

1 **Proxy-based model to assess the relative contribution of**
2 **ballast water and biofouling’s potential propagule pressure**
3 **and prioritize vessel inspections**

4
5 **SHORT TITLE: Proxy-based model to assess potential**
6 **propagule pressure**

7
8 **Authors:**

9 Lina Ceballos-Osuna^{1*}, Chris Scianni ¹, Maurya Falkner ¹, Raya Nedelcheva ¹, Whitman
10 Miller ²

11
12 ¹ Marine Invasive Species Program, California State Lands Commission, Sacramento,
13 CA, 95825, USA

14 ² Smithsonian Environmental Research Center, Edgewater MD, 21037, USA

15 *Corresponding Author:

16 E-mail: lina.ceballos@slc.ca.gov

17
18 **Abstract:**

19 Commercial shipping is the primary pathway of introduction for aquatic nonindigenous
20 species, mainly through the mechanisms of ballast water and biofouling. In response to

21 this threat, regulatory programs have been established across the globe to regulate and
22 monitor commercial merchant and passenger vessels to assess compliance with local
23 requirements to reduce the likelihood of NIS introductions. Resource limitations often
24 determine the inspection efforts applied by these regulatory agencies to reduce NIS
25 introductions. We present a simple and adaptable model that prioritizes vessel arrivals
26 for inspection using proxies for potential propagule pressure, namely a ships' wetted
27 surface area as a proxy for the likelihood of biofouling-mediated potential propagule
28 pressure and ballast water discharge volume as a proxy for ballast water-mediated
29 potential propagule pressure. We used a California-specific dataset of vessels that
30 arrived at California ports between 2015 and 2018 to test the proposed model and
31 demonstrate how a finite set of inspection resources can be applied to target vessels
32 with the greatest potential propagule pressure. The proposed tool is adaptable by
33 jurisdiction, scalable to different segments of the vessel population, adjustable based on
34 the vector of interest, and versatile because it allows combined or separate analyses of
35 the PPP components. The approach can be adopted in any jurisdiction across the
36 globe, especially jurisdictions without access to, or authority to collect, risk profiling data
37 or direct measurements for all incoming vessel arrivals.

38

39 **Introduction**

40 Commercial shipping is the primary pathway of introduction for aquatic nonindigenous
41 species (NIS) that have established within coastal and estuarine waters globally [1- 4].
42 Commercial vessels transport NIS from one location to another through the uptake and

43 discharge of ballast water and as a result of biofouling associated with the submerged
44 portions of the hull, or the vessel's wetted surface area (WSA) [5- 7].

45

46 Ballast water is taken on board a vessel for trim and stability purposes and to offset the
47 mass imbalance of the vessel during cargo loading and unloading operations. However,
48 when ballast water is taken on board in one location, planktonic communities are
49 inadvertently entrained, along with sediments and benthic biota that may have been
50 suspended in the water column by vessel activity. NIS are released when the ballast
51 water is eventually discharged in another port.

52

53 Biofouling refers to the biota attached to, or associated with, the submerged portions of
54 a vessel (i.e., the WSA) [8]. Biofouling organisms can be sessile or mobile, and range in
55 size from microscopic bacterial biofilms to larger macrofauna. These organisms can
56 either cling to the vessel's wetted surfaces (e.g., biofilms, barnacles, bivalves,
57 bryozoans, algae) or find refuge in internal cavities where they are protected from shear
58 forces at the hull-water interface (e.g., mobile crustaceans, fish). The biofouling
59 communities travel wherever the vessel travels, transporting organisms to new ports
60 and places. These biofouling organisms can be released as adults, larvae, or other
61 propagules, either through physical forces such as the hull rubbing on a pier piling or
62 displacement from an activated bow thruster, or by natural release and spawning.

63

64 In response to the biosecurity threat posed by commercial shipping, jurisdictions across
65 the globe have established (or are in the process of establishing) regulatory programs

66 tasked with reducing the likelihood of NIS introductions via ballast water and biofouling
67 (e.g., California’s Marine Invasive Species Program). Each of these local, state, federal,
68 and international programs have the goal of implementing ballast water or biofouling
69 management requirements/regulations to prevent species introductions in their
70 respective jurisdictions. A critical element of these efforts is a robust outreach and
71 inspection program to assess and improve compliance. Active communication between
72 regulators (e.g., Port State Control) and a vessel’s crew is the most straightforward way
73 of getting location-specific requirements into the hands of the people directly
74 responsible for ballast water and biofouling management actions. Ideally, all arriving
75 vessels would be boarded for outreach and inspection, but resource limitations such as
76 staffing levels and funding often require regulatory agencies to make decisions about
77 which vessels to board and which vessels to bypass. How agencies allocate their
78 limited resources to inspections can vary along a spectrum from arbitrary to deliberate.
79 Using a standardized, data-driven prioritization approach designed for conditions
80 specific to each jurisdiction could greatly improve the decision-making process.

81
82 A variety of risk-based vessel prioritization approaches have been described in recent
83 years [9- 11], typically with the goal of assessing the likelihood of a vessel introducing
84 NIS through ballast water or biofouling. Such approaches and their reliability differ
85 depending on the quantity and quality of input data available (Fig 1). Agencies with
86 detailed and readily accessible data on ballast water and/or biofouling operational and
87 maintenance practices, or with detailed source and recipient port information, are in the
88 strongest position to use intricate risk-based prioritization approaches for boarding and

89 inspecting vessels to assess compliance. However, other approaches based on
90 available proxies can also be useful when detailed vessel operational or environmental
91 matching data are limited or not readily accessible.

