



Stock and Risk Assessments of Kawakawa (Euthynnus affinis) and Longtail Tuna (Thunnus tonggol) Resources (1950-2018) in the Southeast Asian Waters Using ASPIC



Southeast Asian Fisheries Development Center (SEAFDEC)
Marine Fishery Resources Development
and Management Department (MFRDMD)
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¹ ASPIC: A Stock-Production Model Incorporating Covariates

Stock and Risk Assessments of Kawakawa (*Euthynnus affinis*) and Longtail Tuna (*Thunnus tonggol*) Resources (1950-2018) in the Southeast Asian Waters using ASPIC / Authors: Sallehudin bin Jamon (Malaysia), Min Khaing (Myanmar), Tegoeh Noegroho (Indonesia), Praulai Nootmorn (Thailand), Muhammad Adam bin Ramlee (Brunei Darussalam), Mohammad Faisal bin Md Saleh (SEAFDEC/ MFRDMD), Rit Soklim (Cambodia), Weerapol Thitipongtrakul (Thailand), Hoang Minh Tung (Viet Nam), Pengiran Saiful Bahrin Pengiran Yakob (Brunei Darussalam)

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ACRONYMS

AMSs	ASEAN Member States
ANOVA	Analysis of variance
ASEAN	Association of Southeast Asian Nations
ASPIC	A Stock-Production Model Incorporating Covariates
B1	Total biomass in the first year of stock assessment
CI	Confidential Interval
CPUE	Catch Per Unit of Effort
DNA	Deoxyribonucleic Acid
F	Fishing mortality
FAO	Food and Agriculture Organization
FCG/ASSP	Fisheries Consultative Group of the ASEAN-SEAFDEC Strategic
Fmsy	Fishing mortality at MSY
GILL	Gillnet fisheries
GLM	Generalized Linear Model
I	Indian Ocean (side)
IOTC	Indian Ocean Tuna Commission
K	Carrying capacity
KAW	Kawakawa
KL	Kuala Lumpur
LOT	Longtail tuna
MFRDMD	Marine Fishery Resources Development & Management Department
MSY	Maximum sustainable yield
mtDNA	mitochondrial DNA (Deoxyribonucleic Acid)
P	Pacific Ocean (side)
PS	Purse Seine fisheries
q	catchability coefficient
Q-Q Plot	Quantile-Quantile Plot
r	Intrinsic growth rate of population
\mathbf{r}^2	Correlation coefficient
RFMO	Regional Fisheries Management Organization
RMSE	Root Mean Square Error
RPOA	Regional Plan of Action
SEAFDEC	Southeast Asian Fisheries Development Center
STD_CPUE	Standardized CPUE
SWG	Scientific Working Group
TAC	Total Allowable Catch
TB	Total Biomass
TBmsy	Total Biomass at MSY
TD	Training Department (SEAFDEC/TD)
ToR	Term of Reference
WPNT	Working Party on Neritic Tunas (IOTC)
WS	Workshop

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SUMMARY OF STOCK STATUS (2018)

The activities under Scientific Working Group on Neritic Tuna Stock Assessment were continued with organizing the Practical Workshop on Stock and Risk Assessment of Longtail Tuna (Thunnus tonggol) and Kawakawa (Euthynnus affinis) in Southeast Asian Waters on 10 to 15 February 2020 at SEAFDEC/TD in Samut Prakan, Thailand. The main objectives of this workshop are to assess the current stock status and risk assessments of longtail tuna (LOT) and kawakawa (KAW) resources in this region and compared them to the result from the previous practical workshop in 2016. LOT and KAW data from the Pacific Ocean and the Indian Ocean were analyzed. These published catch data till 2018 was mainly obtained from the IOTC (Indian Ocean Tuna Commission) and FAO. Other than that, data samples collected from the data coordinator approved by the respective government of eight Member Countries were also used. There is four software used in the practical workshop: i) CPUE Standardization, ii) ASPIC original application and the batch job, iii) Kobe plot, and iv) Risk Assessments. Microsoft Excel is also used in data sorting and compiling. As a result, the stock assessments for KAW stock status in the Pacific Ocean remain in a safe situation as the previous assessments. Based on the risk assessment results, the current catch (205,000 tons) needs to be reduced by 20% (164,000 tons) to avoid a 50% risk of TB and F violating their MSY levels. Although the stock status is in the green zone, the current catch (2018) is still higher than the MSY level. That is why the current catch needs to be reduced even though the stock status is safe. However, KAW stock status in the Indian Ocean shows an overfished situation compared to assessment in 2016, which is still in a safe situation. Based on the Risk Assessment result, the current catch (62,000 tons) needs to be reduced by 60% (25,000 tons) to avoid 50% risks of TB and F violating their MSY levels. Next, LOT in the Pacific Ocean is also in a safe situation like a previous assessment in 2016. It is also suggested that the current catch (124,000 tons) can be increased to the MSY level (167,000 tons), in which case the probability of TB and F violating their MSY levels is less than 50%. Lastly, LOT in the Indian Ocean was in the safe situation (green zone) compared to previous assessments in 2016, which was in an overfished severe situation (red zone). Based on the risk assessment results, it is suggested that the current catch (33,000 tons) can be increased by 20% (40,000 tons), in which case the risk probability of Total Biomass (TB) and Fishing Mortality (F) violating their MSY levels are less than 50%. The results should be looked at with caution due to uncertainties in the overall process. As can be seen in the comparisons between the past and current assessments, the result from the stock and risk assessment shows that the current catch level of kawakawa in both areas should be considered to be reduced. Kawakawa and longtail tuna are among the most important fisheries resources in this region, so the stock and risk assessments need to be updated at least every three years for healthy stock but two years for the stocks in the unhealthy status.

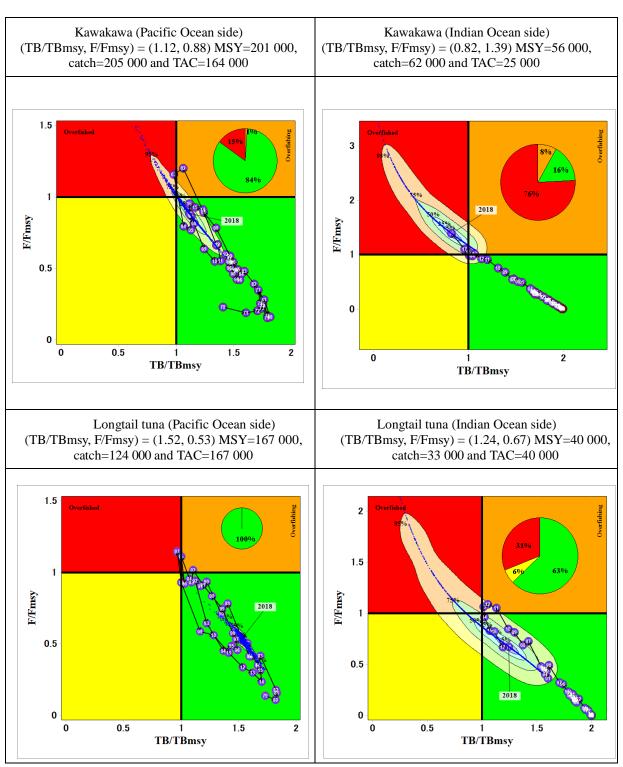


Figure 1. The result of stock status, MSY, current catch level (average of 2016-2018) and suggested TAC (1,000 tons) of kawakawa and longtail tuna in Indian Ocean side and Pacific Ocean side by Kobe Plot

1. INTRODUCTION

We conducted stock and risk assessments of kawakawa (*Euthynnus affinis*) (KAW) and longtail tuna (*Thunnus tonggol*) (LOT) resources in the Southeast Asian waters during the SEAFDEC practical workshop held at the SEAFDEC/TD, Samut Prakan, Thailand (10-15 February 2020). This practical workshop is one of the major activities in the SEAFDEC neritic tuna project. The backgrounds and objectives are available in its home page at http://www.seafdec.or.th/neritic-tunas/. We used ASPIC for stock and risk assessments because it has been recommended by the neritic tuna Scientific Working Group (SWG) since 2015.

During the workshop we produced very preliminary results. After the workshop we spent a lot of time to finalize our works by scrutinizing preliminary results, which are presented in this document. It should be well noted that those results should be looked at with caution, due to uncertainties in data, stock structure, CPUE standardization, factors not incorporated in ASPIC (age structures and biological factors) and environmental factors. Biology and ecology of both species were presented and discussed during the workshop. For details, refer to the SEAFDEC neritic tuna homepage.

