

**GROUND FISH STOCK ASSESSMENT AND REVIEW PROCESS DURING 2002**

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## **Introduction**

The purpose of this document is to help the Council family and others understand the groundfish stock assessment review process (STAR). Parties involved are the National Marine Fisheries Service (NMFS); state agencies; the Council and its advisors, including the Scientific and Statistical Committee (SSC), Groundfish Management Team (GMT), Groundfish Advisory Subpanel (GAP), Council staff; and interested persons. The STAR process is a key element in an overall process designed to make timely use of new fishery and survey data, to analyze and understand these data as completely as possible, to provide opportunity for public comment, and to assure that the results are as accurate and error-free as possible. The STAR process is designed to assist in balancing these somewhat conflicting goals of timeliness, completeness and openness. (Insert references to NMFS technical guidance for implementing precautionary approach and reference to the NRC report on stock assessments).

## **STAR Goals and Objectives**

The goals and objectives for the groundfish assessment and review process<sup>†</sup> are:

- a) Ensure that groundfish stock assessments provide the kinds and quality of information required by all members of the Council family.
- b) Satisfy the Magnuson-Stevens Sustainable Fisheries Act (SFA) and other legal requirements.
- c) Provide a well-defined, Council oriented process that helps make groundfish stock assessments the "best available" scientific information and facilitates use of the information by the Council. In this context, "well-defined" means with a detailed calendar, explicit responsibilities for all participants, and specified outcomes and reports.
- d) Emphasize external, independent review of groundfish stock assessment work.
- e) Increase understanding and acceptance of groundfish stock assessment and review work by all members of the Council family.
- f) Identify research needed to improve assessments, reviews and fishery management in the future.
- g) Use assessment and review resources effectively and efficiently.

## **Shared Responsibilities**

All parties have a stake in assuring adequate technical review of stock assessments. NMFS must determine that the best scientific advice has been used when it approves fishery management recommendations made by the Council. The Council uses advice from the SSC to determine whether the information on which it will base its recommendation is the "best available" scientific advice. Fishery managers and scientists providing technical documents to the Council for use in management need to assure that the work is technically correct. Program reviews, in-depth external reviews, and peer-reviewed scientific publications are used by federal and state agencies to provide quality assurance for the basic scientific methods used to produce stock assessments. However, the time-frame for this sort of review is not suited to the routine examination of assessments that are, generally, the primary basis for a harvest recommendation.

The review of current stock assessments requires a routine, dedicated effort that simultaneously meets the needs of NMFS, the Council, and others. Leadership, in the context of the stock assessment review process for groundfish,

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<sup>†</sup> In this document, the term "stock assessment" includes activities, analyses, and management recommendations, beginning with data collection and continuing through to the development of management recommendations by the Groundfish Management Team and information presented to the Council as a basis for management decisions.

means consulting with all interested parties to plan, prepare terms of reference, and develop a calendar of events and a list of deliverables. Coordination means organizing and carrying out review meetings, distributing documents in a timely fashion, and making sure that assessments and reviews are completed according to plan. Leadership and coordination both involve costs, both monetary and time, which have not been calculated, but are likely substantial.

The Council and NMFS share primary responsibility to a successful STAR process. The Council will sponsor the process and involve its standing advisory committees, especially the Scientific and Statistical Committee. NMFS will provide a coordinator to oversee and facilitate the process. Together they will consult with all interested parties to plan, prepare terms of reference, and develop a calendar of events and a list of deliverables. NMFS and the Council will share fiscal and logistical responsibilities.

The STAR process is sponsored by the Council because the Federal Advisory Committee Act (FACA) limits the ability of NMFS to establish advisory committees. FACA specifies a procedure for convening advisory committees that provide consensus recommendations to the federal government. The intent of FACA was to limit the number of advisory committees; ensure that advisory committees fairly represent affected parties; and insure that advisory committee meetings, discussions, and reports are carried out and prepared in full public view. Under FACA, advisory committees must be chartered by the Department of Commerce through a rather cumbersome process. However, the SFA exempts the Council from FACA *per se*, but requires public notice and open meetings similar to those under FACA.

### **NMFS Responsibilities**

NMFS will work with the Council, other agencies, groups or interested persons that carry out assessment work to organize STAT Teams and STAR Panels, and make sure that work is carried out in a timely fashion according to the calendar and terms of reference. NMFS will provide a senior scientist to coordinate these tasks with assistance from Council staff. NMFS will convene a pre-assessment meeting for STAT Teams, GAP representatives, and interested parties to discuss upcoming stock assessments, external reviews, and data.

The Stock Assessment coordinator, in consultation with the SSC, will select STAR Panel chairs, and will coordinate the selection of external reviewers following criteria for reviewer qualifications, nomination, and selection. The public is welcome to nominate qualified reviewers. Following any modifications to the stock assessments resulting from STAR panel reviews and prior to distribution to the stock assessment documents and STAR panel reports for the August GMT meeting, the coordinator will review the stock assessments and panel reports for consistency with the terms of reference, especially completeness. Inconsistencies will be identified and the authors requested to make appropriate revisions in time to meet the deadline for distributing documents for the GMT meeting at which ABC and OY recommendations are developed.