92

93 **Fig 1. Conceptual approaches for risk-based prioritization.**

94 Reliability of an approach is dependent on the quantity and quality of available
95 resources. Direct measurement approaches may rely on physical sampling of ballast
96 water, surveying of a vessel's wetted surface area, or similar methods. Risk profiling
97 approaches may rely on environmental matching, vessel operational profile, or other
98 similar methods. Proxy-based approaches may rely on ballast water discharge volumes
99 and wetted surface area as potential propagule pressure parameters, or other
100 appropriate measurements.

101

102 In this paper, we present a proxy-based model that prioritizes vessel arrivals for
103 inspection using fundamental information about ships' WSA and BWD volumes to
104 enable agencies to make more protective data-driven decisions when resources are
105 limiting.

106

107 Despite the low numbers of empirical studies able to prove the direct relationship
108 between vector activity and invasion success [12], the positive relationship between
109 propagule supply (e.g., the release of organisms in ballast water discharged or from the
110 WSA of the vessel) and the likelihood of introductions is well recognized [13, 14]. Based
111 on the assumptions that ballast water and biofouling are managed consistent with local

112 requirements and that the likelihood of introduction increases with increasing propagule
113 supply (also recognizing the uncertainty of translating proxy-based parameters into
114 invasion success, [12, 15]), we present a reliable and simplified alternative model to
115 prioritize vessel arrivals based on potential propagule supply (i.e., potential propagule
116 pressure, PPP) for jurisdictions with limited resources.

117

118 The model is based on PPP proxies, as described in Lo et al. [16], that are readily
119 available to most jurisdictions. The proxies used in this approach are BWD volume as a
120 proxy for ballast water PPP and WSA as a proxy for biofouling PPP. The targeted users
121 for this approach are jurisdictions that do not have access to detailed vessel operational
122 or environmental matching data between source and recipient ports, or that do not have
123 the capacity and time to make direct measurements.

124

125 An additional benefit of this model is that it allows for identification of the relative
126 pressure of each component of the overall PPP, either combined or independently (e.g.,
127 by location, vessel type, and/or vector). From a management perspective, it could be
128 particularly useful when assessing cumulative supply pressure across different ports to
129 guide decisions about where limited resources should be allocated and target those
130 ports that proportionally receive the greatest PPP.

131

132 To test the proposed model, we used a California-specific dataset from vessels that
133 arrived at California ports between 2015 and 2018 (S1 Dataset) and compared with
134 California's current prioritization scheme that allocates available resources to meet the

135 legislative mandate of inspecting 25% of the vessels arriving at California ports to
136 assess compliance with California's ballast water and biofouling management
137 requirements.

138

139 **Methods**

140 **Wetted surface area**

141 The use of WSA as a proxy for PPP relies on the assumption that the likelihood of
142 introduction increases as the area of colonizable surface, including niche areas (e.g.,
143 sea chests, rudders), increases. We used the same vessel dataset as Miller *et al.* [7],
144 where the WSA for 373,833 vessel arrivals at United States ports was calculated using
145 the WSA equation and the coefficients reported by Van Maanen and Van Oossanen
146 [17]. A relationship between WSA and Gross Tonnage (GT) was established via
147 regression analysis (Table 1) for each of the following vessel-types: General Cargo,
148 Passenger, RO-RO (Auto carriers), Bulker, Container, and Tanker. GT was used here,
149 rather than Net Tonnage as used by Miller *et al.* [7], because it is a more readily
150 available metric and to match with an existing California-specific vessel dataset used to
151 trial the model. Unmanned barges (including their respective tug) and articulated tug-
152 barges (ATB) were not included in the regression analysis due to the variability within
153 these groups, but their WSA was calculated directly for each vessel following Van
154 Maanen and Van Oossanen [17] coefficients.

155

156 **Table 1. Calculation of wetted surface area.** Regression models for specific vessel
 157 types used to estimate the wetted surface area (WSA) from gross tonnage (GT). Niche
 158 proportion [18] represents the fraction of a vessel's WSA that is accounted for by niche
 159 areas (e.g., sea chests, rudders).

	Regression Equation*	n**	r ²	Niche Proportion (N _p)
	$WSA = m(GT)^b$			
General	WSA=20.02(GT) ^{0.5728}	4172	0.907	0.09
Passenger	WSA =5.46 (GT) ^{0.6951}	2659	0.996	0.27
RO-RO	WSA =25.04 (GT) ^{0.5309}	1929	0.901	0.09
Bulker	WSA =15 (GT) ^{0.6294}	8804	0.988	0.07
Container	WSA =10.66 (GT) ^{0.6501}	3065	0.984	0.09
Tanker	WSA =17.57 (GT) ^{0.6105}	8292	0.988	0.08
ATB	<i>Calculated per vessel</i>			0.033 (barge) + 0.25 (tug)
Unmanned barges + Tug	<i>Calculated per vessel</i>			0.033 (barge) + 0.25 (tug)

160 *Regressions are based on first order of polynomial relationships. *m*= slope, *b*= intercept

161 ** Number of vessels used in the regression model

162

163 In addition to creating regression equations to estimate WSA using GT, we also applied
 164 the estimated proportion of a vessel's WSA accounted for by niche areas, as reported
 165 by Moser *et al.* [18] for each vessel type (Table 1). Niche proportions for ATBs and
 166 unmanned barges and their tugs were also estimated using specific niche area values
 167 reported by Moser *et al.* [18] and adding all niche areas expected for typical ATBs,

