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1 **Pelagic habitat: exploring the concept of good environmental status.**

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23 **Keywords**

24 Plankton, Marine Strategy Framework Directive, pelagic habitats, seascape, MPA

25 **Abstract**

26 Marine environmental legislation is increasingly expressing a need to consider the quality of pelagic habitats.
27 This paper uses the European Union marine strategy framework to explore the concept of good
28 environmental status (GES) of pelagic habitat with the aim to build a wider understanding of the issue.
29 Pelagic ecosystems have static, persistent and ephemeral features, with manageable human activities
30 primarily impacting the persistent features. The paper explores defining the meaning of “good”, setting
31 boundaries to assess pelagic habitat and the challenges of considering habitat biodiversity in a moving
32 medium. It concludes that for pelagic habitats to be in GES and able to provide goods and services to
33 humans, three conditions should be met: i) all species present under current environmental conditions
34 should be able to find the pelagic habitats essential to close their life cycles; ii) biogeochemical regulation is
35 maintained at normal levels; iii) critical physical dynamics and movements of biota and water masses at
36 multiple scales are not obstructed. Reference points for acceptable levels of each condition and how these
37 may change over time in line with prevailing oceanographic conditions, should be discussed by knowledge
38 brokers, managers and stakeholders. Managers should think about a habitat hydrography rather than a
39 habitat geography. Setting the bounds of the habitats requires a consideration of dimension, scale and
40 gradients. It is likely that to deal with the challenges caused by a dynamic environment and the relevance of
41 differing spatial and temporal scales, we will need to integrate multidisciplinary empirical data sets with
42 spatial and temporal models to assess and monitor progress towards, or displacement from GES of the
43 pelagic habitat.

44

45 **Introduction**

46 In 2008, the European Union enacted a novel piece of legislation requiring its countries to define, and then
47 monitor progress towards achieving, good environmental status (GES) for, amongst other things, pelagic
48 habitats (European Commission, 2008, 2010). This legislation is called the Marine Strategy Framework
49 Directive (MSFD, Bigagli *et al.*, 2015) and it sits within a patchwork of European legislation designed to
50 protect and encourage sustainable exploitation of the marine environment under the Integrated Maritime
51 Policy (Apitz *et al.*, 2006; European Commission, 2007; Boyes and Elliot, 2014). The Directive provides a
52 framework of guidance and actions for EU member states. For a range of anthropogenic pressures, and
53 states of the marine environment, each country is asked to define “good environmental status” as a target
54 and make the binary decision of whether they have achieved it or not (Borja *et al.*, 2010). If the answer is
55 that they have not, the countries should implement management measures to ensure that they will reach
56 GES.

57 Under descriptor 1 of the MSFD, which covers biodiversity, countries have to consider GES of habitats. This is
58 not dissimilar to Essential Fish Habitat (EFH) in USA legislation. Under the provisions of the Magnuson
59 Stevens Fisheries Conservation and Management Act (NOAA, 1996), a statutory mandate requires all
60 fisheries management plans to include descriptions of “essential fish habitat”, to identify adverse fishing
61 impacts and to conserve and enhance EFH. “Essential fish habitat” is defined as waters and substrate
62 necessary to fish for spawning, breeding, feeding or growth to maturity. In 2017, a new EU decision was
63 published (European Commission, 2017) which further described what should be considered around the
64 quality of pelagic habitat under the MSFD. When compared to other components of the marine ecosystem,
65 the impact of human activities on pelagic systems may appear minimal (Papathanasopoulou *et al.*, 2016),
66 but no consensus exists regarding the definition of GES for pelagic habitats. A clear understanding of the
67 attributes required for pelagic habitats to be in GES is required to guide monitoring and management
68 objectives.

69 This paper will use the arena of the MSFD to explore what is good environmental status for pelagic habitat,
70 and we hope that this example will provide useful insights for other similar legislative higher order objectives
71 for pelagic habitat, such as EFH and the like.