Individuals (employed by NMFS, state agencies, or other entities) that conduct assessments or technical work in connection with groundfish stock assessments are responsible for ensuring their work is technically sound and complete. The Council's review process is the principal means for review of complete stock assessments, although additional in-depth technical review of methods and data is desirable. Stock assessments conducted by NMFS, state agencies, or other entities must be completed and reviewed in full accordance with the terms of reference (Appendix Band C), at times specified in the calendar (Appendix A).

### **GMT Responsibilities**

The GMT is responsible for identifying and evaluating potential management actions based on the best available scientific information. In particular, the GMT makes ABC recommendations to the Council based on estimated stock status, uncertainty about stock status, and socioeconomic and ecological factors. The GMT will use stock assessments, STAR Panel reports, and other information in making their ABC recommendations. The GMT's preliminary ABC recommendation will be developed at a meeting that includes representatives from the SSC, STAT Teams, STAR Panels, and GAP. A representative(s) of the GMT will serve as a liaison to each STAR Panel, but will not serve as a member of the Panel. The GMT will not seek revision or additional review of the stock assessments after they have been reviewed by the STAR Panel. The GMT chair will communicate any unresolved

issues to the SSC for consideration. Successful separation of scientific (i.e.; STAT Team and STAR Panels) from management (i.e.; GMT) work depends on stock assessment documents and STAR reviews being completed by the time the GMT meets to discuss preliminary ABC and OY levels. However, the GMT can request additional model projections, based on reviewed model scenarios, in order to develop a full evaluation of potential management actions.

### **GAP Responsibilities**

The chair of the GAP will appoint a representative to track each stock assessment and attend the STAR Panel meeting where the assessment of his / her species is reviewed. The GAP representative will participate in review discussions as an advisor to the STAR Panel, in the same capacity as the GMT advisor.

The GAP representative, along with STAR, STAT, and SSC representatives, will attend the GMT meeting at which ABC recommendations are made. The GAP representative will also attend subsequent GMT, Council, and other necessary meetings where the assessment of his / her species is discussed.

The GAP representative will provide appropriate data and advice to the STAR Panel and GMT and will report to the GAP on STAR Panel and GMT meeting proceedings.

### **SSC Responsibilities**

The Scientific and Statistical Committee (SSC) will participate in the stock assessment review process and provide the GMT and Council with technical advice related to the stock assessments and the review process. The SSC will assign one member from its Groundfish Subcommittee to each STAR Panel. This member is expected to attend the assigned STAR Panel meeting, the GMT meeting at which ABC recommendations are made, and the Council meetings when groundfish stock assessment agenda items are discussed (see calendar in Appendix A). The SSC representative on the STAR Panel will present the STAR Panel report at GMT, SSC and Council meetings. The SSC representative will communicate SSC comments or questions to the GMT and STAR Panel chair. The SSC will review any additional analytical work on any of the stock assessments required or carried out by the GMT after the stock assessments have been reviewed by the STAR Panels. In addition, the SSC will review and advise the GMT and Council on projected ABCs and OYs.

The SSC, during their normally scheduled meetings, will serve as arbitrator to resolve disagreements between the STAT Team, STAR Panel, or GMT. The STAT Team and the STAR Panel may disagree on technical issues regarding an assessment. In this case, a complete stock assessment must include a point-by-point response by the STAT Team to each of the STAR Panel recommendations. Estimates and projections representing all sides of the disagreement need to be presented, reviewed, and commented on by the SSC.

### **Council Staff Responsibilities**

Council Staff will prepare meeting notices and distribute stock assessment documents, stock summaries, meeting minutes, and other appropriate documents. Council Staff will help NMFS and the state agencies in coordinating stock assessment meetings and events. Staff will also publish or maintain file copies of reports from each STAR Panel (containing items specified in the STAR Panel's term of reference), the outline for groundfish stock assessment documents, comments from external reviewers, SSC, GMT, and GAP, letters from the public, and any other relevant information. At a minimum, the stock assessments (STAT Team reports, STAR Panel reports, and stock summaries) should be published and distributed in the Council's annual SAFE document.

### **Stock Assessment Priorities**

Stock assessments for West Coast groundfish are conducted periodically to assess the abundance, trends and appropriate harvest levels for these species. Assessments use statistical population models to analyze and integrate a

combination of survey, fishery and biological data. Annually, the Council establishes a prioritized list of species that it desires to have assessed. The principles used to set priorities and assign assessments to STAR panels are:

1. Assessments will be scheduled to take advantage of new data, especially survey data, and will generally be conducted once every three years due to limited fiscal and personnel resources.
2. Assessments may be conducted more frequently than once every three years if:
  - a. Biological situation requires more frequent tracking to prevent overfishing and to track OY
  - b. new data, including fishery dependent and anecdotal data indicating unforeseen increases or decreases in stock size, are brought to the attention of the Council;
  - c. the Council believes that the results of a stock assessment are sufficiently in dispute to warrant a re-assessment the following year; or
  - d. a fishery for a species, stock, or stock complex has rapidly developed and that species, stock, or stock complex has not been assessed recently.
3. Generally, no more than 2 assessments will be reviewed by a STAR Panel when these assessments involve new types of data or assessment methods.
4. An update or report that falls short of a full assessment may be prepared for a species, stock, or stock complex to provide information helpful to the Council in making management decisions.
5. Any stock assessment submitted by the public should be submitted through normal Council channels and reviewed at STAR Panel meetings.
6. The assessment list should be discussed at the Council's June meeting and finalized at its September meeting to allow sufficient time for assembly of relevant assessment data and for arrangement of a STAR.

