

# Casal2 User Manual for Age-Based Models

Casal2 Development Team



NIWA Technical Report 139  
ISSN 1174-2631  
2022

User manual for age-based models with Casal2 v22.09 (2022-09-09)



Citation: Casal2 Development Team (2022). Casal2 user manual for age-based models, v22.09 (2022-09-09). National Institute of Water & Atmospheric Research Ltd. *NIWA Technical Report 139*. 260 p.



## Contents

<b>1</b>	<b>Introduction</b>	<b>1</b>
1.1	About Casal2 . . . . .	1
1.2	Citing Casal2 . . . . .	1
1.3	Casal2 Contributors . . . . .	1
1.4	Software license . . . . .	2
1.5	Where to get Casal2 . . . . .	2
1.6	System requirements . . . . .	2
1.7	Necessary files . . . . .	2
1.8	Getting help . . . . .	3
1.9	Technical details . . . . .	3
<b>2</b>	<b>Model overview</b>	<b>5</b>
<b>3</b>	<b>Running Casal2</b>	<b>7</b>
3.1	Using Casal2 . . . . .	7
3.2	Redirecting standard output . . . . .	7
3.3	Command line arguments . . . . .	8
3.4	Constructing the Casal2 input configuration files . . . . .	10
3.4.1	Commands . . . . .	10
3.4.2	Subcommands . . . . .	11
3.4.3	The command block format . . . . .	11
3.4.4	Commenting out lines . . . . .	12
3.4.5	How to reference parameters . . . . .	12
3.5	Reading a command block . . . . .	13
3.6	Single-stepping Casal2 . . . . .	14
3.7	Logging and Verifying Models . . . . .	15
3.8	Validating models across versions . . . . .	15
3.9	Casal2 exit status values . . . . .	15
<b>4</b>	<b>Partition &amp; Categories</b>	<b>17</b>
4.1	Specifying the partition using categories . . . . .	17
4.2	Shorthand syntax for categories . . . . .	18
4.3	Referencing vector and map parameters . . . . .	20
<b>5</b>	<b>The population section: model structure and the population dynamics</b>	<b>25</b>
5.1	Introduction . . . . .	25
5.2	Model scope and structure . . . . .	25
5.2.1	The implicit annual cycle . . . . .	26
5.2.2	The initialisation phases . . . . .	28
5.2.3	Non-equilibrium initialisation phases . . . . .	32
5.3	Population processes . . . . .	32
5.3.1	Recruitment . . . . .	32

5.3.2	Ageing . . . . .	37
5.3.3	Mortality . . . . .	38
5.3.4	Transition By Category . . . . .	52
5.3.5	Tag Release events . . . . .	52
5.3.6	Tag loss . . . . .	54
5.4	Derived quantities . . . . .	55
5.5	Growth . . . . .	56
5.6	Age-length relationship . . . . .	56
5.6.1	The ‘none’ relationship . . . . .	56
5.6.2	The von Bertalanffy relationship . . . . .	56
5.6.3	The Schnute relationship . . . . .	56
5.6.4	Data: matrix of size at age relationship . . . . .	57
5.6.5	Length distribution at age . . . . .	57
5.7	Length-weight relationship . . . . .	59
5.7.1	The ‘none’ relationship . . . . .	59
5.7.2	Basic: the standard length-weight relationship . . . . .	59
5.8	Age-weight relationship . . . . .	59
5.9	Weightless model . . . . .	60
5.10	Maturity, in models without maturing in the partition . . . . .	60
5.11	Selectivities . . . . .	60
5.11.1	Constant . . . . .	61
5.11.2	Knife-edge . . . . .	62
5.11.3	All-values . . . . .	62
5.11.4	All-values-bounded . . . . .	62
5.11.5	Increasing . . . . .	62
5.11.6	Logistic . . . . .	63
5.11.7	Inverse logistic . . . . .	63
5.11.8	Logistic producing . . . . .	63
5.11.9	Double-normal . . . . .	64
5.11.10	Double-normal-plateau . . . . .	64
5.11.11	Double-normal-stocksynthesis . . . . .	64
5.11.12	Double-exponential . . . . .	65
5.11.13	Compound-Left . . . . .	65
5.11.14	Compound-Right . . . . .	66
5.11.15	Compound-All . . . . .	66
5.11.16	Compound-Middle . . . . .	66
5.12	Time-varying Parameter . . . . .	67
5.12.1	Constant (year blocks) . . . . .	68
5.12.2	Random Walk . . . . .	68
5.12.3	Annual shift . . . . .	69
5.12.4	Exogenous . . . . .	69
5.13	Equation Parser . . . . .	70

5.14	Specifying projections . . . . .	71
5.14.1	Projection methods . . . . .	72
<b>6</b>	<b>The estimation section: estimation methods and parameters</b>	<b>75</b>
6.1	Role of the estimation section . . . . .	75
6.2	The objective function . . . . .	75
6.3	Specifying the parameters to be estimated . . . . .	75
6.4	Point estimation . . . . .	76
6.4.1	The numerical differences minimiser . . . . .	76
6.4.2	The DeltaDiff numerical differences minimiser . . . . .	77
6.4.3	The differential evolution minimiser . . . . .	77
6.4.4	The BetaDiff minimiser . . . . .	78
6.4.5	The ADOL-C minimiser . . . . .	78
6.5	Posterior profiles . . . . .	78
6.6	Bayesian estimation . . . . .	79
6.7	Priors . . . . .	82
6.7.1	Uniform . . . . .	82
6.7.2	Uniform-log . . . . .	82
6.7.3	Normal . . . . .	82
6.7.4	Normal with standard deviation . . . . .	83
6.7.5	Lognormal . . . . .	83
6.7.6	Normal-log . . . . .	83
6.7.7	Beta . . . . .	83
6.8	Penalties . . . . .	84
6.9	Additional Priors . . . . .	85
6.10	Parameter Transformations . . . . .	86
6.10.1	Transform with Jacobian . . . . .	87
6.10.2	Transformation types . . . . .	87
<b>7</b>	<b>The observation section: observations and their likelihoods</b>	<b>93</b>
7.1	Observations . . . . .	93
7.1.1	Mortality block associated observations . . . . .	93
7.1.2	General process observations . . . . .	103
7.1.3	Specific process observations . . . . .	103
7.2	Likelihoods . . . . .	107
7.2.1	Likelihoods for composition observations . . . . .	107
7.2.2	Likelihoods for abundance and biomass observations . . . . .	109
7.2.3	Likelihoods for tag recapture by age and length observations . . . . .	111
7.2.4	Likelihoods for proportions-by-category observations . . . . .	111
7.3	Process error . . . . .	112
7.4	Catchability $q$ parameters . . . . .	112
7.4.1	Free $q$ . . . . .	113
7.4.2	Nuisance $q$ . . . . .	113

7.5	Ageing error . . . . .	115
7.6	Simulating observations . . . . .	115
7.7	Pseudo-observations . . . . .	116
7.8	Residuals . . . . .	117
<b>8</b>	<b>The report section: output and reports</b>	<b>119</b>
8.1	Report command block format . . . . .	119
8.2	Report output format . . . . .	119
8.3	Print default reports . . . . .	120
8.4	Print the partition at the end of an initialisation . . . . .	120
8.5	Print the partition . . . . .	120
8.6	Print the partition biomass . . . . .	120
8.7	Print the age length and length weight values . . . . .	120
8.8	Print the ageing error misclassification matrix . . . . .	121
8.9	Print a parameter Transformations . . . . .	121
8.10	Print a process summary . . . . .	121
8.11	Print derived quantities . . . . .	121
8.12	Print the estimated parameters . . . . .	121
8.13	Print the MPD (the free parameters and covariance matrix) . . . . .	121
8.14	Print the estimate values (the free parameters in the free parameter file format) . . . . .	121
8.15	Print the objective function . . . . .	121
8.16	Print the covariance matrix . . . . .	121
8.17	Print the correlation matrix . . . . .	122
8.18	Print the Hessian matrix . . . . .	122
8.19	Print the catchability values . . . . .	122
8.20	Print observations, fits, and residuals . . . . .	122
8.21	Print simulated observations . . . . .	122
8.22	Print selectivities . . . . .	122
8.23	Print selectivities by year . . . . .	122
8.24	Print the random number seed . . . . .	123
8.25	Print the results of an MCMC . . . . .	123
8.26	Print the MCMC samples as they are calculated . . . . .	123
8.27	Print the MCMC objective function values as they are calculated . . . . .	123
8.28	Print time varying parameters . . . . .	123
8.29	Tabular reporting format . . . . .	123
<b>9</b>	<b>Population command and subcommand syntax</b>	<b>125</b>
9.1	Model structure . . . . .	125
9.1.1	Model of type Age . . . . .	125
9.2	Initialisation . . . . .	126
9.2.1	Initialisation Phase of type Iterative . . . . .	127
9.2.2	Initialisation Phase of type Cinitial . . . . .	127
9.2.3	Initialisation Phase of type Derived . . . . .	128



9.2.4	Initialisation Phase of type State_Category_By_Age . . . . .	128
9.3	Categories . . . . .	128
9.4	Time-steps . . . . .	129
9.5	Processes . . . . .	129
9.5.1	Process of type Ageing . . . . .	129
9.5.2	Process of type Load Partition . . . . .	130
9.5.3	Process of type Maturation . . . . .	130
9.5.4	Process of type Mortality Constant Rate . . . . .	130
9.5.5	Process of type Mortality Event . . . . .	131
9.5.6	Process of type Mortality Event Biomass . . . . .	131
9.5.7	Process of type Mortality Holling Rate . . . . .	132
9.5.8	Process of type Mortality Initialisation Event . . . . .	134
9.5.9	Process of type Mortality Initialisation Event Biomass . . . . .	134
9.5.10	Process of type Mortality Initialisation Baranov . . . . .	135
9.5.11	Process of type Mortality Hybrid . . . . .	135
9.5.12	Process of type Mortality Instantaneous . . . . .	137
9.5.13	Process of type Mortality Instantaneous Retained . . . . .	138
9.5.14	Process of type Mortality Prey Suitability . . . . .	138
9.5.15	Process of type null process . . . . .	139
9.5.16	Process of type Recruitment Beverton Holt . . . . .	140
9.5.17	Process of type Recruitment Beverton Holt With Deviations . . . . .	141
9.5.18	Process of type Recruitment Constant . . . . .	143
9.5.19	Process of type Survival Constant Rate . . . . .	143
9.5.20	Process of type Tag By Age . . . . .	144
9.5.21	Process of type Tag By Length . . . . .	145
9.5.22	Process of type Tag Loss . . . . .	147
9.5.23	Process of type Transition Category . . . . .	147
9.5.24	Process of type Transition Category By Age . . . . .	148
9.6	Time varying parameters . . . . .	149
9.6.1	Time Varying of type Annual Shift . . . . .	149
9.6.2	Time Varying of type Constant . . . . .	150
9.6.3	Time Varying of type Exogenous . . . . .	150
9.6.4	Time Varying of type Linear . . . . .	150
9.6.5	Time Varying of type Random Draw . . . . .	151
9.6.6	Time Varying of type Random Walk . . . . .	151
9.7	Derived quantities . . . . .	152
9.7.1	Derived Quantity of type Abundance . . . . .	153
9.7.2	Derived Quantity of type Biomass . . . . .	153
9.8	Age-length relationship . . . . .	153
9.8.1	Age Length of type Data . . . . .	154
9.8.2	Age Length of type None . . . . .	155
9.8.3	Age.Length of type Schnute . . . . .	155

9.8.4	Age Length of type von Bertalanffy . . . . .	155
9.9	Age-weight . . . . .	156
9.9.1	Age Weight of type Data . . . . .	156
9.9.2	Age Weight of type None . . . . .	157
9.10	Length-weight . . . . .	157
9.10.1	Length Weight of type Basic . . . . .	157
9.10.2	Length Weight of type None . . . . .	157
9.11	Selectivities . . . . .	157
9.11.1	Selectivity of type All Values . . . . .	158
9.11.2	Selectivity of type All Values Bounded . . . . .	158
9.11.3	Selectivity of type Constant . . . . .	159
9.11.4	Selectivity of type Double Exponential . . . . .	159
9.11.5	Selectivity of type Double Normal . . . . .	159
9.11.6	Selectivity of type Double Normal Plateau . . . . .	160
9.11.7	Selectivity of type Double Normal Stock Synthesis . . . . .	161
9.11.8	Selectivity of type Increasing . . . . .	162
9.11.9	Selectivity of type Inverse Logistic . . . . .	162
9.11.10	Selectivity of type Knife Edge . . . . .	162
9.11.11	Selectivity of type Logistic . . . . .	163
9.11.12	Selectivity of type Logistic Producing . . . . .	163
9.11.13	Selectivity of type Compound Right . . . . .	164
9.11.14	Selectivity of type Compound Left . . . . .	164
9.11.15	Selectivity of type Compound Middle . . . . .	165
9.11.16	Selectivity of type Compound All . . . . .	166
9.12	Projections . . . . .	166
9.12.1	Project of type Constant . . . . .	167
9.12.2	Project of type Empirical Sampling . . . . .	167
9.12.3	Project of type Log Normal . . . . .	167
9.12.4	Project of type Log Normal Empirical . . . . .	167
9.12.5	Project of type User Defined . . . . .	168
<b>10</b>	<b>Estimation command and subcommand syntax</b>	<b>168</b>
10.1	Estimation methods . . . . .	168
10.1.1	Estimate of prior type Beta . . . . .	169
10.1.2	Estimate of prior type Lognormal . . . . .	169
10.1.3	Estimate of prior type Normal . . . . .	169
10.1.4	Estimate of prior type Normal By Stdev . . . . .	170
10.1.5	Estimate of prior type Normal-Log . . . . .	170
10.1.6	Estimate of type Uniform . . . . .	170
10.1.7	Estimate of type Uniform-Log . . . . .	171
10.2	Point estimation . . . . .	171
10.2.1	Minimiser of type ADOLC . . . . .	171
10.2.2	Minimiser of type Betadiff . . . . .	172

10.2.3	Minimiser of type DESolver . . . . .	172
10.2.4	Minimiser of type Deltadiff . . . . .	173
10.2.5	Minimiser of type Numerical Differences . . . . .	173
10.3	Markov chain Monte Carlo (MCMC) . . . . .	174
10.3.1	MCMC of type Hamiltonian Monte Carlo . . . . .	176
10.3.2	MCMC of type Random Walk Metropolis Hastings . . . . .	176
10.4	Profiles . . . . .	176
10.5	Defining catchability constants . . . . .	177
10.5.1	Catchability of type Free . . . . .	177
10.5.2	Catchability of type Nuisance . . . . .	177
10.6	Defining penalties . . . . .	178
10.6.1	Penalty of type Process . . . . .	178
10.7	Defining the priors on parameter ratios, differences, and means . . . . .	178
10.7.1	Additional Prior of type Beta . . . . .	178
10.7.2	Additional Prior of type Element Difference . . . . .	179
10.7.3	Additional Prior of type Log Normal . . . . .	179
10.7.4	Additional Prior of type Uniform-Log . . . . .	179
10.7.5	Additional Prior of type Vector Average . . . . .	179
10.7.6	Additional Prior of type Vector Smoothing . . . . .	180
10.8	Defining the parameters of transformations . . . . .	180
10.8.1	Parameter transformation of type Log . . . . .	181
10.8.2	Parameter transformation of type Logistic . . . . .	181
10.8.3	Parameter transformation of type Inverse . . . . .	181
10.8.4	Parameter transformation of type Average Difference . . . . .	181
10.8.5	Parameter transformation of type log sum . . . . .	181
10.8.6	Parameter transformation of type orthogonal . . . . .	182
10.8.7	parameter transformation of type sum to one . . . . .	182
10.8.8	parameter transformation of type simplex . . . . .	182
<b>11</b>	<b>Observation command and subcommand syntax</b>	<b>182</b>
11.1	Observation types . . . . .	182
11.1.1	Observation of type Abundance . . . . .	184
11.1.2	Observation of type Biomass . . . . .	185
11.1.3	Observation of type Process Removals By Age . . . . .	186
11.1.4	Observation of type Process Removals By Age Retained . . . . .	187
11.1.5	Observation of type Process Removals By Age Retained Total . . . . .	189
11.1.6	Observation of type Process Removals By Length . . . . .	190
11.1.7	Observation of type Process Removals By Length Retained . . . . .	192
11.1.8	Observation of type Process Removals By Length Retained Total . . . . .	193
11.1.9	Observation of type Process Removals By Weight . . . . .	194
11.1.10	Observation of type Proportions At Age . . . . .	196
11.1.11	Observation of type Proportions At Length . . . . .	197
11.1.12	Observation of type Proportions By Category . . . . .	198

11.1.13	Observation of type Proportions Mature By Age . . . . .	199
11.1.14	Observation of type Proportions Migrating . . . . .	200
11.1.15	Observation of type Tag Recapture By Age . . . . .	201
11.1.16	Observation of type Tag Recapture By Length . . . . .	202
11.1.17	Observation of type Age Length . . . . .	204
11.2	Likelihoods . . . . .	205
11.2.1	Likelihood of type Binomial . . . . .	205
11.2.2	Likelihood of type Binomial Approx . . . . .	205
11.2.3	Likelihood of type Dirichlet . . . . .	205
11.2.4	Likelihood of type Log Normal . . . . .	205
11.2.5	Likelihood of type Log Normal With Q . . . . .	205
11.2.6	Likelihood of type Multinomial . . . . .	205
11.2.7	Likelihood of type Normal . . . . .	205
11.2.8	Likelihood of type Pseudo . . . . .	205
11.2.9	Likelihood of type Bernoulli . . . . .	205
11.3	Defining ageing error . . . . .	206
11.3.1	Ageing_Error of type Data . . . . .	206
11.3.2	Ageing_Error of type None . . . . .	206
11.3.3	Ageing_Error of type Normal . . . . .	207
11.3.4	Ageing_Error of type Off By One . . . . .	207
<b>12</b>	<b>Report command and subcommand syntax</b>	<b>207</b>
12.1	Report commands and subcommands . . . . .	207
12.1.1	Report of type Default . . . . .	208
12.1.2	Report of type Addressable . . . . .	209
12.1.3	Report of type Age Length . . . . .	209
12.1.4	Report of type Ageing Error Matrix . . . . .	210
12.1.5	Report of type Catchability . . . . .	210
12.1.6	Report of type Category List . . . . .	210
12.1.7	Report of type Correlation Matrix . . . . .	210
12.1.8	Report of type Covariance Matrix . . . . .	210
12.1.9	Report of type Derived Quantity . . . . .	210
12.1.10	Report of type Equation Test . . . . .	210
12.1.11	Report of type Estimate Summary . . . . .	211
12.1.12	Report of type Estimate Value . . . . .	211
12.1.13	Report of type Estimation Result . . . . .	211
12.1.14	Report of type Hessian Matrix . . . . .	211
12.1.15	Report of type Initialisation_Partition . . . . .	211
12.1.16	Report of type Initialisation Partition Mean Weight . . . . .	211
12.1.17	Report of type MCMC Covariance . . . . .	211
12.1.18	Report of type MCMC Objective . . . . .	212
12.1.19	Report of type MCMC Sample . . . . .	212
12.1.20	Report of type MPD . . . . .	212

12.1.21 Report of type Objective Function . . . . .	212
12.1.22 Report of type Observation . . . . .	212
12.1.23 Report of type Output Parameters . . . . .	213
12.1.24 Report of Parameter transformations . . . . .	213
12.1.25 Report of type Partition . . . . .	213
12.1.26 Report of type Partition Biomass . . . . .	213
12.1.27 Report of type Process . . . . .	213
12.1.28 Report of type Profile . . . . .	214
12.1.29 Report of type Project . . . . .	214
12.1.30 Report of type Random Number Seed . . . . .	214
12.1.31 Report of type Selectivity . . . . .	214
12.1.32 Report of type Selectivity By Year . . . . .	214
12.1.33 Report of type Simulated Observation . . . . .	215
12.1.34 Report of type Time Varying . . . . .	215
<b>13 Including commands from other files</b>	<b>215</b>
<b>14 Validating model values using asserts</b>	<b>215</b>
14.1 Assert syntax . . . . .	215
14.1.1 Assert of type Addressable . . . . .	216
14.1.2 Assert of type Objective.Function . . . . .	216
14.1.3 Assert of type Partition . . . . .	217
<b>15 Tips for setting up Casal2 model based on an existing CASAL model</b>	<b>219</b>
<b>16 Syntax conventions and examples</b>	<b>221</b>
16.1 Input File Specification . . . . .	221
16.2 Keywords And Reserved Characters . . . . .	221
16.3 Examples of shorthand syntax and use of reserved and key characters . . . . .	224
16.4 Processes . . . . .	228
16.5 An example of a simple model . . . . .	229
<b>17 Post-processing output using R</b>	<b>231</b>
<b>18 Troubleshooting</b>	<b>235</b>
18.1 Logging . . . . .	235
18.2 Reporting errors . . . . .	235
18.2.1 Guidelines for reporting an error with Casal2 . . . . .	236
<b>19 Casal2 software license</b>	<b>237</b>
<b>20 Acknowledgements</b>	<b>243</b>
<b>21 References</b>	<b>245</b>



---

# 1 Introduction

## 1.1 About Casal2

Casal2 is an open-source integrated statistical catch-at-age assessment tool for modelling the population dynamics of marine populations. Casal2 is designed for quantitative assessments of marine populations, including fish, invertebrates, marine mammals and seabirds.

Casal2 implements generalised age (Casal2 for age-based models) or length structured (Casal2 for length-based models) population models that allows for a great deal of choice in specifying the population dynamics, parameters and which parameters should be estimated, and the model outputs. Casal2 is designed for flexibility. It allows implementation of age or length structured models from single species or stocks, to multiple species or stocks, using user-defined categories such as area, sex, and maturity stage. The categories are generic, are not predefined, and are easily specified. Casal2 models can be used for a single population with a single anthropogenic event (i.e., a single fish stock with a single fishery), or for multiple species and populations, areas, and/or anthropogenic or exploitation methods, and can include predator-prey interactions.

In Casal2 the processes and observations that occur over each year are defined by the user. Processes include recruitment, natural mortality, and anthropogenic mortality. Observations used to fit the models can be from many different sources, including removals-at-size or -age (e.g., a fishery), research survey or other biomass indices, and mark-recapture data. Model parameters can be estimated using penalised maximum likelihood or Bayesian methods.

As well as the point estimates of the parameters, Casal2 can calculate the likelihood or posterior distribution profiles for estimated parameters, and can generate Bayesian posterior distributions using Markov chain Monte Carlo methods. Casal2 can project the population status into the future using either deterministic or stochastic population dynamics. Casal2 can also simulate observations from a given model for both existing and potential observations.

The Casal2 user manual has been split into two separate manuals for the age-based functionality and for the length-based functionality. These two manuals contain many common components but differ in processes and observations.

## 1.2 Citing Casal2

The reference for this document is: Casal2 Development Team (2022). Casal2 user manual for age-based models, v22.09 (2022-09-09). National Institute of Water & Atmospheric Research Ltd. *NIWA Technical Report 139*. 260 p.

The peer-reviewed journal article reference for Casal2 is Doonan et al. (2016).

Casal2 has also been simulation tested using simulated data from CASAL to validate results (Dunn et al., 2022).

## 1.3 Casal2 Contributors

The Casal2 project is maintained by the Casal2 Development Team. Casal2 was initiated by Alistair Dunn. The software architect and lead author of the software code was Scott Rasmussen. Contributors to the development of Casal2 are Scott Rasmussen, Alistair Dunn, Ian Doonan, Craig Marsh, Teresa A'mar, Kath Large, Sophie Mormede, Samik Datta, Matt Dunn, Jingjing Zhang, and Marco Kienzle.

The development of Casal2 was funded by National Institute of Water & Atmospheric Research Ltd. (NIWA), with additional funding from the New Zealand Ministry for Primary Industries.

### 1.4 Software license

This program and the accompanying materials are made available under the terms of the GNU General Public License version 2 which accompanies this software (see Section 19).

Copyright ©2016-2022, National Institute of Water & Atmospheric Research Ltd.. All rights reserved.

### 1.5 Where to get Casal2

See <https://www.niwa.co.nz/> for information about Casal2. The Casal2 source code is hosted on GitHub, and can be found at <http://github.com/NIWAFisheriesModelling/CASAL2>.

There are installation packages available for Linux and Microsoft Windows. Release versions of the package includes the Casal2 binary, the Casal2 **R** library, the Casal2 User Manual and associated documentation, example models, and other information. The installation packages can be downloaded at <https://github.com/NIWAFisheriesModelling/CASAL2/releases>.

### 1.6 System requirements

Casal2 is available for most x86 compatible machines running 64-bit Linux and Microsoft Windows operating systems. Casal2 has not been compiled nor tested on MacOS.

Several of Casal2's tasks are computer intensive and a fast processor is recommended. Depending on the model implemented, some of the Casal2 tasks can take a considerable amount of processing time (minutes to hours), and in extreme cases may even take several days to complete an MCMC estimate.

Output files have the potential to be large, and the output from developing a model, sensitivity analyses, and running multiple MCMC chains can take up significant amounts of disk space. Depending on the number and type of user output requests, the output could range from a few hundred kilobytes to several hundred megabytes. When estimating model fits, several hundred megabytes of RAM may be required, depending on the spatial size of the model, number of categories, and complexity of processes and observations. For larger models, several gigabytes of RAM and disk space may occasionally be required.

### 1.7 Necessary files

For both 64-bit Linux and Microsoft Windows, we recommend using the zip files available on <https://github.com/NIWAFisheriesModelling/CASAL2> for Microsoft Windows and Linux; older Linux systems can use Casal2.tar.gz. Running Casal2 on a system requires the main binary ("casal2.exe" on Windows, or "casal2" on Linux) and the associated dynamically linked libraries (DLL) for Windows or shared objects (.so) for Linux, and cannot be (easily) run by copying the binary to a working directory. Casal2 is not available for 32-bit operating systems or MacOS.

Casal2 does not post-process model output. Casal2 writes all output to text files — either to standard output or directed to files. A package that allows tabulation and graphing of model outputs is recommended. Software such as **R** (R Core Team, 2014) is recommended. The Casal2 **R** package is provided for extracting Casal2 output from reports and output files into **R** (see Section 17). A separate **R** package, r4Casal2, is also available on GitHub and provides some examples of diagnostic and plot functionality.



## 1.8 Getting help

Casal2 is distributed as unsupported software. Please notify the Casal2 Development Team of any issues with or errors in Casal2. Please contact the `Casal2 Development Team`. See Section 18.2 for the guidelines for reporting issues. Note that Casal2 is a complex program, with many different options and possibilities, and we may not be able to provide any useful help if you submit an error report that does not follow the guidelines.

## 1.9 Technical details

The source code for Casal2 is available in the GitHub repository at <https://github.com/NIWAFisheriesModelling/CASAL2>. Casal2 is compiled on GitHub using GitHub Actions on host operating systems Microsoft Windows Server 2019 and Ubuntu 20.04.

Casal2 was compiled on Linux using `gcc` (<https://gcc.gnu.org>), the C/C++ compiler developed by the GNU Project. The 64-bit Linux version was compiled using `gcc` version 10.3.0).

The Microsoft Windows (<https://www.microsoft.com>) version was compiled using TDM-gcc (<https://jmeubank.github.io/tdm-gcc/>) using `gcc` 10.3.0 (<http://gcc.gnu.org>). The Microsoft Windows (<https://www.microsoft.com>) installer was previously built using the Inno Setup (<https://jrsoftware.org/isdl.php>). **Note:** for some previous `gcc` versions, there have been issues related to threading. This was indicated by failed unit tests which rely on threading such MCMCHamiltonian etc.

Casal2 includes several minimisers; different minimisers may perform better for some models than others. These include both numerical differences minimisers and automatic differentiation minimisers. Numerical differences minimisers will usually work for most problems, albeit more slowly than auto-differentiation based minimisers. The numerical differences minimisers are:

1. Numerical differences: A minimiser that is closely based on the main algorithm of Dennis Jr and Schnabel (1996), that uses finite difference gradients.
2. `deltadiff`: A multithreaded version of the numerical differences, but with *tan* rescaling instead of *arcsin* and available for use with the Hamiltonian Monte Carlo MCMC algorithm.
3. `DESolver`: The differential evolution solver (Storn and Price, 1995), based on code by Lester E. Godwin of PushCorp, Inc.

There are two auto-differentiation minimisers, both based on ADOL-C. These are

1. `Betadiff`: A minimiser using an older version of ADOL-C (v1.8.4) that was used as the automatic differentiation minimiser in CASAL (Bull et al., 2012), with the same minimising algorithm as used for the finite differences minimiser above, but based on the gradient from the auto-differentiation chain.
2. `ADOL-C`: A minimiser using version of ADOL-C (v2.5.1) (Walther et al., 1996);, with a similar minimising algorithm as used for the finite differences minimiser above, but based on the gradient from the auto-differentiation chain.

The random number generator used in Casal2 uses an implementation of the Mersenne twister random number generator (Matsumoto and Nishimura, 1998). This functionality, the command line functionality, matrix operations, and a number of other functions use the Boost C++ library (Version 1.71.0).

Note that the output from Casal2 may differ slightly on the different operating systems and operating system versions due to different precision arithmetic or other platform-dependent (including CPU hardware) implementation details. In particular, the implementation of the standard C++ library

`math.h` differs slightly on different platforms, and hence the results from different platforms may be different.

Unit tests of the underlying Casal2 code are run at build time, using the Google Test and Mock unit testing and mocking framework. The unit test framework aims to cover a significant proportion of the key functionality within the Casal2 code base. The unit test code for Casal2 is available as a part of the underlying source code.

---

## 2 Model overview

Casal2 is a generalised age-structured population dynamics modelling framework for undertaking age-structured integrated assessments (Maunder, 2013). Casal2 allows for multiple sources of information to be combined into a single analysis using a statistical framework so that error sources are fully propagated into the uncertainty in the outcomes. The model follows cohorts as numbers-at-age through time, recording the changes that occur from the population dynamic processes.

Casal2 is run from the console window on Microsoft Windows or from a terminal window on Linux. Casal2 has two sources of information: the *input configuration file* which defines the model structure, provides observations, defines active parameters, and specifies outputs (reports); and the run-time mode (e.g., estimate active parameters, run projections, etc..) that is given by command line options and arguments (see Section 3 for specific details). Typically a 'run' will simply run the model (without estimation) and generate the expected values and other models outputs from the parameter values assumed, and an estimation will minimise the model objective function to derive the 'best fit' parameters.

A Casal2 model is defined by its initial conditions and the processes that occur within and to the population over the years of the model run. The annual cycle defines the time steps that occur within each year and the order of processes within each time step. At each point in time, the model updates the *state* of the model, where the state consists of two parts, the *partition*, and any *derived quantities* requested.

The *partition* is a representation of the population at each time step, and can be considered a matrix of the numbers of individuals within each category (i.e., row) and at each age (i.e., column). The partition will change after each process, and hence after each *time-step* of every year. The rows of the partition (categories) and columns (ages) define the population structure. For example, categories can define males and females, area, and/or maturity stage. Note that any user-defined category or category label is possible, for example species, stock, tagged status. The number of categories, what they represent, and how they interact is completely defined by the user. The model records the numbers of individuals within each category and age (e.g., for model with a two sexes, the numbers of males and females at age). In general, cohorts are added via a recruitment event, are aged annually, and are removed from the population via various forms of mortality (e.g., fishing or natural mortality).

A *derived quantity* is a value that is calculated for the partition at some point in time. An example of a derived quantity is spawning stock biomass (*SSB*) – the sum of the biomass of individuals that are mature (or spawning) at some specific point in the annual cycle. Unlike the partition, which is updated in each time step, a derived quantity calculates a single value for each year of the model run. Hence, derived quantities are a vector of values over the time period represented by the model. Each derived quantity can be reported or used as an input into a process. The most commonly used derived quantity is spawning stock biomass (*SSB*) in the stock-recruitment relationship which determines recruitment of the population into the model. Another example might be a density dependent mortality process for a species that is based on the biomass of another species in the model.

Observations are the data that was observed for some aspect of the population. Each observation block includes the observed values, the sampling distribution, relationship with the partition, and the time within the model that these occur (time step and year). For example, indices of abundance or biomass from a research survey, or age compositions from a commercial catch in a fishery. The partition is queried to generate the expected values for the observations, and then the sampling distribution and sample sizes are used to calculate their likelihood. In broad terms, the model parameters are estimated to provide the best fit of the expected values to the observations, by

minimising an objective function. Best fit is judged by the lowest objective function value, with the objective function equal to the sum of the negative log-likelihood values, the priors, and any model constraints (penalties). The evaluation of observations and the calculation of the expected values for each observation type is described in Section 7.

The method that Casal2 uses to find a minimum, the parameters to estimate and their priors is given in the estimation section, Section 6. This includes the choice of minimiser, MCMC algorithms and associated parameters, as well as any transformations and penalties used to constrain the model.

Outputs (reports) are defined in the report section. Casal2 has a large number of reports to summarise or generate a variety of output for a given model. See Section 8 for more information.

The model, its population structure, observations, methods of estimation, and output reports are all defined in the input configuration file. The run mode of Casal2 is determined by the command line arguments given when 'running' Casal2.

The input configuration file is a text file with the Casal2 commands and subcommands. The input configuration file completely describes a model implemented in Casal2. See Sections 9, 10, 11, and 12 for details of Casal2's command and subcommand syntax. The default name for this file is `config.csl2`, however any file name can be used if given as an argument to the command line when calling Casal2. Generally, it can be useful to split the input configuration file into a number of smaller files using the `@include` command. We recommend using separate files for the different sections for the configuration commands and subcommands to assist readability.

---

### 3 Running Casal2

Casal2 is run from a console window (i.e., the command line) on Microsoft Windows or from a terminal window on Linux. Casal2 uses information from input data files -- the *input configuration file* being the input file that is supplied to Casal2.

The input configuration file is required and defines the model structure, processes, observations, parameters (both the fixed parameters and the parameters to be estimated), and the requested reports (outputs).

By convention, the name of the input configuration file ends with the suffix `.csl2`. However, any suffix is acceptable. The default name for the input configuration file is `config.csl2` and if used it does not have to be specified as one of the command line arguments to Casal2. Note that the input configuration file can include other files so the specification can be split into parts, e.g., files for specifying information on the 'population', 'estimation', 'observation', and 'reports'.

Command line arguments are used to specify the actions or *tasks* of Casal2, e.g., to run a model with a set of parameter values, to estimate parameter values (either point estimates or MCMC), to project quantities, or to simulate observations. For example, `-r` is the *run* mode, `-e` is the *estimation* mode, and `-m` is the *MCMC* mode. The *command line arguments* are described in Section 3.3.

#### 3.1 Using Casal2

To use Casal2, open a console window (i.e. the command prompt) window on Microsoft Windows or a terminal window on Linux. Navigate to the directory where the model input configuration files are located. Then enter Casal2 with arguments for a specific mode to start the Casal2 mode running; see Section 3.3 for the list of possible arguments. Casal2 will print output to the screen.

For both 64-bit Linux and Microsoft Windows, we recommend using the zip files available on <https://github.com/NIWAFisheriesModelling/CASAL2> for Microsoft Windows and Linux; there is also file 'Casal2.tar.gz' for older versions of Linux. Running Casal2 on a system requires the main binary (casal2.exe on Windows, or casal2 on Linux) and the associated dynamically linked libraries (DLL) for Windows or shared objects (.so) for Linux to be installed into appropriate directories, and cannot be (easily) run by copying the binary to a working directory. Casal2 is not available for 32-bit operating systems or MacOS.

#### 3.2 Redirecting standard output

Casal2 uses the standard output stream to display runtime information. The standard error stream is used by Casal2 to output the program exit status and runtime errors. We suggest redirecting both the standard output and standard error into a file or separate files.

With the bash shell (on Linux systems), you can do this using the command structure

```
(casal2 [arguments] > run.out) >& run.err &
```

It may be useful to redirect the standard input, especially if you're using Casal2 inside a batch job, i.e.

```
(casal2 [arguments] > run.out < /dev/null) >& run.err &
```

On Microsoft Windows systems, you can redirect to standard output using

```
casal2 [arguments] > run.out
```

And, on some Microsoft Windows systems (e.g., Windows 10), you can redirect to both standard output and standard error, using the syntax

```
casal2 [arguments] > run.out 2> run.err
```

Casal2 outputs header information to standard output. The header consists of the program name and version, the arguments passed to Casal2 from the command line, the date and time that the program was called (derived from the system time), the user name, and the machine name (including the operating system and the process identification number). This information can be used to track output across runs, dates, and versions of Casal2.

### 3.3 Command line arguments

Casal2 is called using:

```
casal2 [-c config_file] [task] [options]
```

where

**-c *config\_file*** Define the input configuration file for Casal2 (if this argument is omitted, the default input configuration file is `config.csl2`)

and where *task* must be one of the following ([ ] indicates a secondary label to call the task, e.g. **-h** will execute the same task as **--help**),

**-h [--help]** Display help (this page)

**-l [--licence]** Display the reference for the software license (GPL v2)

**-v [--version]** Display the Casal2 version number

**-r [--run]** Run the model once using the parameter values in the input configuration file, or optionally with the free parameter values from the file specified with argument **-i** or **-I**.

**-e [--estimate]** Do a point *estimate* using the values in the input configuration file as the starting point for the parameters to be estimated, or optionally with the free parameter values from the file specified with argument **-i** or **-I**.

**-E [--Estimate] *filename*** Do a point *estimate* and generate an MPD file (i.e., a file containing the free parameters and the covariance matrix). As with **-e**, this uses the values in the input configuration file as the starting point for the parameters to be estimated, or optionally the free parameter values from the file specified with argument **-i** or **-I**.

**-p [--profiling]** Do an objective function *profile* using the parameter values in the input configuration file as the starting point, or optionally with the free parameter values from the file specified with argument **-i** or **-I**.

**-m [--mcmc]** Do an *MCMC*. An estimate run is first carried out to estimate the covariance matrix for the MCMC proposal distribution, using the values in the input configuration file as the starting point for the parameters to be estimated. Optionally the free parameter values from the file specified with argument **-i** or **-I** can be used as the starting point.

**-M [--mcmc-from-estimate] *filename*** Do an *MCMC* run using the covariance and free parameters in the MPD file.

**-R [--resume] *filename*** Resume a previously stopped *MCMC* run using the covariance and free parameters in the MPD file. Additional arguments must be supplied to specify

the sample and objective files from the previous MCMC with `--objective-file` and `--sample-file`.

- f** [**--projection**] *n*. Project the model *forward* in time using the parameter values in the input configuration file as the starting point for the estimation, or optionally with the parameter values from the file specified with the argument `-i` or `-I`. Projections are repeated for each parameter set (i.e., each line of data in the free parameter file) *n* times (the default is 1). Typically, the MCMC sample output will be used with `-i`.
- s** [**--simulation**] *n* Simulate *n* sets of observation data using values in the input configuration file as the parameter values, or optionally with the parameter values from the file specified with the argument `-i` or `-I`.

The following optional arguments [*options*] may be specified

- i** [**--input**] *filename* Input one or more sets of free (estimated) parameter values from *filename* (see Section 8 for details about the format of *filename*).
- I** [**--input-force**] *filename* Input one or more sets of parameter values from *filename*. This contains both the free parameters and also force the *overwrite* addressable (non-estimated) values in the input configuration file (see Section 8 for details about the format of *filename*).
- o** [**--output**] *filename* Output a report of the free (estimated) parameter values in a format suitable for `-i filename` (see Section 8 for details about the format of *filename*).
- g** [**--seed**] *seed* Initialise the random number *generator* with *seed*, a positive (long) integer value (note, if `-g` is not specified, then Casal2 will generate a random number seed based on the computer clock time).
- L** [**--loglevel**] *arg* Set the level for information or logging messages from Casal2. Valid options are (from more verbose to less verbose) `trace`, `finest`, `fine`, `medium`, `info`, `important`, and `warning`. The default is 'info' (see Section 18.1 for more information).
- t** [**--tabular**] Print `@report` in tabular format (see Section 8 for more information).
- single-step** Run with `-r` to pause the model and ask the user to specify parameters and their values to use for the next iteration (see Section 3.6).
- q** [**--query**] *object type* Query an object type to print an extract of the object description and parameter definitions. An object can be defined as *block.type*, e.g., `casal2 --query process.recruitment.constant` will query the constant recruitment block, printing the inputs for this process (should be consistent with syntax section).
- V** [**--verifylevel**] *arg* If Casal2 exits with a verify message (the default), then it will halt. If *arg* = *warning* Casal2 will complete the model run and print the verify statement.

Combinations of these command line arguments can also be implemented. Examples of some useful ones are below.

`casal -r -i par.file > multi_run.out` will conduct multiple model runs, one for each row of parameters in *par.file*. This can be useful for investigating the effect of individual parameters in the model or summarising profiled outputs.

`casal -e -i par.file > multi_estimate.out` will conduct multiple estimation routines. One for each row of parameters in *par.file*. This can be useful for assessing convergence to a global minimum. All base models should be run from multiple starting parameter values to assess model convergence/sensitivity to starting values.

`casal -s 10 -i par.file > multi_simulation.out` This command instructs Casal2 to simulate 10 sets of simulated data sets for each each row of parameters in `par.file`. The `-s` component adds observation error in simulated data sets through the likelihood distribution assumptions and the `-i` adds parameter uncertainty into the simulated data sets if each row differs.

`casal -r --loglevel trace > run.log 2> run.err` This command runs the Casal2 model with parameters based on the configuration files and will print logging information into the file `run.err` (useful when debugging models). See Section 18.1 for details on logging.

### 3.4 Constructing the Casal2 input configuration files

- the description of the population structure, dynamics, and parameters. See Section 5,
- the estimation methods and estimated variables. See Section 6,
- the observations and their associated properties and likelihoods. See Section 7, and
- the reports that Casal2 will output. See Section 8.

Note that input configuration file files can *include* other input configuration files to assist in file management, using the command `!include "filename"`. See Section 13 for more details.

#### 3.4.1 Commands

Casal2 has a range of commands that define the model structure, processes, parameters, observations, and how tasks are carried out. There are three types of commands

- Commands that have an argument only and do not have subcommands (for example, `!include filename`)
- Commands that have a label and subcommands (for example `@process` must have a label and has subcommands)
- Commands that do not have either a label or argument, but have subcommands (for example `@model` or `@categories`)

Apart from `!include`, commands start with an `@` in the first column (i.e., may not have a space or tab character before them on the line). After each command, the subcommands are listed and must occur before the next command. Otherwise, the commands and subcommands are free form with each command or subcommand on a separate line (see Section 3.4.3).

Commands that have a label must have a unique label, i.e., the label cannot be used for more than one command. Casal2 checks and will report an error if two commands of the same type have the same label. The labels can contain alpha numeric characters, period ('.'), underscore ('\_') and dash ('-'), but cannot start with a double underscore ('\_\_'). Labels that start with a double underscore are reserved, and used for internal reports that Casal2 can automatically generate in some circumstances. Otherwise labels must not contain white space (tabs or spaces) or any characters that are not letters, numbers, dashes, periods, or underscores. For example,

```
@process NaturalMortality
```

or

```
!include MyModelSpecification.csl2
```



### 3.4.2 Subcommands

Casal2 subcommands define options and parameter values related to a particular command. Subcommands always take an argument which is one of a specific *type*. The *types* for each subcommand are defined in Section 14.1.3, and are summarised below.

Like commands (@command), subcommands and their arguments are not order specific, except that that all subcommands of a given command must appear before the next @command block. Casal2 may report an error if they are not supplied in this way. However, in some circumstances a different order may result in a valid, but unintended, set of actions, leading to unexpected results.

The argument type for a subcommand can be:

**switch** true/false

**integer** an integer number

**integer vector** a vector of integer numbers

**integer range** a range of integer numbers separated by a colon, e.g. 1994:1996 is expanded to an integer vector of values (1994 1995 1996)

**constant** a real number (i.e., a double)

**constant vector** a vector of real numbers (i.e., a vector of doubles)

**estimable** a real number that can be estimated (i.e., a double)

**estimable vector** a vector of real numbers that can be estimated (i.e., a vector of doubles)

**addressable** a real number that can be referenced but not estimated (i.e., an addressable double)

**addressable vector** a vector of real numbers that can be referenced but not estimated (i.e., a vector of addressable doubles)

**string** a categorical (string) value

**string vector** a vector of categorical values

Switches are characteristics which are either true or false. Enter *true* as true or t, and *false* as false or f.

Integers must be entered as whole numbers without decimal points (i.e., if year is an integer then it is specified as 2008, not 2008.0)

Arguments of type integer vector, constant vector, estimable vector, addressable vector, or categorical vector must contain one or more entries on a row, separated by white space (tabs or spaces). Arguments of type integer range must contain a colon (:) and no white space (tabs or spaces).

Parameters are defined in the population section and most (but not all) numeric parameters can be estimated. See Section 14.1.3 for the list of available parameters and if they are can be estimated. Note that parameters will only be estimated if requested using an @estimate command, and are otherwise treated as a constant.

Parameters can also be addressable, i.e., they can be referred to within another command or command block by using their addressable name. See Section 14.1.3 to determine if a subcommand is addressable.

### 3.4.3 The command block format

The command block is a basic unit within the input configuration file. Each command begins with the symbol @ and then the command name, usually followed by a user defined label or a valid

argument. The end of each command block is denoted by the start of the next command block or end of the file. For example, the layout of a input configuration file will be

```
@command label
first_subcommand argument
second_subcommand argument
... etc.

@another_command label
another_subcommand argument
another_subcommand argument
... etc.
```

Note that subcommands can be in any order within each command block. And command blocks can be in any order within the input files, except `@model` — this must be the first command block encountered by Casal2.

Blank lines are ignored, as is extra white space (tabs and spaces) between arguments. However, to start command block the `@` character must be the first character on the line and must not be preceded by any white space. Each input file must end with a carriage return.

Commands, subcommands, and arguments in the input configuration files are not case sensitive. However, labels and variable values are case sensitive. Note that on Linux (unlike Microsoft Windows) specification of any file names or file paths will be case sensitive.

#### 3.4.4 Commenting out lines

Text on a line that starts with the symbol `#` is considered to be a comment and is ignored. To comment out a group of commands or subcommands, use `#` at the beginning of each line to be ignored.

Alternatively, to comment out an entire block or section, use `/*` at the beginning of a line to start the comment block, then end the block with `*/`. All lines (including line breaks) between `/*` and `*/` inclusive are ignored.

```
# This line is a comment and will be ignored
@process NaturalMortality
m 0.2
/*
This block of text
is a comment and
will be ignored
*/
```

#### 3.4.5 How to reference parameters

All parameters have a unique name, allowing it to be referenced in other command blocks. When Casal2 processes the input configuration file it translates each command block (see section 3.4.3) and each subcommand block into an object, each with a unique parameter name. For commands, this parameter name is simply the command label. For subcommands, the parameter name format is one of the following:

```
command[label].subcommand if the command has a label, or
command.subcommand if the command has no label, or
```

`command[label].subcommand{i}` if the command has a label and the subcommand arguments are a vector, and we are accessing the  $i$ th element of that vector.

`command[label].subcommand{i:j}` if the command has a label, and the subcommand arguments are a vector, and we are accessing the elements from  $i$  to  $j$  (inclusive) of that vector.

For example, the parameter name of a process of instantaneous mortality (i.e., natural mortality) is the subcommand `m` of a `@process` of type `mortality_constant_rate`, i.e., the command block may be

```
@process NaturalMortality
type mortality_constant_rate
categories male female
m 0.2 0.2
```

`process[NaturalMortality].m` is the unique reference for the vector of male then female natural mortality values (**note:** order will follow categories order). To reference just the 'female' value then the form is `process[NaturalMortality].m{female}`.

### 3.5 Reading a command block

Here, we illustrate reading a command block using two important commands, `@process` and `@estimate`.

The command `@process` specifies a process that can be used in the model. There are a fixed set of predefined processes (subroutines in C++ code). The way to specify which process is used is with the `type` subcommand. Processes can take one or more parameters and some will need other data to be supplied as well. Some parameters are mandatory and others can take a default value if they are not specified.

For this example we have categories male and female, and two fisheries, line and pot. The command block starts with a `@process`:

```
@process Fishing
type mortality_instantaneous
```

This sets up a process block using the `mortality_instantaneous` process which simultaneously depletes the population by natural mortality and from two types of fishing. Its label is *Fishing*.

Next we specify the values for natural mortality ( $m$ ), an argument for this process, to 0.17 and specify that fisheries acts on all categories. Note there are two values for natural mortality, one for each category. The parameters  $m$  can be estimated, if required. The command block fragment:

```
m 0.17 0.17 # natural mortality for each category
relative_m_by_age One One # natural mortality multiplier
categories * # fishing acts on all categories ("*" shorthand for male female)
```

Catches are supplied via a *table* format using three columns: one for year and one for each of the two fisheries, which take the labels *line* and *pot*. Column names are on the first line of the table and these columns can be in any order,

```
#catches
table catch # define catches by fishery in table format
year line pot #names columns so can identity catch for each fishery
2000 1000 2000 # catches by year
2001 500 1000
2002 1000 5000
end_table # end of table marker
```

Other information required is supplied in the methods table which has a fixed number of columns (again these can be in any order), one for each piece of information needed to specify a fishery. The method column defines the fishery name which is used in the catch table and also in other observations like age composition from that fishery. The categories that the fishery operates on (all in this case, but it could be just males for one and females for the other) are in the category column, the fishing selectivity to be used is given as a selectivity block name which is define somewhere else in the files,  $U_{max}$  is the maximum exploitation rate that is allowed in any year, then the time step the fishing operates in, and lastly the block name of a penalty function that is used to penalise estimable parameter values that result in the supplied catch not being caught. Again, the penalty block is define elsewhere in the files. After the row with the column names, there is one row for each fishery:

```
table method          # supply arguments and name selectivity etc
method    category    selectivity    u_max    time_step    penalty
pot        *          potFSel        0.7      1            CatchMustBeTaken1
line       *          lineFSel        0.7      1            CatchMustBeTaken1
end_table
```

To estimate natural mortality, you need to supply an `@estimate` block with a reference name back to  $m$  in the *Fishing* block. For `@estimate`, `type` specifies the prior to be used in the estimation, which in this case is a normal distribution:

```
@estimate estimate.m
type normal # prior type
parameter process[fishing].m
# this is a comment
/*
Fishing is unique amongst the @process command blocks
so this defines the unique reference to the parameter m
*/
mu  0.2 0.2 #argument to prior = mean
sd  0.02 0.02 #another argument to the prior = standard deviation
```

Note that there are two  $m$  values, one for each category, so there are two priors specified. The *estimate* label *estimate.m* is often redundant, but it may be needed in some circumstances.

To estimate a common  $m$  over both sexes, we estimate one  $m$ , say the female category, and use the *same* subcommand to apply the same value to the male category  $m$ ,

```
@estimate estimate.m
type normal
parameter process[fishing].m{male}
# {} is used to index one or more elements in a vector
same process[fishing].m{female} # set female value = male estimated value
# The mean of the prior
mu  0.2
# The standard deviation of the prior
sd  0.02
```

### 3.6 Single-stepping Casal2

Single-stepping means Casal2 can 'pause' after each year in the annual cycle during a model run, write reports, then wait and process user input of updated estimable parameters for the next year (see the command line argument `--single-step`). Note this is still an experimental feature.

### 3.7 Logging and Verifying Models

Casal2 has a number of information, warning, and error message outputs. This option is enabled using the `--loglevel` or `-L` command line option. See Section 18.1 for details on logging.

Casal2 also applies sanity checks on model configurations. These can be bypassed using the command line option `--verifylevel` or `-V`. These sanity checks are based on expected model structures, i.e., Casal2 verifies models have an ageing process. Currently only a few sanity checks are implemented.

### 3.8 Validating models across versions

Casal2 has a number of built-in capabilities to validate and verify the code across versions. Unit tests of the Casal2 code are carried out at build time, using the Google Test and Mock unit testing and mocking framework. The unit test framework aims to cover a significant proportion of the key functionality within the Casal2 code base. The unit test code for Casal2 is available as a part of the source code.

Casal2 can also validate or check certain addressables parameters as a part of testing and validation with the `assert` command. Asserts check the value of a specific addressable (for example, observations, parameters, or the objective function) with a predefined value. Asserts are one aspect of the internal and system tests Casal2 has to ensure consistency across versions and revisions (see Section 14)

### 3.9 Casal2 exit status values

When Casal2 is run, it will either complete its task successfully or output an error. Casal2 will return a single exit status value 'completed' to the standard output. Error messages will be printed to the console. When input file configuration errors are found, Casal2 will print error messages, along with the associated filename(s) and line number(s) where the errors were identified, for example,

```
[ERROR] At line 15 in Reports.csl2: Parameter '{' is not supported
```



## 4 Partition & Categories

Dividing the population into different categories is fundamental to modelling the dynamics of a fish stock. CASAL had a fixed set of hard-wired categories (e.g., factors like sex, maturity, area, or stock) and each category type had a predefined set of allowed processes (or transitions in CASAL-speak), e.g., immature fish moving into the mature category (Bull et al., 2012). This made sense when CASAL was coded, but now it is seen as a limitation, e.g., changing sex was not allowed and only male and female sexes were allowed, not an unknown sex that sometimes occurs in data.

In Casal2 the concept of user defined categories was introduced to allow for more flexibility in grouping the subpopulations. Note that Casal2 does not know about sex or area and their properties; these are explicitly defined by the user by specifying processes that act on the categories in the input files. The cost is that users need to follow good practice to achieve clarity and readability of the input files, i.e., poor specifications can result in input files that are more difficult to understand.

### 4.1 Specifying the partition using categories

A key element of the Casal2 model is the partition which holds the current state of the population. The partition can be conceptualised as a matrix, where each row represents a category and the columns are the age classes (Figure 4.1). Each row represents all individuals in that category as a numbers-at-age vector. There must be at least one category defined for each model.

Spawning male immature				
Spawning male mature				
Spawning female immature				
Spawning female mature				
Non-spawning male immature				
Non-spawning male mature				
Non-spawning female immature				
Non-spawning female mature				

**Figure 4.1: A visual representation of a partition.**

The categories can include combinations of levels from one or more factors such as sex, maturity state, area, stock, or even species. Casal2 has no predefined categories; *all* categories are defined by the user. Note that the partition only has the current state of the model; past states are not kept (*See* the section on derived quantities about saving summary values from the partition, p. 55).

To illustrate categories, consider a model of a fish population with two fisheries, one on spawning fish at the spawning grounds and another on the non-spawning population in the rest of the stock area. The mature fish will migrate to the spawning area, where the spawning fishery occurs. At the end of spawning, these fish, along with the recruits from the previous year, migrate back to the non-spawning area. The fish population can be represented by factors sex (levels *male* and *female*), maturity (levels *immature* and *mature*), and area (levels *spawning* and *non-spawning*). So the partition has 8 rows of numbers-at-age, for 2 sexes  $\times$  2 maturity levels  $\times$  2 areas.

These categories are specified in a categories block which starts with a *@categories* line followed on the next line by a *format* subcommand that specifies the factors to use and their order. Factor names are user defined and have no intrinsic meaning in Casal2.

The command block for this example is:

```
@categories
format area.sex.mature
names spawn.male.immature spawn.male.mature spawn.female.immature spawn.female.mature
      nonspawn.male.immature nonspawn.male.mature nonspawn.female.immature #all on one line
      nonspawn.female.mature
```

Note the “.” syntax to separate the factor names.

Next comes the *names* subcommand which specifies the combinations of levels that makes up each category. In a sense, the *format* subcommand is not needed since the *names* subcommand can define all categories. However, *format* allows a more digestible and shorter syntax to define categories here and in other blocks such as matching observation to categories that provided the data (including combinations of categories, e.g., age compositions that combine both sexes).

The *names* subcommand can also be specified with:

```
names spawn,nonspawn.male,female.immature,mature
```

which defines the categories above in a more efficient manner, (again, note the “.” to separate the factors and “,” to separate the levels within each factor (see the next section for more details). A visualisation of the partition is in Figure 4.1.

When using this short-cut syntax in *names*, the order of level combinations is for the levels of the first factor to change the slowest, then the next factor will change faster, and so on with the last factor to changing levels the fastest. The order is important because linking categories to their characteristics, e.g., growth curve or selectivity, is done in other subcommands where these must be specified in the same order.

To exclude unused categories from the partition, the long form must be used in the *names* subcommand, e.g., to exclude *spawn.female.immature* and *spawn.male.immature* since they are never in the spawning area.

To make recruitment to enter the partition in the non-spawning area, use

```
@categories
format area.sex.mature
names spawn.male.mature spawn.female.mature nonspawn.male.immature nonspawn.male.mature
      nonspawn.female.immature nonspawn.female.mature
```

### 4.2 Shorthand syntax for categories

This can be skipped on the first reading.

Some specifications have long lists of categories or years or initial values for parameters and the like, e.g., for YCS from 1900 to 2019, 120 years and 120 initial values of YCS must be specified; this is hard to do by hand and it can be error prone as well as difficult to match values for each year. Here, the range short cut (:) can be used so the the year specification is *1900:2019*, and the multiplier short cut (\*) to give the initial values specification as *1\*120*.

There is also shorthand notation for categories since each category can be quite complicated. First use the *format* subcommand in the *@categories* block to define the factors that make up the sections of the category names. A “.” (period) character delineates each factor and this structure allows a shorthand syntax to compose category names.