168 unmanned barges, and tugs (K. Reynolds, *pers comm*, 2020). These two metrics,
169 estimated WSA and niche proportion (N_p), can be used to calculate total WSA (TWSA)
170 using equation 1:

$$171$$
$$172 \quad TWSA = WSA (1 + N_p)$$

173 (1)

174 (see supplementary material for the step-by-step process (S2), the R script (S3), and
175 the data frame template (S4) to calculate TWSA)

176

177 **Ballast water discharge volume**

178 The use of BWD volume as a proxy for PPP relies on the assumptions that propagule
179 supply increases as BWD volume increases [16] and that management is consistently
180 applied in compliance with local requirements. We recognize the limitations that this
181 assumption may have when trying to predict invasion success [12, 14, 15], however, our
182 intent is not to measure probability of species establishment. Instead, our intention is to
183 rely on the positive relationship between BWD volume and propagule supply [12, 13] to
184 prioritize limited resources with the goal of assessing vessel compliance to reduce the
185 likelihood of introduction using readily available information.

186

187 BWD volume data are available to most jurisdictions in the form of ballast management
188 reporting for each vessel arrival. In the U.S., the National Ballast Information
189 Clearinghouse (NBIC) provides vetted BWD and management information for all U.S.
190 arrivals to State and Territorial agencies via an online public data portal

191 (<https://nbic.si.edu/>). Other factors like water origin, environmental matching between
192 source and recipient waters, and management strategy also influence NIS introductions.
193 However, this information is not readily available in most cases, and can be complex
194 and challenging to analyze. As resources increase, additional factors can be included to
195 improve reliability of the analysis (Fig 1).

196

197 **Potential propagule pressure (PPP): Combined influence of** 198 **ballast water discharge and biofouling**

199 We describe a proxy-based model to calculate PPP scores using TWSA and BWD
200 volume to prioritize vessel arrivals for inspection, targeting vessels that are more likely
201 to introduce NIS at a specific location, assuming that all vessels have managed
202 consistent with local requirements. This approach can also help identify the ports that
203 receive more PPP due to the frequency of arrivals.

204

205 For jurisdictions that have minimal resources to accomplish this, individual vessel PPP
206 scoring will allow a simple prioritization scheme specifically designed for their own
207 population of vessels. The process requires a representative number of historical
208 arrivals (e.g., one month, one year, multiple years, referred to as “Population data” in
209 S4) to identify the maximum individual vessel value of both TWSA (i.e., $maxTWSA_{ind}$),
210 calculated using the regression equations in Table 1 for each vessel type and Equation
211 1, and BWD (i.e., $maxBWD_{ind}$) from vessel reported data. A PPP score for each new

212 vessel arrival can then be calculated using the estimated TWSA (i.e., $TWSA_{ind}$) and the
213 BWD volume (i.e., BWD_{ind}) specific for that arrival as the input values in Equation 2.

214

$$215 \quad PPP \text{ Score}_{ind} = \left(\frac{BWD_{ind}}{\max BWD_{ind}} \right) + \left(\frac{TWSA_{ind}}{\max TWSA_{ind}} \right)$$

216 (2)

217 (see the R script provided in S3 to calculate PPP score)

218 Each vessel arrival will have an individual vessel PPP score that can be used to sort
219 and prioritize arrivals relative to the other vessels in the population.

220

221 **PPP scores – Component parts and cumulative scores**

222 The relative contribution of each PPP component (i.e., ballast water and biofouling) can
223 be calculated separately using either of the parenthetical components on the right-hand
224 side of Equation 2. The overall influence of either ballast water or biofouling on PPP
225 over time (i.e., incorporating frequency of arrival) or geographical region (i.e.,
226 incorporating all arrivals for specific ports) can then be added appropriately. Similarly,
227 the total PPP score can be added cumulatively across a region or over certain time
228 periods to compare between ports or over time. Likewise, cumulative scores can be
229 assessed by vessel type or a myriad of other categories.

230

231 Because conducting management to meet local requirements is considered the first
232 layer to reduce the likelihood of NIS introductions, the proposed approach assumes that
233 each jurisdiction already has voluntary or mandatory management requirements for
234 both ballast water (e.g., ballast water exchange or ballast water treatment systems to

235 meet discharge performance standards) and biofouling (e.g., antifouling coatings) in
236 place. All vessels evaluated under the PPP proxy-based prioritization scheme are
237 assumed to be compliant with local management requirements; if they are not, they
238 should be automatically categorized as high priority for inspection independent of the
239 estimated PPP.

240

241 **Model trial using California data**

242 We used data from four years of arrivals at California ports (2015-2018, S1 dataset) to
243 trial the proposed model (For clarification, this proposed approach is not the current
244 vessel inspection prioritization scheme used in California). BWD volume data were
245 obtained from Ballast Water Management Reports submitted to the California State
246 Lands Commission and vessel arrival data were obtained from the Marine Exchanges of
247 Southern California and the San Francisco Bay Region.

248

249 **PPP scoring by individual vessel - California**

250 Using the TWSA and BWD volume data for each arriving vessel during the first three
251 years of our dataset (2015-2017), we identified the maximum values for BWD (i.e.,
252 $\max BWD_{ind}$) and TWSA (i.e., $\max TWSA_{ind}$) for future use in Equation 2. We then used the
253 TWSA and BWD volume data for each arriving vessel during the final year of our
254 dataset (2018) in Equation 2 with the maximum values identified earlier. These
255 calculations produced individual vessel PPP scores for each arrival during 2018 to

256 evaluate how vessels would be prioritized daily according to each arriving vessel's
257 relative PPP.