#### **Terms of Reference for STAR Panels and Their Meetings**

The principal responsibility of the STAR Panel is to carry out these terms of reference according to the calendar for groundfish assessments. Most groundfish stocks are assessed infrequently (every three years) and each assessment and review should result in useful advice to the Council. The STAR Panel's work includes:

1. reviewing draft stock assessment documents and any other pertinent information (e.g.; previous assessments and STAR Panel reports, if available);
2. working with STAT Teams to ensure assessments are reviewed as needed;
3. documenting meeting discussions; and
4. reviewing summaries of stock status (prepared by STAT Teams) for inclusion in the SAFE document.

STAR Panels normally include a chair, at least one "external" member (i.e.; outside the Council family and not involved in management or assessment of West Coast groundfish), and one SSC member. The total number of STAR members should be at least "n+2" where n is the number of stock assessments and "2" counts the chair and external reviewer. In addition to Panel members, STAR meetings will include GMT and GAP advisory representatives with responsibilities laid out in their terms of reference.

STAR Panels normally meet for one week.

The number of assessments reviewed per Panel should not exceed two.

The STAR Panel is responsible for determining if a stock assessment document is sufficiently complete according to Appendix B: Outline for Groundfish Stock Assessments. It is the Panel's responsibility to identify assessments that cannot be reviewed or completed for any reason. The Panel's decision that an assessment is complete should be made by consensus. If a Panel cannot reach agreement, then the nature of the disagreement must be described in the Panel's report.

The STAR Panel's terms of reference concern technical aspects of stock assessment work. The STAR Panel should strive for a risk neutral approach in its reports and deliberations. The full range of uncertainty should be reflected in completed stock assessments and the reports prepared by STAR Panels. The STAR Panel should identify scenarios that are unlikely or have a flawed technical basis.

Recommendations and requests to the STAT Team for additional or revised analyses must be clear, explicit and in writing. A written summary of discussion on significant technical points and a lists of all STAR Panel recommendations and requests to the STAT Team are required in the STAR Panel's report. This should be completed (at least in draft form) prior to the end of the meeting. It is the chair and Panel's responsibility to carry out any follow-up review work that is required.

Additional analyses required in the stock assessment should be completed during the STAR Panel meeting. If follow-up work by the STAT Team is required after the review meeting, then it is the Panel's responsibility to track STAT Team progress. In particular, the chair is responsible for communicating with all Panel members (by phone, e-mail, or any convenient means) to determine if the revised stock assessment and documents are complete and ready to be used by managers in the Council family. If stock assessments and reviews are not complete at the end of the STAR Panel meeting, then the work must be completed prior to the GMT meeting where the assessments and preliminary ABC levels are discussed.

The STAR Panel, STAT Team, and all interested parties are legitimate meeting participants that must be accommodated in discussions. It is the STAR Panel chair's responsibility to manage discussions and public comment so that work can be completed.

STAT Teams and STAR Panels may disagree on technical issues. If the STAR Panel and STAT Team disagree, the STAR Panel must document the areas of disagreement in its report. The STAR Panel may request additional analysis based on alternative approaches. Estimates and projections representing all sides of the disagreement need to be presented in the assessment document, reviewed, and commented on by the SSC. It is expected that the STAT Team will make a good faith effort to complete these analyses.

The SSC representative on the STAR Panel is expected to attend GMT and Council meetings where stock assessments and harvest projections are discussed to explain the reviews and provide other technical information and advice.

The chair is responsible for providing Council staff with a camera ready and suitable electronic version of the Panel's report for inclusion in the annual SAFE report.

#### **Suggested Template for STAR Panel Report**

1. Minutes of the STAR Panel meeting containing
  - a. Name and affiliation of STAR Panel members; and
  - b. List of analyses requested by the STAR Panel.
2. Comments on the technical merits and/or deficiencies in the assessment and recommendations for remedies.
3. Explanation of areas of disagreement regarding STAR Panel recommendations:
  - a. among STAR Panel members (majority and minority reports), and
  - b. between the STAR Panel and STAT Team
4. Unresolved problems and major uncertainties, e.g.; any special issues that complicate scientific assessment, questions about the best model scenario.
5. Prioritized recommendations for future research and data collection

#### **Terms of Reference for Groundfish STAT Teams**

The STAT Team will carry out its work according to these terms of reference and the calendar for groundfish stock

assessments.

Each STAT Team will appoint a representative who will attend the pre-assessment planning meeting, if one is held. STAT Teams are encouraged to also organize independent meetings with industry and interested parties to discuss issues, questions, and data.