Based on the results, we suggested TAC and compared the stock status with those in the past and IOTC. As a reference of the SEAFDEC neritic tuna project, we provide the summary of the stock status of four neritic tuna species (KAW, LOT, narrow-barred Spanish mackerel and Indo-Pacific king mackerel) including those in the IOTC in **Annex A**.

2. STOCK STRUCTURE

In the first risk and stock assessments of KAW and LOT (SEAFDEC, 2017), we assume two stocks for both KAW and LOT, i.e., one for the Indian Ocean side and the other for the Pacific Ocean side (Map. 1). However, the recent population study by Wahidah Mohd Arshaad (SEAFDEC/MFRDMD), based on the genetic analyses on LOT in the Southeast Asian region, suggested a different view and the summary of this study is as follows (quoted from the report of the fifth SWG meeting in 2019):

The aim of the study was to identify the level of genetic diversity and genetic structure of *T. tonggol* (LOT) in the Southeast Asian region. *T. tonggol* population was analyzed using the DNA samples collected from the South China Sea, Andaman Sea, and Semporna-Sulu Sea. Afterwards, laboratory and data analysis were implemented by SEAFDEC/MFRDMD. The results showed that there were five dominant haplotypes found from DNA analysis but there was no significant genetic difference found between the twelve sampling localities based on statistical analysis. Therefore, *T. tonggol* in the South China Sea, Andaman Sea, and Sulu Sea is a single stock. The same results were suggested by another study by Syahida Kasim *et al.* (2020).

This issue was discussed during the SWG5 (2019), and it was suggested that these populations should be managed as a single stock. In addition, since this study was based only on one type of DNA marker (mtDNA), it was suggested further studies should be conducted using more variable molecular markers such as microsatellite DNA. Then SWG5 recommended the use of the study results of as reference because genetic stock and fishery stock could be separated considering the issue in light of the management.

Under such circumstances, we followed this recommendation and conducted stock and risk assessments of four stocks, i.e., KAW and LOT in two areas (stocks): Pacific Ocean side and Indian Ocean side (Figure 2).

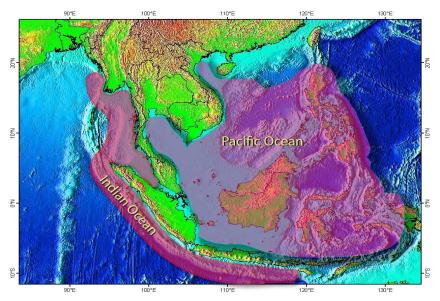


Figure 2. Two areas (Pacific Ocean side and Indian Ocean side in the SE Asian waters) used for stock and risk assessments of KAW and LOT

Please note that the recent genetic study in the whole Indian Ocean (IOTC, 2019) suggests that KAW is likely composed of 2 genetic groups (west/central vs. eastern), while for LOT, a few groups (western, central and eastern). However, results should be referred carefully as there are restrictions on sampling locations and sample sizes. This IOTC study does not suggest any stock structure information of KAW and LOT within the SE Asian waters, for example, Indian Ocean stock vs. Pacific Ocean stocks. Thus, we used our hypothesis of two stock structure (Indian Ocean stock vs. Pacific Ocean stock) in our works.

3. DATA

In ASPIC, catch and CPUE are the input data. The descriptions how we collected and compiled these data are as follows. One of the authors of this document (Muhammad Adam bin Ramlee, Brunei Darussalam) coordinated the data collection as part of capacity building recommended by SWG5 (2019). Data were collected from data coordinators approved by the respective governments of eight member countries (page 3). All collected data belong to the SEAFDEC neritic tuna project.

3.1. Nominal catch

(1) Catch construction

Historical nominal catches were obtained from data coordinators. In addition, published catch data were obtained from IOTC (Indian Ocean Tuna Commission) and FAO (Food and Agriculture Organization of the United Nations). Using these data, we built catch by species and two areas (Pacific Ocean side and Indian Ocean side). The preferentially used catch data are from IOTC (Indian Ocean side) and FAO (Pacific Ocean side) because they are based on the official data submitted by each government. The data obtained from the data

coordinators were used if FAO and IOTC catch data are missing. Figures 3-6 show the resultant catch trends by Indonesia, Malaysia, Thailand and/or Philippines. For KAW (Pacific Ocean side), there are additional catches by other countries (Viet Nam, Cambodia and Brunei Darussalam).

Table 1 lists member countries producing high catches (more than 98%). Among these countries, the Indonesian catches are the highest, i.e., KAW(P) (70% of the total catch), KAW(I) (73%), LOT(P) (54%) and LOT(I) (72%).

Table 1. Member countries producing high catches (> 98% of the total catch) by species
and area (listed in order)

	una urca	(Histed III Order)	
KA	AW	L	TC
P	I	P	I
Indonesia	Indonesia	Indonesia	Indonesia
Philippines	Thailand	Malaysia	Malaysia
Thailand	Malaysia	Thailand	Thailand
Malaysia	-		

(2) Uncertainties in the catch data

In the catch data construction, IOTC and FAO data are major sources as they have the long time series data. These data are officially provided by SEADEC member countries. However, quality of the data from developing countries is not good in general according to the IOTC data evaluation results (for example, IOTC, 2020) although quality levels vary by country.

Major reasons of the low quality data are: (a) national catch statistics collection system does not cover well spatially and temporally (for example, one sampled data per month are raised to estimate the total monthly landings), (b) in many cases, visual (eye ball) estimations are used, (c) species are often aggregated and disaggregation is conducted very crudely (for example, the same species composition rate is applied to all years and all areas) and (d) data quality control is not sufficient. Thus, it should be well noted that such uncertainties affect the results of stock and risk assessments.

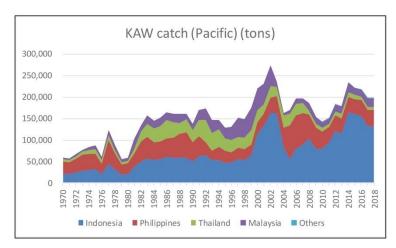


Figure 3. Catch (KAW) in the Pacific Ocean side by country (1970-2018) (tons) (Others: Viet Nam, Cambodia and Brunei Darussalam)

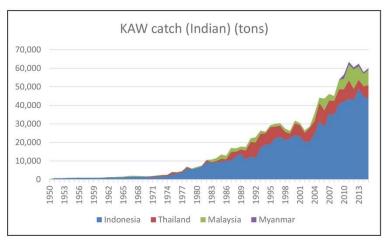


Figure 4. Catch (KAW) in the Indian Ocean side by country (1950-2018) (tons)

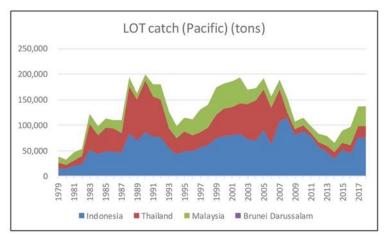


Figure 5. Catch (LOT) in the Pacific Ocean side by country (1979-2018) (tons)

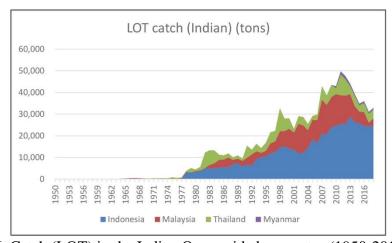


Figure 6. Catch (LOT) in the Indian Ocean side by country (1950-2018) (tons)

3.2. Nominal CPUE

(1) Collection of CPUE

Nominal CPUE is the essential information for ASPIC. We received nominal CPUE (KAW+LOT) from Thailand, Malaysia, Indonesia, and Philippine. In addition, we also collected nominal CPUE available on the IOTC home page. Table 2 shows a summary of nominal CPUE collected.

