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The stock assessment theory of relativity: deconstructing the term "data‑limited" fsheries into components and guiding principles to support the science of fsheries management

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Abstract The term "data-limited fsheries" is a catch-all to generally describe situations lacking data to support a fully integrated stock assessment model. Data conditions range from data-void fsheries to those that reliably produce quantitative assessments. However, successful fshery assessment can also be limited by resources (e.g., time, money, capacity).

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The term "data-limited fsheries" is therefore too vague and incomplete to describe such wide-ranging conditions, and subsequent needs for management vary greatly according to each fshery's context. Here, we acknowledge this relativity and identify a range of factors that can constrain the ability of analyses to inform management, by instead defning the state of being "data-limited" as a continuum along axes of data (e.g., type, quality, and quantity) and resources (e.g., time, funding, capacity). We introduce a tool

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(the DLMapper) to apply this approach and defne where a fishery lies on this relativity spectrum of limitations (i.e. from no data and no resources to no constraints on data and resources). We also provide a ranking of guiding principles, as a function of the limiting conditions. This high-level guidance is meant to identify current actions to consider for overcoming issues associated with data and resource constraints given a specifc "data-limited" condition. We apply this method to 20 diferent fsheries to demonstrate the approach. By more explicitly outlining the various conditions that create "data-limited situations" and linking these to broad guidance, we aim to contextualize and improve the communication of conditions, and identify efective opportunities to continue to develop and progress the science of "limited" stock assessment in support of fsheries management.

Keywords Stock assessment · Fisheries management · Data-limited · Resources · Capacity

Introduction

Fisheries management has shown great power to achieve the goal of natural resource sustainability (e.g., Hilborn and Ovando [2014;](#page-20-0) Hilborn et al. [2020](#page-20-1)). If one were to construct an unrealistic, yet ideal situation for fsheries management, it would include the following elements: (i) Fully articulated management objectives including stakeholder participation and buy-in , (ii) A complete understanding of biological

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and systems processes, (iii) Multiple types of fully representative data and uncompromised resources to support precise and unbiased stock assessments conducted by fully trained analysts with no competing duties or time constraints, (iv) Model outputs that inform tractable management measures (v) Full compliance or absolute ability to implement regulations, and (vi) Seamless integration of all these synergistic components into a responsive and adaptable management system. That ideal checklist is obviously never fully realized, and fsheries must instead reconcile with limitations in most, if not all, parts of this system (Pilling et al. [2008](#page-21-0); Honey et al. [2010;](#page-20-2) Dowling et al. [2015a](#page-20-3),[b;](#page-20-4) Blasco et al. [2020\)](#page-20-5).

In particular, defciencies in the application of analytical methods to derive stock status information (i.e., traditional stock assessment methods such as statistical catch-at-age models; Methot and Wetzel, [2013\)](#page-21-1) and/or to set and adjust particular management measures (e.g., size or catch limits; Liu et al. [2016\)](#page-21-2) have been the focus of concern in fsheries management. These analytical methods provide the most direct means of making scientifcally-informed, evidence-based decisions, and each has explicit data requirements. We hereafter refer to the collection of analytical methods to support management decisions generally as "stock assessments".

The ability to perform traditional stock assessment methods is often constrained by limitations in the amount, quality and types of available data (Smith et al. [2009](#page-22-0); Carruthers et al. [2014](#page-20-6); Omori et al. [2016;](#page-21-3) Dowling et al. [2019](#page-20-7)). Catch time-series, indices of abundance, length and age composition, along with life history parameters and an understanding of the technical interaction with the fshery(ies), are the core inputs of quantitative stock assessments, and defciencies in these inputs restrict the application of historically acceptable stock assessment models (Legault et al. [2023](#page-20-8)). Limitations in resources enabling formal assessments to be undertaken, regardless of the amount and quality of available data, or unfamiliarity with methods that could possibly use all available data, can also restrict analysis and lead to a fshery being classifed as "data-limited" (Dowling et al. [2008,](#page-20-9) [2015a,](#page-20-3)[b,](#page-20-4) [2019](#page-20-7)).

Lack of or problems with data have afected fsheries throughout the history of management eforts (e.g., Eichenberg and Shapson [2004](#page-20-10); Garibaldi and Caddy [2004\)](#page-20-11), and recognition of this problem has grown over recent decades. The terms "data-limited",

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Fig. 1 The use of the keywords "data-limited" and "data-poor" in Fisheries-themed journals from 1990-2021. Source: Web of Science

"data-poor", and "data-less" are increasingly being used (e.g., Dowling et al. [2008](#page-20-9), [2015a](#page-20-3), [b,](#page-20-4) [2019](#page-20-7)) as shorthand to signal situations under which some levels of data constraints are compromising fsheries management. The use of those terms in the scientifc literature has increased exponentially over the past 30 years, with particular expansion since around 2010 (Fig. [1\)](#page-2-0). The increase in attention to these challenges facing fsheries assessment and management is welcome, with an ever-expanding array of methods and tools developed to tackle them (e.g., Carruthers et al. [2014;](#page-20-6) Geromont and Butterworth [2015;](#page-20-12) Pantazi et al. [2020\)](#page-21-4). But with increased appreciation for this "data" dilemma, it is also apparent the terms "data-limited", "data-poor", and "data-less" do not adequately capture important diferences among diverse and complex situations.