258

259 Currently, California has a mandate to inspect at least 25% of all arrivals, corresponding
260 to an average of 6 vessels inspected per day. Using this number as the target for high
261 priority arrivals to inspect (and representing the resources available for the trial), we
262 identified the 6 greatest PPP scores per day and analyzed how each vessel type would
263 be represented under the arrivals prioritized for inspection.

264

265 **Cumulative PPP scores (by location and vessel type)**

266 To demonstrate how cumulative PPP scores can be used to inform the distribution of
267 resources, we added all 2018 PPP scores by vessel type and by port.

268

269 **Results**

270 **Model results using California data**

271 **PPP scores by individual vessel in California**

272 Each component of the individual vessel PPP score (i.e., the two parenthetical values
273 on the right-hand side of Equation 2) is expected to produce unitless values within the
274 range between 0 and 1. Therefore, the combined PPP score_{ind} for each vessel is
275 expected to range between 0 and 2. California's 2018 dataset produced individual
276 vessel PPP scores ranging from 0.1 to 1.5. Passenger (0.60 ± 0.005 SE) and Container
277 (0.55 ± 0.003 SE) vessels accounted for the greatest mean PPP scores, whereas

278 General cargo vessels (0.22 ± 0.007 SE) and Unmanned Barges (0.11 ± 0.001 SE)
279 exhibited the lowest mean values (Fig 2).

280

281 **Fig 2. Frequency of PPP scores by vessel type.**

282 PPP score calculated for each vessel arriving at California ports during 2018 using the
283 proposed proxy-based method to assess the combined effect of both biofouling and
284 ballast water and the likelihood of species introductions associated to each arrival. Red
285 line and numbers represent the mean PPP score for each vessel type. The PPP score
286 ranges from 0 (lowest perceived likelihood of invasion) to 2 (highest perceived likelihood
287 of invasion).

288

289 When evaluating how the PPP score could have been used to prioritize inspections on a
290 daily basis over the entire set of 2018 arrivals (using the legislative mandate to inspect
291 25% of arrivals as a resources threshold to categorize high priorities), California would
292 have prioritized container (57.2% of all high priorities), tank (20.9%), bulk (11.0%) and
293 passenger (10.0%) vessels (Table 2). These vessel types presented the highest PPP
294 scores daily, reflecting the large volumes of ballast water frequently discharged by these
295 vessels in combination with their large TWSA values.

296

297 When comparing the trial results of the proposed model with the actual California vessel
298 inspection prioritization method used during 2018 (based on ballast water-related risk,
299 outreach opportunities, and compliance history), the proposed prioritization scheme
300 would have resulted in more container and passenger vessels categorized as high

301 priority for inspection and fewer (including zero in some cases) bulk, tank, general, ATB,
302 RO-RO, and unmanned barges (Table 2). These differences were expected because
303 the approach used in California in 2018 relied on additional factors and resources,
304 allowing a more reliable and refined assessment that resulted in a broader distribution
305 of inspections across vessel types (Fig. 1)

306

307 In the trial, the proposed prioritization scheme assumes that the greatest 6 individual
308 PPP scores per day will be prioritized as high priority for inspection, regardless of
309 whether the same vessel makes repeated visits. Other jurisdictions that use this
310 approach should decide how often to inspect vessels that frequently arrive and maintain
311 a good compliance record. For example, we reexamined our dataset to only include the
312 first high priority arrival for each vessel during 2018. All other arrivals from the same
313 vessel were removed from prioritization to avoid repeatedly inspecting the same
314 vessels. This resulted in a severely reduced number of unique container, tank, and
315 passenger vessels categorized as a high priority (Table 2). Reducing the number of
316 high priorities in these groups, would release additional resources that could be used to
317 include other components in the prioritization scheme (e.g., outreach).

318

319 **Table 2. Comparison of prioritization schemes:** Vessels identified as high priority
320 using the proposed PPP-based prioritization model (Projected) and actual vessels
321 prioritized as high priority for inspection during 2018 using the existing California
322 prioritizing scheme that relies on more resources and allows a more refined assessment
323 as described in Fig 1.

	High priorities based on California's prioritization in 2018		Projected high priorities (25% of total arrivals) based on PPP score	
	Number of arrivals (unique vessels)	% of all high priorities	Number of arrivals (unique vessels)	% of all high priorities
ATB	24 (6)	1.8	0	0*
Barge+Tug	39 (6)	2.9	0	0*
Bulk	472 (348)	34.7	240 (123)	11.0*
Container	130 (106)	9.6	1253 (271)	57.2
General	85 (76)	6.3	1 (1)	0*
Passenger	37 (20)	2.7	238 (21)	10.9
RO-RO	123 (92)	9.0	0	0*
Tank	450 (285)	33.1	458 (152)	20.9*
Total	1360 (939)		2190 (568)	

324 *Indicates the vessel types that would have resulted in a decrease in their relative proportion of the
 325 overall high priorities when using the proposed model instead of the actual approach used.

326

327 **Cumulative PPP scores (by location or vessel type)**

328 Cumulative PPP scores calculated during the trial showed that the Los Angeles/Long
 329 Beach port complex and the Port of Oakland received the greatest PPP (Fig 3),
 330 primarily because of the frequency of containers and tank vessels that arrive at these
 331 ports.