72 **The challenge and the legislation**

73 Knowledge brokers are being asked to provide guidance on what is an ecosystem in a good or bad state, a
74 question that is intrinsically normative (Turnhout *et al.*, 2007). The phrase “good environmental status”
75 means different things to different people and is value laden. It is probable that a decade ago, we would
76 have been discussing stewardship of “productive pelagic ecosystems”, but the MSFD uses concepts which
77 require public support and is also prone to moving social norms (Mee *et al.*, 2008). Tett *et al.* (2013) draw
78 parallels between the use of GES and the phrase “ocean health”, suggesting that the terms are metaphors
79 for a vision that aggregates over system components. The MSFD and various studies attempt to aid the
80 decision and assessment process by providing descriptive guidance (Mee *et al.*, 2008; Borja *et al.*, 2013; Tett
81 *et al.*, 2013). The guidance for habitats in the MSFD states

82 *“Biological diversity is maintained. The quality and occurrence of habitats and the distribution and*
83 *abundance of species are in line with prevailing physiographic, geographic and climatic conditions.”*
84 (European Commission, 2008).

85 This is further expanded in the 2010 supporting decision

86 *“the term habitat addresses both the abiotic characteristics and the associated biological community,*
87 *treating both elements together in the sense of the term biotope.... The three criteria for the assessment of*

88 *habitats are their distribution, extent and condition (for the latter, in particular the condition of typical*
89 *species and communities), accompanied with the indicators related respectively to them.”* (European
90 Commission, 2010).

91 The 2017 revised decision says that the condition of *“Pelagic broad habitat types (variable salinity, coastal,*
92 *shelf and oceanic/beyond shelf) ... including biotic and abiotic structure and functions ... is not adversely*
93 *affected due to anthropogenic pressures”* (European Commission, 2017). This should be assessed at the scale
94 of habitat adversely affected in square kilometres (km²) and as a proportion (percentage) of the total extent
95 of the habitat type. In the term GES, the word “good” is in relation to humans and thus linked to the
96 provision of goods and services, and stewardship and conservation for future generations (intergenerational
97 equity). The 2017 revision introduces the concept of habitat adversely affected by anthropogenic pressures.
98 In addition, any definition of good or adversely affected is often influenced by the suite of data, readily
99 available, with which to produce metrics as indicators of a pelagic habitat rather than an operational
100 definition of GES.

101 Similar to “good”, what “essential” means could also be considered normative. The Magnuson Stevens
102 Fisheries Conservation and Management Act emphasizes the quality of habitats with respect to effect on
103 growth, reproduction, and/or survival of different life stages and ultimately on the productivity of fishery
104 species. The definition of EFH is therefore organism-centered rather than anthropocentrically defined, and
105 integrates both pelagic and benthic habitats.

106 Diverse services are provided by the marine pelagic habitat (or combined habitats) such as the regulation of
107 ocean circulation and weather, carbon recycling and balance, production of living resources, and tourism.
108 Any consideration of good pelagic habitat needs to relate to the perceived priorities and objectives of
109 society. Any consideration of adverse pressures, needs to be in relation to some framework.
110 Anthropocentric, societal definitions of marine habitat and habitat quality can lead to the misclassification of
111 marine habitats based upon terrestrial analogies and teleologies. The possibility of falling into traps of
112 misclassification is particularly high in pelagic ecosystems that are embedded in turbulent heterogeneous
113 liquids.

114 **Igniting the discussion**

115 An open theme session was held at the 2016 ICES annual science conference in Riga, Latvia with the title
116 “What is a good pelagic habitat?” ([http://ices.dk/news-and-events/asc/ASC2016/Pages/Theme-session-](http://ices.dk/news-and-events/asc/ASC2016/Pages/Theme-session-J.aspx)
117 [J.aspx](http://ices.dk/news-and-events/asc/ASC2016/Pages/Theme-session-J.aspx)). The session was advertised to address the demands for clearer understanding on what is good
118 pelagic habitat as society is asking for guidance on what is a good or bad pelagic system. The focus of the
119 session was on the higher order objectives and was attended by 20-40 participants. Various presentations
120 illustrated the services provided by pelagic habitats such as the regulation of ocean circulation and weather,
121 carbon recycling and balance, production of living resources, importance of species or functional biodiversity
122 and tourism. The session split into three subgroups to consider what is meant by good pelagic habitat, how
123 can we quantify it and what are the features that distinguish it from other habitats? At the end of the
124 session, all participants were invited to contribute to the construction of a food for thought article building
125 on the ideas discussed. This paper is the result of the process.