The term "data-limited" (hereafter used to include "data-poor" and "data-less") is also insufficient as data quality and quantity are not the only obstacles to undertaking a stock assessment. Resource limitations, such as analytical technical capacity (e.g., number and relative expertise of trained analysts), number of stocks needing management relative to those assessing stocks, time available to conduct stock assessments, fnancial support for data collection and stock assessment reviews, and other required commitments supporting science-driven management may constrain the type and interpretation of stock assessment conducted, or indeed, whether a formal stock assessment is conducted at all. Consequently, the confuence of data and resource constraints result in the majority of global fsh stocks remaining unassessed (Costello et al. [2012;](#page-20-13) Blasco et al. [2020\)](#page-20-5). These issues can also drive strategic decisions to do less dataintensive stock assessments and/or reduce data collection for some stocks to allow more resources for other stocks (Zimmermann and Enberg [2017;](#page-22-1) Rudd et al. [2021](#page-21-5); Tribuzio et al. [2021](#page-22-2)), despite many issues associated with the assumptions and potential reliability of data-limited stock assessment methods (Wetzel and Punt [2011;](#page-22-3) Dowling et al. [2019;](#page-20-7) Chong et al. [2019;](#page-20-14) Free et al. [2020](#page-20-15), Ovando et al. [2021](#page-21-6)). In other cases, stock assessments are strategically limited to a

Fig. 2 Comparing "data-limited" situations can sometimes feel like the scar comparison scene from the movie *Jaws* (Spielberg [1975](#page-22-4)), with each scar origin story escalating the intensity of the experience, not unlike what can happen when comparing the relative "data-limitedness" among management

scenarios. While Dr. Hooper (middle) thought his scars were the worst (i.e., the most data-limited), Captain Quint (left) ultimately makes it very clear his scars are *much* worse (i.e., more data-limited). Chief Brody (right) is undeniably data-rich in this scene

few key "indicator" stocks, as the primary basis for assessing the biological sustainability of an entire fshery complex (e.g., Newman et al. [2018\)](#page-21-7), or traditional assessment models are sometimes applied to combined data for multiple species (Ralston and Polovina [1982](#page-21-8); Mueter and Megrey [2006](#page-21-9)). Thus, both data and resource constraints contribute to limitations in applying stock assessment methods.

We therefore recognize that the term "data-limited" encompasses a range of both data and resource constraints that form a multidimensional spectrum, embracing a range of fsheries, and is therefore relative by nature. Similarly, use of the term "data rich" would imply relatively no or less constraints for both data and resources. Thus "data-limited", "data-rich" and anything in between are part of a continuum of data and resource scenarios. The relativity of these scenarios is important to understand and communicate, and is defned by the situational details. When these details are not recognized, practitioners may feel isolated, unrepresented, and/or in much more dire, unique or unrelatable circumstances than other so-called "data-limited" fsheries (Fig. [2](#page-3-0)). Understanding, therefore, where within the spectrum any given stock fnds itself and what features of the system are contributing to that position can better articulate what "data-limited" truly means, and may help broadly diagnose better solutions specifc to a stock's context and identify next steps for improvement in any given situation.

This paper deconstructs the term "data-limited" into its components. An approach applicable to any stock/fshery is then presented to help practitioners understand where along the data and resource condition spectrum any stock/fshery may reside, identify what factors lead to limitations in effective management, and then provide general guiding principles to highlight priority areas to address those limitations. We consider a variety of nominally "data-limited" examples to demonstrate the usefulness of this approach. These examples range from single stock to groups of species to demonstrate fexibility in application to specifcally diagnose limiting conditions. The proposed approach here is meant to improve relatability and communication of limiting conditions, and encouragingly lead to targeted approaches to improve the science behind fsheries management options despite limiting factors.

Methods

Data and resource limitations are frst organized into component attributes to provide space to identify main constraints. Within the data category we recognize six main attributes contributing to data limitations (defned Table [1\)](#page-4-0). These attributes within the data category cover the types, quality (precision, bias, and species identifcation), and coverage (both temporal and spatial) of data. Under the resource category there are four attributes that address time (i.e., time available to collect data and/or do stock

Attribute	Definition	
Data-limitations	# Types	Different types of data available (e.g., catch, indices of abundance, and/or biological data). Having all of the above data types would give a score of 0; having none would give a score of 3.
	Precision	Level of imprecision based on low sample size, high measurement error, or other causes of high variance or low signal power. Very high ($CV < 5\%$) precision would give a score of 0; very low precision ($CV > 50\%$) would give a score of 3.
	Bias	Bias due to general representativeness issues, poorly met assumptions, or other issues. Near zero bias would give a score of 0;
	Species ID	Data not collected at the species-specific level. Perfect species identification would give a score of 0; no species identification (i.e., only a broad species category is reported) would give a score of 3.
	Spatial	Spatial limitations in the data (e.g., some areas are better sampled than others). Full spatial coverage of whatever data types are available gives a score of 0; Very little spatial cover- age compared to fishery extent is a score of 3.
	Temporal	Temporal or time series issues in the data (e.g., data snapshots or large data gaps in impor- tant years). All years reported in whatever data types are available is a score of 0; no data would be near a score of 3.
Resource-limitations Time		Major time constraints in performing data analysis and stock assessment. Such a constraint or limit the number and types of assessments that can be done. Unconstrained time for performing stock assessments would be a score of 0; almost no time for performing stock assessments is a score of 3.
	Funding	Major funding constraints that limit the collection of data or ability to support the stock assessment process would be a score of 3. A score of zero would reflect unlimited fund- ing for data and stock assessments.
	Capacity	Technical capacity constraints to conduct stock assessment of varying complexity. Highly trained analysts that can perform complex stock assessments would be a score of 0. No technically trained analysts would be a score of 3.
		Analysts: Stocks Ratio of the number of stock assessment analysts to the number of stocks needing to be assessed. At least one assessor for each stock being managed would be a score of 0; hav- ing 1 assessor per many (e.g., 10) stocks would be near a score of 3.

Table 1 Definitions of data and resource attributes that can be constraining or limiting. Some general guidance on scoring is also provided. $CV = coefficient of variation$

assessments), funding (i.e., institutional resources put towards data collection and stock assessment), technical capacity (i.e., the technical ability of available analysts) and the ratio of available analysts to stocks needing assessment (Table [1](#page-4-0)). Constraints in each of these attributes are then scored on a continuous scale from 0 to 3, with 0 being that there is no constraint imposed by that attribute, and 3 being that the attribute fully constrains the ability to undertake an assessment. For instance, if many data types are available, but the sampling design of each leads to high imprecision and bias, data types would be scored with low constraint, but bias and imprecision would be given a high constraint score. There is no exact score mapping to any given situation, and thus scoring remains subjective, though some general guidance is ofered in Table [1](#page-4-0). Knowing the bookends (e.g., having many years of data vs 0 years), it is left up to the user to evaluate where they think they are relative to the worst and ideal condition based on each category.