Each STAT Team will appoint a representative to coordinate work with the STAR Panel and attend the STAR Panel meeting.

Each STAT Team will appoint a representative who will attend the GMT meeting and Council meeting where preliminary acceptable biological catch (ABC) and optimum yield (OY) levels are discussed. In addition, a representative of the STAT Team should attend the GMT and Council meeting where final ABC and OY levels are discussed, if requested or necessary. At these meetings, the STAT Team member shall be available to answer questions about the STAT Team report.

The STAT Team is responsible for preparing three versions of the stock assessment document: 1) a “draft” for discussion at the stock assessment review meeting; 2) a revised “complete draft” for distribution to the GMT, SSC, GAP, and Council for discussions about preliminary ABC and OY levels; 3) a “final” version published in the SAFE report. Other than authorized changes, only editorial and other minor changes should be made between the “complete draft” and “final” versions. The STAT Team will distribute “draft” assessment documents to the STAR Panel, Council, and GMT and GAP representatives at least two weeks prior to the STAR Panel meeting.

The STAT Team is responsible for bringing computerized data and working assessment models to the review meeting in a form that can be analyzed on site. STAT Teams should take the initiative in building and selecting candidate models. If possible, the STAT Team should have several complete models and be prepared to justify model recommendations.

The STAT Team is responsible for producing the complete draft by the end of the STAR Panel meeting. In the event that the complete draft is not completed, the Team is responsible for completing the work as soon as possible and to the satisfaction of the STAR Panel at least one week before the GMT meeting.

The STAT Team and the STAR Panel may disagree on technical issues regarding an assessment, but a complete stock assessment must include a point-by-point response by the STAT Team to each of the STAR Panel recommendations. Estimates and projections representing all sides of the disagreement need to be presented, reviewed, and commented on by the SSC.

For stocks which are newly projected by the STAT Team to fall below overfishing thresholds, the STAT Teams need to estimate the baseline rebuilding parameters as described in Appendix B. In addition to providing the baseline calculations, authors are encouraged to present alternative approaches (where appropriate), along with clear justification for why the alternatives may be an improvement over the baseline approach.

Electronic versions of final assessment documents, parameter files, data files, and key output files will be sent to the Stock Assessment Coordinator for future inclusion in a stock assessment archive.

## Appendix A: 2002 Stock Assessment Review Calendar

<b>Jan 24</b>	<b>Pre-Assessment Workshop (Portland)</b>
Feb 4-7	GMT meeting (Portland)
<b>Feb 20-22</b>	<b>STAR/PSARC Panel meeting for Pacific whiting (Seattle)</b>
Mar 11-15	PFMC Meeting (Sacramento)
Apr 8-12	PFMC Meeting (Portland)
<b>Apr 15-19</b>	<b>STAR Panel meeting for bocaccio and canary rockfish (Seattle)</b>
<b>May 1-7</b>	<b>STAR Panel teleconference (May 6) and email exchange for sablefish</b>
May 13-17	GMT meeting (Santa Cruz)
Jun 17-21	PFMC Meeting (San Francisco)
Jul 29-Aug 2	GMT meeting (Portland)
<b>Aug 11-14</b>	<b>STAR Panel meeting for yelloweye rockfish (Seattle)</b>
Aug 27-28	GMT/SSC Groundfish Subcommittee meeting to discuss management implications of the yelloweye rockfish assessment
Sep 9-13	PFMC meeting (Portland)

## Appendix B: Outline for Groundfish Stock Assessment Documents

This is an outline of items that should be included in stock assessment reports for groundfish managed by the Pacific Fishery Management Council. The outline is a working document meant to provide assessment authors with flexible guidelines about how to organize and communicate their work. All items listed in the outline may not be appropriate or available for each assessment. In the interest of clarity and uniformity of presentation, stock assessment authors and reviewers are encouraged (but not required) to use the same organization and section names as in the outline. It is important that time trends of catch, abundance, harvest rates, recruitment and other key quantities be presented in tabular form to facilitate full understanding and followup work.