332

333 **Fig 3. Cumulative PPP score observed in California during 2018.**

334 Bars represent the contribution of total wetted surface area (TWSA; blue) and ballast
 335 water discharge (BWD; green) to the combined cumulative score at all locations
 336 (horizontal) and all the different vessel types (vertical). Bubble size represents the
 337 cumulative score ranging from 1116.8 (largest bubble) to <1 (smallest bubble).

338

339 Across all ports and vessel types, TWSA outweighed BWD as a factor in the overall
340 PPP scores, with BWD contributing to the scores primarily for tank and bulk vessels (Fig
341 3), reflecting the fact that only approximately 15% of all arrivals in California discharge
342 ballast water [19].

343

344 **Discussion**

345 The proxy-based model described here is a data-driven tool to prioritize ballast water
346 and biofouling inspections of commercial merchant and passenger vessels. The
347 approach is:

- 348 • Adaptable because it can be applied within any jurisdiction and relies on the
349 specific characteristics of that jurisdiction's vessel population
- 350 • Scalable because it can be adjusted to capture different segments of the vessel
351 population (e.g., 10%, 15%, 25% of the arriving vessels)
- 352 • Adjustable because it can be altered to focus specifically on either ballast water
353 or biofouling instead of taking a combined approach
- 354 • Versatile because scores can be added within groups (e.g., vessel types,
355 different ports) or over time periods to differentiate the relative PPP within these
356 groupings
- 357 • Simple because it can be set up in minutes and provide data-driven prioritization
358 with only two readily available input values per arriving vessel

359

360 In the described form, this model is ideal for programs that regulate the management of
361 both ballast water and biofouling as it considers the combined effect of proxies for both.

362 However, it can be altered into separate or standalone prioritization approaches for
363 programs that are primarily interested in only ballast water (e.g., some U.S. states) or
364 biofouling (e.g., GloFouling Partnerships member countries). The approach also
365 provides jurisdictions with a tool to determine the most efficient use of limited inspection
366 resources on a daily basis or after a retrospective analysis of the patterns. Daily arrivals
367 can be prioritized to ensure the inspection of vessels most likely to introduce NIS
368 (assuming compliance with local management requirements) when additional data are
369 unavailable. More efficient geographic allocation of inspection resources across multiple
370 ports or regions can also be determined after analyzing the patterns of cumulative
371 proxy-based PPP in these areas.

372

373 This proxy-based model relies on knowing each arriving vessel's BWD volume and
374 gross tonnage, both readily available to most jurisdictions. Most regulatory programs
375 require submission of ballast water source, management, and discharge activity. In the
376 U.S., vessels are required to submit the Ballast Water Management Report (BWMR) to
377 the NBIC for every arrival at a U.S. port. Under the 2018 Vessel Incidental Discharge
378 Act, the NBIC now makes all electronically submitted BWMRs (approx. 99.5% of
379 submissions) available to state programs immediately upon receipt at NBIC, prior to
380 arrival in most cases.

381

382 Vessel gross tonnage data are accessible at many free vessel information websites
383 (e.g., vesselfinder.com) and can be used with the regression equations presented here,
384 specific to each vessel type (see Table 1), to estimate WSA. The inclusion of niche area

385 WSA in TWSA provides a more realistic proxy for biofouling PPP, as niche areas are
386 known hotspots for biofouling accumulation [18, 20, 21].

387

388 Our trial of the proxy-based model with a dataset of California vessel arrivals
389 demonstrates the utility of the method. To meet California's legislative mandate to
390 inspect at least 25% of arriving vessels, the trial using the proxy-based prioritization
391 scheme focused inspections on container, tank, passenger, and bulk vessels. All of
392 these vessels either frequently discharge ballast water in California and/or have large
393 TWSA. When compared to the vessels actually categorized as a high priority in
394 California during 2018 (based on outreach opportunities, compliance history, and BWD),
395 the proposed model de-emphasized inspection of bulk and tank vessels and excluded
396 ATBs, barges, auto carriers, and general cargo vessels from the high priorities. Even
397 though compliance history was not included in this trial, it is important to emphasize that
398 California's prioritization process considers compliance with state requirements a critical
399 part of the risk assessment process, as well as other factors like outreach.

400

401 The trial also verified the usefulness of using cumulative PPP scores for different ports
402 to demonstrate how inspection resources can be allocated to those areas exposed to
403 the greatest likelihood of introduction. This is especially useful for jurisdictions with ports
404 separated geographically where the same set of inspectors cannot cover all ports.

405

406 The proxy-based model presented here is a baseline method that, in the absence of
407 more detailed data, allows the detection of those vessels that may have the greatest

408 likelihood of introducing NIS. The model assumes that management of both vectors has
409 been performed according to the local requirements as the first layer of protection
410 against NIS introductions. In addition, this approach does not consider opportunities for
411 outreach as part of the prioritization process nor does it highlight the value of inspecting
412 lower-scoring arrivals (e.g., for violation follow-up, or distribution of information to new
413 vessels). These are important additional considerations that should be included in any
414 prioritization scheme when possible. The flexibility of this method allows each
415 jurisdiction to define outreach, compliance, or frequency rules (e.g., target new vessels,
416 decrease inspection frequency in response to compliance history, suspicion of potential
417 violations) that can be incorporated into the prioritization approach to reach a more
418 comprehensive distribution of the inspection efforts. The approach also provides the
419 opportunity for each jurisdiction to focus more attention (efforts) on ballast water or
420 biofouling, depending on their priorities.