We began with descriptions of 20 case studies provided by the panelists, presenters, and attendees of the data-limited stock assessment session of the 2021 World Fisheries Congress (held in September of 2021). The scoring of the attributes for 20 case studies involved an iterative process with our co-authors to ensure all limitations were sufficiently captured and appropriately scored. Examples of fshery descriptions and the scoring derived from those descriptions can be found in Table [2.](#page-5-0) Plots of individual fishery attribute scores show the pattern of constraints. Each combination of attribute scores leads to a unique signature of constraints for each stock or fshery, and thus a specifc description of what "data-limited"

Table 2 Attribute limitation scores and associated guiding principle scores for fishery examples.

(or in some cases "data-rich") actually means in the context of a specifc fshery, and in relation to other fisheries using comparison plots. This approach covers the continuum of constrained situations from fully constrained to situations without any substantial constraints. A set of guiding principle scores (i.e. recommen -

dations to overcome certain constraints) is then pro duced given the unique signature of constraints. Ten guiding principles are recognized in three general groups: addressing data needs, analytical approaches, and management approaches. Values for each are cal culated as functions of the constraint scores (Table [3](#page-8-0) which also provides detailed descriptions of each guiding principle). These conditionally-based prin ciples range from improving data, capacity train ing, and governance, potentially applying simple (or simpler) assessment methods (Carruthers et al. [2014;](#page-20-6) Chrysafi and Kuparinen [2016\)](#page-20-16), and/or static management measures (Carruthers et al. [2016\)](#page-20-17), up to using complex, integrated population dynamics models (Maunder and Punt [2013](#page-21-10)) and, where appropriate given economic, social and other factors, using dynamic management measures (Anderson et al. [2019;](#page-20-18) Table [3](#page-8-0)). As there is no exact quantitative link between constraining attributes (the factors describ ing why a given fshery is data-limited) and guiding principles (the steps needed to resolve constraints), the subsequent equations for each guiding princi ple (as a function of the constraining attributes) are inherently subjective, but based on the authors collec tive experience and opinion, and therefore a practi cal interpretation of needs from constraints. Similar to the iterative process we used to generate the list of limiting attributes, the guiding principles were care fully selected to identify areas where analysts and managers can focus their attention (while noting the principles do not prescribe specifc solutions). The formulation of the conditionally-based guiding prin ciples were developed by the authors and discussed at length to determine which limiting attributes best contribute to the guiding principle. The formulations were iteratively tested and tuned to four hypotheti cal extreme-case scenarios (see below) and verifed using the 20 case studies. The guiding principles are designed to be high-level from which a more compre hensive decision support tool (i.e., FishPath (Dowl ing et al. [2016;](#page-20-19) Dowling et al. *in review*)) can provide more customized, detailed and explicit advice, as

Table 2

2 (continued)

Table 3 Glossary and formulas for the guiding principles. Each guiding principle is derived from the scores from the limiting attributes described in Table [1](#page-4-0). *Data* indicates all

Table 3 Glossary and formulas for the guiding principles. Each guiding principle is derived from the scores from the limiting attributes described in Table 1. Data indicates all

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Fig. 3 Average data and resource constraint scores, ranging from 0 (no concern or constraint) to 3 (high concern or constraint), for **a** 4 featured applied fsheries (EG_SESSF, KR_C, NF_WA, TF_SESSF), and **b** all 20 applied fsheries along the spectrums of data and resources. The four hypothetical extremes (circles) of data and resource constraints are also provided. Constraint scores for diferent fshery attributes associated with data availability and resourcing Legend: NM, North of Madang; FJ, Fiji; DMF_NZ, data moderate fsheries, New Zealand; KR_C, Kadey River, Cameroon; SA_L, South Australian lobster, SC_WA, Sea Cucumber, Western Australia; NS_WA, Non-indicator sharks, Western Australia; NF_WA, Non-indicator fsh, Western Australia, RF_AK, Alaskan rockfsh; NSW_HG, New South Wales Hand-Gathering Estuary General Fishery (BW, Beachworm; Pi, Pipi; SC, Sydney Cockle; GN, Ghost Nipper); EG_SESSF, Eastern Gemfsh, south-east Australia; TNF, Tropical nearshore fsheries; RF_ WCUS, rockfish, West Coast United States; DS_SESSF, Deepwater sharks, south-east Australia; TF_SESSF, Tiger Flathead, south-east Australia

well as explicit planned pathways for jurisdictions to evolve their capacities. The guiding principle scores, where a high score indicates higher priority for that principle, are also plotted both individually, and in comparison to other fsheries, to help evaluation.

A Shiny (Chang et al. [2021](#page-20-20)) based application $(the\ DLMapper¹)$ $(the\ DLMapper¹)$ $(the\ DLMapper¹)$ was developed for users to enter attribute scores, obtain attribute and guidance profles, and save outputs and fgures. Multiple stocks and fsheries can be scored in the tool, ofering the opportunity to compare across situations. In addition to the fshery-specifc plots, there are two types of comparison plots. The frst is a biplot of the average data (x-axis) and resources (y-axis) limitation scores. The four extreme cases of fully constrained, data fully constrained but resources unconstrained, data unconstrained but resources fully constrained and no constraints make up the four corners of the plot and frame the spectrum. The biplot offers a summary glimpse at the contributions of data and resources to overall limitations, providing a convenient way to compare across stocks or fsheries. The second fgure type provides attribute- and guidance-level comparisons. This visualization helps identify groupings and commonalities among situations.

Our diagnostic tool was applied to 20 case study fsheries that span 10 countries and 16 jurisdictions that represent a variety of data and resource limitations, to characterize each fshery, illustrate the benefts of comparing situations, and help articulate the nature of the constraints in the system, while offering ranked guidance on how available resources could be prioritized for the system. All detailed descriptions and subsequent attribute scoring of the fsheries are provided in Supplementary Information Table 1.

Results

Hypothetical cases of extreme data and resource availability

To ground truth our approach, we frst considered the four most extreme cases possible for varying data and resource availability (Fig. $3a$ $3a$): (1) A fishery with the

¹ This tool can be accessed at https://connect.fisheries.noaa. [gov/DLMapper/;](https://connect.fisheries.noaa.gov/DLMapper/) tool development code can be found at <https://github.com/shcaba/DL-Mapper>.