The *names* subcommand is used to list the category names. Sections within the shorthand syntax for *names* are required to match the order of factors in the *format* subcommand so Casal2 can organise and search on them. In these sections, levels for each factor use the “list specifier” and range characters, e.g.,

```
@categories
format sex.stage.tag # 2 sexes, 2 stages, tag years 2001 to 2005 = 20 categories

names male.immature # Invalid: No tag information
names female # Invalid: no stage of tag information
```



```
names female.immature.notag.1 # Invalid: Additional format segment not defined

names male,female.immature,mature.notag,2001:2005 # Valid shortcut

# Without the shorthand syntax these categories would be written:

names male.immature.notag male.immature.2001 male.immature.2002 male.immature.2003 male.
  immature.2004 male.immature.2005 male.mature.notag male.mature.2001 male.mature.2002 male.
  mature.2003 male.mature.2004 male.mature.2005 female.immature.notag female.immature.2001
  female.immature.2002 female.immature.2003 female.immature.2004 female.immature.2005 female
  .mature.notag female.mature.2001 female.mature.2002 female.mature.2003 female.mature.2004
  female.mature.2005
```

The shorthand syntax available are:

- \* Specify all categories
- + Categories join, e.g., *categories* \*+ joins all categories together into one unit; *categories male+female* specifies that the observation covers both sexes combined.
- : Specify a range of integers [int1]:[int2], e.g., *2000:2005* expands to *2000 2001 2002 2003 2004 2005*
- Lists using "," [item1],[item2],[item3], e.g., *male,female,unsexed* are the levels for the factor *sex*.
- Repeats a number or label: [number | label] \* [integer], e.g., *1 \* 5* → *1 1 1 1 1*
- *format=[X]=[x]=[int] [factor]=[level]=[year range]*, e.g., *tag=2001=1999:2003* the categories with level 2001 in the tag factor are accessible from year 1999 to 2003 inclusive.
- *[]* replace label to a command block with the block defined inline, e.g., *catchability [q = 1e-5]* rather than *catchability CHATq* where *CHATq* labels a command block somewhere in the input files

Example of specifying categories using the short cuts:

This syntax is the long way:

```
@categories
format sex.stage
names male.immature male.mature female.immature female.mature
```

A shorter way to specify the exact same partition structure using *lists*:

```
@categories
format sex.stage
names male,female.immature,mature
```

Casal2 requires categories in processes and observations so that the correct model dynamics can be applied to the correct categories of the partition.

This block illustrates using categories required for the ageing process:

```
# 1. The long-hand way
@ageing my_ageing
categories male.immature male.mature female.immature female.mature

# 2. The first shorthand way
@ageing my_ageing
categories male,female.immature,mature

# 3. Wild Card (all categories)
@ageing my_ageing
categories *
```

```
# 4. The second shorthand way
@ageing my_ageing
categories sex=male sex=female
```

To combine/aggregate categories together, use the "+" special character. For example, this feature can be used to specify that the total biomass of the population is made up of both males and females.

For example,

```
@observation CPUE
type biomass # observation using an index of biomass
categories male+female
... # other subcommands to link index to the fishery etc
```

This combination/aggregation functionality can be used to compare an observation to the total combined population:

```
@observation CPUE
type biomass
categories *+
... # other subcommands to link index to the fishery etc
```

If the levels `male` and `female` are the only categories in a population (i.e., factor `sex`), then this is the same syntax as the command block above it.

Shorthand syntax can be useful when applying processes to a specific group of categories from the partition.

For example, to apply a spawning migration to the mature categories in the partition given the partition definition

```
@categories
format area.maturity.tag
names north,south.immature,mature.notag,2001:2005
```

To migrate a portion of the mature population from the southern area to the northern area:

```
@process spawn_migration
type transition_category # process to move fish from one category to another
from format=south.mature.* # move all south mature fish, both notag and tagged fish
to format=north.mature.* # into the relevant north categories
```

An easy way to determine if you have specified the syntax correctly is to look at a report. Casal2 will expand most shorthand category labels in reports, and this can be used to check the order that Casal2 has assumed, and that these have been specified in the correct order for other related parameters .

### 4.3 Referencing vector and map parameters

To build relationships between command blocks, Casal2 uses a referencing system so that blocks and parameters within blocks can be accessed. In its simplest form, command blocks are referenced by their label. To access specified parameters within a command block, the syntax used is:

```
<syntactic element> #<> enclosing a description of the element

# most used version
```

```

<block type>[<label of block>].<parameter name>
# e.g., identify a fishery
<block type>[<label of block>].method_<parameter name>

## Examples
# recruitment multiplier (yrcs) parameter in the process block called recruitment
process[recruitment].recruitment_multiplier

# natural mortality in the process called Fishing
process[Fishing].m

# pot fishery in the process called Fishing
# it is usual to define all fisheries in one
# mortality process block so we need a way to
# identify each one
process[Fishing].method_pot

```

Parameters can be scalars (one value), vectors (several values), or maps. A map consists of two vectors: one containing a key value (for searching or uniquely indexing), and another vector that contains values associated with the index, e.g., for specifying recruitment multiplier values for each year, the years are the key (or index). To reference one or more components of a vector or map use the `{}` syntax. This may be needed when specifying which element(s) in a vector or map are to be estimated.

An example of a map parameter is `recruitment_multipliers` in a recruitment process

```

@process WestRecruitment
# Beverton-Holt function
type recruitment_beverton_holt
# initial values of the recruitment_multipliers (YCS) (a vector with 9 values)
recruitment_multipliers 1 1 1 1 1 1 1 1
standardise_years 1975:1983

# An alternative method to specify a sequence of values
# use an asterisks to represent a vector of repeating integers
recruitment_multipliers 1*8

```

To specify that only the last four years of the recruitment multipliers (YCS) parameter `process[WestRecruitment].recruitment_multipliers` are to be estimated:

```

@estimate RecMult # RecMult is a label to identify this block
# estimate 4 values only: 1980, 1981, 1982, & 1983
parameter process[WestRecruitment].recruitment_multipliers{1980:1983}

```

To estimate a common value for a block of years in a map parameter use the *same* subcommand. We illustrate the idea within the process `@time_varying[label].type=constant`, where we want to fix  $q$  over a specified block of years, 1992 to 1995.

First specify the relationships in a `@time_varying` block:

```

@time_varying q_step1
# specify a set value for a year
type constant
# parameter ref for q in block Fishq
parameter catchability[Fishq].q
# or 1992:1995 = key into value
years 1992 1993 1994 1995

```

```
value 0.2 0.2 0.2 0.2
# or 0.2*4, initial values of q
```

Next, to estimate only one  $q$  value for the time block, pick one element of the map (say 1992), and then force all other years to have the same value:

```
@estimate q_block_1992
# estimate this one
parameter time_varying[q_step1].value{1992}
# set these to the value for 1992
same      time_varying[q_step1].value{1993:1995}
# uniform prior on q
type      uniform
lower_bound 0.1
upper_bound 10
```

Keys are restricted in Casal2 to years and categories. An example using categories as a key in a map:

```
@category
factor sex
names male female

@process recruit
categories male female
# natural mortality values indexed by categories
m 0.17 0.17
...

@estimate M
# prior = uniform
type uniform
# estimate male M, "male" is a level for factor sex
parameter recruitment.[m]{male}
# set female M to the same value as male's
same recruitment.[m]{female}
```

For vector parameters (i.e., no key values), the index is an integer starting with 1 for the first value, i.e., similar to R syntax. An example is the selectivity *all.values.bounded* which can be defined by:

```
@selectivity MatSel
type      all_values_bounded
# lower bound at age 2
L         2
# upper bound at age 4
H         4
# 3 values, one for each age 2, 3, and 4
v         0.1 0.2 0.7

@estimate mature
# prior = uniform
type      uniform
# estimate the 2nd value only, i.e., age 3
parameter selectivity[MatSel].v{2}
# lower parameter range
lower_bound 0.1
```

```
# upper parameter range
upper_bound 1.0
```

The integer 2 cannot be used to specify the  $q$  parameter for 1993 in the above example labelled *q\_block\_1992*. This will pass the syntax test, but it will fail at the validate stage in Casal2.

**In-line declaration, avoiding extra command blocks** In-line declarations can help shorten models by defining @ blocks within the subcommand line instead of having a label that points to a command block define somewhere else in the input files.

For example, catchability for a CPUE index can be defined in-line:

```
@observation chatCPUE
type biomass                # biomass index
catchability [q=6.52606e-005] # define catchability here
categories male+female      # index cover both sexes together

@estimate chatCPUE_q
parameter catchability[chatTANbiomass.one].q # how to reference q
type uniform_log          # prior
lower_bound 1e-2
upper_bound 1
```

In the above code catchability is defined and estimated without explicitly creating a @catchability block.



---

## 5 The population section: model structure and the population dynamics

The command and subcommand syntax for the estimation section is given in Section 9.

### 5.1 Introduction

This section shows how to specify a model for the population dynamics. It describes the model time and age scope, the population processes used (e.g., recruitment, ageing, migration, and mortality), the selectivity ogives, and how to set values for their associated parameters, or starting values if they are going to be estimated.

The basic structure of the population is defined in terms of its partitions and the succession of processes that act on them throughout a year. Casal2 assumes an annual cycle, i.e., rates like natural mortality are assumed to be for a year. To place certain processes or observations (e.g., a research survey) into the right part of the year, the year can be divided into one or more time steps, and each time step needs at least one process. Each time step can represent a specific period of the calendar year, or it can be an abstract sequence of events. Certain processes like natural mortality and growth can have a proportion of the effects of the process assigned to different time steps to crudely mimic seasonal effects, or fisheries that occur in short periods of the year, as well as place a survey within the year relative to the proportion of annual natural mortality that has occurred (see Section 5.4).

The *state* is the current status of the population at any given time and it can change one or more times during the year. The state object must contain sufficient information to determine how the population changes over time, given a model and a complete set of parameters. The partition is key to the state, but it has no "memory". Thus, other information must also be kept, such as the mature biomass from a previous year or time step to calculate the recruit numbers into the first age class via the spawner-recruitment relationship. Quantities like mature biomass are defined as *derived variables* and are calculated for each year of the model. However, the *derived variables* record only summary information from the partition at a specified time step and year.

Processes can change the partition and, for example, include recruitment, natural mortality, fishing mortality, ageing, migration, and maturation. These processes are repeated for each year of the model.

The specification and ordering of processes in multiple time steps can be used to represent complex dynamics, with the intermingling of multiple species and stocks, migration patterns occurring over multiple areas, and/or multiple sources of anthropogenic impacts using a range of methods which cover different areas and times.

However, the complexity of a stock structure definition is constrained by the available data. It is challenging to use a complex structure to model a population when there are no observations to support that structure. For information on how to define categories and use the shorthand syntax see Section 4.2.

Topics covered are:

- The model scope, such as the ages covered, the years over which the model runs, and the end year for projections (Section 5.2);
- Linking processes, such as growth, to each category;
- The number of time steps and the processes that are applied in each time step (Section 5.2.1);
- The specification of and the parameters for the population processes: processes that add or remove individuals from a partition, or shift individuals between ages and categories in a partition;
- The initialisation process: the state of the partition at the start of the first year;
- Defining selectivity ogives and linking them to observations;
- The parameters: their definitions, initial values, prior distributions, and other characteristics; and
- Derived quantities, e.g., mature biomass, to include in density-dependent processes such as the spawner-recruit relationship

### 5.2 Model scope and structure

The model needs scoping for ages and year covered. This is done in the @model command block.

Each Casal2 model requires:

- The minimum and maximum population ages
- Whether the maximum age is a plus group
- The start and final year
- The names of all of the categories

The ages used starts at the minimum age through to the maximum age in steps of one. The model is run from the start year through to the final year. It can also be run past the final year to project the state of the population through the final projection year.

An example of how to specify a potential model with two categories is outlined below; the `@model` and `@categories` blocks are:

```
@model
start_year 1981
final_year 2000
projection_final_year 2010
base_weight_units tonnes
min_age 1
max_age 20
age_plus_group true
initialisation_phases Equilibrium_phase
time_steps step1 step2 step3

@categories
format sex
names male female
age_lengths male_growth female_growth # labels for growth blocks
```

This model runs for 20 years, starting in 1981, and will do a projection over 10 years for a population with ages from 1 through 20, with age 20 being a plus-group. Each year is divided into three time-steps. The categories are male and female (i.e., there is one category factor, labelled *sex*) and each category has an age-length relationship.

Whilst Casal2 generally uses generic formulation, it does have some specific population concepts, in this case, growth which can vary for each category. Additionally, there is a length-weight characteristic which is specified in the age-length blocks, which in this example are command blocks starting with `@age_size male_growth` and `@age_size female_growth` that are placed elsewhere in the input files (not shown).

Casal2 allows categories of the partition to exist for a subset of years of a model. This feature enables more efficient computations when models contain categories that do not persist over all model years. A model may define one-off processes that transition individuals from one category into another in a subset of the model initialisation phases or years (e.g., tagging events). Excluding categories for certain years can be more efficient as Casal2 will not initialise these categories or apply processes to categories in years or time steps in which they do not exist.

The structure of the partition is defined in a configuration block with the `@categories` block (Section 5.2).

Derived quantities are an important component of the state object. An example of a derived quantity is spawning stock biomass (SSB; the biomass of [female] spawning fish calculated at the mid point of the spawning season). Casal2 calculates derived quantities using the command `@derived_quantity`, required for some processes. In fisheries stock assessment models, a recruitment process which includes a stock-recruitment relationship requires the definition of a derived quantity that specifies the mid-season spawning stock biomass. See Section 5.4 for more details.

### 5.2.1 The implicit annual cycle

There is an implicit annual cycle that orders the sequence of processes within the year, but there is no command block as such. The implementation is by ordering processes within the time-steps. This sequence is



repeated for every year. Time steps are used to break the year into separate components and allow observations to be associated with specific time periods and processes. Any number of processes can occur within each time step, in any order, although there are restrictions for mortality-based processes (see Section 5.3.3); processes can occur multiple times within each time step. Time steps are not implemented during the initialisation phases (effectively there is only one initialisation time step), and the annual cycle in the initialisation phases can be different from the annual cycle specified for the model years (5.2.2).

Figure 5.1 shows an example of the annual cycle using three time-steps.



**Figure 5.1: A example sequence for an annual cycle.**

This would be specified using `@time_step` block:

```
@model
time_steps step1 step2 step3
```

This gives the order and labels for each time step, i.e., 3. Processes are sequenced using order within the `@time_step` block:

```
@time_step step1
processes Recruitment Fishing

@time_step step2
processes Spawn_migration Fishing

@time_step step3
processes Home_migration Ageing
```

The *Recruitment*, *Fishing*, *Spawn\_migration*, *Home\_migration* and *Ageing* are all labels of command blocks that defines a process (see Section 5.3 for the list of available processes). The order that the processes are executed is in the same order as specified. The process *Fishing* could be the process type *InstantaneousMortality* (Section 5.3.3) which takes natural mortality as a parameter as well as specifying the catches in the time-steps, so it is possible to have all catch taken in time-step *step1* with some natural mortality, and no fishing in time-step *step2* where the rest of the natural mortality occurs.

Although the process *Spawn* represents a biological process, spawning, in the Casal2 model it is the time that the spawning stock biomass (*SSB*) is calculated since this is needed to calculate recruitment if there is a spawner-recruitment relationship. A related concept is maturity which can be in the partition, so there needs

to be a process to transfer immature fish into the mature category, but it is only indirectly related to spawning. Hence, in modelling, spawning is not a process that affects the partition directly, but it is the time to calculate the *SSB* which must be defined as a derived quantity (from the partition). Hence, *Spawn* is located in Figure 5.1.

To calculate the *SSB* a `@derived_quantity` command block is needed in which the "timing" of the *SSB* calculation in terms of which time-step and the proportion of natural mortality within it is specified (5.4).

### 5.2.2 The initialisation phases

Initialisation is the process of determining the model starting state at the start of the first year (*Start\_year*). The initial state can be equilibrium/steady state or some other initial state for the model (e.g., exploited), prior to the start year of the model.

There are multiple options for partition initialisation in *Casal2*, including

- Iterative: run the model for a specified number of years to get the converged state.
- Derived: Use the analytical solution (i.e., faster than iterative) for the initial state, but it does not work with some processes (e.g., density-dependent migration)
- Cinitial: Estimate the initial partition's numbers-at-age
- `state_category_by_age`: specify the partition's numbers-at-age

Initialisation definitions start with specifying the initialisation label in the `@model` command block followed by a `@initialisation_phase` command block specifying the type and other settings:

```
@model
...      # other subcommands
initialisation_phase int_label

@initialisation_phase int_label
type iterative #choose one from the list above
...          # specify option values
```

If needed, the processes used and their order in the initialisation are those specified in the annual cycle, but these can be changed by either excluding some processes or including others by using the `exclude_processes` or `insert_processes` subcommands in the *initialisation\_phase* command blocks,

```
@initialisation_phase int_label
type iterative
exclude_processes Fishing
insert_processes step1(recruitment)=initialFishing
...          # format: <step>(<insert before process label>)=<new block label>
...          # specify option values
```

where *Fishing* is the normal fishing process which defines natural mortality so when excluded, initialisation can use another value that incorporates some unrecorded fishing before the start of the assessment period by setting natural mortality to a higher value in the process *initialFishing*. The place to insert *initialFishing* is in the time-step labelled *step1* before the process *recruitment* which must be in that time-step (process label is enclosed in brackets). To insert at the end of the time-step use `()`, e.g. *step1()=initialFishing*.

For age-based models the most common type of initialisation phase to define an equilibrium age structure is derived, whereas for length-based models the only type available is *iterative*. Additional initialisation phases can be included by sequencing other phases one after another

```

@model
...      # other subcommands
initialisation_phase int_label int_label2

@initialisation_phase int_label
type derived      #choose one from the list above
...              # specify option values

@initialisation_phase int_label2
type iterative      #choose one from the list above
...                # specify option values

```

which may be faster overall since fewer iterations may be required used in the second phase. The order of applying each initialisation is that given in the `@model` command block.

The multi-phased initialisation allows for flexibility in the number and type of initialisation processes, for initialising a non-equilibrium starting state, or applying simple processes before applying more complex ones.

In each initialisation phase, the processes defined for that phase are applied and used as the starting point for the following phase or, if it is the last phase, the start year of the model.

The *first* initialisation phase is always initialised with each age and category set to zero. Care must be taken when using complex category inter-relationships or density-dependent processes that depend on a previously calculated state, as they may fail when used in the first phase of an initialisation.

Multi-phase iterations can also be used to determine if an initialisation has converged. A second initialisation phase can be added for 1 year, with the same processes applied as in the first phase. The state at the end of the first and second phase is then output. If these states are identical, then it is likely that the initialisation has converged to an equilibrium state.

For multi-phase initialisation models, it is advised to include the `@report` of type `initialisation_partition`. This will print the partition at the end of each initialisation phase, which can be useful for assessing the impact of each phase on the partition.

```

@report initial_partitions
type initialisation_partition

```

**Iterative Initialisation** The `iterative` initialisation is a general solution for initialising the model, but can be slow to converge, depending on the model. Its value is that it can work on complex structured models that may be difficult or impossible to implement using analytic approximations.

The number of iterations in the iterative initialisation can increase the model output, and the number of iterations should be chosen to be large enough to allow the population state to fully converge. A period of about two times the maximum age is recommended to ensure convergence. Casal2 can be configured to report convergence statistics that can assist in determining convergence properties.

In addition, the iterative initialisation phase can optionally be stopped early if the user-defined convergence criteria is met. For a list of supplied years in the initialisation phase, the convergence criteria is met if the proportional absolute summed difference between the state in year  $t - 1$  and the state in year  $t$  ( $\hat{\lambda}$ ) is less than the user-defined value of  $\lambda$ , where

$$\hat{\lambda} = \frac{\sum_{i,j} |\text{element}(t)_{i,j} - \text{element}(t-1)_{i,j}|}{\sum_{i,j} \text{element}(t)_{i,j}} \quad (5.1)$$

where  $\text{element}(t)_{i,j}$  denotes the numbers at time step  $t$  in category  $j$  and age class  $i$ .

Hence, for the initialisation define:

- The number of initialisation phases,
- The number of years in each phase, and
- The processes to apply in each phase, where the default processes are those applied in the annual cycle.

An example with one initialisation phase:

```
@model
...
initialisation_phases Iterative_initialisation

@initialisation_phase Iterative_initialisation
type iterative
years 50                # do 50 annual cycle iterations
lambda 0.0001
convergence_years 20 40 # test for convergence at 20 and 40 iterations
```

**Derived Initialisation** The `derived` initialisation is an analytical solution that calculates the equilibrium age structure and the plus group using a geometric series solution. The benefit of this method is it can be solved in  $\text{max\_age} - \text{min\_age} + 1$  years or time-steps units, so it is computationally faster than the iterative initialisation phase. Under some process combinations (e.g., one-way migrations) this initialisation does not calculate the exact equilibrium partition. When using this initialisation, users can confirm that the plus group has reached an equilibrium state by either comparing with an iterative initialisation, or by adding a second iterative initialisation phase with a limited number of iterations for comparison.

An example with one initialisation phase:

```
@model
...
initialisation_phases Equilibrium_initialisation

@initialisation_phase Equilibrium_initialisation
type derived
```

When a model is initialised with `derived` and `iterative`, and recruitment is defined by  $B_0$ , the model initialises the partition with  $R_0 = 1$ . Once the initialisation phase is complete, it scales all the categories defined in each recruitment process by

$$N_{a,c} = N_{a,c} \times B_0^R / SSB^R.$$

where,  $R$  denotes each recruitment block and  $N_{a,c}$  are categories defined in that recruitment block. For this case, it is advised to associate all categories to the recruitment so they are accounted for in this scaling process. If maturity is in the partition, it is not intuitive, but they must be defined in the recruitment dynamic with a proportion set = 0 (for more information on specifying this see Section 5.3.1). Casal2 will flag a warning if a model doesn't have all categories defined in the available recruitment blocks. A case where this can be ignored is in models with tagged categories, these categories don't exist during initialisation and so don't need to be scaled, and thus can be omitted from the recruitment definition. Casal2 will still output a warning for this, but can be ignored if users understand its purpose.

**Cinital Initialisation** The `cinitial` initialisation can only be applied after `derived` or `iterative` initialisation phases. This initialisation can be a method for estimating the non-equilibrium state of population if there is exploitation before observations are collected. The estimated `cinitial` factors shift the initial population away from an equilibrium state prior to the start year.

After the first initialisation phase we have an equilibrium age-structure denoted by  $N_{equil}$ .

`Ciniital` specifies an age structure denoted by  $N_{cinit}$  (in numbers), but this can be combinations of categories, for example, both sexes by two areas.

$$\text{Multiplier} = N_{\text{cinit}} / N_{\text{equil}}^{\text{combined}}$$

where  $N_{\text{equil}}^{\text{combined}}$  is summed over the same combined categories as *Cinitial*. Then

$$N_{\text{init}} = N_{\text{equil}} * \text{Multiplier}$$

$N_{\text{init}}$  is the numbers-at-age by category for the start of the model run.

It would be helpful to include an observation of age composition data for the first year of the model in order to estimate the non-equilibrium population state.

An example with two initialisation phases:

```
@model
...
initialisation_phases Iterative Cinitial

@initialisation_phase Iterative
type iterative
years 10
lambda 0.0001
convergence_years 10 20

@initialisation_phase Cinitial
type cinitial
categories spawn.male+nonspawn.male spawn.female+nonspawn.female
table n
spawn.male+nonspawn.male      5e7 5e7 7e6 6e6 5e6 4e6 3e6 2e6 1e6 1e6 1e1 1e1 1e1 1e1
spawn.female+nonspawn.female 5e7 5e7 7e6 6e6 5e6 4e6 3e6 2e6 1e6 1e6 1e1 1e1 1e1 1e1
end_table
```

The Cinitial factors can also be estimated with the syntax

```
@estimate cinit_male
parameter initialisation_phase[Cinitial].spawn.male+nonspawn.male
same initialisation_phase[Cinitial].spawn.female+nonspawn.female
lower_bound 2e2 2e2 2e2 2e2 2e2 2e2 2e2 2e2 2e2 2e2 2e0 2e0 2e0 2e0
upper_bound 2e9 2e9 2e9 2e9 2e9 2e9 2e9 2e9 2e9 2e9 2e9 2e9 2e9 2e9
type uniform
```

**State.category.by.age** The `state_category_by_age` initialisation uses a user-defined table as the initial partition numbers-at-age for the beginning of the start year. Models can be initialised by specifying the numbers-at-age for each category.

An example with one initialisation phase:

```
@model
...
initialisation_phases Fixed

@initialisation_phase Fixed
type state_category_by_age
categories male female
min_age 3
max_age 10
table n
male 1000 900 800 700 600 500 400 700
female 1000 900 800 700 600 500 400 700
end_table
```

When initialising models with this type, undefined behaviour may result if the model applies processes that require derived quantities to be calculated in the initialisation phase. (e.g., *SSB* so that recruitment can be calculated for the start year). In the latter case, the user would have to use a subsequent initialisation phase *iterative* that has natural mortality set to zero (i.e., `insert_processes` subcommand to introduce zero natural mortality and `exclude_processes` to exclude the mortality process that defines natural mortality) for as many years needed to calculate the *SSB* values.

### 5.2.3 Non-equilibrium initialisation phases

This section provides tips and advice for configuring Casal2 models to have non-equilibrium age or length structures at the model `start_year`. An equilibrium age or length structure in this context, roughly refers to an age-structure that would result if the annual cycle was repeatedly run with no fishing. For many models this will result in an age or length structure that has an exponential decay from natural mortality and constant recruitment.

As mentioned in the above section, the `cinitial` initialisation type can be used to after either `derived` or `iterative` to produce a non-equilibrium age structure. However, recent simulations have shown difficulties in estimating the parameters from this phase (Roberts and Dunn, 2017). Another approach also explored by Roberts and Dunn (2017), was to start the model `max_age` years before the intended `start_year` and estimate additional recruitment parameters during this phase so that by the intended `start_year`, the age structure would be in a non-equilibrium state.

Another approach that is similar to the `cinitial` initialisation type is to first run either `derived` or `iterative` phase and then to apply a second `iterative` phase that has an additional initialisation mortality process.

There are a range of mortality processes that can only be applied during initialisation. These are

- `mortality_initialisation_event` see Section 5.3.3
- `mortality_initialisation_event_biomass` see Section 5.3.3
- `mortality_initialisation_baranov` see Section 5.3.3

## 5.3 Population processes

Population processes are processes that change the model state. These processes produce changes in the partition by adding or removing individuals, or by moving individuals between ages and/or categories.

Current population processes available include:

- recruitment (Section 5.3.1),
- ageing (Section 5.3.2),
- growth (Section 5.6),
- maturation (Section 5.3.4),
- mortality events (e.g., natural and fishing) (Section 5.3.3),
- category transition processes, i.e., processes that move individuals between categories while preserving their overall age structure (Section 5.3.4), and
- tagging and tag loss (Section 5.3.5).

There are two types of processes: (1) processes that occur across multiple time steps in the annual cycle, e.g., `mortality_constant_rate` and `mortality_instantaneous`; and (2) processes that occur only within the time step in which they are specified.

### 5.3.1 Recruitment

Recruitment processes add new individuals to the partition. Recruitment depends on virgin biomass or alternatively recruitment in the virgin state and so these parameters are located in this process (as *b0* and *r0*). The other factors needed are Spawning Stock Biomass (*SSB*) if there is a stock-recruitment relationship

and recruitment multipliers which can be standardised to have an arithmetic mean to be 1 over some specified year range (`standardise_years`).

In the recruitment processes, a number of individuals are added to a single age class (subcommand `age`) within the partition, with the number determined by the type of stock-recruitment process specified. If recruits are added to more than one category, then the proportion of recruits to be added to each category is specified by the `proportions` subcommand. For example, if recruiting to categories labelled `male` and `female`, then the proportions may be set to 0.5 and 0.5, so that half of the recruits are added to the male category and the other half to the female category.

Recruitment can differ between a spawning event or the creation of a cohort/year class. One view for fisheries is that recruitment usually refers to individuals “recruiting” to a fishery. This definition is used because there is usually not a lot of information/observations on younger age classes between the spawning events and being vulnerable to a survey or fishery for data collection. However, in Casal2 recruitment is to a specified age class for one or more categories.

The year offset for an age cohort between spawning and recruitment to the partition is by default automatically generated by Casal2. This offset is a function of `age` specified in the recruitment `@process` (defaults to the model `min_age`) and sequence of processes within the annual cycle. Users can also supply this offset using the Casal2 parameter `ssb_offset`. This is analogous to the CASAL parameter `y_enter`.

Casal2 has two recruitment processes, constant recruitment and the Beverton-Holt stock-recruitment relationship (Beverton and Holt, 1957). The number of individuals following recruitment in year  $y$  is

$$N_{y,a,j} \leftarrow N_{y,a-1,j} + p_j(R_y) \quad (5.2)$$

where  $N_{y,a,j}$  is the numbers in year  $y$  and category  $j$  at age  $a$ ,  $p_j$  is the proportion added to category  $j$ , and  $R_y$  is the total number of recruits in year  $y$ .

**Constant recruitment** In the constant recruitment process the total number of recruits added in each year  $y$  in age  $a$  is  $R_y$ , with  $R_y = R_0$  for all years

$$R_{y,j} = p_j(R_0) \quad (5.3)$$

Constant recruitment is equivalent to a Beverton-Holt recruitment process with steepness ( $h$ ) set to 1.

For example, to specify a constant recruitment process where individuals are added to the male and female immature categories at `age = 1` in equal proportion (`proportions = 0.5`), and the number to add is  $R_0 = 5 \times 10^5$ , the syntax is

```
@process Recruitment
type constant_recruitment
categories male.immature female.immature
proportions 0.5 0.5
r0 500000
age 1
```

**Beverton-Holt recruitment** In the Beverton-Holt recruitment process the total number of recruits added each year is  $R_y$ .  $R_y$  is the product of the average recruitment  $R_0$ , the annual recruitment multipliers ( $YCS$ , also called year class strength), and the stock-recruit relationship  $SR(SSB_{spawn\_year})$

$$R_{y,a,j} = p_j(R_0 \times YCS_y \times SR(SSB_{spawn\_year})) \quad (5.4)$$

where

$$spawn\_year = y - ssb\_offset \quad (5.5)$$

and  $a$  is age,  $p_j$  is the proportion of recruits to enter category  $j$ , and `ssb_offset` is the number of years lag between spawning and recruitment.

Recruitment refers to recruitment into the population and may differ from the spawning event. See below on more information about `ssb_offset`. In general this parameter should not be specified by the user.

$SR(SSB_y)$  is the Beverton-Holt stock-recruit relationship parametrised by the steepness  $h$ , and based on Mace and Doonan (1988) parametrisation

$$SR(SSB_y) = \frac{SSB_y}{B_0} / \left( 1 - \frac{5h-1}{4h} \left( 1 - \frac{SSB_y}{B_0} \right) \right) \quad (5.6)$$

The Beverton-Holt recruitment process requires a value for  $B_0$  (or  $R_0$ ) and  $SSB_y$  to calculate the number of recruits. A derived quantity (see Section 5.4) must be defined that provides the annual  $SSB_y$  for the recruitment process.  $B_0$  is then defined as the value of the  $SSB$  calculated during initialisation. If a model has more than one initialisation phase, the user needs to supply the initialisation phase that calculates  $B_0$ . This is defined by the command `b0_initialisation_phase`. Casal2 will default to the last initialisation phase if users do not specify this command.

During initialisation, the recruitment multipliers ( $YCS$ ) are assumed to be equal to one, and recruitment that happens in the initialisation phases that occur before and during the phase when  $B_0$  is determined are assumed to have steepness  $h = 1$  (i.e., in those initialisation phases, recruitment is equal to  $R_0$ ).

Recruitment during the initialisation phases after the phase where  $B_0$  was determined are calculated using the Beverton-Holt stock-recruit relationship.  $R_0$  and  $B_0$  have a direct relationship when there are no density-dependent processes in the annual cycle. Models can thus be initialised using either  $B_0$  or  $R_0$ .

An example of the specification of a Beverton-Holt recruitment process, where individuals are added to the category “immature” at  $age = 1$ , and the number added is  $R_0 = 5 \times 10^5$ ; `SSB_derived_quantity` is the label for an `@derived_quantity` that specifies the defines spawning stock biomass, with  $B_0$  the value derived at the end of the initialisation phase labelled `phase1`; and  $YCS$  are standardised to have mean one in the recruited years 1995 to 2004, and recruits enter into the model two years following spawning

```
@process Recruitment
type recruitment_beverton_holt
categories immature
proportions 1.0
r0 500000
steepness 0.75
age 1
recruitment_multipliers 0.65 0.87 1.6 1.13 1.02 0.38 2.65 1.35 1 1 1 1 1
standardise_years 1995:2004
ssb SSB_derived_quantity
b0_initialisation_phase phase1

@derived_quantity SSB_derived_quantity
...

@initialisation_phase phase1
...
```

In most instances `ssb_offset` should not be specified; Casal2 determines `ssb_offset` by the order of ageing, recruitment, spawning, and the recruitment parameter `age`. However, users can override this and specify `ssb_offset`, Casal2 will return a warning if this differs to the value it expects.

- if the annual time step order is recruitment, ageing, spawning, then `ssb_offset` should equal `age + 1`, or
- if the annual time step order is spawning, ageing, recruitment, then `ssb_offset` should equal `age - 1`, or



- `ssb_offset = age`

There may be scenarios where the user will input these values, e.g., if there are multiple ageing processes in the annual cycle. Casal2 does not have functionality to accommodate this situation, so in this case `ssb_offset` would be manually defined.

There are two variants of the Beverton-Holt stock recruitment function and they differ in how the recruitment multipliers are parametrised. This parametrisation can either be in natural space as recruitment multipliers (*YCS*), or in log space as recruitment deviations. Due to the difference in terminology, these variants are implemented in two separate processes, type `recruitment_beverton_holt` and type `recruitment_beverton_holt_with_deviations`, respectively.

**YCS ( $YCS_y$ )** The *YCS* parameter is reference by the recruited year. The recruited year is the year when a year class or age-cohort enter the partition. The recruited year differs from the spawning event year defined in Equation (5.5). This is a shift away from CASALs terminology which used `ycs_year` and is equivalent to the spawning event year. Standardisation years are also now expressed as recruited years. This will differ from Casal2 versions before August 2022 and CASAL models. From August 2022 we deprecated the commands `ycs_values`, `ycs_years`, and `standardised_ycs_years`. These were replaced with `recruitment_multipliers` and `standardise_years`.

This year reference is important when defining `@estimate`, `@project`, and `@time_varying` blocks for the `recruitment_multipliers` parameter. An example is at the end of the section.

A common practice when estimating *YCS* is to standardise using the Haist parametrisation, which was described by V. Haist. Casal2 will standardise *YCS* only if subcommand `standardise_years` is defined. The model parameter `recruitment_multipliers` is a vector  $\mathbf{Y}$ , covering the years from `start_year` to `final_year`. The resulting standardised recruitment multipliers are calculated as  $YCS_i = Y_i / \bar{Y}$ , where the mean is calculated over the user-specified years `standardise_years`.

An alternative to “standardisation” is to constrain the *YCS* parameters using the simplex transformation (see Section 8). This is thought to have estimation benefits over the “standardisation” as priors can be applied to the “free” (estimable) parameters ( $Y_i$ ).

$$YCS_i = \begin{cases} Y_i / \text{mean}_{y \in S}(Y_y) & : y \in S \\ Y_i & : y \notin S \end{cases}$$

where  $S$  is the set of years from `standardise_years`. One effect of this parametrisation is that  $R_0$  is then defined as the mean estimated recruitment over the set of years  $S$ , because the mean *YCS* multiplier over these years will always be one.

Typically, `standardise_years` is defined to span the years over which *YCS* is reasonably well estimated. For years that are not well estimated,  $Y_y$  can be set to 1 for some or all years  $y \in S$  (which is equivalent to forcing  $R_y = R_0 \times SR(SSB_y)$ ) by setting the lower and upper bounds of these  $Y$  values to 1. An exception to this might occur for the most recent *YCS* values, which the user may estimate but not include in the definition of  $R_0$  (because the estimates may be based on too few data). One or more years may be excluded from the range of years for the averaging process of the Haist parametrisation.

The advantage of the Haist parametrisation is that a large penalty is not necessary to force the mean of the *YCS* parameter to be 1, although a small penalty should still be used to stop the mean of  $\mathbf{Y}$  from drifting. These adjustments may improve MCMC performance. Projected *YCS* values are not affected by this feature. A disadvantage with this parametrisation in a Bayesian analysis is that the prior applies to  $Y$ , not *YCS*.

In the example given above, *YCS* are standardised to have mean one in the period 1995 to 2004, and recruits enter into the model two years following spawning

```
@process Recruitment
type recruitment_beverton_holt
...      #subcommand above
standardise_years 1995:2004
recruitment_multipliers 0.65 0.87 1.6 1.13 1.02 0.38 2.65 1.35 1 1 1 1 1
```

**Recruitment deviations,  $\epsilon_y$  (type *recruitment\_beverton\_holt\_with\_deviations*)** Recruitment deviations represent the stock-recruitment relationship multipliers in log space, with the link between  $YCS_y$  and  $\epsilon_y$  as

$$YCS_y = \exp(\epsilon_y - b_y \sigma_R^2 / 2) \quad (5.7)$$

where  $\epsilon_y \sim N(0, \sigma_R^2)$ ,  $\sigma_R^2$  is the variance of the stock-recruitment residuals, and  $b_y$  is a bias correction defined by Methot Jr and Taylor (2011)

$$b_y = \begin{cases} 0, & \text{for } y \leq y_1^b \\ b_{\max}(1 - \frac{y - y_1^b}{y_2^b - y_1^b}), & \text{for } y_1^b < y < y_2^b \\ b_{\max}, & \text{for } y_2^b \leq y \leq y_3^b \\ b_{\max}(1 - \frac{y_3^b - y}{y_4^b - y_3^b}), & \text{for } y_3^b < y < y_4^b \\ 0, & \text{for } y_4^b \leq y \end{cases} \quad (5.8)$$

The  $\epsilon_y$  values are normally distributed in log space and thus lognormal when back-transformed to the resulting stock-recruitment relationship  $YCS_y$ . Recent work has found that this transformation does not technically lead to the *a priori* assumption that the resulting  $YCS_y$  are lognormal.

The ramp function described above for the bias correction has the additional subcommands controlling the ramp

- $y_1^b = \text{last\_year\_with\_no\_bias}$
- $y_2^b = \text{first\_year\_with\_bias}$
- $y_3^b = \text{last\_year\_with\_bias}$
- $y_4^b = \text{first\_recent\_year\_with\_no\_bias}$
- $b_{\max} = \text{b\_max}$

```
@process Recruitment
type recruitment_beverton_holt_with_deviations
categories immature
proportions 1.0
r0 500000
last_year_with_no_bias 1940
first_year_with_bias 1950
last_year_with_bias 2016
first_recent_year_with_no_bias 2018
b_max 0.85
b0_initialisation_phase phase1
steepness 0.75
age 1
ssb SSB_derived_quantity
deviation_values 0 -0.2 0.4 0 0 0 0 0 0 0 0 0
```

`deviation_values` are reference by the recruited year i.e., `process[Recruitment].deviation_values1990` references the multiplier applied to the recruitment process in model year 1990.

**Recruitment when modelling two stocks (or species)** To specify a Beverton-Holt recruitment for each stock, the information required is:

1.  $YCS$ , starting from year `start_year` and extending up to year `final_year`
2. the value of `ssb_offset` and `age` (which equate to the `y_enter` in CASAL)

3. the steepness parameter  $h$
4. in a multi category model, the proportion of recruits for each category
5. a label for the derived quantity

When an `@initialisation_phase` (Section 5.2.2) `type = derived` is specified and the recruitment is defined by `b0`, then all categories must be specified in the `@recruitment` block. Usually in a recruitment processes only the categories that receive recruits need to be defined. For example, a population has a spawning area that is different from the area where recruits enter the population. An area-specific model could then be specified which contains spawning categories and recruiting categories. The recruiting categories would be specified in the subcommand `categories`, as these would be the categories receiving recruits.

If `@initialisation_phase, type=derived` is used, then all categories that are a part of that recruitment process need to be specified as well. For example,

```
@process Recruitment_stock1
type recruitment_beverton_holt
categories stock1.immature.M stock1.immature.female stock1.spawn.male stock1.spawn.female
proportions 0.5 0.5 0.0 0.0
r0 500000
ssb SSB1
....

@process Recruitment_stock2
type recruitment_beverton_holt
categories stock2.immature.male stock2.immature.female stock2.spawn.male stock2.spawn.female
proportions 0.5 0.5 0.0 0.0
r0 200000
ssb SSB2
....
```

The `proportions = 0.0` for “spawn.male” and “spawn.female” are needed due to the way the derived initialisation phase works. The derived initialisation finds a solution for when `r0 = 1.0` based on an infinite geometric series for the plus group, and scales the initial partition by `r0`. Thus, if all categories are not specified, then those that are missed would not be initialised to true values and this could lead to inaccurate model outputs. This set-up extends to multiple-stock fisheries model configurations as well, where all of the categories that make up the stock need to be listed.

### 5.3.2 Ageing

The ageing process “ages” individuals, i.e., this process moves all individuals in the named categories  $j$  from one age class  $a$  to age class  $a + 1$ , or accumulates them if the last age class is a plus group.

The ageing process is defined as,

$$\text{element}(a + 1, j) \leftarrow \text{element}(a, j) \quad (5.9)$$

except in the case of the plus group (if defined),

$$\text{element}(a_{\max}, j) \leftarrow \text{element}(a_{\max}, j) + \text{element}(a_{\max-1}, j). \quad (5.10)$$

For example, to apply ageing to the categories `immature` and `mature`, the syntax is

```
@process Ageing
type ageing
categories immature mature
```

Note: the ageing process is *NOT* applied by Casal2 by default — it needs to be explicitly specified. As with all other processes, Casal2 will not apply a process unless it is defined and specified within the annual cycle. Hence, it is possible to specify a model where a category is not aged. *Casal2 will not check or otherwise warn if there is a category defined where ageing is not applied.*

### 5.3.3 Mortality

There are 8 types of mortality processes available in Casal2, and three tag related processes that also cause mortality:

- constant rate,
- event,
- biomass-event,
- instantaneous,
- instantaneous retained (discards),
- Holling,
- initialisation,
- a density-dependent relationship based on prey suitability,
- Tag-release by age,
- Tag-release by length, and
- Tag-loss

These processes remove individuals from the partition, either as a rate, as a total number (abundance), as a biomass of individuals or, as a combination of these. Casal2 does not (yet) implement the Baranov catch equation. However, instantaneous mortality is considered an approximation to the Baranov catch equation.

To apply both natural and biomass-event mortality, the mortality type `mortality_instantaneous` can be specified. Or, you can use `mortality_instantaneous_retained`, where discards are allowed. Mortality blocks are special because they allow for both natural mortality and fishing mortality to be applied at the same time. Note that all mortality processes occur within the mortality block of a time step. See Section 5.3.3 for more information and definitions on mortality blocks.

**Timing evaluation interval; timing the point when observations are fitted or derived quantities are evaluated** Observations (see Section 7) and derived quantities (see Section 5.4) need a concept called a *timing evaluation interval* so that the “time” within a year can be specified for their fit or evaluation. This interval is intimately tied into mortality processes.

There can be one or more mortality processes specified within a time-step, but these must be grouped sequentially, i.e., there cannot be a non-mortality process between any two mortality processes within any one time step. The sequence of mortality processes is called a *timing evaluation interval*. If no mortality processes occurs in a time step, then the *timing evaluation interval* is defined to occur at the end of the time step, i.e., it is a virtual, unspecified, process. Thus each time step has one *timing evaluation interval*.

Casal2 will output an error if more than one *timing evaluation interval* occurs in a single time step.

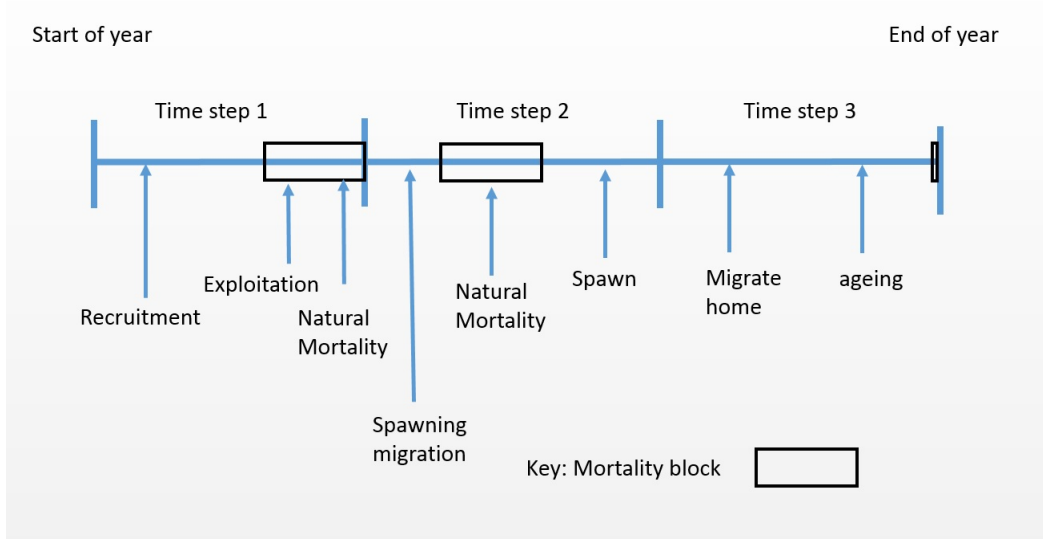
The “time” for an observation or derived quantity is based on the proportion of mortality that has occurred within the *timing evaluation interval*. The starting and ending partition are saved so that a partition can be estimated by interpolation between the start and end partitions.

For example, the point of calculation can be set to a point when 75 % of the deaths from natural mortality plus catch has occurred. The partition at this point is based on interpolating between the start and end of the interval as the partition is known at those points. Two methods are available: `weighted_sum` and `weighted_product`, and are defined as

- `weighted_sum`: after proportion  $p$  through the mortality block, the partition elements are given by  $n_{p,j} = (1 - p)n_j + p'_j$
- `weighted_product`: after proportion  $p$  through the mortality block, the partition elements are given by  $n_{p,j} = n_j^{1-p} n_j'^p$

where  $n_{p,j}$  is the derived quantity at proportion  $p$  of the mortality block for category  $j$ ,  $n_j$  is the quantity at the beginning of the mortality block, and  $n'_j$  is the quantity at the end of the mortality block.

In the case of a virtual *timing evaluation interval*, the partition at the end of the time-step is used.



**Figure 5.2:** A example sequence for an annual cycle.

**Constant mortality rate** To specify a constant annual mortality rate (e.g.  $M = 0.2$ ) for categories "male" and "female"

```
# A process with label NaturalMortality
@process NaturalMortality
type          mortality_constant_rate
categories    male female
# effectively age related mortality
relative_m_by_age One One
m             0.2 0.2
```

The total number of individuals removed from a category

$$D_{j,t} = \sum_a N_{a,j,t} [1 - \exp(-S_{a,j} M_{a,j} p_t)] \quad (5.11)$$

where  $D_{j,t}$  is the total number of deaths in category  $j$  in time step  $t$ ,  $N_{a,j,t}$  is the number of individuals in category  $j$  of age  $a$  in time step  $t$ ,  $S_{a,j}$  is the selectivity value for age  $a$  in category  $j$ ,  $M_{a,j}$  is the mortality rate for category  $j$  for age  $a$ , and  $p_t$  is the proportion of the mortality rate to apply in time step  $t$ .

The mortality rate process requires the specification of the mortality-by-age curve which is specified using a selectivity. To apply the same mortality rate over all age classes in a category, use a selectivity defined as  $S_{a,j} = 1.0$  for all ages  $a$  in category  $j$

```
@selectivity One
type constant
c 1
```

Age-specific mortality rates can also be applied. For example, the hypothesis that mortality is higher for younger and older individuals and lowest when individuals are at their optimal fitness could be defined by using a double exponential selectivity (see Section 5.11)

```
@selectivity age_specific_M
type double_exponential
x0 7.06524
x1 1
x2 17
y0 0.182154
y1 1.43768
y2 1.57169
alpha 1.0

@process      NaturalMortalityByAge
type          mortality_constant_rate
categories    male female
relative_m_by_age age_specific_M age_specific_M
m             1.0 1.0
```

In this definition  $m$  is set to 1.0 and the rate is described through the selectivity. Otherwise,  $M_{age} = S_{age} * m$ . This concept can be constructed similarly for other mortality methods such as `instantaneous_mortality`.

**Event and biomass-event mortality** The event mortality and biomass-event mortality processes are applied in a similar manner, except that they remove a specified abundance (number of individuals) or biomass, respectively. These mortality processes can be used to define mortality events where the numbers of removals are known, e.g., fishing, rather than applying mortality as a rate.

In these cases, the abundance or biomass removed is also constrained by a maximum exploitation rate. Casal2 removes as many individuals or as much biomass as possible, while not exceeding the maximum exploitation rate.

Event mortality processes require a penalty to avoid estimating parameter values that will not allow the defined number of individuals to be removed. The model penalises those parameter estimates that result in an too low a number of individuals in the defined categories (after applying selectivities) to allow for removals at the maximum exploitation rate, with a similar penalty for biomass. See Section 6.8 for more information on how to specify penalties.

The event mortality applied to user-defined categories  $i$ , with the numbers removed at age  $j$  determined by a selectivity-at-age  $S_j$ :

First, calculate the vulnerable abundance for each category  $j$  in  $1 \dots J$  for ages  $a = 1 \dots A$  that are subject to event mortality

$$V_{a,j} = S_{a,j} N_{a,j} \quad (5.12)$$

and define the total vulnerable abundance  $V_{total}$  as

$$V_{total} = \sum_j \sum_a V_{a,j} \quad (5.13)$$

The exploitation rate to apply is

$$U = \begin{cases} C/V_{total}, & \text{if } C/V_{total} \leq U_{max} \\ U_{max}, & \text{otherwise} \end{cases} \quad (5.14)$$

The number removed  $R_{a,j}$  from each age  $a$  in category  $j$  is,

$$R_{a,j} = UV_{a,j} \quad (5.15)$$

For example, to specify an **abundance-based** fishing mortality process with catches given for a set of specific years over categories "immature" and "mature", with selectivity "FishingSel", and assuming a maximum possible exploitation rate of 0.7, the syntax is

```
@process      Fishing
type          event_mortality
categories    immature mature
years         2000 2001 2002 2003
U_max         0.70
selectivities FishingSel FishingSel
penalty       event_mortality_penalty
```

and specified similarly for a **biomass-based** fishing mortality process

```
@process      Fishing
type          mortality_event_biomass
categories    immature mature
years         2000 2001 2002 2003
U_max         0.70
selectivities FishingSel FishingSel
penalty       event_mortality_penalty
```

**Instantaneous mortality** The instantaneous mortality process combines both natural mortality and fishing exploitation into a single process. This allows the simultaneous application of both natural mortality and anthropogenic mortality to occur across multiple time steps. This process accounts for half the natural mortality within a time step before calculating vulnerable biomasses for calculating exploitation rates. The remaining half of the natural mortality is taken after exploitation has been accounted for. The input for this process is catches and these can either be specified as biomasses or numbers (abundance). In fisheries models in Casal2 this is the most commonly used mortality process.

This process allows for multiple removal events, e.g., a fisheries model with multiple fisheries and/or fleets. A removal method can occur in one time step only, although multiple removals can be defined to cover events during the year.

The equations for instantaneous mortality are based on Pope's discrete catch equation, which assumes catch is known without error. Casal2 will try and take the exact catch specified in the input.

- An exploitation rate (actually a proportion) is calculated for each fishery, as the catch divided by the selected-and-retained abundance or biomass termed vulnerable biomass. Vulnerable biomass is calculated by accounting for half natural mortality ( $M_{a,c}$ ) that occurs at time-step which is defined by the subcommand `time_step_proportions` and denoted by  $p_t$ ,

$$U_f = \frac{C_f}{\sum_c \sum_a \bar{w}_{a,c} S_{f,a,c} n_{a,c} \exp(-0.5 p_t M_{a,c})},$$

where  $S_{f,a,c}$  is the fishery selectivity for age  $a$  and category  $c$ ,  $\bar{w}_{a,c}$  is mean weight and  $n_{a,c}$  numbers at age before applying fishing. The categories  $c$  are user defined for each fishery  $f$ , which are defined in the `table` method (see below for an example).

- The fishing pressure associated with method  $f$  is defined as the maximum proportion of fish taken from any element of the partition in the area affected by the method  $f$

$$U_{f,obs} = \max_{a,c} \left( \sum_k \sum_c S_{k,a,c} U_k \right)$$

where the maximum is over all partition elements (age and categories) affected by fishery  $f$ , and the summation is over all fisheries  $k$  which affect these partition elements in the same time step as fishery  $f$ .

In cases with a single fishery the fishing pressure will be equal to the exploitation rate (i.e.,  $U_{f,obs} = U_f$ ), but can be different if: (a) there is another removal method operating in the same time step as removal method  $f$  and affecting some of the same partition elements, and/or (b) the selectivity  $S_{f,a}$  does not have a maximum value of 1.

There is a maximum mortality pressure limit of  $U_{f,max}$  for each method of removal  $f$ . So, no more than proportion  $U_{f,max}$  can be taken from any element of the partition affected by removal method  $f$  in that time step. Clearly,  $0 \leq U_{max} \leq 1$ . It is an error if two removal methods, which affect the same partition elements in the same time step, do not have the same  $U_{max}$ .

For each  $f$ , if  $U_{f,obs} > U_{f,max}$ , then  $U_f$  is multiplied by  $U_{f,max}/U_{f,obs}$  and the mortality pressures are recalculated. In this case the catch actually taken from the population in the model will differ from the specified catch,  $C_f$ .

- The partition is updated using

$$n'_{a,c} = n_{a,c} \exp(-p_t M_{a,c}) \left[ 1 - \sum_f S_{f,a,c} U_f \right]$$

For example, to apply natural mortality of 0.20 across three time steps on both male and female categories, with two methods of removals (fisheries `FishingWest` and `FishingEast`) and their respective catches (kg) known for years 1975:1977 (the catches are given in the `catches` table and information on selectivities, penalties, and maximum exploitation rates are given in the `method` table), the syntax is

```
@process instant_mort
type mortality_instantaneous
m 0.20
time_step_proportions 0.42 0.25 0.33
relative_m_by_age One
categories male female
biomass true
units kgs

table catches
year FishingWest FishingEast
1975 80000 111000
1976 152000 336000
1977 74000 1214000
end table

table method
method      category  selectivity u_max  time_step  penalty
FishingWest stock     westFSel   0.7    step1      CatchPenalty
FishingEast stock     eastFSel   0.7    step1      CatchPenalty
end_table
```

For referencing catch parameters for use in projecting, time-varying, and estimating, the syntax is

```
parameter process[mortality_instantaneous].method_"method_label"{2018}
```

where "method\_label" is the label from the catch or method table and continuing the example,

```
parameter process[instant_mort].method_FishingWest{2018}
```

To calculate weight by empirical weight-at-age matrices as described in Section 5.8, the method table would include an additional column to reference weight-at-age objects:



```
@age_weight jan_weight_at_age
type data
table data
year 1 2 3 4
1980 3.4 5.6 7.23 8.123
end_table
```

```
table method
method category selectivity u_max time_step penalty age_weight
FishingWest stock westFSel 0.7 step1 CatchPenalty jan_weight_at_age
FishingEast stock eastFSel 0.7 step1 CatchPenalty jan_weight_at_age
end_table
```

**Instantaneous mortality with retained catch and discards** The instantaneous mortality retained process builds on the instantaneous mortality process (5.3.3) which has simultaneous applications of fishing and natural mortality, but with all catch-at-sea being landed, i.e., no discarding. The process `mortality_instantaneous_retained` allows for retained catch, discards, and also a mortality to be applied to discards, i.e., some are allowed to survive. The method for taking catch from the partition and the constraints used are the same as in `mortality_instantaneous`.

This process was implemented to address issues with the pot fishery for blue cod which has a minimum legal size and so some catch is discarded at sea and some of these discards are expected to survive (based on some experimental work). There are length data taken at sea, so the total catch selectivity can be estimated, and length and age data taken from the landed catch (retained), so the retention selectivity can also be estimated.

In this mortality process, discard mortality is specified by defining a selectivity to represent mortality by age or length (e.g., constant or asymptotic descending logistic). This discard selectivity is not be estimated since there is no observation class associated with it. If discard mortality is not provided, it is assumed that all discards die. Landed catch, and both the retained and total catch selectivities must be specified.