126 **Pelagic habitat**

127 Pelagic habitats, following the MSFD definition as a biotope used in this paper, can be viewed as having
128 faster dynamics and lower levels of predictability when compared to terrestrial and marine benthic habitats
129 (Ray, 1991; Gray, 1997; Hyrenbach *et al.*, 2000). Living in liquid is different from living in gas, and the vital
130 rates of all marine organisms are controlled to a great degree by the properties of and processes occurring
131 within the ocean’s turbulent liquid (Purcell, 1977; Andersen *et al.*, 2015; Manderson, 2016). Bertrand et al.

132 (2014) describe the pelagic ecosystem as that where the 'substrate' consists of constantly moving water
133 masses, where ocean surface turbulence creates ephemeral oases. Pelagic habitats are also defined by the
134 frontal structures and subsides created and delivered by divergent and convergent flows (Tew Kai, 2009;
135 Della Penna, 2017). The combination of the properties of pelagic systems has led to a formalisation of
136 'seascape ecology' as opposed to, the rather different, terrestrial 'landscape ecology' (Manderson, 2016).
137 Ban et al (2014) highlight for the ocean system, that many species are widely distributed and wide ranging;
138 the sizes and boundaries of biogeographical domains vary significantly by depth; habitat types exhibit a
139 range of stabilities, from ephemeral (e.g., surface frontal systems) to hyper-stable (e.g. deep sea); and
140 vertical and horizontal linkages are prevalent.

141 It could be said that a holistic approach that does not compartmentalise habitats (i.e. not treating benthic
142 and pelagic habitat separately) is more in keeping with an integrated management. Within and across life
143 history stages, many marine organisms are obligate integrators of benthic and pelagic properties and
144 processes occurring within the oceans. However, most biodiversity legislation (including the MSFD) requires
145 habitats to be defined and delineated on the basis of a patch-based view of seascapes analogous to the
146 operational paradigm of terrestrial landscape ecology (Ray, 1991). This aids assessment, targeted
147 management action, and communication of relevant issues. There are techniques to define boundaries
148 between pelagic habitats using hydrographic variables and their spatial gradients calculated at an
149 appropriate spatial scale (see Alvarez-Berastegui *et al.*, 2014). It is useful to think about pelagic habitats in
150 terms of the static, persistent and ephemeral aspects (Hyrenbach *et al.*, 2000), with the static being
151 bathymetric and coastal features, the persistent being hydrographic and climatic features which often vary
152 seasonally, and the ephemeral being short lived and less predictable gradients in water qualities (Hyrenbach
153 *et al.*, 2000). Other classification approaches to pelagic habitats exist (see Kavanaugh *et al.*, 2016) and the
154 concept of gradient approaches is beginning to be considered even in terrestrial ecology (McGarigal and
155 Cushman 2005; Cushman *et al.*, 2010) but we chose to keep the classification simple. Biological features can
156 similarly be considered across these environmental axes of the seascape (Hidalgo *et al.*, 2015).

157 The MSFD mentions "prevailing physiographic, geographic and climatic conditions" (European Commission,
158 2008). In pelagic habitats, these prevailing conditions can be highly variable and dominate our observations
159 of trends in state (McQuatters-Gollop, 2012). Pelagic organisms are embedded in a turbulent advective
160 environment; their size determines how they are affected by the properties of the liquid and their scales of
161 variability (e.g. effect of Reynolds number, advection or migration, etc., Kavanaugh *et al.*, 2016). Their
162 behaviour and self-organisation (e.g. schooling behaviour) also impact their distribution in relation to
163 physical/environmental forcing (see figure 10 in Bertrand et al 2008). Hidalgo *et al.* (2015) suggest that the
164 effect of static and ephemeral features on our observations of biodiversity is often overridden by different
165 non-linear effects in the pelagic environment. Predictability is challenged by the dynamics of the system. In
166 most pelagic systems the prevailing conditions are a consequence of bathymetry, location, relative depth,
167 temperature, salinity, oxygen, circulation, ice cover, carbon dioxide, light and turbidity. Many of these
168 properties are highly dynamic because they are strongly forced directly or indirectly by the dynamics of the
169 atmosphere and planetary motions. The consequences of the behaviour of organisms and the issue of scale
170 (temporal and spatial) further complicate any assessment of habitat quality (e.g. Bertrand *et al.*, 2010;
171 Louzao *et al.*, 2011; Miller *et al.*, 2015; Cisewski and Strass, 2016).

172 Many species inhabit the water column only temporarily such as meroplankton, mysids, or benthopelagic
173 fish. Other species migrate over long distances or between coastal and offshore areas at daily to multi-
174 annual time scales. Consequently, understanding the composition and trophic structure shared by a set of
175 interacting communities and its dynamical implications for the persistence of biodiversity remains
176 challenging (Melián *et al.*, 2005).