Pacific Ocean side Indian Ocean IOTC (Thai) source Thai Thai Malaysia Indonesia Thai Thai Malaysia Philippine No of gears 1 (GILL) 1 (PS) 1 (PS) 10 2 (PS + GILL) 1 (PS) 1 (PS) 10 commercial commercial commercial commercial commercial commercial commercial type survey survey month month day month day month day month month Resolution 1 5 3 1 7 7 areas hour (hour*unit) (hour*unit) types of day (day*unit) (day*unit) fishing (haul*unit) (haul*unit) haul effort (trip*unit) (trip*unit) 1982-2008 1995-2018 2011-2018 2008-2018 2018 1995-2018 2011-2018 2008-2018 2014-2018 Available years (27 years) (24 years) (8 years) (11 years) (1 year) (24 years) (8 years) (11 years) (5 years)

Table 2. Summary of the nominal CPUE collected

(2) Selection of plausible nominal CPUE

There are many nominal CPUE as shown in Table 2. As observed in the last stock assessment (2017), majority of nominal CPUE are not plausible because of poor quality of catch and effort data from artisanal and semi-industrial fisheries. We applied four steps to screen the most plausible nominal CPUE as shown in BOX 1. Table 3 lists six selected nominal CPUE for CPUE standardization.

Box 1. Four steps to screen plausible nominal CPUE

- (i) Exclude nominal CPUE for less than ten years.
- (ii) Exclude nominal CPUE with abnormal trends.
- (iii) Exclude outliers, sudden jumps/drops, zig-zag trends with high magnitudes.
- (iv) Select nominal CPUE with relatively high negative correlations between nominal CPUE and catch.

Table 3. Six nominal CPUE selected for CPUE standardization

Spec	ies	KAV	v	LOT					
Area (Area (side)		Indian	P	acific	Indi	ian		
Cour	itry	Thailand	Thailand	Malaysia Thailand		Thailand	Thailand		
typ	е	commercial	commercial	commercial commercial		commercial	commercial		
Gea	ar	PS	PS	PS PS		PS	GILL		
un	it	Kg/hour	Kg/hour	Kg/(hr*unit)	Haul/day	Haul/day	Kg/day		
	time	month	month	month	month	month	month		
Resolution	areas	Gulf of Thailand	Andaman Sea	Sarawak	Gulf of Thailand	Andaman Sea	Andaman Sea		
	statistical area	area 1-5 and A+B	area 6	Sarawak	area 1-5 and A+B	area 6-7 and C-E	area 6-7 and C-E		
availabl	e year	1995-2007	2001-2015	2009-2018	1995-2018	1995-2015	1987-1999		

4. METHODS

We use four software to conduct stock and risk assessments, i.e., CPUE standardization, ASPIC original application and the batch job, Kobe plot and risk assessments. For data process and compilation, we use the MS Excel. Figure 7 shows a flow chart of the procedures.

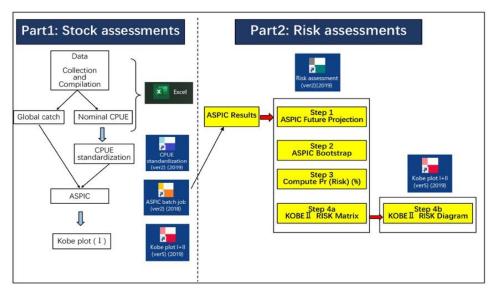


Figure 7. The procedure of stock and risk assessments using Excel and four software indicated by icons (CPUE standardization, ASPIC batch job, Kobe plot I+II and risk assessment)

4.1 CPUE standardization

We use CPUE standardization software which produces ANOVA table, time series graphs of standardized CPUE with 95% Confidential Intervals (CI) and residual analyses (frequency distributions and QQ plots). For details, refer to the software manual available at the SEAFDEC/TD neritic tuna home page.

4.2 Stock assessment (ASPIC)

(1) Batch job

We use the ASPIC original application and batch job software to implement four stock assessments. We select seeding values for MSY and K (point, minimum and maximum values), B1/K and q using criteria suggested by the resource persons.

We attempted to estimate all four parameters (B1/K, MSY, K and q) in the first attempt. In the batch jobs, in addition to two surplus production models (Schaefer or Fox), four parameters are combined to search the most plausible one. For example, if the settings are B1/K (3 values), MSY (4), K (4), q (2) and production models (2), the total number of combinations is 192 (3x4x4x2x2). This means that the ASPIC catch job automatically executes the batch job (192 runs).

(2) Parameter search

All results are stored in Excel file including four estimated parameters, estimated metrics (total biomass, F, MSY, Fmsy, TBmsy, TB/TBmsy, F/Fmsy and [r] intrinsic population growth rate) and goodness of fit (r² and Root Mean Square Error [RMSE]). To select the best combination of parameters, we refer to the values of r² (higher is better), RMSE (lower is better) and the optimum [r] value (closer to the optimum value is better). The optimum [r] value is determined by the median of the values available in the literatures, i.e., 0.99 (LOT) and 1.34 (KAW). We also consider their ranges from values available in the literatures.

We proceed with the parameter search using the flag code (flag code =1 to estimate parameters, while flag code= 0, not to estimate parameters, but to provide values) available in ASPIC. The first trail is to set flags for (B1/K, MSY, K and q) to (1111) respectively and estimate all four parameters.

If there are no convergences in (1111), we fix one parameter by setting (0111) or (1101), i.e., B1/K or K is fixed. When we fix, we use several plausible values (scenarios), then run ASPIC by scenario and select the most optimum (plausible) run in all results (scenarios).

If it still does not converge, we re-attempt the estimation by setting to (0101), fixing two parameters (0101), i.e., B1/K and K will be fixed. In this case we also use several values (scenarios) for B1/K and K, i.e., for example, if we have 4 scenarios for each parameter, we will have 16 scenarios. Then run ASPIC by scenario and select the most optimum (plausible) run in all results.

If it still does not converge, we re-check CPUE to see if there are any implausible behaviors (such as sudden jumps/drops, un-realistic trends etc.), then delete such data points if any. Then we re-attempt to run ASPIC runs all over again as before from the beginning with (1111). If it still does not provide any plausible results, we use nominal CPUE. If that still does not provide any plausible results, we consider that the catch and CPUE data do not fit to ASPIC at all and we conclude that no results are obtained.

(3) Kobe plot

Using the most plausible estimated parameters, we make the Kobe plots (trajectories of

stock status) and four types of time series graphs, i.e., catch vs MSY, F vs. Fmsy, TB vs. TBmsy and observed vs. predicted CPUE. To estimate uncertainties (confidence surface shaped like a banana) of the final year in the Kobe plot, we use the bootstrap (1,000 times) available in the ASPIC original application. Confidence surface includes five probability contours (5%, 25%, 50%, 75% and 95%).

4.3 Risk assessment

(1) Strategic risk matrix (Kobe II)

The basic method of risk assessments is one used by the tuna RFMOs i.e., Kobe II strategy management matrix (Kobe II). Kobe II matrix presents the probabilities violating TBmsy (Total Biomass at the MSY level) and Fmsy (F at the MSY level) after 3 and 10 years under nine different catch scenarios (current catch level, \pm 10%, \pm 20%, \pm 30% and \pm 40%). This means that if each of the nine different catch levels (scenarios) continues for the next 10 years, Kobe II provides the probabilities violating TBmsy and Fmsy in the 3rd and 10th year. These are the default settings.

Please note that the current catch is not the actual catch of the last year, but is defined as the average for the last three years (2016-2018). This is because the last year's catch (2018 in our case) may not be representative if it were very low/high value by the sudden sharp decrease/increase comparing the catch levels from previous years, which will produce inaccurate results of risk assessments.

In addition to the nine different catch scenarios (as defaults), we added a catch at the MSY level as we are also interested in its risk probabilities. We further added six catch levels, i.e., -80%, -100% (no catch), +50%, +200%, +250% and +300%. This is because when the stock status are too good or too bad, we will not able to see the risk levels beyond the default catch level range (-40% to +40%). As a result, we have a total of 16 catch levels i.e., 9 defaults, 1 at MSY and 6 additions beyond the default levels. All 16 catch levels are available in the risk assessment and Kobe II software. In this way we can select the effective range of catch levels to identify the plausible risk levels.

(2) TAC advice

Using the risk assessment matrix, tuna RFMOs select TAC levels that can sustain TBmsy and Fmsy levels after 3 and 10 years with a minimum risk level around 50% as a default criterion. We also follow this criterion to advise TAC levels. However, this is just a suggestion and not a legally binding recommendation as in RFMOs because SEAFDEC is not a RFMO. Nevertheless, member countries should consider suggestions and hopefully produce some self-measures, especially the member countries with high levels as shown in Table 3.

5. RESULTS

We present the results of stock and risk assessments of KAW (P), KAW (I), LOT (P) and LOT(I) including CPUE standardization, relations between catch vs. STD_CPUE, ASPIC (estimated B1/K, MSY, K, q, TBmsy, TB₂₀₁₈/TBmsy, Fmsy, F₂₀₁₈/Fmsy and [r] (intrinsic population growth rate), goodness of fit (r² and RMSE), Kobe plot and Kobe II (risk matrix for TB and F).