1. Title page and list of preparers – the names and affiliations of the stock assessment team (STAT) either alphabetically or as first and secondary authors
2. Executive Summary (see attached template). This also serves as the STAT summary included in the SAFE.
3. Introduction
  - a. Scientific name, distribution, stock structure, management units
  - b. Important features of life history that affect management (e.g.; migration, sexual dimorphism, bathymetric demography)
  - c. Important features of current fishery and relevant history of fishery
  - d. Management history (e.g. changes in mesh sizes, trip limits, optimum yields)
  - e. Management performance – a table or tables comparing acceptable biological catches, optimum yields, landings, and catch (i.e., landings plus discard) for each area and year
4. Assessment
  - a. Data
    - i. Landings by year and fishery, discards (generally specified as a percentage of total catch in weight and in units of mt), catch-at-age, weight-at-age, survey and CPUE data, data used to estimate biological parameters (e.g.; growth rates, maturity schedules, and natural mortality) with coefficients of variances (CVs) or variances if available. Include complete tables and figures if practical.
    - ii. Treatment of discards (specified as a percentage of total catch in weight and in units of mt).
    - iii. Sample size information for length and age composition data by area, year, gear, market category, etc.
  - b. History of modeling approaches used for this stock – changes between current and previous assessment models
  - c. Model description
    - i. Complete description of any new modeling approaches.
    - ii. Assessment program with last revision date (i.e.; date executable program file was compiled).
    - iii. List and description of all likelihood components in the model.
    - iv. Constraints on parameters, selectivity assumptions, natural mortality, assumed level of age reader agreement or assumed ageing error (if applicable), and other assumed parameters.
    - v. Description of stock-recruitment constraint or components.
    - vi. Critical assumptions and consequences of assumption failures.
    - vii. Convergence criteria.
  - d. Model selection and evaluation
    - i. Evidence of search for balance between realistic (but possibly over-parameterized) and simpler (but not realistic) models –
    - ii. Use hierarchical approach where possible (e.g.; asymptotic vs. domed selectivities, constant vs. time varying selectivities).
    - iii. Do parameter estimates make sense, are they credible?
    - iv. Residual analysis (e.g.; residual plots, time series plots of observed and predicted values, or other approach).
    - v. Convergence status and convergence criteria for “base-run(s)” –
    - vi. Randomization run results or other evidence of search for global best estimates.

- e. Base-run(s) results
  - i. Table listing all parameters in the stock assessment model used for base runs, their purpose (e.g.; recruitment parameter, selectivity parameter) and whether or not the parameter was actually estimated in the stock assessment model.
  - ii. Time-series of total and spawning biomass, recruitment and fishing mortality or exploitation rate estimates (table and figures).
  - iii. Selectivity estimates (if not included elsewhere).
  - iv. Stock-recruitment relationship.
- f. Uncertainty and sensitivity analyses.
  - i. The best approach for describing uncertainty and range of probable biomass estimates in groundfish assessments may depend on the situation. Approaches used previously are:
    - (1) Sensitivity analyses (tables or figures) that show ending biomass levels or likelihood component values obtained while systematically varying emphasis factors for each type of data in the model.
    - (2) Likelihood profiles for parameters or biomass levels may also be used.
    - (3) CVs for biomass estimated by bootstrap, implicit autodifferentiation, or the delta method;
    - (4) Subjective appraisal of magnitude and sources of uncertainty;
    - (5) Comparison of alternate models;
    - (6) Comparison of alternate assumptions about recent recruitment.
  - ii. If a range of model runs (e.g.; based on CV's or alternate assumptions about model structure or recruitment) is used to depict uncertainty, then it is important that some qualitative or quantitative information about relative probability be included. If no statements about relative probability can be made, then it is important to state that all scenarios (or all scenarios between the bounds depicted by the runs) are equally likely.
  - iii. if possible, ranges depicting uncertainty should include at least three runs: (a) one judged most probable; (b) at least one that depicts the range of uncertainty in the direction of lower current biomass levels; and (c) one that depicts the range of uncertainty in the direction of higher current biomass levels. The entire range of uncertainty should be carried through stock projections and decision table analyses.
  - iv. retrospective analysis (retrospective bias in base model or models for each area).
  - v. historic analysis (plot of actual estimates from current and previous assessments for each area).
  - vi. Simulation results (if available).
- 5. Rebuilding parameters –
  - a. determine  $B_0$  as the product of spawners per recruit (SPR) in unfished state multiplied by the average recruitment expected while the stock is unfished. This typically is estimated as the average recruitment during early years of fishery. According to the 1999 SAFE report (PFMC 1999, p. 24)<sup>††</sup>, the values for spawners are preferably measured as total population egg production, but female spawning biomass is a common proxy.
  - b.  $B_{msy} = 0.4 B_0$ ;
  - c. mean generation time; and
  - d. forward projection using a Monte Carlo re-sampling of recruitments expected to occur as the stock rebuilds. These future recruitments typically are taken from the recent time series of estimated recruitments or recruits per spawner.
- 6. Target fishing mortality rates (if changes are proposed).
- 7. Harvest projections and decision tables –

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<sup>††</sup>Pacific Fishery Management Council. 1999. Status of the Pacific Coast Groundfish Fishery Through 1998 and Recommended Biological Catches for 2000: Stock Assessment and Fishery Evaluation. (Document prepared for the Council and its advisory entities.) Pacific Fishery Management Council, 2130 SW Fifth Avenue, Suite, 224, Portland, Oregon 97201.

- i. Harvest projections and decision tables should cover the plausible range of uncertainty about current biomass and the full range of candidate fishing mortality targets used for the stock or requested by the GMT. Ideally, the alternatives described in the decision table will be drawn from a probability distribution which describes the pattern of uncertainty regarding the status of the stock and the consequences of alternative future management actions. Where alternatives are not formally associated with a probability distribution, the document needs to present sufficient information to guide assignment of approximate probabilities to each alternative;
  - ii. Information presented should include biomass and yield projections for at least three years into the future, beginning with the first year for which management action could be based upon the assessment.
8. Management recommendations.
9. Research needs (prioritized).
10. Acknowledgments-include STAR Panel members and affiliations as well as names and affiliations of persons who contributed data, advice or information but were not part of the assessment team.
11. Literature cited.
12. Complete parameter files and results for base runs.