177 **Scale, monitoring and boundaries**

178 When monitoring and assessing the pelagic ecosystem care needs to be taken about the relevant scales,
179 both spatial and temporal (see figure 3 in Kavanaugh *et al.*, 2016). The concept of scale was recently
180 highlighted as one of the most useful ecological concepts to emerge in the last 100 years of ecological
181 research (Reiners *et al.*, 2017) but it is also one of the most challenging when applying ecological concepts
182 into operational management (see Stommell, 1963; Steele, 1978; Ban *et al.*, 2014). Temporally, the pelagic
183 ecosystem varies within a day (e.g. diel migration, tidally driven changes in turbulence), across seasons (e.g.
184 stratification), years and even multi-decadal cycles too. These cycles impact the persistent and ephemeral
185 features. Spatially, variation of communities can range across many scales (Scales *et al.*, 2017). Since
186 Schneider (2001) suggested that little is known about the importance of small- and large-scale processes on
187 the structure of communities, progress has been made in understanding the dynamics and distribution of
188 pelagic organisms across their habitat (Alvarez-Berastegui *et al.*, 2014; Bertrand *et al.*, 2014; Scales *et al.*,
189 2017).

190 Tett *et al.* (2013) define good ecosystem status (good ocean health) as “*the condition of a system that is self-*
191 *maintaining, vigorous, resilient to externally imposed pressures, and able to sustain services to humans. It*
192 *contains healthy organisms and populations, and adequate functional diversity and functional response*
193 *diversity. All expected trophic levels are present and well interconnected, and there is good spatial*
194 *connectivity amongst subsystems.*” This definition requires an understanding of open marine systems and
195 the interconnections between static elements and sub-systems. Pelagic habitats usually do not have distinct
196 boundaries and are often defined by latitudinal and hydrographic gradients, semipermeable frontal
197 boundaries between different water masses, and defined differences in density and current flows which may
198 be seasonally variable (Alvarez-Berastegui *et al.*, 2014; Hidalgo *et al.*, 2015). Inshore, the relevant dynamics
199 can be constrained by the geometry and geography of coastlines and the seabed along with characteristic
200 seasonal frequencies of frontal formation and disintegration and associated changes in temperature,
201 precipitation, and winds as well as tidal forcing. Concepts of GES, therefore, need to be spatially and
202 temporally relevant to specific ecological processes or ecosystem services (Mee *et al.*, 2008). As with
203 integrated ecosystem assessments, setting of boundaries is a key stage of an assessment of habitat (Dickey-
204 Collas, 2014). The ideas behind conservation of habitat diversity and the role of functional redundancy in
205 maintaining ecosystem resilience have been heavily influenced by research performed in terrestrial systems,
206 shallow water reefs and benthic communities. These properties of promoting resilience are probably equally
207 important in pelagic systems but less easily defined. Gray (1997) emphasised that it was important to
208 consider the issue of scale in seascape diversity as relevant scales are determined by the specific ecological
209 or ecosystem process. The spatial aspects of the MSFD (the subregions, the lack of coverage in the high seas
210 and limits in coastal waters) may not be robust enough to cope with the range of spatial scales of pelagic
211 habitat (see Ban *et al.*, 2014). The results of analysing temporal trends can be affected by the spatial scale of
212 monitoring, with incorrect assessments if linear relationships are assumed (Bartolino *et al.*, 2012). The
213 metrics used as indicators to assess and monitor GES have yet to be sufficiently tested for their robustness
214 and applicability at different spatial scales (e.g. Wasmund *et al.*, 2017). Current monitoring of pelagic
215 ecosystems generally does not exist at the spatial or temporally relevant scales necessary to assess
216 prevailing conditions and some fine or large scale anthropogenic pressures. However, rapid advances in
217 technology and the implementation of various levels of ‘Ocean Observation Systems’ are making the
218 attainment of appropriate observational and monitoring data achievable (e.g. Kavanaugh *et al.*, 2016;
219 Manderson, 2016; Trenkel *et al.*, 2016). Further advances are being made to develop the monitoring and
220 statistical methods to assess the interaction of scale and habitat (Mayor *et al.*, 2007; Pittman and Brown,
221 2011).