5.1 KAW (Pacific Ocean side)

(1) CPUE standardization (Box 2)

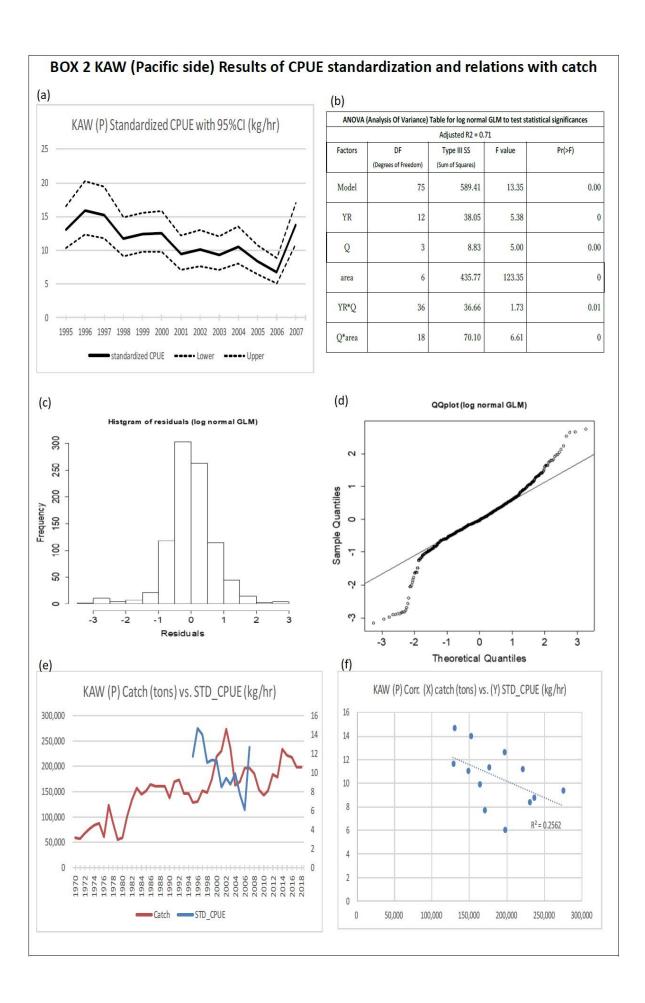
CPUE standardization by log normal GLM was conducted using Thai PS nominal CPUE in the Gulf of Thailand. Box 2 shows the results of standardized CPUE including 6 outputs, i.e., (a) trends of standardized CPUE with 95% CI, (b) ANOVA table, (c) frequency distribution of residuals, (d) the QQ plot, (e) time series relation (catch vs. STD_CPUE) and (f) negative correlation (catch vs. STD_CPUE). Standardized CPUE is considered statistically valid thus used for stock and risk assessments. Although the QQ plot shows some biases at both ends which, it unlikely affects the results seriously.

(2) ASPIC (Box 3)

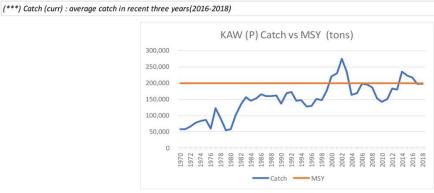
ASPIC was conducted using the catch in the Pacific Ocean side and the standardized CPUE of Thai PS in the Gulf of Thailand. All four parameters were estimated with (1111) in the initial attempt. BOX 3 shows five different types of ASPIC results including one table for "estimated parameters and related metrics" and four types of time series graphs for "catch vs. MSY", "F vs. Fmsy", "TB vs. TBmsy" and "observed vs. predicted standardized CPUE".

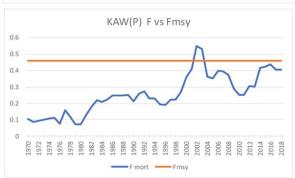
(3) Kobe plot (stock status in 2018) and risk assessments (optimum catch level) (Box 4)

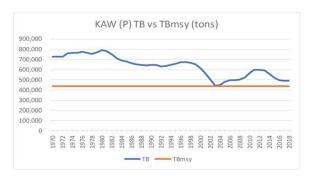
Using ASPIC results, the Kobe plot was created (BOX 4), and risk assessments were conducted for TB and F. Box 4 shows the results suggesting that the stock status of KAW(P) in 2018 is in the green zone of the Kobe plot with a probability of 84%, hence the stock is safe in 2018. Based on the risk assessment results, the current catch (205,000 tons) needs to be reduced by 20% (164,000 tons) to avoid a 50% risk of TB and F violating their MSY levels. Although the stock status is in the green zone, the current catch (2016-2018) is still higher than the MSY level. That is the reason why the catch needs to be reduced even though the stock status is safe.

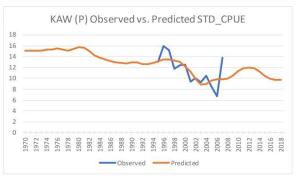


	BOX 3 KAW (Pacific side) Results of ASPIC												
	KAW (P) Estimated parameters (1111)* and catch (2018)												
Model	Model r (0.99)** q Fmsy TB ₂₀₁₈ /TBmsy F ₂₀₁₈ /Fmsy TB ₁₉₇₀ /K K TB ₂₀₁₈ TBmsy MSY C (curr) ***												
Cabaafau	0.02	1 005 05	0.46	1.12	0.00	0.56	875	489	438	201	205		
Schaerer	Schaefer 0.92 1.99E-05 0.46 1.12 0.88 0.56 (1,000 tons)												
(*) Flag of	*) Flag of parameters estimation : 1 (estimated) and 0 (fixed). Four parameters are B1/K, MSY, K and q respectively.												
(**) Intrinsi	c rate of nonu	lation arowth	i										

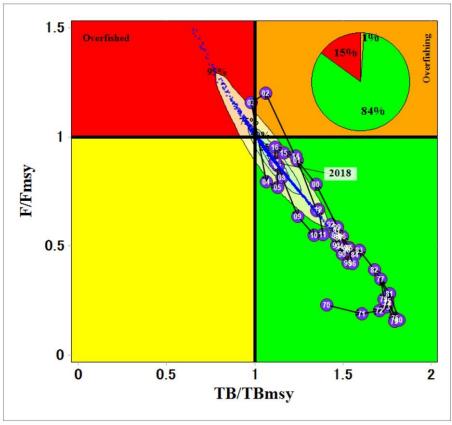








BOX 4 KAW (Pacific side) Kobe plot and results of risk assessment



					Color	legend				
	Risk I	Levels	Low	risk	0.000.000.000	dium risk	W227500000	dium risk	High	risk
	Prob	ability	0 -	25%	25 -	50%	50 - 75%		75 - 100	
	60% (-40%)	70% (-30%)	80% (-20%)	90% (-10%)	98% (-2%)	100%	110%	120%	130%	140%
					MSY level	Current catch (*)				
10 catch scenarios (tons)	122,743	143,200	163,658	184,115	200,600	204,572	225,029	245,486	265,944	286,401
TB2021 < TBmsy	62	68	72	76	79	80	83	87	90	93
F2021 > Fmsy	7	18	40	66	78	82	94	98	100	100
TB2028 < TBmsy	35	40	49	66	80	84	95	98	100	100
F2028 > Fmsy	7	14	27	56	80	86	98	100	100	100

5.2 KAW (Indian Ocean side)

(1) CPUE standardization (Box 5)