Fig. 4 Constraint scores for fshery attributes associated with data availability and resourcing (top row) and associated recommendation scores for alternative fshery guidance options (bottom row). The constraint scores, ranging from 0 (no concern or constraint) to 3 (high concern or constraint), are used to illustrate diferences among (hypothetical) extreme cases, i.e., fsheries with, **a** no data or resources, **b** data and resource rich,

highest possible average data and resource constraint scores $(x=3, y=3)$, 2) a fishery with no constraints in data or resources $(x= 0, y=0)$, 3) a fishery with the no data constraints $(x=0)$ but highest resources constraints $(y=3)$, and 4) one that has the highest data constraints $(x=3)$, but no resource constraints $(y=0)$.

In the extreme case of a fshery fully constrained by data and resources, each of the six data and four resource attributes receive a score of 3 (Fig. [4a](#page-10-0)). In contrast, all data and resource attributes receive a score of 0 for a fshery with no constraints on data and resources (Fig. [4](#page-10-0)b). For those fsheries with full data constraints, but no resource constraints, all scores for data are 3 and all for resources are 0 (Fig. [4c](#page-10-0)). The opposite scores are attributed to a fshery that has no data constraints (all data attribute scores $= 0$), but

c no data and resource rich, and **d** data rich and no resources. recommendation scores, ranging from 0 (no focus) to 3 (high focus), for the guidance options associated with data, assessment and governance, availability, and resourcing, for the (hypothetical) extreme cases of **e** no data or resources, **f** data and resource rich, **g** no data and resource rich, and **h** data rich and no resources

resources are fully constrained (all resource attribute scores $= 3$; Fig. [4](#page-10-0)d).

The subsequent guidance principles prioritization scores are directly linked to current resource and data conditions to address the most pressing issues (Fig. [4,](#page-10-0) row 2). For instance, a fshery in the extreme situation of no data and no resources (Fig. [4e](#page-10-0)) will indicate attention to data as the greatest need and highlight data collection training and/or improvement while leaning on local expert knowledge (e.g., Johannes [1998](#page-20-21); Berkström et al. [2019;](#page-20-22) Sjostrom et al. [2021\)](#page-21-11). Additionally, analytical capacity training, and two of the three governance-related options (using static management and improving governance) are all highly ranked. The remaining guidance options score zero (i.e., no focus on any assessment modeling and

Fig. 5 Constraint scores for fshery data and resource attributes (top row) and associated recommendation scores for alternative fshery guidance options (bottom row), produced for fsheries identifed as having high data and resource constraints (Cameroon Kadey River fsheries; **a**,**e**), few limited data and

resource constraints (SESSF Tiger Flathead; **b**, **f**), high data but few resource constraints (Eastern Gemfsh, SESSF; **c**, **g**), and high resource with moderate data constraints (WA nonindicator fsh, WA **d**, **h**)

no application of dynamic control rules that would require modeling outputs due to the initial need to build data and establish simple management rules). The guidance option scores calculated for the unconstrained data and resource situation are the opposite of those just described and highlight the need for complex (from more quantitative up to fully integrated) models, focus on model specifcation issues (to improve the performance of the models) and the application of dynamic management measures informed by stock assessments (Fig. [4f](#page-10-0)).

For fsheries fully constrained by data but not by resources, the three guidance options associated with data are highly prioritized, as is implementing static management measures (Fig. [4](#page-10-0)g). Scores for guidance options associated with stock assessment are all low given the data constraints, as are dynamic control rules and improving governance, but they are not at 0 (as they are when both data and resources are fully constrained or absent), indicating that once the data condition is improved, more advanced options may potentially rapidly become available because resources are not constrained. By contrast, for the no data constraints /high resource constraints scenario (Fig. [4](#page-10-0)h), the highest ranked guidance options are two stock assessment options (analytical training and using simple methods), and two governance options (using static management and improving governance).

a) Comparison of attribute scores across example fisheries

b) Comparison of attribute scores across example fisheries

Fig. 6 Fishery attribute constraint scores associated with data and resource limitations, ranging from 0 (no concern or constraint) to 3 (high concern or constraint), for **a** four featured

and **b** 20 applied fsheries along the spectrums of data and resourcing

applied fsheries (EG_SESSF, KR_C, NF_WA, TF_SESSF),

Applied case studies with difering extremes of data and resource limitations

Of the 20 example fsheries, several have very strong data and resource constraints (Figure [3b](#page-9-1)). Here we highlight the four most extreme (Table [2](#page-5-0); Figures [3a](#page-9-1) and [5](#page-11-0)). The attribute constraint scores for the Cameroon Kadey River fshery are the same as the above hypothetical extreme case of full data and resource constraints, except the time available to analysts to undertake an assessment is not a constraint (Fig. [5a](#page-11-0)). The guidance scores for this fshery are thus very similar to the extreme limitations hypothetical example (Fig. [5](#page-11-0)e, row 2, column 1). Conversely, the Southern and Eastern Scalefsh and Shark Fishery (SESSF) Tiger Flathead fshery in Australia resembles the hypothetical extreme of no data or resource constraints, except that the spatial data constraint attribute score is 1 (some constraints), rather than 0 (Day, [2019;](#page-20-23) Fig. [5](#page-11-0)b). Consequently, the corresponding guidance scores are also very similar to those for the hypothetical extreme data- and resource-rich fshery (Figure [5f](#page-11-0)).