222 With increasing accuracy, we can model the impact of global, regional and local events in the pelagic system
223 and explore future scenarios in relation to prevailing conditions and changes in pressures (Fernandes *et al.*,
224 2013; Akimova *et al.*, 2016; Queirós *et al.*, 2016). Hufnagl *et al.* (in press) investigated 10 different physical

225 models for the oceanography of the southern North Sea and suggested that most models showed systematic
226 biases during all years in comparison to the ensemble median, indicating that, in general, inter-annual
227 variation was represented equally by the models but absolute values of movement and temperature
228 experienced by particles varied when modelling particles through the system. We can also determine
229 aspects of connectivity with an appropriate spatial scale of dispersal, and the broad scale influence of
230 oceanography on near shore oceanographic dispersal variability (Watson *et al.*, 2011; Treml *et al.*, 2012).
231 Monitoring, assessment and the setting of thresholds need to be designed/accountable for this variability,
232 probably by using targeted finer scale monitoring of areas of concern within broader scale seascape
233 integrated modelling of larger regions.

234 **Assessments for management**

235 Even with a definition of GES, the variability in prevailing conditions makes reaching the GES target
236 challenging. It is also often unclear which human activities are putting pressure on the state of the pelagic
237 ecosystem (Shephard *et al.*, 2015). The revised MSFD decision (European Commission 2017) states that the
238 pelagic habitat must not be adversely affected due to anthropogenic pressures. When considering the
239 pelagic habitat, it is important to consider the influence of upstream events. When assessing GES and where
240 we are in relation to it, many researchers propose the use of the Driver-Pressure-State-Impact-Response
241 (DPSIR) framework to guide management measures (Gimpel *et al.*, 2013; Knights *et al.*, 2013). This assumes
242 that there are direct levers that can be pulled to reduce or increase the human pressures resulting in
243 ecosystem response in a predicted direction. This poses problems when prevailing conditions are thought to
244 have more impact on the pelagic system than any direct consequence of a human-caused pressure
245 (McQuatters-Gollop, 2012). The obvious example of a clear DPSIR relationship is how fishing and hunting
246 influence populations and ecosystem structure (Shephard *et al.*, 2014). However, interactions with other
247 drivers often complicate such a clear relationship, making causal relationships more difficult to disentangle,
248 e.g. in the case of fishing pressure and climate change acting simultaneously (Planque *et al.*, 2010; Planque,
249 2015). However, when the influence of anthropogenic pressures is less easy to detect, such as when
250 prevailing conditions play a strong role in habitat dynamics, surveillance indicators can be used to monitor
251 pelagic community structure (Shephard *et al.*, 2015). If a surveillance indicator shows an unwelcome
252 trajectory, beyond predefined thresholds, management action should be triggered. But the lack of defined
253 GES for pelagic habitat means that the objectives for monitoring and action are not so clear.

254 Good environmental status of the pelagic habitat is not synonymous with setting up a marine protected area
255 (MPA) for pelagic habitat. The latter can be seen as a tool to help achieve the former (Game *et al.*, 2009).
256 Pelagic MPAs have tended to focus on biodiversity or productivity “hotspots” (Etnoyer *et al.*, 2004; Scales *et al.*
257 *et al.*, 2014). The behaviour of animals is often explored in relation to oceanography and geography (e.g.
258 Vilchris *et al.*, 2006; Kobayashi *et al.*, 2008; Louzao *et al.*, 2011) providing information of relevant areas in
259 need of protection. Ban *et al.* (2014) explore this further (see Figure 1 in their paper). The MSFD clearly
260 states that there should be no further loss of diversity in genes, species or habitats (Borja *et al.*, 2013), and
261 goods and services are also derived from pelagic habitats not associated with biodiversity hotspots. It is
262 therefore as important to conserve the low biodiversity habitats as the hotspots (Gray, 1997, e.g. the central
263 Arctic Ocean, and estuaries), requiring a toolset wider than MPAs alone.