421

422 **Conclusion**

423 The proxy-based prioritization model presented and trialed here is an adaptable,
424 scalable, adjustable, versatile, and simple tool to rapidly identify a subset of vessels for
425 ballast water and/or biofouling inspections. The approach can be adopted globally, and
426 is especially useful for jurisdictions without access to, or authority to collect, risk profiling
427 data or direct measurements for all incoming arrivals (Fig 1).

428

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436

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522 **Supporting Information**

523 **S1 Dataset.** California vessels arrivals from 2015 to 2018

524 **S2 Flowchart.** Step-by-step process to use the proposed approach.

525 **S3 Script.** R Script to calculate TWSA and PPP score using the proposed approach.

526 **S4 Data frame template.** Excel data frame template to input "Population Data" and
527 "Arrivals data".

528 **S5 Script.** R Script used to generate the figures for a visual analysis of the data.

529

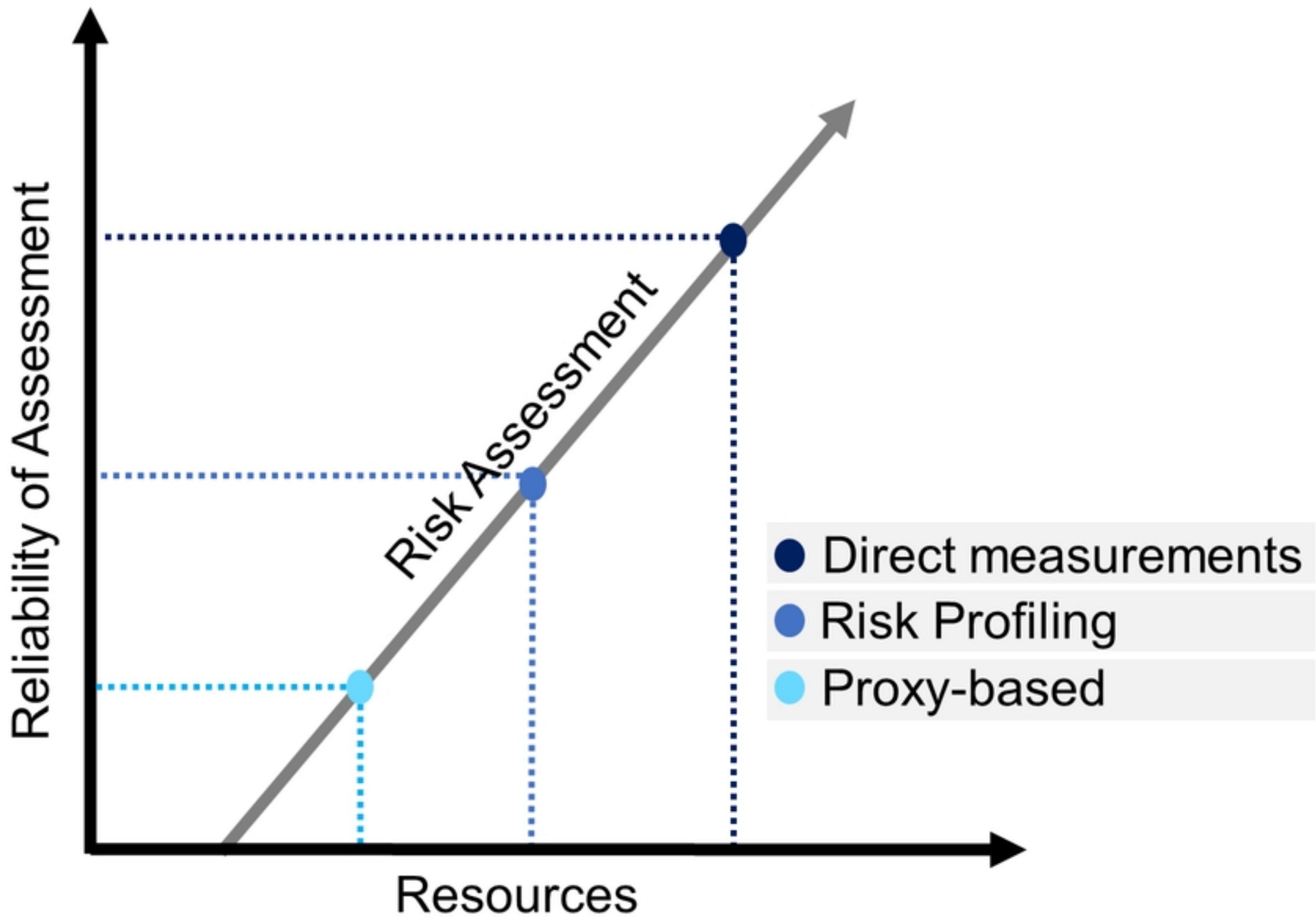


Figure 1

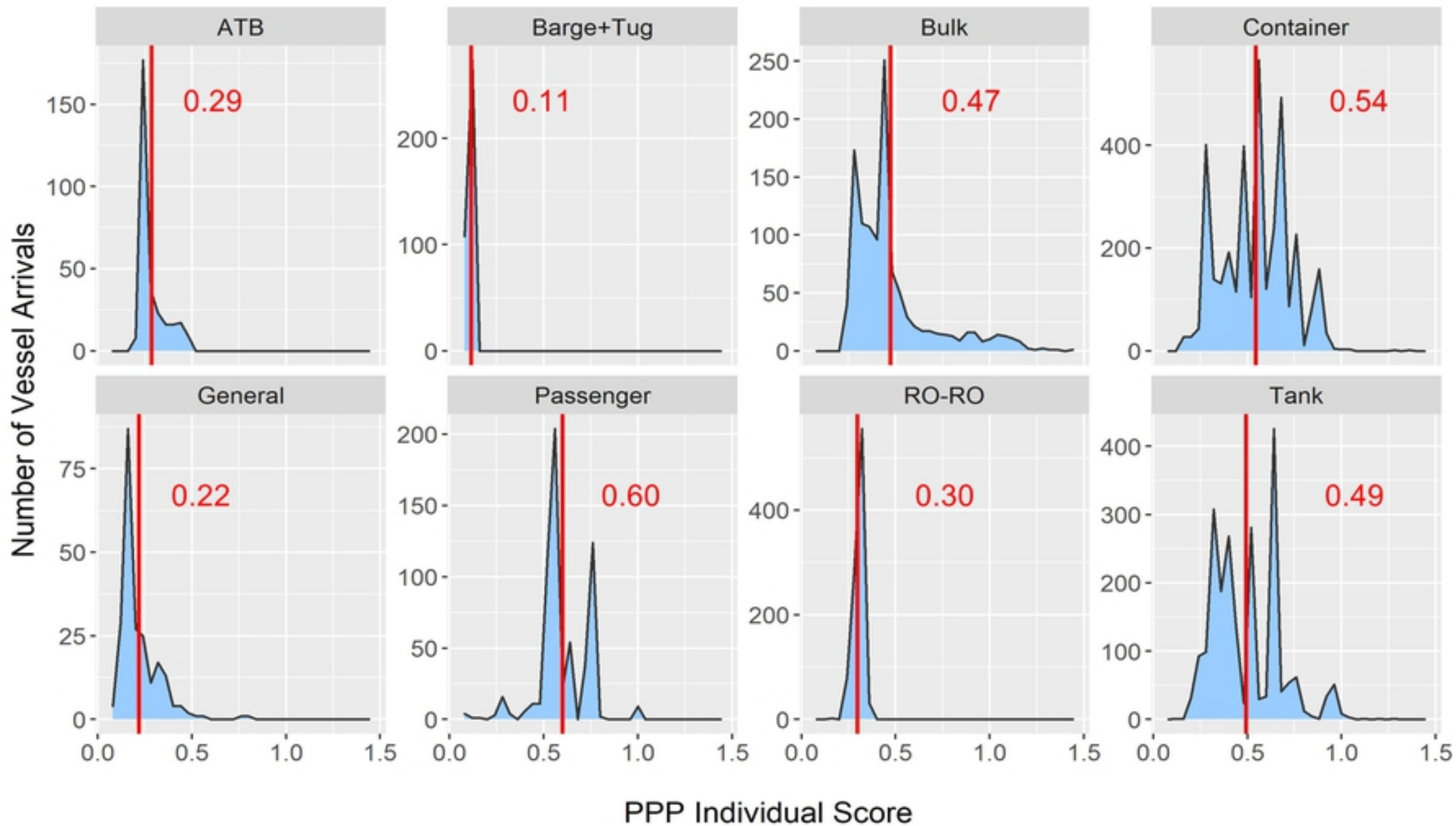


Figure 2

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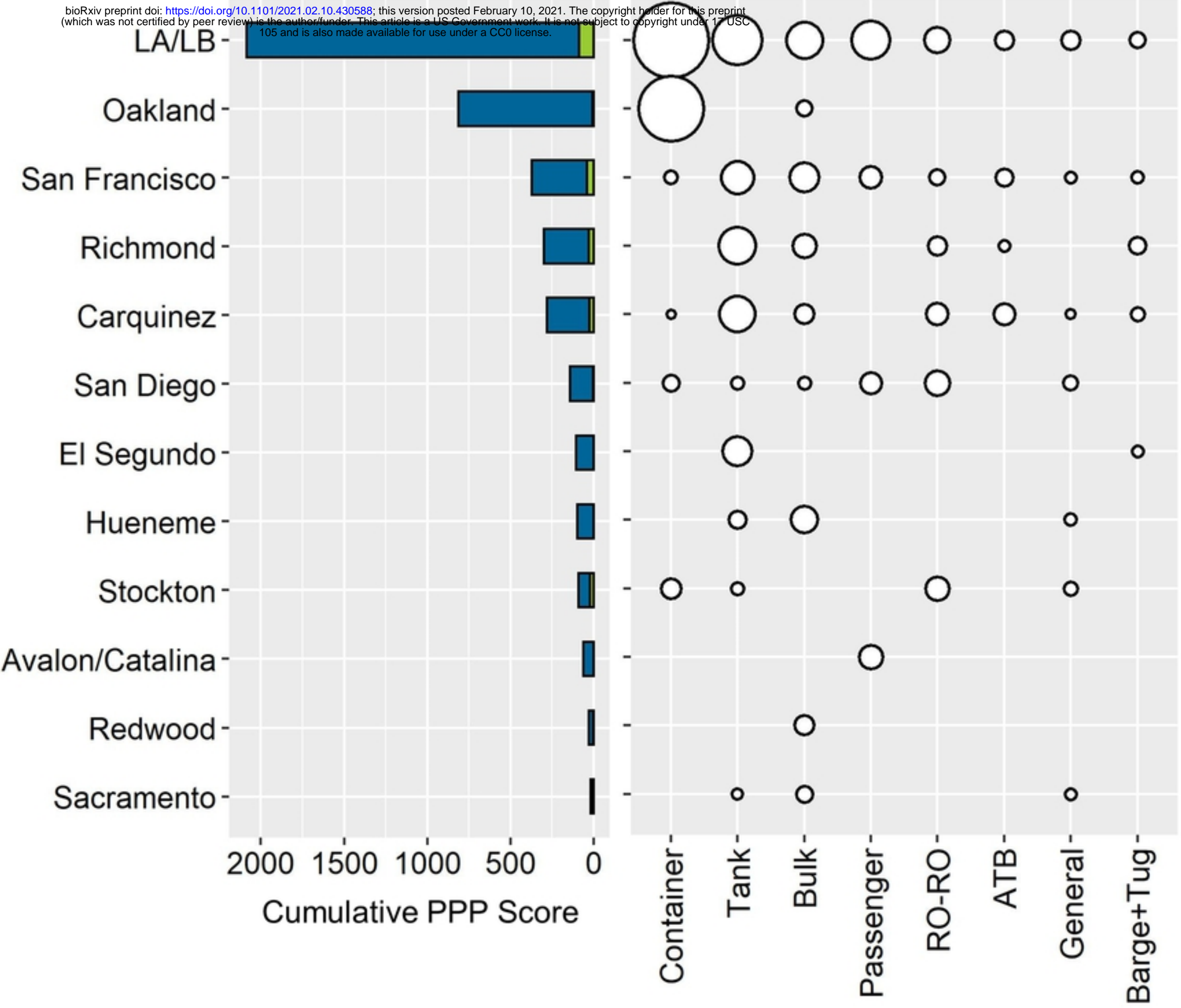
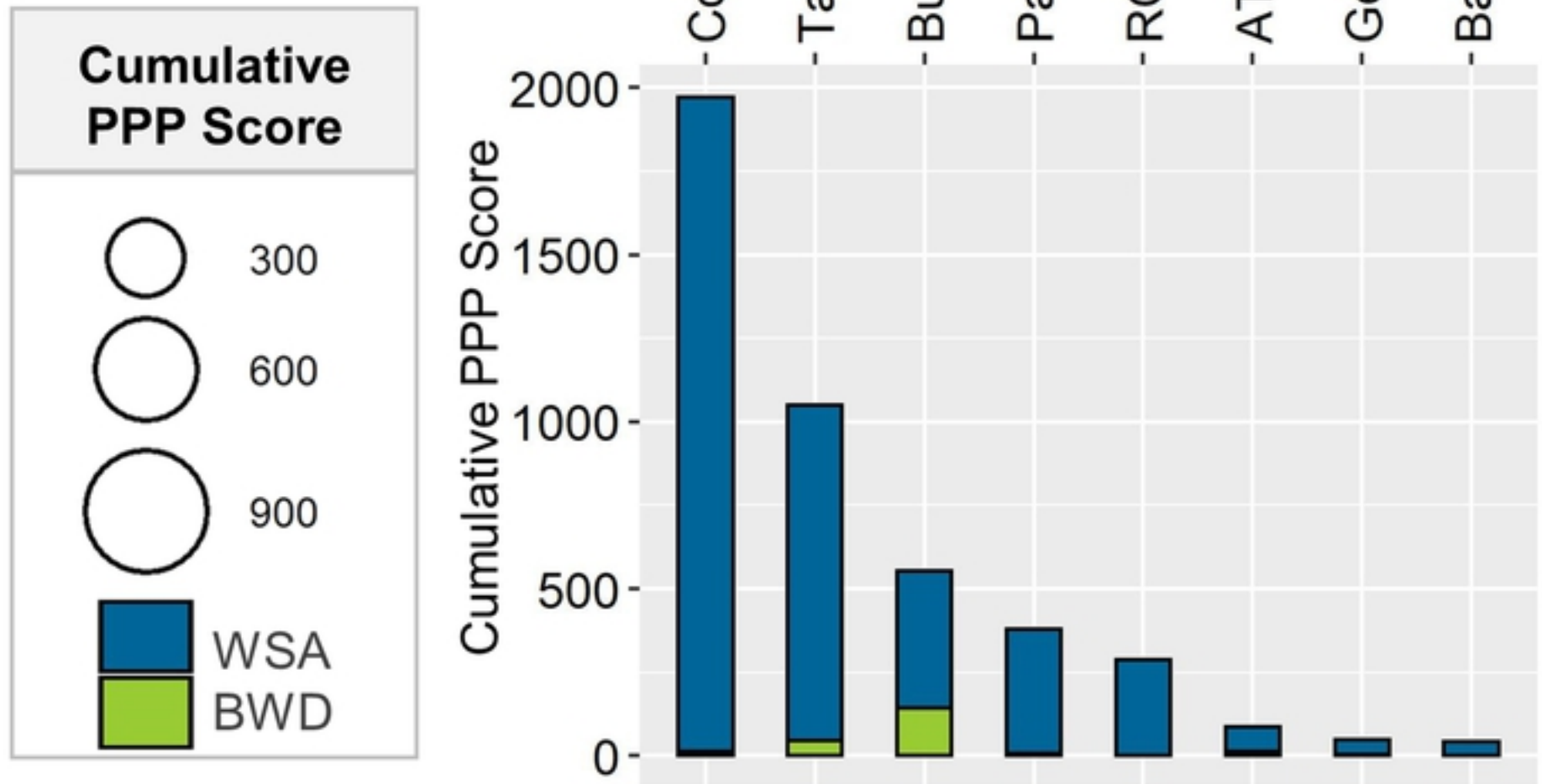


Figure 3