The attribute scores for Eastern Gemfsh in the SESSF most closely resemble the extreme hypothetical data constrained scenario (Little and Rowling, [2010;](#page-21-12) Fig. [5c](#page-11-0)). While the resource attribute constraint scores for both SESSF fsheries are all 0, four of the data attribute scores (dealing with data quality issues) are 2 or above (i.e., highly constrained; compare to almost all 0s for Tiger Flathead; Fig. [5b](#page-11-0)) despite the availability of multiple data types, leading to a moderate-high average data constraint score. However, while the resulting guidance scores for Eastern Gemfish place moderate focus on improving some data aspects (i.e. improving data and data training, both scores \sim 1.5), they place a moderate-high emphasis on several aspects of stock assessment (use more complex models, improve model specifcation, score

a) Comparison of guiding principle scores across example fisheries

Fig. 7 Recommendation scores for alternative fshery guidance options produced for **a** four featured applied fsheries (EG_SESSF, KR_C, NF_WA, TF_SESSF), and **b** 20 applied fsheries along the spectrums of data and resourcing

 $>$ 2), and adopting dynamic control rules (score $>$ 2; Figure [5](#page-11-0)g).

None of the 20 fishery examples closely resemble the extreme hypothetical resource constrained, but data unconstrained scenario. The situation in Western Australia for non-indicator fsh species, however, exhibits some degree of resemblance to this situation (Fig. [5d](#page-11-0)). The fsheries for these species score as one of the most resource-constrained fsheries of the 20 examples (resource constraint scores typically >2), with only low-medium constraints on data (for 5 of 6 data attributes; Table [2\)](#page-5-0). This yields a mix of guidance recommendations, with the highest being improving data, using local knowledge, applying simple analytical methods and implementing static management measures (Fig. [5](#page-11-0)h).

Moving from the individual to comparison plots, the average attribute constraint scores for these four fsheries (Cameroon Kadey River fshery, SESSF Tiger Flathead, SESSF Eastern Gemfsh and WA nonindicator fshes) result in these fsheries occupying very diferent positions (Fig. [3a](#page-9-1)). They also highlight similarities to hypothetically extreme scenarios. Further comparisons of the individual attributes (Fig. [6a](#page-12-0)) and guiding principles (Fig. [7](#page-13-0)a) among the four fsheries highlight the specifc diferences that exist for these fsheries. The key recommended improvements for the Cameroon Kadey River fshery (limited data/ resources) pertain to data (increase data training, improve data, use local input), providing analytical training to conduct simple assessments, and using static management measures. In contrast, none of these aspects are identifed as key priorities for the SESSF Tiger Flathead fshery (low data and resource constraints), with the guidance pointing to use of more realistic assessment models, improving model specifcations and dynamic control rules as priorities. The guidance options that score highest for the SESSF Eastern Gemfsh fshery (moderate-high data constraints/no resource constraints) are the same as for the SESSF Tiger Flathead fshery, but the overall scores are less, and guidance also includes improving data training, improving data as well as an elevated consideration for static management measures. The scores for WA non-indicator fshes (greater resource than data constraints) are more even across alternative guidance options, with improving data, application of simple assessment methods and static management measures scoring highest (Fig. [7a](#page-13-0)). Overall guidance from these case studies was evaluated by the case study expert and found to be either consistent with their expectations or revealing additionally useful suggestions. The ability to both ground truth expectations and offer new insights (especially by comparing multiple fsheries) is a design feature of this approach and tool.

Further comparisons of fsheries with varying data and resources constraints

Most of the 20 applied fsheries occupy either the lower left or upper right quadrants of the data/ resource constraint biplot (Fig. [3](#page-9-1)b). Four fisheries (South Australian Lobster, SESSF Eastern Gemfsh, SESSF Deepwater Sharks and SESSF Tiger Flathead) lay low on the biplot (indicating limited or no resource constraints), all with low-moderate data constraints and no resource constraints. Six fsheries are relatively high on the plot $($ = resource constraint score 2 or above), four of which have moderate-high data constraints (North of Madang and Fiji fsheries, Cameroon Kadey River and Tropical nearshore fsheries). Several fsheries lay toward the center of the plot, refecting both moderate data and resource constraints, though in diferent ways (Fig. [3b](#page-9-1)). Collectively, there is a pattern of a positive linear correlation between data and resource limitations.

Comparison plots of the individual data and resource attribute constraint scores for the 20 example fsheries highlights the diversity in fshery attribute constraints that exist in these fsheries (Fig. [6](#page-12-0)b). Despite similar average data and resource attribute scores, fsheries may have very diferent combinations of specifc data and resource limitations. For example, the Western Australia non-indicator sharks (NS_WA) and non-indicator fshes (NF_WA) occupy very similar positions on the biplot, but NS_WA is constrained more by imprecision of data while NF_ WA is more constrained by temporal data availability. The diferences are even larger between the New Zealand (DMF_NZ) and New South Wales (eastern Australian) Hand Gathering Pipi Fishery (NSW_HG_ PI) that occupy similar biplot positions. The New Zealand example is highly constrained by the number of data types and spatial and temporal data availability, but unconstrained by data bias and species identifcation in the fshery; the NSW Pipi fshery is primarily constrained by data bias and temporal limitations. Resource constraints also show diferences: the New Zealand fshery is more constrained by time available for doing assessments, while the Australian fshery is constrained by the ratio of trained analysts to stocks needing stock assessments. These examples show how even fsheries with apparent broad similarity along the axes of data and resource limitations have unique prevailing conditions that necessitate different solutions.

As with the parallel plot for fshery attribute constraints, the corresponding plot for guiding principle scores across all the fsheries shows the diversity and unique rankings with respect to identifed areas of focus for fshery improvement (Figure [7](#page-13-0)b). These could subsequently be used to group fsheries with similar improvement signatures for either comparison, discussion, or more efficient implementation of improvement options.

Discussion

Overview of approach

This paper strives to acknowledge how the term "data-limited" often fails to capture the important aspects of a given fshery management situation. To confront this challenge, we provide a conceptual framework and tool to better characterize fsheries, articulate the main constraints practitioners are facing while also offering practical guidance for moving forward. This need became clear as we assimilated the messages and lessons arising from the 2021 World Fisheries Congress data-limited fsheries sessions' presentations and lively panel discussions. We focused on outlining the conditions that create "data-limited situations", acknowledging the diference between, for example, the large number of data-less fsheries that are efectively "starting from scratch", and fsheries that are largely constrained in attempts to best use limited data, with both situations dealing with degrees of resource limitations that may or may not call for similar solutions. As recently highlighted by Dowling et al. [\(2019\)](#page-20-7), each "data-limited" case is uniquely facing its own challenges, and there is not a single solution or generic best practice across all such fsheries. The diversity of issues raised in the conference session highlighted long-held concerns regarding the lack of recognition of the sources of data- and resource-constrained fsheries, and motivated us to consider and confront the interpretation and meaning of "data-limited" fsheries to improve situational communication.