264 A pelagic habitat can also be in a natural ecological state even when that state may be perceived to be
265 ‘negative’ by societies. In some areas, the accumulation of high concentrations of algal toxins in shellfish can
266 be driven by natural forces (prevailing conditions) but considered by society as ‘negative’ owing to the
267 economic impact resulting from enforced closures of shellfish harvesting areas (Gowen *et al.*, 2012).
268 Similarly, high biomass blooms of the dinoflagellate *Karenia mikimotoi* can result in mortalities of the
269 benthos or farmed fish; however, these events may be driven by natural bloom formation offshore and
270 transport in coastal currents (Davidson *et al.*, 2009; Gillibrand *et al.*, 2016) and not human activities. Because

271 marine ecosystems are nonlinear with complex feedback loops and multiple stable states, cyclic disturbances
272 may cause collapses in ecosystem states due to changes in natural oceanographic forcing. Such collapses can
273 be perceived to be negative by humans in the short term. However they may in fact be necessary for
274 periodically resetting some ecosystem trajectories toward “healthier” states. Oceanographic disturbance
275 and ecosystem state collapses related to El Niño and La Niña cycles are hypothesized to underlie ecosystem
276 dynamics in the highly productive Peruvian upwelling system (Bakun and Weeks, 2008). Ecosystem dynamics
277 resulting from prevailing oceanographic conditions need to be distinguished from those resulting from
278 human impacts, particularly eutrophication (Gowen *et al.*, 2012) and pollution events (e.g. oil spills).
279 Although defining good environmental status is normative, when setting targets we must avoid labelling
280 natural but unwished for conditions as Bad Environmental Status.

281 **What is good pelagic habitat?**

282 The contributions to the open theme session and the subgroup discussions described above provided the
283 input material for considering the requirements for GES for pelagic habitats. The issues discussed included
284 retaining sustainable exploitation and a resilient ecosystem. A comprehensive definition of a resilient
285 ecosystem remains elusive, however, here we consider resilience as an ability of the ecosystem to return to
286 a state from which it was perturbed. The aim of the exploration was to find a pragmatic approach to ensure
287 resilience and sustainability using tangible and operational phraseology. The key services offered and
288 properties required from pelagic habitats were then considered and selected based on expert knowledge
289 and information in the literature. The identified services related to regulation and habitat functions as
290 defined for example by de Groot *et al.* (2002). They included services provided by all habitats, terrestrial and
291 marine, as well as services more specific to the pelagic habitat.

292 Life cycle maintenance is considered an essential marine and coastal ecosystem service (Liquete *et al.* 2013).
293 For considering this habitat function the framework developed by Petitgas *et al.* (2013) to analyse climate
294 impacts on habitats was viewed as useful, in that it allows for an analysis of habitat requirement by life
295 stage. Because it provides linkages between and integrates requirements across life stages, such a
296 framework could be developed for assessing the status of pelagic habitats. In addition, it can be used to
297 assess impacts across the entire life cycle, including where necessary information on benthic-pelagic
298 connectivity through organisms that use the both benthic and pelagic habitats at different life stages. This
299 would be applicable when considering both exploitation and conservation objectives.

300 Pelagic habitats contribute to the functioning of the global bio-geochemical system, in particular to ocean
301 nourishment (Liquete *et al.* 2013). The main services are nutrient cycling (for example C, O, N, P, S, Si, Fe)
302 and gas regulation (Costanza *et al.* 1997). The oceans have been a net sink of increased atmospheric carbon
303 dioxide, with ocean warming expected to reduce this role (see chapter 13 Millenium Ecosystem Assessment
304 2005 <http://www.millenniumassessment.org/documents/document.282.aspx.pdf>). The sea surface – air
305 interface, the upper boundary of the pelagic habitat, plays an important role in this gas exchange between
306 the ocean and the atmosphere. Within the pelagic habitat, growing and moving organisms contribute to
307 nutrient transportation and recycling. Algal blooms will occur naturally, however, in coastal waters along
308 with hypoxia are signs of pollution and eutrophication surpassing system capacity and an immediate
309 resilience for suppressing catastrophic events. Linkages between marine and terrestrial ecosystems occur
310 because the major human activities impacting these services are land based (MEA 2005).

311 Linked to both of these functions is the inherent physical nature of the liquid substrate. The physical
312 qualities of the pelagic habitat warrant additional attention, including temperature, salinity and energy
313 gradients. As highlighted by Ban *et al.* (2014), Hidalgo *et al.* (2015) and Scales *et al.* (2017) the pelagic habitat
314 is structurally different from terrestrial and benthic, i.e. solid habitats. The unique properties and the
315 consequences of the pelagic habitat needs to be incorporated into any assessment of GES. These properties
316 contribute to the wider habitat function.