Extending the example shown in instantaneous mortality process (5.3.3) to use retained weight instead of catch, the commands are:

```
@process FishingRetainedCatch
type mortality_instantaneous_retained
# natural mortality
m 0.20
# the ratio of natural mortality in each of the three time steps
time_step_proportions 0.42 0.25 0.33
relative_m_by_age One
#for natural mortality by age
categories male female
units kgs

table catches
# two fisheries, West and East
year FishingWest FishingEast
# the catches are now landed catch
1975 80000 111000
1976 152000 336000
1977 74000 1214000
end_table

table method
# all discards die
method category selectivity retained_selectivity u_max time_step penalty
FishingWest stock westFSel westRetainedSel 0.7 step1 CatchPenalty
FishingEast stock eastFSel eastRetainedSel 0.7 step1 CatchPenalty
```

end\_table

If discard mortality is less than 1.0, use:

```
table method
# 50% discard mortality
method    category selectivity retained_selectivity discard_mortality u_max time_step penalty
FishingWest stock  westFSel    westRetainedSel    DisMort    0.7 step1 CatchPenalty
FishingEast stock  eastFSel    eastRetainedSel    DisMort    0.7 step1 CatchPenalty
end_table

@selectivity DisMort
Type constant
# 50% mortality of discards
c 0.5
```

See the instantaneous mortality process (5.3.3) for referencing catch parameters and calculating weight using empirical weight-at-age matrices.

The report outputs total catch, actual landed catch, and discards, without and with discard mortality:

```
@report Mortality
type process
process Instantaneous_Mortality_Retained
```

In the following, fisheries are indexed by  $f$ , and  $a$  indexes both age and category combinations.

The total catch is found by applying a selectivity,  $S_{f,a}$ , in the same way as in the instantaneous mortality process. Retention,  $R_{f,a}$ , is defined by specifying a selectivity, which can be a function of length or age. The retained catch is the product of these two values,  $R_{f,a} * S_{f,a}$ . If sex is in the partition, then there are potentially two retention curves, one for each sex.

In general, there is a retention curve for each category in the partition. This property does not apply to surveys. Discard mortality is also specified as a selectivity,  $D_{f,a}$ . The fraction of dead fish from fishing activity is  $S_{f,a} * [R_{f,a} + (1.0 - R_{f,a}) * D_{f,a}]$ . If  $D_{f,a}$  is 1.0, then all selected fish are dead, and if it is 0.0, then only the retained fish are dead.

The equations for the mortality\_instantaneous\_retained process:

- Total catch (catch-on-board),  $C_f$ , is calculated by (retained catch) \* VF / VR, where VF is vulnerable retained biomass,  $j$  indexes categories and  $t$  is the proportion of M in the time step, and VF is the full vulnerable biomass,  $VF = \sum_{a,j} \bar{w}_a S_{a,j} n_{a,j} \exp(-0.5tM_{a,j})$ .
- An exploitation rate (actually a proportion) is calculated for each fishery, as the total catch (retained + discards) divided by the selected biomass (VF above) using selectivity  $S_{f,a}$ ,

$$U_f = \frac{C_f}{\sum_a \bar{w}_a S_{f,a} n_a \exp(-0.5tM_a)}$$

- The mortality pressure associated with method  $f$  is defined as the maximum proportion of fish taken from any element of the partition in the area affected by the method  $f$ ,

$$U_{f,obs} = \max_a \left( \sum_k S_{k,a} U_k \right)$$

where the maximum is over all partition elements affected by fishery  $f$ , and the summation is over all methods  $k$  which affect the  $j$ th partition element in the same time step as fishery  $f$ .

In most cases the mortality pressure will be equal to the exploitation rate (i.e.,  $U_{f,obs} = U_f$ ), but can be different if: (a) there is another removal method operating in the same time step as removal method

$f$  and affecting some of the same partition elements, and/or (b) the selectivity  $S_{f,a}$  does not have a maximum value of 1.

There is a maximum mortality pressure limit of  $U_{f,max}$  for each method of removal  $f$ . So, no more than proportion  $U_{f,max}$  can be taken from any element of the partition affected by removal method  $f$  in that time step. Clearly,  $0 \leq U_{max} \leq 1$ . It is an error if two removal methods, which affect the same partition elements in the same time step, do not have the same  $U_{max}$ .

For each  $f$ , if  $U_{f,obs} > U_{f,max}$ , then  $U_f$  is multiplied by  $U_{f,max}/U_{f,obs}$  and the mortality pressures are recalculated. In this case the catch actually taken from the population in the model will differ from the specified catch,  $C_f$ .

- Discard numbers-at-age (including their share of natural mortality) is  $S_{a,j}(1 - R_{a,j})n_{a,j}\exp(-0.5tM_{a,j})$ , and those that die at the end of the time step (updating the partition) are  $D_{a,j}S_{a,j}(1 - R_{a,j})n_{a,j}\exp(-tM_{a,j})$ , where  $D_{f,a}$  is the fraction that die on return to the sea.
- The partition is updated by removing landed catch, natural mortality, and discard mortality

$$n'_a = n_a \exp(-tM_a) \left[ 1 - \sum_f S_{f,a} U_f (R_{f,a} + D_{f,a}(1 - R_{f,a})) \right]$$

**Mortality Hybrid** The hybrid fishing mortality process in Casal2 uses the methods and algorithms applied in Stock Synthesis (Methot Jr and Wetzel, 2013). The descriptions below are heavily based on the text describing this approach in Appendix of Methot Jr and Wetzel (2013).

This process begins by calculating popes discrete approximation (same as `mortality_instantaneous` (Section 5.3.3)), and then converts this to Baranov fishing mortality coefficients. A tuning algorithm is then done to tune these coefficients to match input catch nearly exactly, rather than the full Baranov approach.

Total mortality ( $Z_{t,c,a}$ ) is calculated as

$$Z_{t,c,a} = M_{c,a,t} + \sum_f S_{f,c,a} F_{f,t}$$

where,  $M_{c,a,t}$  is the natural mortality rate,  $F_{f,t}$  is fishing mortality and  $S_{f,c,a}$  is the selectivity for category  $c$ , age  $a$ , time-step  $t$  and fishery  $f$ . In the context of this description  $t$  denotes both year and time-step.

The hybrid fishing mortality method allows the  $F$  values to be tuned to match input catch nearly exactly, rather than full model parameters. The process begins by calculating the mid time-step exploitation rate using Popes approximation. This exploitation rate is then converted to an approximation of the Baranov continuous  $F$ . The  $F$  values for all fisheries operating in that time-step are then tuned over a set number of iterations (`f_iterations`) to match the observed catch for each fishery with its corresponding  $F$ . Differentiability is achieved by the use of Pope's approximation to obtain the starting value for each  $F$  and then the use of a fixed number of tuning iterations, typically 4. Tests from Stock Synthesis have shown that modelling  $F$  as hybrid versus  $F$  as a parameter has trivial impact on the estimates of the variances of other model derived quantities.

The hybrid method calculates the harvest rate using the Pope's approximation then converts to an approximation of the corresponding  $F$  as:

$$V_{f,t} = \sum_c \sum_a N_{a,c,t} \exp(-\delta_t M_{c,a,t})$$

$$\tilde{U}_{t,f} = \frac{C_{f,t}^{obs}}{V_{f,t} + 0.1 C_{f,t}^{obs}} \quad (5.16)$$

$$j_{t,f} = (1 + \exp(30(\tilde{U}_{t,f} - 0.95)))^{-1} \quad (5.17)$$

$$U_{t,f} = j_{t,f} \tilde{U}_{t,f} + 0.95(1 - j_{t,f}) \quad (5.18)$$

$$\tilde{F}_{f,t} = \frac{-\log(1 - U_{t,f})}{\delta_t} \quad (5.19)$$

where,  $C_{f,t}^{obs}$  is the observed catch,  $\delta_t$  is the duration of the period of observation within the time-step. In most situations where the entire catch has been observed in a time-step. This should be one. Casal2 will log a warning if not equal to one.  $V_{f,t}$  is partway vulnerable biomass and  $\tilde{F}_{f,t}$  is the initial  $F$ .

The formulation above is designed so that high exploitation rates (above 0.95) are converted into an  $F$  that corresponds to a harvest rate of close to 0.95, thus providing a more robust starting point for subsequent iterative adjustment of this  $F$ . The logistic joiner,  $j$ , is used at other places in Stock Synthesis to link across discontinuities. The catch at time  $t$ , for category  $c$

The tuning algorithm begins by setting  $F_{f,t} = \tilde{F}_{f,t}$  and repeating the following algorithm `f_iteration` times.

$$\hat{C}_{t,c,a} = \sum_f F_{f,t} (S_{f,c,a} N_{t,c,a}) \lambda_{t,c,a}^*$$

where,  $\lambda_{t,c,a}^*$  denotes the survivorship and is calculated as:

$$\lambda_{t,c,a}^* = \frac{1 - \exp(-\delta_t Z_{t,c,a})}{Z_{t,c,a}} \quad (5.20)$$

Total fishing mortality is then adjusted over several fixed number of iterations (typically four, but more in high  $F$  and multiple fishery situations). The first step is to calculate the ratio of the total observed catch over all fleets to the predicted total catch according to the current  $F$  estimates. This ratio provides an overall adjustment factor to bring the total mortality closer to what it will be after adjusting the individual  $F$  values.

$$\hat{C}_t = \sum_f \sum_c \sum_a F_{f,t} (S_{f,c,a} N_{t,c,a}) \lambda_{t,c,a}^*$$

This is different from Equation A.1.25 in the Appendix of (Methot Jr and Wetzel, 2013). They include  $Z_{t,c,a}$  in the denominator of  $F_{f,t}$ , which is a type error because  $Z_{t,c,a}$  is already included in  $\lambda_{t,c,a}^*$ , see Equation 5.20.

$$Z_t^{adj} = \frac{\sum_f C_{f,t}^{obs}}{\hat{C}_t}$$

The total mortality if this adjuster was applied to all the  $F$ s is then calculated:

$$Z_{t,c,a}^* = M_{t,c,a} + Z_t^{adj} (Z_{t,c,a} - M_{t,c,a})$$

$$\lambda_{t,c,a}^* = \frac{1 - \exp(-\delta_t Z_{t,c,a}^*)}{Z_{t,c,a}^*}$$

The adjusted mortality rate is used to calculate the total removals for each fishery, and then the new  $F$  estimate is calculated by the ratio of observed catch to total removals, with a constraint to prevent unreasonably high  $F$  calculations (`max_f`):

$$\begin{aligned} \tilde{V}_{f,t} &= \sum_c \sum_a (N_{t,c,a} \bar{w}_{t,c,a} S_{f,c,a}) \lambda_{t,c,a}^* \\ F_{t,f}^* &= \frac{C_{f,t}^{obs}}{\tilde{V}_{f,t} + 0.0001} \\ j_{t,f}^* &= (1 + \exp(30(F_{t,f}^* - 0.95F_{max})))^{-1} \end{aligned}$$

where,  $F_{max}$  is a user defined maximum fishing mortality  $f_{max}$ . The  $F$  at the end of each tuning iteration follows:

$$F_{t,f} = j_{t,f}^* F_{t,f}^* + (1 - j_{t,f}^*) F_{max}$$

After the tuning algorithm removals at age, and other derived quantities are recorded. The final total mortality is updated

$$Z_{t,c,a} = M_{c,a,t} + \sum_f S_{f,c,a} F_{f,t}$$

and the partition modified,

$$N_{t,c,a}^* = N_{t,c,a} \exp(-Z_{t,c,a})$$

During initialisation phases and in years or time-steps with no catch,  $Z_{t,c,a} = M_{c,a,t}$ .

This process generates numbers at age removed for each year, fishery, category and age ( $C_{t,f,c,a}$ ) which can be accessed by `process_removals` observations. Numbers at age are calculated as

$$\hat{C}_{t,f,c,a} = \frac{F_{t,f,a}}{Z_{t,c,a}} N_{t,c,a} \exp(-Z_{t,c,a})$$

Total catch is the summed over categories and age for a time-step and fishery as

$$\hat{C}_{t,f} = \sum_c \sum_a \hat{C}_{t,f,c,a} \bar{w}_{t,a,c}$$

where  $\bar{w}_{t,a,c}$  is the mean weight, abundance can be derived by flagging `biomass` false, where mean weight is omitted from above calculation. If users assign a penalty in the `method` table, then the penalty is flagged each time-step and for each fishery, which calculates the difference between  $\hat{C}_{t,f}$  and  $C_{f,t}^{obs}$ , to ensure the catch observed is taken. This makes the assumption that catch is known without error, which may differ from other assessment packages.

The following is an excerpt of the input files. However, see Section 9.5.11 for details and descriptions on the subcommands.

```
@process total_mortality
type mortality_hybrid
m 0.15
time_step_proportions 1
relative_m_by_age One*2
categories *
max_f 2.95 ## max F
f_iterations 5 ## number of tuning iterations
table catches
year Fishery
1972 200
1973 1000
1974 1000
end_table

table method
method category selectivity annual_duration time_step penalty
Fishery male fish_sel 1 step1 none
Fishery female fish_sel 1 step1 none
end_table
```

**Holling mortality rate** The density-dependent Holling mortality process applies the Holling Type II or Type III functions (Holling, 1959), and is generalised by the Michaelis-Menten equation (Michaelis and Menten, 1913).

This mortality process removes a number or biomass from a set of categories according to the total (selected) abundance (or biomass) and some "predator" abundance (or biomass), and is constrained by a maximum exploitation rate.

The mortality applied to user-defined categories  $k$ , with the numbers removed at age  $l$ , determined by a selectivity-at-age  $S_l$  is applied as follows:

First, calculate the total predator abundance (or biomass) over all predator categories  $k$  in  $1 \dots K$  and ages  $l = 1 \dots L$  that are applying the mortality

$$P_{k,l} = S_l^{\text{predator}} N_{k,l}^{\text{predator}} \quad (5.21)$$

And define the total predator abundance (or biomass)  $P_{total}$  as

$$P_{total} = \sum_K \sum_L P_{k,l} \quad (5.22)$$

Then calculate the total vulnerable abundance (or biomass) over all prey categories  $k$  in  $1 \dots K$  and ages  $l = 1 \dots L$  that are subject to the mortality

$$V_{k,l} = S_l^{\text{prey}} N_{k,l}^{\text{prey}} \quad (5.23)$$

Then define the total vulnerable abundance (or biomass)  $V_{total}$  as

$$V_{total} = \sum_K \sum_L V_{k,l} \quad (5.24)$$

The number to remove is then determined by

$$R_{total} = P_{total} \frac{a V_{total}^{x-1}}{b + V_{total}^{x-1}} \quad (5.25)$$

where  $x = 2$  for the Holling type II function,  $x = 3$  for the Holling type III function, or a different value of  $x \geq 1$  for the generalised Michaelis-Menten function;  $a > 0$  and  $b > 0$  are the Holling function parameters.

The exploitation rate to apply is

$$U = \begin{cases} R_{total}/V_{total}, & \text{if } R_{total}/V_{total} \leq U_{max} \\ U_{max}, & \text{otherwise} \end{cases} \quad (5.26)$$

And the number removed  $R$  from each age  $l$  in category  $k$  is

$$R_{k,l} = U V_{k,l} \quad (5.27)$$

The density-dependent Holling mortality process is applied either as a function of biomass or abundance, depending on the value of the `is_abundance` switch.

For example, a biomass Holling type II mortality process on prey `prey` by predator `predator` has the syntax

```
@process HollingMortality
type Holling_mortality_rate
is_abundance F
a 0.08
b 10000
x 2
categories prey
selectivities One
predator_categories predator
predator_selectivities One
u_max 0.8
```

**Initialisation-event mortality** Initialisation event mortality is a process that can occur only in the initialisation phase. It applies abundance or biomass mortality events specifically in initialisation phases. This option can be useful if the population is not in equilibrium before model start.

This process applies a single catch value for all iterations within the initialisation phase, and mortality will not be applied outside of the initialisation phase. This process should not be embedded in the annual cycle.

This process should be used in conjunction with the `insert_processes` command in the `@initialisation_phase` block.

**Example syntax** where the `initialisation_mortality_event` has been specified in the initialisation phase `Predation_state` but not in the annual cycle:

```
initialisation_phases Equilibrium_state Predation_state
time_steps Oct_Nov Dec_Mar
```

```
@initialisation_phase Equilibrium_state
type derived
```

```
@initialisation_phase Predation_state
type iterative
insert_processes Oct_Nov()=predation_Initialisation
```

```
@process predation_Initialisation
type initialisation_mortality_event
categories male.HOKI female.HOKI
catch 90000
selectivities Hakes1 Hakes1
```

```
time_step Oct_Nov
processes Mgl Instantaneous_Mortality
```

```
@time_step Dec_Mar
processes Recruitment Instantaneous_Mortality
```

**Initialisation-mortality-baranov** Initialisation Baranov mortality is a process that can occur only in the initialisation phase. It applies an instantaneous fishing mortality rate to categories during the initialisation phases. This option can be useful to explore non-equilibrium population structures.

This process applies a single  $F$  for all iterations within the initialisation phase it is assigned to, and mortality will not be applied outside of the initialisation phase. This process should not be embedded in the annual cycle i.e., not be defined in an `@time_step`.

This process should be used in conjunction with the `insert_processes` command in the `@initialisation_phase` block.

Each category defined in this process will have the following mortality applied each iteration of the initialisation phase

$$N_{a,c}^* = N_{a,c} \exp(-FS_{a,c})$$

where,  $N_{a,c}^*$  are the number for category  $c$  of age  $a$ ,  $F$  is an estimable quantity (fishing\_mortality) and  $S_{a,c}$  is the corresponding selectivity.

Example syntax where the `initialisation_mortality_baranov` has been specified in the initialisation phase but not in the annual cycle:

```
initialisation_phases Equilibrium_state init_F
time_steps Oct_Nov Dec_Mar

@initialisation_phase Equilibrium_state
type derived

@initialisation_phase init_F
type iterative
insert_processes Oct_Nov()=init_F
## because we didn't specify a proccess label in ()
## this will occur at the end of this time-step

@process init_F
type mortality_initialisation_baranov
categories *
selectivities Sel_init_F
fishing_mortality 0.5

@selectivity Sel_init_F
type all_values_bounded
l 2
h 10
v 0.4 * 9
```

**Prey-suitability mortality** The density-dependent prey-suitability mortality process applies predation mortality from a predator group to its prey groups simultaneously. It removes an abundance (or biomass) from each prey group according to the total (selected) abundance (or biomass) of each prey group, the total (selected) abundance (or biomass) of the other prey groups, some "predator" abundance (or biomass), and the preference (electivity) of the predator for each prey group, constrained by a maximum exploitation rate. The predator-prey suitability functions were based on the multispecies Virtual Population Analysis (MSVPA) functions (Jurado-Molina et al., 2005).

The mortality applied to the user-defined prey group  $g$  of category  $k$ , with the numbers removed at age  $l$  determined by a selectivity-at-age  $S_l$  is applied as follows:

First, calculate the total predator abundance (or biomass) over all predator categories  $k$  in  $1 \dots K$  and ages  $l = 1 \dots L$  that are applying the mortality

$$P_{k,l} = S_l^{\text{predator}} N_{k,l}^{\text{predator}} \quad (5.28)$$

And define the total predator abundance (or biomass)  $P_{total}$  as

$$P_{total} = \sum_K \sum_L P_{k,l} \quad (5.29)$$



Then, given the total vulnerable abundance (or biomass) of prey group  $g$  over all categories  $k$  in  $1 \dots K$  and ages  $l = 1 \dots L$  that are subject to the mortality

$$V_{g,k,l} = S_l^{prey} N_{k,l}^{prey} \quad (5.30)$$

And define the total vulnerable abundance (or biomass) of each prey group  $V_{total}^g$  as

$$V_{total}^g = \sum_K \sum_L V_{g,k,l} \quad (5.31)$$

And the total availability  $A_{total}^g$  for each prey group as

$$A_{total}^g = \frac{V_{total}^g}{\sum_G V_{total}^g} \quad (5.32)$$

The vulnerable abundance (or biomass) and availability every prey group  $g$  in  $1 \dots G$  is calculated simultaneously. Then the abundance (or biomass) to remove from each prey group  $g$  is a function of its electivity  $E_g$ , the availability of all other prey groups  $i$  in  $1 \dots G$ , the electivity of the predator for each prey group  $E_i$ , and the total consumption rate of the predator  $CR$  and its abundance (or biomass)  $P_{total}$

$$R_{total}^g = P_{total} CR \frac{A_{total}^g E_g}{\sum_G A_{total}^i E_i} \quad (5.33)$$

The exploitation rate to apply to each prey group  $g$  is then

$$U_g = \begin{cases} R_{total}^g / V_{total}^g, & \text{if } R_{total}^g / V_{total}^g \leq U_{max} \\ U_{max}, & \text{otherwise} \end{cases} \quad (5.34)$$

And the number removed  $R^g$  in each prey group  $g$  from each age  $l$  in category  $k$  is

$$R_{g,k,l} = U_g V_{g,k,l} \quad (5.35)$$

Prey suitability choice occurs only between the prey groups specified by the process. The total predator consumption rate represents the consumption of the predator on those prey groups alone. The electivities must sum to 1. Further, the consumption rate can be modified by a layer to be cell specific.

The density-dependent prey-suitability process is applied as either a biomass or an abundance depending on the value of the `is_abundance` switch.

Individual categories can be aggregated into prey groups using the "+" symbol. To indicate that two (or more) categories are to be aggregated, separate them with a "+" symbol.

For example, to specify two prey groups of two species made up of the males and females in each prey group

```
prey_categories maleSpeciesA + femaleSpeciesA maleSpeciesB + femaleSpeciesB
```

This syntax indicates that there are two prey groups, `maleSpeciesA + femaleSpeciesA` and `maleSpeciesB + femaleSpeciesB`, with each group having its own electivity.

For example, a biomass prey-suitability mortality process with an overall consumption rate of 0.8 of prey species A and species B (modelled as males and females) by the predator `predatorSpecies` with electivities between species A and species B of 0.18 and 0.82 has syntax

```
@process PreySuitabilityMortality
type prey-suitability_predation
is_abundance F
consumption_rate 0.8
categories maleSpeciesA + femaleSpeciesA maleSpeciesB + femaleSpeciesB
electivities 0.18 0.82
selectivities One One One One
predator_categories predatorSpecies
predator_selectivities One
u_max 0.8
```

### 5.3.4 Transition By Category

The transition by category process moves individuals between categories. This process is used to specify transitions such as maturation (individuals move from an immature to mature state) and migration (individuals move from one area to another).

There is a one-to-one relationship between the "from" category and the "to" category, i.e., for every source category there is one target category only

$$N_{a,j} = N_{a,i} \times P_i \times S_{a,i} \quad (5.36)$$

where  $N_{a,j}$  is the number of individuals that have moved to category  $j$  from category  $i$  in age  $a$ ,  $N_{a,i}$  is the number of individuals in category  $i$ ,  $P_i$  is the proportion parameter for category  $i$ , and  $S_{a,i}$  is the selectivity at age  $a$  for category  $i$ .

To merge categories repeat the "to" category multiple times.

For example, to specify a simple spawning migration of mature males from a western area to an eastern (spawning) area, the syntax is

```
@process Spawning_migration
type transition_category
from West.males
to East.males
selectivities MatureSel
proportions 1
```

where `MatureSel` is a selectivity that describes the proportion of age or length classes that are mature and thus move to the eastern area.

If you want to estimate the proportion parameter, the parameter is addressed using the `to` category. For example using the above process the estimate for the proportion parameter would follow

```
@estimate proportion_male_spawning
parameter process[Spawning_migration].proportions{East.males}
...
```

**Transition by category by age** A special process type is the transition by category by age process, which allows a transition to occur for a specific subset of ages in specific years only, where each year can have a different number that are moved between categories.

### 5.3.5 Tag Release events

Tagging processes can be age- or length-based processes, whereby numbers of individuals are moved from an untagged category to a tagged category defined in the `@categories` block. Tag release processes can also account for initial tag-induced mortality on individuals.

Age-based tag release events move a known number of individuals tagged for each age to a tagged category, along with applying additional mortality. Individuals are removed from the non-tagged categories and added to tagged categories. Often the ages of tagged individuals are not known, so length-based tag release events are more commonly used.

Length-based tag release processes are more complicated, as the age-length matrix is calculated and the exploitation for each length bin to then move the correct numbers-at-age based on the known lengths of release. Casal2 also allows for initial tag loss.

#### Tag Release By Length `compatibility_switch casal2`

For each length bin  $l$  of the input vector of proportions-at-length  $p_l$  and total tag releases denoted by  $M$ . The vulnerable numbers for age  $a$ , length  $l$ , and category  $j$  are calculated as

$$V_{a,l,j} = N_{a,j} \phi_{a,l,j} S_{a,j}$$

where,  $\phi_{a,l,j}$  is the age-length matrix (Section 5.6.5), and  $S_{a,j}$  is the selectivity. The transition matrix is calculated as,

$$T_{a,l,j} = \frac{V_{a,l,j}}{\sum_a \sum_j V_{a,l,j}} p_l$$

and final tag-release by age and category are

$$M_{a,j} = \sum_l T_{a,l,j} M$$

An age based maximum transition rate is calculated to stop tagging more fish than are available in the population, in this case the penalty is flagged, see below

$$u_{a,j} = \frac{M_{a,j}}{N_{a,j}}$$

$$u_{a,j} = \begin{cases} u_{max}, & \text{if } u_{a,j} > u_{max} \text{ flag a penalty} \\ u_a, & \text{otherwise} \end{cases}$$

The resulting tag-releases for each age and category denoted by  $\tilde{N}_{a,j}$  are thus

$$\tilde{N}_{a,j} = N_{a,j} u_{a,j}$$

Release mortality denoted by  $h_a$  can also be applied as

$$\tilde{N}_{a,j} = \tilde{N}_{a,j} (1.0 - h_a)$$

The syntax for an example of tag release by length process

```
@process 2005Tags_shelf
type tag_by_length
years 2005
from male.untagged+female.untagged
to male.2005 female.2005
selectivities ShelfselMale ShelfselFemale
penalty tagging_penalty
initial_mortality 0.1
table proportions
year 30 40 50 60 70 80 90 100 110 120 130 140 150 160 170 180 190 200 210 220
2005 0 0 0.0580 0.1546 0.3380 0.1981 0.1643 0.0531 0.0242 0.0097 0 0 0 0 0 0 0 0 0 0
end_table
n 207
U_max 0.999
```

This process moves 207 individuals from a combination of male.untagged and female.untagged categories, based on the combination of growth rates and selectivity, into tagged male and tagged female categories.

For `compatibility_switch casal` this describes the algorithm applied in CASAL, which should yield identical results when a single untagged category and tagged category are supplied. There is a small difference when input numbers at length are defined for a combination of categories (unsexed) and we allocated into each corresponding category (male and female). This is supplied for backwards compatibility with CASAL. We recommend using `compatibility_switch casal2` for when  $p_l$  is unsexed but sex is in the partition.

For each length bin  $l$  of the input vector of proportions-at-length  $p_l$  and total tag releases denoted by  $M$ . The vulnerable numbers for age  $a$ , length  $l$ , and category  $j$  are calculated as

$$V_{a,l} = N_{a,j} \phi_{a,l,j} S_{a,j}$$

Note this is where the `compatibility_switch` differ, the `casal2` option preserves the category difference, where as `casal` amalgamates them.  $\phi_{a,l,j}$  is the age-length matrix (Section 5.6.5), and  $S_{a,j}$  is the selectivity. The transition matrix is calculated as

$$T_{a,l} = \frac{V_{a,l}}{\sum_a V_{a,l}} p_l$$

and final tag-release by age are

$$M_a = \sum_l T_{a,l} M$$

An age-based maximum transition rate is calculated to stop tagging more fish than are available in the population, in this case the penalty is flagged, see below.

$$u_a = \frac{M_a}{N_a}$$

$$u_a = \begin{cases} u_{max}, & \text{if } u_a > u_{max} \text{ **flag a penalty**} \\ u_a, & \text{otherwise} \end{cases}$$

The resulting tag-releases for each age and category denoted by  $\tilde{N}_{a,j}$  are thus

$$\tilde{N}_{a,j} = N_{a,j} u_a$$

Release mortality denoted by  $h_a$  can also be applied as

$$\tilde{N}_{a,j} = \tilde{N}_{a,j} (1.0 - h_a)$$

### 5.3.6 Tag loss

Tag Loss is the process which accounts for tagged fish being removed from the partition. For example tag related mortality or tag failure. This process is applied as an instantaneous mortality rate that can happen over multiple time steps in the annual cycle. This method assumes that when tags are lost the individuals are deleted from the model.

Two options are available depending on whether the tag release event were tagged with a single tag (`tag_type single`) and double tag (`tag_type double`).

For elements in the partition indexed by age  $a$  and category  $c$ , the number of tag lost ( $N_{c,a}^*$ ) at time step  $t$  with loss rate  $r$  and proportion denoted by  $p^t$  for type `single` is

$$N_{c,a}^* = N_{c,a} \exp(-r_a p^t) \tag{5.37}$$

where  $N_{c,a}$  is the number of tagged fish before the process is applied.

For tag type double

$$N_{c,a}^* = 1 - (1 - N_{c,a} \exp(-r_a p^t)) (1 - N_{c,a} \exp(-r_a p^t)) \quad (5.38)$$

The syntax for the tag loss process follows

```
@process Tag_loss
type tag_loss
categories single_tagged_fish
tag_loss_rate 0.02
time_step_proportions 0.25 0.75
selectivities One
tag_loss_type single
year 1985
```

and double tagged

```
@process Tag_loss
type tag_loss
categories double_tagged_fish
tag_loss_rate 0.02
time_step_proportions 0.25 0.75
selectivities One
tag_loss_type double
year 1985
```

## 5.4 Derived quantities

Some processes require a population value derived from the population state as an argument. These values are derived quantities. Derived quantities are values calculated in a specified time step in every year, and thus have a single value for each year of the model. The time within the time-step is at the end unless otherwise specified (using the *proportion\_mortality* subcommand).

Derived quantities can be calculated as either abundance or biomass. Abundance-derived quantities are the sum over the specified categories (after applying a selectivity). Biomass-derived quantities are calculated similarly.

Derived quantities are also calculated during the initialisation phases. Therefore, the time step during each initialisation phase must be specified. If the initialisation time steps are not specified, the derived quantity will be calculated during the initialisation phases.

A common use of an derived quantities is as input into a stock-recruit relationship which requires an equilibrium biomass ( $B_0$ ) and annual spawning stock biomass values ( $SSB_y$ ) to calculate recruitment into the first age class.  $SSB_y$  is an derived quantity based on the mature biomass, usually at spawning time.

Derived quantities can be associated with a *time evaluation interval*; see Section 5.3.3 for more detail on mortality blocks. In this case, the point of calculation can be set to any point within the mortality block, e.g., when 75% of the deaths from natural mortality plus catch has occurred, which is based on interpolating between the start and end of the block as the partition is known at those points. Two methods are available: `weighted_sum` and `weighted_product`, and are defined as

- `weighted_sum`: after proportion  $p$  through the mortality block, the partition elements are given by  $n_{p,j} = (1 - p)n_j + p'_j$
- `weighted_product`: after proportion  $p$  through the mortality block, the partition elements are given by  $n_{p,j} = n_j^{1-p} n'_j{}^p$

where  $n_{p,j}$  is the derived quantity at proportion  $p$  of the mortality block for category  $j$ ,  $n_j$  is the quantity at the beginning of the mortality block, and  $n'_j$  is the quantity at the end of the mortality block.

For example, to define a biomass-derived quantity spawning stock biomass,  $SSB$ , calculated at the end of the first time step (labelled `step_one`), over all "mature" male and female categories and halfway through the mortality block using the `weighted_sum` method, the syntax is

```
@derived_quantity SSB
type          biomass
time_step     step_one
categories    mature.male mature.female
selectivities One
time_step_proportion      0.5
time_step_proportion_method weighted_sum
```

## 5.5 Growth

### 5.6 Age-length relationship

The age-length relationship defines the functional form of the length-at-age (and the weight-at-length; see Section 5.7) of individuals at age/category within the model.

There are four length-age relationship options. The first is the naive "no relationship", where each individual has length 1 regardless of age. The others are: von Bertalanffy relationship, the Schnute relationship, and "data" (empirical mean length-at-age for each model year).

The length-at-age relationship is used to calculate the length frequency given age, and with the length-weight relationship, the weight-at-age of individuals within an age/category. When defining length-at-age, the length-weight relationship must also be defined (see Section 5.7).

For most weight-based processes, derived quantities, and observations the users have the option of supplying a matrix of mean weight-at-age for each year (see section 5.8). If these are supplied then this age-length-weight process is ignored.

Changes in length-at-age during the year, i.e., growth between birthdays, are represented by incrementing age as specified by the `time_step_proportions` parameter.

#### 5.6.1 The 'none' relationship

The length of each individual is 1 for all ages, and the `none` length-weight relationship must also be used.

#### 5.6.2 The von Bertalanffy relationship

$$\bar{s}(\text{age}) = L_{\infty} (1 - \exp(-k(\text{age} - t_0))) \quad (5.39)$$

#### 5.6.3 The Schnute relationship

$$\bar{s}(\text{age}) = \begin{cases} \left[ y_1^b + (y_2^b - y_1^b) \frac{1 - \exp(-a(\text{age} - \tau_1))}{1 - \exp(-a(\tau_2 - \tau_1))} \right]^{1/b}, & \text{if } a \neq 0 \text{ and } b \neq 0 \\ y_1 \exp \left[ \ln(y_2/y_1) \frac{1 - \exp(-a(\text{age} - \tau_1))}{1 - \exp(-a(\tau_2 - \tau_1))} \right], & \text{if } a \neq 0 \text{ and } b = 0 \\ \left[ y_1^b + (y_2^b - y_1^b) \frac{\text{age} - \tau_1}{\tau_2 - \tau_1} \right]^{1/b}, & \text{if } a = 0 \text{ and } b \neq 0 \\ y_1 \exp \left[ \ln(y_2/y_1) \frac{\text{age} - \tau_1}{\tau_2 - \tau_1} \right], & \text{if } a = 0 \text{ and } b = 0 \end{cases} \quad (5.40)$$

The von Bertalanffy relationship has parameters  $L_\infty$ ,  $k$ , and  $t_0$ . The Schnute relationship (Schnute, 1981) has parameters  $y_1$  and  $y_2$ , which are the mean lengths at reference ages  $\tau_1$  and  $\tau_2$ , and  $a$  and  $b$ ; when  $b = 1$ , this relationship reduces to the von Bertalanffy relationship with  $k = a$ .

#### 5.6.4 Data: matrix of size at age relationship

There is an option to input empirical length-at-age by year, which is an alternative to using an age-length growth model such as the von Bertalanffy and Schnute model. Casal2 will interpolate values for missing years across time steps. The calculations of length-at-age throughout the model years occur in the same time step.

```
@age_length    male_AL
type           data
time_step_proportions 0.0 0.0    #use age at start of time-step
length_weight  wgt_male          # needed to convert numbers-at-age into catch
distribution    normal           # distribution of lengths around the mean length
cv_first       0.1               # cv of the distribution at the first age
cv_last        0.1               # cv of the distribution at the maximum age
time_step_measurements_were_made step2
internal_gaps   mean
external_gaps   mean
table data # first line has column labels for year and then all the model ages
year    2    3    4    5    6    7    8    9    10   11   12
1980 30.13 34.90 38.43 40.61 42.45 43.02 43.94 43.63 43.36 43.70 43.84
1981 30.33 34.78 38.03 40.15 42.22 42.89 44.21 44.07 43.99 44.32 44.64
end_table
```

When the values for *cv\_last* and *cv\_first* are different, the cv used for intermediate ages is, by default, interpolate by that age's mean length. There is a legacy switch for testing the conversion of models from CASAL into Casal2 using the subcommand *by\_length false* which allows the interpolation to be by age, the default setting for CASAL. CASAL also fixes to by-age interpretation when calculating the mean weight (see 5.7.2).

#### 5.6.5 Length distribution at age

When users supply an age-length class there is a subcommand *distribution*. This describes the distribution of length for a given age. The three options are *none*, *normal* and *lognormal*. When a distribution is applied it contributes to the following dynamics. 1) applies an adjustment in mean-weight at age Equation 5.44 and 2) Used to populate an age-length transition matrix.

For any process or observation that requires the age based partition to be converted to length, an age-length transition matrix must be used for the translation. The age-length transition matrix describes a probability mass function for a specific age being in a set of length bins. Model length bins are denoted by  $l_b$  which have a minimum length value denoted by  $l_b^{min}$ . The probability of a fish at age  $a$  being in length bin  $l_b$  is denoted by  $\phi_{a,l_b}$ . To calculate the age-length transition matrix the following inputs are required for each age  $a$ , mean length at age denoted by  $\bar{l}_a$  and standard deviation  $\sigma_a$  along with a distribution, then

$$\phi_{a,l_b} = \begin{cases} f(l_{b+1}^{min}, \bar{l}_a, \sigma_a), & \text{for } a = a_{min} \\ 1 - f(l_b^{min}, \bar{l}_a, \sigma_a), & \text{for } a = a_{max} \text{ \& plus group} \\ f(l_{b+1}^{min}, \bar{l}_a, \sigma_a) - f(l_b^{min}, \bar{l}_a, \sigma_a), & \text{for } a > a_{min} \text{ \& } a < a_{max} \end{cases} \quad (5.41)$$

where  $f(X, \mu, \sigma)$  is the cumulative density function defined by *distribution*. The variance in these distributions are parametrised by the coefficient of variation (CV).

The CV at age can have the three following forms

1. constant for all ages users just specify `cv_first`
2. Changes linearly by age between  $a_{min}$  and  $a_{max}$  where the CV at  $a_{min}$  is defined by `cv_first` and the cv at  $a_{max}$  is defined by `cv_last`, and values inbetween are linear between these two points. Note the subcommand `by_length` needs to be false
3. Changes linearly by mean length between  $a_{min}$  and  $a_{max}$  where the CV at  $a_{min}$  is defined by `cv_first` and the cv at  $a_{max}$  is defined by `cv_last`, but the values in between will be a linear interpolation based on mean length. This requires the subcommand `by_length` to be true;

The CV is converted into a standard deviation as follows

$$\sigma_a = CV_a \bar{l}_a \text{ For the Normal distribution}$$

$$\sigma_a = \sqrt{\log(CV_a^2 + 1)} \text{ For the Lognormal distribution}$$

When the age-length matrix is required in a model users must specify the `length_bin` on the `@model`. Casal2 will build the age-length matrix for each year with processes; observations request it based on the model length bins. Each process and observation can then define a bespoke set of length bins for which their data represents, as long as those length bins are a subset of the model length bins. An example of this is

```
@model
length_bins 5 10 15 20 25 30 35 40

@observation
type proportions_at_length
length_bins 10 20 30 40
```

Casal2 will produce an error if input does not follow this rule.

For example the following configuration will produce an error

```
@model
length_bins 5 10 15 20 25 30 35 40

@observation
type proportions_at_length
length_bins 7.5 17.5 27.5
```

because the observation length bins are not a subset of the model length bins. The reason for this business rule is, if we have coarse resolution of lengths relative to the model length bins, then the age-length matrix of the coarse length bins is a simple summation of the model age-length matrix, rather than recalculating for bespoke length bins, which is a computational task that requires many cumulative distribution function calls.

To get Casal2 to report the mean length-at-age, mean weight-at-age, and the age-length distribution, include the following report into your model with the years and time-steps of interest, see section 12.1.3 for more information.

```
@report age_length
type age_length
age_length age_length_von_bertalanffy ## @age_length label
years 1930:2020 ## years of interest
time_step summer ## time-step label
```



## 5.7 Length-weight relationship

There are two length-weight relationships options. The first is the naive "no relationship" relationship, where the weight of an individual is always 1, regardless of length. The second relationship is the "basic" relationship, which is the standard length-weight relationship,  $W = aL^b$ .

### 5.7.1 The 'none' relationship

$$\text{mean weight} = 1 \quad (5.42)$$

### 5.7.2 Basic: the standard length-weight relationship

The mean weight  $\bar{w}$  of an individual of length  $l$  is

$$\bar{w} = al^b. \quad (5.43)$$

This is used in length based models where  $l$  is the length bin midpoint. For age-based models  $l$  is substituted for  $\hat{l}_a$ , which is the mean length at age  $a$ . If a distribution of length-at-age is specified, then the mean weight is calculated over the distribution of lengths

$$\hat{w}_a = (a\hat{l}_a^b)(1 + cv^2)^{\frac{b(b-1)}{2}} \quad (5.44)$$

where the  $cv$  is the coefficient of variation (CV) of the length-at-age relationship. This adjustment is exact for lognormal distributions, and an approximation for normal distributions if the CV is not large (Bull et al., 2012).

For comparing CASAL with Casal2 results, there is a small difference between the two programs. CASAL adjusts the CV values by\_length only when CVs are used in distribution calculations (length-based selectivities, length-based processes, and length-based observations), and is not done in the above correction.

Note: the scale of  $a$  can be specified incorrectly. If the catch is in tonnes and the growth curve is in centimetres, then  $a$  should convert a length in centimetres to a weight in tonnes. There are reports available that can be used to help check that the units specified are plausible (see Section 8).

```
@length_weight length_weight
type basic
units tonnes
a 0.00000123
b 3.132
```

## 5.8 Age-weight relationship

Either 'none' or an Empirical weight-at-age matrix. The empirical weight-at-age data can be input. This option is different from the method above as it uses empirical data for weight-at-age, rather than calculating it with the growth functions (age -> length -> weight). This bypasses the growth relationship which is expected to be present and so using weight-at-age data needs to be declared in blocks that use this method, i.e., biomass observation blocks, fishery mortality blocks, and biomass derived quantities e.g., *SSB*. The subcommand to use this is "age\_weight\_label ageWeight.block.label" within the block, but in mortality fisheries blocks, age\_weight\_label is a column in the *table method* part with the corresponding *ageWeight.block.label* in the body of the table. More than one @age\_weight blocks can be used, and both weight-at-age data and the usual growth version can be used in the same model (but not in the same block).

This option specifies the weight-at-age values for categories at a point in time.

An example

```
@age_weight age_weight
type Data
units tonnes
table data #year then ages; 1st row is the column labels
year 1 2 3 4 5 6 7 8 9 10
1986 0.134 0.686 1.639 2.719 3.649 4.901 6.329 6.591 7.238 7.491
1987 0.132 0.724 1.534 2.829 4.092 4.853 5.705 6.143 7.179 8.089
1988 0.122 0.641 1.533 2.641 3.796 5.054 5.652 6.356 6.95 8.857
1989 0.137 0.722 1.606 2.416 3.629 5.027 5.561 6.35 6.933 7.217
1990 0.138 0.773 1.645 2.74 3.711 4.506 5.684 6.929 7.424 7.479
end_table
```

If weight is defined by the empirical weight-at-age data, then the age-length block in the @categories block can be omitted.

```
@categories
format stock
names Stock
```

### 5.9 Weightless model

To model abundance (i.e., to model the population in numbers and not convert to biomass), the @length\_weight argument is turned off by specifying the keyword none in the @age\_length block

```
@age_length age_size
type schnute
...
length_weight none
```

In this case any "biomass" generated by Casal2 will actually be abundance, and care should be taken with interpretation of the output.

### 5.10 Maturity, in models without maturing in the partition

When maturity is not an attribute (explicit category) in the partition, processes may still depend on maturity. You must then make the assumption that the proportion of mature fish in each element is defined by a selectivity ogive. This approximation is used by derived quantities (Section 5.4). Selectivity ogives are allowed to vary over time with the time-varying class (Section 5.12)

### 5.11 Selectivities

Selectivity is a term used in Casal2 to mean an ogive in both age and length based models. They can be used to specify the selection curve for a fishery or observation (Section 6) or to modify the effects of processes on the partition, e.g., migration rates by age (Section 5).

For age-based models Casal2 will either use the age to calculate the selectivity or will use the age-length relationship to integrate over the length distribution for a given age to get length-based selectivity in an age-based model (use the subcommand "by\_length true", false is the default). Do not expect too much from length selectivities because in the next time-step or year, the length distribution for each age reverts to being as defined in the age\_length blocks, e.g., normal, rather than being partially truncated because, e.g., larger fish in an age class have been preferentially caught.

Length-based selectivities denoted by  $g(\cdot)$  in an age-based models are evaluated by integrating over the length distribution for each age class (see Section 5.6.5). For age-class. Given age  $a$  with mean length  $\bar{l}_a$ , standard deviation  $\sigma_a$  and length distribution denoted by  $f(l, \bar{l}_a, \sigma_a)$ . The selectivity for age class  $a$  denoted by  $s_a$  should be calculated as

$$s_a = \int_l g(f(l, \bar{l}_a, \sigma_a)) .$$

An approximation for the above integral is made in Casal2 by calculating an average of a set of integration points on  $f(l, \bar{l}_a, \sigma_a)$ . The number of integration points is dictated by the subcommand `intervals`.

There are a number of different parametric forms, including logistic and double normal curves. Selectivities are defined in command block `@selectivity <label>`, where the unique label of the selectivity is used by observations and processes to specify which selectivity to apply.

For example, a logistic selectivity can be defined with

```
@selectivity trawlSel      #label for the trawl fishery selectivity
type      logistic        # type of curve
a50        4.4             # age at 50% selection
ato95      1.5            # interval (yr) from a50 to the age at 95% selection
                                # age at 95% selectivity is 5.9 yr; at 5%, 2.9 yr

# at_length true          #if used, then a50 & ato95 refer to length
# intervals 10            # integration points for when at_length = true
```

For some selectivities, the function values for some choices of parameters can result in numeric overflow or underflow errors (i.e., the number calculated from parameter values is either too large or too small to be well represented). Casal2 implements range checks on some parameters to test for these errors before calculating function values.

For example, the logistic selectivity is implemented such that if  $(a_{50} - x)/a_{to95} > 5$  then the value of the selectivity at  $x = 0$ , i.e., for  $a_{50} = 5$ ,  $a_{to95} = 0.1$ , then the value of the selectivity at  $x = 1$ , without range checking would be  $7.1 \times 10^{-52}$ . With range checking, that value is 0 (as  $(a_{50} - x)/a_{to95} = 40 > 5$ ).

The selectivity options are:

- Constant (Section 5.11.1)
- Knife-edge (Section 5.11.2)
- All values (Section 5.11.3)
- All values bounded (Section 5.11.4)
- Increasing (Section 5.11.5)
- Logistic (Section 5.11.6)
- Inverse logistic (descending logistic?) (Section 5.11.7)
- Logistic producing (Section 5.11.8)
- Double normal (Section 5.11.9)
- Double normal plateau (Section 5.11.10)
- Double normal stock synthesis (Section 5.11.11)
- Double exponential (Section 5.11.12)

See Figure 5.3 for plots of example selectivities (p. 67).

### 5.11.1 constant

$$f(x) = C \tag{5.45}$$

The constant selectivity has the estimable parameter  $C$ .

Input fragment:

```
type constant
c      0.5
```

### 5.11.2 knife\_edge

$$f(x) = \begin{cases} 0, & \text{if } x < E \\ \alpha, & \text{if } x \geq E \end{cases} \quad (5.46)$$

The knife-edge ogive has the estimable parameter  $E$  and a non-estimable scaling parameter  $\alpha$ , where the default value of  $\alpha = 1$ .

Input fragment:

```
type knife_edge
e      8
alpha 0.5
```

### 5.11.3 all\_values

$$f(x) = V_x \quad (5.47)$$

The all-values selectivity has estimable parameters  $V_{low}, V_{low+1} \dots V_{high}$ . The selectivity value for each age class must be set.

### 5.11.4 all\_values\_bounded

$$f(x) = \begin{cases} 0, & \text{if } x < L \\ V_x, & \text{if } L \leq x \leq H \\ V_H, & \text{if } x > H \end{cases} \quad (5.48)$$

The all-values-bounded selectivity has non-estimable parameters  $L$  and  $H$ . The estimable parameters are  $V_L, V_{L+1} \dots V_H$ . Selectivity values for each age class from  $L \dots H$  must be set.

Selectivities `all_values` and `all_values_bounded` can be included in additional priors using the syntax

```
@selectivity maturity
type all_values
v 0.001 0.1 0.2 0.3 0.4 0.3 0.2 0.1

## encourage ages 3-8 to be smooth.
@additional_prior smooth_maturity
type vector_smooth
parameter selectivity[maturity].values{3:8}
```

### 5.11.5 increasing

$$f(x) = \begin{cases} 0, & \text{if } x < L \\ f(x-1) + \pi_x(\alpha - f(x-1)), & \text{if } L \leq x \leq H \\ f(\alpha), & \text{if } x \geq H \end{cases} \quad (5.49)$$

The increasing ogive has non-estimable parameters  $L$  and  $H$ . The estimable parameters are  $\pi_L, \pi_{L+1} \dots \pi_H$ ; if these are estimated, they should always be constrained to be between 0 and 1.  $\alpha$  is a scaling parameter, with default value of  $\alpha = 1$ . The increasing ogive is similar to the *all-values-bounded* ogive, and is constrained to be non-decreasing.

Input fragment:

```

type  increasing
l      3
h      7
v      0.2 0.3 0.4 0.5 0.6

```

### 5.11.6 logistic

$$f(x) = \alpha / [1 + 19^{(a_{50}-x)/a_{t095}}] \quad (5.50)$$

The logistic selectivity has estimable parameters  $a_{50}$  and  $a_{t095}$ .  $\alpha$  is a scaling parameter (input files, *alpha*, with default value of  $\alpha = 1$ ). The logistic selectivity takes values  $0.5\alpha$  at  $x = a_{50}$  and  $0.95\alpha$  at  $x = a_{50} + a_{t095}$ .

### 5.11.7 inverse\_logistic

$$f(x) = \alpha - \alpha / [1 + 19^{(a_{50}-x)/a_{t095}}] \quad (5.51)$$

The inverse logistic selectivity has estimable parameters  $a_{50}$  and  $a_{t095}$ .  $\alpha$  is a scaling parameter (*alpha*, with default value of  $\alpha = 1$ ). The logistic selectivity takes values  $0.5\alpha$  at  $x = a_{50}$  and  $0.95\alpha$  at  $x = a_{50} - a_{t095}$ .

Input fragment:

```

type  inverse_logistic
a50    4
ato95  1
alpha  0.5  #default is 1.0

```

### 5.11.8 logistic\_producing

$$f(x) = \begin{cases} 0, & \text{if } x < L \\ \lambda(L), & \text{if } x = L \\ (\lambda(x) - \lambda(x-1)) / (1 - \lambda(x-1)), & \text{if } L < x < H \\ 1, & \text{if } x \geq H \end{cases} \quad (5.52)$$

The logistic-producing selectivity has non-estimable parameters  $L$  and  $H$ . The estimable parameters are  $a_{50}$  and  $a_{t095}$ .  $\alpha$  is a scaling parameter, with default value of  $\alpha = 1$ .

For category transitions,  $f(x)$  represents the proportion moving, not the proportion that have moved. This selectivity was designed for use in an age-based model to model maturity. In such a model, a logistic-producing maturation selectivity will, in the absence of other influences, make the proportions mature follow a logistic curve with parameters  $a_{50}$  and  $a_{t095}$ .

Input fragment:

```

type  logistic_producing
l      2
h      8
a50    4
ato95  1
#alpha 1.0

```

CASAL's implementation of this selectivity adds the following checks.

```

for(i in selectivity_bins)
  if((a50 - i)/a_t095 < -5.0))
    selectivity[i] = 1

```

```

for(i in selectivity_bins)
  if((a50 - i)/a1095 > 5.0))
    selectivity[i] = 0

```

Casal2 does not have these checks, so when you plot selectivities they may look different at the edges.

### 5.11.9 double\_normal

$$f(x) = \begin{cases} \alpha 2^{-[(x-\mu)/\sigma_L]^2}, & \text{if } x \leq \mu \\ \alpha 2^{-[(x-\mu)/\sigma_R]^2}, & \text{if } x \geq \mu \end{cases} \quad (5.53)$$

The double-normal selectivity has estimable parameters  $a_1$ ,  $s_L$ , and  $s_R$ .  $\alpha$  is a scaling parameter, with default value of  $\alpha = 1$ . It has values  $\alpha$  at  $x = a_1$ , and  $0.5\alpha$  at  $x = a_1 - s_L$  and  $x = a_1 + s_R$ .

Input fragment:

```

type double_normal
mu      6      #age at switch over from left to right normal curves
          # = mean for both normal curves
sigma_1  1      # standard deviation for left normal
sigma_2 10      # standard deviation for right normal
#alpha 1.0

```

### 5.11.10 double\_normal\_plateau

$$f(x) = \begin{cases} \alpha 2^{-[(x-a_1)/\sigma_L]^2}, & \text{if } x \leq a_1 \\ \alpha, & \text{if } a_1 \leq x \leq a_1 + a_2 \\ \alpha 2^{-[(x-(a_1+a_2))/\sigma_R]^2}, & \text{if } x \geq a_1 + a_2 \end{cases} \quad (5.54)$$

The double\_normal\_plateau ogive has estimable parameters  $a_1$ ,  $a_2$ ,  $\sigma_l$ ,  $\sigma_r$ , and  $\alpha$ . When  $\alpha = 1$  and  $a_2 = 0$ , it is identical to the double\_normal, and otherwise follows a double normal form with values  $\alpha$  at  $a_1 \leq x \leq a_1 + a_2$ , and  $0.5\alpha$  at  $x = a_1 - \sigma_l$  or  $x = a_1 + a_2 + \sigma_r$ .

Input fragment:

```

type double_normal_plateau
a1      6
a2      2
sigma_1  1      # standard deviation for left normal
sigma_2 10      # standard deviation for right normal
#alpha 1.0

```

### 5.11.11 double\_normal\_stock\_synthesis

Double normal with defined initial and final selectivity values which is based on the Stock Synthesis 3 implementation. The ascending and descending are expected in log space (This should be taken out and dealt with by the parameter transformation class in future releases).

It is common to estimate the following parameters peak, width, ascending and descending.  $y_1$  can be explored, but can be difficult to estimate, as generally this represents the age or length categories that are not well observed.

Input fragment:

```

type double_normal_stock_synthesis
peak 7.5 # age or length for the plateau, should be between L and H
y0 -10 # selectivity at min-age or first length bin see below for units
y1 0.5 # selectivity at max-age or last length bin see below for units
descending # log(age or length) of descending limb (shape of right hand side)
ascending # log(age or length) of ascending limb (shape of left hand side)
width 3 # width of plateau
L 1 # first length bin
H 10 # last age bin
#alpha 1.0

```

The parameter values  $y_0$  and  $y_1$  are transformed by the selectivity class as follows

$$f(x) = \frac{1}{1 + \exp(-1.0x)}$$

This is to ensure the values stay between 0 and 1. The down side is that the starting values are a little abstract. The rule of thumb is small numbers, e.g., -10, will result in selectivity values close to zero and large values, e.g., 10, will result in selectivity values close to one.

### 5.11.12 double\_exponential

$$f(x) = \begin{cases} \alpha y_0 (y_1/y_0)^{(x-x_0)/(x_1-x_0)}, & \text{if } x \leq x_0 \\ \alpha y_0 (y_2/y_0)^{(x-x_0)/(x_2-x_0)}, & \text{if } x > x_0 \end{cases} \quad (5.55)$$

The double-exponential selectivity has non-estimable parameters  $x_1$  and  $x_2$ . The estimable parameters are  $x_0$ ,  $y_0$ ,  $y_1$ , and  $y_2$ .  $\alpha$  is a scaling parameter, with default value of  $\alpha = 1$ . This selectivity curve can be "U-shaped". Bounds for  $x_0$  must be such that  $x_1 < x_0 < x_2$ . With  $\alpha = 1$ , the selectivity passes through the points  $(x_1, y)$ ,  $(x_0, y_0)$ , and  $(x_2, y_2)$ . If both  $y_1$  and  $y_2$  are greater than  $y_0$  the selectivity is "U-shaped" with minimum at  $(x_0, y_0)$ .

Input fragment:

```

type double_exponential
x0 15 # age at middle point
y0 0.1 # selection at x0; here a minimum --> U shape
x1 1 # left point
y1 0.5 # selection at x1
x2 30 # right point
y2 0.8 # selection at x2
#alpha 1.0

```

### 5.11.13 compound\_left

The compound left selectivity was used in some oyster stock assessments but was not documented in CASAL user manual.

$$y_1 = \frac{(1 - a_{min})}{(1 + 19^{(a_{50}-x)/a_{to95}})} + a_{min}$$

$$y_2 = 1.0 - \frac{1}{(1 + 19^{(left_{mu} + to_{right_{mu}} - x)/\sigma})}$$

$$f(x) = y_1 y_2$$

#### 5.11.14 compound\_right

The compound right selectivity was used in some oyster stock assessments but was not documented in CASAL user manual.

$$y_1 = \frac{(1 - a_{min})}{(1 + 19^{(a_{50}-x)/a_{to95}})} + a_{min}$$

$$y_2 = \frac{1}{(1 + 19^{(left_{mu}+to_{right_{mu}}-x)/\sigma})}$$

$$f(x) = y_1 y_2$$

#### 5.11.15 compound\_all

The compound all selectivity was used in some oyster stock assessments but was not documented in CASAL user manual.

$$f(x) = \frac{(1 - a_{min})}{(1 + 19^{(a_{50}-x)/a_{to95}})} + a_{min}$$

#### 5.11.16 compound\_middle

The compound middle selectivity was used in some oyster stock assessments but was not documented in CASAL user manual.

$$y_1 = \frac{(1 - a_{min})}{(1 + 19^{(a_{50}-x)/a_{to95}})} + a_{min}$$

$$y_2 = \frac{1}{(1 + 19^{(left_{mu}+to_{right_{mu}}-x)/\sigma})}$$

$$y_3 = 1.0 - \frac{1}{(1 + 19^{(left_{mu}+to_{right_{mu}}-x)/\sigma})}$$

$$f(x) = y_1 y_2 y_3$$





Figure 5.3: Examples of the selectivities

## 5.12 Time-varying Parameter

Any parameter can be varied annually for blocks of years or in specific years within the model run. For years that are not specified, the parameter will default to the input, or if in an iterative state such as estimation mode, the value being trialled at that iteration. The value used in the configuration file, input parameter file, or trialled value during estimation should be applied during initialisation phases.