## **Appendix C: Template for Executive Summary Prepared by STAT Teams**

Stock: species/area

Catches: trends and current levels-include table for last ten years and graph with long term data

Data and assessment: date of last assessment, type of assessment model, data available, new information, and information lacking

Unresolved problems and major uncertainties: any special issues that complicate scientific assessment, questions about the best model scenario, etc.

Reference points: management targets and definition of overfishing

Stock biomass: trends and current levels relative to virgin or historic levels, description of uncertainty-include table for last 10 years and graph with long term estimates

Recruitment: trends and current levels relative to virgin or historic levels-include table for last 10 years and graph with long term estimates

Exploitation status: exploitation rates (i.e., total catch divided by exploitable biomass) – include table for last 10 years and graph with long term estimates.

Management performance: ABC and OY estimates, overfishing levels, actual catch and discard

Forecasts: normally three-year forecasts of catch and biomass

Decision table: (if available)

Recommendations: research and data collection needs

Sources of additional information: cite STAR Panel report, assessment documents, and other sources

## Appendix D: History of STAR process

In 1995 and earlier years, stock assessments were examined at a very early stage during ad-hoc stock assessment review meetings (one per year). SSC and GMT members often participated in these ad-hoc meetings and provided additional review of completed stock assessments during regular Council meetings. There were no terms of reference or meeting reports from the ad-hoc meetings. NMFS provided leadership and coordination by setting up meetings. Each agency or Council paid their own travel costs. Council staff distributed meeting announcements and some background documents. The Council paid for publication of assessments as appendices to the annual Stock Assessment and Fishery Evaluation (SAFE) document.

A key event occurred in July 1995 when NMFS convened an independent, external review of West Coast groundfish assessments.<sup>1</sup> The report concluded that: 1) uncertainties associated with assessment advice were understated; 2) technical review of groundfish assessments should be more structured and involve more outside peers; and 3) the distinction between scientific advice and management decisions was blurred. Work to develop a process to review groundfish stock assessments was aimed at resolving these problems.

For 1996, the groundfish stock assessment review process was expanded to include: 1) terms of reference for the review meeting; 2) an outline for the contents of stock assessments; 3) external anonymous reviews of previous assessments; and 4) a review meeting report.<sup>2</sup> Plans were developed during March and April Council meetings and NMFS convened a week long review meeting in Newport, Oregon where preliminary groundfish stock assessments were discussed. The expanded process itself was reviewed by the Council family at an evaluation meeting at the end of the year. Leadership and planning responsibilities were shared by the SSC Groundfish Subcommittee, NMFS, GMT, GAP, and persons who participated in planning discussions during the March and April Council meetings. There was no formal coordination except for the review meeting terms of reference, organization of the review meeting by NMFS, and as provided by Council staff for publication of documents. Costs were shared as in previous years.

The review process for 1997 was further expanded based on a planning meeting in December 1996.<sup>3</sup> It was agreed that agencies (including NMFS and state agencies) conducting stock assessments were responsible for making sure assessments were technically sound and adequately reviewed. A Council-oriented review process was developed that included agencies, the GMT, GAP, and other interested members of the Council family. The process was jointly funded by the Council and NMFS, with NMFS hosting the Stock Assessment Review (STAR) Panel meetings and paying the travel expenses of the external reviewers, and the Council paying for travel expenses of the GAP representative and non-federal GMT and SSC members.

The process for 1997 included: 1) goals and objectives; 2) three STAR Panels, including external membership; 3) terms of reference for STAR Panels; 4) terms of reference for Stock Assessment (STAT) Teams; 5) a refined outline for stock assessments; 6) external anonymous reviews; 7) a clearer distinction between science and management; and 8) a calendar of events with clear deliverables, dates and well defined responsibilities. For the first time, STAR Panels and STAT Teams were asked to provide “decision table” analyses of the effects of uncertain management actions and to provide information required by the GMT in choosing harvest strategies. In addition, STAR Panels were asked to prepare “Stock Summaries” that described the essential elements of stock assessment results in a concise, simple format.

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<sup>1</sup>Anon. 1995. West coast groundfish assessments review, August 4, 1995. Pacific Fishery Management Council. Portland, OR.

<sup>2</sup>Brodziak, J., R. Conser, L. Jacobson, T. Jagielo, and G. Sylvia. 1996. Groundfish stock assessment review meeting - June 3-7, 1996 in Newport, Oregon. *In*: Status of the Pacific coast groundfish fishery through 1996 and recommended acceptable biological catches for 1997. Pacific Fisheries Management Council. Portland, OR.

<sup>3</sup>Meeting Report, Proposals and Plans for Groundfish Stock Assessment and Reviews During 1997 (May 8, 1997). Pacific Fishery Management Council, 2130 SW Fifth Avenue, Suite 224, Portland, OR 97201.

At the end of 1997, participants met to discuss events and make recommendations for 1998.<sup>4</sup> Participants concluded that objectives were, to varying degrees, achieved during 1997. A notable shortfall was in “increasing acceptance and understanding by all members of the Council family.” The most significant issues seemed to be the nature of the STAR Panels’ responsibilities, communicating uncertainty to decision makers, workload, and inexperience in conducting the review process.