317 Following on from these considerations, we offer a very simple concept when defining GES for pelagic
318 ecosystems. It is possible to consider the pelagic habitat as hydrography-driven, rather than geography-
319 driven. This means that specific conditions and habitats are not fixed in space or time. This concept will allow
320 scoping for national/regional definitions of GES. We are aware that the MSFD expects future anthropogenic
321 impact and economic and social development of the seas; the MSFD does not strive towards returning
322 European marine waters to a pristine state. What actually constitutes a pristine state is a matter of much
323 debate due to the long and short term dynamic nature of the environment. Instead, the MSFD emphasises
324 sustainable use of the marine system and recognises that GES should be a realistic and attainable target
325 (European Commission, 2008). This contrasts to the organism focused Essential Fish Habitat concept. Here
326 we suggest three key overlapping and interactive properties of the state of the system that ensure essential
327 services that must be prioritised as contributors to GES.

328 **1. Life cycle closure for marine organisms.**

329 Central to the provision of goods and services, and conservation priorities, is that pelagic habitats
330 maintain their ability to act as reproduction (including spawning and mating), nursery, and feeding
331 grounds, as well as migration and advection routes, for marine organisms, resulting in no further
332 decrease in global and regional natural biodiversity in line with prevailing oceanographic conditions.
333 This includes organisms that spend all life stages in the water column and those that use it during
334 various stages of their life cycle. For generational equity, no species - with its essential habitat - should
335 be threatened by anthropogenic activity. This property produces what is called a habitat ecosystem
336 service (e.g. Costanza *et al.* 1999, de Groot *et al.* 2002).

337 **2. The global and regional roles of pelagic systems in biogeochemical regulation.**

338 The pelagic ecosystem fulfils a wide range of roles in the regulation, recycling, transfer, storage and
339 release of biochemical components and processes of relevance to global, regional and localised health
340 of the seas and the whole planet. These roles include cycling of carbon, oxygen, nutrients, carbon
341 sequestration, and many others. When determining GES, these roles must be acknowledged. The
342 biochemical functions of the pelagic system should not move beyond what is considered normal under
343 prevailing climatic conditions, supporting the key structural and functional aspects of pelagic
344 ecosystems.

345 **3. The physically dynamic nature of pelagic habitats.**

346 The pelagic system provides movement of energy and materials that are important at the global,
347 regional and local scales. GES should account for this role of the liquid in determining trophic and life
348 cycle coupling. The movement of water, the interaction with weather, the provision of renewable
349 energy, the advection of substances, coastal erosion, etc., are all relevant to the definition of GES.
350 Consideration of pelagic habitat state must consider both Lagrangian and Eulerian aspects of that state,
351 thus an awareness of the impact of upstream and consequences for downstream events. Whilst most of
352 this movement and impacts of hydrodynamics is not manageable at anything except the local scale, a
353 recognition that movement of organisms, materials and energy is a key part of pelagic habitats must be
354 included in GES considerations.

355 For all of the three to be achieved all anthropogenic activities and pressures need to be managed or
356 mitigated and the influence of physics understood (Ban *et al.*, 2014). This management includes achieving or
357 maintaining low anthropogenic nutrient input maintaining stoichiometry of elements and minimizing the
358 introduction of litter (including plastic), near zero contaminant pollution, and sustainable fishing;
359 maintaining healthy plankton communities; and due consideration for siting permanent marine structures
360 and regulating marine traffic, to maintain efforts to reduce introduced non-native and invasive species

361 (OSPAR, 2010; HELCOM, 2010). This requires management measures for the terrestrial landscape to be
362 enacted too, as pressures are often sourced up stream on land.

363 **Salience, legitimacy and credibility**

364 This food for thought article was written by scientists with an interest in research in the pelagic ecosystem.
365 Some of us work closely at the science/policy interface. We wrote this paper to stimulate discussion about
366 higher order objectives for the pelagic habitat (Jennings, 2005), and it can be seen as an initiation of a
367 dialogue between scientists and society (recognised as Mode 2 science by Gibbons *et al.*, 1994). Under the
368 MSFD, the definition of GES is the responsibility of EU member states, hopefully working together through
369 the European Regional Seas conventions (e.g. OSPAR and HELCOM). We would hope that any setting of a
370 vision for pelagic GES would involve a scoping process between knowledge brokers, managers, and
371 stakeholders. A similar exercise took place to explore the ecosystem approach objectives for pelagic fisheries
372 (Trenkel *et al.*, 2015), where two independent scoping exercises gave remarkably similar results for potential
373 higher order objectives.