Method types for a time-varying parameter are:

- constant,
- random\_walk,
- exogenous,
- linear,
- annual\_shift, and
- random\_draw.

This option allows for a parameter to be fixed in a year, or be the result of a deterministic or stochastic

equation. **Note:** the stochastic time-varying functionality was added for simulation purposes. **It has not been tested in an estimation context.**

To implement hierarchical models, the prior parameter values need to be estimated using hyperpriors. To implement a hierarchical model using the time-varying functionality, use MCMC estimation as a way to calculate the integral which is required to obtain unbiased estimates. In an MCMC context, a Gibbs sampler is assumed. That is, every draw is from a conditional distribution and so every draw is a candidate value.

When allowing removals with annually varying catchabilities, selectivities, and/or other model components, simulated observations more closely model real data. Implementing time-varying parameters also allows for mean or location parameters of selectivities to change between years based on an linked variable.

An example of this is in the New Zealand hoki stock assessment where the  $\mu$  and  $a_{50}$  parameters are allowed to shift depending on when the fishing season occurs. Descriptive analysis showed that when fishing was earlier relative to other years smaller fish were caught and vice versa. This can be shown in the Examples/2stock directory, implemented at line: 382 in the `population.csl2` file. [Craig to edit]

### 5.12.1 constant

This option allows a parameter to have an different value during specified years than the rest of the model run. This value can be estimated.

To allow survey catchability to be different in the year block 1975 to 1988 from the rest of the series we write:

```
@time_varying q_time_var
type          constant
parameter     catchability[survey_q].q
years         1975:1988
values        0.001      #same for all years
```

To estimate catchability for 1975 and 1976, use the following:

```
@estimate q_time_var
type uniform    #prior
parameter time_varying[q_time_var].values{1975:1976}
lower_bound 1e-6 1e-6
upper_bound 2      2
```

To make the catchability be same over the year block we need to estimate it for one year (say 1975) and use the *same* subcommand to make the others take the same value

```
@estimate q_time_var
type uniform
parameter time_varying[q_time_var].values{1975}
same      time_varying[q_time_var].values{1976:1988}
lower_bound 1e-6
upper_bound 2
```

**Caution:** do not estimate both the actual parameter and its time-varying counterpart, as the time-varying value will overwrite the actual parameter making the actual value unidentifiable. [Craig to edit]

### 5.12.2 random walk

A random deviate drawn from a standard normal distribution is added to the previous year's value. This option has an estimable parameter  $\sigma_p$  for each time-varying parameter  $p$ . For reproducible modelling when using stochastic functionality, set the random seed (see Section 3.3).

```
@time_varying q_time_var
type          random_walk
parameter     catchability[survey_q].q
distribution   normal
mean          0
sigma         3
```

If the parameter specified in the @time\_varying block is associated with an @estimate block, then the parameter is constrained to stay within the lower and upper bounds of the @estimate block.

**WARNING:** if the parameter does not have an associated @estimate block then there is no safeguard against the application of a random deviate resulting in parameter values which cause the model to fail, i.e., generates NA or INF values. To avoid this, specify an @estimate block even though the parameter is not actually being estimated; see the example syntax below.

A constraint whilst using this functionality is that a parameter cannot be less than 0.0. If it is then Casal2 sets it equal to 0.01.

```
@estimate survey_q_est
type          uniform
parameter     catchability[survey_q].q
lower_bound   1e-6
upper_bound   10
```

This configuration will insure the random walk time-varying process will set the any new candidate values within the lower and upper bound of the @estimate block.

### 5.12.3 annual\_shift

A parameter generated in year  $y$  ( $\theta'_y$ ) depends on the value specified by the user ( $\theta_y$ ) along with three coefficients  $a$ ,  $b$ , and  $c$

$$\bar{\theta}_y = \frac{\sum_y \theta_y}{Y} \quad (5.56)$$

$$\theta'_y = a\bar{\theta}_y + b\bar{\theta}_y^2 + c\bar{\theta}_y^3 \quad (5.57)$$

### 5.12.4 exogenous

Parameters are shifted based on an exogenous variable. An example of this is an exploitation selectivity parameters that may vary between years based on known changes in exploitation behaviour such as season, start time, and average depth of exploitation.

$$\delta_y = a(E_y - \bar{E}) \quad (5.58)$$

$$\theta'_y = \theta_y + \delta_y \quad (5.59)$$

where  $\delta_y$  is the shift or deviation in parameter  $\theta_y$  in year  $y$  to generate the new parameter value in year  $y$  ( $\theta'_y$ ).  $a$  is an estimable shift parameter,  $E$  is the exogenous variable, and  $E_y$  is the value of this variable in year  $y$ . For more information readers can see Francis et al. (2003).

### 5.13 Equation Parser

Casal2 has an equation parser, which is currently implemented in Projections (Section 5.14), Derived quantities (Section 5.4), and Reports (Section 8).

Examples of syntax for implementing the equation parser are below. For more information on the parser, see <https://github.com/nickgammon/parser/blob/master/parser.cpp>

```
equation process[Recruitment].r0 * 2 #double the recruitment
```

mathematical functions such as `sqrt()`, `log()`, `exp()`, `cos()`, `sin()`, and `tan()` can be used

```
equation sqrt(process[Recruitment].r0)
```

exponents can be used with `pow()`

```
equation pow(2, 3)
```

the absolute value of an equation using `abs()`

```
equation abs(sqrt(process[Recruitment].r0) * 1.33)
```

if-else statements can be used

```
equation if(process[Recruitment].r0 > 23, 44, 55)
## if R0 is greater than 23 return 44 else return 55
```

if-else statements can also be linked, more complex syntax

```
# if R0 > 23 return 44
# else if R0 < 23 & r0 > 10 return 55
equation if(process[Recruitment].r0 > 23, 44,
            if(process[Recruitment].r0 > 10, 55, 66))
else R0 must be less than 10 return 66
```

Only single values can be referenced, so an equation cannot be applied to a vector, e.g., `process[Recruit].ycs_values{1974:1980}` cannot be referenced. More information on which parameters can be included in the equation parser is available (Section 14.1.3). Any subcommand that has a type `estimable` could be referenced with the equation parser.

**Note:** the equation parser will not catch all user configuration errors, such as checking whether a parameter that exists in the system has been populated when it is required.

For example, the wrong year could be misspecified in the case of removals in year  $y$  which is based on the state of the population in year  $y - 1$

```
parameter process[removals].catch
year 2015
equation derived_quantity[percent_b0].values{2020}
```

This example is a valid equation but it will have nonsensical results, since a value for 2020 is to be calculated using values for 2015. Although the equation parser adds flexibility, it is easy to misspecify equations.

## 5.14 Specifying projections

Given a set of estimated parameter values from a *-e* or a MCMC run, the model can be projected. Projection years are after the model run years, and are defined in the `@model` command block using the `final_projection_year` subcommand, i.e., projection years are `final_year + 1` through to `final_projection_year`.

Parameter values for the projected years can be specified in a stochastic way or fixed at some value (the default is the estimated value if the parameter is not time-varying) and these are specified in the `@project` block,

```
@project Future_ycs # label
type      lognormal_empirical # which method to use
parameter process[Recruitment].ycs_values
years     2012:2016
multiplier 1
... # any other parameters
```

The subcommands `years` and `parameter` are common to all projection methods. Subcommand `years` specifies the years to apply the new values to for the parameter in `parameter`. Note that the years can be before the *final\_year*, e.g., it is normal to vary the last few recruitment multipliers (YCS) in a projection run because they are usually poorly estimated or they have been set to 1. The argument `multiplier` is a constant which is multiplied with the projected value after it has been generated. The `type` subcommand gives the method to use to generate new parameter values.

Casal2 allows any estimable parameter to be specified in a `@project` block and then varied from the estimated value in a projection. The available projection types for these parameters include:

- constant
- lognormal
- empirical-lognormal
- empirical re-sampling
- user-defined

Casal2 has no default projection properties for parameters that are specified by year, e.g., recruitment multiplier parameters, time-varying parameters, and as a special case, future catches. For these, projections must have a `@project` command block. For example, Casal2 will produce errors if run in projection mode without a `@project` block for the `ycs_values` parameter being specified.

**DEPRECATED: Note for the year class parameters:** the definition of year applies to the `ycs_years`, not the model years. As defined in Section 5.3.1, `ycs_years` are offset between the time of spawning and when individuals are added to the partition.

Future catches are also specified in a `@project` block, one for each fishery (see 5.14.1 for examples). Here, a fishery is reference in the `parameter` subcommand with the `method_` fragment to identify it,

```
process[block label].method_[fisheries label],
```

For a process called *Fishing* that has three fisheries defined, it would be `process[Fishing].method_pot` to specify the fishery labelled *pot*.

The Casal2 command to run the model in projection mode is `Casal2 -f 1`. This functionality allows for the exploration of many scenarios with a single set of parameters. The number of projections should be greater than 1 only if applying a projection type that is stochastic.

The `--tabular` flag should be used when running projections after a Bayesian analysis. This option will output a tabular report (see Section 8.29) which can then be analysed in **R**.

An example of the command line evocation is

```
casal2 -f 1 -i mcmc.txt --tabular > projection.out.txt
```

where *mcmc.txt* is output from a MCMC run, one parameter set per row, which will give one projection per row, and *projection.out.txt* will contain one row for each MCMC run in each of the reports specified in (usually) the *Report.csl2* file (quantities as specified in the *Report.csl2* file).

For a projection run in Casal2, the model is initialised and run through the model years from *start\_year* to *final\_year*. During this run mode Casal2 stores all parameter values so that projection classes can allow parameters before *final\_year* to be projected. The model then is re-run from *start\_year* to *projection\_final\_year*, where any parameter can either be fixed or drawn from a stochastic distribution or process.

### 5.14.1 Projection methods

This section lists all the projections classes available, their functionality, and an example of the syntax.

**The constant projection type, `constant`** A parameter can either be fixed during all projection years or specified individually for each projection year. This is a deterministic assumption, where the parameter is assumed to be known without error during projection years.

```
@project Future_ycs
type      constant
parameter process[Recruitment].ycs_values
years     2012:2016
values    1 2 1 2 0.5 # "values 3" means all years use 3
multiplier 1
```

**Sampling from a range of years, type `empirical_sampling`** Parameters that have time components associated with them can be sampled uniformly with replacement over a range of years and used as values for the projected years. The year range to sample from is between *start\_year* and *final\_year*:

```
@project Future_ycs
type      empirical_sampling
parameter process[Recruitment].ycs_values
years     2012:2016
start_year 1988 # re-sample from estimated values
final_year 2008 # from 1988 to 2008 inclusive
multiplier 1
```

**Sampling from a lognormal distribution, type `lognormal`** The parameters are drawn from a Gaussian distribution in log space and exponentiated to result in the lognormal distribution

$$X_p = \exp(\varepsilon_p - \sigma^2/2) \quad (5.60)$$

where  $\varepsilon_p \stackrel{iid}{\sim} N(\mu, \sigma)$  and  $X_p$  is the projected value for parameter  $X$ , and  $\mu$  and  $\sigma$  are the mean and standard deviation on the log scale.

An example of applying this process to draw future year class parameters from a lognormal distribution with mean 1 and standard deviation 0.8

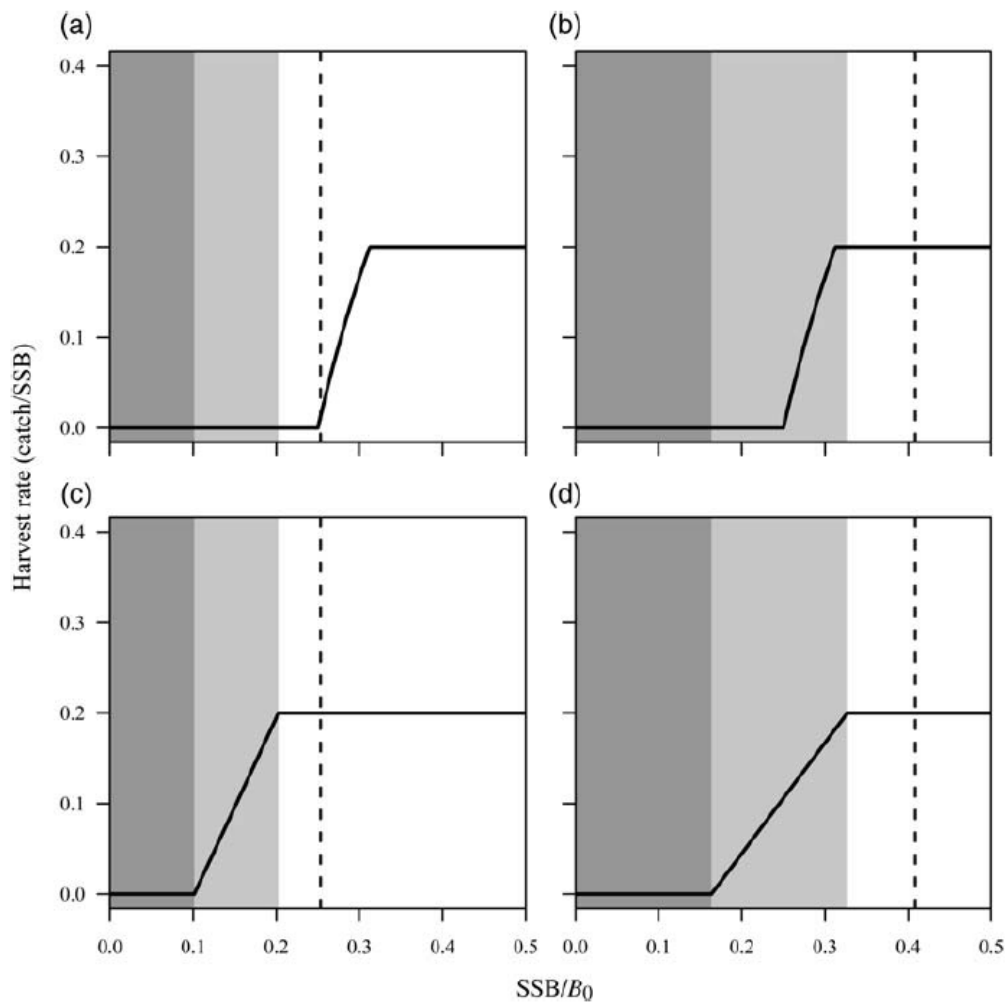
```
@project Future_ycs
type      lognormal
parameter process[Recruitment].ycs_values
years     2012:2016
mean      0      # mean 1 on un-transformed scale
sigma     0.8    # log scale
multiplier 1
```

**Sampling from a lognormal distribution where the variance is estimated from values over a specified year range, type `lognormal_empirical`** This method applies a lognormal draw as in the `LogNormal` method above and specifies a year range from which the standard deviation of the distribution is calculated. Then equation (5.60) is used to generate future values with a specified  $\mu$  and empirically calculated  $\sigma$ ,

```
@project Future_ycs
type      lognormal_empirical
parameter process[Recruitment].ycs_values
years     2012:2016
mean      0
start_year 1988  # range of years to take the
final_year 2008  # values for  $\sigma$ 
multiplier 1
```

**Sample from a user-defined function, `user_defined`** This method uses the equation parser to calculate the values to use in the projection. This was set up to define and apply harvest control rules (e.g., apply a management action such as changing catch limits based on the current or previous state).

In fisheries models, this option can be used to calculate the projected catch based on an exploitation rate multiplied by the vulnerable biomass, where the exploitation rate is based on a rule (Figure 5.4).



**Figure 5.4: Examples of control rules based on current stock status.**

```
@project HCR_2015
type      user_defined
parameter process[Instantaneous_Mortality].method_Sub_Ant_F
years 2015
equation if(derived_quantity[SSB].values{2014} / process[Recruitment].b0 <= 0.1, 0.0,
if(derived_quantity[SSB].values{2014} / process[Recruitment].b0 > 0.1 &&
derived_quantity[SSB].values{2014} / process[Recruitment].b0 < 0.2,
derived_quantity[SSB].values{2014} * derived_quantity[SSB].values{2014}
/ process[Recruitment].b0,
derived_quantity[SSB].values{2014} * 0.2))
```

Care should be taken when writing user-defined equations. The above equation is: if  $%B_{2014} \leq 0.1$  then set next year's catch to 0.0, else if  $%B_{2014} > 0.1$  &  $%B_{2014} \leq 0.2$  then set next year's catch equal to  $%B_{2014} \times SSB_{2014}$ , else set next year's catch to  $0.2SSB_{2014}$ .

**Specifying catch for projections** Catches are unique in that they are known inputs in a table format. For example, to project catches that are in a table

```
# fishing process
@process Fishing
type mortality_instantaneous_retained
m 0.17*6 #0.17 #testing at old values
time_step_proportions 1
relative_m_by_age One*6 #for age based M
categories *
table catches
year FishingLine FishingPot Recreation
1900 0 0 0
1901 13.2 0 22.9
1902 26.4 0 23.5
1903 39.6 0 24
end_table

# projection block
@project future_catch
type      constant
parameter process[Fishing].method_fishingpot
years     2020:2029
values    4000
```

This uses the syntax `block_type[block_label].method_fishinglabel`. **Note:** the fishing label which is defined in the table needs to be lower case form in the `@projection` block. Notice the use of *method\_* syntax to identify the right fishery.



---

## 6 The estimation section: estimation methods and parameters

The command and subcommand syntax for the estimation section is given in Section 10.

### 6.1 Role of the estimation section

The role of the estimation section is to define the tasks carried out by Casal2:

1. Define the objective function (see Section 6.2)
2. Define the parameters to be estimated (the free parameters, see Section 6.3)
3. Calculate a point estimate, i.e., the maximum posterior density estimate (MPD) (see Section 6.4)
4. Calculate a posterior profile on selected parameters, i.e., for each of a series of values of a parameter, minimise the objective function, allowing the other estimated parameters to vary (see Section 6.5)
5. Generate MCMC samples from the posterior distribution (see Section 6.6)
6. Calculate the approximate covariance matrix of the parameters as the inverse of the minimizer's approximation to the Hessian, and the corresponding correlation matrix (see Section 6.4)

The estimation section defines the objective function, parameters of the model, and the method of estimation (point estimates, Bayesian posteriors, profiles, etc.). The objective function is based on a goodness-of-fit measure of the model to observations, the assumed priors, and the penalties. See the observation section for a description of the observations, likelihoods, priors, and penalties.

### 6.2 The objective function

In Bayesian estimation, the objective function is a negative log-posterior,

$$Objective(p) = -\sum_i \log [L(\mathbf{p}|O_i)] - \log [\pi(\mathbf{p})] \quad (6.1)$$

where  $\pi$  is the joint prior density of the parameters  $p$ .

The contribution to the objective function from the likelihood components is described in Section 7.2. In addition to likelihoods, priors (see Section 6.7) and penalties (see Section 6.8) are components of the objective function. Note that if the priors are specified as uniform, then the prior contribution is zero and the optimisation is now a penalised likelihood and not Bayesian.

Penalties can be used to ensure that the estimated parameter values and derived quantities meet certain restrictions. For example, exploitation rate constraints on mortality events (i.e., fisheries) that are not violated (otherwise there is nothing to prevent the model from having abundances so low that the recorded catches could not have been taken); penalties on category transitions (to ensure there are enough individuals to move); penalties such that estimated values are similar or smooth, etc.

Equation 6.1 can be reduced to a penalised likelihood equation if all priors are assumed to be uniform. This is because uniform priors have no contribution to the objective function so Equation 6.1 reduces to the likelihood components plus penalties.

### 6.3 Specifying the parameters to be estimated

The parameters to be estimated (estimables) are defined using `@estimate` commands (see Section 10).

For example, a `@estimate` command block

```
@estimate male.m
parameter process[NaturalMortality].m{male}
lower_bound 0.1
upper_bound 0.4
type uniform
```

See Section 3.4.5 for information on how to specify the parameter name. At least one parameter is required to be estimated if doing an estimation `-e`, profile `-p`, or MCMC `-m` run. Initial values for the parameters to be estimated are required, and these values are used as the starting values for the minimiser. However, these values may be overwritten if a set of alternative starting values is provided (i.e., using `casal2 -i`, see Section 3.3).

All parameters are estimated within the specified bounds. For each parameter estimated, the lower and upper bounds and the prior (`type`) (Section 6.7) must be specified. The bounds and the prior should be chosen carefully as they affect the values over which the minimisers search. Some minimisers convert the lower and upper bounds into a minimisation space (for example `-1,1` space for the numerical differences algorithm). If estimating only some elements of a vector, either define each element of the vector to be estimated or fix the others by setting the the lower and upper bounds to the same value as the initial value.

## 6.4 Point estimation

Point estimation is invoked with `casal2 -e`, which attempts to find a minimum of the objective function. Casal2 has multiple minimisation algorithms. There are two automatic differentiation (AD) minimisers: ADOL-C, and BetaDiff (the minimiser used in CASAL). There are also three non-automatic differentiation minimisers: numerical differences, DeltaDiff, and the differential evolution minimiser (`de_solver`). Automatic differentiation minimisers are recommended for more complex models as they are on average much faster and tend to find a more robust minimum when exploring a complex objective surface.

An important input parameter for most minimisers is the `tolerance` parameter. This is the gradient of the objective function, and is used as the stopping rule to define the 'solution' (although a solution may be a local minimum and not the global minimum). Evaluating the robustness of a minimum can be tested with different starting values (i.e., using `-i free.parameter.file.txt`).

Start with the default `tolerance` parameter value of `1e-5` and decrease it while developing a model. For a given model, the parameter estimates when minimising with different tolerance may be different.

### 6.4.1 The numerical differences minimiser

See Section 10.2.5 for the command syntax.

The numerical differences minimiser uses a quasi-Newton minimiser which is a slightly modified implementation of the main algorithm of Dennis Jr and Schnabel (1996), and uses an *arcsin* transformation to ensure parameters remain within bounds.

The minimiser has three kinds of (non-error) exit status, depending on the minimiser:

- Successful convergence (suggests a local minimum has been found, at least).
- Convergence failure (a local minimum has not been found, although the results may be 'close enough').
- Convergence unclear (the minimiser halted but was unable to determine if convergence occurred. The result may be a local minimum, although this can be checked by restarting the minimiser at the final values of the estimated parameters).

The maximum number of quasi-Newton iterations and objective function evaluations allowed can be specified. If either limit is exceeded, the minimiser exits with a convergence failure. Set the maximum number of evaluations and iterations to values larger than the defaults of 300 and 1000, unless convergence is reached with fewer. An alternative starting point of the minimiser can be specified using `casal2 -i`.

The minimisers are local optimisation algorithms trying to solve a global optimisation problem. What this means is that, even if a 'successful convergence' is reached, the solution may be only a local minimum, and not a global one. To diagnose this problem, start multiple runs from different starting points and comparing the results, or do profiles of one or more key parameters and seeing if any of the profiled estimates finds a better optimum than than the original point estimate.

The approximate covariance matrix of the estimated parameters can be calculated as the inverse of the minimiser's approximation to the Hessian, and the corresponding correlation matrix is also calculated.

Note that

- the Hessian approximation develops over many minimiser steps, so if the minimiser has only run for a small number of iterations the covariance matrix can be a very poor approximation; and
- the inverse Hessian is not a good approximation to the covariance matrix of the estimated parameters, and may not be useful to construct, for example, confidence intervals.

Also note that if an estimated parameter has equal lower and upper bounds, it will have entries of '0' in the covariance matrix and NaN or -1.#IND (depending on the operating system) in the correlation matrix.

```
@minimiser numerical_diff
type numerical_differences
tolerance 1e-6
iterations 2500
evaluations 4000
```

### 6.4.2 The DeltaDiff numerical differences minimiser

See Section 10.2.4 for the command syntax.

DeltaDiff applies the same minimiser as Numerical Differences, expect that it uses *tan* rescaling for the parameters rather than *arcsin*. This minimiser may perform better than the Numerical Differences minimiser when parameters are very close to zero bounds.

### 6.4.3 The differential evolution minimiser

The differential evolution minimiser is a simple population-based, stochastic function minimizer, but is claimed to be quite powerful in solving minimisation problems. It is a method of mathematical optimization of multidimensional functions and belongs to the class of evolution strategy optimizers.

Initially, the procedure randomly generates and evaluates a number of solution vectors (the population size), each with  $p$  parameters. Then, for each generation (iteration), the algorithm creates a candidate solution for each existing solution by random mutation and uniform crossover. The random mutation generates a new solution by multiplying the difference between two randomly selected solution vectors by some scale factor, then adding the result to a third vector. Then an element-wise crossover takes place with probability  $P_{cr}$ , to generate a potential candidate solution. If this is better than the initial solution vector, it replaces it, otherwise the original solution is retained. The algorithm terminates after either a predefined number of generations (`max_generations`) or when the maximum difference between the scaled individual parameters from the candidate solutions from all populations is less than some predefined amount `tolerance`.

The differential evolution minimiser can be good at finding global minimums in surfaces that may have local minima. However, the speed of the minimiser, and the ability to find a good minima depend on the number of initial 'populations'. Some authors recommend that the number of populations be set at about  $10 * p$ , where  $p$  is the number of free parameters. However, depending on the model, this value can be set to a lower value and still find a robust solution.

There is no proof of convergence for the differential evolution solver, but several papers have found it to be an efficient method of solving multidimensional problems. Some results suggest that it can often find a better minima and may be faster or longer (depending on the actual model specification) at finding a solution when compared with the numerical differences minimiser. Comparisons with automatic differentiation minimisers or other more sophisticated algorithms have not been made.

```
@minimiser DE_solver
type de_solver
tolerance 1e-6
iterations 2500
evaluations 4000
```

#### 6.4.4 The BetaDiff minimiser

An automatic differentiation minimiser for non-linear models, This is the minimiser from the original CASAL package, based on ADOL-C.

```
@minimiser beta_diff
type beta_diff
tolerance 1e-6
iterations 2500
evaluations 4000
```

#### 6.4.5 The ADOL-C minimiser

An automatic differentiation minimiser for non-linear models. See <https://projects.coin-or.org/ADOL-C> for more information. Users do have an option of defining what transformation to apply to convert the parameter  $\theta \in [\theta_{LB}, \theta_{UB}]$  to  $X \in [-1, 1]$ , for which optimisation is done. The options are *sin* or *tan*. Initial model runs suggest this assumption will make a difference to convergence, particularly if there are poorly identified parameters which fall at the bounds, we have found the sin transform is more consistent with the betadiff minimiser. The sin transform

$$X = \frac{\text{asin}(2 * (\theta - \theta_{LB}) / (\theta_{UB} - \theta_{LB}) - 1)}{1.57079633} \quad (6.2)$$

the consequence of this transformation is when  $X$  is back transformed to  $\theta$  there is a penalty which is added to the minimisation to dissuade parameter values close to the bounds. This penalty is hidden from the reported objective function. If you are interested in it, you can run with `--loglevel medium` and it should be reported. The back transformation follows,

$$\theta = \theta_{LB} + (\theta_{UB} - \theta_{LB}) * (\sin(X * 1.57079633) + 1) / 2; \quad (6.3)$$

and penalty

$$\text{if}(-0.9999 - X < 0) \quad \text{penalty}+ = (X + 0.9999)^2 \quad (6.4)$$

$$\text{if}(X - 0.9999 < 0) \quad \text{penalty}+ = (X - 0.9999)^2 \quad (6.5)$$

This can be seen here.

The Tan transform uses transformation

$$X = \tan(((\theta - \theta_{LB}) / (\theta_{UB} - \theta_{LB}) - 0.5) * \pi) \quad (6.6)$$

and back transform

$$\theta = ((\tan(X) / \pi) + 0.5) * (\theta_{UB} - \theta_{LB}) + \theta_{LB} \quad (6.7)$$

```
@minimiser ADOLC
type adolc
step_size 1e-6
iterations 2500
evaluations 4000
tolerance 1e-6
parameter_transformation sin_transform
```

### 6.5 Posterior profiles

If profiles are run using the command `casal2 -p`, Casal2 will first calculate a point estimate. For each scalar parameter or, in the case of vectors or selectivities, the element of the parameter to be profiled, Casal2 will

fix its value at a sequence of  $n$  evenly spaced numbers (*step*) between the specified lower and upper bounds  $l$  and  $u$ , and calculate a point estimate at each value.

By default  $step = 10$ , and  $(l, u) = (\text{lower bound on parameter plus } (range/(2n)), \text{upper bound on parameter less } (range/(2n)))$ . Each minimisation starts at the final parameter values from the previous resulting value of the parameter being profiled. Casal2 will report the objective function for each parameter value. The initial point estimate should be compared with the profile results, to check at least that none of the other points along the profile have a better objective function value than the initial 'minimum'.

The parameters to be profiled are specified, and optionally the number of steps, and lower bound and upper bound, for each parameter. In the case of vector parameters, the element(s) of the vector to be profiled are specified.

The initial starting point for the estimation can also be specified using `casal2 -i file`, which may improve the minimiser performance for the profiles.

If the profile results are not reasonable, it may be a result of not using enough iterations in the minimiser or a poor choice of minimiser control variables (e.g., the minimiser tolerance). It may also be useful to try other minimisers and compare the results. An example excerpt follows, but also see the syntax at Section 10.4.

```
@profile B0
parameter process[Recruitment_east].b0
steps 10
lower_bound 10000
upper_bound 100000
## you can force other parameters to be the same
same process[Recruitment_west].b0
```

To run a Casal2 you will need to supply the following reports

```
@report profile
type profile

@report estimate_values
type estimate_value

@report objective_scores
type objective_function
```

## 6.6 Bayesian estimation

Casal2 can use Markov chain Monte Carlo (MCMC) functionality to generate a sample from the posterior distribution of the estimated parameters with command `casal2 -m` and output the sampled values to a file, optionally keeping only every  $n$ th set of values.

As Casal2 has no post-processing capabilities. Casal2 cannot produce MCMC convergence diagnostics. To calculate these diagnostics, use a package such as BOA, plot/summarize the posterior distributions of the output quantities, and/or use a general-purpose statistical package such as R.

Bayesian methodology and MCMC are both large and complex topics. See Gelman et al. (1995) and Gilks et al. (1994) for details of both Bayesian analysis and MCMC methods. In addition, see Punt & Hilborn (2001) for an introduction to quantitative fish stock assessment using Bayesian methods.

This section briefly describes the MCMC algorithms used in Casal2. See Section 10.3 for the Casal2 commands used in an MCMC Bayesian analysis.

Casal2 implements two methods for MCMC. The first is a straightforward implementation of the random walk Metropolis-Hastings algorithm (Gelman et al., 1995, Gilks et al., 1994). The Metropolis-Hastings algorithm attempts to draw a sample from a Bayesian posterior distribution, and calculates the posterior density  $\pi$ , scaled by an unknown constant. The algorithm generates a 'chain' or sequence of values. Typically the

beginning of the chain is discarded (the burn-in period) and every  $N$ th element of the remainder is taken as the posterior sample. The second is Hamiltonian Monte Carlo. This uses similar subcommands as the random walk Metropolis-Hastings algorithm. In both cases, the chain is produced by taking an initial point  $x_0$  and repeatedly applying the following rule, where  $x_i$  is the current point:

1. Draw a candidate step  $s$  from a proposal distribution  $J$ , which should be symmetric i.e.,  $J(-s) = J(s)$
2. Calculate  $r = \min(\pi(x_i + s)/\pi(x_i), 1)$
3. Let  $x_{i+1} = x_i + s$  with probability  $r$ , or  $x_i$  with probability  $1 - r$

An initial point estimate is produced before the chain starts, which is done so as to calculate the approximate covariance matrix of the estimated parameters (as the inverse Hessian), and may also be used as the starting point of the chain.

The starting point of the point estimate minimiser can be specified using the command `casal2 -i`. Don't start it too close to the actual estimate (either by using `casal2 -i`, or by changing the initial parameter values in input configuration file) as it takes a few iterations to determine a reasonable approximation to the Hessian.

There are currently two options for the starting point of the MCMC:

- Start from the point estimate; or
- Restart a chain given a covariance matrix and a previous starting point.

The chain moves in natural space, i.e., no transformations are applied to the estimated parameters. The default proposal distribution is a multivariate Student's  $t$  distribution centred on the current point, with covariance matrix equal to a matrix based on the approximate covariance produced by the minimiser, multiplied by a step size factor.

The following steps define how the initial covariance matrix of the proposal distribution is calculated:

1. The covariance matrix is taken as the inverse of the approximate Hessian from the quasi-Newton minimiser.
2. The covariance matrix is modified so as to decrease all correlations greater than `@mcmc.max_correlation` down to `@mcmc.max_correlation`, and similarly to increase all correlations less than `-@mcmc.max_correlation` up to `-@mcmc.max_correlation` (the `@mcmc.max_correlation` parameter defaults to 0.8). This should help to avoid getting 'stuck' in a lower-dimensional subspace.
3. The covariance matrix is then modified either by
  - `@mcmc.adjustment_method=covariance`: that if the variance of the  $i$ th parameter is non-zero and less than `@mcmc.min_difference` multiplied by the difference between the parameters' lower and upper bound, then the variance is changed, without changing the associated correlations, to  $k = \min\_diff(upper\_bound_i - lower\_bound_i)$ . This is done by setting

$$Cov(i, j)' = \sqrt{k} Cov(i, j) / sd(i)$$

for  $i \neq j$ , and  $var(i)' = k$

- `@mcmc.adjustment_method=correlation`: that if the variance of the  $i$ th parameter is non-zero and less than `@mcmc.min_difference` multiplied by the difference between the parameters' lower and upper bounds, then its variance is changed to  $k = \min\_diff(upper\_bound_i - lower\_bound_i)$ . This differs from (i) above in that the effect of this option is that it also modifies the resulting correlations between the  $i$ th parameter and all other parameters.

This allows each estimated parameter to move in the MCMC even if its variance is very small according to the inverse Hessian. In both cases, the `@mcmc.min_difference` parameter defaults to 0.0001.

4. The `@mcmc.stepsize` (a scalar factor applied to the covariance matrix to improve the acceptance probability) is set by the user. The default is  $2.4d^{-0.5}$  where  $d$  is the number of estimated parameters, as recommended by Gelman et al. (Gelman et al., 1995).

The proposal distribution can also change adaptively during the chain, using two different mechanisms. Both are offered as means of improving the convergence properties of the chain. It is important to note that any adaptive behaviour must finish before the end of the burn-in period, i.e., the proposal distribution must be finalised before the kept portion of the chain starts.

The adaptive mechanisms are:

- The step size changes adaptively at one or more sample numbers (See next paragraph for details on the step size adaptation methods)
- The entire covariance matrix changes adaptively at one or more sample numbers. At each adaptation, the covariance matrix is replaced with an empirical covariance matrix, derived from the MCMC chain. The idea is that an empirical covariance is a better approximation of the proposal distribution than the inverse of the Hessian matrix, and can improve convergence and mixing of the chain.

The two options to adapt the step size are `double_half` or `ratio`, which is chosen with the input parameter `adapt_stepsize_method`. The `double_half` method is used in CASAL (see Gelman et al. (1995) for justification).

The algorithm for `double_half` is, at each adaptation, the step size is doubled if the acceptance rate since the last adaptation is more than 0.5, or halved if the acceptance rate is less than 0.2. The `ratio` is taken from SPM. It adapts the current step size by the acceptance rate since the last adaptation multiplied by 4.1667 to approach an acceptance rate of  $\approx 0.24$ . See Sherlock and Roberts (2009) for justification on that acceptance rate.

The `stepsize` parameter is now on a completely different scale, and must be rescaled. It is set to a user-specified value (which may or may not be the same as the initial step size). Set the step size adaptations to occur after this, so that the step size can be readjusted to an appropriate value which gives good acceptance probabilities with the new matrix.

All modified versions of the covariance matrix are printed to the standard output, but only the initial covariance matrix (inverse Hessian) is saved to the objectives file (see Section 12.1.17).

The variance-covariance matrix of this sub-sample of chain is calculated. As above, correlations greater than `@mcmc.max_correlation` are reduced to `@mcmc.max_correlation`, correlations less than `-@mcmc.max_correlation` are increased to `-@mcmc.max_correlation`, and very small non-zero variances are increased (`@mcmc.covariance_adjustment` and `@mcmc.min_difference`). The result is the new variance-covariance matrix of the proposal distribution.

The procedure used to choose the sample of points is that, to start, all points on the chain so far are taken. All points in an initial user-specified period are discarded. The assumption is that the chain will have started moving during this period. If this is incorrect and the chain has still not moved by the end of this period, it is a fatal error and Casal2 stops. The remaining set of points must contain at least some user-specified number of transitions. If this is incorrect and the chain has not had at least this number of transitions, then it is also a fatal error. If this test is passed, the set of points is systematically sub-sampled down to 1000 points (and it must be at least this long to start with).

The probability of acceptance for each jump is 0 if the jump would move a parameter value outside of its bounds, 1 if it improves the posterior, or  $(\text{newposterior}/\text{oldposterior})$  otherwise. How often the position of the chain is recorded is specified with the `keep` parameter. For example, with `keep 10`, only every 10th sample is recorded.

The option to specify that some of the estimated parameters are fixed during the MCMC is available via the `mcmc_fixed` in the `@estimate` block. If the chain starts at the point estimate or at a random location, these fixed parameters are set to their values at the end of estimation during the MCMC phase.

If the start of the chain is specified with the command `casal2 -i`, these fixed parameters are set to the values in the file.

Restarting an MCMC chain: in the case where an MCMC chain was halted or interrupted, the MCMC chain can be restarted from where it finished with

```
casal2 -R MPD_file --objective-file objectives_file --sample-file samples_file
```

where `Objective_file_name` is the file name for the objective function report and `Sample_file_name` is the file name for the sample report from a MCMC chain.

The posterior sample can be used for (projections (Section 5.14)) or simulations (see Section 7.6) with the values supplied with the command `casal2 -i file --t`.

A multivariate Student's  $t$  distribution is used as an alternative to the multivariate normal proposal distribution. If you request multivariate Student's  $t$  proposals, change the degrees of freedom from the default of 4. As the degrees of freedom decreases, the  $t$  distribution becomes more heavy tailed. This may lead to better convergence properties. Note the default is the multivariate Student's  $t$ .

Given a posterior (sub)sample, Casal2 can calculate a list of output quantities for each sample point (see Section 8 specifically tabular report). These quantities can be output to a file (with the command `casal2 -r --tabular`) and read into an external software package where the posterior distributions can be plotted and/or summarised.

The posterior sample can also be used for projections (Section 5.14). The advantage of this is that the parameter uncertainty, as expressed in the posterior distribution, can be included into the risk estimates.

Casal2 will error out if asked to run MCMC for a model that does not contain the following reports,

```
@report mcmc_samples
type mcmc_sample

@report mcmc_objectives
type mcmc_objective
```

The default file name for these reports are `samples` and `objectives`. The `write_mode` will default to increment suffix, which means each time you re-run an MCMC in a directory with the same file name, it will increment the extension.

## 6.7 Priors

In a Bayesian analysis, a prior is required for every parameter that is being estimated. There are no default priors.

When some of these priors are parameterised in terms of mean, c.v., and standard deviation, these refer to the parameters of the distribution before the bounds are applied. The moments of the prior after the bounds are applied may differ.

Casal2 has the following priors (expressed in terms of their contribution to the objective function):

### 6.7.1 Uniform

$$-\log(\pi(p)) = 0 \tag{6.8}$$

### 6.7.2 Uniform-log

(i.e.,  $\log(p) \sim \text{uniform}$ )

$$-\log(\pi(p)) = \log(p) \tag{6.9}$$

### 6.7.3 Normal

The normal distribution with mean  $\mu$  and standard deviation with c.v  $c$

$$-\log(\pi(p)) = 0.5 \left( \frac{p - \mu}{c\mu} \right)^2 \tag{6.10}$$



### 6.7.4 Normal with standard deviation

The normal distribution with mean  $\mu$  and standard deviation  $\sigma$

$$-\log(\pi(p)) = 0.5 \left( \frac{p - \mu}{\sigma} \right)^2 \quad (6.11)$$

### 6.7.5 Lognormal

The lognormal distribution with mean  $\mu$  and c.v.  $c$

$$-\log(\pi(p)) = \log(p) + 0.5 \left( \frac{\log(p/\mu)}{s} + \frac{s}{2} \right)^2 \quad (6.12)$$

where  $s$  is the standard deviation of  $\log(p)$  and  $s = \sqrt{\log(1 + c^2)}$ .

### 6.7.6 Normal-log

The normal-log distribution with mean  $\mu$  and c.v.  $c$

Similar to the lognormal prior, but with the mean ( $\mu$ ) and standard deviation ( $\sigma$ ) specified in log space.

where  $s$  is the standard deviation of  $\log(p)$  and  $s = \sqrt{\log(1 + c^2)}$ .

### 6.7.7 Beta

The Beta distribution with mean  $\mu$  and standard deviation  $\sigma$ , and range parameters  $A$  and  $B$

$$-\log(\pi(p)) = (1 - m) \log(p - A) + (1 - n) \log(B - p) \quad (6.13)$$

where  $v = \frac{\mu - A}{B - A}$ , and  $\tau = \frac{(\mu - A)(B - \mu)}{\sigma^2} - 1$  and then  $\mu = \tau v$  and  $n = \tau(1 - v)$ . Note that the beta prior is undefined when  $\tau \leq 0$ .

Vectors of parameters can be independently (but not necessarily identically) distributed according to any of the above forms, in which case the joint negative-log-prior for the vector is the sum of the negative-log-priors of the components. Values of each parameter need to be specified for each element of the vector. Example of syntax to define the estimation of a parameter and the prior assumed:

```
## uniform-log example estimate
@estimate B0
type uniform_log # this command "type" defines the prior type.
parameter process[Recruitment].b0 # "Recruitment" is the label of your process
upper_bound 20000
lower_bound 1000

## Lognormal YCS estimation
@estimate year_class_strengths_1990_1995
type lognormal
parameter process[Recruitment].yces_values{1990:1995}
# yces_year 1990 1991 1992 1993 1994 1995
mu 1 1 1 1 1 1
cv 0.9 0.9 0.9 0.9 0.9 0.9
lower_bound 0.01 0.01 0.01 0.01 0.01 0.01
upper_bound 9 9 9 9 9 9
```

## 6.8 Penalties

Penalties are associated with processes and can be used to enforce parameter value or derived quantity restrictions or model outputs that are invalid by adding a penalty to the objective function. For example, estimated parameter values can be restricted so that a known mortality event removes enough individuals from the population within an event mortality process. Casal2 requires penalty functions for processes that remove or shift a *number* of individuals between categories or from the partition. Many of the penalties that were available in CASAL have been moved to be additional priors in Casal2(see Section 6.9).

For penalties, a multiplier is required to be specified, and the objective function is increased by this multiplier multiplied by the penalty value. In some cases the multiplier may need to be quite large to prohibit some model behaviour.

Penalties are implemented for the processes

- @process[label].type=event\_mortality,
- @process[label].type=mortality\_instantaneous,
- @process[label].type=tag\_by\_length,
- @process[label].type=tag\_by\_length, and
- @process[label].type=category\_transition

For these processes, two types of penalties can be defined: on the natural scale (the default) and on the log scale. Both of these types add a penalty value of the squared difference between the observed value (e.g., the actual number of individuals to be removed in an event mortality process or the actual number of individuals to shift in a category transition process), and the number that were moved (if less than or equal), multiplied by the penalty multiplier.

The natural scale penalty calculates the squared difference on a natural scale, and the log scale penalty calculates the squared difference of the logged values.

For example:

```
@process Mortality
type mortality_instantaneous
penalty CatchMustBeTaken

# define the penalty in an @penalty block
@penalty CatchMustBeTaken
type process
log_scale True
multiplier 10000
```

Penalties are added to the objective function in the following ways;

$$Penalty = (X_1 - X_2)^2 \tag{6.14}$$

or if log\_scale true

$$Penalty = (\log(X_1) - \log(X_2))^2 \tag{6.15}$$

where, for example,  $X_1$  is observed catch biomass and  $X_2$  is the estimated catch biomass. Penalties are usually applied in situations when numbers or weight are known. Another example is for tagging, where the number of individuals that were tagged in a given year is known, so a penalty can be used to restrict the model to estimate reasonable values for the numbers of tagged individuals in that year.

## 6.9 Additional Priors

Additional priors can be thought of as the inverse of penalties . For CASAL models, most of the legacy @penalty blocks have now been implemented as @additional\_prior blocks. They restrict parameters in user-defined spaces .

The types of additional priors available in Casal2 are `vector_smoothing`, `vector_averaging`, `uniform_log`, `lognormal`, `element_difference`, and `Beta`:

- `vector_average`

This prior can be applied to a vector parameter. Sum of squares of  $r^{th}$  differences, optionally on a log scale. This encourages the vector to be like a polynomial of degree  $(r - 1)$ . A range of the vector to be "smoothed" can be specified (and if not, the smoother is applied to the entire vector). However, this restriction must be specified by an index of the vector and must be between 1 and the length of the vector, inclusive.

- `vector_smoothing`

This prior can be applied to a vector parameter. Square of  $(\text{mean}(\text{vector}) - k)$ , or of  $(\text{mean}(\log(\text{vector})) - l)$ , or of  $(\log(\text{mean}(\text{vector})/m))$ . Restricts the vector to average arithmetically to  $k$  or  $m$ , or geometrically to  $\exp(l)$ . Typically used for YCS with  $k=1$  or  $m=1$  or  $l=0$ , to restrict the YCS to centre on 1. Optionally, indices can be chosen or excluded outside a given set of bounds.

- `lognormal` with mean  $\mu$  and c.v.  $c$

$$-\log(\pi(p)) = \log(p) + 0.5 \left( \frac{\log(p/\mu)}{s} + \frac{s}{2} \right)^2 \quad (6.16)$$

- `uniform_log`

$$-\log(\pi(p)) = \log(p) \quad (6.17)$$

- `element_difference`

$$-\log(\pi(p_1, p_2)) = \sum_{i=1}^n (p_{1,i} - p_{2,i})^2 \quad (6.18)$$

- `Beta`

Beta with mean  $\mu$  and standard deviation  $\sigma$ , and range parameters  $A$  and  $B$ , for parameter value  $= p$

$$-\log(\pi(p)) = (1 - m) \log(p - A) + (1 - n) \log(B - p) \quad (6.19)$$

where  $v = \frac{\mu - A}{B - A}$ , and  $\tau = \frac{(\mu - A)(B - \mu)}{\sigma^2} - 1$  and then  $m = \tau v$  and  $n = \tau(1 - v)$ . The beta prior is undefined when  $\tau \leq 0$ .

Methods available for the type `vector_average` are `l`, `k`, `m`. For a target vector parameter  $\mathbf{X}$  and target mean  $k$ , the contribution to the objective score is

- method `k`

$$-\log(\pi(p)) = (\bar{X} - k)^2$$

- method `l`

$$-\log(\pi(p)) = (\overline{\ln(X)} - k)^2$$

- method `m`

$$-\log(\pi(p)) = (\ln(\bar{X}) - k)^2$$

where  $\overline{\ln(X)}$  is the mean of the logged values.

There are a range of parameters and derived values that additional priors can be applied to. Here are a list of non-estimated (all parameters that can be estimated can have an additional prior attached to them) parameters that additional priors can be applied to.

- `selectivity[Selectivity_label].values{i:j}`.  
This subcommand applies a selectivity to the value by age (for ages  $i$  through  $j$ ). This option is available only for certain types of selectivities (`all_values`, `all_values_bounded`, `double_exponential`). See the Hoki stock assessment for an example of applying additional priors on selectivities.
- `catchability[Catchability_label].q`  
This subcommand is for catchabilities that are of type `nuisance` only. Since `nuisance qs` are not free parameters, additional priors can be applied to replicate CASAL models with `@estimate` blocks in `nuisance qs`. If a CASAL model applied a uniform prior, then this has a null effect and this functionality can be ignored when converting to a Casal2 model.

This list may be useful for users who are trying to apply the equivalent CASAL penalties in a Casal2 model.

### 6.10 Parameter Transformations

Casal2 has multiple methods to transform a parameter into a different “space”. Transformations are implemented to try and achieve “better” model optimisation. Complex population models can have highly correlated parameters so transforming them is a method of addressing confounded parameters, and “help” the minimisers find a “global” solution faster. To read more about transformations and get a better understanding of why they are used, see Gilks et al. (1995), specifically chapter 6.

To transform a parameter the `@parameter_transformation` block is used. For example if users wanted to estimate  $\log R_0$  instead of  $R_0$ , they could do the following,

```
## define transformation
@parameter_transformation log_R0
type log
parameters process[Recruitment].r0

## define @estimate for the log parameter
@estimate log_R0
type uniform
parameter parameter_transformation[log_r0].log_parameter
lower_bound 1
upper_bound 25
```

The available parameter transformations are,

1. log (Univariate transformation) Section 6.10.2 - 1
2. inverse (Univariate transformation) Section 6.10.2 - 2
3. average difference (Bivariate transformation) Section 6.10.2 - 3
4. log sum (Bivariate transformation) Section 6.10.2 - 4
5. Orthogonal (Bivariate transformation) Section 6.10.2 - 5
6. Logistic (Univariate transformation) Section 6.10.2 - 6
7. Sum to one (Bivariate transformation) Section 6.10.2 - 7
8. Simplex (Multivariate transformation) Section 6.10.2 - 8

To see the parameters that can be used in `@estimate` block for each estimable transformation see the estimable parameter description in Section 6.10.2.

When users estimate a transformed parameter they have the option of defining the prior for the transformed parameter or for the parameter in natural space. An example of when the later has been used. Say a meta-analysis has been done on the catchability parameter, for which an *a priori* assumption can be made, but the user wants to estimate log transformed catchability for optimisation reasons. In this instance users are required to use the subcommand `prior_applies_to_restored_parameters`. If this is true the prior will be applied to the untransformed parameter and a Jacobian will be added (if it is known) to account for the change in variable. If the Jacobian is false then the prior refers to the transformed parameter and no adjustments are needed. If users specify to calculate a Jacobian and the estimate is not a `parameter_transformation` Casal2 will print a warning and ignore this input.

### 6.10.1 Transform with Jacobian

The support of a random variable  $X$  with density  $p_X(x)$  is that subset of values for which it has non-zero density,

$$\text{supp}(X) = \{x | p_X(x) > 0\} \quad (6.20)$$

If  $f$  is a transformation function defined on the support of  $X$ , then  $Y = f(X)$  is a new random variable (transformed variable).

This section shows the available transformations in Casal2 and the resulting probability density function of  $Y$ .

Suppose  $X$  is one dimensional and  $f: \text{supp}(X) \rightarrow \mathbf{R}$  is a one-to-one, monotonic function with a differentiable inverse  $f^{-1}$ . Then the density of  $Y$  is

$$p_Y(y) = p_X(f^{-1}(y)) \left| \frac{\partial}{\partial y} f^{-1}(y) \right| \quad (6.21)$$

where  $\left| \frac{\partial}{\partial y} f^{-1}(y) \right|$  is the Jacobian adjustment is the absolute derivative of the transform. The Jacobian measures how the scale of the transformed variable changes with respect to the underlying variable. This can be expanded to the multivariate case where the Jacobian becomes a matrix of partial derivatives.

In equation 6.21 the term  $p_X(f^{-1}(y)) = p_X(X)$  and in a Bayesian context is the prior of the untransformed variable/parameter. Casal2 defines the objective function as the negative log-likelihood. This means  $\left| \frac{\partial}{\partial y} f^{-1}(y) \right|$  needs to be times by a negative log, as it is currently defined as an adjustment to the density.

### 6.10.2 Transformation types

1. type `log`: natural logarithm transformation  
`jacobian known = true`  
`estimable parameter = log_parameter`  
 $Y = \log(X)$   
 $f() = \log()$   
 $f^{-1}() = \exp()$

$$\log \left| \frac{\partial}{\partial y} \exp(y) \right| = \log |\exp(y)| = \log(x)$$

```
@parameter_transformation log_R0
type log
parameters process[Recruitment].r0

@estimate log_R0
type uniform
parameter parameter_transformation[log_r0].log_parameter
lower_bound 1
upper_bound 25
```

## 2. inverse

```
jacobian known = true
estimable parameter = inverse_parameter
 $Y = X^{-1}$ 
```

$$\log \left| \frac{\partial 1}{\partial y} \right| = \log |y^{-2}| = -2\log(y)$$

```
@parameter_transformation inverse_R0
type inverse
parameters process[Recruitment].r0

@estimate inverse_R0
type uniform
parameter parameter_transformation[inverse_R0].inverse_parameter
lower_bound 0.001
upper_bound 1
```

3. average.difference: two parameters  $X_1$  and  $X_2$  are transformed to  $Y_1$  and  $Y_2$ , where  $Y_1$  is the average of the original parameters and  $Y_2$  is the difference between the mean and each parameter.

```
jacobian known = false
estimable parameter = average_parameter, difference_parameter
 $Y_1 = \frac{X_1 + X_2}{2}$ 
 $Y_2 = (Y_1 - X_2)2$ 
Restore transformations
 $X_1 = Y_1 + 0.5Y_2$ 
 $X_2 = X_1 - 0.5Y_2$ 
 $\left| \frac{\partial}{\partial y} f^{-1}(y) \right|$  Hasn't been assessed (i.e it could exist)
```

```
@parameter_transformation avg_diff
type average_difference
parameters process[InstantMortality].m{male} process[InstantMortality].m{female}
```

```
@estimate avg_m
type uniform
parameter parameter_transformation[avg_diff].average_parameter
lower_bound 0.01
upper_bound 1
```

```
@estimate diff_m
type uniform
parameter parameter_transformation[avg_diff].difference_parameter
lower_bound -0.5
upper_bound 0.5
```

4. log\_sum: two parameters  $X_1$  and  $X_2$  are transformed to  $Y_1$  and  $Y_2$ , where  $Y_1$  is the natural logarithm of the sum of  $X_1$  and  $X_2$ .  $Y_2$  describes the proportion of the sum with respect to  $X_1$ 

```
jacobian known = false
estimable parameter = log_total_parameter, total_proportion_parameter
 $Y_1 = \ln(X_1 + X_2)$ 
 $Y_2 = X_1 / (X_1 + X_2)$ 
Restore transformations
 $X_1 = \exp(Y_1)Y_2$ 
 $X_2 = \exp(Y_1)(1 - Y_2)$ 
 $\left| \frac{\partial}{\partial y} f^{-1}(y) \right|$  Hasn't been assessed (i.e it could exist)
```

```
@parameter_transformation log_total_r0
```

```

type log_sum
parameters process[Recruitment_east].r0 process[Recruitment_west].r0

@estimate log_total_r0
type uniform
parameter parameter_transformation[log_total_r0].log_total_parameter
lower_bound 4
upper_bound 25

@estimate prop_r0_east
type uniform
parameter parameter_transformation[log_total_r0].total_proportion_parameter
lower_bound 0.001
upper_bound 0.8

```

5. **orthogonal**: two parameters  $X_1$  and  $X_2$  are transformed to  $Y_1$  and  $Y_2$ , where  $Y_1$  is the multiplication of  $X_1$  and  $X_2$ .  $Y_2$  is the division of  $X_1$  and  $X_2$

```

jacobian defined = true
estimable parameter = product_parameter, quotient_parameter

```

$$Y_1 = X_1 X_2$$

$$Y_2 = X_1 / X_2$$

**Restore transformations**

$$X_1 = \sqrt{Y_1 Y_2}$$

$$X_2 = \sqrt{Y_1 / Y_2}$$

$$\left| \frac{\partial}{\partial y} f^{-1}(y) \right| = 2Y_2$$

```

@parameter_transformation orthogonal_trans
type orthogonal
parameters process[Recruitment].r0 catchability[CPUEQ].q

```

```

@estimate B0_times_q
type uniform
parameter parameter_transformation[orthogonal_trans].product_parameter
lower_bound 0.1
upper_bound 2500

```

```

@estimate B0_divide_q
type uniform
parameter parameter_transformation[orthogonal_trans].quotient_parameter
lower_bound 0.001
upper_bound 1e8

```

6. **type logistic**: **logistic transformation**

```

jacobian known = true
estimable parameter = logistic_parameter

```

$$Y = \text{logit}\left(\frac{X-lb}{ub-lb}\right)$$

$$f^{-1}() = lb + (ub - lb)\text{logit}^{-1}()$$

$$\left| \frac{\partial}{\partial y} lb + (ub - lb)\text{logit}^{-1}(y) \right| = (ub - lb)\text{logit}^{-1}(y) (1 - \text{logit}^{-1}(y))$$

```

@parameter_transformation logistic_R0
type logistic
parameters process[Recruitment].r0
lower_bound 10000

```

```
upper_bound 600000
```

```
@estimate logistic_R0
type uniform
parameter parameter_transformation[logistic_R0].logistic_parameter
lower_bound -1000 # theoretically -Inf
upper_bound 1000 # theoretically Inf
```

7. **SumToOne** : given two parameters  $X_1$  and  $X_2$  that have the constraint  $\sum_{i=1}^2 X_i$ , estimate  $X_1$  only given  $X_2 = 1 - X_1$   
jacobian defined = false

```
@parameter_transformation total_r0
type sum_to_one
parameters process[Recruitment_east].r0 process[Recruitment_west].r0
```

```
@estimate total_r0
type uniform
parameter parameter_transformation[log_total_r0].total_parameter
lower_bound 4
upper_bound 25
```

```
@estimate prop_r0_east
type uniform
parameter parameter_transformation[log_total_r0].proportion_parameter
lower_bound 0.001
upper_bound 0.8
```

8. **simplex** : given the vector of parameters  $X = (X_1, \dots, X_n)$  which either has the constraint  $\sum_{i=1}^n X_i = 1$  or  $\sum_{i=1}^n X_i = n$ . Then the simplex is a suitable transformation. It translates to a new vector parameter  $Y = (Y_1, \dots, Y_{n-1})$  which has unconstrained parameter space i.e  $Y_i \in (-\infty, \infty)$ . Note that the calculation of the Jacobian for the simplex is still experimental and may not be suitable in all circumstances.