The term "data-limited" has too long been used as a catch-all for fsheries that lack the ability to conduct a fully integrated stock assessment. Lumping an extensive range of fsheries, with equally vast ranges of unique conditions, under one term typically has led to dissonant or disappointing comparisons that have not constructively supported or improved the management of these fsheries. Much like other types of spectra or continua (e.g., light, autism, space-time), it is not serviceable to report important relative differences among fsheries with one vague term. We instead need to acknowledge that, while there is a common set of identifable attributes that may contribute to rendering the management of a fshery "limited", these attributes are not just based on data, and vary in relative strength and presence for each individual fshery. As the majority of the world's fsheries by number and catch volume are broadly "data-limited" (e.g., Costello et al. [2012](#page-20-13); Geremont and Butterworth 2015), it is beneficial to explicitly acknowledge that such fsheries refect this theory of relativity (i.e., comprise a spectrum of conditions) as applied to stock assessment, and subsequently, management needs. As such, guiding principles for formal science-based management are dictated by those specifc combinations and strengths of attributes, and will have diferent emphases according to where on the spectrum the fshery lies. This provides the template to go from articulating fshery constraints to prioritizing recommendations to improve technical advice and management of those fsheries.

The interactive DLMapper tool helps illustrate where on the constraints spectrum a fishery resides, and provides a ranking of broad guiding principles likely needed to improve the ability to assess and manage a particular stock or fshery. This approach bypasses the question of minimum standards for

"good enough" stock assessment or management performance: we feel there is greater value in using the relative attribute constraints to determine a profle of guiding principles that prioritize where future emphases should lie. The tool provides a platform to compare multiple fsheries and highlight similarities and dissimilarities in order to identify other fsheries with comparable conditions and constraints. Our comparative tool recognizes the uniqueness of any given fshery and allows for the specifcities to be described, but also reveals the relative nature of the comparisons to fnd fsheries with common conditions, highlighting opportunities for collaborative work toward common solutions. In this way, practitioners working on fsheries with similar profles may seek each other out and fnd value in learning from each other's experiences and proposed ways forward.

One emergent pattern applying this approach to 20 fsheries is the relationship of data and resource constraints where more data constraints often meant more resource constraints. This is consistent with the conclusions of Bentley [\(2015](#page-20-24)) that "data poverty is usually associated with time-poverty". Though this trend is visible and not entirely unexpected, the underlying attributes driving the relationship between data and resource constraint scores are not always the same. There are also important exceptions to this trend where data constraints existed despite adequate resources. There were no examples within our sample of case studies with low data constraints and high resource constraints. The DLMapper tool will facilitate further exploration from a wider inclusion of experts and cases to see how well this initial relationship holds and determine where the largest density of examples reside on the constraints spectrum.

In order to maintain a digestible amount of detail, the tool only broadly characterizes a fshery's condition, and provides only a high-level profle of guidance, so important details remain to be determined. For example, bias in data can derive from an array of sources (Francis and Shotton [1997\)](#page-20-25) and "improving data" can take on a variety of specifc forms (Fischer and Quist, 2014). To illustrate this point, consider the NSW Hand Gathering Pipi Fishery example that was scored as being strongly constrained by temporal data issues. The temporal issue is not strictly from a short time series or sporadic records as is often the case, but instead due to management regulations causing discontinuities in what otherwise appears to be a continuous time series. Futhermore, when considering the three general management-based guidance principles (static management measures, dynamic control rules and improving governance), specifc thought is needed to recognize any obstacles (compliance, enforcement, emergent challenges) to implementation (Liu et al. [2016\)](#page-21-2).

As such, the DLMapper tool is meant to help articulate the "data-limited" conditions, identify the big issues, and provide general guidance on next steps. More specifc, detailed and tailored advice for data collection, stock assessment and management is the domain of decision support tools (e.g., FishPath provides tailored harvest strategy options given fshery circumstances; see also FISHE [\(http://fshe.edf.org/\)](http://fishe.edf.org/) and AFAM (McDonald et al. [2018\)](#page-21-13)). Those tools can provide further insights on data and resource conditions (with associated caveats) supporting detailed decision making that is both transparent and tractable. Thus, the approach illustrated in this work should not replace a careful analysis and examination of case-specifc data. Rather, it allows for rapid initial assessment of a fshery situation to provide a broad overview of constraints that exist, identifes commonalities between fshery constraint profles, provides general guidance on alternative options for fshery improvement, and enables better communication on the extent of constraints in the fshery. This all leads to a more informed way to talk about one's situation and fnd others in similar circumstances.

It should be noted that we did not include "maintaining data collection", "characterize uncertainty", "determine management objectives", and "develop harvest strategies" as guiding principles. Maintaining any current data collections is a given, as reducing data would create additional complications (Wetzel et al. [2018](#page-22-5)), and quantifying uncertainty should be standard for any treatment of data and specifcation of stock assessment (Hordyk et al. [2019](#page-20-26); Magnusson et al. [2013](#page-21-14); Mildenberger et al. [2022](#page-21-15)). Determining management objectives and developing harvest strategies to achieve the objectives should also be a constant priority for all fsheries regardless of their condition. There is ample evidence and methodology in the literature arguing for the veracity of harvest strategy development even for so-called "datalimited" fsheries (e.g., Dowling et al. [2008](#page-20-9), [2015a](#page-20-3),[b,](#page-20-4) [2019\)](#page-20-7). It is recognised, however, that effective development and evaluation of harvest strategies remains a key challenge, particularly for "data-limited" fsheries (Dowling et al. $2015a,b$ $2015a,b$), and that valuable work is occurring in this area (e.g., Plagányi et al. [2020;](#page-21-16) Loneragan et al. [2021](#page-21-17); Dowling et al. [2023](#page-20-19)). Finally, partnerships with other agencies, non-governmental organizations, stakeholders, and other consultants should be an ongoing consideration to share resource load and build collaborative and cost efective relationships.