In retrospect, there was no formal coordination and leadership except for the terms of reference and the calendar. As in previous years, Council staff coordinated distribution of meeting announcements and distribution of documents. Costs increased substantially due to travel for external experts, increased number of review meetings (three instead of one), and distribution of larger and additional reports. NMFS paid travel and other costs for external members of STAR Panels. Other costs were distributed as in 1996. It was not possible for the Council to copy and distribute all of the stock assessments because of limited funds.

In 1998, the stock assessment process was similar to that in 1997, including the 8 elements listed above. In November, a joint session of the SSC, GMT, and GAP was held to review events in 1998 and make recommendations for 1999. Several topics were discussed, including policy issues related to the 1998 terms of reference and operational issues related to how the terms of reference were implemented in 1998. This meeting produced a list of recommended changes for 1999, including:

- increasing the SSC's involvement in the process;
- clarify/modify the participant roles;
- limit the number of assessments, especially the difficulty caused by the late addition of assessments (e.g., sablefish and shortspine thornyhead in 1998);
- increase the involvement of external participants;
- timeliness in completing and submitting assessments; and
- duration of STAR Panel meetings, and the time required to adequately reviewing assessments.

Accordingly, the terms of reference were amended to include a cut-off date of November by which anyone proposing to present an assessment for review in the following year must notify the stock assessment coordinator. This change will ensure there is adequate time for formation and planning of STAR Panel meetings. The terms of reference were also changed to clarify the SSC’s role in the process as "editor" and "arbiter;" the SSC will hear reports from all STAR Panels at its September meeting and will be involved in any unresolved issues between the STAT Teams, STAR Panels, or the GMT. Other issues were raised that had no quick solutions, such as how to incorporate socioeconomic information into the process, and how to present the decision tables to GMT and Council members.

Other than the changes noted above, the 1999 STAR process was similar to 1997 and 1998. As in previous years, a joint meeting of the SSC, GAP, and GMT was convened to review and evaluate the stock assessment process and to recommend modifications for 2000. There were relatively few concerns about the process in 1999, and they centered mainly around the difficulty of recruiting sufficient (external and internal) reviewers. Participants did not recommend departing from the current terms of reference regarding STAR panel composition, although they seemed to regard it more as a goal than a strict requirement. A notable continuing concern was the timeliness of STAT team reports prior to the STAR panel meetings.

Requirements for stock rebuilding analyses and monitoring of rebuilding progress and their relationship to the STAR process were also discussed. The group agreed that the terms of reference should be modified to require additional values (e.g.,  $B_{msy}$ ) be tabulated and included in STAT Team report related to an overfished species. There was general agreement that the STAR process should be used to review assessments of overfished species, which are still likely to be on a 3-year cycle. However, the STAR process is not the appropriate process for the "monitoring" reports (required every 2 years), when they are out of phase with the assessment cycle.

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<sup>4</sup>Jacobson, L.D. (ed.). 1997. Comments, issues and suggestions arising from the groundfish stock assessment and review process during 1997. Report to the Pacific Fishery Management Council (Revised Supplemental Attachment B.9.b, November 1997).

Additionally, it was agreed that certain additional values should be consistently tabulated in the STAT team report in order to build a long-term computerized database of key parameters. The group noted that this would not impose additional work for the STAT team, but would simply require these values to be reported consistently.

The 2000 STAR process was reviewed during a joint meeting of the GAP, GMT, and SSC at the November 2000 meeting. There were relatively few recommendations for improvement to the terms of reference for 2001, although concerns about the long-term future for the STAR process were raised. It was agreed that the future of the STAR process would be evaluated during 2001, but the STAR process in 2001 would proceed similarly to past years. For the 2001 STAR process, participants at the review meeting recommended that greater efforts be made to produce and distribute documents in a timely manner and to assure their completeness and consistency with the terms of reference. In addition, the SSC agreed that its groundfish subcommittee would meet in concert with the GMT during the August 2001 meeting to identify issues, if any, with the assessments or STAR panel reviews that may require additional consideration by the SSC.

At the March 2001 PFMC meeting, the SSC provided recommendations for integrating rebuilding analyses and reviews into the STAR process for 2001.

## Appendix E: Terms of Reference for Expedited Stock Assessment Updates

While the ordinary STAR process is designed to provide a general framework for obtaining a comprehensive, independent review of a stock assessment, in other situations a less rigorous review of assessment results is desirable. This is especially true in situations where a “model” has already been critically examined and the objective is to simply update the model by incorporating the most recent data. In this context a model refers not only to the population dynamics model *per se*, but to the particular data sources that are used as inputs to the model, the statistical framework for fitting the data, and the analytical treatment of model outputs used in providing management advice, including reference points, the allowable biological catch (ABC) and optimum yield (OY). When this type of situation occurs, it is an inefficient use of scarce personnel resources to assemble a 6 person panel for a whole week to evaluate an accepted modeling framework. These terms of reference establish a procedure that can accommodate an abbreviated form of review for stock assessment models that fall into this latter category. However, it is recognized that what in theory may seem to be a simple update, may in practice result in a situation that is impossible to resolve in an abbreviated process. In these cases, it may not be possible to update the assessment – rather the assessment may need to be revised in the next full assessment review cycle.