This transformation follows the implementation in stan, where an intermediate variable  $Z_i$  is used. The transformation going from  $X$  to  $Y$  follows

$$Z_i = \frac{X_i}{1 - \sum_{j=1}^{i-1} X_j}$$

and

$$Y_i = \text{logit}(Z_i) - \log\left(\frac{1}{n-i}\right)$$

The inverse transformation going from  $Y$  to  $X$  follows

$$Z_i = \text{logit}^{-1}\left(Y_i + \log\left(\frac{1}{n-i}\right)\right)$$

and

$$X_i = \left(\sum_{j=1}^{i-1} X_j\right) Z_i \quad \text{for } i < n$$

$$X_n = 1 - \sum_{i=1}^{n-1} X_i \quad \text{for } i = n$$

The jacobian for the density is evaluated as follows,

$$|\det J| = \prod_{i=1}^{n-1} Z_i (1 - Z_i) \left(1 - \sum_{j=1}^{i-1} X_j\right)$$



```
jacobian defined = true
estimable parameter = simplex

@parameter_transformation simplex_ycs
type simplex
sum_to_one false
parameters process[Recruitment].ycs_values{1950:2018}
prior_applies_to_restored_parameters true

@estimate simplex_ycs
type uniform
parameter parameter_transformation[simplex_ycs].simplex
lower_bound -10
upper_bound 10
```

If users want to force other parameters in the system to be the same as an estimated transformation, this can be done by creating multiple `@parameter_transformation` blocks. For example if there were multiple categories (spawning and non spawning males and females) and the average difference parametrisation was used to estimate natural mortality. The non-spawning components can be set the same as the spawning values using the following syntax.

```
@categories
format sex.maturity
names male.spawn female.spawn male.nonspawn female.nonspawn

@parameter_transformation avg_diff_spawn
type average_difference
parameters process[InstantMortality].m{male.spawn} process[InstantMortality].m{female.spawn}

@parameter_transformation avg_diff_non_spawn
type average_difference
parameters process[InstantMortality].m{male.nonspawn} process[InstantMortality].m{female.nonspawn}

@estimate avg_m
type uniform
parameter parameter_transformation[avg_diff_spawn].average_parameter
same parameter_transformation[avg_diff_non_spawn].average_parameter
lower_bound 0.01
upper_bound 1

@estimate diff_m
type uniform
parameter parameter_transformation[avg_diff_spawn].difference_parameter
same parameter_transformation[avg_diff_non_spawn].average_parameter
lower_bound -0.5
upper_bound 0.5
```

This can be done for any set of parameters in the system, for example if you had multiple recruitment dynamics and wanted to estimate a joint steepness parameter with the log transformation, you would need to create multiple blocks and force them in the same.



---

## 7 The observation section: observations and their likelihoods

The command and subcommand syntax for the estimation section is given in Section 11.1.

### 7.1 Observations

The objective function calculates the goodness-of-fit of the model to the observation data. Observations are typically supplied at an instance in time, over a group of aggregated categories. Most observations are sampled over time, i.e., data which were recorded for one or more years, in the same format each year. Examples of time series data types include relative abundance indices, commercial catch length frequencies, and survey numbers-at-age.

Definitions for each type of observation are described below, including how the observed values should be formatted, how Casal2 calculates the expected values, and the likelihoods that are available for each type of observation.

There are two main types of observations available in Casal2. The first type is observations that are associated with a process, and the second are associated with a mortality block (See Section 5.3.3).

Observations for a process are indicated by their type — these use the word `process` as a part of the type name, e.g., `@observation type abundance` is an observation of relative abundance that occurs during a mortality block within a time step, and `@observation type process_abundance` is a observation of relative abundance that occurs during a process within a time step.

#### 7.1.1 Mortality block associated observations

All observations within this class are calculated similarly. That is, the expected values are calculated at the beginning of the mortality block and at the end of the mortality block. Casal2 then uses a linear interpolation to approximate the expected values part way through a mortality block using the subcommand `time_step_proportion`. This feature could be useful if a survey occurs part way through an exploitation phase, which may be part way through a fishing season when modelling a fish population. Each observation in this class will evaluate different expectations of the partition (explained in the following descriptions).

The observation types available with this class of observations are:

- `abundance`
- `biomass`
- `proportions_at_age`
- `proportions_at_length`
- `proportions_by_category`
- `tag_recapture_by_length`
- `tag_recapture_by_age`

**Abundance or biomass observations** Abundance (or biomass) observations are observations of either a relative or absolute number (or biomass) of individuals from a set of categories after applying a selectivity. The observation classes are the same, except that a biomass observation will use the biomass as the observed (and expected) value (calculated from mean weight of individuals within each age and category) while an abundance observation is the number of individuals.

Each observation is for a given year and time-step, for some selected age classes of the population (for a range of ages multiplied by a selectivity), for aggregated categories. Furthermore, the label of the catchability coefficient  $q$  is required;  $q$  can either be estimated or fixed. For absolute abundance or absolute biomass observations, define a catchability where  $q = 1$ . Catchabilities can be estimated as either free parameters or as nuisance parameters (see Section 7.4).

The observations can be supplied for any set of categories. For example, for a model with the two categories *male* and *female*, an observation of the total abundance/biomass (*male* + *female*) or male-only abundance/biomass could be provided. The subcommand `categories` defines the categories used to aggregate the abundance/biomass. In addition, each category must have an associated selectivity, defined by `selectivities`.

For example,

```
categories male
selectivities male-selectivity
```

defines an observation for males after applying the selectivity male-selectivity. Casal2 then requires that an observation is supplied. The expected values for the observations will be the expected abundance (or biomass) of males, after applying the selectivities, at the year and time-step specified.

Casal2 calculates the expected values by summing over the defined ages (via the age range and selectivity) and categories at both the beginning and end of a mortality block. Casal2 will approximate the expectation part way through the mortality block using the `time_step_proportion`. The default `time_step_proportion` value is 0.5. Casal2 does linear interpolation between the start and end abundance (or biomass) from the mortality block.

For an abundance observation the expected value is

$$E_{i,1} = \sum_{c=1}^A \sum_{a=1}^A S_{a,c} N_{a,c,i,1} \quad (7.1)$$

$$E_{i,2} = \sum_{c=1}^A \sum_{a=1}^A S_{a,c} N_{a,c,i,2} \quad (7.2)$$

Where  $E_{i,1}$  is the expectation at the beginning of time step and  $E_{i,2}$  is the expectation at the end of the time-step.  $S_a$  is the selectivity for age  $a$  and category  $c$ . If there is no mortality related to this observation then  $E_i$  which is used in the likelihood contribution is  $E_{i,1}$ . If this was a biomass observation, then  $N_{a,c,i,1}$  in Equations (7.1) and (7.2) is replaced with  $N_{a,c,i,1} \bar{w}_{a,c}$ , where  $\bar{w}_{a,c}$  is the mean weight of category  $c$  at age  $a$ . If the user wishes to apply 100% mortality then  $E_i = E_{i,2}$ .

For applying quantities of mortality between these values ( $M_i$ ), the linear interpolation is

$$E_i = |E_{i,1} - E_{i,2}| M_i \quad (7.3)$$

For each year of observations, the observation table `table obs` has a row with year in the first column, the observation per category in the middle column(s), and the error value in the final column:

```
@observation MyAbundance
type abundance
years 1999
...
categories male
table obs
1999 1000 0.10
end_table
...
```

For an observation aggregated over multiple categories:

```
@observation MyAbundance
type abundance
years 1990 1991
...
```

```
categories male+female
table obs
1990 1000 0.10
1991 1200 0.12
end_table
...
```

For observations for multiple categories:

```
@observation MyAbundance
type abundance
years 1990 1991
...
categories male female
table obs
1990 550 450 0.10
1991 700 500 0.12
end_table
...
```

To define a biomass observation instead of an abundance observation, use

```
@observation MyBiomass
type biomass
...
```

**Proportions-at-age** Proportions-at-age observations are observations of the relative number of individuals at age, via some selectivity.

The observation is supplied for a given year and time-step, for some selected age classes of the population (i.e., for a range of ages multiplied by a selectivity). Note that the categories defined in the observations must have an associated selectivity, defined by `selectivities`.

The age range must be ages defined in the partition (i.e., between `@model.min_age` and `@model.max_age` inclusive); the upper end of the age range can optionally be a plus group, which must be either the same as or less than the plus group defined for the partition.

Proportions-at-age observations can be supplied as

- a set of proportions for a single category,
- a set of proportions for multiple categories, or
- a set of proportions across aggregated categories.

The method of evaluating expectations are the same for all three types of proportions. The definitions of these proportions and the expected dimensions of observation and error inputs that Casal2 expects for each respective proportion type are described below with examples.

Like all types of observations that are associated with the mortality block, Casal2 will evaluate the numbers at age before and after the mortality block for the specified time step of the observation, and applying the user-defined selectivity. Casal2 then generates the expectations from the partition part way through the mortality block using the subcommand `time_step_proportion`. This approximation is a linear interpolation of the numbers-at-age over the mortality block.

The ageing error is then applied, if the user has specified it. Finally, Casal2 converts the numbers-at-age to proportions-at-age by dividing all numbers in an age bin by the total numbers. The likelihood for the proportions-at-age observation is then calculated.

Defining an observation for a single category is used to model a set of proportions of a single category by age class. For example, to specify that the observations are of the proportions of male within each age class, then the subcommand `categories` for the `@observation[label].type=proportion_by_age` command is

```
categories male
```

Casal2 then requires that there will be a single vector of proportions supplied, with one proportion for each age class within the defined age range, and that these proportions sum to one.

For example, if the age range was 3 to 10, then 8 proportions should be supplied, one proportion for each of the ages 3, 4, 5, 6, 7, 8, 9, and 10. The expected values will be the expected proportions of males within each of these age classes (after omitting males aged less than 3 and older than 10), after applying a selectivity at the year and time-step specified. The supplied vector of proportions (i.e., in this example, the 8 proportions) must sum to one, which is evaluated with a default tolerance of 0.001.

```
@observation MyProportions
type proportions_at_age
...
categories male
min_age 3
max_age 9
years 1990
table obs
1990 0.01 0.09 0.20 0.20 0.35 0.10 0.05
end_table
...
```

Defining an observation for multiple categories extends the single category observation definition. It is used to model a set of proportions over several categories by age class. For example, to specify that the observations are of the proportions of male or females within each age class, then the subcommand `categories` for the `@observation[label].type=proportion_by_age` command is

```
categories male female
```

Casal2 then requires that there will be a single vector of proportions supplied, with one proportion for each category and age class combination, and that these proportions sum to one across all ages and categories.

For example, if there were two categories and the age range was 3 to 10, then 16 proportions should be supplied (one proportion for each of the ages 3, 4, 5, 6, 7, 8, 9, and 10, for each category male and female). The expected values will be the expected proportions of males and females within each of these age classes (after omitting those aged less than 3 and older than 10), after applying a selectivity at the year and time-step specified. The supplied vector of proportions (i.e., in this example, the 16 proportions) must sum to one, which is evaluated with a default tolerance of 0.001.

For example,

```
@observation MyProportions
type proportions_at_age
...
categories male female
min_age 1
max_age 5
years 1990 1991
table obs
1990 0.01 0.05 0.10 0.20 0.20 0.01 0.05 0.15 0.20 0.03
1991 0.02 0.06 0.10 0.21 0.18 0.02 0.03 0.17 0.20 0.01
end_table
...
```

Defining an observation across aggregated categories allows categories to be aggregated before the proportions are calculated. It is used to model a set of proportions from several categories that

have been combined by age class. To indicate that two (or more) categories are to be aggregated, separate them with a '+' symbol. For example, to specify that the observations are of the proportions of male and females combined within each age class, then the subcommand `categories` for the `@observation[label].type=proportion_by_age` command is

```
categories male + female
```

Casal2 then requires that there will be a single vector of proportions supplied, with one proportion for each age class, and that these proportions sum to one.

For example, if there were two categories and the age range was 3 to 10, then 8 proportions should be supplied (one proportion for each of the ages 3, 4, 5, 6, 7, 8, 9, and 10, for the sum of males and females within each age class). The expected values will be the expected proportions of males + females within each of these age classes (after omitting those aged less than 3 and older than 10), after applying a selectivity at the year and time-step specified. The supplied vector of proportions (i.e., in this example, the 8 proportions) must sum to one, which is evaluated with a default tolerance of 0.001.

For example,

```
@observation MyProportions
type proportions_at_age
...
years 1990 1991
categories male+female
min_age 1
max_age 5
table obs
1990 0.02 0.13 0.25 0.30 0.30
1991 0.02 0.06 0.18 0.35 0.39
end_table
...
```

The latter form can then be extended to include multiple categories, or multiple aggregated categories. For example, to describe proportions for the three groups: immature males, mature males, and all females (immature and mature females added together) for ages 1 through 4, a total of 12 proportions are required

```
@observation MyProportions
type proportions_at_age
...
categories male_immature male_mature female_immature+female_mature
min_age 1
max_age 4
years 1990
table obs
year 1990 0.05 0.15 0.15 0.05 0.02 0.03 0.08 0.04 0.05 0.15 0.15 0.08
end_table
...
```

**Proportions-at-length** Functionality for defining combinations of categories and aggregated categories directly translates from proportions-at-age to proportions-at-length. The difference is the observation is over length bins instead of age classes. Casal2 calculates the expected numbers-at-length by converting the numbers-at-age to numbers-at-length by using the age-length relationship and distribution specified for the category specified in the `@age_length` block.

Instead of supplying a minimum and maximum age, the user must supply a vector of length bins. If no length bins are specified, then the observation-specific length bins use the model length bins as the default. If

observation-specific length bins are specified, they must be a sequential subset of the model length bins, with no missing or added values. For example, if the model length bins are 0 5 10 15 20 25 ... 100, then the observation-specific length bins can be 20 25 30 35 40 45 50 but not 20 30 40 50.

If there is no plus group, i.e., `length_plus=false`, then Casal2 requires a vector of proportions for each year of length  $n - 1$ , where  $n$  is the number of lengths supplied. If `length_plus=true` then Casal2 expects a vector of proportions for each year of length  $n$ . The last proportion represents the numbers from the last length bin to the maximum length the age-length relationship allows.

```
@observation Observed_Length_frequency_Chatham_east
type process_removals_by_length
years 1991 1992
likelihood multinomial
time_step Summer
fishery EastChathamRise
mortality_process instant_mort
categories male
length_plus false
length_bins 0 20 40 60 80 110
table obs
1991 0.2 0.25 0.15 0.2 0.2
1992 0.12 0.25 0.28 0.25 0.1
end_table
table error_values
1991 25
1992 37
end_table
```

**Age-length** Age-length data are observations of the ages and lengths of individual fish. They are primarily used to fit length-at-age parameters in age-based models.

The data include a list of ages, a list of lengths for a category or combination of categories, plus information on when, where, and how the observations were collected. So, the  $i^{\text{th}}$  elements of the lists contain the age and length of the  $i^{\text{th}}$  fish observed.

There are several possible sampling regimes, i.e., assumptions about how the observed fish were sampled from the general population of fish available at that time and place. The options are:

- `random`: fish were a simple random sample from the available population
- `age`: fish were a simple random sample within each age class
- `length`: fish were a simple random sample within each length class

We believe the `age` option are quite unlikely to be true, yet they are widely applied in fisheries (for example, in the Coleraine (Hilborn et al., 2001) stock modelling software). Probably the `length` option are most likely to hold for most New Zealand finfish programmes.

In age-length data, there should be no observations for which the age is outside the age range (`min_age` - `max_age`) defined for the partition (this will generate a fatal error message), nor any non-integer ages. Observations with ages below the minimum age in the partition should be removed. Observations where an age exceeds the maximum age in the partition could either be included in the plus group (i.e., with the observed age changed to that of the plus group) or removed, depending on the circumstances. If there is no plus group in the partition they should be removed. For `age` samples they may be either included or removed in the plus group. For all other sample types they could be included in the plus group.

In addition, the user can specify a selectivity which was applied in the sampling process, perhaps due to the sampling gear that was used, or the areal availability of fish at that place or time. The selectivity can be age- or length-based: the choice has direct bearing on the likelihood of the observations. Under some sampling regimes, a length-based selectivity has no effect on the likelihood and hence should not be used (since it adds computational time). This occurs when the character on which the selectivity acts was not randomly chosen in



the sample: for instance, if 10 fish of each category were chosen from each length class, then a length-based selectivity will have had no effect (except perhaps to make it easier/harder to find the 10 fish!). In general, a length-based selectivity has no effect under the `length` method unless the selectivity is specified by category. If you attempt to use a length-based selectivity in this situation, Casal2 will issue a warning and will not apply the ogive. In cases where the length-based selectivity does have an effect, Casal2 will issue a warning that the selectivity adds to the computational time, and will apply it as requested.

Similarly, under some sampling regimes, an age-based selectivity has no effect on the likelihood, and should not be used. This applies under the `age` method unless the selectivity is specified by age. If you attempt to use an age-based selectivity in this situation, Casal2 will issue a warning and not apply the selectivity.

The user must additionally specify the year, time-step, and proportion of mortality when the observations were collected, and whether ageing error is to be applied.

The only likelihood available for a single observation, is the Bernoulli distribution (`bernoulli`), the other one is `none` which will generate expected values but won't evaluate the likelihood.

A difference between CASAL and Casal2 is how to deal with sexes and categories. In CASAL sex was a hard coded attribute so it could generate numbers at age for a sex without any input from the user. Casal2 doesn't have this luxury and users are required to explicitly state the categories often that share the same age-length relationship using the `numerator_categories`. This is an optional parameter, and used when sex is an attribute in the partition along with other attributes such as maturity or tagging. If users do not specify `numerator_categories` it defaults to the categories supplied in `categories`. The categories defined by `numerator_categories` are denoted by  $c^*$ , where as categories defined by `categories` represent the available population in the sampling process denoted by  $c$ .

All categories listed in `numerator_categories` are required to have the same `@age_length` block as well as the same selectivity.

With a random sample covering a single category  $c^*$  with ageing error the expected probability of sampling a fish with this age and length characteristic follows,

$$P(a, l) = \left[ \sum_{a^*} N_{a^*}^{c^*} M_{a^*,a} f_{a^*,c^*}(l) \right] / \left[ \sum_{a^*} \sum_c N_{a^*,c} \right]$$

where,  $N_{a^*}^{c^*}$  is the number of fish of true age  $a^*$  and categories  $c^*$ ,  $M_{a^*,a}$  is the probability that a fish of true age  $a^*$  is observed as age  $a$ , and  $f_{a^*,c^*}(l)$  is the probability density function describing the distribution of sizes for a given (true) age  $a^*$  and age-length for categories  $c^*$ . In this case with a single category  $c^* = c$ . When there is no ageing error the numerator of the above equation simplifies to  $N_{a^*}^{c^*} f_{a^*,c^*}(l)$ .

When multiple categories are supplied by `numerator_categories`, then  $N_{a^*}^{c^*}$  is calculated as

$$N_{a^*,c^*} = \sum_{\tilde{c} \in c^*} N_{a^*,\tilde{c}} S_{\tilde{c}}(a^*)$$

where,  $S_{\tilde{c}}(a^*)$  is a selectivity and  $N_{a^*,\tilde{c}}$  is numbers at age from an interpolation partway through the mortality block.

For all the other sample types the expected value is a conditional probability, and is calculated as a fraction whose numerator is the same as for  $P(a, l)$  and with the denominator given in Table 7.1.

If the user specifies a selectivity for an age-length observation, this is easy to deal with if the selectivity is age-based. If  $N_{a^*,c}^*$  is the number at true age  $a^*$  and category  $c$  before the selectivity is applied then  $N_{a^*,c} = N_{a^*,c}^* S_c(a^*)$ , where  $S_c(\cdot)$  is the selectivity function for category  $c$ .

It is more complicated with a length-based selectivity because of the need to distinguish between the distribution of length at age before  $[f_{a^*,c}^*(l)]$  and after  $[f_{a^*,c}(l)]$  the selectivity is applied (note: it is the former which is defined by the model parameters). The appropriate equations are

$$f_{a^*,c}(l) = S_c(l) f_{a^*,c}^*(l) / \int_{l^*} S_c(l^*) f_{a^*,c}^*(l^*) dl^* ,$$

and

$$N_{a^*,c} = N_{a^*,c}^* \int_{l^*} S_c(l^*) f_{a^*,c}^*(l^*) dl^*,$$

The integrals in these equations are calculated by discrete approximation (using 5 points), in the same way as length-based selectivities are converted to age-based selectivities.

The observed values are a one and the expected value is the probability ( $P(a,l)$ )

**Table 7.1: Age-Length likelihoods for the different sample types.**

Sample	Conditional probability	Denominator	
		Ageing Error	Without Ageing Error
random	$L = P(a,l)$	$\sum_{a^*} \sum_c N_{a^*,c}$	$\sum_{a^*} \sum_c N_{a^*,c}$
by_age	$L = P(l a,c)$	$\sum_{a^*} \sum_c N_{a^*,c} M_{a^*,a}$	$\sum_c N_{a,c}$
by_length	$L = P(a,c l)$	$\sum_{a^*} \sum_c N_{a^*,c} f_{a^*,c}(l)$	$\sum_{a^*} \sum_c N_{a^*,c} f_{a^*,c}(l)$

Currently Casal2 only allows the following sample\_type's random, age and length. These three can cover the following CASAL use cases random\_at\_sex\_and\_age and random\_at\_sex\_and\_size, random and random\_at\_size, and random\_at\_age.

Casal2 distinguishes between random\_at\_sex\_and\_size and random\_at\_size by how the categories are defined in the observation block. For example, if there is a sexed model with Two categories male and female. To set up an observation that was random\_at\_size for males you could define the following observation

```
@observation male_age_length_obs
type age_length
year 1987
likelihood bernoulli
time_step step1
time_step_proportion 0.5
sample_type length
categories male+female
numerator_categories male
selectivities One One
ages      6  8  9  9  9  9  9  9  11 12 12 12 12 13 14
lengths   12.2 15.0 15.0 15.1 15.3 16.0 16.0 16.4 14.9 15.8 17.1 17.5 19.4 22.0 14.6
sample_type length
```

However if you wanted to apply a random\_at\_sex\_and\_size observation, then you change the categories command as follows. This will calculate the probability of sampling a fish of age  $a$  conditional on it being a male and the given length.

```
@observation male_age_length_obs
type age_length
year 1987
likelihood bernoulli
time_step step1
time_step_proportion 0.5
sample_type length
categories male
numerator_categories male
selectivities One One
ages      6  8  9  9  9  9  9  9  11 12 12 12 12 13 14
lengths   12.2 15.0 15.0 15.1 15.3 16.0 16.0 16.4 14.9 15.8 17.1 17.5 19.4 22.0 14.6
sample_type length
```

See Section 11.1.17 for more details on commands and syntax.

**Proportions-by-category observations** Proportions-by-category observations are observations of either the relative number of individuals between categories within age classes, or relative biomass between categories within age classes.

The observation is supplied for a given year and time-step, for selected age classes of the population (i.e., for a range of ages multiplied by a selectivity).

The age range must be ages defined in the partition (i.e., between `@model.min_age` and `@model.max_age` inclusive); the upper end of the age range can optionally be a plus group, which may or may not be the same as the plus group defined for the partition.

Proportions-by-category observations can be supplied for any set of categories as a proportion of themselves and any set of additional categories. For example, for a model with the two categories *male* and *female*, observations of the proportions of males in the population at each age class might be provided. The subcommand `categories` defines the categories for the numerator in the calculation of the proportion, and the subcommand `categories2` supplies the additional categories to be used in the denominator of the calculation. In addition, each category must have an associated selectivity, defined by `selectivities` for the numerator categories and `selectivities2` for the additional categories used in the denominator.

For example,

```
categories male
categories2 female
selectivities male-selectivity
selectivities2 female-selectivity
```

defines the proportion of males in each age class as a proportion of males + females. Casal2 then requires that there will be a vector of proportions supplied, with one proportion for each age class within the defined age range, i.e., if the age range was 3 to 10, then 8 proportions should be supplied (one proportion for each of the ages 3, 4, 5, 6, 7, 8, 9, and 10). The expected values will be the expected ratios of male to male + female within each of these age classes, after applying the selectivities at the year and time-step specified.

Casal2 calculates the expected values by summing over the ages (via the age range and selectivity)

For example,

```
@observation MyProportions
type proportions_by_category
years 1990 1991
...
categories male
categories2 female
min_age 1
max_age 5
table obs
1990 0.01 0.05 0.10 0.20 0.20
1991 0.02 0.06 0.10 0.21 0.18
end_table
...
```

**Tag Recapture by length** Tag data is primarily used to estimate the population abundance of fish. In some models, this estimation can only be made outside the model and the result is used as an estimate of abundance in the model. But in Casal2 the tagging data can, alternatively, be fitted within the model.

Before adding a tag-recapture time series, a tag-release process (Section 5.3.5) needs to be defined. Tagging events list the labels of the tags which are modelled, and define the events where fish are tagged (i.e., Casal2 moves fish into the section of the partition corresponding to a specific tag).

The observations are divided into two parts: (i) the number of fish that were scanned, and (ii) the number of tags that were recaptured. Each number can be specified by categories, or for combinations of categories. The precise content of the scanned and recaptured observations depends on the sampling method.

The available options are:

- age: both the scanned and recaptured are vectors containing numbers-at-age. Only available in an age-based model. The selectivity ogive is redundant and cannot be supplied.
- size: both the scanned and recaptured are vectors containing numbers-at-size. Can be used in either an age- or size-based model. The selectivity ogive is redundant and cannot be supplied.

When defining the tag-recapture time series, the following are also required:

- the time step,
- the years (unlike a tag-release process, the tag-recapture observations can occur over several years),
- the probability that each scanned tagged fish is detected as tagged (may be less than 1 if the observers are not infallible). The expected number of tags detected is calculated by multiplying this number by the number of tagged fish in the sample,
- the tagged category or categories (Make up the recaptures),
- the categories scanned (All the fish sampled for tags),
- A selectivity used in the recapture process,
- the size classes if the observations are size-based in an age-based model.

An example of a tag recapture observation:

```
# For the following partition
@categories
format sex.area.tag
names    male.Areal.2011,notag female.Areal.2011,notag

# individuals tagged in 2011 and recaptured in 2012 in Areal
@observation Tag_2011_Areal_recap_2012
type tag_recapture_by_length
# scanned categories in Areal
categories format=*.Areal.*+
# male and female tagged categories
tagged_categories *.Areal.2011+
detection 0.85 ## detection probability
likelihood binomial
selectivities One
tagged_selectivities One
# years to apply observation
years 2012
time_step step2
# proportion of mortality applied before observation is calculated
time_step_proportion 0.5

table scanned
2012 281271 41360 30239 12234
end_table

table recaptured
2012 15 20 12 2
end_table

# robustification value to prevent divide by zero errors
delta 1e-11
# Likelihood dispersion
dispersion 6.3
```

The observed ( $O_{y,l}$ ) and expected ( $E_{y,l}$ ) values in year  $y$  and length  $l$  of this observation are:

$$O_{y,l} = \frac{R_{y,l}}{S_{y,l}} \quad (7.4)$$

where  $R_{y,l}$  is the number of recaptures in year  $y$  at length  $l$  and  $S_{y,l}$  are the scanned values.

$$E_{y,l} = d \frac{\tilde{N}_{y,l,t} + (\tilde{N}_{y,l,t+1} - \tilde{N}_{y,l,t}) \times p}{N_{y,l,t} + (N_{y,l,t+1} - N_{y,l,t}) \times p} \quad (7.5)$$

where  $\tilde{N}_{y,l,t}$  is an element in the tagged categories at the beginning of time step  $t$  and  $\tilde{N}_{y,l,t+1}$  is an element in the tagged categories at the end of time step  $t$ ,  $N_{y,l,t}$  is the sum of the categories that were vulnerable to sampling when the observation occurred,  $p$  is the proportion of the time step that the observation was taken, and  $d$  is the detection probability.

For observations with multiple tagged categories and multiple categories that were vulnerable to sampling:

$$\tilde{N}_{y,l,t} = \sum_{j=1}^J N_{y,l,t,j} \quad (7.6)$$

where  $j = \{1, 2, 3, \dots, J\}$  are all the tagged categories, the same method is applied to the vulnerable categories to calculate  $N_{y,l,t}$ . The tagged categories should be defined in the vulnerable categories. In an extreme case where every individual in the population is tagged, this result would be divided by zero. So, to constrain the expectation to be between 0 and 1, the numerator must be in the denominator.

The tag-recapture likelihood (binomial) is specified below. It is a modified version of the more general binomial. Note that this likelihood does not have any user-set precision parameters such as  $N$  or  $c.v.$ , although there are user-specified robustification and dispersion parameters available. The factorials are calculated using the log-gamma function, to allow for non-integer arguments where necessary (and to avoid overflow errors).

### 7.1.2 General process observations

A list of types that are associated with this set of observations:

- process\_abundance
- process\_biomass
- process\_proportions\_at\_age
- process\_proportions\_at\_length
- process\_proportions\_by\_category

These observations have the same expectations as the mortality block versions described in Section 5.3.3. With the exception that instead of wrapping a mortality block they can wrap any process type available in Casal2.

### 7.1.3 Specific process observations

A list of types that are associated with this set of observations are:

- process\_removals\_by\_age
- process\_removals\_by\_age\_retained
- process\_removals\_by\_age\_retained\_total
- process\_removals\_by\_length
- process\_removals\_by\_length\_retained
- process\_removals\_by\_length\_retained\_total
- process\_proportions\_migrating

**Process removals by age** Removals-at-age observations are observations of the relative number of individuals at age, part way through a process of type `mortality_instantaneous` or `mortality_hybrid`. This observation can be associated with the process of type `mortality_instantaneous` and `mortality_hybrid`, and will produce an error if any other mortality process type is given.

The observation is supplied for a set of years and specific time-step, for selected age classes of the population (i.e., for a range of ages multiplied by a selectivity that is derived from the process).

The age range must be ages defined in the partition (i.e., between `@model.min_age` and `@model.max_age` inclusive); the upper end of the age range can optionally be a plus group, which must be either the same or less than the plus group defined for the partition.

The expectations from this observation when the process is of type `mortality_instantaneous` are generated whilst the process is being executed. The expectation of numbers at age  $a$  for category  $c$  from exploitation method  $m$  ( $E[N_{a,c,m}]$ ) is

$$E[N_{a,c,m}] = N_{a,c} U_{a,m} S_{a,c,m} 0.5 M_{a,c} \quad (7.7)$$

where  $N_{a,c}$  are the numbers-at-age in category  $c$  before the process is executed,  $U_{a,m}$  is the exploitation rate for age  $a$  from method  $m$ ,  $S_{a,c,m}$  is the selectivity, and  $M$  is the natural mortality.

The expectations from this observation when the process is of type `mortality_hybrid` are generated whilst the process is being executed. The expectation of numbers at age  $a$  for category  $c$  from exploitation method  $m$  ( $E[N_{a,c,m}]$ ) is

$$E[N_{a,c,m}] = \frac{F_{a,m}}{Z_{a,c}} N_{a,c} S_{a,c,m} \quad (7.8)$$

where  $N_{a,c}$  are the numbers-at-age in category  $c$  before the process is executed,  $F_{a,m}$  is the fishing mortality rate for age  $a$  from method  $m$ ,  $S_{a,c,m}$  is the selectivity and  $Z_{a,c}$  is the total mortality.

The observation class accesses the variable  $E[N_{a,c,m}]$  and applies ageing error if the user has specified it. Then the observations are aggregated by method and category depending on how the user specifies the observation, before converting numbers-at-age to proportions-at-age and then calculating the likelihood.

Likelihoods that are available for this observation class are the multinomial, Dirichlet, and the lognormal. See Section 7.2 for information on the respected likelihood.

**Process removals by age retained** Observations of retained and total catches by age can be included, using the labels `process_removals_by_age_retained` and `process_removals_by_age_retained_total`, respectively. Examples of two such observations are given below, with the associated process `InstantaneousMortalityRetained` having the form of the example in Section 5.3.3.

For retained catch:

```
@observation potFishAFtotal
type process_removals_by_age_retained_total
mortality_process InstantaneousMortalityRetained
method_of_removal FishingPot
years 2005
time_step 1
categories male
### ageing_error Normal_ageing
min_age 3
max_age 15
plus_group True
table obs
2005 0.00 0.01 0.16 0.27 0.22 0.16 0.11 0.05 0 0 0 0 0
```

```

end_table
table error_values
2005 651
end_table
likelihood multinomial
delta 1e-11

```

For total catch:

```

@observation potFishAFretained
type process_removals_by_age_retained
mortality_process Instantaneous_Mortality_Retained
method_of_removal FishingPot
years 2005
time_step 1
categories male
# ageing_error Normal_ageing
min_age 3
max_age 15
plus_group True
table obs
2005 1.65e-10 7.56e-07 1.77e-03 1.96e-01 3.19e-01 2.43e-01 1.60e-01 8.04e-02 0 0 0 0
end_table
table error_values
2005 651
end_table
likelihood multinomial
delta 1e-11

```

**Process removals by length** Removals by length observations are observations of the relative number of individuals at length, part way through a process of type `mortality_instantaneous`. This observation is exclusively associated with the process of type `mortality_instantaneous`, and will produce an error if associated with any other process type.

The observation is supplied for a given year and time-step, for some selected age classes of the population (i.e., for a range of ages multiplied by a selectivity that is associated with the process).

The expectations from this observation are generated whilst the process is being executed. The expectation of numbers at age  $a$  for category  $c$  from exploitation method  $m$  ( $E[N_{a,c,m}]$ ) are

$$E[N_{a,c,m}] = N_{a,c} U_{a,m} S_{a,c,m} 0.5 M_{a,c} \quad (7.9)$$

where  $N_{a,c}$  are the numbers at age in category  $c$  before the process is executed,  $U_{a,m}$  is the exploitation rate for age  $a$  from method  $m$ ,  $S_{a,c,m}$  is the selectivity, and  $M$  is the natural mortality.

The observation class accesses the variable  $E[N_{a,c,m}]$  from the process and applies the age-length relationship specified in the model. This converts numbers-at-age to numbers-at-age and -length, which are then converted to numbers-at-length. The observations are aggregated by method and category depending on how the user specifies the observation, before converting numbers-at-age to proportions and calculating the likelihood.

Similar to the proportions-at-length observation type, the user must supply a vector of length bins. The observation-specific length bins must be a sequential subset of the model length bins, with no missing or added values. For example, if the model length bins are 0 5 10 15 20 25 ... 100, then the observation-specific length bins can be 20 25 30 35 40 45 50 but not 20 30 40 50.

```

@observation observation_fishery_LF
type process_removals_by_length
...
years 1993 1994 1995

```

```

method_of_removal FishingEast
mortality_process instant_mort
length_plus false
length_bins 0 20 40 60 80 110
delta 1e-5
table obs
1993 0.0 0.05 0.05 0.10 0.80
1994 0.05 0.1 0.05 0.05 0.75
1995 0.3 0.4 0.2 0.05 0.05
end_table

table error_values
1993 31
1994 34
1995 22
end_table

```

Likelihoods that are available for this observation are the multinomial, Dirichlet and the lognormal. See below for information on the likelihoods.

**Process removals by length retained** Observations of retained and total catches by length can be included, using the labels `process_removals_by_length_retained` and `process_removals_by_length_retained_total` respectively. Examples of two such observations are given below, with the associated process `Instantaneous_Mortality_Retained` having the form of the example in Section 5.3.3.

Similar to the proportions-at-length observation type, the user must supply a vector of length bins. The observation-specific length bins must be a sequential subset of the model length bins, with no missing or added values. For example, if the model length bins are 0 5 10 15 20 25 ... 100, then the observation-specific length bins can be 20 25 30 35 40 45 50 but not 20 30 40 50.

For retained catch:

```

@observation potFishLFtotal #test syntax get catch LF out
type process_removals_by_length_retained_total
mortality_process Instantaneous_Mortality_Retained
method_of_removal FishingPot
years 2005
time_step 1
categories male
length_bins 30 31 32 33 34 35 36 37 38 39 40 41 42 43 44 45 46 # for LF in catch
length_plus False
table obs
2005 0.05 0.06 0.07 0.08 0.08 0.08 0.08 0.08 0.07 0.06 0.06 0.05 0.04 0.030 0.02 0.02
end_table
table error_values
2005 651
end_table
likelihood multinomial
delta 1e-11

```

For total catch:

```

@observation potFishLFretained #test syntax get retained LF out
type process_removals_by_length_retained
mortality_process Instantaneous_Mortality_Retained
method_of_removal FishingPot
years 2005
time_step 1
categories male

```



```

length_bins 30 31 32 33 34 35 36 37 38 39 40 41 42 43 44 45 46 # for LF in catch
length_plus False
table obs
2005 0.02 0.03 0.04 0.06 0.07 0.08 0.08 0.09 0.08 0.08 0.07 0.06 0.05 0.04 0.03 0.02
end_table
table error_values
2005 651
end_table
likelihood multinomial
delta 1e-11

```

**Proportions migrating** This observation is of the proportion migrating from one area to another. This observation is exclusively associated with the process type `transition_category`, and will produce an error when associated with any other process type. This observation is used to inform migration rates in migration processes. This observation class is used in the hoki stock assessment see Francis et al. (2003) for more information on how these observations are collected and a situation that uses it.

This observation calculates an expectation  $E_a$  of proportions for each age class  $a$  that have migrated, by

$$E_a = \frac{N_a - N'_a}{N_a} \quad (7.10)$$

where  $N_a$  are the numbers of individuals in age  $a$  before the migration process occurs, and  $N'_a$  are the number of individuals after the migration process occurs.

The likelihoods that are allowed for this observation are the lognormal, multinomial, and Dirichlet.

A section of the hoki stock assessment model:

```

@observation pspawn_1993
type process_proportions_migrating
years 1993
time_step step4
process Wspmg ## migration process that the observation is associated with
age_plus true
min_age 4
max_age 9
likelihood lognormal
categories male.west+female.west ## Categories to evaluate the prportion for
ageing_error Normal_offset ## label for an @ageing_error block
table obs
#age    4    5    6    7    8    9
1993 0.64 0.58 0.65 0.66 0.71 0.60
end_table

table error_values
## if lognormal these are c.v.'s
1993 0.25
end_table

```

## 7.2 Likelihoods

### 7.2.1 Likelihoods for composition observations

Casal2 has a range of likelihoods for composition observations, these include the multinomial, Dirichlet, Dirichlet-Multinomial, and the lognormal likelihood. Composition observations consist of proportions at age or length. The following notation uses  $b$  to denote a composition bin which can be interpreted as an age or length bin.

### The multinomial likelihood

For the observed proportions at age  $O_b$  for composition bin  $b$  (age or length), with sample size  $N$ , and the expected proportions for the same bin denoted by  $E_b$ , the negative log-likelihood is:

$$-\log(L) = -\log(N!) + \sum_b \log((NO_b)!) - NO_b \log(Z(E_b, \delta)) \quad (7.11)$$

where  $\sum_b O_b = 1$  and  $\sum_b E_b = 1$ .  $Z(\theta, \delta)$  is a robustifying function to prevent division by zero errors, with parameter  $\delta > 0$ .

$$Z(\theta, \delta) = \begin{cases} \theta, & \text{where } \theta \geq r \\ \delta / (2 - \theta / \delta), & \text{otherwise} \end{cases} \quad (7.12)$$

The default value of  $\delta$  is  $1 \times 10^{-11}$ .

### The Dirichlet likelihood

For the observed proportions at age  $O_b$  for composition bin  $b$  (age or length), with sample size  $N$ , and the expected proportions for the same bin denoted by  $E_b$ , the negative log-likelihood is:

$$-\log(L) = -\log(\Gamma(\sum_b \alpha_b)) + \sum_b \log(\Gamma(\alpha_b)) - \sum_b (\alpha_b - 1) \log(Z(O_b, \delta)) \quad (7.13)$$

where  $\alpha_b = Z(NE_b, \delta)$ ,  $\sum_b O_b = 1$ , and  $\sum_b E_b = 1$ .  $Z(\theta, \delta)$  is a robustifying function to prevent division by zero errors, with parameter  $\delta > 0$ .

$$Z(\theta, \delta) = \begin{cases} \theta, & \text{where } \theta \geq r \\ \delta / (2 - \theta / \delta), & \text{otherwise} \end{cases} \quad (7.14)$$

The default value of  $\delta$  is  $1 \times 10^{-11}$ .

### The Dirichlet multinomial likelihood

The Dirichlet multinomial can be applied using the linear re-parametrised approach from (Thorson et al., 2017). For the observed proportions  $O_b$  for composition bin  $b$  (age or length), with sample size  $N$ , expected proportions for the same bin denoted by  $E_b$ , and estimable overdispersion parameter  $\theta$ , the negative log-likelihood is:

$$\begin{aligned} -\log(L) = & -\log \Gamma(N+1) + \sum_b \log(\Gamma(NO_b+1)) + \\ & \log \Gamma(\theta N) + \log \Gamma(N + \theta N) NO_b - \sum_b \log(NO_b + \theta NE_b) - \log(\theta NE_b) \end{aligned}$$

which has an effective sample size  $n_{eff}$

$$n_{eff} = \frac{1 + \theta N}{1 + \theta} = \frac{1}{1 + \theta} + N \frac{\theta}{1 + \theta}$$

where the effective sample size is a linear function of input sample size with intercept  $(1 + \theta)^{-1}$  and slope  $\frac{\theta}{1+\theta}$ . Casal2 will report the  $n_{eff}$  in the observation report under the column label `adjusted_error`.

Interpreting  $\theta$ :

- if  $\theta$  is large then  $n_{eff} \rightarrow N$
- if  $\theta \ll N$  and  $N > 1$  then  $\theta$  can be interpreted as the ratio of the effective sample size over the input sample size.

If you estimate  $\theta$  it is recommended to apply a transformation such as `log` (see below for example syntax), Casal2 will error out if there is not transformation applied to  $\theta$ . This likelihood is quite different to `configure` compared with other likelihood types because it has an estimable parameter you need to define a `@likelihood` block and it cannot have a `label` that is the same as a `type` from any of the other likelihoods.

```
@likelihood DirichletMultinomialFisheryAge
type dirichlet_multinomial
theta 1

@observation FisheryAge
type proportions_at_age
...
likelihood DirichletMultinomialFisheryAge

@parameter_transformation log_theta
type log
parameter likelihood[DirichletMultinomialFisheryAge].theta
```

### The lognormal likelihood

For the observed proportions at age  $O_b$  for bin  $b$ , with c.v.  $c_b$ , and the expected proportions at the same age classes  $E_b$ , the negative log-likelihood is defined as;

$$-\log(L) = \sum_b \left( \log(\sigma_b) + 0.5 \left( \frac{\log(O_b/Z(E_b, \delta))}{\sigma_b} + 0.5\sigma_b \right)^2 \right) \quad (7.15)$$

where

$$\sigma_b = \sqrt{\log(1 + c_b^2)} \quad (7.16)$$

and the  $c_b$ 's are the c.v.s for each composition bin  $b$ , and  $Z(\theta, \delta)$  is a robustifying function to prevent division by zero errors, with parameter  $\delta > 0$ .

$$Z(\theta, \delta) = \begin{cases} \theta, & \text{where } \theta \geq r \\ \delta/(2 - \theta/\delta), & \text{otherwise} \end{cases} \quad (7.17)$$

The default value of  $\delta$  is  $1 \times 10^{-11}$ .

#### 7.2.2 Likelihoods for abundance and biomass observations

Abundance and biomass observations are expected as an annual time series in Casal2, where they select the same categories over that time series. The parameters and inputs needed to use this observation class are: a

observation  $O_i$ , c.v.  $c_i$ , catchability coefficient  $q$ , where  $i$  indexed the year. Casal2 calculates an expectation  $E_i$  and scales it by  $q$  before comparing it to  $O_i$ . This means that the value chosen for  $q$  will determine whether the observation is relative ( $q \neq 1$ ) or absolute  $q = 1$ . Before we describe each of the likelihoods we will discuss the methods available to handle  $qs$ :

- The  $qs$  can be treated as 'nuisance' parameters. For each set of values of the free parameters, the model uses the values of the  $qs$  which minimise the objective function. These optimal  $qs$  are calculated algebraically (see Section 7.4.2). If one of the  $qs$  falls outside the bounds specified by the user, it is set equal to the closest bound. This approach reduces the size of the parameter vector and hence should improve the performance of the estimation method. However, it is not correct when calculating a sample from the posterior in a Bayesian analysis (except asymptotically, see Walters and Ludwig (1994)) and we offer the following alternative;
- The  $qs$  can be treated as ordinary free parameters.

For both options, it is necessary to evaluate the contribution of  $O_i$  to the negative log likelihood for a given value of  $q$ . Each observation  $O_i$  varies about  $qE_i$ , which expresses the variability of  $O_i$  in terms of its c.v.  $c_i$  (or in one case, its standard deviation  $si$ ). Here are the likelihoods, which are expressed on the objective-function scale of  $-\log(L)$ :

### The lognormal likelihood

The negative log likelihood for the lognormal is

$$-\log(L) = \sum_i \left( \log(\sigma_i) + 0.5 \left( \frac{\log(O_i/qZ(E_i, \delta))}{\sigma_i} + 0.5\sigma_i \right)^2 \right) \quad (7.18)$$

where

$$\sigma_i = \sqrt{\log(1 + c_i^2)} \quad (7.19)$$

and  $Z(\theta, \delta)$  is a robustifying function to prevent division by zero errors, with parameter  $\delta > 0$ .

$$Z(\theta, \delta) = \begin{cases} \theta, & \text{where } \theta \geq r \\ \delta/(2 - \theta/\delta), & \text{otherwise} \end{cases} \quad (7.20)$$

The default value of  $\delta$  is  $1 \times 10^{-11}$ .

This formulation reflects the distributional assumptions that  $O_i$  has the lognormal distribution, that the mean of  $O_i$  is  $qE_i$  and the c.v. of  $O_i$  is  $c_i$ .

### The normal likelihood

For observations  $O_i$ , c.v.  $c_i$ , and expected values  $qE_i$ , the negative log-likelihood is defined as;

$$-\log(L) = \sum_i \left( \log(c_i E_i) + 0.5 \left( \frac{O_i - E_i}{Z(c_i E_i, \delta)} \right)^2 \right) \quad (7.21)$$

and  $Z(\theta, \delta)$  is a robustifying function to prevent division by zero errors, with parameter  $\delta > 0$ .

$$Z(\theta, \delta) = \begin{cases} \theta, & \text{where } \theta \geq r \\ \delta/(2 - \theta/\delta), & \text{otherwise} \end{cases} \quad (7.22)$$

The default value of  $\delta$  is  $1 \times 10^{-11}$ .

This reflects the distributional assumptions that  $O_i$  has the normal distribution, that the mean of  $O_i$  is  $qE_i$  and the c.v. of  $O_i$  is  $c_i$ .

### 7.2.3 Likelihoods for tag recapture by age and length observations

**The binomial likelihood** This likelihood is for situations where the size frequencies or age frequencies of the recaptured tagged fish and of the scanned fish are known. Available in both age or size based models.

The likelihood is defined as a binomial, but based on sizes, rather than ages

$$-\log(L)' = -\sum_i [\log(n_i!) - \log((n_i - m_i)!) - \log((m_i)!) + m_i \log\left(Z\left(\frac{M_i}{N_i}, \delta\right)\right) + (n_i - m_i) \log\left(Z\left(1 - \frac{M_i}{N_i}, \delta\right)\right)] \quad (7.23)$$

where

$n_i$  = number of fish at size or age  $i$  that were scanned

$m_i$  = number of fish at size or age  $i$  that were recaptured

$N_i$  = number of fish at size or age  $i$  in the available population (tagged and untagged)

$M_i$  = number of fish at size or age  $i$  in the available population that have the tag after a detection probability  $p_d$  has been applied,  $M_i = M'_i p_d$ , where  $M'_i$  is the expected available population that have the tag.

$Z(x, \delta)$  is a robustifying function with parameter  $r > 0$  (to prevent division by zero errors).

$$Z(x, \delta) = \begin{cases} x & \text{where } x \geq \delta \\ \frac{\delta}{(2-x/\delta)} & \text{otherwise} \end{cases}$$

If a dispersion parameter ( $\tau$ ) is described in the observation then the final negative log likelihood  $-\log(L)$  contribution is

$$-\log(L) = -\log(L)' / \tau$$

### 7.2.4 Likelihoods for proportions-by-category observations

Casal2 implements two likelihoods for proportions-by-category observations, the binomial likelihood, and the normal approximation to the binomial (binomial-approx).

#### The binomial likelihood

For observed proportions  $O_i$  for age class  $i$ , where  $E_i$  are the expected proportions for age class  $i$ , and  $N_i$  is the effective sample size for age class  $i$ , then the negative log-likelihood is

$$-\log(L) = -\sum_i [\log(N_i!) - \log((N_i(1 - O_i))!) - \log((N_i O_i)!) + N_i O_i \log(Z(E_i, \delta)) + N_i(1 - O_i) \log(Z(1 - E_i, \delta))] \quad (7.24)$$

where  $Z(\theta, \delta)$  is a robustifying function to prevent division by zero errors, with parameter  $\delta > 0$ .

$$Z(\theta, \delta) = \begin{cases} \theta, & \text{where } \theta \geq r \\ \delta / (2 - \theta / \delta), & \text{otherwise} \end{cases} \quad (7.25)$$

The default value of  $\delta$  is  $1 \times 10^{-11}$ .

### The normal approximation to the binomial likelihood

For observed proportions  $O_i$  for age class  $i$ , where  $E_i$  are the expected proportions for age class  $i$ , and  $N_i$  is the effective sample size for age class  $i$ , then the negative log-likelihood is defined as;

$$-\log(L) = \sum_i \log \left( \sqrt{Z(E_i, \delta) Z(1 - E_i, \delta) / N_i} \right) + \frac{1}{2} \left( \frac{O_i - E_i}{\sqrt{Z(E_i, \delta) Z(1 - E_i, \delta) / N_i}} \right)^2 \quad (7.26)$$

where  $Z(\theta, \delta)$  is a robustifying function to prevent division by zero errors, with parameter  $\delta > 0$ .

$$Z(\theta, \delta) = \begin{cases} \theta, & \text{where } \theta \geq r \\ \delta / (2 - \theta / \delta), & \text{otherwise} \end{cases} \quad (7.27)$$

The default value of  $\delta$  is  $1 \times 10^{-11}$ .

### 7.3 Process error

Additional 'process error' can be defined for any set of observations. Additional process error has the effect of increasing the observation error in the data, and hence of decreasing the relative weight given to the data in the fitting process.

For observations where the likelihood is parameterised by the c.v., the process error can be specified for a given set of observations as a c.v., in which case all the c.v.s  $c_i$  are changed to

$$c'_i = \sqrt{c_i^2 + c_{process\_error}^2} \quad (7.28)$$

Note that  $c_{process\_error} \geq 0$ , and that  $c_{process\_error} = 0$  is equivalent to no process error.

Similarly, if the likelihood is parameterised by the effective sample size  $N$ ,

$$N'_i = \frac{1}{1/N_i + 1/N_{process\_error}} \quad (7.29)$$

Note that this requires that  $N_{process\_error} > 0$ , but the special case of  $N_{process\_error} = 0$  is valid, and  $N_{process\_error} = 0$  represents no process error (i.e., defined to be equivalent to  $N_{process\_error} = \infty$ ).

For both the c.v. and  $N$  process errors, the process error has more effect on small errors than on large ones. Note that a large value for the  $N$  process error means a small process error.

### 7.4 Catchability $q$ parameters

Catchability parameters often denoted by  $q$  are used in abundance or biomass observations to scale the model expected value to the observed value (see Section 7.1.1). Casal2 has two methods for implementing catchability parameters, `free` and `nuisance`.

The `free` approach treats the catchability parameters like all other parameters, where a prior needs to be assumed and it is estimated in the usual fashion.

The `nuisance` approach treats the catchability parameters like all other parameters, where a prior needs to be assumed and it is estimated in the usual fashion.

### 7.4.1 Free $q$

(see Section 10.5.1 for additional details on syntax)

```
@catchability CPUEq
type free
q 0.1
```

### 7.4.2 Nuisance $q$

This section describes the algorithms Casal2 uses to derive nuisance (analytical) catchability coefficients  $q_s$  (see Section 10.5.2 for additional details on syntax). From the user's point of view, the essence is that you can use nuisance  $q_s$  in the following situations:

- With maximum likelihood estimation
- With Bayesian estimation, providing that the additional prior on  $q$  is one of the following:
  - None (default)
  - Uniform-log
  - Lognormal with observations distributed lognormal, robustified lognormal

The scenarios in which the nuisance catchability  $q$  can be used in a Bayesian analysis (Table 7.2):

**Table 7.2: Equations used to calculate nuisance  $q_s$ . (\*=no analytic solution found.)**

Distribution	Maximum Likelihood	None	Uniform-log	Normal	lognormal
Normal	(7.30)	(7.30)	(7.32)	*	*
Lognormal	(7.33)	(7.33)	(7.37)	*	(7.38)

Note that  $q_s$  are calculated for robustified lognormal likelihoods as if they were ordinary lognormal likelihoods.

Let  $\sigma_i = \sqrt{\log(1 + c_i^2)}$  throughout, and let  $n$  be the number of observations in the time series. The case of multiple time series sharing the same  $q$ , and the modifications required for the assumption of curvature, are addressed at the end of this subsection.

First, consider maximum likelihood estimation. When the  $(O_i)$  are assumed to be normally distributed

$$-\log(L) = \sum_i \log(c_i q E_i) + 0.5 \sum_i \left( \frac{O_i - q E_i}{c_i q E_i} \right)^2 \quad (7.30)$$

The value of  $q$  which minimises the objective function is found by solving for  $q$  under the following condition,  $\partial/\partial q(-\log(L)) = 0$

$$\frac{\partial}{\partial q}(-\log(L)) = \frac{n}{q} + \frac{1}{q^2} \sum_i \frac{O_i}{c_i^2 E_i} - \frac{1}{q^3} \sum_i \left( \frac{O_i}{c_i E_i} \right)^2 \quad (7.31)$$

hence

$$\hat{q} = \frac{-S_1 + \sqrt{S_1^2 + 4nS_2}}{2n} \quad (7.32)$$

where  $S_1 = \sum_i (O_i/c_i^2 E_i)$  and  $S_2 = \sum_i (O_i/c_i E_i)^2$

When the  $(O_i)$  are assumed to be lognormally distributed,

$$-\log(L) = \sum_i \log(\sigma_i) + 0.5 \sum_i \left( \frac{\log(O_i) - \log(qE_i) + 0.5\sigma_i^2}{\sigma_i} \right)^2 \quad (7.33)$$

$$\frac{\partial}{\partial q}(-\log(L)) = \frac{-1}{q} \sum_i \left( \frac{\log(O_i/E_i) - \log(q) + 0.5\sigma_i^2}{\sigma_i^2} \right) \quad (7.34)$$

$$\hat{q} = \exp \frac{0.5n + S_3}{S_4} \quad (7.35)$$

where  $S_3 = \sum_i (\log(O_i/E_i)/\sigma_i^2)$  and  $S_4 = \sum_i (1/\sigma_i^2)$ .

Next, consider Bayesian estimation, where a prior for  $q$  must be specified.

The effects of the prior on the equations are to replace likelihood  $L$  by posterior  $P$  throughout, to add  $-\log(\pi(q))$  to the equation for  $-\log(P)$  and  $\partial/\partial q(-\log(-\pi(q)))$  to the equation for  $\partial/\partial q(-\log(P))$

This last term is 0 for a uniform prior on  $q$ ,  $1/q$  for a log-uniform prior, and  $\frac{1}{q} \left( 1.5 + \frac{\log(q) - \log(\mu_q)}{\sigma_q^2} \right)$  for a lognormal prior, where  $\mu_q$  and  $c_q$  are the mean and c.v. of the prior on  $q$ , respectively, and  $\sigma_q = \sqrt{\log(1 + c_q^2)}$ . Since the prior is uniform, the equation for  $\hat{q}$  is the same as the maximum likelihood estimation.

When the  $(O_i)$  are assumed to be normally distributed and the prior is log-uniform equation (7.32) becomes,

$$\hat{q} = \frac{-S_1 + \sqrt{S_1^2 + 4(n+1)S_2}}{2(n+1)} \quad (7.36)$$

but  $\hat{q}$  with either a normal or lognormal prior cannot be solved for.