Application of approach and limitations

The choice of attributes and guiding principles, and, particularly, the relative strength of the latter as a function of the strength and combinations of the former, were derived via expert opinion and strongly infuenced by the WFC panel discussion. For example, as raised in this panel discussion, consistent with the conclusions of Bentley (2015) (2015) , "data-poor" fsheries will generally also have "time-poor" scientists, and thus highly sophisticated methods of stock assessment are not always suited to this situation. Yet, because many may have a diverse range of data, there remains scope for developing analytical approaches that can make best use of all available data despite resource limitations. For the fully constrained fshery, the importance of clearly identifying frst steps, rather than focusing on complex solutions and tools that cannot be applied locally for these fsheries, is emphasized. Essentially, the view was that the focus for these fsheries should be on "getting something started" rather than aiming straight for a complex integrated stock assessment model (Prince [2003;](#page-21-18) Prince and Hordyk [2019](#page-21-19)). Alternatively, if the lead time between starting to collect data and produce assessments is measured in decades, a sophisticated method that could cut that time to only a fraction of a decade would be extremely valuable. Another key point was that the quality of community-gathered data is often unstructured and opportunistic. Even if these data are not directly usable in a stock assessment model, incorporating local expert knowledge can help specify stock assessment models, provide valuable complementary information for fsheries management (e.g., see Berkström et al. [2019\)](#page-20-22), inform monitoring program design and help emphasize community involvement in sustainable management (e.g., size at maturity vs what is caught). Likewise, the use of local expert knowledge provides a way to establish relationships between communities and scientists as well as facilitate bottom-up empowerment.

In data-less fsheries, very simple numbers and management can be important, whereas in more data endowed situations, it is unacceptable not to show quantitative assessment outcomes complete with estimates of uncertainty. Additionally, where folks have collected data, they are often proud of them and want to share and use them. To devalue the usefulness of such data can be demoralizing. But, when the currently available data in a fshery are idiosyncratic, patchy and heterogeneous, more complex statistical tools may be needed to properly reveal the signals they contain, so there is an important role for skilled quantitative stock assessment scientists to assist developing countries. The spirit of these points is captured in the inclusion and functional form of the guidance principle related to incorporating local knowledge versus those of utilizing complex models and improving model specifcation. For more fsheries with moderate constraints, the point was made that there should be an increased focus on developing approaches to get the most out of existing data, which is refected in the guiding principles around implementing simple or complex assessment methods, as well as analytical training.

Our attempts to defne attributes, guiding principles, and the relationship between them, based on collective expertise, are nonetheless decisions of judgment, and we openly acknowledge their subjectivity. The choice of attributes within the two big categories of Data and Resources were based on the authors' experiences and the reoccurring issues that were raised in the sessions when describing the biggest challenges to conducting stock assessments. We attempted to balance the need to defne informative multiple attributes without being overly detailed, while also limiting the overlap in each attribute. We present these as a parsimonious accounting of the major attributes, but realize that emergent issues may bring other attributes to the forefront in the future. The tool offers a flexible framework for bringing in other attributes. Understandably, the attribute scoring is subjective to the analyst's perception of the fshery; however, the goal of the scoring process is to identify those attributes that are perceived to be most limiting. Experts from each of the case studies explicitly verifed the attribute limitation and resultant guiding principles scores. In providing the detailed descriptions

and subsequent scoring of the 20 fsheries used here, we hope to allow for calibration of user scores.

As the tool is applied to more case studies, the formulation of the guiding principles can be adapted to refect updated issues and future concerns. The iterative process by which we worked through the 20 case studies with our co-authors, yielded feedback that the tool's output refected the state of the fshery, and that the profle of guiding principles compared well with practitioner's own perceived recommendations. This argues well for the approach's general application and continued evaluation.

Lessons learned from case studies with difering extremes of data and resource limitation

Of the 20 fsheries considered, several were highly constrained. As would be expected for those highly constrained by both data and resources, the associated guiding principles suggested the need for a strong focus towards improving data, using local knowledge, and increasing resources for stock assessment and governance, but little or no focus on the immediate use of stock assessment models and dynamic harvest control rules. It is logical that data are needed before a model can be applied, and a degree of analytical training is needed to empower local jurisdictions/ communities to be able to assess stocks. The starting point for these highly constrained fsheries typically begins with initial assistance involving external expertise, but there can be several pathways forward to lead to the ultimate goal of providing efective management advice. For example, reef fsheries north of Madang (Papua New Guinea) lacked catch or biological data until external expertise provided basic training to collect and interpret species-specifc fish measurements. The training invested in the local community enabled them to determine sizes of maturity and breeding seasons, and catalyzed their concern for food security into simple adaptive villagebased management systems. Another example of high data and resource constraints is the Kadey River artisanal fishery in Cameroon, where external expert analysts are reconstructing catch histories based on local fsher's recall and attempting to improve options for future stock assessment. These examples are meant to illustrate the general nature of our guiding principles and their prioritization as they do not fully refect all possible options for a given situation, leaving it to the experts to pursue those details.

Of the 20 example fsheries, the SESSF Tiger Flathead fshery has the fewest data and capacity constraints. A range of "good quality" data types are available for this fshery, including relatively complete, informative species-specifc data series for catches (and on discards), fshery-independent CPUE indices, and length and age composition data, all typical of the relatively "data-rich" end of the spectrum. As there are no (perceived) constraints on resources (including technical capacity), integrated age-structured assessment models are possible. The guidance recommendation scores refect this by prioritizing improving model specifcations (i.e., optimizing application of integrated stock assessment models), encouraging application of dynamic control rules, while deprioritizing improving data, simple assessment models and governance improvement. While relatively unconstrained by data quality and resources, the South Australian Rock Lobster fshery was constrained in terms of the number of types of data. In this case, the guidance scores emphasized improving model specifcation or complexity. The veracity of this (broad) advice is borne out, for example, by the development of the qR approach (McGarvey et al. [1997,](#page-21-20) [2005;](#page-21-21) McGarvey and Matthews [2001\)](#page-21-22) to ft to catch data recorded in numbers, rather than weight, which resulted in improved stock estimates.