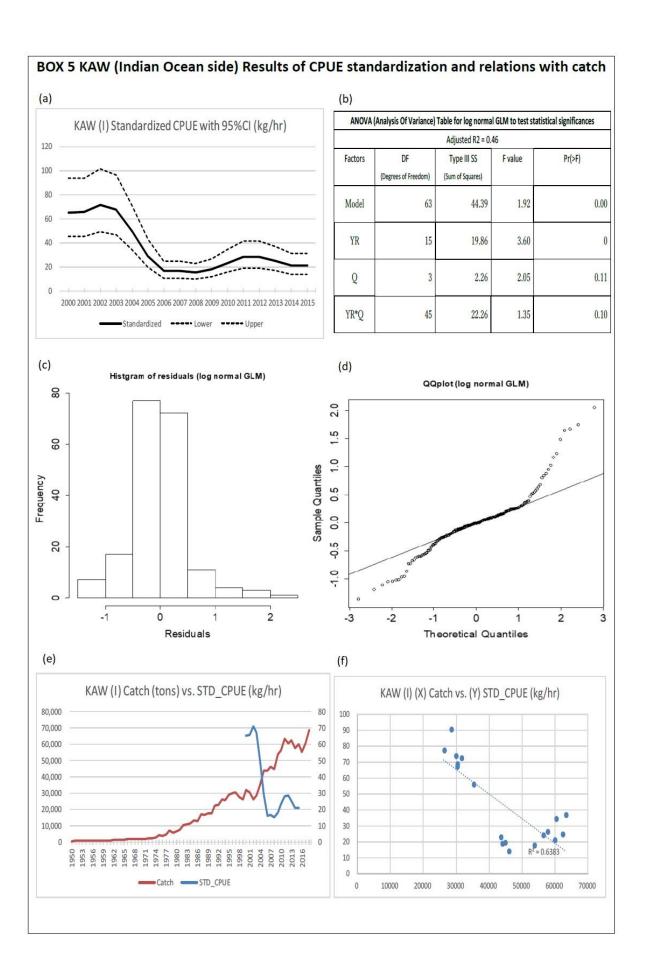
CPUE standardization by log normal GLM was conducted using Thai PS nominal CPUE in the Andaman Sea. Box 5 shows the results of standardized CPUE including 6 outputs, i.e., (a) trends of standardized CPUE with 95% CI, (b) ANOVA table, (c) frequency distribution of residuals, (d) the QQ plot, (e) time series relation (catch vs. STD_CPUE) and (f) negative correlation (catch vs. STD_CPUE). Standardized CPUE is considered statistically valid thus it was used for stock and risk assessments. Although the QQ plot shows some biases at both ends, it unlikely affects results seriously.

(2) ASPIC (Box 6)

ASPIC was conducted using the catch in the Indian Ocean side and the standardized CPUE of Thai PS in the Andaman Sea. Initially we attempted to estimate all four parameters with (1111), but it did not converge. As the next step, we fixed TB₁₉₅₀/K to 1 (0111), as we considered that TB₁₉₅₀ was the virgin stock and close to K. But again, it did not converge again. Then we further fixed K (0101) using four plausible values (15, 20, 25 and 30,000 tons). As a result, the most plausible parameters were obtained with K=20,000 tons. BOX 6 shows five different types of ASPIC results including, one table for "estimated parameters and related metrics" and four types of time series graphs for "catch vs. MSY", "F vs. Fmsy", "TB vs. TBmsy" and "observed vs. predicted standardized CPUE".

(3) Kobe plot (stock status) and risk assessments (optimum catch level) (Box 7)

Using ASPIC results, the Kobe plot was created (Box 7), and risk assessments were conducted for TB and F. BOX 7 shows the results suggesting that the stock status of KAW(I) in 2018 is in the red zone of the Kobe plot with a probability of 76%, hence it is in a serious overfished and overfishing situation. Based on the risk assessment results, the current catch (62,000 tons) needs to be reduced by 60% (25,000 tons) to avoid 50% risks of TB and F violating their MSY levels.



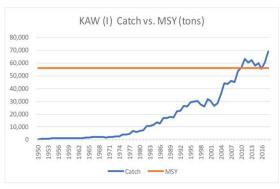
BOX 6 KAW (Indian Ocean side) Results of ASPIC

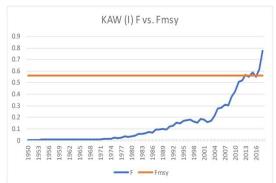
KAW (I) Estimated parameters (0101)* and catch (2018) (TB₁₉₅₀/K and K are fixed)

Model	r (1.34)**	q	Fmsy	TB ₂₀₁₈ /TBmsy	F ₂₀₁₈ /Fmsy	TB ₁₉₅₀ /K	К	TB ₂₀₁₈	TBmsy	MSY	Catch (curr)
Schaefer	1.12	2.25E-04	0.56	0.82	1.39	1	200	96	100	56	62
Schaerer	1.12	2.23E-04	0.30	0.82	1.59	1	(1,000 tons)				

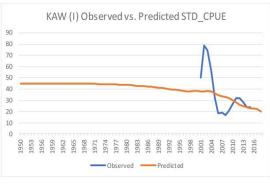
- (*) Flag of parameters estimation: 1 (estimated) and 0 (fixed). Four parameters are B1/K, MSY, K and q respectively.
- (**) Intrinsic rate of population growth

(***) Catch (curr): average catch in recent three years(2016-2018)

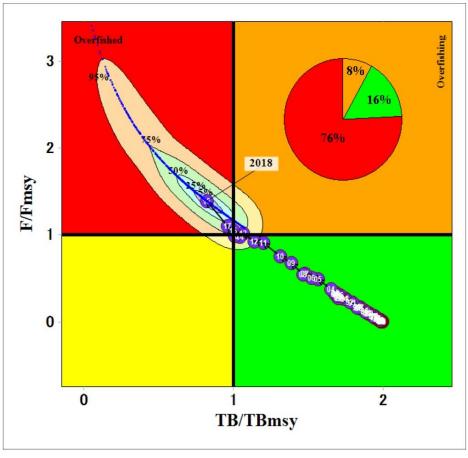












					Color	legend	5.2				
	Risk I	levels	Low	risk	5937	dium risk	Med high	22 00	High	risk	
	Proba	ability	0 -	25%	25 -	25 - 50%		50 - 75%		75 - 100	
	0% (-100%)	20% (-80%)	40% (-60%)	60% (-40%)	70% (-30%)	80% (-20%)	90% (-10%)	91% (-9%)	100%	110%	120%
								MSY level	Current catch		
11 catch scenarios (tons)	0	12,312	24,624	36,936	43,092	49,248	55,404	55,850	61,560	67,716	73,872
TB2021 < TBmsy	56	58	61	67	70	73	76	76	80	84	87
F2021 > Fmsy	0	48	51	56	60	66	75	76	86	98	100
TB2028 < TBmsy	41	48	50	54	57	61	71	72	84	95	100
F2028 > Fmsy	0	48	50	54	57	60	70	72	88	100	100

5.3 LOT (Pacific Ocean side)

(1) CPUE standardization (Box 8-Box 9)

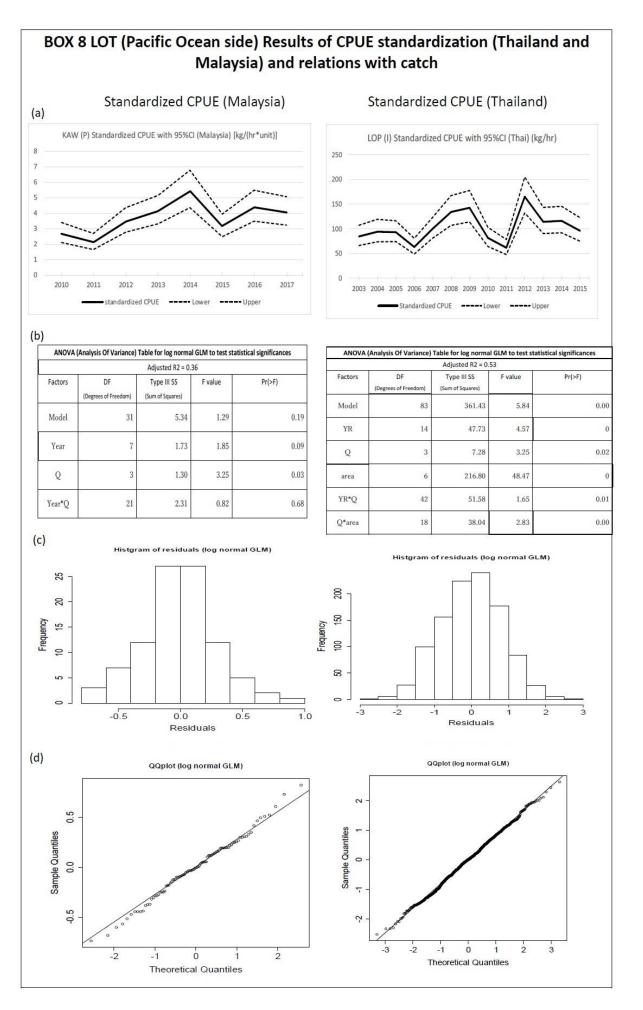
Two plausible nominal CPUE were selected for the Pacific Ocean side, i.e., Thai PS (Gulf of Thailand) and Malaysia PS (Sarawak). CPUE standardization by log normal GLM was conducted for both nominal CPUE. Box 8 shows the results of standardized CPUE for both including 4 outputs, i.e., (a) trends of standardized CPUE with 95% CI, (b) ANOVA table, (c) frequency distribution of residuals and (d) time series relations (catch vs. STD_CPUE). Both standardized CPUE is considered statistically valid. Then we combined two STD_CPUE by taking their average of the scaled CPUE (average=1) for each CPUE. Box 9 shows the trend of combined STD_CPUE, the time series relation (catch vs. combined STD_CPUE) and the negative correlation (catch vs. combined STD_CPUE). We used the combined standardized CPUE for ASPIC because it negatively reflected to the catch well.