When the  $O_i$  are assumed to be lognormally distributed and the prior is log-uniform, equation (7.35) becomes

$$\hat{q} = \exp \frac{0.5n - 1 + S_3}{S_4} \quad (7.37)$$

and if the prior is lognormal,

$$\hat{q} = \exp \frac{0.5n - 1.5 + \log(\mu_q)/\sigma_q^2 + S_3}{S_4 + 1/\sigma_q^2} \quad (7.38)$$

However, it is not possible to solve for  $\hat{q}$  with a normal prior.

An example of specifying the syntax and an equivalent additional prior

```
@catchability chatTANq
type nuisance
upper_bound 0.6
lower_bound 0.0001

@additional_prior chatTANq_prior
type lognormal
parameter catchabilityp[chatTANq].q
mu 0.3
cv 0.2
```



## 7.5 Ageing error

Casal2 can apply ageing error to expected age frequencies estimated by the model. The ageing error is applied as a misclassification matrix, which has the effect of 'smearing' the expected age frequencies. This is mimicking the error involved in identifying the age of individuals. For example, fish species are aged by reading the ear bones (otoliths) which can be quite difficult depending on the species. These age frequencies are used in calculating the fits to the observed values, and hence the contribution to the total objective function.

Ageing error is optional, and if it is used, it may be omitted for any individual time series. Different ageing error models may be applied for different observation commands. See Section 11.3 for reporting the misclassification matrix at the end of model run.

The ageing error models implemented are

- None: The default model is to apply no ageing error.
- Off by one: Proportion  $p_1$  of individuals of each age  $a$  are misclassified as age  $a - 1$  and proportion  $p_2$  are misclassified as age  $a + 1$ . Individuals of age  $a < k$  are not misclassified. If there is no plus group in the population model, then proportion  $p_2$  of the oldest age class will 'fall off the edge and disappear'.
- Normal: Individuals of age  $a$  are classified as ages which are normally distributed with mean  $a$  and constant c.v.  $c$ . As above, if there is no plus group in the population model, some individuals of the older age classes may disappear. If  $c$  is high enough, some of the younger age classes may 'fall off the other edge'. Individuals of age  $a < k$  are not misclassified.
- Data: A matrix that defines the misclassification matrix for ageing error.

The expected values (fits) reported by Casal2 for observations with ageing error will have had the ageing error applied.

## 7.6 Simulating observations

Casal2 can generate simulated observations for a given model with a set of parameter values using `casal2 -s n` to simulate  $n$  sets of observations). Simulated observations are randomly generated values, which are generated with the error distributions defined for each observation, around fits calculated from one or more sets of the 'true' parameter values. Simulating from a set of parameters can be used to generate observations from an operating model or as a form of parametric bootstrap.

The procedure Casal2 uses for simulating observations is to use the 'true' parameter values which are fed via the `-i/-I` file input which generate expected values. Then, if a set of observations use ageing error, ageing error is applied. Finally, a random value for each observed value is generated based on (i) the expected values, (ii) the type of likelihood specified, and (iii) the variability parameters (e.g., `error_value` and `process_error`).

Methods for generating the random error, and hence the simulated values, have three components which the user can change. These are the (i) the likelihood choice and observation error, (ii) parameter uncertainty through the use of `-i/-I`, and (iii) time-varying parameters.

- Normal likelihood parameterised by c.v.: Let  $E_i$  be the fitted value for observation  $i$ , and  $c_i$  be the corresponding c.v. (adjusted by the process error if applicable). Each simulated observation value  $S_i$  is generated as an independent normal deviate with mean  $E_i$  and standard deviation  $E_i c_i$ .
- Log-normal likelihood: Let  $E_i$  be the fitted value for observation  $i$  and  $c_i$  be the corresponding c.v. (adjusted by the process error if applicable). Each simulated observation value  $S_i$  is generated as an independent lognormal deviate with mean and standard deviation (on the natural scale, not the log-scale) of  $E_i$  and  $E_i c_i$  respectively. The robustification parameter  $\delta$  is ignored.
- Multinomial likelihood: Let  $E_i$  be the fitted value for observation  $i$ , for  $i$  between 1 and  $n$ , and let  $N$  be the sample size (adjusted by process error if applicable, and then rounded up to the next whole number). The robustification parameter  $\delta$  is ignored. Then,
  1. A sample of  $N$  values from 1 to  $n$  is generated using the multinomial distribution, using sample probabilities proportional to the values of  $E_i$ .

2. Each simulated observation value  $S_i$  is calculated as the proportion of the  $N$  sampled values equalling  $i$
  3. The simulated observation values  $S_i$  are then rescaled so that their sum is equal to 1
- Binomial and the normal approximation to the binomial likelihoods: Let  $E_i$  be the fitted value for observation  $i$ , for  $i$  between 1 and  $n$ , and  $N_i$  the corresponding equivalent sample size (adjusted by process error if applicable, and then rounded up to the next whole number). The robustification parameter  $\delta$  is ignored. Then,
    1. A sample of  $N_i$  independent binary variates is generated, equalling 1 with probability  $E_i$
    2. The simulated observation value  $S_i$  is calculated as the sum of these binary variates divided by  $N_i$

**An important note when simulating:** Casal2 will **not** automatically report simulated observations when using a `casal2 -s 1 -i input_pars.out run`. A report must be defined using the `simulated_observation` report (`@report[label].type=observation`). For completeness the report is described along with some best practices here, but there is additional information in Section 8.

A typical report for simulating an observation looks like

```
@report CPUE_index_sim # report label
type simulated_observation # report type
observation CPUEandes # observation to simulate
file_name sim/CPUEandes # file to write simulated data to
```

**note** that in the subcommand `file_name` there is a directory component `sim`. It is recommended when doing simulations that you create directories that can be documented on what configurations caused that set of simulated datasets. This will become useful if you are looking at multiple simulated models assumptions.

Simulated reports will be produced with the following extension `.1_1`. The first number of the extension relates to the row of the `-i/-I` file and the second number (separated by `_`) represents the simulation iteration defined by the `n` argument in the configuration input `casal2 -s n`. Examples of the extension follow,

- `.1_1` indicates simulated data produced from the first row of parameters and is the first random draw
- `.1_2` indicates simulated data produced from the first row of parameters and is the second random draw
- `.2_10` indicates simulated data produced from the second row of parameters and is the 10<sup>th</sup> random draw

## 7.7 Pseudo-observations

Casal2 can generate expected values for observations without them contributing to the total objective function. These are called pseudo-observations, and can be used to either generate the expected values from Casal2 for reporting or diagnostic purposes. To define an observation as a pseudo-observation, use the command `@observation[label].likelihood=none`. Any observation type can be used as a pseudo-observation. Casal2 can also generate simulated observations from pseudo-observations. Note that

- Output will be generated only if a report command `@report[label].type=observation` is specified.
- The observed values should be supplied (even if they are 'dummy' observations). These observation values will be processed by Casal2 as if they were actual observation values, and must be in the same format as actual observation values.
- The subcommands `likelihood`, `obs`, `error_value`, and `process_error` have no effect when generating the expected values for the pseudo-observation.
- When simulating observations, the subcommand `simulation_likelihood` to indicate the likelihood to use. In this case, the `obs`, `error_value`, and `process_error` are used to determine the appropriate terms to use for the likelihood when simulating.

## 7.8 Residuals

Casal2 will print the default residual values (i.e., observed less fitted) only when the report type `@report.type=observation` is used. For an observation  $O$  and  $F$  the corresponding fit ( $=qE$  for relative observations), then

- Residuals =  $O - F$

Pearson and normalised residuals can be generated using the Casal2 **R** package. For specific **R** functions see Section 17.

The definitions used in the calculations are

- *Pearson residuals* attempt to express the residual relative to the variability of the observation, and are defined as  $(O-F)/\text{std.dev.}(O)$ , where  $\text{std.dev.}(O)$  is calculated as
  - $F \times cv$  for normal, lognormal, robustified lognormal, and normal-log error distributions.
  - $s$  for normal-by-standard deviation error distributions.
  - $\sqrt{\frac{Z(F,r)(1-Z(F,r))}{N}}$  for multinomial or binomial likelihoods.
  - $\sqrt{\frac{(F+r)(1-F+r)}{N}}$  for binomial-approx likelihood likelihoods.
- *Normalised residuals* to express the residual on a standard normal scale, and are defined as:
  - Equal to the Pearson residuals for normal error distributions.
  - $(\log(O/F)+0.5\sigma^2)/\sigma$  for lognormal (including robustified lognormal) error distributions, where  $\sigma = \sqrt{\log(1+cv^2)}$ .
  - $\log(O/F)/\sigma$  for normal-log error distributions, again with  $\sigma = \sqrt{\log(1+cv^2)}$ .
  - And are otherwise undefined.

where  $Z(F,r)$  is the robustifying term on  $F$  (fit or expectation of the observation). This robustifying function is described earlier in the likelihood section.



---

## 8 The report section: output and reports

The command and subcommand syntax for the estimation section is given in Section 12.1.

The report section specifies the printouts and other output from the model. Casal2 does not, in general, produce any output unless specified by a valid `@report` block.

### 8.1 Report command block format

Reports from Casal2 can be defined to print partition and states objects at a particular point in time, observation summaries, estimated and derived parameter values, and objective function values. Many of the reports below will print a specific `@`. The most useful report is the default report (see Section 8.3) which will auto generate many of the reports users require.

```
@report default
type default
selectivities true
derived_quantities true
observations true
processes true
catchabilities true
time_varying true
parameter_transformations true
time_varying true
```

```
@report observation_age ## label of report
type observation      ## Type of report
observation age_1990  ## label corresponding to an @observation report, shown below
```

```
@observation age_1990
type proportion_at_age
year 1990
plus_group
etc., ...
```

### 8.2 Report output format

Reports from Casal2 have a standard style (with the exception of `output_parameters` and `simulated_observation`, see below). The standard style is that reports are prefixed with an asterisk followed by a user-defined label and type of report in brackets (e.g., `*label (type)`), with the report ending with the line `*end`. For example,

```
*My_report(type)
...
... # report content
...
*end
```

This report block output format should make it easier for other software packages to read and process Casal2 output. The `extract` functions in the **R** Casal2 package use this information to identify and read Casal2 output.

The `output_parameters` report does not print either a header or `*end` at the end of the report block. This is because the `output_parameters` report is designed to provide a single line vector of the estimated parameter values, or multiple lines for more than one set, which can be read by Casal2 with the command `casal2 -i`. This is a specialised report for the `casal2 -o filename` command.

For estimated values in standard output use the `type=estimate_value` report.

Reports can be defined in a `@report` command block but may not be output, e.g., a report to print the partition for a year and/or time step that does not exist, or reporting the covariance matrix when not estimation run mode.

Certain reports are associated with certain Casal2 run modes. These reports are ignored by Casal2 and the program will not generate any output for these reports, although they must still conform to Casal2 syntax requirements.

Not all reports will be generated in all run modes. Some reports are only available in some run modes. For example, when simulating, only the simulation reports will be output.

### 8.3 Print default reports

This is a report type that generates a range of other default reports, The report queries model and generates default reports for all catchabilities, observations, processes, selectivities, derived parameters, time-varying parameters, parameter transformations, and projections. This report will print out in run modes `-r`, `-e`, `-f`.

```
@report default
type default
selectivities true
derived_quantities true
observations true
processes true
catchabilities true
time_varying true
parameter_transformations true
time_varying true
```

### 8.4 Print the partition at the end of an initialisation

This report prints the partition following the initialisation phase, which includes the numbers of individuals in each age class and category in the partition. This report will print out in run modes `-r`, `-e`, `-f`.

### 8.5 Print the partition

This report prints the numbers of individuals in each age class and category in the partition for each given year or given years and time step. This report is evaluated at the end of the time step in the given year(s). This report will print out in run modes `-r`, `-e`, `-f`.

### 8.6 Print the partition biomass

This report prints the biomass in each age class and category in the partition for each given year or given years and time step. This report is evaluated at the end of the time step in the given year(s). This report will print out in run modes `-r`, `-e`, `-f`.

### 8.7 Print the age length and length weight values

This report prints the length and weight value for each age class and category in the partition for each given year or given years and time step. This report is evaluated at the end of the time step in the given year(s). This report will print out in run modes `-r`, `-e`, `-f`.

```
@report length_weight_at_age
type partition_mean_weight
time_step step2
years 1900:2013
```

## 8.8 Print the ageing error misclassification matrix

This report prints the ageing error misclassification matrix used to offset observations within during model the model fitting procedure.

## 8.9 Print a parameter Transformations

This report prints a specific `@parameter_transformation` block with the values This report will print out in run modes `-r`, `-e`, `-m`. If you have many transformations it is best to report these using the default report see Section 8.3

```
@report log_b0
type parameter_transformation
parameter_transformation log_b0
```

## 8.10 Print a process summary

Depending on the process, different summaries are produced. These reports typically detail the type of process, its parameters and other options, and any associated details. This report will print out in run modes `-r`, `-e`, `-f`.

## 8.11 Print derived quantities

This report prints the description of the derived quantity, and the values of the derived quantity as recorded in the model state, for each year of the model, and for all years in the initialisation phase. This report will print out in run modes `-r`, `-e`, `-f`.

## 8.12 Print the estimated parameters

This report prints a summary of the estimated parameters using the type `estimate_summary`, including the parameter name, lower and upper bounds, the label of the prior, and its value. This report will print out in run modes `-r`, `-e`.

## 8.13 Print the MPD (the free parameters and covariance matrix)

This report prints the estimated parameter values out as a vector along with the covariance matrix. The MPD report prints these in a format suitable for use as the starting point for an MCMC. This report will print out in run modes `-r`, `-e`.

## 8.14 Print the estimate values (the free parameters in the free parameter file format)

This report prints the estimated parameter values out as a vector. The `estimate_values` report prints the name of the parameter, followed by the value for that run. This report will print out in run modes `-r`, `-e`.

## 8.15 Print the objective function

This report prints the total objective function value, the value of all observation likelihood components, the values of all priors, and the value of any penalties that have been incurred. If an individual model run does not incur a penalty, then the penalty will not be reported. This report will print out in run modes `-r`, `-e`, `-f`.

## 8.16 Print the covariance matrix

This report prints the covariance matrix if in estimation run mode and if the covariance has been requested by `@minimiser[label].covariance=true`.

### 8.17 Print the correlation matrix

This report prints the correlation matrix if in estimation run mode and if the covariance has been requested by `@minimiser[label].covariance=true`.

### 8.18 Print the Hessian matrix

This report prints the Hessian matrix if in estimation run mode and if the covariance has been requested by `@minimiser[label].covariance=true`.

### 8.19 Print the catchability values

This report prints the catchability for a requested catchability.

### 8.20 Print observations, fits, and residuals

This report prints, for each category or combination of categories, the expected values, residuals (observed – expected), the error value, process error, the total error (i.e., the error value as modified by any additional process error), and the contribution to the total objective function of that individual datum in the observation.

Constants in the likelihood components are often ignored in the objective function score of individual observation values. Hence, the total score from an observation equals the contribution of the objective function scores from each individual observation value plus a constant term (if applicable). In likelihood components without a constant term, the total score from an observation will equal the contribution of the objective function scores from each individual observation value.

If Casal2 is in simulation run mode, then the contribution to the objective function of each observation is reported as zero.

```
@report Tan_at_age_obs
type observation
observation TAN_AT_AGE
```

### 8.21 Print simulated observations

This report prints a complete set of observation values in the form specified by `@report[label].type=observation`, with observed values replaced by randomly generated simulated values. The output is in a form suitable for use within a Casal2 input configuration file, reproducing the command and subcommands from the input configuration file. This report will print out in run mode `-s`.

Simulated reports will be produced with the following extension `.1_1`. The first number of the extension relates to the row of the `-i/-I` file and the second number (separated by `_`) represents the simulation iteration defined by the `n` argument in the configuration input `casal2 -s n`. Examples of the extension follow,

- `.1_1` indicates simulated data produced from the first row of parameters and is the first random draw
- `.1_2` indicates simulated data produced from the first row of parameters and is the second random draw
- `.2_10` indicates simulated data produced from the second row of parameters and is the 10<sup>th</sup> random draw

### 8.22 Print selectivities

This report prints the values of a selectivity for each age in the partition, for a given year and at then end of a given time step.

### 8.23 Print selectivities by year

This report prints the values of a selectivity for each partition member for given model years. Useful when you have a model with time-varying selectivity. See Section 12.1.32 for syntax information.



### 8.24 Print the random number seed

This report prints the random number seed used by Casal2 to initialise the generated random number sequence. Additional runs which use the same random number seed and the same model will produce identical outputs.

### 8.25 Print the results of an MCMC

This report prints the MCMC samples, objective function values, and proposal covariance matrix following an MCMC. This report will print out in run mode `-m`.

### 8.26 Print the MCMC samples as they are calculated

This report prints the MCMC samples for each new  $i$ th sample as they are calculated while doing an MCMC. The output file will be appended with each new sample as it is calculated by Casal2. This report will print out in run mode `-m`.

### 8.27 Print the MCMC objective function values as they are calculated

This report prints the MCMC objective function values, along with the proposal covariance matrix, for each new  $i$ th sample as they are calculated while doing an MCMC. The output file will be appended with each new set of objective function values as it is calculated by Casal2. This report will print out in run mode `-m`.

### 8.28 Print time varying parameters

This report prints all `@time_varying` blocks with the values and years in which they were specified. This report will print out in run modes `-r`, `-e`, `-m`.

```
@report time_varying_parameters
type time_varying
```

### 8.29 Tabular reporting format

An alternative reporting framework to the standard output is the tabular reporting format. Tabular reporting is used with multi-line `-i` input files (like the MCMC sample or `-o` outputs). Tabular reports will print out a row that will correspond with each row of the `-i` input files.

Tabular reporting is specified using the `--tabular` argument (`casal2 -r --tabular -i file_name`).

Derived quantities, processes, observations, and `estimate_values` are the only report types that can be output with this format. For each input file the output will begin with the names of each column followed by a multi-line report ending with the `*end` syntax.

These tables can be read with **R** using the Casal2 **R** package. An example usage is reading in files of MCMC posterior values of derived quantities, which can then be plotted.



---

## 9 Population command and subcommand syntax

The description of the methods for the population section is given in Section 5.

In the following section, the sub-section headers use a notation of the form “@**observation**[**label**].**type=abundance**” which, in this case, represents the input command fragment

```
@observation label # where label is a unique label for that observation
type=abundance
...
```

The specific subcommands for a command are given within each command.

### 9.1 Model structure

**@model** *label* Define an object of type *Model*. See Section 5.2 for more information.

*type* Type of model (only type=age is currently implemented)

Type: String

Default: age

*base\_weight\_units* Define the units for the base weight measurement unit (grams, kilograms (kgs), or tonnes). This will be the default unit of any weight input values

Type: String

Default: tonnes

*threads* The number of threads to use for this model

Type: Non-negative integer

Default: 1

Lower Bound: 1 (inclusive)

#### 9.1.1 Model of type Age

@model[*label*].type=Age.

*start\_year* Define the first year of the model, immediately following initialisation

Type: Non-negative integer

Default: No default

Value: Defines the first year of the model, must be  $\geq 1000$ , e.g. 1990

*final\_year* Define the final year of the model, excluding years in the projection period

Type: Non-negative integer

Default: No default

Value: Defines the last year of the model, i.e., the model is run from *start\_year* to *final\_year*

*min\_age* Minimum age of individuals in the population

Type: Non-negative integer

Default: 0

Value:  $0 \leq \text{age}_{\min} \leq \text{age}_{\max}$

*max\_age* Maximum age of individuals in the population

Type: Non-negative integer  
 Default: 0  
 Value:  $0 \leq \text{age}_{\min} \leq \text{age}_{\max}$

`age_plus` Define the oldest age or extra length midpoint (plus group size) as a plus group  
 Type: Boolean  
 Default: true  
 Value: true, false

`initialisation_phases` Define the labels of the phases of the initialisation  
 Type: Vector of strings  
 Default: true  
 Value: A list of valid labels defined by `@initialisation_phase`

`time_steps` Define the labels of the time steps, in the order that they are applied, to form the annual cycle  
 Type: Vector of strings  
 Default: No default  
 Value: A list of valid labels defined by `@time_step`

`projection_final_year` Define the final year of the model when running projections  
 Type: Non-negative integer  
 Default: 0  
 Value: A value greater than `final_year`

`length_bins` The minimum length in each length bin  
 Type: Vector of real numbers (estimable)  
 Default: true  
 Value:  $0 \leq \text{length}_{\min} \leq \text{length}_{\max}$

`length_plus` Specify whether there is a length plus group or not  
 Type: Boolean  
 Default: true  
 Value: true, false

`length_plus_group` Mean length of length plus group  
 Type: Real number (estimable)  
 Default: 0  
 Value:  $\text{length}_{\max} < \text{length\_plus\_group}$

## 9.2 Initialisation

**@initialisation\_phase** *label* Define an object of type *Initialisation.Phase*. See Section 5.2.2 for more information.

*label* The label of the initialisation phase

Type: String  
Default: No default

type      The type of initialisation  
Type: String  
Default: iterative

### 9.2.1 Initialisation Phase of type Iterative

@initialisation\_phase[label].type=Iterative. See Section 5.2.2 for more information.

years      The number of iterations (years) over which to execute this initialisation phase  
Type: Non-negative integer  
Default: No default

insert\_processes      The processes in the annual cycle to be include in this initialisation phase  
Type: Vector of strings  
Note: To insert a process during initialisation, it needs to subscribe to the following format  
`time_step_label()=process_label`

exclude\_processes      The processes in the annual cycle to be excluded from this initialisation phase  
Type: Vector of strings that are process labels to exclude

convergence\_years      The iteration (year) when the test for convergence ( $\lambda$ ) is evaluated  
Type: Vector of non-negative integers  
Default: true

lambda      The maximum value of the absolute sum of differences (lambda) between the partition at year-1 and year that indicates successful convergence  
Type: Real number  
Default: 0.0

### 9.2.2 Initialisation Phase of type Cinitial

@initialisation\_phase[label].type=Cinitial. See Section 5.2.2 for more information.

categories      The list of categories for the Cinitial initialisation  
Type: Vector of strings  
Default: No default

table      The table of data specifying the initial values by age  
Type: Data table with label = n  
Default: No default  
Value: A  $n \times m$  matrix, where  $n$  = the categories and  $m$  = the number of ages defined in the model. Rows of values specify the initial value of the partition. The table ends with 'end\_table'  
Note: See 16.2 for more details on specifying data tables

### 9.2.3 Initialisation Phase of type Derived

`@initialisation_phase[label].type=Derived`. See Section 5.2.2 for more information.

`insert_processes` Specifies the additional processes that are not in the annual cycle, but should be inserted into this initialisation phase

Type: Vector of strings

Note: To insert a process during initialisation, it needs to subscribe to the following format  
`time_step_label()=process_label`

Default: true

`exclude_processes` Specifies the processes in the annual cycle that should be excluded from this initialisation phase

Type: Vector of strings

Default: true

### 9.2.4 Initialisation Phase of type State Category By Age

`@initialisation_phase[label].type=State_Category_By_Age`. See Section 5.2.2 for more information.

`categories` The list of categories for the category state initialisation

Type: Vector of strings

Default: No default

`min_age` The minimum age of values supplied in the definition of the category state

Type: Non-negative integer

Default: No default

`max_age` The maximum age of values supplied in the definition of the category state

Type: Non-negative integer

Default: No default

`table` The table of data specifying the initial values by age

Type: Data table with label = n

Default: No default

Value: A  $n \times m$  matrix, where  $n$  = the categories and  $m$  = the number of ages defined in the model. Rows of values specify the initial value of the partition. The table ends with 'end\_table'

Note: See 16.2 for more details on specifying data tables

## 9.3 Categories

`@categories label` Define an object of type *Categories*. See Section 4.2 for more information.

`format` The format that the category names use

Type: String

Default: No default

`names`      The names of the categories

    Type: Vector of strings

    Default: No default

`age_lengths`      The age-length relationship labels for each category

    Type: Vector of strings

    Default: true

    Value: Valid labels of age-weight relationships

`age_weight`      The age-weight relationships labels for each category

    Type: Vector of strings

    Default: true

    Value: Valid labels of age-weight relationships

## 9.4 Time-steps

**@time\_step** *label*      Define an object of type *Time\_Step*. See Section 5.2.1 for more information.

`label`      The label of the time step

    Type: String

    Default: No default

`processes`      The labels of the processes that occur in this time step, in the order that they occur

    Type: Vector of strings

    Default: No default

## 9.5 Processes

**@process** *label*      Define an object of type *Process*. See Section 5.3 for more information.

`label`      The label of the process

    Type: String

    Default: No default

`type`      The type of process

    Type: String

    Default: No default

### 9.5.1 Process of type Ageing

`@process[label].type=Ageing`. See Section 5.3.2 for more information.

`categories`      The labels of the categories to age

    Type: Vector of strings

    Default: No default

### 9.5.2 Process of type Load Partition

`@process[label].type=LoadPartition`. See Section ?? for more information.

`table` The table of data specifying the `n` in each partition category and age

Type: Data table with label =

Default: No default

Value:

Note: See 16.2 for more details on specifying data tables

### 9.5.3 Process of type Maturation

`@process[label].type=Maturation`. See Section ?? for more information.

`from` The list of categories to mature from

Type: Vector of strings

Default: No default

`to` The list of categories to mature to

Type: Vector of strings

Default: No default

`selectivities` The list of selectivities to use for maturation

Type: Vector of strings

Default: No default

`years` The years to be associated with the maturity rates

Type: Vector of non-negative integers

Default: No default

`rates` The rates to mature for each year

Type: Vector of real numbers (estimable)

Default: No default

### 9.5.4 Process of type Mortality Constant Rate

`@process[label].type=Mortality_Constant_Rate`. See Section 5.3.3 for more information.

`categories` The list of category labels

Type: Vector of strings

Default: No default

`m` The mortality rates

Type: Real number (estimable)

Default: No default

Lower Bound: 0.0 (inclusive)

`time_step_proportions` The time step proportions for the mortality rates



Type: Vector of real numbers

Default: false

Lower Bound: 0.0 (inclusive)

Upper Bound: 1.0 (inclusive)

Value: The time step proportions must sum to one. If only one value is supplied, then the each time step is allocated an equal proportion. Otherwise the number of values must equal the number of time steps

`relative_m_by_age`      The list of mortality by age ogive labels for the categories

Type: Vector of strings

Default: No default

### 9.5.5 Process of type Mortality Event

`@process[label].type=Mortality_Event`. See Section 5.3.3 for more information.

`categories`      The categories

Type: Vector of strings

Default: No default

`years`      The years in which to apply the mortality process

Type: Vector of non-negative integers

Default: No default

`catches`      The number of removals (catches) to apply for each year

Type: Vector of real numbers (estimable)

Default: No default

`u_max`      The maximum exploitation rate ( $U_{max}$ )

Type: Real number

Default: 0.99

Lower Bound: 0.0 (inclusive)

Upper Bound: 1.0 (inclusive)

`selectivities`      The list of selectivities

Type: Vector of strings

Default: No default

`penalty`      The label of the penalty to apply if the total number of removals cannot be taken

Type: String

Default: No default

### 9.5.6 Process of type Mortality Event Biomass

`@process[label].type=Mortality_Event_Biomass`. See Section 5.3.3 for more information.

`categories`      The category labels

Type: Vector of strings

Default: No default

`selectivities`      The labels of the selectivities for each of the categories

Type: Vector of strings

Default: No default

`years`      The years in which to apply the mortality process

Type: Vector of non-negative integers

Default: No default

`catches`      The biomass of removals (catches) to apply for each year

Type: Vector of real numbers (estimable)

Default: No default

`u_max`      The maximum exploitation rate ( $U_{max}$ )

Type: Real number (estimable)

Default: 0.99

Lower Bound: 0.0 (inclusive)

Upper Bound: 1.0 (inclusive)

`penalty`      The label of the penalty to apply if the total biomass of removals cannot be taken

Type: String

Default: No default

### 9.5.7 Process of type Mortality Holling Rate

`@process[label].type=Mortality_Holling_Rate`. See Section 5.3.3 for more information.

`prey_categories`      The prey categories labels

Type: Vector of strings

Default: No default

`predator_categories`      The predator categories labels

Type: Vector of strings

Default: No default

`is_abundance`      Is vulnerable amount of prey and predator an abundance [true] or biomass [false]

Type: Boolean

Default: true

`a`      Parameter a

Type: Real number (estimable)

Default: No default

Lower Bound: 0.0 (inclusive)

`b`      Parameter b

- Type: Real number (estimable)  
Default: No default  
Lower Bound: 0.0 (inclusive)
- `x` This parameter controls the functional form: Holling function type 2 ( $x=2$ ) or 3 ( $x=3$ ), or generalised (Michaelis Menten,  $x_0=1$ )  
Type: Real number (estimable)  
Default: No default  
Lower Bound: 1.0 (inclusive)
- `u_max` The maximum exploitation rate ( $U_{max}$ )  
Type: Real number  
Default: 0.99  
Lower Bound: 0.0 (inclusive)  
Upper Bound: 1.0 (exclusive)
- `prey_selectivities` The selectivities for prey categories  
Type: Vector of strings  
Default: true
- `predator_selectivities` The selectivities for predator categories  
Type: Vector of strings  
Default: true
- `penalty` The label of penalty  
Type: String  
Default: No default
- `years` The years in which to apply the mortality process  
Type: Vector of non-negative integers  
Default: No default
- `table` The table of data specifying the predator selectivities  
Type: Data table with label =  
Default: No default  
Value:  
Note: See 16.2 for more details on specifying data tables
- `table` The table of data specifying the prey selectivities  
Type: Data table with label =  
Default: No default  
Value:  
Note: See 16.2 for more details on specifying data tables

### 9.5.8 Process of type Mortality Initialisation Event

@process[label].type=mortality\_initialisation\_event. See Section 5.3.3 for more information.

categories      The categories

Type: Vector of strings

Default: No default

catch      The number of removals (catches) to apply for each year

Type: Real number (estimable)

Default: No default

u\_max      The maximum exploitation rate ( $U_{max}$ )

Type: Real number

Default: 0.99

Lower Bound: 0.0 (inclusive)

Upper Bound: 1.0 (exclusive)

selectivities      The list of selectivities

Type: Vector of strings

Default: No default

penalty      The label of the penalty to apply if the total number of removals cannot be taken

Type: String

Default: No default

table      The table of data specifying the catches for each fishery, the categories, years, and the  $U_{max}$

Type: Data table with label =

Default: No default

Value:

Note: See 16.2 for more details on specifying data tables

### 9.5.9 Process of type Mortality Initialisation Event Biomass

@process[label].type=Mortality\_Initialisation\_Event\_Biomass. See Section 5.3.3 for more information.

categories      The categories

Type: Vector of strings

Default: No default

catch      The number of removals (catches) to apply for each year

Type: Real number (estimable)

Default: No default

u\_max      The maximum exploitation rate ( $U_{max}$ )

Type: Real number  
Default: 0.99  
Lower Bound: 0.0 (inclusive)  
Upper Bound: 1.0 (inclusive)

`selectivities`      The list of selectivities  
Type: Vector of strings  
Default: No default

`penalty`      The label of the penalty to apply if the total number of removals cannot be taken  
Type: String  
Default: No default

### 9.5.10 Process of type Mortality Initialisation Baranov

`@process[label].type=mortality_initialisation_baranov.` See Section 5.3.3 for more information.

`categories`      The categories  
Type: Vector of strings  
Default: No default

`fishing_mortality`      The fishing mortality to apply  
Type: Real number (estimable)  
Default: No default

`selectivities`      The list of selectivities for each category  
Type: Vector of strings  
Default: No default

### 9.5.11 Process of type Mortality Hybrid

`@process[label].type=mortality_hybrid.` See Section 5.3.3 for more information.

`categories`      The categories for to apply natural mortality to  
Type: Vector of strings  
Default: No default

`m`      The natural mortality rates for each category  
Type: Real number (estimable)  
Default: No default  
Lower Bound: 0.0 (inclusive)

`time_step_proportions`      The time step proportions for natural mortality

Type: Vector of real numbers  
Default: true  
Lower Bound: 0.0 (inclusive)  
Upper Bound: 1.0 (inclusive)  
Value: Proportions must sum to one

`biomass`      Switch to indicate if the catches are biomasses or abundances  
Type: Boolean  
Default: True

`relative_m_by_age`      The M-by-age selectivities to apply to each of the categories for natural mortality  
Type: Vector of strings  
Default: No default

`max_f`      Maximum  $F$  allowed

Type: Real number  
Default: 4.0  
Lower Bound: 0.0 (inclusive)

`f_iterations`      The number of tuning iterations to solve  $F$   
Type: integer  
Default: 4  
Lower Bound: 0 (inclusive)

`table catches`      The table of data specifying the catches for each fishery and year  
Default: No default  
Value:  
Note: See below for example

```
table catches
year Fishery1_label Fishery2_label
1993 34 34
1994 23 34
end_table
```

`table methods`      The table of data specifying which fishery interacts with which category, selectivities, penalty, and time-step for each fishery and annual duration of the fishery.  
Default: No default  
Value:  
Note: See below for example

```
table method
method category selectivity annual_duration time_step penalty
Fishery1_label male fish_sel 1 step1 none
```

```
Fishery2_label  male      fish_sel  1  step1  none
end_table
```

### 9.5.12 Process of type Mortality Instantaneous

@process[label].type=Mortality\_Instantaneous. See Section 5.3.3 for more information.

categories      The categories for instantaneous mortality

Type: Vector of strings

Default: No default

m      The natural mortality rates for each category

Type: Real number (estimable)

Default: No default

Lower Bound: 0.0 (inclusive)

time\_step\_proportions      The time step proportions for natural mortality

Type: Vector of real numbers

Default: true

Lower Bound: 0.0 (inclusive)

Upper Bound: 1.0 (inclusive)

Value: Proportions must sum to one

biomass      Switch to indicate if the catches are biomasses or abundances

Type: Boolean

Default: True

relative\_m\_by\_age      The M-by-age selectivities to apply to each of the categories for natural mortality

Type: Vector of strings

Default: No default

table catches      The table of data specifying the catches for each fishery and year

Default: No default

Value:

Note: See below for example

```
table catches
year Fishery1_label Fishery2_label
1993 34 34
1994 23 34
end_table
```

table methods      The table of data specifying which fishery interacts with which category, selectivities, time-step, penalties and  $u_{max}$  for each fishery and year.

Default: No default

Value:

Note: See below for example

```

table method
method category selectivity u_max time_step penalty
Fishery1_label male fish_sel 0.9 step1 CatchMustBeTaken
Fishery2_label male fish_sel 0.9 step1 CatchMustBeTaken
end_table

```

### 9.5.13 Process of type Mortality Instantaneous Retained

`@process[label].type=Mortality-Instantaneous-Retained.` See Section 5.3.3 for more information.

`categories` The categories for instantaneous mortality

Type: Vector of strings

Default: No default

`m` The natural mortality rates for each category

Type: Real number (estimable)

Default: No default

Lower Bound: 0.0 (inclusive)

`time_step_proportions` The time step proportions for natural mortality

Type: Vector of real numbers

Default: No default

Lower Bound: 0.0 (inclusive)

Upper Bound: 1.0 (inclusive)

Value: Proportions must sum to one

`relative_m_by_age` The M-by-age selectivities to apply on the categories for natural mortality

Type: Vector of strings

Default: No default

`table` The table of data specifying the catches for each fishery, the categories, years, and the  $U_{max}$

Type: Data table with label =

Default: No default

Value:

Note: See 16.2 for more details on specifying data tables

### 9.5.14 Process of type Mortality Prey Suitability

`@process[label].type=Mortality-Prey-Suitability.` See Section 5.3.3 for more information.

`prey_categories` The prey categories labels

Type: Vector of strings

Default: No default

`predator_categories` The predator categories labels



Type: Vector of strings  
Default: No default

`consumption_rate`      The predator consumption rate  
Type: Real number (estimable)  
Default: No default  
Lower Bound: 0.0 (inclusive)  
Upper Bound: 1.0 (inclusive)

`electivities`      The prey electivities  
Type: Vector of real numbers (estimable)  
Default: No default  
Lower Bound: 0.0 (inclusive)  
Upper Bound: 1.0 (inclusive)

`u_max`      The maximum exploitation rate ( $U_{max}$ )  
Type: Real number  
Default: 0.99  
Lower Bound: 0.0 (inclusive)  
Upper Bound: 1.0 (exclusive)

`prey_selectivities`      The selectivities for prey categories  
Type: Vector of strings  
Default: No default

`predator_selectivities`      The selectivities for predator categories  
Type: Vector of strings  
Default: No default

`penalty`      The label of the penalty  
Type: String  
Default: No default

`years`      The year that process occurs  
Type: Vector of non-negative integers  
Default: No default

### 9.5.15 Process of type null process

`@process[label].type=null_process.`

The `null_process` type has no additional subcommands. Note that this process does nothing. It is included primarily as a means of replacing other processes with "no action" to allow for testing of alternative model structures.

### 9.5.16 Process of type Recruitment Beverton Holt

@process[label].type=Recruitment\_Beverton\_Holt. See Section 5.3.1 for more information.

categories      The category labels

Type: Vector of strings

Default: No default

r0      R0, the mean recruitment used to scale annual recruits or initialise the model

Type: Real number (estimable)

Default: No default

Lower Bound: 0.0 (inclusive)

Value: Use either R0 or B0, but not both

b0      B0, the SSB corresponding to R0, and used to scale annual recruits or initialise the model

Type: Real number (estimable)

Default: No default

Lower Bound: 0.0 (inclusive)

Value: Use either R0 or B0, but not both

proportions      The proportion for each category

Type: Real number (estimable)

Default: No default

age      The age at recruitment

Type: Non-negative integer

Default: No default

ssb\_offset      The spawning biomass year offset

Type: Non-negative integer

Default: No default

steepness      Steepness (h)

Type: Real number (estimable)

Default: 1.0

Lower Bound: 0.2 (inclusive)

Upper Bound: 1.0 (inclusive)

ssb      The SSB label (i.e., the derived quantity label)

Type: String

Default: No default

b0\_initialisation\_phase      The initialisation phase label that B0 is from

Type: String

Default: No default

`yces_values`      **Deprecated**  
`yces_years`      **Deprecated**  
`standardise_yces_years`      **Deprecated**

`recruitment_multipliers`      The recruitment values also termed year class strengths.  
 Type: Vector of real numbers (estimable)  
 Default: No default

`standardise_years`      The years that are included for year class standardisation, they refer to the recruited year not spawning or year class year.  
 Type: Vector of non-negative integers  
 Default: true

### 9.5.17 Process of type Recruitment Beverton Holt With Deviations

`@process[label].type=Recruitment_Beverton_Holt_With_Deviations.` See Section 5.3.1 for more information.

`categories`      The category labels  
 Type: Vector of strings  
 Default: No default

`r0`       $R_0$ , the mean recruitment used to scale annual recruits or initialise the model  
 Type: Real number (estimable)  
 Default: No default  
 Lower Bound: 0.0 (inclusive)  
 Value: Use either  $R_0$  or  $B_0$ , but not both

`b0`       $B_0$ , the SSB corresponding to  $R_0$ , and used to scale annual recruits or initialise the model  
 Type: Real number (estimable)  
 Default: No default  
 Lower Bound: 0.0 (inclusive)  
 Value: Use either  $R_0$  or  $B_0$ , but not both

`proportions`      The proportion for each category  
 Type: Real number (estimable)  
 Default: No default

`age`      The age at recruitment  
 Type: Non-negative integer  
 Default: true

`ssb_offset`      The spawning biomass year offset  
 Type: Non-negative integer  
 Default: No default

`steepness`      Steepness (h)

Type: Real number (estimable)  
 Default: 1.0  
 Lower Bound: 0.2 (inclusive)  
 Upper Bound: 1.0 (inclusive)

`ssb`      The SSB label (i.e., the derived quantity label)  
 Type: String  
 Default: No default  
 Value: (  
     A valid derived quantity)

`sigma_r`      The standard deviation of recruitment,  $\sigma_R$   
 Type: Real number (estimable)  
 Default: No default  
 Lower Bound: 0.0 (inclusive)

`b_max`      The maximum bias adjustment  
 Type: Real number (estimable)  
 Default: 0.85  
 Lower Bound: 0.0 (inclusive)  
 Upper Bound: 1.0 (inclusive)

`last_year_with_no_bias`      The last year with no bias adjustment  
 Type: Non-negative integer  
 Default: false

`first_year_with_bias`      The first year with full bias adjustment  
 Type: Non-negative integer  
 Default: false

`last_year_with_bias`      The last year with full bias adjustment  
 Type: Non-negative integer  
 Default: false

`first_recent_year_with_no_bias`      The first recent year with no bias adjustment  
 Type: Non-negative integer  
 Default: false

`b0_initialisation_phase`      The initialisation phase label that B0 is from  
 Type: String  
 Default: No default

`deviation_values`      The recruitment deviation values  
 Type: Vector of real numbers (estimable)  
 Default: No default

`deviation_years`      Deprecated

### 9.5.18 Process of type Recruitment Constant

@process[label].type=Recruitment\_Constant. See Section 5.3.1 for more information.

categories      The categories

Type: Vector of strings

Default: No default

proportions      The proportion for each category

Type: Real number (estimable)

Default: true

age      The age at recruitment

Type: Non-negative integer

Default: No default

r0      R0, the recruitment used for annual recruits and initialise the model

Type: Real number (estimable)

Default: No default

Lower Bound: 0.0 (inclusive)

### 9.5.19 Process of type Survival Constant Rate

@process[label].type=Survival\_Constant\_Rate. See Section ?? for more information.

categories      The list of categories

Type: Vector of strings

Default: No default

s      The survival rates

Type: Real number (estimable)

Default: No default

Lower Bound: 0.0 (inclusive)

Upper Bound: 1.0 (inclusive)

time\_step\_proportions      The time step proportions for the survival rate  $S$

Type: Vector of real numbers

Default: true

Lower Bound: 0.0 (exclusive)

Upper Bound: 1.0 (inclusive)

Value: The proportions must sum to one

selectivities      The selectivity labels for each category

Type: Vector of strings

Default: No default

### 9.5.20 Process of type Tag By Age

@process[label].type=Tag\_By\_Age. See Section 5.3.5 for more information.

from     The categories that are selected for tagging (i.e, transition from)

    Type: Vector of strings

    Default: No default

to       The categories that have tags (i.e., transition to)

    Type: Vector of strings

    Default: No default

min\_age    The minimum age tagged

    Type: Non-negative integer

    Default: No default

max\_age    The maximum age tagged

    Type: Non-negative integer

    Default: No default

penalty    The penalty label

    Type: String

    Default: No default

u\_max      The maximum exploitation rate ( $U_{max}$ )

    Type: Real number

    Default: 0.99

    Lower Bound: 0.0 (inclusive)

    Upper Bound: 1.0 (exclusive)

years      The years to execute the tagging in

    Type: Vector of non-negative integers

    Default: No default

initial\_mortality    The initial mortality value

    Type: Real number (estimable)

    Default: 0.0

    Lower Bound: 0.0 (inclusive)

initial\_mortality\_selectivity    The initial mortality selectivity label

    Type: String

    Default: No default

selectivities        The selectivity labels

    Type: Vector of strings

    Default: No default

`n`      `N`

Type: Vector of real numbers (estimable)

Default: true

`table`      The table of data specifying the `n` to tag from and to each category, years, and the  $U_{max}$

Type: Data table with label =

Default: No default

Value:

Note: See 16.2 for more details on specifying data tables

### 9.5.21 Process of type Tag By Length

`@process[label].type=Tag_By_Length`. See Section 5.3.5 for more information.

`from`      The categories that are selected for tagging (i.e, transition from)

Type: Vector of strings

Default: No default

`to`      The categories that have tags (i.e., transition to)

Type: Vector of strings

Default: No default

`penalty`      The penalty label

Type: String

Default: No default

`u_max`      The maximum exploitation rate ( $U_{max}$ )

Type: Real number

Default: 0.99

Lower Bound: 0.0 (inclusive)

Upper Bound: 1.0 (exclusive)

`compatibility_option`      Backwards compatibility option: either `casal2` (the default) or `casal` effects penalty and age-length calculation

Type: string

Default: `casal2`

Value: Valid options are `casal2` & `casal`

`years`      The years to execute the tagging events in

Type: Vector of non-negative integers

Default: No default

`initial_mortality`      The initial mortality to apply to tags as a proportion

Type: Real number (estimable)

Default: 0.0

Lower Bound: 0.0 (inclusive)

Upper Bound: 1.0 (inclusive)

initial\_mortality\_selectivity

Type: String

Default: No default

Value: A valid selectivity label

selectivities

Type: Vector of strings

Default: No default

Value: Valid selectivity labels

n      The total number of tags to apply

Type: Vector of real numbers (estimable)

Default: No default

tolerance      Tolerance for checking the specified proportions sum to one

Type: Real number

Default: 1e-5

Lower Bound: 0 (inclusive)

Upper Bound: 1.0 (inclusive)

**You can specify the input of this process as numbers or proportions.** See the following syntax examples on how to specify each one.

table numbers      The table of releases as numbers for the process

Type: Data table with label = numbers

Default: Can be replaced with table of type proportions see below

Value: A  $n_y \times (n_l \times n_c) + 1$  matrix, where  $n_y$  = is the number of years,  $n_l$  are the number of length bins defined at the @model block and  $n_c$  are the number of categories. The first column is the year value for that row. See below for an example.

Note: example below

```
table numbers
```

```
1993 34 34 23 43
```

```
1994 23 34 23 43
```

```
end_table
```

table proportions      The table of releases as proportions for the process

Type: Data table with label = proportions

Default: Can be replaced with numbers table see above

Value: A  $n_y \times (n_l \times n_c) + 1$  matrix, where  $n_y$  = is the number of years,  $n_l$  are the number of length bins defined at the @model block and  $n_c$  are the number of categories. The first column is the year value for that row. See below for an example.

Note: example below

```
n 200 300 ## need to specify n if you give proportions
```

```
table proportions
```



```
1993 0.1 0.2 0.7
1994 0.1 0.2 0.7
end_table
```

### 9.5.22 Process of type Tag Loss

@process[label].type=Tag\_Loss. See Section 5.3.6 for more information.

categories      The list of categories

Type: Vector of strings

Default: No default

Value: Valid category labels

tag\_loss\_rate      The tag loss rates

Type: Vector of real numbers (estimable)

Default: No default

Lower Bound: 0.0 (inclusive)

Value: The instantaneous rate of tag loss

time\_step\_proportions      The time step proportions for tag loss

Type: Vector of real numbers (estimable)

Default: true

Lower Bound: 0.0 (inclusive)

Upper Bound: 1.0 (inclusive)

tag\_loss\_type      The type of tag loss

Type: String

Default: single

Value: Valid options are single & double

selectivities      The selectivities

Type: Vector of strings

Default: No default

year      The year the first tagging release process was executed

Type: Non-negative integer

Default: No default

### 9.5.23 Process of type Transition Category

@process[label].type=Transition\_Category. See Section 5.3.4 for more information.

from      The categories to transition from

Type: Vector of strings

Default: No default

Value: Valid category labels

to      The categories to transition to

Type: Vector of strings  
 Default: No default  
 Value: Valid category labels

`proportions`      The proportions to transition for each category  
 Type: Real number (estimable)  
 Default: No default  
 Lower Bound: 0.0 (inclusive)  
 Upper Bound: 1.0 (inclusive)

`selectivities`      The selectivities to apply to each proportion  
 Type: Vector of strings  
 Default: No default  
 Value: Valid selectivity labels

### 9.5.24 Process of type Transition Category By Age

`@process[label].type=Transition_Category_By_Age`. See Section 5.3.4 for more information.

`from`      The categories to transition from  
 Type: Vector of strings  
 Default: No default  
 Value: Valid category labels

`to`      The categories to transition to  
 Type: Vector of strings  
 Default: No default  
 Value: Valid category labels

`min_age`      The minimum age to transition  
 Type: Non-negative integer  
 Default: No default  
 Value: Valid category labels

`max_age`      The maximum age to transition  
 Type: Non-negative integer  
 Default: No default

`penalty`      The penalty label  
 Type: String  
 Default: No default  
 Value: A valid penalty label

`u_max`      The maximum exploitation rate ( $U_{max}$ )

Type: Real number (estimable)

Default: 0.99

Lower Bound: 0.0 (inclusive)

Upper Bound: 1.0 (exclusive)

`years`      The years to execute the transition in

Type: Vector of non-negative integers

Default: No default

`table n`      The table of numbers at age to transition from and to each category

Type: See below for example

Default: No default

Value:

Note: See below for example

```
table n
```

```
year 3 4 5 6
```

```
2008 1000 2000 3000 4000
```

```
end_table
```

## 9.6 Time varying parameters

**@time\_varying** *label*      Define an object of type *Time\_Varying*. See Section 5.12 for more information.

`label`      The label of the time-varying object

Type: String

Default: No default

`type`      The type of the time-varying object

Type: String

Default: No default

`parameter`      The name of the parameter to vary in each year

Type: String

Default: No default

`years`      The years in which to vary the parameter

Type: Vector of non-negative integers

Default: No default

### 9.6.1 Time Varying of type Annual Shift

`@time_varying[label].type=Annual_Shift`. See Section 5.12.3 for more information.

`a`      Parameter A

Type: Real number (estimable)

Default: No default

b Parameter B

Type: Real number (estimable)

Default: No default

c Parameter C

Type: Real number (estimable)

Default: No default

scaling\_years The scaling years

Type: Vector of non-negative integers

Default: The years in which to vary the parameter

values The values

Type: Vector of real numbers (estimable)

Default: No default

### 9.6.2 Time Varying of type Constant

`@time_varying[label].type=Constant`. See Section 5.12.1 for more information.

values The value to assign to addressable

Type: Vector of real numbers (estimable)

Default: No default

### 9.6.3 Time Varying of type Exogenous

`@time_varying[label].type=Exogenous`. See Section 5.12.4 for more information.

a The shift parameter

Type: Real number (estimable)

Default: No default

exogenous\_variable The values of exogenous variable for each year

Type: Vector of real numbers (estimable)

Default: No default

### 9.6.4 Time Varying of type Linear

`@time_varying[label].type=Linear`. See Section ?? for more information.

slope The slope of the linear trend (i.e., the additive amount per year)

Type: Real number (estimable)

Default: No default

intercept The intercept of the linear trend (, i.e. the value in the first year)

Type: Real number (estimable)

Default: No default

### 9.6.5 Time Varying of type Random Draw

`@time_varying[label].type=Random_Draw`. See Section ?? for more information.

`mean`      The mean ( $\mu$ ) of the random draw distribution

Type: Real number (estimable)

Default: 0

`sigma`      The standard deviation ( $\sigma$ ) of the random draw distribution

Type: Real number (estimable)

Default: 1.0

Value: A positive real number

`lower_bound`      The lower bound for the random draw

Type: Real number (estimable)

Default: No default

`upper_bound`      The upper bound for the random draw

Type: Real number (estimable)

Default: No default

`distribution`      The distribution type

Type: String

Default: normal

Value: Only the normal and lognormal are implemented

### 9.6.6 Time Varying of type Random Walk

`@time_varying[label].type=Random_Walk`. See Section 5.12.2 for more information.

`mean`      The mean ( $\mu$ ) of the random walk distribution

Type: Real number (estimable)

Default: 0.0

`sigma`      The standard deviation ( $\sigma$ ) of the random walk distribution

Type: Real number (estimable)

Default: 1.0

Value: A positive real number

`lower_bound`      The lower bound for the random walk

Type: Real number (estimable)

Default: No default

`upper_bound`      The upper bound for the random walk

Type: Real number (estimable)

Default: No default

`rho`      The autocorrelation parameter ( $\rho$ ) of the random walk distribution

Type: Real number (estimable)  
 Default: 1

`distribution`      The distribution type  
 Type: String  
 Default: normal  
 Value: Only the normal distribution is implemented

## 9.7 Derived quantities

**@derived\_quantity** *label*      Define an object of type *Derived\_Quantity*. See Section 5.4 for more information.

`label`      The label of the derived quantity  
 Type: String  
 Default: No default

`type`      The type of derived quantity  
 Type: String  
 Default: No default

`time_step`      The time step in which to calculate the derived quantity  
 Type: String  
 Default: No default

`categories`      The list of categories to use when calculating the derived quantity  
 Type: Vector of strings  
 Default: No default

`selectivities`      The list of selectivities to use when calculating the derived quantity  
 Type: Vector of strings  
 Default: No default

`time_step_proportion`      The proportion through the mortality block of the time step when the derived quantity is calculated  
 Type: Real number (estimable)  
 Default: 0.5  
 Lower Bound: 0.0 (inclusive)  
 Upper Bound: 1.0 (inclusive)

`time_step_proportion_method`      The method for interpolating for the proportion through the mortality block  
 Type: String  
 Default: weighted\_sum

`values`

Type: Vector of addressables

Default: No default

### 9.7.1 Derived Quantity of type Abundance

@derived\_quantity[label].type=Abundance. See Section 5.4 for more information.

The Abundance type has no additional subcommands.

### 9.7.2 Derived Quantity of type Biomass

@derived\_quantity[label].type=Biomass. See Section 5.4 for more information.

age\_weight\_labels      The labels for the age-weights that correspond to each category for the biomass calculation

Type: Vector of strings

Default: No default

## 9.8 Age-length relationship

@age\_length label      Define an object of type *Age\_Length*. See Section 5.6 for more information.

label      The label of the age length relationship

Type: String

Default: No default

type      The type of age length relationship

Type: String

Default: No default

time\_step\_proportions      The fraction of the year applied in each time step that is added to the age for the purposes of evaluating the length, i.e., a value of 0.5 for a time step will evaluate the length of individuals at age+0.5 in that time step

Type: Vector of real numbers

Default: true

Lower Bound: 0.0 (inclusive)

Upper Bound: 1.0 (inclusive)

distribution      The assumed distribution for the growth curve

Type: String

Default: normal

Note: options allowed,normal, lognormal, none

cv\_first      The CV for the first age class

Type: Real number (estimable)

Default: 0.0

Lower Bound: 0.0 (inclusive)

- `cv_last`      The CV for last age class  
Type: Real number (estimable)  
Default: 0.0  
Lower Bound: 0.0 (inclusive)  
Note: If not supplied, the value is assumed to be equal to `cv_first`
- `compatibility_option`      Backwards compatibility option: either `casal2` (the default) or `casal` to use the (less accurate) cumulative normal function from CASAL  
Type: String  
Default: `casal2`
- `by_length`      Specifies if the linear interpolation of CVs is a linear function of mean length at age, or at age  
Type: Boolean  
Default: `true`  
Note: The default is almost always the most appropriate choice. This option is provided for compatibility with a similar option in CASAL

### 9.8.1 Age Length of type Data

`@age_length[label].type=Data`. See Section 5.6.4 for more information.

- `external_gaps`      The method to use for external data gaps  
Type: String  
Default: `mean`
- `internal_gaps`      The method to use for internal data gaps  
Type: String  
Default: `mean`
- `length_weight`      The label from an associated length-weight block  
Type: String  
Default: No default
- `time_step_measurements_were_made`      The time step label for which size-at-age data are provided  
Type: String  
Default: No default
- `table`      The table of data specifying the length at age values  
Type: Data table with label = data  
Default: No default  
Value: A  $n \times m$  matrix, where  $n$  = the years of the model, and  $m$  = the number of ages defined in the model. Rows of values specify the length for each age for every year. The table ends with ‘end\_table’  
Note: See 16.2 for more details on specifying data tables



### 9.8.2 Age Length of type None

@age.length[label].type=None. See Section 5.6.1 for more information.

The None type has no additional subcommands.

### 9.8.3 Age Length of type Schnute

@age.length[label].type=Schnute. See Section 5.6.3 for more information.

y1 The y<sub>1</sub> parameter

Type: Real number (estimable)

Default: No default

y2 The y<sub>2</sub> parameter

Type: Real number (estimable)

Default: No default

tau1 The  $\tau_1$  parameter

Type: Real number (estimable)

Default: No default

tau2 The  $\tau_2$  parameter

Type: Real number (estimable)

Default: No default

a The  $a$  parameter

Type: Real number (estimable)

Default: No default

Lower Bound: 0.0 (inclusive)

b The  $b$  parameter

Type: Real number (estimable)

Default: No default

Lower Bound: 0.0 (exclusive)

length\_weight The label of the associated length-weight relationship

Type: String

Default: No default

### 9.8.4 Age Length of type von Bertalanffy

@age.length[label].type=Von\_Bertalanffy. See Section 5.6.2 for more information.

linf The  $L_{infinity}$  parameter

Type: Real number (estimable)

Default: No default

Lower Bound: 0.0 (inclusive)

`k`      The  $k$  parameter

Type: Real number (estimable)

Default: No default

Lower Bound: 0.0 (inclusive)

`t0`      The  $t_0$  parameter

Type: Real number (estimable)

Default: No default

`length_weight`      The label of the associated length-weight relationship

Type: String

Default: No default

## 9.9 Age-weight

**@age\_weight** *label*      Define an object of type *Age\_Weight*. See Section 5.8 for more information.

`label`      Label of the age weight relationship

Type: String

Default: No default

`type`      The type of age weight

Type: String

Default: No default

### 9.9.1 Age Weight of type Data

`@age_weight[label].type=Data`. See Section 5.8 for more information.