The difering data constraint scores for Tiger fathead versus Eastern Gemfsh, both species within the SESSF, highlight that data (and/or resource) constraints can vary markedly for diferent stocks within a given fshery. Despite multiple sources of data and resource availability for both Eastern Gemfsh and Tiger Flathead, there are multiple data quality issues for the former. Eastern Gemfsh has been assessed as heavily depleted since the early 2000s (Little and Rowling, [2010;](#page-21-12) Emery et al. [2021](#page-20-27)) with consequential management action taken to cease targeted fshing in order to rebuild the stock. This management action has meant that high quality, spatially representative fshery dependent and independent data are now unavailable. As such, a once- data-rich fshery now has data constraints, impacting the ability to undertake robust assessments (Wetzel et al. [2018](#page-22-5)). However, our associated guidance placed priority on applying complex models, improving model specifcation and adopting dynamic control rules, and lower focus on improving data. While such guidance broadly follows given the attribute scores, this is one example where it fails to acknowledge a fshery's specifc nuance: although capacity might exist and various data types might currently be available, the recent quality of the data is such that it is likely futile to attempt more complex models or improve model specifcation in the future, although there may be merit in applying the expertise of highly-trained analysts to determine whether models can be modifed to reduce the impact of data-limitation on assessment reliability. One would also expect a re-scoring of the data attributes if they deteriorate over time, pointing to new guidance.

The relatively high resource constraints and lower data constraint scores for Western Australian nonindicator fsh species largely refect the situationspecifc circumstances associated with monitoring and assessing fnfsh fsheries in a region of low ecosystem productivity and high species diversity (e.g., Lenanton et al. 1991; Molony et al. [2011;](#page-21-23) Newman et al. [2018](#page-21-7)). As it is not logistically and economically possible to monitor and assess the status of all species, a fish species indicator approach was adopted in 1993 to assess sustainability of "like" species, for optimal use of available jurisdictional resources (e.g., Newman et al. [2018\)](#page-21-7). Monitoring of the indicator species has, however, resulted in increased collection of data (e.g., species composition and abundance) for some additional fish species. In recent years, there has been increased demand for quantitative stock assessments for increased numbers of species to meet national reporting requirements (Status of Australian Fish Stocks Reports (SAFS), used to inform Australia's progress against UN Sustainable Development Goal 14.4.1), on the proportion of fsh stocks within biological sustainable levels. A key constraint for these fsheries is lack of analysts with high technical expertise, with the few available required to focus much of their attention on higher value stocks. Unsurprisingly, the priority guidance options were improving data, application of simple assessment methods and static management, with the latter two options refecting the fact that complex models and dynamic management are not likely to be possible (or practical) with few analysts for so many species over an extremely large region with some very remote areas.

Common attributes among fsheries, such as low species-specifc data quality, does not necessarily result in similar scores or managerial outcomes. The

West Coast United States rockfish and Alaskan rockfsh fsheries scored similarly in most data-limitation attributes as the Western Australian non-indicator fsh species, and face the similar challenge of managing a large number of species, but scored diferently on resource limitations. As a result, a diferent emphasis is placed on stock assessment model type (simpler versus more complex) and management measure guidance options. Additionally, the management approach for each of these fsheries is distinct. In contrast to managing based on indicator species, most of the Alaskan rockfsh are assessed and managed as a single unit (i.e., stock complex) by aggregating the biomass for the multiple species in the assessment and providing a single harvest limit for the unit (Tribuzio et al. [2021\)](#page-22-2). Conversely, the West Coast United States rockfshes example manages some species within stock complexes with an overall harvest limit, and others individually with individual harvest limits (PFMC [2020\)](#page-21-24). Thus, despite similarities in attributes and situations (e.g., poor species-specifc data), analytical and managerial approaches are casespecifc and depend on many factors.

Conclusion

The data-limited session and panel discussion at the 2021 World Fisheries Congress generated a diverse, fruitful conversation illuminating diferent limitations to fsheries that posed challenges when considering possible common avenues forward to support science-based fsheries management. We emphasize that the term "data-limited" covers a broad spectrum of conditions that not only include data constraints, but resource limitations as well. Our tool provides an accessible way for scientists and managers to identify where on the "spectrum" of data and resource availability their fshery lies, and provides a ranking of guiding principles, as functions of these attributes, that are likely needed to improve the ability to assess and manage a particular species fshery. As more fsheries engage with the tool, common patterns are likely to emerge, facilitating the global connection of scientists and managers of similar fsheries to share ideas and develop more targeted solutions with the aid of other tools

(e.g., FishPath). We maintain that there is no "gold standard approach" for fsheries management; we should instead make management goals attainable and pragmatic while balancing economics with biological fshery sustainability and culture sustainability. By acknowledging the "Stock Assessment Theory of Relativity" and deconstructing the term "data-limited" into its proper components, we can talk more precisely about what challenges we are experiencing. And with that understanding, we can gain insight into the spectrum of conditions and offer appropriate guiding principles to better communicate and support the science of fsheries management.

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Author contributions JM. Cope was a co-lead developer of the paper concept, provided lead writing of the Introduction and Methods sections, produced several fgures, edited the fnal version of the manuscript and developed the software application DLMapper. NA. Dowling, SA. Hesp, and KL. Omori were co-lead developers of the paper concept, providing lead writing of the results and discussion sections, produced fgures and tables, provided major editing of the manuscript, and provided signifcant feedback on the DLMapper application. The remaining authors provided fshery examples to use in the paper and/or editorial assistance with the paper along with review of the DLMapper application.

Data availability The datasets generated during and/or analyzed during the current study are available at the following repository: <https://github.com/shcaba/DL-Mapper>

Declarations

Confict of Interest The authors have no relevant fnancial or non-fnancial interests to disclose. The authors have no competing interests to declare that are relevant to the content of this article. All authors certify that they have no afliations with or involvement in any organization or entity with any fnancial interest or non-fnancial interest in the subject matter or materials discussed in this manuscript. The authors have no fnancial or proprietary interests in any material discussed in this article.

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