(2) ASPIC (Box 10)

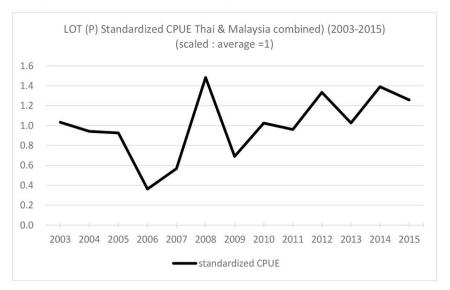
ASPIC was conducted using the catch in the Pacific Ocean side and the combined standardized CPUE. All four parameters were estimated with (1111) on the first attempt. BOX 10 shows five different types of ASPIC results including one table for "estimated parameters and related metrics" and four types of time series graphs for "catch vs. MSY", "F vs. Fmsy", "TB vs. TBmsy" and "observed vs. predicted standardized CPUE".

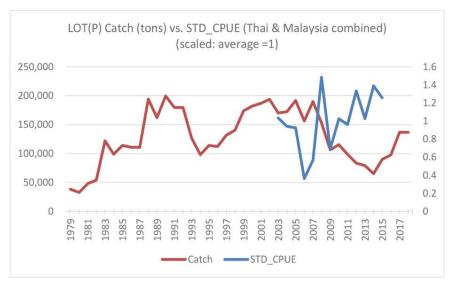
(3) Kobe plot (stock status) and risk assessments (optimum catch level) (Box 11)

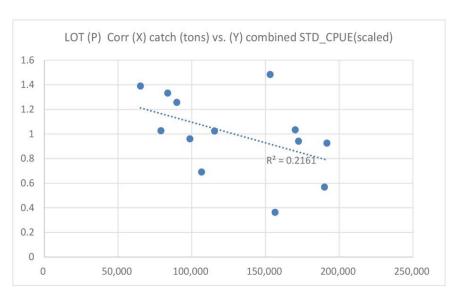
Using ASPIC results, the Kobe plot was created (BOX 11) and risk assessments were conducted for TB and F. BOX 11 shows the results. The size of the confidence surface round the 2018 point is much smaller than normal. The reason is that the data fit to ASPIC very well as shown in the QQ plot. Based on the risk assessment results, it is suggested that the stock status of LOT(P) in 2018 is very healthy as it is in the green zone of the Kobe plot with 100% probability. It is also suggested that the current catch (124,000 tons) can be increased to the MSY level (167,000 tons), in which case the probability of TB and F violating their MSY levels is less than 50%.



BOX 9 LOT (Pacific Ocean side) Combined standardized CPUE (Malaysia and Thailand PS) and relations with catch





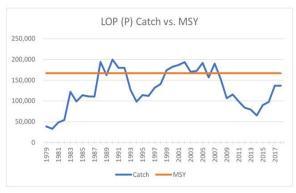


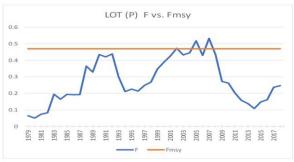
BOX 10 LOT (Pacific Ocean side) Results of ASPIC LOT (P) Estimated parameters (1111)* and catch (2018) Model r (0.99)** Fmsy TB₂₀₁₈/TBmsy F₂₀₁₈/Fmsy TB_{1979}/K TB_{2018} **TBmsy** MSY Catch (curr) q 564 124 716 358 167 0.79 Schaefer 0.93 2.14E-06 0.47 1.52 0.53 (1,000 tons)

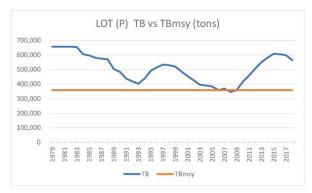
(*) Flag of parameters estimation: 1 (estimated) and 0 (fixed). Four parameters are B1/K, MSY, K and q respectively.

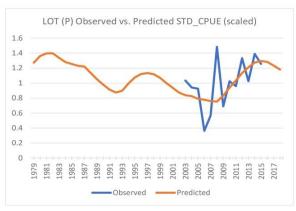
(**) Intrinsic rate of population growth

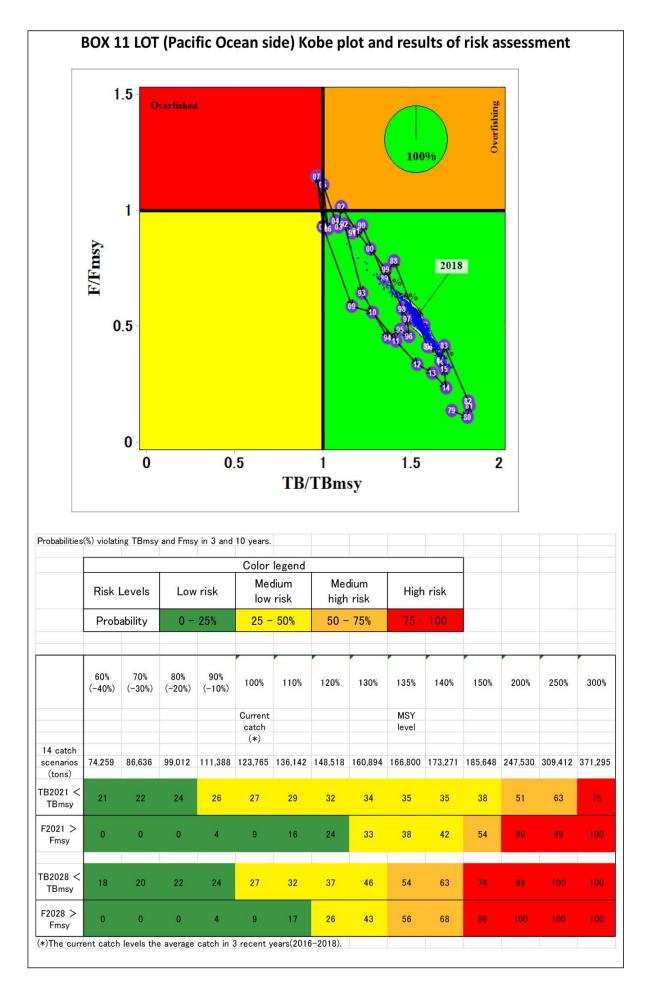
(***) Catch (curr): average catch in recent three years(2016-2018)











5.4 LOT (Indian Ocean side)

(1) CPUE standardization (BOX 12)

Two plausible nominal CPUE in the Andaman Sea were selected, i.e., PS from Thailand and king mackerel gillnet available on the IOTC home page which was originally provided by Thailand. We attempted CPUE standardization, but neither provided statistical significances, indicating no need to use the standardized CPUE. Thus, we decided to use nominal CPUE instead of standardized CPUE.

We combined two nominal CPUE by taking their average based on the scaled CPUE (average=1) for each CPUE. Box 12 shows the trend of combined nominal CPUE, the time series relation (catch vs. combined nominal CPUE) and the negative correlation (catch vs. combined CPUE). Then we decided to use the combined nominal CPUE for ASPIC because it reflected well negatively.