`equilibrium_method`      If used in an SSB calculation, what is the method to calculate equilibrium SSB

Type: String

Default: `terminal_year`

`units`      The units of measure (grams, kilograms (kgs), or tonnes)

Type: String

Default: `kgs`

`table`      The table of data specifying the age at weight values

Type: Data table with label = data

Default: No default

Value: A  $n \times m$  matrix, where  $n$  = the years of the model, and  $m$  = the number of ages defined in the model. Rows of values specify the weight for each age for every year. The table ends with 'end\_table'

Note: See 16.2 for more details on specifying data tables

### 9.9.2 Age Weight of type None

@age\_weight[label].type=None. See Section 5.8 for more information.

The None type has no additional subcommands.

## 9.10 Length-weight

**@length\_weight label** Define an object of type *Length\_Weight*. See Section 5.7 for more information.

label The label of the length-weight relationship

Type: String

Default: No default

type The type of the length-weight relationship

Type: String

Default: No default

### 9.10.1 Length Weight of type Basic

@length\_weight[label].type=Basic. See Section 5.7.2 for more information.

a The  $a$  parameter ( $W = aL^b$ )

Type: Real number (estimable)

Default: No default

Lower Bound: 0.0 (exclusive)

b The  $b$  parameter ( $W = aL^b$ )

Type: Real number (estimable)

Default: No default

Lower Bound: 0.0 (exclusive)

units The units for weights (grams, kilograms (kgs), or tonnes)

Type: String

Default: No default

### 9.10.2 Length Weight of type None

@length\_weight[label].type=None. See Section 5.7.1 for more information.

The None type has no additional subcommands.

## 9.11 Selectivities

**@selectivity label** Define an object of type *Selectivity*. See Section 5.11 for more information.

label The label for the selectivity

Type: String

Default: No default

type      The type of selectivity

Type: String

Default: No default

length\_based      Is the selectivity length based?

Type: Boolean

Default: false

intervals      The number of quantiles to evaluate a length-based selectivity over the age-length distribution

Type: Non-negative integer

Default: 5

values

Type: Vector of addressables

Default: No default

length\_values

Type: Vector of addressables

Default: No default

### 9.11.1 Selectivity of type All Values

@selectivity[label].type=All\_Values. See Section 5.11.3 for more information.

v      The v parameter

Type: Vector of real numbers (estimable)

Default: No default

### 9.11.2 Selectivity of type All Values Bounded

@selectivity[label].type=All\_Values\_Bounded. See Section 5.11.4 for more information.

l      The low value (L)

Type: Non-negative integer

Default: No default

h      The high value (H)

Type: Non-negative integer

Default: No default

v      The v parameter

Type: Vector of real numbers (estimable)

Default: No default

### 9.11.3 Selectivity of type Constant

@selectivity[label].type=Constant. See Section 5.11.1 for more information.

- c      The constant value  
Type: Real number (estimable)  
Default: No default

### 9.11.4 Selectivity of type Double Exponential

@selectivity[label].type=Double\_Exponential. See Section 5.11.12 for more information.

- x0      The x0 parameter  
Type: Real number (estimable)  
Default: No default

- x1      The x1 parameter  
Type: Real number (estimable)  
Default: No default

- x2      The x2 parameter  
Type: Real number (estimable)  
Default: No default

- y0      The y0 parameter  
Type: Real number (estimable)  
Default: No default  
Lower Bound: 0.0 (inclusive)

- y1      The y1 parameter  
Type: Real number (estimable)  
Default: No default  
Lower Bound: 0.0 (inclusive)

- y2      The y2 parameter  
Type: Real number (estimable)  
Default: No default  
Lower Bound: 0.0 (inclusive)

- alpha      The maximum value of the selectivity  
Type: Real number (estimable)  
Default: 1.0  
Lower Bound: 0.0 (exclusive)

### 9.11.5 Selectivity of type Double Normal

@selectivity[label].type=Double\_Normal. See Section 5.11.9 for more information.

- mu      The mean ( $\mu$ )

Type: Real number (estimable)  
 Default: No default

`sigma_l`     The left-hand variance (`sigma_l`) parameter  
 Type: Real number (estimable)  
 Default: No default  
 Lower Bound: 0.0 (exclusive)

`sigma_r`     The right-hand variance (`sigma_r`) parameter  
 Type: Real number (estimable)  
 Default: No default  
 Lower Bound: 0.0 (exclusive)

`alpha`     The maximum value of the selectivity  
 Type: Real number (estimable)  
 Default: 1.0  
 Lower Bound: 0.0 (exclusive)

### 9.11.6 Selectivity of type Double Normal Plateau

`@selectivity[label].type=DoubleNormalPlateau`. See Section 5.11.10 for more information.

`a1`     The `a1` (`a1`)  
 Type: Real number (estimable)  
 Default: No default

`a2`     The `a2` (`a2`)  
 Type: Real number (estimable)  
 Default: No default

`sigma_l`     The left-hand variance (`sigma_l`) parameter  
 Type: Real number (estimable)  
 Default: No default  
 Lower Bound: 0.0 (exclusive)

`sigma_r`     The right-hand variance (`sigma_r`) parameter  
 Type: Real number (estimable)  
 Default: No default  
 Lower Bound: 0.0 (exclusive)

`alpha`     The maximum value of the selectivity  
 Type: Real number (estimable)  
 Default: 1.0  
 Lower Bound: 0.0 (exclusive)

### 9.11.7 Selectivity of type Double Normal Stock Synthesis

@selectivity[label].type=Double\_Normal\_Stock\_Synthesis. See Section 5.11.11 for more information.

- peak      Age or length of plateau (max selectivity)  
Type: Real number (estimable)  
Lower Bound: 0.0 (exclusive)
- y0      Transformed selectivity for the first age or length bin  
Type: Real number (estimable)  
Lower Bound: -20  
Upper Bound: 0
- y1      Transformed selectivity for the last age or length bins  
Type: Real number (estimable)  
Lower Bound: -20  
Upper Bound: 10
- descending      The shape of descending limb in either ages or lengths  
Type: Real number (estimable)  
Default: No default
- ascending      The shape of ascending limb in either ages or lengths  
Type: Real number (estimable)  
Default: No default
- width      width of plateau how many ages or lengths are in the plateau  
Type: Real number (estimable)  
Default: No default  
Lower Bound: 0.0 (exclusive)
- l      min age or first length bin  
Type: Real number  
Default: No default  
Lower Bound: 0.0 (exclusive)
- l      max age or last length bin  
Type: Real number  
Default: No default  
Lower Bound: 0.0 (exclusive)
- alpha      The maximum value of the selectivity  
Type: Real number (estimable)  
Default: 1.0  
Lower Bound: 0.0 (exclusive)

### 9.11.8 Selectivity of type Increasing

@selectivity[label].type=Increasing. See Section 5.11.5 for more information.

l The low value (L)

Type: Non-negative integer

Default: No default

h The high value (H)

Type: Non-negative integer

Default: No default

v The v parameter

Type: Vector of real numbers (estimable)

Default: No default

alpha The maximum value of the selectivity

Type: Real number (estimable)

Default: 1.0

Lower Bound: 0.0 (exclusive)

### 9.11.9 Selectivity of type Inverse Logistic

@selectivity[label].type=Inverse\_Logistic. See Section 5.11.7 for more information.

a50 The age or length where the selectivity is 50%

Type: Real number (estimable)

Default: No default

ato95 The age or length between 50% and 95% selective

Type: Real number (estimable)

Default: No default

Lower Bound: 0.0 (exclusive)

alpha The maximum value of the selectivity

Type: Real number (estimable)

Default: 1.0

Lower Bound: 0.0 (exclusive)

### 9.11.10 Selectivity of type Knife Edge

@selectivity[label].type=Knife\_Edge. See Section 5.11.2 for more information.

e The edge value

Type: Real number (estimable)

Default: No default

alpha The maximum value of the selectivity



Type: Real number (estimable)

Default: 1.0

### 9.11.11 Selectivity of type Logistic

@selectivity[label].type=Logistic. See Section 5.11.6 for more information.

a50      The age or length where the selectivity is 50%

Type: Real number (estimable)

Default: No default

ato95      The age or length between 50% and 95% selective

Type: Real number (estimable)

Default: No default

Lower Bound: 0.0 (exclusive)

alpha      The maximum value of the selectivity

Type: Real number (estimable)

Default: 1.0

Lower Bound: 0.0 (exclusive)

### 9.11.12 Selectivity of type Logistic Producing

@selectivity[label].type=Logistic\_Producing. See Section 5.11.8 for more information.

l      The low value (L)

Type: Non-negative integer

Default: No default

h      The high value (H)

Type: Non-negative integer

Default: No default

a50      The a50 parameter

Type: Real number (estimable)

Default: No default

ato95      the ato95 parameter

Type: Real number (estimable)

Default: No default

Lower Bound: 0.0 (exclusive)

alpha      The maximum value of the selectivity

Type: Real number (estimable)

Default: 1.0

Lower Bound: 0.0 (exclusive)

### 9.11.13 Selectivity of type Compound Right

@selectivity[label].type=compound\_right. See Section 5.11.14 for more information.

a50      The a50 (*a*50)

Type: Real number (estimable)

Default: No default

ato95    The age or length between 50% and 95% selective

Type: Real number (estimable)

Default: No default

Lower Bound: 0.0 (exclusive)

a\_min    The (a\_min) parameter

Type: Real number (estimable)

Default: No default

Lower Bound: 0.0 (exclusive)

left\_mean    The left\_mean parameter

Type: Real number (estimable)

Default: 1.0

Lower Bound: 0.0 (exclusive)

to\_right\_mean    The to\_right\_mean parameter

Type: Real number (estimable)

Default: 1.0

Lower Bound: 0.0 (exclusive)

sigma    The sigma parameter

Type: Real number (estimable)

Default: 1.0

Lower Bound: 0.0 (exclusive)

### 9.11.14 Selectivity of type Compound Left

@selectivity[label].type=compound\_left. See Section 5.11.13 for more information.

a50      The a50 (*a*50)

Type: Real number (estimable)

Default: No default

ato95    The age or length between 50% and 95% selective

Type: Real number (estimable)

Default: No default

Lower Bound: 0.0 (exclusive)

a\_min    The (a\_min) parameter

Type: Real number (estimable)  
Default: No default  
Lower Bound: 0.0 (exclusive)

`left_mean`     The `left_mean` parameter  
Type: Real number (estimable)  
Default: 1.0  
Lower Bound: 0.0 (exclusive)

`sigma`     The `sigma` parameter  
Type: Real number (estimable)  
Default: 1.0  
Lower Bound: 0.0 (exclusive)

### 9.11.15 Selectivity of type Compound Middle

`@selectivity[label].type=compound_middle`. See Section ?? for more information.

`a50`     The `a50` (*a*50)  
Type: Real number (estimable)  
Default: No default

`ato95`     The age or length between 50% and 95% selective  
Type: Real number (estimable)  
Default: No default  
Lower Bound: 0.0 (exclusive)

`a_min`     The (`a_min`) parameter  
Type: Real number (estimable)  
Default: No default  
Lower Bound: 0.0 (exclusive)

`left_mean`     The `left_mean` parameter  
Type: Real number (estimable)  
Default: 1.0  
Lower Bound: 0.0 (exclusive)

`to_right_mean`     The `to_right_mean` parameter  
Type: Real number (estimable)  
Default: 1.0  
Lower Bound: 0.0 (exclusive)

`sigma`     The `sigma` parameter  
Type: Real number (estimable)  
Default: 1.0  
Lower Bound: 0.0 (exclusive)

### 9.11.16 Selectivity of type Compound All

@selectivity[label].type=compound\_all. See Section 5.11.15 for more information.

a50      The a50 (*a*50)  
Type: Real number (estimable)  
Default: No default

ato95    The age or length between 50% and 95% selective  
Type: Real number (estimable)  
Default: No default  
Lower Bound: 0.0 (exclusive)

a\_min    The (a\_min) parameter  
Type: Real number (estimable)  
Default: No default  
Lower Bound: 0.0 (exclusive)

sigma    The sigma parameter  
Type: Real number (estimable)  
Default: 1.0  
Lower Bound: 0.0 (exclusive)

## 9.12 Projections

@project label    Define an object of type *Project*. See Section 5.14 for more information.

label    Label  
Type: String  
Default: No default

type    Type  
Type: String  
Default: No default

years    Years to recalculate the values  
Type: Vector of non-negative integers  
Default: No default

parameter    Parameter to project  
Type: String  
Default: No default

multiplier    Multiplier that is applied to the projected value  
Type: Real number (estimable)  
Default: 1.0  
Lower Bound: 0.0 (exclusive)

### 9.12.1 Project of type Constant

`@project[label].type=Constant`. See Section 5.14.1 for more information.

`values`      The values to assign to the addressable

    Type: Vector of real numbers (estimable)

    Default: No default

### 9.12.2 Project of type Empirical Sampling

`@project[label].type=Empirical_Sampling`. See Section 5.14.1 for more information.

`start_year`      The start year of sampling

    Type: Non-negative integer

    Default: No default

`final_year`      The final year of sampling

    Type: Non-negative integer

    Default: No default

### 9.12.3 Project of type Log Normal

`@project[label].type=Log_Normal`. See Section 5.14.1 for more information.

`mean`      The mean of the lognormal process

    Type: Real number (estimable)

    Default: 0.0

`sigma`      The standard deviation (sigma) of the lognormal sampling

    Type: Real number (estimable)

    Default: No default

    Lower Bound: 0.0 (inclusive)

### 9.12.4 Project of type Log Normal Empirical

`@project[label].type=Log_Normal_Empirical`. See Section 5.14.1 for more information.

`mean`      The mean of the Gaussian process

    Type: Real number (estimable)

    Default: 0.0

`start_year`      The start year of sampling

    Type: Non-negative integer

    Default: No default

`final_year`      The final year of sampling

    Type: Non-negative integer

    Default: No default

### 9.12.5 Project of type User Defined

@project[label].type=User\_Defined. See Section 5.14.1 for more information.

equation      The equation to do a test run of

Type: Vector of strings

Default: No default

## 10 Estimation command and subcommand syntax

The description of methods for the estimation section is given in Section 6.

In the following section, the sub-section headers use a notation of the form “@observation[label].type=abundance” which, in this case, represents the input command fragment

```
@observation label # where label is a unique label for that observation
type=abundance
...
```

The specific subcommands for a command are given within each command.

### 10.1 Estimation methods

@estimate label      Define an object of type *Estimate*. See Section 6 for more information.

label      The label of the estimate

Type: String

Default: No default

type      The type of prior for the estimate

Type: String

Default: No default

parameter      The name of the parameter to estimate

Type: String

Default: No default

lower\_bound      The lower bound for the parameter

Type: Real number (estimable)

Default: No default

upper\_bound      The upper bound for the parameter

Type: Real number (estimable)

Default: No default

same      List of other parameters that are constrained to have the same value as this parameter

Type: Vector of strings

Default: No default

estimation\_phase      The first estimation phase to allow this to be estimated

Type: Non-negative integer

Default: 1

Value: Phases must be number sequentially and start at one

`mcmc.fixed` Indicates if this parameter is estimated at the point estimate but fixed during MCMC estimation run

Type: Boolean

Default: false

### 10.1.1 Estimate of prior type Beta

`@estimate[label].type=Beta`. See Section 6.7.7 for more information.

`mu` Beta prior mean ( $\mu$ ) parameter

Type: Real number (estimable)

Default: No default

`sigma` Beta prior standard deviation ( $\sigma$ ) parameter

Type: Real number (estimable)

Default: No default

Lower Bound: 0.0 (exclusive)

`a` Beta prior lower bound of the range (A) parameter

Type: Real number (estimable)

Default: No default

`b` Beta prior upper bound of the range (B) parameter

Type: Real number (estimable)

Default: No default

### 10.1.2 Estimate of prior type Lognormal

`@estimate[label].type=Lognormal`. See Section 6.7.5 for more information.

`mu` The lognormal prior mean ( $\mu$ ) parameter

Type: Real number (estimable)

Default: No default

Lower Bound: 0.0 (exclusive)

`cv` The lognormal variance ( $cv$ ) parameter

Type: Real number (estimable)

Default: No default

Lower Bound: 0.0 (exclusive)

### 10.1.3 Estimate of prior type Normal

`@estimate[label].type=Normal`. See Section 6.7.3 for more information.

**mu**      The normal prior mean ( $\mu$ ) parameter  
Type: Real number (estimable)  
Default: No default

**cv**      The normal standard deviation ( $\sigma$ ) parameter  
Type: Real number (estimable)  
Default: No default  
Lower Bound: 0.0 (exclusive)

#### 10.1.4 Estimate of prior type Normal By Stdev

`@estimate[label].type=Normal_By_Stdev`. See Section 6.7.4 for more information.

**mu**      The normal prior mean ( $\mu$ ) parameter  
Type: Real number (estimable)  
Default: No default

**sigma**    The normal standard deviation ( $\sigma$ ) parameter  
Type: Real number (estimable)  
Default: No default  
Lower Bound: 0.0 (exclusive)

**lognormal\_transformation**    Add a Jacobian if the derived outcome of the estimate is assumed to be lognormal, e.g., used for recruitment deviations in the recruitment process. See the User Manual for more information  
Type: Boolean  
Default: false

#### 10.1.5 Estimate of prior type Normal-Log

`@estimate[label].type=Normal_Log`. See Section 6.7.6 for more information.

**mu**      The normal-log prior mean ( $\mu$ ) parameter  
Type: Real number (estimable)  
Default: No default

**sigma**    The normal-log prior standard deviation ( $\sigma$ ) parameter  
Type: Real number (estimable)  
Default: No default  
Lower Bound: 0.0 (exclusive)

#### 10.1.6 Estimate of type Uniform

`@estimate[label].type=Uniform`. See Section 6.7.1 for more information.

The Uniform type has no additional subcommands.



### 10.1.7 Estimate of type Uniform-Log

@estimate[label].type=Uniform\_Log. See Section 6.7.2 for more information.

The Uniform\_Log type has no additional subcommands.

## 10.2 Point estimation

**@minimiser** *label* Define an object of type *Minimiser*. See Section 6.4 for more information.

*label* The minimiser label

Type: String

Default: No default

*type* The type of minimiser to use

Type: String

Default: No default

*active* Indicates if this minimiser is active

Type: Boolean

Default: false

*covariance* Indicates if a covariance matrix should be generated

Type: Boolean

Default: true

### 10.2.1 Minimiser of type ADOLC

@minimiser[label].type=ADOLC. See Section 6.4.5 for more information.

*iterations* The maximum number of iterations

Type: Integer

Default: 1000

Lower Bound: 1 (inclusive)

*evaluations* The maximum number of evaluations

Type: Integer

Default: 4000

Lower Bound: 1 (inclusive)

*tolerance* The tolerance of the gradient for convergence

Type: Real number

Default: 1e-5

Lower Bound: 0.0 (exclusive)

*step\_size* The minimum step size before minimisation fails

Type: Real number

Default: 1e-7

Lower Bound: 0.0 (exclusive)

`parameter_transformation`      The choice of parametrisation used to scale the parameters for ADOLC  
Type: string  
Default: `sin_transformation`  
Value: Either `sin_transformation` or `tan_transformation`. See 6.4.5 for more information

### 10.2.2 Minimiser of type Betadiff

`@minimiser[label].type=Betadiff`. See Section 6.4.4 for more information.

`iterations`      The maximum number of iterations  
Type: Integer  
Default: 1000  
Lower Bound: 1 (inclusive)

`evaluations`      The maximum number of evaluations  
Type: Integer  
Default: 4000  
Lower Bound: 1 (inclusive)

`tolerance`      The tolerance of the gradient for convergence  
Type: Real number  
Default: 1e-5  
Lower Bound: 0.0 (exclusive)

### 10.2.3 Minimiser of type DESolver

`@minimiser[label].type=DESolver`. See Section 6.4.3 for more information.

`population_size`      The number of candidate solutions to have in the population  
Type: Non-negative integer  
Default: No default  
Lower Bound: 1 (inclusive)

`crossover_probability`      The minimiser's crossover probability  
Type: Real number  
Default: 0.9  
Lower Bound: 0.0 (inclusive)  
Upper Bound: 1.0 (inclusive)

`difference_scale`      The scale to apply to new solutions when comparing candidates  
Type: Real number  
Default: 0.02

`max_generations`      The maximum number of iterations to run  
Type: Non-negative integer  
Default: No default

tolerance      The total variance between the population and best candidate before acceptance  
Type: Real number  
Default: 1e-5  
Lower Bound: 0.0 (exclusive)

#### 10.2.4 Minimiser of type Deltadiff

@minimiser[label].type=Deltadiff. See Section 6.4.2 for more information.

iterations      Maximum number of iterations  
Type: Integer  
Default: 1000  
Lower Bound: 1 (inclusive)

evaluations      Maximum number of evaluations  
Type: Integer  
Default: 4000  
Lower Bound: 1 (inclusive)

tolerance      Tolerance of the gradient for convergence  
Type: Real number  
Default: 1e-5  
Lower Bound: 0 (exclusive)

step\_size      Minimum Step-size before minimisation fails  
Type: Real number  
Default: 1e-7  
Lower Bound: 0 (exclusive)

#### 10.2.5 Minimiser of type Numerical Differences

@minimiser[label].type=NumericalDifferences. See Section 6.4.1 for more information.

iterations      The maximum number of iterations  
Type: Integer  
Default: 1000  
Lower Bound: 1 (inclusive)

evaluations      The maximum number of evaluations  
Type: Integer  
Default: 4000  
Lower Bound: 1 (inclusive)

tolerance      The tolerance of the gradient for convergence  
Type: Real number  
Default: 1e-5  
Lower Bound: 0.0 (exclusive)

`step_size`     The minimum step size before minimisation fails  
Type: Real number  
Default: 1e-7  
Lower Bound: 0.0 (exclusive)

### 10.3 Markov chain Monte Carlo (MCMC)

**@mcmc** *label*     Define an object of type *MCMC*. See Section 6.6 for more information.

`label`     The label of the MCMC  
Type: String  
Default: No default

`type`     The MCMC method  
Type: String  
Default: No default

`length`     The number of iterations for the MCMC (including the burn in period)  
Type: Non-negative integer  
Default: No default  
Lower Bound: 1 (inclusive)

`burn_in`     The number of iterations for the burn\_in period of the MCMC  
Type: Non-negative integer  
Default: 0  
Lower Bound: 0 (inclusive)

`active`     Indicates if this is the active MCMC algorithm  
Type: Boolean  
Default: true

`step_size`     Initial step-size (as a multiplier of the approximate covariance matrix)  
Type: Real number  
Default: The default is  $2.4d^{-0.5}$   
Lower Bound: 0 (inclusive)  
Note: If the value is set to zero or the subcommand is omitted, the default value is used instead

`start`     The covariance multiplier for the starting point of the MCMC  
Type: Real number  
Default: 0.0  
Lower Bound: 0.0 (inclusive)  
Value: If zero, then the MCMC starts at the point estimate (i.e., the MPD). Otherwise a random (multivariate normal) jump from the point estimate with `start` used as the standard deviation multiplier

`keep`     The spacing between recorded values in the MCMC

- Type: Non-negative integer  
 Default: 1  
 Lower Bound: 1 (inclusive)
- `max_correlation`      The maximum absolute correlation in the covariance matrix of the proposal distribution  
 Type: Real number  
 Default: 0.8  
 Lower Bound: 0.0 (exclusive)  
 Upper Bound: 1.0 (inclusive)
- `covariance_adjustment_method`      The method for adjusting small variances in the covariance proposal matrix  
 Type: String  
 Default: correlation  
 Value: Either covariance, correlation, or none
- `correlation_adjustment_diff`      The minimum non-zero variance times the range of the bounds in the covariance matrix of the proposal distribution  
 Type: Real number  
 Default: 0.0001  
 Lower Bound: 0.0 (exclusive)
- `proposal_distribution`      The shape of the proposal distribution (either the t or the normal distribution)  
 Type: String  
 Default: t  
 Value: Either t or normal
- `df`      The degrees of freedom of the multivariate t proposal distribution  
 Type: Non-negative integer  
 Default: 4  
 Lower Bound: 1
- `adapt_stepsize_at`      The iteration numbers in which to check and resize the MCMC stepsize  
 Type: Vector of non-negative integers  
 Default: true  
 Lower Bound: 0 (inclusive)  
 Value: If zero, then no step size adaption is applied. Otherwise must be a positive integer less than less than the burn\_in
- `adapt_stepsize_method`      The method to use to adapt the step size  
 Type: String  
 Default: ratio
- `adapt_covariance_matrix_at`      The iteration number in which to adapt the covariance matrix

Type: Non-negative integer

Default: 0

Lower Bound: 0 (inclusive)

Value: If zero, then no covariance matrix adaption is applied. Otherwise must be a positive integer that is less than the burn\_in

### 10.3.1 MCMC of type Hamiltonian Monte Carlo

@mcmc[label].type=Hamiltonian.

leapfrog\_steps      Number of leapfrog steps

Type: Non-negative integer

Default: 1

Lower Bound: 0 (exclusive)

leapfrog\_delta      Amount to leapfrog per step

Type: Real number

Default: 1e-7

Lower Bound: 0 (exclusive)

gradient\_step\_size      Step size to use when calculating gradient

Type: Real number

Default: 1e-7

Lower Bound: 1e-13 (inclusive)

### 10.3.2 MCMC of type Random Walk Metropolis Hastings

@mcmc[label].type=Random\_Walk. See Section 6.6 for more information.

The Random\_Walk type has no additional subcommands.

## 10.4 Profiles

**@profile** label      Define an object of type *Profile*. See Section 6.5 for more information.

label      The label of the profile

Type: String

Default: No default

steps      The number of steps between the lower and upper bound

Type: Non-negative integer

Default: No default

Value: A positive integer  $\geq 2$

lower\_bound      The lower value of the range

Type: Real number (estimable)

Default: No default

upper\_bound      The upper value of the range

Type: Real number (estimable)

Default: No default

`parameter`      The free parameter to profile

Type: String

Default: No default

`same`      A free parameter that is constrained to have the same value as the parameter being profiled

Type: String

Default: No default

## 10.5 Defining catchability constants

**@catchability** *label*      Define an object of type *Catchability*.

`label`      Label of the catchability

Type: String

Default: No default

`type`      The type of catchability

Type: String

Default: No default

### 10.5.1 Catchability of type Free

`@catchability[label].type=Free.`

`q`      The value of the catchability

Type: Real number (estimable)

Default: No default

Lower Bound: 0.0 (inclusive)

### 10.5.2 Catchability of type Nuisance

`@catchability[label].type=Nuisance.`

`lower_bound`      The upper bound for nuisance catchability

Type: Real number (estimable)

Default: No default

`upper_bound`      The lower bound for nuisance catchability

Type: Real number (estimable)

Default: No default

`q`      The value of the catchability

Type: Addressable

Default: No default

## 10.6 Defining penalties

**@penalty** *label* Define an object of type *Penalty*. See Section 6.8 for more information.

*label* The label of the penalty

Type: String

Default: No default

*type* The type of penalty

Type: String

Default: No default

### 10.6.1 Penalty of type Process

`@penalty[label].type=Process`. See Section 6.8 for more information.

*multiplier* The penalty multiplier

Type: Real number (estimable)

Default: 1.0

*log\_scale* Indicates if the sums of squares will be calculated on the log scale

Type: Boolean

Default: false

## 10.7 Defining the priors on parameter ratios, differences, and means

**@additional\_prior** *label* Define an object of type *Additional\_Prior*. See Section 6.9 for more information.

*label* The label for the additional prior

Type: String

Default: No default

*parameter* The name of the parameter for the additional prior

Type: String

Default: No default

*type* The additional prior type

Type: String

Default: No default

### 10.7.1 Additional Prior of type Beta

`@additional_prior[label].type=Beta`. See Section 6.9 for more information.

*mu* Beta distribution mean  $\mu$  parameter

Type: Real number (estimable)

Default: No default



`sigma`      Beta distribution variance  $\sigma$  parameter

Type: Real number (estimable)

Default: No default

Lower Bound: 0.0 (exclusive)

`a`      Beta distribution lower bound, of the range *A* parameter

Type: Real number

Default: No default

`b`      Beta distribution upper bound of the range *B* parameter

Type: Real number

Default: No default

### 10.7.2 Additional Prior of type Element Difference

`@additional_prior[label].type=Element_Difference`. See Section 6.9 for more information.

`second_parameter`      The name of the second parameter for comparing

Type: String

Default: No default

`multiplier`      Multiply the penalty by this factor

Type: Real number

Default: 1

### 10.7.3 Additional Prior of type Log Normal

`@additional_prior[label].type=Log_Normal`. See Section 6.9 for more information.

`mu`      The lognormal prior mean ( $\mu$ ) parameter

Type: Real number (estimable)

Default: No default

Lower Bound: 0.0 (exclusive)

`cv`      The lognormal CV parameter

Type: Real number (estimable)

Default: No default

Lower Bound: 0.0 (exclusive)

### 10.7.4 Additional Prior of type Uniform-Log

`@additional_prior[label].type=Uniform_Log`. See Section 6.9 for more information.

The Uniform\_Log type has no additional subcommands.

### 10.7.5 Additional Prior of type Vector Average

`@additional_prior[label].type=Vector_Average`. See Section 6.9 for more information.

`method` Which calculation method to use: k, l, or m  
Type: String  
Default: k

`k` The k value to use in the calculation  
Type: Real number  
Default: No default

`multiplier` Multiplier for the penalty amount  
Type: Real number  
Default: 1

### 10.7.6 Additional Prior of type Vector Smoothing

`@additional_prior[label].type=Vector_Smoothing`. See Section 6.9 for more information.

`log_scale` Should the sums of squares be calculated on the log scale?  
Type: Boolean  
Default: false

`multiplier` Multiply the penalty by this factor  
Type: Real number  
Default: 1

`lower_bound` The first element to apply the penalty to in the vector  
Type: Non-negative integer  
Default: 0

`upper_bound` The last element to apply the penalty to in the vector  
Type: Non-negative integer  
Default: 0

`r` The rth difference that the penalty is applied to  
Type: Non-negative integer  
Default: 2

### 10.8 Defining the parameters of transformations

`@parameter_transformation label` Define an object of type `parameter_transformation`. See Section 6.10 for more information.

`label` Label for the transformation block  
Type: String  
Default: No default

`type` The type of transformation  
Type: String  
Default: No default

`prior_applies_to_restored_parameters` If the prior applies to the parameters (true) with jacobian (if it exists) or prior applies to transformed\_parameter (false) with no jacobian  
Type: bool  
Default: false

`parameters` The label of the parameters used in the transformation  
Type: String  
Default: No default

### 10.8.1 Parameter transformation of type Log

`@parameter_transformation[label].type=log.`

The addressable parameter for this transformation is `log_parameter`. See Section 6.10.2, paragraph 1.

### 10.8.2 Parameter transformation of type Logistic

`@parameter_transformation[label].type=logistic.`

The addressable parameter for this transformation is `logistic_parameter`. See Section 6.10.2, paragraph 6.

`lower_bound` Lower bound for the transformation  
Type: Numeric  
Default: No default

`upper_bound` Upper bound for the transformation  
Type: Numeric  
Default: No default

### 10.8.3 Parameter transformation of type Inverse

`@parameter_transformation[label].type=inverse.`

The addressable parameter for this transformation is `inverse_parameter`. See Section 6.10.2, paragraph 2.

### 10.8.4 Parameter transformation of type Average Difference

`@parameter_transformation[label].type=average_difference.`

The addressable parameters for this transformation are `average_parameter` and `difference_parameter`. See Section 6.10.2, paragraph 3.

### 10.8.5 Parameter transformation of type log sum

`@parameter_transformation[label].type=log_sum.`

The addressable parameters for this transformation are `log_total_parameter` and

`total_proportion_parameter`. See Section 6.10.2, paragraph 4.

### 10.8.6 Parameter transformation of type orthogonal

```
@parameter_transformation[label].type=orthogonal.
```

The addressable parameters for this transformation are `product_parameter` and `quotient_parameter`. See Section 6.10.2, paragraph 5.

### 10.8.7 parameter transformation of type sum to one

```
@parameter_transformation[label].type=sum_to_one.
```

The addressable parameter for this transformation is `product_parameter`. See Section 6.10.2, paragraph 7.

### 10.8.8 parameter transformation of type simplex

```
@parameter_transformation[label].type=simplex.
```

`sum_to_one`      Apply the `sum_to_one` constraint

    Type: bool

    Default: true

    Value: If true, the parameter vector in natural space will sum to one, otherwise it will sum to the value of the `length(parameter)`, i.e., defines the vector to have average one

The addressable parameter for this transformation is `simplex`. See Section 6.10.2, paragraph 8.

## 11 Observation command and subcommand syntax

The description of methods for the observation section is given in Section 7.

In the following section, the sub-section headers use a notation of the form “**@observation[label].type=abundance**” which, in this case, represents the input command fragment

```
@observation label # where label is a unique label for that observation
type=abundance
...
```

The specific subcommands for a command are given within each command.

### 11.1 Observation types

The description of the observations is given in Section 7. The observation types available are:

Observations of proportions of individuals by age class

Observations of proportions of individuals by category and age class

Relative and absolute abundance observations

Relative and absolute biomass observations

Each type of observation requires a set of subcommands and arguments specific to that process.

**@observation** *label*      Define an object of type *Observation*. See Section 7 for more information.

label      The label of the observation

Type: String

Default: No default

type      The type of observation

Type: String

Default: No default

likelihood      The type of likelihood to use

Type: String

Default: No default

categories      The category labels to use

Type: Vector of strings

Default: true

delta      The robustification value (delta) for the likelihood

Type: Real number (estimable)

Default: 1e-11

Lower Bound: 0.0 (inclusive)

simulation\_likelihood      The simulation likelihood to use

Type: String

Default: No default

likelihood\_multiplier      The likelihood multiplier

Type: Real number (estimable)

Default: 1.0

Lower Bound: 0.0 (inclusive)

error\_value\_multiplier      The error value multiplier for likelihood

Type: Real number (estimable)

Default: 1.0

Lower Bound: 0.0 (inclusive)

table      The table of data specifying the observed values

Type: Data table with label = obs

Default: No default

Value: A  $n * m$  matrix, where  $n$  = the years and  $m$  = either the number of ages, lengths, or abundance/biomass observation for each year defined in the model. Each row starts with the year. The table ends with 'end\_table'

Note: See 16.2 for more details each observation may have custom table labels.

`table`      The table of data specifying the observed error values

    Type: Data table with label = error\_values

    Default: No default

    Value: A  $n * m$  matrix, where  $n$  = the years and  $m$  = either the number of ages, lengths, or abundance/biomass observation for each year defined in the model. Each row starts with the year. The table ends with 'end\_table'

    Note: See 16.2 for more details on specifying data tables. each observation may have custom table labels.

### 11.1.1 Observation of type Abundance

`@observation[label].type=Abundance`. See Section 7.1.1 for more information.

`time_step`      The label of the time step that the observation occurs in

    Type: String

    Default: No default

`catchability`      The label of the catchability coefficient (q)

    Type: String

    Default: No default

`selectivities`      The labels of the selectivities

    Type: Vector of strings

    Default: true

`process_error`      The process error

    Type: Real number (estimable)

    Default: 0.0

    Lower Bound: 0.0 (inclusive)

`years`      The years for which there are observations

    Type: Vector of non-negative integers

    Default: No default

`table obs`      The table of data specifying the observed and error values

    Type: Data table with label = obs

    Default: No default

    Value: A  $n * 3$  matrix, where  $n$  = the years and a column for year, observation and error value. See below for example.

    Note: example below

```
table obs
# year observation error_value
1993 238.2 0.12
1994 170 0.16
1995 216.2 0.18
2004 46.9 0.20
end_table
```

### 11.1.2 Observation of type Biomass

@observation[label].type=Biomass. See Section 7.1.1 for more information.

time\_step      The label of the time step that the observation occurs in

    Type: String

    Default: No default

catchability    The label of the catchability coefficient ( $q$ )

    Type: String

    Default: No default

selectivities    The labels of the selectivities

    Type: Vector of strings

    Default: true

process\_error    The process error

    Type: Real number (estimable)

    Default: 0.0

    Lower Bound: 0.0 (inclusive)

age\_weight\_labels    The labels for the @age\_weight block which corresponds to each category, to use the weight calculation method for biomass calculations)

    Type: Vector of strings

    Default: No default

years      The years of the observed values

    Type: Vector of non-negative integers

    Default: No default

table obs      The table of data specifying the observed and error values

    Type: Data table with label = obs

    Default: No default

    Value: A  $n \times 3$  matrix, where  $n$  = the years and a column for year, observation and error value. See below for example.

    Note: example below

```
table obs
# year observation error_value
1993 238.2 0.12
1994 170 0.16
1995 216.2 0.18
2004 46.9 0.20
end_table
```

**11.1.3 Observation of type Process Removals By Age**

@observation[label].type=Process\_Removals\_By\_Age. See Section 7.1.3 for more information.

min\_age      The minimum age  
Type: Non-negative integer  
Default: No default

max\_age      The maximum age  
Type: Non-negative integer  
Default: No default

sum\_to\_one    Scale year (row) observed values by the total so they sum to equal 1  
Type: Boolean  
Default: false

simulated\_data\_sum\_to\_one    Whether simulated data is discrete or scaled by totals to be proportions for each year  
Type: Boolean  
Default: true

plus\_group    Is the maximum age the age plus group  
Type: Boolean  
Default: true

time\_step    The label of time-step that the observation occurs in  
Type: Vector of strings  
Default: No default

years      The years for which there are observations  
Type: Vector of non-negative integers  
Default: No default

process\_errors    The label of process error to use  
Type: Vector of real numbers (estimable)  
Default: true

ageing\_error    The label of the ageing error to use  
Type: String  
Default: No default

method\_of\_removal    The label of the observed method of removals  
Type: Vector of strings  
Default: No default

mortality\_process    The label of the mortality instantaneous process for the observation



Type: String

Default: No default

Note: Allowed mortality process types are `mortality_instantaneous` and `mortality_hybrid`

`table obs`      The table of data specifying the observed values

Type: Data table with label = `obs`

Default: No default

Value: A  $n \times m$  matrix, where  $n$  = the years and  $m$  is categories  $\times$  length bins. See below for example.

Note: example below

```
table obs
1993 0.1 0.2 0.3
1994 0.1 0.2 0.3
end_table
```

`table error_values`      The table of data specifying the error values

Type: Data table with label = `error_values`

Default: No default

Value: Can be specified two ways either as a  $n \times 1$  matrix with an error value for each year. Or a  $n \times m$  matrix, where  $n$  = the years and  $m$  is categories  $\times$  length bins. See below for example.

Note: example below

```
table error_values
1993 234
1994 343
end_table
```

#### 11.1.4 Observation of type Process Removals By Age Retained

`@observation[label].type=Process_Removals_By_Age_Retained`. See Section 7.1.3 for more information.

`min_age`      The minimum age

Type: Non-negative integer

Default: No default

`max_age`      The maximum age

Type: Non-negative integer

Default: No default

`plus_group`      Is the maximum age the age plus group?

Type: Boolean

Default: true

`time_step`      The label of the time step that the observation occurs in

Type: Vector of strings

Default: No default

`sum_to_one`      Scale the year (row) observed values by the total, so they sum to 1

Type: Boolean

Default: false

`simulated_data_sum_to_one`      Whether simulated data is discrete or scaled by totals to be proportions for each year

Type: Boolean

Default: true

`years`      The years for which there are observations

Type: Vector of non-negative integers

Default: No default

`process_errors`      The label of the process error to use

Type: Vector of real numbers (estimable)

Default: true

`ageing_error`      The label of the ageing error to use

Type: String

Default: No default

`method_of_removal`      The label of observed method of removals

Type: Vector of strings

Default: No default

`mortality_process`      The label of the mortality instantaneous process for the observation

Type: String

Default: No default

Note: Allowed mortality process types are `mortality_instantaneous_retained`

`table obs`      The table of data specifying the observed values

Type: Data table with label = obs

Default: No default

Value: A  $n \times m$  matrix, where  $n$  = the years and  $m$  is categories  $\times$  length bins. See below for example.

Note: example below

```
table obs
1993 0.1 0.2 0.3
1994 0.1 0.2 0.3
end_table
```

`table error_values`      The table of data specifying the error values

Type: Data table with label = error\_values

Default: No default

Value: Can be specified two ways either as a  $n \times 1$  matrix with an error value for each year. Or a  $n \times m$  matrix, where  $n$  = the years and  $m$  is categories  $\times$  length bins. See below for example.

Note: example below

```
table error_values
1993 234
1994 343
end_table
```

### 11.1.5 Observation of type Process Removals By Age Retained Total

@observation[label].type=Process\_Removals\_By\_Age\_Retained\_Total. See Section 7.1.3 for more information.

min\_age      The minimum age  
Type: Non-negative integer  
Default: No default

max\_age      The maximum age  
Type: Non-negative integer  
Default: No default

plus\_group    Is the maximum age the age plus group?  
Type: Boolean  
Default: true

time\_step    The label of the time step that the observation occurs in  
Type: Vector of strings  
Default: No default

sum\_to\_one    Scale the year (row) observed values by the total, so they sum to 1  
Type: Boolean  
Default: false

simulated\_data\_sum\_to\_one    Whether simulated data is discrete or scaled by totals to be proportions for each year  
Type: Boolean  
Default: true

years        The years for which there are observations  
Type: Vector of non-negative integers  
Default: No default

process\_errors    The label of the process error to use  
Type: Vector of real numbers (estimable)  
Default: true

ageing\_error    The label of the ageing error to use  
Type: String  
Default: No default

`method_of_removal`      The label of observed method of removals  
 Type: Vector of strings  
 Default: No default

`mortality_process`      The label of the mortality process for this observation  
 Type: String  
 Default: No default  
 Note: Allowed mortality process types are `mortality_instantaneous_retained`

`table obs`      The table of data specifying the observed values  
 Type: Data table with label = obs  
 Default: No default  
 Value: A  $n \times m$  matrix, where  $n$  = the years and  $m$  is categories  $\times$  length bins. See below for example.  
 Note: example below

```
table obs
1993 0.1 0.2 0.3
1994 0.1 0.2 0.3
end_table
```

`table error_values`      The table of data specifying the error values  
 Type: Data table with label = error\_values  
 Default: No default  
 Value: Can be specified two ways either as a  $n \times 1$  matrix with an error value for each year. Or a  $n \times m$  matrix, where  $n$  = the years and  $m$  is categories  $\times$  length bins. See below for example.  
 Note: example below

```
table error_values
1993 234
1994 343
end_table
```

### 11.1.6 Observation of type Process Removals By Length

`@observation[label].type=Process_Removals_By_Length.`      See Section 7.1.3 for more information.

`time_step`      The time step to execute in  
 Type: String  
 Default: No default

`years`      The years for which there are observations  
 Type: Vector of non-negative integers  
 Default: No default

`process_errors`      The process error

Type: Vector of real numbers (estimable)

Default: true

`method_of_removal`      The label of observed method of removals

Type: String

Default: No default

`length_bins`      The length bins

Type: Vector of real numbers (estimable)

Default: No default

`sum_to_one`      Scale the year (row) observed values by the total, so they sum to 1

Type: Boolean

Default: false

`simulated_data_sum_to_one`      Whether simulated data is discrete or scaled by totals to be proportions for each year

Type: Boolean

Default: true

`plus_group`      Is the last length bin a plus group? (defaults to @model value)

Type: Boolean

Default: model

`mortality_process`      The label of the mortality instantaneous process for the observation

Type: String

Default: No default

Note: Allowed mortality process types are `mortality_instantaneous` and `mortality_hybrid`

`table obs`      The table of data specifying the observed values

Type: Data table with label = obs

Default: No default

Value: A  $n \times m$  matrix, where  $n$  = the years and  $m$  is categories  $\times$  length bins. See below for example.

Note: example below

```
table obs
```

```
1993 0.1 0.2 0.3
```

```
1994 0.1 0.2 0.3
```

```
end_table
```

`table error_values`      The table of data specifying the error values

Type: Data table with label = error\_values

Default: No default

Value: Can be specified two ways either as a  $n \times 1$  matrix with an error value for each year. Or a  $n \times m$  matrix, where  $n$  = the years and  $m$  is categories  $\times$  length bins. See below for example.

Note: example below

```
table error_values
1993 234
1994 343
end_table
```

### 11.1.7 Observation of type Process Removals By Length Retained

@observation[label].type=Process-Removals-By-Length-Retained. See Section 7.1.3 for more information.

time\_step      The time step to execute in  
Type: String  
Default: No default

years          The years for which there are observations  
Type: Vector of non-negative integers  
Default: No default

process\_errors      The process error  
Type: Vector of real numbers (estimable)  
Default: true

method\_of\_removal      The label of observed method of removals  
Type: String  
Default: No default

length\_bins      The length bins  
Type: Vector of real numbers (estimable)  
Default: No default

sum\_to\_one      Scale the year (row) observed values by the total, so they sum to 1  
Type: Boolean  
Default: false

simulated\_data\_sum\_to\_one      Whether simulated data is discrete or scaled by totals to be proportions for each year  
Type: Boolean  
Default: true

plus\_group      Is the last length bin a plus group? (defaults to @model value)  
Type: Boolean  
Default: model

mortality\_process      The label of the mortality instantaneous process for the observation  
Type: String  
Default: No default  
Note: Allowed mortality process types are mortality\_instantaneous\_retained

`table obs`      The table of data specifying the observed values

  Type: Data table with label = obs

  Default: No default

  Value: A  $n \times m$  matrix, where  $n$  = the years and  $m$  is categories  $\times$  length bins. See below for example.

  Note: example below

```
table obs
1993 0.1 0.2 0.3
1994 0.1 0.2 0.3
end_table
```

`table error_values`      The table of data specifying the error values

  Type: Data table with label = error\_values

  Default: No default

  Value: Can be specified two ways either as a  $n \times 1$  matrix with an error value for each year. Or a  $n \times m$  matrix, where  $n$  = the years and  $m$  is categories  $\times$  length bins. See below for example.

  Note: example below

```
table error_values
1993 234
1994 343
end_table
```

### 11.1.8 Observation of type Process Removals By Length Retained Total

`@observation[label].type=Process_Removals_By_Length_Retained_Total.`      See Section 7.1.3 for more information.

`time_step`      The time step to execute in

  Type: String

  Default: No default

`years`      The years for which there are observations

  Type: Vector of non-negative integers

  Default: No default

`process_errors`      The process error

  Type: Vector of real numbers (estimable)

  Default: true

`method_of_removal`      The label of observed method of removals

  Type: String

  Default: No default

`length_bins`      The length bins

  Type: Vector of real numbers (estimable)

  Default: No default

`plus_group`      Is the last length bin a plus group? (defaults to @model value)  
Type: Boolean  
Default: model

`sum_to_one`      Scale the year (row) observed values by the total, so they sum to 1  
Type: Boolean  
Default: false

`simulated_data_sum_to_one`      Whether simulated data is discrete or scaled by totals to be proportions for each year  
Type: Boolean  
Default: true

`mortality_process`      The label of the mortality instantaneous process for the observation  
Type: String  
Default: No default  
Note: Allowed mortality process types are `mortality_instantaneous_retained`

`table obs`      The table of data specifying the observed values  
Type: Data table with label = obs  
Default: No default  
Value: A  $n \times m$  matrix, where  $n$  = the years and  $m$  is categories  $\times$  length bins. See below for example.  
Note: example below

```
table obs
1993 0.1 0.2 0.3
1994 0.1 0.2 0.3
end_table
```

`table error_values`      The table of data specifying the error values  
Type: Data table with label = error\_values  
Default: No default  
Value: Can be specified two ways either as a  $n \times 1$  matrix with an error value for each year. Or a  $n \times m$  matrix, where  $n$  = the years and  $m$  is categories  $\times$  length bins. See below for example.  
Note: example below

```
table error_values
1993 234
1994 343
end_table
```

### 11.1.9 Observation of type Process Removals By Weight

@observation[label].type=Process\_Removals\_By\_Weight. See Section ?? for more information.

`mortality_process`      The label of the mortality instantaneous process for the observation



Type: String

Default: No default

Note: Allowed mortality process types are `mortality_instantaneous`

`method_of_removal`      The label of observed method of removals

Type: String

Default: No default

`time_step`      The time step to execute in

Type: String

Default: No default

`years`      The years for which there are observations

Type: Vector of non-negative integers

Default: No default

`process_errors`      The process error

Type: Vector of real numbers (estimable)

Default: true

`length_weight_cv`      The CV for the length-weight relationship

Type: Real number (estimable)

Default: 0.10

Lower Bound: 0.0 (exclusive)

`length_weight_distribution`      The distribution of the length-weight relationship

Type: String

Default: normal

`length_bins`      The length bins

Type: Vector of real numbers (estimable)

Default: No default

`length_bins_n`      The average number in each length bin

Type: Vector of real numbers (estimable)

Default: No default

`units`      The units for the weight bins (grams, kilograms (kgs), or tonnes)

Type: String

Default: kgs

`fishbox_weight`      The target weight of each box

Type: Real number (estimable)

Default: 20.0

Lower Bound: 0.0 (exclusive)

`weight_bins`      The weight bins  
Type: Vector of real numbers (estimable)  
Default: No default

### 11.1.10 Observation of type Proportions At Age

`@observation[label].type=Proportions.At.Age`. See Section 7.1.1 for more information.

`min_age`      The minimum age  
Type: Non-negative integer  
Default: No default

`max_age`      The maximum age  
Type: Non-negative integer  
Default: No default

`plus_group`      Is the maximum age the age plus group?  
Type: Boolean  
Default: true

`time_step`      The label of the time step that the observation occurs in  
Type: String  
Default: No default

`years`      The years of the observed values  
Type: Vector of non-negative integers  
Default: No default

`selectivities`      The labels of the selectivities  
Type: Vector of strings  
Default: true

`process_errors`      The process error  
Type: Vector of real numbers (estimable)  
Default: true

`ageing_error`      The label of ageing error to use  
Type: String  
Default: No default

`sum_to_one`      Scale the year (row) observed values by the total, so they sum to 1  
Type: Boolean  
Default: false

`simulated_data_sum_to_one`      Whether simulated data is discrete or scaled by totals to be

proportions for each year

Type: Boolean

Default: true

table obs      The table of data specifying the observed values

Type: Data table with label = obs

Default: No default

Value: A  $n \times m$  matrix, where  $n$  = the years and  $m$  is categories  $\times$  length bins. See below for example.

Note: example below

```
table obs
1993 0.1 0.2 0.3
1994 0.1 0.2 0.3
end_table
```

table error\_values      The table of data specifying the error values

Type: Data table with label = error\_values

Default: No default

Value: Can be specified two ways either as a  $n \times 1$  matrix with an error value for each year. Or a  $n \times m$  matrix, where  $n$  = the years and  $m$  is categories  $\times$  length bins. See below for example.

Note: example below

```
table error_values
1993 234
1994 343
end_table
```

### 11.1.11 Observation of type Proportions At Length

@observation[label].type=Proportions.At.Length. See Section 7.1.1 for more information.

time\_step      The label of the time step that the observation occurs in

Type: String

Default: No default

years      The years for which there are observations

Type: Vector of non-negative integers

Default: No default

selectivities      The labels of the selectivities

Type: Vector of strings

Default: true

process\_errors      The process error

Type: Vector of real numbers (estimable)

Default: true

`length_bins`      The length bins  
Type: Vector of real numbers (estimable)  
Default: true

`plus_group`      Is the last length bin a plus group?  
Type: Boolean  
Default: true if the value of `@model.length_plus` is true, otherwise false

`sum_to_one`      Scale the year (row) observed values by the total, so they sum to 1  
Type: Boolean  
Default: false

`simulated_data_sum_to_one`      Whether simulated data is discrete or scaled by totals to be proportions for each year  
Type: Boolean  
Default: true

`table obs`      The table of data specifying the observed values  
Type: Data table with label = obs  
Default: No default  
Value: A  $n \times m$  matrix, where  $n$  = the years and  $m$  is categories  $\times$  length bins. See below for example.  
Note: example below

```
table obs
1993 0.1 0.2 0.3
1994 0.1 0.2 0.3
end_table
```

`table error_values`      The table of data specifying the error values  
Type: Data table with label = error\_values  
Default: No default  
Value: Can be specified two ways either as a  $n \times 1$  matrix with an error value for each year. Or a  $n \times m$  matrix, where  $n$  = the years and  $m$  is categories  $\times$  length bins. See below for example.  
Note: example below

```
table error_values
1993 234
1994 343
end_table
```

### 11.1.12 Observation of type Proportions By Category

`@observation[label].type=Proportions_By_Category`. See Section 7.1.1 for more information.

`min_age`      The minimum age  
Type: Non-negative integer  
Default: No default

`max_age`      The maximum age

    Type: Non-negative integer

    Default: No default

`time_step`    The label of the time step that the observation occurs in

    Type: String

    Default: No default

`plus_group`    Use the age plus group?

    Type: Boolean

    Default: true

`years`        The years for which there are observations

    Type: Vector of non-negative integers

    Default: No default

`selectivities`    The labels of the selectivities

    Type: Vector of strings

    Default: true

`categories2`    The target categories

    Type: Vector of strings

    Default: No default

`selectivities2`    The target selectivities

    Type: Vector of strings

    Default: No default

### 11.1.13 Observation of type Proportions Mature By Age

`@observation[label].type=Proportions.Mature.By.Age.` See Section ?? for more information.

`min_age`      The minimum age

    Type: Non-negative integer

    Default: No default

`max_age`      The maximum age

    Type: Non-negative integer

    Default: No default

`time_step`    The label of time-step that the observation occurs in

    Type: String

    Default: No default

`plus_group`    Use the age plus group?

Type: Boolean

Default: true

years      The years for which there are observations

Type: Vector of non-negative integers

Default: No default

ageing\_error      The label of ageing error to use

Type: String

Default: No default

total\_categories      All category labels that were vulnerable to sampling at the time of this observation (not including the categories already given)

Type: Vector of strings

Default: true

time\_step\_proportion      The proportion through the mortality block of the time step when the observation is evaluated

Type: Real number (estimable)

Default: 0.5

Lower Bound: 0.0 (inclusive)

Upper Bound: 1.0 (inclusive)

#### 11.1.14 Observation of type Proportions Migrating

@observation[label].type=Proportions.Migrating. See Section 7.1.3 for more information.

min\_age      The minimum age

Type: Non-negative integer

Default: No default

max\_age      The maximum age

Type: Non-negative integer

Default: No default

time\_step      The label of the time step that the observation occurs in

Type: String

Default: No default

plus\_group      Is the maximum age the age plus group?

Type: Boolean

Default: true

years      The years for which there are observations

Type: Vector of non-negative integers

Default: No default

`process_errors`     The process error  
Type: Vector of real numbers (estimable)  
Default: true

`ageing_error`     The label of the ageing error to use  
Type: String  
Default: No default

`process`     The process label  
Type: String  
Default: No default

#### 11.1.15 Observation of type Tag Recapture By Age

`@observation[label].type=Tag_Recapture_By_Age`. See Section ?? for more information.

`min_age`     The minimum age  
Type: Non-negative integer  
Default: No default

`max_age`     The maximum age  
Type: Non-negative integer  
Default: No default

`plus_group`     Is the maximum age the age plus group?  
Type: Boolean  
Default: true

`years`     The years for which there are observations  
Type: Vector of non-negative integers  
Default: No default

`categories2`     The available categories in the partition  
Type: Vector of strings  
Default: No default

`selectivities`     The labels of the selectivities  
Type: Vector of strings  
Default: true

`time_step`     The label of the time step that the observation occurs in  
Type: String  
Default: No default

`selectivities2`     The categories of tagged individuals for the observation

Type: Vector of strings

Default: No default

`detection`      The probability of detecting a recaptured individual

Type: Real number (estimable)

Default: No default

Lower Bound: 0.0 (inclusive)

Upper Bound: 1.0 (inclusive)

`time_step_proportion`      The proportion through the mortality block of the time step when the observation is evaluated

Type: Real number (estimable)

Default: 0.5

Lower Bound: 0.0 (inclusive)

Upper Bound: 1.0 (inclusive)

`table recaptured`      The table of data specifying the recaptures

Type: Data table with label = recaptured

Default: No default

Value: A  $n \times m$  matrix, where  $n$  = the years and  $m$  is categories  $\times$  length bins. See below for example.

Note: example below

```
table recaptured
```

```
1993 1 32 25
```

```
1994 3 4 43
```

```
end_table
```

`table scanned`      The table of data specifying the scanned fish

Type: Data table with label = scanned

Default: No default

Value: A  $n \times m$  matrix, where  $n$  = the years and  $m$  is categories  $\times$  length bins. See below for example.

Note: example below

```
table scanned
```

```
1993 1 32 25
```

```
1994 3 4 43
```

```
end_table
```

### 11.1.16 Observation of type Tag Recapture By Length

`@observation[label].type=Tag_Recapture_By_Length`. See Section 7.1.1 for more information.

