is another relevant climatic oscillation in the Northern Hemisphere and is strongly correlated with the North Atlantic Oscillation, which itself depends on the strength of the polar vortex (Báez et al., 2013). A relationship has been found between the Arctic Oscillation and Catch per Unit of Effort of sardine in the purse seine fisheries in Northwest Africa (Báez et al., 2019). 

In recent decades, there have been relevant changes in small pelagic fish populations in the North Western Mediterranean Sea. The most noticeable fluctuations in these important fishery resources have been declines in landings, biomass, abundance sardine. According to Coll et al. (2019), these changes could have multiple causes, including the cumulative effect of environmental change, overfishing, competition for trophic resources, and predation. However, we would like to highlight the fact that positive PDO phases could significantly explain trends in sardine and anchovy landings. Unfortunately, we are currently in a negative PDO phase, which could aggravate the reduced sardine stocks in the Western Mediterranean. 

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43	389	aaring and stady, which was conducted using statistical rishery data available online.
44 45	390	ORCID
46 47	391	José Carlos Báez; https://orcid.org/0000-0003-2049-0409
48 49	392	María Grazia Pennino https://orcid.org/0000-0002-7577-2617
50 51	393	Ivone A. Czerwinski: https://orcid.org/0000-0001-8722-5285
52 53	394	Marta Coll: https://orcid.org/0000-0001-6235-5868
54	395	José M. Bellido: https://orcid.org/0000-0002-6887-4391
56	396	Alberto García
57	397	Ana Giráldez
59 60	398	Carlos García-Soto: https://orcid.org/0000-0002-7080-8545
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	Landings	Abundance	Biomass	Kn
Sardine	PDO,	WeMOi (49%)	NAO, AMO, PDO,	NAO, WeMO
	Annual Trend		WeMOi, SOI	(64%)
	(79%)		(78%)	
Anchovy	AMO, WeMOi,	PDO,	Annual Trend	SOI, AMO (93%)
	Annual Trend	Annual Trend (57%)	(78%)	
	(53%)			

# Table 1. Results of the GAM analysis of landings, abundance, biomass, and physicalcondition (Kn) by species.

604 Note: Explained variability is shown in parentheses for each case.

605 Abbreviations: PDO, Pacific Decadal Oscillation; SOI, South Oscillation Index; AMO,

606 Atlantic Multidecadal Oscillation; WeMOi, Western Mediterranean Oscillation index;

607 NAO, North Atlantic Oscillation.



 $\begin{array}{r} 48\\ 49\\ 50\\ 51\\ 52\\ 53\\ 54\\ 55\\ 56\\ 57\\ 58\\ 60\\ 61\\ 62\\ \end{array}$ 







Figure 4: Partial GAM plots of sardine (*Sardina pilchardus*) biomass. (A) North
Atlantic Oscillation (NAO), (B) Southern Oscillation Index (SOI), (C) Atlantic
Multidecadal Oscillation (AMO), (D) Pacific Decadal Oscillation (PDO) and (E)
Western Mediterranean Oscillation index (WEMO index). Significant partial effects of
the explicative variables are shown. The shaded areas indicate the 95% confidence
interval.











674 Figure 9: Partial GAM plots of anchovy (*Engratus encrastcolus*) Kn. Significant partial
675 effects of the (A) Southern Oscillation Index (SOI) and (B) Atlantic Multidecadal
676 Oscillation (AMO) indices are shown. The shaded areas indicate the 95% confidence
677 interval.

### AUTHOR STATEMENT

#### **Author Contributions**

Conception and methodology design: JCB; data collection: JCB, MGP, AG, CGS; data analysis: MGP, IAC, CGS; first draft: JCB and MGP. All authors critically reviewed the drafts and gave final approval for publication.

#### **Ethical Statement**

No specific authorization was required for any of the activities undertaken during this study, which was conducted using statistical fishery data available online.

Conflicts of interest/Competing interests

Dear Editor,

In relation to the accompanying paper entitled "Long-distance effect of PDO and SOI on European sardine and anchovy in the Western Mediterranean Sea" Authors' declarations of interest: the authors declare no conflict of interest

Thank you for your consideration, and we look forward to hear from you.

Sincerely,

Dr. José Carlos Báez At the head of all authors