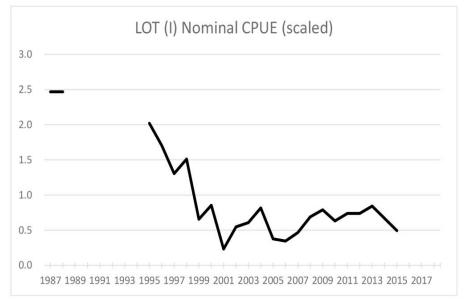
(2) ASPIC (BOX 13)

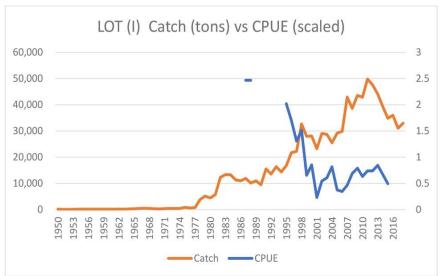
ASPIC was conducted using the catch in the Indian Ocean side and the combined nominal CPUE (PS and GILL) from Thailand. Initially we attempted to estimate all four parameters with the estimation flag set to (1111), which did not converge. As the next step, we fixed TB₁₉₅₀/K to 1 (0111) as we consider that TB₁₉₅₀ is the virgin stock and close to K. But it did not converge again. Then we fixed K (0101) and attempted to run ASPIC runs using four plausible K values (15, 20, 25, and 30,000 tons). As a result, the best fit was obtained with K=20,000 tons. BOX 13 shows five different types of ASPIC results, including one table for "estimated parameters and related metrics" and four types of time series graphs for "catch vs. MSY", "F vs. Fmsy", "TB vs. TBmsy", and "observed vs. predicted standardized CPUE".

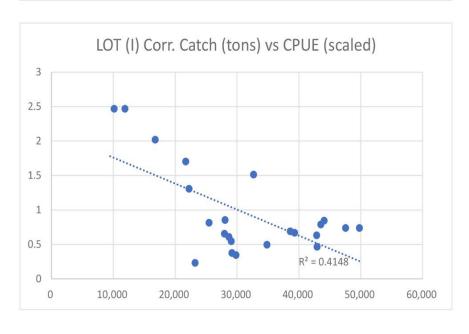
(3) Kobe plot (stock status) and risk assessments (optimum catch level) (BOX 14)

Using ASPIC results, the Kobe plot was created (BOX 14) and risk assessments were also conducted for TB and F. BOX 14 shows the results. The Kobe plot shows that the stock trajectories (2007-2018) move like in a circle from the safe (green) zone to the overfishing (orange) zone, and then return to the recovery trend (green zone). Based on the results, it is suggested that the stock status of LOT(I) in 2018 is in the green (safe) zone of the Kobe plot with 63% probability, and that the current catch (33,000 tons) can be increased by 20% (40,000 tons), in which case the risk probability of TB and F violating their MSY levels are less than 50%.









BOX 13 LOT (Indian Ocean side) Results of ASPIC

LOT (I) Estimated parameters (0101)* and catch (2018) (TB_{1950}/K) and K are fixed)

		201 (1) 2	Jimatea	parameters (o	101, 4114 (caterr (201	5) (1519	950/11 4114	K are fixe	u,	
Model	r (0.99)**	q	Fmsy	TB ₂₀₁₈ /TBmsy	F ₂₀₁₈ /Fmsy	TB ₁₉₅₀ /K	K	TB ₂₀₁₈	TBmsy	MSY	Catch (curr)
Schaefer	0.8	5.43E-06	0.4	1.24	0.67	1	200	124	100	40	33
Schaerer	0.8	3.43E-00	0.4	1.24	0.67	1			(1,000 to	ons)	

(*) Flag of parameters estimation: 1 (estimated) and 0 (fixed). Four parameters are B1/K, MSY, K and q respectively.

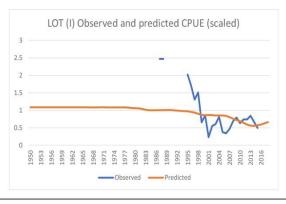
(**) Intrinsic rate of population growth

(***) Catch (curr): average catch in recent three years (2016-2018)

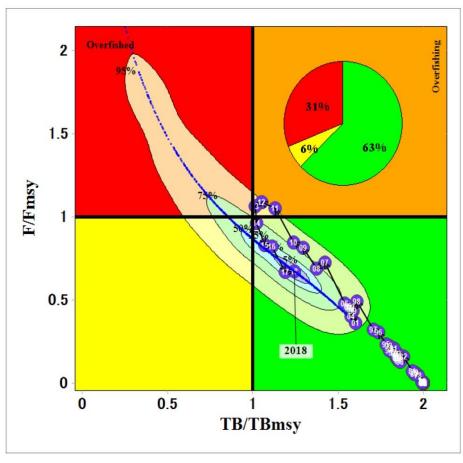








BOX 14 LOT (Indian Ocean side) Kobe plot and results of risk assessment



	0.7	20			Color	legend			-	
	Risk I	_evels	Low	risk	Med low		Me o	11001011010	High	risk
	Probability		0 -	25%	25 - 50%		50 - 75%		75 - 100	
	60% (-40%)	70% (-30%)	80% (-20%)	90% (-10%)	100%	110%	120%	120%	130%	140%
					Current catch		MSY level			
10 catch scenarios (tons)	19,993	23,325	26,658	29,990	33,322	36,654	40,130	39,986	43,319	46,651
TB2021 < TBmsy	27	28	29	30	32	34	36	36	38	40
F2021 > Fmsy	18	20	22	23	26	30	37	37	46	59
TB2028 < TBmsy	18	19	21	23	25	32	44	44	62	73
F2028 > Fmsy	17	18	20	22	24	30	44	44	66	82

6. DISCUSSION

6.1 Optimum catch levels

Table 4 shows a summary of results of stock and risk assessments with the optimum catch levels (suggested TAC).

Table 4. Summary of results of stock and Risk Assessments and the suggested optimum catch levels (TACs)

	KAW (P)	KAW (I)	LOT (P)	LOT (I)
Stock status (2018) (Color in the Kobe plot)	TB/TBmsy=1.12 F/Fmsy=0.88	TB/TBmsy=1.12 F/Fmsy=0.88	TB/TBmsy=1.12 F/Fmsy=0.88	TB/TBmsy=1.12 F/Fmsy=0.88
MSY (1,000 tons)	201	56	167	40
Current catch level (1,000 tons) (average in 2016-2018)	205	62	124	33
Optimum catch levels (*) (tons) (need update every few years)	164	25	167	40
Reduction (-) or increase (+) From the current to the optimum Catch levels	-20%	-60%	+35%	+20%

^(*) based on the results of the risk assessment i.e., the risk probability of TB and F violating their MSY levels < 50%. This can be considered as TAC levels.

The optimum catch levels (suggested TACs) are based on the risk assessments, however, these are just references for member countries, especially for those exploiting KAW and LOT largely (see Table 2), to consider. This is because SEAFDEC is not an RFMO and cannot provide legally binding TAC recommendations. Hence, we provide soft suggestions and hopefully they will cooperate with these suggestions.

Please note that the optimum catch levels are different by species, i.e., catch of KAW (I) (unhealthy stock) and KAW(P) (safe but close to the red zone) need to be reduced from the current levels, while LOT (P and I) catch can increase. As KAW and LOT are exploited by multi-gears and multi-species fisheries, if LOT catch (healthy stocks), for example, increase by following our suggestions, KAW stock status will be worse as KAW catch need to be reduced.

Thus, simple increase or reduction of catch would be difficult to undertake because the gears used in the fisheries could catch the other species with healthy and unhealthy stock status respectively. Therefore, especially catch reduction strategies should be developed and implemented holistically considering factors relevant to the fisheries of such species, i.e., species compositions, stock status, fishing seasons, fishing grounds, commercial values, and the socioeconomics of fishers. One of the effective strategies is to establish temporal or seasonal closures of the areas where these LOT catches (densities) are high, while KAW, low. Each Member Country should consider such strategy holistically based on its own unique situation of these factors.

6.2 Stock status

We compared stock status available from the past stock assessments by the SEAFDEC based on ASPIC, and by IOTC based on Stock Reduction Analysis (SRA) for the Indian Ocean side.

(1) KAW (P)

Stock status for 2013 and 2018 is available based on ASPIC conducted by the SEAFEDC neritic tuna project (SEADFEC, 2017 and this document) (Figure 8). The stock status was worsened slightly from 2013 to 2018 within the green zone because the catch level increased slightly from 2013 to 2018 (Figure 9).