### Qualification

The Scientific and Statistical Committee (SSC) will determine when a stock assessment qualifies for an expedited update under these terms of reference. To qualify, a stock assessment must carry forward its fundamental structure from a model that was previously reviewed and endorsed by a full STAR panel. In practice this means similarity in: (a) the particular sources of data used, (b) the analytical methods used to summarize data prior to input to the model, (c) the software used in programming the assessment, (d) the assumptions and structure of the population dynamics model underlying the stock assessment, (e) the statistical framework for fitting the model to the data and determining goodness of fit, (f) the weighting of the various data components, and (g) the analytical treatment of model outputs in determining management reference points, including  $F_{msy}$ ,  $B_{msy}$ , and  $B_0$ . It is the SSC’s intention to employ an expedited stock assessment update in situations where no significant change in these 7 factors has occurred, other than extending time series of data elements within particular data components used by the model, e.g., adding information from a recently completed survey with an update of landings. In practice there will always be valid reasons for altering a model, as defined in this broad context, although, in the interests of stability, such changes should be resisted when possible. Instead, significant alterations should be addressed in the next subsequent full assessment and review. In principle, an expedited update is reserved for stock assessments that maintain fidelity to an accepted modeling framework, but the SSC does not wish to prescribe in advance what particular changes may or may not be implemented. Such a determination will need to be made on a case by case basis.

### Composition of the Review Panel

The groundfish subcommittee of the SSC will conduct the review of an expedited stock assessment update. A review panel chairman will be designated by the chairman of the groundfish subcommittee from among its membership and it will be the panel chairman’s responsibility to insure the review is completed properly and that a written report of the proceedings is produced. Other members of the subcommittee will participate in the review to the extent possible, i.e., input from all members will not be required to finalize a report. At a minimum, one member of the SSC’s groundfish subcommittee will be needed to conduct a review (i.e., the panel chairman). In addition, the groundfish management team (GMT) and the groundfish advisory panel (GAP) will designate one person each to participate in the review, although the GMT and GAP panelists will serve in an advisory capacity only.

### Review Format

Typically, a physical meeting will not be required to complete an expedited review of an updated stock assessment. Rather, materials can be distributed electronically. STAT and panel representatives will largely be expected to interact by email and telephone. A conference call will be held to facilitate public participation in the review.

The review process will be as follows. Initially, the STAT team that is preparing the stock assessment update will distribute to the review panelists a document that summarizes the team’s findings. In addition, Council staff will provide panelists with a copy of the last stock assessment reviewed under the full STAR process, as well as the previous STAR panel report. Each panelist will carefully review the materials provided. A conference call will be

arranged by the panel chairman, which will provide an opportunity to discuss and clarify issues arising during the review, as well as provide for public participation. Notice of the conference call and a list of public listening stations will be published in the *Federal Register* (generally, 23 days in advance of the conference call) and a Meeting Notice will be distributed (generally, 14 days in advance). A dialogue will ensue among the panelists and the STAT team over a period of time that generally should not exceed one week. Upon completion of the interactive phase of the review, the panel chairman may, if necessary, convene a second conference call to reach a consensus among panel members and will draft a report of the panel's findings regarding the updated assessment. The whole process should be scheduled to occur within a two week period and the STAT team and panelists should be prepared to complete their work within that time frame. It will be the chairman's responsibility to insure that the review is completed in a timely manner.

#### STAT Team Deliverables

It is the STAT team's responsibility to provide a description of the updated stock assessment to the panel at the beginning of the review. To streamline the process, the team can reference whatever material it chooses, which was presented in the previous stock assessment (e.g., a description of methods, data sources, stock structure, etc.). However, it is essential that any new information being incorporated into the assessment be presented in enough detail, so that the review panel can determine whether the update satisfactorily meets the Council's requirement to use the best available scientific information. Of particular importance will be a retrospective analysis showing the performance of the model with and without the updated data streams. Likewise, a decision table that highlights the consequences of mis-management under alternative states of nature would be useful to the Council in adopting annual specifications. Similarly, if any minor changes to the "model" structure are adopted, above and beyond updating specific data streams, a sensitivity analysis to those changes may be required.

In addition to documenting changes in the performance of the model, the STAT team will be required to present key assessment outputs in tabular form. Specifically, the STAT team's final update document should include the following:

- Title page and list of preparers
- Executive Summary (see Appendix C)
- Introduction
- Documentation of updated data sources
- Short description of overall model structure
- Base-run results (largely tabular and graphical)
- Uncertainty analysis, including retrospective analysis, decision table, etc.
- 10 year harvest projections under the default harvest policy

#### Review Panel Report

The expedited stock assessment review panel will issue a report that will include the following items:

- Name and affiliation of panelists
- Comments on the technical merits and/or deficiencies of the update
- Explanation of areas of disagreement among panelists and between the panel and STAT team
- Recommendation regarding the adequacy of the updated assessment for use in management