374 However, in contrast to the exploration of higher order objectives carried out by Trenkel *et al.* (2015), we did
375 not scope with stakeholders from beyond the scientific realm and limited the exploration to scientists joining
376 the dedicated theme session by interest, without attempting to balance expertise of attendees. This leads us
377 to likely criticism in terms of the salience, legitimacy and credibility of our message (Cash *et al.*, 2002). The
378 word 'salience' requires that the intervention by a group is appropriate at the time, and we argue that the
379 MSFD being executed in Europe makes such a discussion very relevant. However, we acknowledge that our
380 intervention lacks much legitimacy, because we have not engaged in wider stakeholder dialogue and we do
381 not formally represent society as self-appointed interested parties. As scientists with an interest in pelagic
382 research, and an interest in applied research, it is valid to question our motives to initiate the discussion. We
383 have an interest in the profile of the issue being raised, i.e. we are clearly stakeholders (Funtowicz and
384 Ravetz, 1993). By using a session at the ICES annual science conference, we have attempted to create an
385 open arena for the discussion amongst the scientific community. We have sought to improve our credibility
386 by describing our methods and publishing this article in a peer reviewed journal. The idea behind the article
387 was to provide a resource to enable discussion with a broader stakeholder community.

388 **Conclusion**

389 Pelagic ecosystems have static, persistent and ephemeral features, with manageable human activities
390 impacting, primarily, persistent features. Managers should think about a habitat hydrography rather than a
391 habitat geography. Setting the bounds of the habitats requires a consideration of dimension, scale and
392 gradients. For pelagic habitats to be in GES and able to provide goods and services to humans, three
393 conditions should be met for pelagic waters: i) all species present under current environmental conditions
394 have access to the pelagic habitats essential to close their life cycles; ii) biogeochemical regulation is
395 maintained at normal levels; iii) critical physical dynamics and movements of biota and water masses at
396 multiple scales are not obstructed. Reference points for acceptable levels of each condition and how these
397 may change over time in line with prevailing oceanographic conditions, need to be discussed by knowledge
398 brokers, managers and stakeholders. It is likely that to deal with the challenges caused by a dynamic
399 environment and the relevance of differing spatial and temporal scales, we will need to integrate
400 multidisciplinary empirical data sets with spatial and temporal models to assess and monitor progress
401 towards, or movement from, GES of the pelagic habitat.

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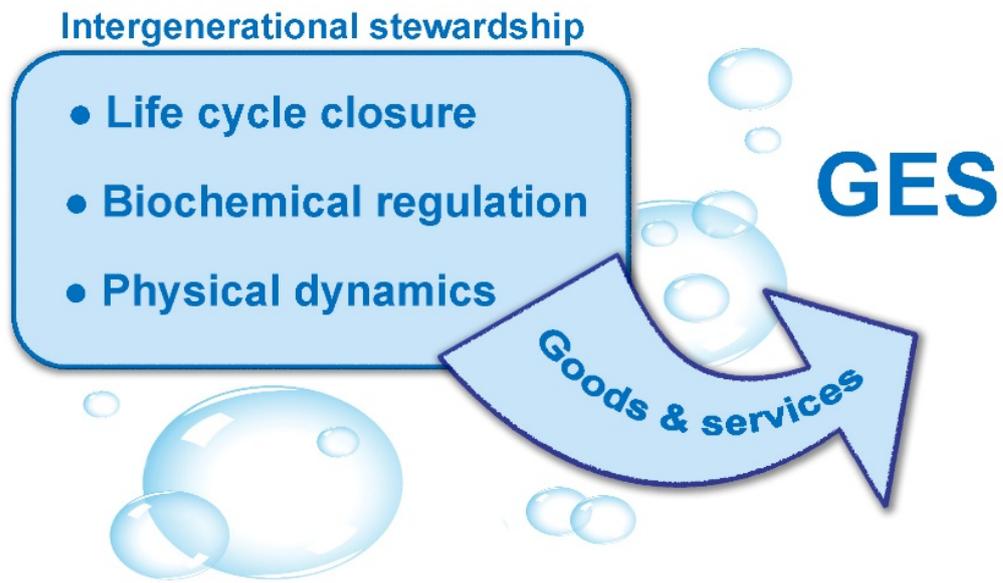
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613 Figure 1. Three key properties of the state of the pelagic system as contributors to GES.