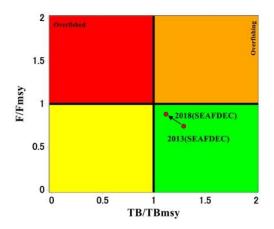


Figure 8. Comparison of KAW stock status (Pacific Ocean side of the SE Asian water) between 2013 vs. 2018

Figure 9. Catch trend of KAW (P) highlighting two assessed years

(2) KAW (I)

Stock status is available from results of four stock assessments, i.e., two by IOTC (2013 and 2018) for the whole Indian Ocean based on SRA (IOTC, 2019 and 2020) and two by SEAFDEC (2014 and 2018) for the SE Asian waters based on ASPIC (SEAFDEC, 2017 and this document). Figure 10 shows the Kobe plot comparing these four points. In the SE Asian waters, the stock status is worsened significantly from 2014 to 2018 (from the green to the red zone), while for the whole Indian Ocean both points are in the green zone although biomass decreased from 2013 to 2018. A possible cause is that the catch in the SE Asian water increased in 2017-2018, while the catch in the whole Indian Ocean were stable (Figure 11). The catch increase in the SE Asian waters are not so large, but the stock status changed significantly. This implies that there may be other factors affecting this significant change, i.e., factors not incorporated into ASPIC such as recruitments, biology and ecology.

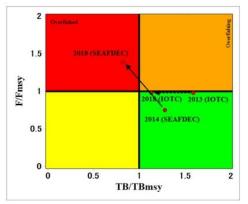
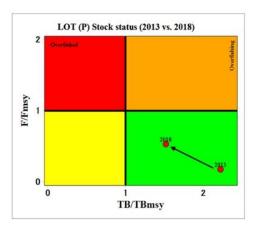


Figure 10. Comparison of the stock status among 2013/2018 (IOTC) and 2014/2018 (SEAFDEC)

Figure 11. Catch trends in the SE Asian (SEAFDEC) waters and the other waters in the Indian Ocean (vertical lines indicate assessed years)

(3) LOT (P)

Stock status for 2013 and 2018 for the SE Asian waters bases on ASPIC is available from two practical workshops of the SEAFEC's neritic tuna project (SEAFDEC 2017 and this document respectively). Figure 12 shows the Kobe plot comparing these two points. The stock status is worsened significantly from 2013 to 2018 due to the significant increases of the catch level (Figure 13), but it is still in the green.



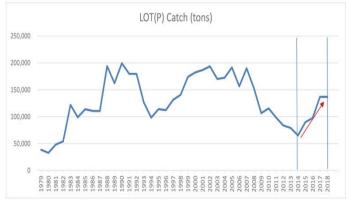


Figure 12. Comparison of stock status between 2013 and 2018 in SE Asian waters

Figure 13. Catch trend in the SE Asian waters (Pacific side) highlighting two assessed years (vertical) lines

(4) LOT (I)

Stock status is available from results of three stock assessments, i.e., one by IOTC (2018) for the whole Indian Ocean (IOTC, 2018) and the two by SEAFDEC (2014 and 2018) for the SE Asian water (2017 and this document) and this document). Figure 14 shows the Kobe plot comparing these three points. In the SE Asian waters, the stock status recovered greatly from 2014 to 2018 (from the red to the green zone) because the catch continuously decreased from 2011 to 2018 (Figure 15). In the whole Indian Ocean, it is in the red zone probably due

to the sharp increase of the catch from 2004 to 2012, though the recent catch (2013-2018) shows a declining trend. There are two possible causes for the large discrepancy in stock status in 2018 between IOTC and SEAFDEC i.e. (a) there are less fishing pressure (F) in the SE Asian waters and (b) different stock assessment approaches are used (SRA without CPUE and ASPIC with CPUE).

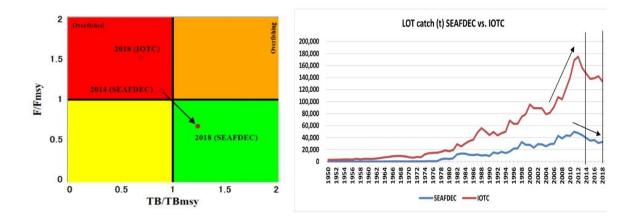


Figure 14. Comparison of the stock status among 2018 (IOTC) and 2014/2018 (SEAFDEC)

Figure 15. Catch trends in the SE Asian (SEAFDEC) waters and the whole Indian Ocean (IOTC)

7. FINAL REMARKS

Please note that the results should be looked at with cautions due to uncertainties in stock structure, data, CPUE standardization and stock and risk assessments as discussed before. However, there is some consistency between catch trends and stock status as observed in the comparisons between the past and current assessments in the previous section. Therefore, the results are likely plausible to some extent. As the risk assessments for KAW (both Pacific and Indian Ocean sides) suggest reducing the current catch levels, it is hoped that member countries, especially those exploiting KAW largely, will consider reducing the current catch to the suggested levels to conserve resources and to secure sustainable yield for the long-term future.

As kawakawa and longtail tuna are among most important fisheries resources in the SEAFDEC member countries, stock and risk assessments need to update at least every three years (two years for the stocks in the unhealthy status).

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ANNEX A: COMPARISONS OF STOCK STATUS OF FOUR NERITIC TUNA SPECIES (SEAFDEC AND IOTC)

The progress of the SEAFDEC neritic tuna project is provided here by comparing the stock status of four neritic tuna species including those in the IOTC. Four species are kawakawa, longtail tuna, narrow-barred Spanish mackerel, and Indo-Pacific king mackerel. Table 5 and 6 show those in the Indian and the Pacific Ocean, respectively. Regarding the stock assessment methods, SEAFDEC used ASPIC, while IOTC, Stock Reduction Analysis (SRA).

In the Indian Ocean, the stock status between SE Asian water (SEAFDEC) and the whole Indian Ocean (IOTC) are different. This is likely because the fishing pressure are different between two areas and/or the stock assessment methods (with and without CPUE) are different.

Table 5. Summary and comparisons of four neritic species based on SEAFDEC and IOTC

(Note) Colors are same as in the Kobe plot and % is the probability in four quadrants of the Kobe plot.

Species	area	Assessed by	Stock status (assessed year)					
			2013	2014	2015	2016	2017	2018
Kawakawa	SE Asian water	SEAFDEC		47%(*)				76%
	Whole area	ЮТС	60%					50%
Longtail tuna	SE Asian water	SEAFDEC		62%				63%
	Whole area	ЮТС						76%
Narrow-barred Spanish mackerel	SE Asian water	SEAFDEC				25% (*)		
	Whole area	ЮТС			89%			73%
Indo-Pacific king mackerel	SE Asian water	SEAFDEC				97%		
	Whole area	ЮТС						

^(*) These two stock status are in the green zone, but probabilities are less than 50%, thus the stock status (safe) is less certain.

According Table 6, stock status in the Pacific Ocean side of the SE Asian waters are all in green zones and very healthy conditions except narrow-barred Spanish mackerel (red). This implies that the F in the Pacific side is likely less than in the Indian Ocean side.

Table 6. Summary and comparisons of four neritic species (Pacific Ocean side) based on SEAFDEC.

(Note) Colors are same as in the Kobe plot and % is the probability in four quadrants of the Kobe plot

Species	Stock status (assessed year)							
Species	2013	2014	2015	2016	2017	2018		
Kawakawa	100%					84%		
Longtail tuna	100%					100%		
narrow-barred Spanish mackerel				95%				
Indo-Pacific king mackerel				90%				

Southeast Asian Fisheries Development Center (SEAFDEC)

What is SEAFDEC?

SEAFDEC is an autonomous intergovernmental body established as a regional treaty organization in 1967 to promote sustainable fisheries development in Southeast Asia. SEAFDEC currently comprises 11 Member Countries: Brunei Darussalam, Cambodia, Indonesia, Japan, Lao PDR, Malaysia, Myanmar, Philippines, Singapore, Thailand, and Viet Nam.

Vision

Sustainable management and development of fisheries and aquaculture to contribute to food security, poverty alleviation and livelihood of people in the Southeast Asian region

Mission

To promote and facilitate concerted actions among the Member Countries to ensure the sustainability of fisheries and aquaculture in Southeast Asia through:

- Research and development in fisheries, aquaculture, post-harvest, processing, and marketing of fish and fisheries products, socio-economy and ecosystem to provide reliable scientific data and information.
- Formulation and provision of policy guidelines based on the available scientific data and information, local knowledge, regional consultations and prevailing international measures.
- iii. Technology transfer and capacity building to enhance the capacity of Member Countries in the application of technologies, and implementation of fisheries policies and management tools for the sustainable utilization of fishery resources and aquaculture.
- iv. Monitoring and evaluation of the implementation of the regional fisheries policies and management frameworks adopted under the ASEAN-SEAFDEC collaborative mechanism, and the emerging international fisheries-related issues including their impacts on fisheries, food security and socio-economics of the region.





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