`years`      The years for which there are observations

Type: Vector of non-negative integers

Default: No default



`time_step`      The time step to execute in

Type: String

Default: No default

`length_bins`      The length bins

Type: Vector of real numbers (estimable)

Default: true

`selectivities`      The labels of the selectivities used for untagged categories

Type: Vector of strings

Default: true

`tagged.selectivities`      The labels of the tag category selectivities

Type: Vector of strings

Default: No default

`detection`      The probability of detecting a recaptured individual

Type: Real number (estimable)

Default: No default

Lower Bound: 0.0 (inclusive)

Upper Bound: 1.0 (inclusive)

`dispersion`      The overdispersion parameter ( $\phi$ )

Type: Real number (estimable)

Default: 1.0

Lower Bound: 0.0 (inclusive)

`time_step_proportion`      The proportion through the mortality block of the time step when the observation is evaluated

Type: Real number (estimable)

Default: 0.5

Lower Bound: 0.0 (inclusive)

Upper Bound: 1.0 (inclusive)

`table recaptured`      The table of data specifying the recaptures

Type: Data table with label = recaptured

Default: No default

Value: A  $n \times m$  matrix, where  $n$  = the years and  $m$  is categories  $\times$  length bins. See below for example.

Note: example below

```
table recaptured
```

```
1993 1 32 25
```

```
1994 3 4 43
```

```
end_table
```

`table scanned`      The table of data specifying the scanned fish

Type: Data table with label = scanned

Default: No default

Value: A  $n \times m$  matrix, where  $n$  = the years and  $m$  is categories  $\times$  length bins. See below for example.

Note: example below

```
table scanned
1993 1 32 25
1994 3 4 43
end_table
```

### 11.1.17 Observation of type Age Length

@observation[label].type=age\_length. See Section 7.1.1 for more information.

time\_step      The label of the time step that the observation occurs in

Type: String

Default: No default

selectivities      The labels of the selectivities, one for each combined category

Type: Vector of strings

Default: true

numerator\_categories      A combined category label that defines categories that make up the numerator

Type: Vector of strings

Note: These categories are required to have the same age-length definition and have the same selectivity.

Default: the values defined in categories

year      The year this observation occurred in

Type: Vector of non-negative integers

Default: No default

sample\_type      The sample type

Type: string

Default: length

Allowed values: age, length, random

ages      vector of observed ages

Type: Vector of positive integers

Note: Needs to be integers, with model age definition, and same number of elements as lengths

Default: No default

lengths      vector of observed lengths

Type: Vector of real numbers

Note: same number of elements as ages

Default: No default

ageing\_error      The label of ageing error to use

Type: String

Default: No ageing error

## 11.2 Likelihoods

**@likelihood** *label*      Define an object of type *Likelihood*. See Section 7.2 for more information.

### 11.2.1 Likelihood of type Binomial

```
@likelihood[label].type=Binomial.
```

The Binomial type has no additional subcommands.

### 11.2.2 Likelihood of type Binomial Approx

```
@likelihood[label].type=Binomial_Approx.
```

The Binomial\_Approx type has no additional subcommands.

### 11.2.3 Likelihood of type Dirichlet

```
@likelihood[label].type=Dirichlet.
```

The Dirichlet type has no additional subcommands.

### 11.2.4 Likelihood of type Log Normal

```
@likelihood[label].type=Log_Normal.
```

The Log\_Normal type has no additional subcommands.

### 11.2.5 Likelihood of type Log Normal With Q

```
@likelihood[label].type=Log_Normal_With_Q.
```

The Log\_Normal\_With\_Q type has no additional subcommands.

### 11.2.6 Likelihood of type Multinomial

```
@likelihood[label].type=Multinomial.
```

The Multinomial type has no additional subcommands.

### 11.2.7 Likelihood of type Normal

```
@likelihood[label].type=Normal.
```

The Normal type has no additional subcommands.

### 11.2.8 Likelihood of type Pseudo

```
@likelihood[label].type=none.
```

The Pseudo type has no additional subcommands.

### 11.2.9 Likelihood of type Bernoulli

```
@likelihood[label].type=bernoulli.
```

### 11.3 Defining ageing error

The methods for including ageing error into estimation for observations are:

- None
- Data
- Normal
- Off-by-one

Each type of ageing error has a set of subcommands and arguments specific to its type.

**@ageing\_error** *label* Define an object of type *Ageing\_Error*. See Section 7.5 for more information.

**label** The label of the ageing error  
Type: String  
Default: No default

**type** The type of ageing error  
Type: String  
Default: No default

#### 11.3.1 Ageing\_Error of type Data

`@ageing_error[label].type=Data.`

**data** The table of data specifying the ageing misclassification matrix  
Type: A table giving the misclassification matrix  
Default: No default  
Value: The table has  $n$  rows and columns, where  $n$  is the number of ages in the model

**table data** The table of data specifying the ageing misclassification matrix  
Type: Data table with label = data  
Default: No default  
Value: An  $n \times n$  matrix, where  $n$  = the number of ages in the model. See below for example.  
Note: example below

```
table data
# example for a model with ages 1-3
0.95 0.05 0.00
0.05 0.90 0.05
0.00 0.05 0.95
end_table
```

#### 11.3.2 Ageing\_Error of type None

`@ageing_error[label].type=None.`

The None type has no additional subcommands.

---

### 11.3.3 Ageing\_Error of type Normal

`@ageing_error[label].type=Normal.`

**cv** CV of the misclassification matrix

Type: Real number (estimable)

Default: No default

Lower Bound: 0.0 (exclusive)

**k** k defines the minimum age of individuals which can be misclassified, i.e., individuals of age less than k have no ageing error

Type: Non-negative integer

Default: 0

Lower Bound: 0 (inclusive)

### 11.3.4 Ageing\_Error of type Off By One

`@ageing_error[label].type=Off_By_One.`

**p1** The proportion misclassified as one year younger, e.g., the proportion of age k individuals that were misclassified as age (k-1)

Type: Real number (estimable)

Default: No default

Lower Bound: 0.0 (inclusive)

Upper Bound: 1.0 (inclusive)

**p2** The proportion misclassified as one year older, e.g., the proportion of age k individuals that were misclassified as age (k+1)

Type: Real number (estimable)

Default: No default

Lower Bound: 0.0 (inclusive)

Upper Bound: 1.0 (inclusive)

**k** The minimum age of animals which can be misclassified, i.e., animals of age less than k are assumed to be correctly classified

Type: Non-negative integer

Default: 0

Lower Bound: 0 (inclusive)

## 12 Report command and subcommand syntax

The description of each report is given in Section 8.

### 12.1 Report commands and subcommands

**@report** *label* Define an object of type *Report*. See Section 8 for more information.

**label** The report label

Type: String

Default: No default

`type`      The report type

Type: String

Default: No default

`file_name`      The file name. If not supplied, then output is directed to standard out

Type: String

Default: No default

`write_mode`      Specify if any previous file with the same name should be overwritten, appended to, or is generated using a sequential suffix

Type: String

Default: overwrite

Value: valid options are `append`, `overwrite`, `incremental_suffix`

`format`      Report output format

Type: String

Default: `r`

Value: Either **R** for formatting for reading into **R** or `none` for no formatting

### 12.1.1 Report of type Default

`@report[label].type=Default`. See Section 8.3 for more information.

`catchabilities`      Report catchabilities

Type: Boolean

Default: false

Note: Reports all valid catchabilities

`derived_quantities`      Report derived quantities

Type: Boolean

Default: false

Note: Reports all valid derived quantities

`observations`      Report observations

Type: Boolean

Default: false

Note: Reports all valid observations

`processes`      Report processes

Type: Boolean

Default: false

Note: Reports all valid processes

`projects`      Report projects

Type: Boolean

Default: false

Note: Reports all valid projections

`selectivities`      Report selectivities

Type: Boolean

Default: false

Note: Reports all valid selectivities

`time_varying`      Report time-varying parameters

Type: Boolean

Default: false

Note: Reports all valid time-varying parameters

`parameter_transformations`      Report all parameter transformations

Type: Boolean

Default: false

Note: Reports all valid parameter transformations

### 12.1.2 Report of type Addressable

`@report[label].type=Addressable`. See Section ?? for more information.

`parameter`      The addressable parameter name

Type: String

Default: No default

`years`      Define the years that the report is generated for

Type: Vector of non-negative integers

Default: No default

`time_step`      Defines the time-step that the report applies to

Type: String

Default: No default

Value: A valid time step label

### 12.1.3 Report of type Age Length

`@report[label].type=Age_Length`. See Section 8.7 for more information.

`time_step`      The time step label

Type: String

Default: No default

Value: A valid time step label

`years`      The years for the report

Type: Vector of non-negative integers

Default: All years

age\_length      The age-length label  
Type: String  
Default: No default

#### 12.1.4 Report of type Ageing Error Matrix

@report[label].type=Ageing\_Error\_Matrix. See Section 8.8 for more information.

ageing\_error      The ageing error label  
Type: String  
Default: No default

#### 12.1.5 Report of type Catchability

@report[label].type=Catchability. See Section 8.19 for more information.

catchability      The catchability label  
Type: String  
Default: No default  
Value: If not specified, then the label of the report is assumed to be the category label

#### 12.1.6 Report of type Category List

@report[label].type=Category\_List. See Section ?? for more information.

The Category\_List report has no additional subcommands.

#### 12.1.7 Report of type Correlation Matrix

@report[label].type=Correlation\_Matrix. See Section 8.17 for more information.

The Correlation\_Matrix report has no additional subcommands.

#### 12.1.8 Report of type Covariance Matrix

@report[label].type=Covariance\_Matrix. See Section 8.16 for more information.

The Covariance\_Matrix type has no additional subcommands.

#### 12.1.9 Report of type Derived Quantity

@report[label].type=Derived\_Quantity. See Section 8.11 for more information.

derived\_quantity      The derived quantity label  
Type: String  
Default: No default  
Value: If not specified, then the label of the report is assumed to be the derived quantity label

#### 12.1.10 Report of type Equation Test

@report[label].type=Equation\_Test. See Section 5.13 for more information.

equation      The equation to do a test run of



Type: Vector of strings

Default: No default

### 12.1.11 Report of type Estimate Summary

`@report[label].type=Estimate_Summary`. See Section 8.12 for more information.

Value: A summary of the estimated (free parameters)

The Estimate\_Summary type has no additional subcommands.

### 12.1.12 Report of type Estimate Value

`@report[label].type=Estimate_Value`. See Section 8.14 for more information.

Value: The free parameters and their values, in a format suitable for use with `-i`

The Estimate\_Value report has no additional subcommands.

### 12.1.13 Report of type Estimation Result

`@report[label].type=Estimation_Result`. See Section ?? for more information.

Value: A summary of the results of the minimisation

The Estimation\_Result report has no additional subcommands.

### 12.1.14 Report of type Hessian Matrix

`@report[label].type=Hessian_Matrix`. See Section 8.18 for more information.

The Hessian\_Matrix report has no additional subcommands.

### 12.1.15 Report of type Initialisation Partition

`@report[label].type=Initialisation_Partition`. See Section 8.4 for more information.

The Initialisation\_Partition report has no additional subcommands.

### 12.1.16 Report of type Initialisation Partition Mean Weight

`@report[label].type=Initialisation_Partition_Mean_Weight`. See Section ?? for more information.

The Initialisation\_Partition\_Mean\_Weight report has no additional subcommands.

### 12.1.17 Report of type MCMC Covariance

`@report[label].type=MCMC_Covariance`. See Section 6.6 for more information.

Value: This will output the covariance matrices (the initial covariance matrix and the covariance matrix if adapted ) used for the MCMC chain.

The MCMC\_Covariance report has no additional subcommands.

### 12.1.18 Report of type MCMC Objective

@report[label].type=MCMC\_Objective. See Section 8.27 for more information.

The MCMC\_Objective report has no additional subcommands.

file\_name      The file name. If not supplied the default filename is used

    Type: string

    Default: objectives

write\_mode      Has a different default to the rest of the reports.

    Type: String

    Default: incremental\_suffix

    Value: valid options are append, overwrite, incremental\_suffix

### 12.1.19 Report of type MCMC Sample

@report[label].type=MCMC\_Sample. See Section 8.26 for more information.

file\_name      The file name. If not supplied the default filename is used

    Type: string

    Default: samples

write\_mode      Has a different default to the rest of the reports.

    Type: String

    Default: incremental\_suffix

    Value: valid options are append, overwrite, incremental\_suffix

The MCMC\_Sample report has no additional subcommands.

### 12.1.20 Report of type MPD

@report[label].type=MPD. See Section 8.13 for more information.

    Value: An MPD report, consisting of the free parameters and the covariance matrix

The MPD report has no additional subcommands.

### 12.1.21 Report of type Objective Function

@report[label].type=Objective\_Function. See Section 8.15 for more information.

The Objective\_Function type has no additional subcommands.

### 12.1.22 Report of type Observation

@report[label].type=Observation. See Section 8.20 for more information.

observation      The observation label

    Type: String

    Default: No default

normalised\_residuals      Print Normalised Residuals?

Type: Boolean

Default: true

Note: Only generated if valid for associated likelihood

pearsons\_residuals      Print Pearsons Residuals?

Type: Boolean

Default: true

Note: Only generated if valid for associated likelihood

### 12.1.23 Report of type Output Parameters

@report[label].type=Output\_Parameters. See Section ?? for more information.

The Output\_Parameters report has no additional subcommands.

### 12.1.24 Report of Parameter transformations

@report[label].type=parameter\_transformation. See Section ?? for more information.

parameter\_transformation      label of parameter transformation block

Type: String

Default: No default

### 12.1.25 Report of type Partition

@report[label].type=Partition. See Section 8.5 for more information.

time\_step      Time Step label

Type: String

Default: No default

years      Years

Type: Vector of non-negative integers

Default: All years

### 12.1.26 Report of type Partition Biomass

@report[label].type=Partition\_Biomass. See Section 8.6 for more information.

time\_step      The time step label

Type: String

Default: No default

years      The years for the report

Type: Vector of non-negative integers

Default: All years

### 12.1.27 Report of type Process

@report[label].type=Process. See Section 8.10 for more information.

`process`      The process label that is reported  
Type: String  
Default: No default  
Value: A valid process label  
Value: If not specified, then the label of the report is assumed to be the process label

### 12.1.28 Report of type Profile

`@report[label].type=Profile`. See Section 6.5 for more information.

### 12.1.29 Report of type Project

`@report[label].type=Project`. See Section 5.14 for more information.

`project`      The project label that is reported  
Type: String  
Default: No default  
Value: If not specified, then the label of the report is assumed to be the projection label

### 12.1.30 Report of type Random Number Seed

`@report[label].type=Random_Number_Seed`. See Section 8.24 for more information.

The `Random_Number_Seed` type has no additional subcommands.

### 12.1.31 Report of type Selectivity

`@report[label].type=Selectivity`. See Section 8.22 for more information.

`selectivity`      Selectivity name  
Type: String  
Default: No default  
Value: If not specified, then the label of the report is assumed to be the selectivity label

### 12.1.32 Report of type Selectivity By Year

`@report[label].type=selectivity_by_year`. See Section 8.23 for more information.

`selectivity`      Selectivity name  
Type: String  
Default: No default  
Value: If not specified, then the label of the report is assumed to be the selectivity label

`years`      years to report the selectivity in  
Type: String  
Default: true  
Value: If not specified will print for all years in of the model

`time_step`      Time step label

---

Type: String

Default: No default

Note: This should not matter because time-varying is an annual construct so time-varied selectivity should not change between time steps. Needed to print the values.

### 12.1.33 Report of type Simulated Observation

`@report[label].type=Simulated_Observation`. See Section 8.21 for more information.

`observation`      The observation label

Type: String

Default: No default

Value: If not specified, then the label of the report is assumed to be the observation label

### 12.1.34 Report of type Time Varying

`@report[label].type=Time_Varying`. See Section 8.28 for more information.

`time_varying`      The time varying label that is reported

Type: String

Default: No default

Value: If not specified, then the label of the report is assumed to be the time varying label

## 13 Including commands from other files

**@include** *file*      Include an external file

*file*      The name of the external input configuration file to include

Type: string

Default: No default

Value: A valid input configuration file

Note: If *file\_name* includes a space character, then it must be enclosed in quotes, for example `@include "my file.cs12"`. Also note that the `@include` does not denote the end of the previous command block as is the case for all other commands

## 14 Validating model values using asserts

Casal2 can validate or check certain addressables parameters as a part of testing and validation with the assert command. Asserts check the value of a specific addressables (for example, and observations, parameters, or the objective function). Asserts are one aspect of the internal tests Casal2 uses to ensure accuracy across versions and revisions (see Section 3.8)

### 14.1 Assert syntax

**@assert** *label*      Define an object of type *Assert*. See Section 3.8 for more information.

*label*      The label for the assert

Type: String

Default: No default

*type*      The type of the assert

Type: String  
Default: No default

#### 14.1.1 Assert of type Addressable

@assert[label].type=Addressable.

parameter    The addressable to check  
Type: String  
Default: No default

years        The years to check addressable  
Type: Vector of non-negative integers  
Default: No default

time\_step    The time step to execute after  
Type: String  
Default: No default

values       The values to check against the addressable  
Type: Vector of non-negative integers  
Default: No default

tolerance    The tolerance of the difference test  
Type: Real number  
Default: 1e-5

error\_type   Report assert failures as either an error or warning  
Type: String  
Value: Either 'warning' or 'error'  
Default: error

#### 14.1.2 Assert of type Objective\_Function

@assert[label].type=Objective\_Function.

value        Expected value of the objective function  
Type: Real number (estimable)  
Default: No default

tolerance    The tolerance of the difference test  
Type: Real number  
Default: 1e-5

error\_type   Report assert failures as either an error or warning  
Type: String  
Value: Either 'warning' or 'error'  
Default: error

### 14.1.3 Assert of type Partition

`@assert[label].type=Partition. category`      Category to check population values for

Type: String

Default: No default

`values`      Values expected in the partition

Type: Vector of real numbers (estimable)

Default: No default

`tolerance`      The tolerance of the difference test

Type: Real number

Default: 1e-5

`error_type`      Report assert failures as either an error or warning

Type: String

Value: Either 'warning' or 'error'

Default: error





---

## 15 Tips for setting up Casal2 model based on an existing CASAL model

Many users of Casal2 may be starting with a functioning CASAL model. This section focuses on transitioning from CASAL to Casal2.

There are a range of reasons why Casal2 will output different values when comparing model output to CASAL models. There are also reasons why values will differ that are not so obvious such as, reasons caused from using different compilers on different machines where over/underflow might occur. It is assumed that the latter reasons should be rare, and the 'overall' behaviour when it comes to estimation will be the same between CASAL and Casal2.

Reasons why there may be different values reported between CASAL and Casal2 include:

- Report rounding. There are settings with respect to output in CASAL that set the number of significant figures for writing to files. So if values look truncated, this might be the reason.
- Priors on parameters that are turned off with `upper_bound = lower_bound`. In both CASAL and Casal2 the estimation of parameters can be turned off by setting the bounds equal. CASAL will evaluate the prior value and add this to the objective function. This contribution is a constant value so it will not affect parameter inference. It may however be confusing when comparing output between the two models.
- Default values. There are a lot of switches in these programs, and options like the `delta` in Casal2 or `r` parameter in CASAL for robustifying likelihoods can cause differences.
- The order of processes. CASAL has a predefined sequence in which it executes processes within a time step (i.e., ageing, recruitment, maturation, migration, growth, natural and fishing mortality, disease mortality, tag release events, tag shedding rate, and semelparous mortality), where as Casal2 is completely user defined.
- Length-based processes or observations. Casal2 has updated the cumulative normal distribution calculation (CASAL used the approximated no closed form solution) with better approximations.
- Compositional observations. CASAL will only normalise (scale by the total) if the sum of proportions for a year are greater than 1.01 or less than 0.99. Casal2 will re normalise the proportions for a year even if they sum to one. If the observations are within those bounds technically CASAL and Casal2 will have slightly different observations and will generate small differences in likelihoods.
- Tag penalties. CASAL applies a penalty to the sum of squares on total tagged fish in a 'tagging episode' from the model compared to observed number of tagged fish. Casal2 applies a penalty on the transition rate by length. If tags are applied in a length bin that does not have individuals, e.g., a model configuration which tags 2 individuals of length *l* when there are no individuals in that length bin will include a penalty.

Many of the flags and options in CASAL and Casal2 are the same or similar. The syntax section of this document (Section 9) provides more details about the Casal2 functionality and behaviour. Check that the programs produce the same results with a **range** of parameter values using the deterministic run command (`casal2 -r`), before doing an estimation run (`casal2 -e`).

The first outputs to check when comparing Casal2 and CASAL versions of the same model are the stock dynamics outputs, ignoring the fits to observations. That is, check the initial age structure, the SSB and YCS values and patterns, R0, B0, etc. If these outputs differ, then the fits to the observations will likely also be different.

There are a few linkages with certain stock dynamics outputs to check to determine if processes

are misspecified. Differences between the proportions in the initial age structure, assuming an equilibrium state, are due to  $M$ , natural mortality. Differences in the initial equilibrium recruitment value,  $R_0$ , are due to growth (`@age_length` or `@length_weight`). Many models estimate  $B_0$  so that  $R_0$  is a back calculation through the growth curve.

If the initial age structure is the same, next check the derived quantities such as the SSB values. Differences in these values are generally caused by how fishing and recruitment processes are specified. Check which YCS values are estimated or standardised, the definition and designation of selectivities, etc.

Once the stock dynamics outputs match, check the results with a few different sets of starting parameter values by using the `-i` command line option. Next, check the fits to the observation data by comparing the expected values. Assuming the observations in both models match, the differences in the objective function value come from the expected values and the likelihood configurations. This is where subcommands such as the robustification values and the default values may differ between CASAL and Casal2.

Once the stock dynamics outputs and the fits to the observation data are the same, do an estimation run (`casal2 -e`). If CASAL and Casal2 do not optimise to the same parameter values, then use the parameter values from CASAL and do a deterministic run with Casal2 using the CASAL estimated parameter values (`casal2 -r -i CASAL_mpd_pars.txt`). Then check the stock dynamics outputs and the fits to the observation data and determine where the differences in the parameter estimates and outputs are.

The next question is, how close do the parameter estimates, expected values, and objective function values have to be to say that the models are equivalent? This is an ongoing topic of discussion. Previously, subjective qualitative measures have been used to decide whether the models are equivalent. A recorded comparison for the hake stock assessment can be found at Appendix B in Horn (2017).

---

## 16 Syntax conventions and examples

### 16.1 Input File Specification

The file format used for Casal2 is based on the command block formats used in CASAL and SPM. It is a text file that contains definitions organised into blocks.

Every object specified in a configuration file is part of a block. At the top level blocks have a one-to-one relationships with components in the system.

Example:

```
@block1 label
parameter value
parameter value_1 value 2

@block2 label
parameter value
table table_name
column_1 column_2
data_1 data_2
data_3 data_4
end_table
```

Some general notes about configuration files:

- White space can be used freely. Tabs and spaces are both valid.
- A block ends only at the beginning of a new block or at the end of the final configuration file.
- Configuration files can include other configuration files.
- Included files are placed in-line, so a block can be continued in a new file.
- The configuration files support in-line declarations of objects.

### 16.2 Keywords And Reserved Characters

In order to allow efficient creation of input files, the Casal2 file format has special keywords and characters that cannot be used for labels.

Labels cannot start with a double underscore — labels with a double underscore are reserved, and are used by Casal2 for automatic reports and other internal constructs.

**Block Definitions** Each block in the configuration file must start with the block definition character, which is the "@" character.

Example:

```
@block1 <label>
type <type>

@block2 <label>
type <type>
```

**The 'type' Keyword** The 'type' keyword is used for declaring the sub-type of a defined block. Any block object that has multiple sub-types will use the `type` keyword.

Example:

```
@block1 <label>
type <sub_type>
```

```
@block2 <label>
type <sub_type>
```

**# (Single Line Comments)** Comments are supported in the configuration file on one line (to the end of that line) or over multiple lines. Comments on single lines start with the “#” character.

Example:

```
@block <label>
type <sub_type> # Descriptive comment
# parameter <value_1> *** This whole line is commented out
parameter <value_1> # <value_2> *** value_2 is commented out
```

**/\* \*/ (Multiple Line Comments)** Multiple line comments are supported by surrounding the comments in /\* and \*/

Example:

```
@block <label>
type <sub_type>
parameter <value_1>
parameter <value_1> <value_2>

/*
Do not load this process
@block <label>
type <sub_type>
parameter <value_1>
parameter <value_1> <value_2>
*/
```

**{ } (Indexing Parameters)** Individual elements of a vector can be referenced using the { } syntax. For example, when estimating ycs\_values a range or block of YCS values can be referenced.

Example:

```
@estimate YCS
parameter process[Recruitment].ycs_values{1975:2012}
type uniform
lower_bound
upper_bound
```

**':' (Range Specifier)** The range specifier “:” allows specifying a range of values instead of specifying each value explicitly. Ranges can be either incremental or decremental.

Example:

```
@process my_recruitment_process
type constant_recruitment
# With the range specifier
years_to_run 1999:2009
```

```
@process my_mortality_process
type natural_mortality
# Without the range specifier
years_to_run 2000 2001 2002 2003 2004 2005 2006 2007
```

**',' (List Specifier)** When a parameter supports multiple values in a single entry, the list specifier **','** can be used to define multiple values as a single parameter.

Example:

```
@categories
format sex.stage
# With the list specifier
names male,female.immature,mature

@categories
format sex.stage
# Without the list specifier
names male.immature male.mature female.immature female.mature
```

**'table' and 'end\_table' Keyword** The table keyword **table** is used to define a block of values used as parameters (e.g., catch data, observations data, etc.). In many cases an appropriate table label will need to be supplied (i.e., **'obs'**, **'error\_value'**, or simply **'table'**, depending on where used). The first line following the **table** declaration must either (1) contain a list of columns to be used, or (2) in the case of observations the data in the specified format. The subsequent lines are rows of the table. Each row must have the same number of values as the number of columns specified. The table definition must end with the **"end\_table"** keyword on its own line.

Example:

```
@block <label>
type <sub_type>
parameter <value_1>
table <table_label>
<column_label_1> <column_label_2> ... <column_label_N>
<row1_value_1> <row1_value_2> ... <row1_value_N>
<row2_value_1> <row2_value_2> ... <row2_value_N>
end_table
```

**[] (in-line Declarations)** When an object takes the label of a target object as a parameter, the label can be replaced with an in-line declaration. An in-line declaration **"[ ]"** is a complete declaration of an object on one line. This feature is designed to allow simplifying the configuration definition.

Example:

```
@model
# With in-line declaration with label specified for time step
time_steps step_one=[type=iterative; processes=recruitment ageing]

@model
# With in-line declaration with default label (model.1)
time_steps [type=iterative; processes=recruitment ageing]
```

```
# Without in-line declaration
@model
time_steps step_one

@time_step step_one
processes recruitment ageing
```

**Categories** The Casal2 population representation is essentially a 2-dimensional structure. The partition is:

### Categories x Ages or Lengths

Each category allows for a different range of ages or lengths and accessibility during different time periods.

Because each category can be quite complicated, the syntax for defining categories has been structured to allow for complex definitions using a simple shorthand structure.

The "format" parameter allows for defining the structure of the category labels. Using a "." (period) character between each segment allows for shorthand lookups of categories.

The "names" parameter is a list of the category names. The syntax of these names is required to match the "format" parameter so Casal2 can organise and search on them. Using the "list specifier" and range characters this parameter can be shortened.

Example:

```
@categories
format sex.stage.tag
names male.immature.notag male.immature.2001 male.mature.notag male.mature.2001

names male.immature # Invalid: No tag information
names female # Invalid: no stage of tag information
names female.immature.notag.1 # Invalid: Additional format segment not defined

names male,female.immature,mature.notag,2001:2005 # Valid
# Without the shorthand syntax these categories would be written:
names male.immature.notag male.immature.2001 male.immature.2002
male.immature.2003 male.immature.2004 male.immature.2005 male.mature.notag
male.mature.2001 male.mature.2002 male.mature.2003 male.mature.2004
male.mature.2005 female.immature.notag female.immature.2001
female.immature.2002 female.immature.2003 female.immature.2004
female.immature.2005 female.mature.notag female.mature.2001
female.mature.2002 female.mature.2003 female.mature.2004 female.mature.2005
```

## 16.3 Examples of shorthand syntax and use of reserved and key characters

**Categories** Casal2 allows for many user-defined categories so shorthand syntax has been added to aid in the definition of complex configuration labelling and partition structures. For example, when defining categories a comma ",", " " can be used to shorten lists of categories.

This syntax is the long way:

```
@categories
format sex.stage
names male.immature male.mature female.immature female.mature
```

For the exact same partition structure specified in a shorter way:

```
@categories
format sex.stage
names male,female.immature,mature
```

Casal2 requires categories in processes and observations so that the correct model dynamics can be applied to the correct elements of the partition.

An example of a process where categories are required as an input command is for ageing

```
# 1. The standard way
@ageing my_ageing
categories male.immature male.mature female.immature female.mature

# 2. The first shorthand way
@ageing my_ageing
categories male,female.immature,mature

# 3. Wild Card (all categories)
@ageing my_ageing
categories *

# 4. The second shorthand way
@ageing my_ageing
categories sex=male sex=female
```

To combine/aggregate categories together, use the "+" special character. For example, this feature can be used to specify that the total biomass of the population is made up of both males and females.

For example,

```
@observation CPUE
type biomass
catchability Fishq
time_step one
categories male+female
selectivities FishSel
likelihood lognormal
time_step_proportion 1.0
years 1992:2001
table obs
1992    1.50    0.35
1993    1.10    0.35
1994    0.93    0.35
1995    1.33    0.35
1996    1.53    0.35
1997    0.90    0.35
1998    0.68    0.35
1999    0.75    0.35
2000    0.57    0.35
2001    1.23    0.35
end_table
```

This combination/aggregation functionality can be used to compare an observation to the total combined population:

```

@observation CPUE
type biomass
catchability Fishq
time_step one
categories *+
selectivities FishSel
likelihood lognormal
time_step_proportion 1.0
years 1992:2001
table obs
1992    1.50    0.35
1993    1.10    0.35
1994    0.93    0.35
1995    1.33    0.35
1996    1.53    0.35
1997    0.90    0.35
1998    0.68    0.35
1999    0.75    0.35
2000    0.57    0.35
2001    1.23    0.35
end_table

```

If `male` and `female` are the only categories in a population, then this is the same syntax as the command block above it.

Shorthand syntax can be useful when applying processes to a select group of categories from the partition.

For example, to apply a spawning migration to the mature categories in the partition and the partition was defined:

```

@categories
format area.maturity.tag
names north.immature.notag,2011 north.mature.notag,2011 south.immature.notag,2011
south.mature.notag,2011

```

Then, to migrate a portion of the mature population from the southern area to the northern area:

```

@process spawn_migration
type transition_category
from format=south.mature.*
to format=north.mature.*
proportions 1.0
selectivities One

```

**Parameters** Casal2 also allows parameters that are of type vector or map to be referenced and estimated fully or partially. An example of a parameter that is type vector is `yces_values` in a recruitment process.

For example, a recruitment block:

```

@process WestRecruitment
type recruitment_beverton_holt
r0 400000
years

```



```
yces_values 1 1 1 1 1 1 1 1
yses_years 1975:1983
# An alternative method to specify a sequence of values
# use an asterix to represent a vector of repeating integers
yses_values 1*8
steepness 0.9
age 1
```

To estimate the last four years of the parameter `process[WestRecruitment].yses_values` only can be specified as

```
@estimate
parameter process[WestRecruitment].yses_values{1980:1983}
type uniform
lower_bound 0.1 0.1 0.1 0.1
upper_bound 10 10 10 10
```

Note that the first element of a vector is indexed by 1. This syntax can be applied to parameters that are of type map as well. For information on what type a parameter is see the syntax section.

An example of a parameter that is of type map is `@time_varying[label].type=constant`.

For a `@time_varying` block

```
@time_varying q_step1
type constant
parameter catchability[Fishq].q
years 1992 1993 1994 1995
value 0.2 0.2 0.2 0.2
```

For example, to estimate only one element of the map (say 1992), and force all other years to be the same as the one estimate, can be done in the `@estimate` block using `same`:

```
@estimate
parameter time_varying[q_step1].value{1992}
same time_varying[q_step1].value{1993:1995}
type uniform
lower_bound 0.1 0.1 0.1 0.1
upper_bound 10 10 10 10
```

**In-line declaration** In-line declarations can help shorten models by passing `@` blocks (see Section 4.3).

For example,

```
@observation chatCPUE
type biomass
catchability [q=6.52606e-005]
time_step one
categories male+female
selectivities chatFselMale chatFselFemale
likelihood lognormal
time_step_proportion 1.0
years 1992:2001
```

```

table obs
1992    1.50    0.35
1993    1.10    0.35
1994    0.93    0.35
1995    1.33    0.35
1996    1.53    0.35
1997    0.90    0.35
1998    0.68    0.35
1999    0.75    0.35
2000    0.57    0.35
2001    1.23    0.35
end_table

@estimate
parameter catchability[chatTANbiomass.one].q
type uniform_log
lower_bound 1e-2
upper_bound 1

```

In the above code catchability is defined and estimated without explicitly creating a `@catchability` block.

When an in-line declaration is made, the new object will be created with the name of the creator's `label.index`, where `index` is the word "one" through "nine" if it is 1 through 9, and the number if it is 10+.

For example,

```

@mortality halfm
selectivities [type=constant; c=1]

would create
@selectivity halfm.one

```

If there are 10 categories, each with its own selectivity, the 10<sup>th</sup> selectivity is labelled

```
@selectivity halfm.10
```

## 16.4 Processes

Processes are special in how they can be defined. Typically, specifying a process is

```

@process Recruitment
type recruitment_beverton_holt

```

However, for convenience and clarity, this block can also be specified as

```

@recruitment Recruitment
type beverton_holt

```

The difference is that the keyword `process` can be replaced with the first word of the process type. In the example above this is the `recruitment` process. This option can be used to create more succinct model configurations.

More examples:

```
@mortality Fishing_and_M
type instantaneous
```

```
@transition Migration
type category
```

## 16.5 An example of a simple model

This example describes a single species and area model, with recruitment, maturation, natural and fishing mortality, and an annual age increment. The population structure has ages 1 – 30<sup>+</sup> with a single category.

The default Casal2 configuration filename is `config.csl2`. In this example, `config.csl2` specifies the files to include to run the Casal2 model from the current directory using the `!include` command.

```
## Include the input configuration files required
#####

# Example input configuration file:
```

It is recommended to separate the sections of a Casal2 model for enhancing readability and error checking, and including the files in a version control system.

The file `population.csl2` contains the population information. The model years are from 1975 through 2012, with 3 time steps. The model is initialised over a 120 year period prior to 1975 and applies the following processes

- A Beverton-Holt recruitment process, recruiting a constant number of individuals to the first age class (i.e.,  $age = 1$ ).
- A constant mortality process representing natural mortality( $M$ ). This process is repeated in all 3 time steps, so that a proportion of  $M$  is applied in each time step.
- An ageing process, where all individuals are aged by one year, and with a plus group accumulator age class at  $age = 30$ .

Following initialisation, the model runs from the years 1975 to 2012 iterating through 3 time steps.

The first time step applies processes of recruitment, and  $\frac{1}{2}M_1 + F + \frac{1}{2}M_1$  processes, where  $M_1$  is the proportion of  $M$  applied in the first time step. The exploitation process (fishing) is applied in the years 1975 - 2012. Catches are defined in the catches table and attributes for each fishery, such as selectivity and time step they are implemented, are in the fisheries table in the `@process` block.

The second time step applies an age increment and the remaining natural mortality.

The third time step applies .

The first 28 lines of the main section of the `population.csl2`:

```
#####
# The Population definition for the model
#####

# The model definition. (This must be the first @command in the config files)
@model
start_year 1975
final_year 2012
projection_final_year 2025
min_age 1
```

```
max_age 30
age_plus true
base_weight_units tonnes
initialisation_phases Equilibrium_state
time_steps Sep_Feb Mar_May Jun_Aug

# Categories
@categories
format stock ## Single sex and area population
names HAK4
age_lengths age_size

@initialisation_phase Equilibrium_state
type derived

# Define the processes in the Annual Cycle
@time_step Sep_Feb
processes Recruitment Instantaneous_Mortality
```

To run the model to verify that the model runs without any syntax errors, use the command `casal2 -r`. Since Casal2 reads in the default filename `config.csl2`, this filename can be overridden. For example, if the model is in file `Mymodel.txt`, then this filename would be specified using the `-c` option, `casal2 -r -c Mymodel.txt`.

To estimate the parameters defined in the file `estimation.csl2` (the catchability constant  $q$ , recruitment  $R_0$ , and the selectivity parameters  $a_{50}$  and  $a_{t095}$ ), use `casal2 -e`. The output has been redirected to file `estimate.log` using the command `casal2 -e > estimate.log`. Reports for the user-defined reports `reports.csl2` from the final iteration of the estimation are output to the file `estimate.log`, and successful convergence is printed to the screen

```
Total elapsed time: 1 second
Completed
```

The main output from the estimation run is summarised in the file `estimate.log`, and the final MPD parameter values can also be redirected as a separate report, in this case named `paramaters.out`, using the command `casal2 -e -o paramaters.out > estimate.log`.

A profile on the  $R_0$  parameter can be run, using `casal2 -p > profile.log`. See the examples folder for the example of the output.

---

## 17 Post-processing output using R

**R** (<https://www.r-project.org/>) is the main application used to process and visualise output from a Casal2 model. **R** is free and can be downloaded from <https://cran.r-project.org/>. Once you have installed **R** you can install the `casal2` **R** package from the file (`Casal2-1.0.tar.gz`) which is part of the Casal2 download.

Casal2 has two **R** packages, a base library which is bundled with Casal2 application and a post processing package `r4Casal2` for plotting and model comparisons [https://github.com/NIWAFisheriesModelling/Casal2\\_contrib](https://github.com/NIWAFisheriesModelling/Casal2_contrib). The base **R** package is made to read and write output from Casal2 where as the post-processing package is more generalisable.

There are three types of output that Casal2 can produce, depending on the type of analysis run. These outputs are: Standard, MCMC, and Derived Quantity.

The Standard outputs are the reports that are produced in most Casal2 run modes, with the exception of `-s` and `-m`. The Standard output can be split into two additional categories, a single parameter run (`casal2 -r`) or a multi-parameter run (`casal2 -r -i many_pars.out`), or running in projection mode (`-f 1`). The Standard outputs can be read into **R** using the `extract.mpd()` function.

The second type of output is generated when doing an MCMC analysis (`casal2 -m`), which can generate two files, `mcmc_objective.out` and `mcmc_samples.out`. The MCMC outputs can be used to summarise convergence properties or chain behaviour, and can also be used to view marginal posteriors and quantify parameter uncertainty.

The third output type is the Derived Quantity outputs, also referred to as tabular output. The Derived Quantity output can be generated after an MCMC analysis is done, to produce the marginal posteriors for derived quantities. A commonly reported derived quantity in fisheries stock assessment modelling is the time series of spawning stock biomass. To get the posterior distributions for these derived quantities use the `--tabular` flag (e.g., `casal2 -r -i mcmc_samples.out --tabular > Tabular_report.out`). This output can then be read into **R** using the `extract.tabular()` function.

Casal2's reported output is written so that each `@report` will start with a `'*'` and end with `'*end'`. This format can be used as the basis to construct functions that read Casal2 output to identify and read individual reports for post-processing.

The Casal2 **R** `extract()` functions differ by how the expected output is structured and they each create a different `casal2` object. The `summary()` and `plot()` functions will generate different plots for the different `casal2` objects. Objects produced by the `extract()` function can be queried with `class(object)`.

The list of `casal2` **R** functions include:

- `extract.mpd()`, which parses the Casal2 default output into a list
- `extract.mcmc()`, which parses the Casal2 MCMC output into a list
- `extract.tabular()`, which parses the Casal2 tabular output into a list
- `extract.parameters()`, which parses the Casal2 parameter files into a list
- `generate.starting.pars()`, which reads in a file that contains the `@estimate` blocks and generates 'N' starting values to test convergence
- `burn.in.tabular()`, which omits the first 'N' rows from a `casal2TAB` object
- `extract.csl2.file()`, which reads a Casal2 `.csl2` (configuration) file into a list
- `write.csl2.file()`, which writes a Casal2 `.csl2` (configuration) file to a file

- `ReadSimulatedData()`, which parses Casal2 output from a `casal2 -s` run
- `Method.TA1.8()`, which returns a weighting factor for age or length composition data. See Francis (2011) for more detail
- `apply.dataweighting.to.csl2()`, which parses a Casal2 `.csl2` (configuration) file that contains `@observation` blocks, applies a weighting factor to an age or length composition data set, and generates a new `.csl2` file with modified effective sample size values

The required and optional arguments for these functions can be queried after loading the Casal2 R library with `library(Casal2)` and using the standard R help syntax `?` (e.g., `?param.profile()`). Many of the help files have example code and data to demonstrate function syntax.

**Data weighting** An important component of fisheries stock assessment modelling is addressing data conflicts through the use of data weighting. There are a range of methods that can be used (Francis (2011)). The Casal2 R function is `Method.TA1.8()`. An additional function `apply.dataweighting.to.csl2()` automatically applies a weighting factor to a specific age or length composition data in an `@observation` block, and generates a new `.csl2` file with modified effective sample size values.

```
library(casal2)

## read in the reported output from a "casal2 -e" run
## ensure there is a @report block for the observation of interest.
mpd <- extract.mpd(file = "estimate.log")

## calculate weighting factor from Francis method
WeightingFactor <- Method.TA1.8(model = mpd, observation_labels = "chatTANage")

## Apply the weighting factor to the block in the Observation.csl2 file
## this call generates a new file (Observation.csl2.0) with the re-weighted effective sample
  sizes
apply.dataweighting.to.csl2(weighting_factor = WeightingFactor,
                             Observation_csl2_file = "Observations.csl2",
                             Observation_label = "chatTANage",
                             Observation_out_filename = "Observation.csl2.0")
```

**Automating the data weighting process:**

```
library(Casal2)

mpd <- extract.mpd(file = "estimate.log")

ModelFactor <- Method.TA1.8(mpd, observation_labels = c("ObserverProportionsAtAge"))

## make a back-up copy of the file Observation.csl2 before running this section

while(abs(ModelFactor - 1) > 0.01) {
  shell("betadiff & casal2 -e > estimate.log 2> log.out")

  new_mpd <- extract.mpd(file = "estimate.log")

  ModelFactor <- Method.TA1.8(new_mpd, observation_labels = c("ObserverProportionsAtAge"))

  apply.dataweighting.to.csl2(weighting_factor = ModelFactor,
                              Observation_csl2_file = "Observation.csl2",
                              Observation_out_filename = "Observation.csl2",
                              Observation_label = c("ObserverProportionsAtAge"))

  print(ModelFactor)
}
```

---

**Troubleshooting the `casa12` R package** If you get this error when using one of the `extract()` functions

```
Read 1 item
Warning messages:
1: In scan(filename, what = "", sep = "\n", fileEncoding = fileEncoding) :
  embedded nul(s) found in input
2: In extract.mpd(file = "results.txt", fileEncoding = "") :
  File is empty, no reports found
```

You may be able to resolve this issue by using an alternative UTF format by specifying this format with the `fileEncoding` parameter

```
MyOutput <- extract.mpd(file = "Estimate.log", path = getwd(), fileEncoding = "UTF-16LE")
```





---

## 18 Troubleshooting

Casal2 can implement complex models that provide many opportunities for error — either because the parameter files do not correctly specify the model, or because the model specified does not appear to work as expected. When in doubt, ask an experienced user. Debugging versions of Casal2 are available that can help to track down cryptic errors.

If you cannot resolve an issue using these guidelines then please contact the development team. To report an issue please follow the guidelines described in Section 18.2.1.

For most issues, Casal2 attempts to produce informative error messages. There are optional command line arguments that will give more verbose reporting, and should enable additional information to help resolve a problem. However, when Casal2 generates an error and the error message does not make sense, please let the Development Team know. Even if you manage to fix the problem yourself, we may be able to implement a more helpful error message or modify the user manual, and make life easier for the next person to encounter the problem. You can do this by submitting an issue in the GitHub repository at <https://github.com/NIWAFisheriesModelling/CASAL2/issues>.

### 18.1 Logging

Casal2's internal logging system can be invoked at the command line with argument `--loglevel` followed by one of the options: `trace`, `finest`, `fine`, `medium`.

The optimal level of logging will depend on what run mode you are using and the granularity of information that you would like to see. The ordering for the options is that `medium` is the most coarse, and `trace` being the finest level, with `fine` and `finest` in-between. We suggest that if you are running Casal2 in an iterative state such as for estimation (`casal2 -e`) or MCMC you use `medium` level. This is because the logging can print a lot of information for a single model run, so an estimation which could comprise thousands of model runs can produce very large text files with the finer logging option specified. For a single iteration run such as `casal2 -r` each of the logging options can be useful during different phases of model development.

For example, to enable logging with `trace` level output:

- On Windows: `casal2 -r --loglevel trace > run.log 2> run.err`
- On Linux: `casal2 -r --loglevel trace > run.log 2&> run.err`

This argument will output Casal2's reports to the file "run.log", and the "2>" or "2&>" syntax will print the error logged information to the file "run.err". You should be able to see where Casal2 failed, and is exited by going to the end of the "run.err" file and looking at the last few messages.

### 18.2 Reporting errors

If you find a bug or error in Casal2, please submit an issue in the GitHub repository at <https://github.com/NIWAFisheriesModelling/CASAL2/issues>.

Please follow the guidelines below so that the bug or error can be reproduced. It is helpful to be as detailed and specific as possible when describing the observed behaviour as well as the expected behaviour. If possible, try to reduce the input configuration file to demonstrate the error with a reduced set of commands and model structure, and aim to have as little else going on in the model as possible. This will make it faster to isolate the problem and provide a solution or fix.

### 18.2.1 Guidelines for reporting an error with Casal2

1. Ensure you are using the most recent version of Casal2, as the bug or error you are having may have already been resolved.
2. Provide the version of Casal2 you are using, e.g., "Casal2 v22.09 (2022-09-09)". The version is output by Casal2 with the command `casal2 -v`.
3. Provide the system you are using, e.g., "x64 Intel CPU with Microsoft Windows 10".
4. Provide a brief description of the problem, e.g., "a segmentation fault was produced".
5. If the problem is reproducible, please describe in detail the steps required to cause it, and include the Casal2 configuration files, other input files, and any output files generated. Specify the *exact* command line arguments that were used, e.g., "Using the command `casal2 -e` produced a segmentation fault. The input configuration files are attached."
6. If the problem is not reproducible (it happened only once, or occasionally for no apparent reason), please describe in detail the circumstances in which it occurred and the behaviour observed, e.g., "Casal2 crashed, but I have not been able to reproduce the issue. It seemed to be related to a local network crash but I cannot be sure."
7. If the problem produced any error messages, please give the *exact* text displayed, e.g., "segmentation fault (core dumped)".
8. Attach all relevant input and output files so that the problem can be reproduced; these files can be compressed into a single file e.g., a zip file, and uploaded to GitHub.

---

## 19 Casal2 software license

### GNU GENERAL PUBLIC LICENSE

Copyright © 1989, 1991 Free Software Foundation, Inc.

51 Franklin Street, Fifth Floor, Boston, MA 02110-1301, USA

Everyone is permitted to copy and distribute verbatim copies of this license document, but changing it is not allowed.

#### **Preamble**

The licenses for most software are designed to take away your freedom to share and change it. By contrast, the GNU General Public License is intended to guarantee your freedom to share and change free software—to make sure the software is free for all its users. This General Public License applies to most of the Free Software Foundation’s software and to any other program whose authors commit to using it. (Some other Free Software Foundation software is covered by the GNU Library General Public License instead.) You can apply it to your programs, too.

When we speak of free software, we are referring to freedom, not price. Our General Public Licenses are designed to make sure that you have the freedom to distribute copies of free software (and charge for this service if you wish), that you receive source code or can get it if you want it, that you can change the software or use pieces of it in new free programs; and that you know you can do these things.

To protect your rights, we need to make restrictions that forbid anyone to deny you these rights or to ask you to surrender the rights. These restrictions translate to certain responsibilities for you if you distribute copies of the software, or if you modify it.

For example, if you distribute copies of such a program, whether gratis or for a fee, you must give the recipients all the rights that you have. You must make sure that they, too, receive or can get the source code. And you must show them these terms so they know their rights.

We protect your rights with two steps: (1) copyright the software, and (2) offer you this license which gives you legal permission to copy, distribute and/or modify the software.

Also, for each author’s protection and ours, we want to make certain that everyone understands that there is no warranty for this free software. If the software is modified by someone else and passed on, we want its recipients to know that what they have is not the original, so that any problems introduced by others will not reflect on the original authors’ reputations.

Finally, any free program is threatened constantly by software patents. We wish to avoid the danger that redistributors of a free program will individually obtain patent licenses, in effect making the program proprietary. To prevent this, we have made it clear that any patent must be licensed for everyone’s free use or not licensed at all.

The precise terms and conditions for copying, distribution and modification follow.

#### **TERMS AND CONDITIONS FOR COPYING, DISTRIBUTION AND MODIFICATION**

0. This License applies to any program or other work which contains a notice placed by the copyright holder saying it may be distributed under the terms of this General Public License.

The “Program”, below, refers to any such program or work, and a “work based on the Program” means either the Program or any derivative work under copyright law: that is to say, a work containing the Program or a portion of it, either verbatim or with modifications and/or translated into another language. (Hereinafter, translation is included without limitation in the term “modification”.) Each licensee is addressed as “you”.

Activities other than copying, distribution and modification are not covered by this License; they are outside its scope. The act of running the Program is not restricted, and the output from the Program is covered only if its contents constitute a work based on the Program (independent of having been made by running the Program). Whether that is true depends on what the Program does.

1. You may copy and distribute verbatim copies of the Program’s source code as you receive it, in any medium, provided that you conspicuously and appropriately publish on each copy an appropriate copyright notice and disclaimer of warranty; keep intact all the notices that refer to this License and to the absence of any warranty; and give any other recipients of the Program a copy of this License along with the Program.

You may charge a fee for the physical act of transferring a copy, and you may at your option offer warranty protection in exchange for a fee.

2. You may modify your copy or copies of the Program or any portion of it, thus forming a work based on the Program, and copy and distribute such modifications or work under the terms of Section 1 above, provided that you also meet all of these conditions:
  - a You must cause the modified files to carry prominent notices stating that you changed the files and the date of any change.
  - b You must cause any work that you distribute or publish, that in whole or in part contains or is derived from the Program or any part thereof, to be licensed as a whole at no charge to all third parties under the terms of this License.
  - c If the modified program normally reads commands interactively when run, you must cause it, when started running for such interactive use in the most ordinary way, to print or display an announcement including an appropriate copyright notice and a notice that there is no warranty (or else, saying that you provide a warranty) and that users may redistribute the program under these conditions, and telling the user how to view a copy of this License. (Exception: if the Program itself is interactive but does not normally print such an announcement, your work based on the Program is not required to print an announcement.)

These requirements apply to the modified work as a whole. If identifiable sections of that work are not derived from the Program, and can be reasonably considered independent and separate works in themselves, then this License, and its terms, do not apply to those sections when you distribute them as separate works. But when you distribute the same sections as part of a whole which is a work based on the Program, the distribution of the whole must be on the terms of this License, whose permissions for other licensees extend to the entire whole, and thus to each and every part regardless of who wrote it.

Thus, it is not the intent of this section to claim rights or contest your rights to work written entirely by you; rather, the intent is to exercise the right to control the distribution of derivative or collective works based on the Program.

In addition, mere aggregation of another work not based on the Program with the Program (or with a work based on the Program) on a volume of a storage or distribution medium does not bring the other work under the scope of this License.

- 
3. You may copy and distribute the Program (or a work based on it, under Section 2) in object code or executable form under the terms of Sections 1 and 2 above provided that you also do one of the following:

- a Accompany it with the complete corresponding machine-readable source code, which must be distributed under the terms of Sections 1 and 2 above on a medium customarily used for software interchange; or,
- b Accompany it with a written offer, valid for at least three years, to give any third party, for a charge no more than your cost of physically performing source distribution, a complete machine-readable copy of the corresponding source code, to be distributed under the terms of Sections 1 and 2 above on a medium customarily used for software interchange; or,
- c Accompany it with the information you received as to the offer to distribute corresponding source code. (This alternative is allowed only for noncommercial distribution and only if you received the program in object code or executable form with such an offer, in accord with Subsection b above.)

The source code for a work means the preferred form of the work for making modifications to it. For an executable work, complete source code means all the source code for all modules it contains, plus any associated interface definition files, plus the scripts used to control compilation and installation of the executable. However, as a special exception, the source code distributed need not include anything that is normally distributed (in either source or binary form) with the major components (compiler, kernel, and so on) of the operating system on which the executable runs, unless that component itself accompanies the executable.

If distribution of executable or object code is made by offering access to copy from a designated place, then offering equivalent access to copy the source code from the same place counts as distribution of the source code, even though third parties are not compelled to copy the source along with the object code.

4. You may not copy, modify, sublicense, or distribute the Program except as expressly provided under this License. Any attempt otherwise to copy, modify, sublicense or distribute the Program is void, and will automatically terminate your rights under this License. However, parties who have received copies, or rights, from you under this License will not have their licenses terminated so long as such parties remain in full compliance.
5. You are not required to accept this License, since you have not signed it. However, nothing else grants you permission to modify or distribute the Program or its derivative works. These actions are prohibited by law if you do not accept this License. Therefore, by modifying or distributing the Program (or any work based on the Program), you indicate your acceptance of this License to do so, and all its terms and conditions for copying, distributing or modifying the Program or works based on it.
6. Each time you redistribute the Program (or any work based on the Program), the recipient automatically receives a license from the original licensor to copy, distribute or modify the Program subject to these terms and conditions. You may not impose any further restrictions on the recipients' exercise of the rights granted herein. You are not responsible for enforcing compliance by third parties to this License.
7. If, as a consequence of a court judgment or allegation of patent infringement or for any other reason (not limited to patent issues), conditions are imposed on you (whether by court order, agreement or otherwise) that contradict the conditions of this License, they do not excuse you from the conditions of this License. If you cannot distribute so as to satisfy simultaneously your obligations under this License and any other pertinent obligations, then as a consequence

you may not distribute the Program at all. For example, if a patent license would not permit royalty-free redistribution of the Program by all those who receive copies directly or indirectly through you, then the only way you could satisfy both it and this License would be to refrain entirely from distribution of the Program.

If any portion of this section is held invalid or unenforceable under any particular circumstance, the balance of the section is intended to apply and the section as a whole is intended to apply in other circumstances.

It is not the purpose of this section to induce you to infringe any patents or other property right claims or to contest validity of any such claims; this section has the sole purpose of protecting the integrity of the free software distribution system, which is implemented by public license practices. Many people have made generous contributions to the wide range of software distributed through that system in reliance on consistent application of that system; it is up to the author/donor to decide if he or she is willing to distribute software through any other system and a licensee cannot impose that choice.

This section is intended to make thoroughly clear what is believed to be a consequence of the rest of this License.

8. If the distribution and/or use of the Program is restricted in certain countries either by patents or by copyrighted interfaces, the original copyright holder who places the Program under this License may add an explicit geographical distribution limitation excluding those countries, so that distribution is permitted only in or among countries not thus excluded. In such case, this License incorporates the limitation as if written in the body of this License.
9. The Free Software Foundation may publish revised and/or new versions of the General Public License from time to time. Such new versions will be similar in spirit to the present version, but may differ in detail to address new problems or concerns.

Each version is given a distinguishing version number. If the Program specifies a version number of this License which applies to it and “any later version”, you have the option of following the terms and conditions either of that version or of any later version published by the Free Software Foundation. If the Program does not specify a version number of this License, you may choose any version ever published by the Free Software Foundation.

10. If you wish to incorporate parts of the Program into other free programs whose distribution conditions are different, write to the author to ask for permission. For software which is copyrighted by the Free Software Foundation, write to the Free Software Foundation; we sometimes make exceptions for this. Our decision will be guided by the two goals of preserving the free status of all derivatives of our free software and of promoting the sharing and reuse of software generally.

## NO WARRANTY

11. BECAUSE THE PROGRAM IS LICENSED FREE OF CHARGE, THERE IS NO WARRANTY FOR THE PROGRAM, TO THE EXTENT PERMITTED BY APPLICABLE LAW. EXCEPT WHEN OTHERWISE STATED IN WRITING THE COPYRIGHT HOLDERS AND/OR OTHER PARTIES PROVIDE THE PROGRAM “AS IS” WITHOUT WARRANTY OF ANY KIND, EITHER EXPRESSED OR IMPLIED, INCLUDING, BUT NOT LIMITED TO, THE IMPLIED WARRANTIES OF MERCHANTABILITY AND FITNESS FOR A PARTICULAR PURPOSE. THE ENTIRE RISK AS TO THE QUALITY AND PERFORMANCE OF THE PROGRAM IS WITH YOU. SHOULD THE PROGRAM PROVE DEFECTIVE, YOU ASSUME THE COST OF ALL NECESSARY SERVICING, REPAIR OR CORRECTION.

- 
12. IN NO EVENT UNLESS REQUIRED BY APPLICABLE LAW OR AGREED TO IN WRITING WILL ANY COPYRIGHT HOLDER, OR ANY OTHER PARTY WHO MAY MODIFY AND/OR REDISTRIBUTE THE PROGRAM AS PERMITTED ABOVE, BE LIABLE TO YOU FOR DAMAGES, INCLUDING ANY GENERAL, SPECIAL, INCIDENTAL OR CONSEQUENTIAL DAMAGES ARISING OUT OF THE USE OR INABILITY TO USE THE PROGRAM (INCLUDING BUT NOT LIMITED TO LOSS OF DATA OR DATA BEING RENDERED INACCURATE OR LOSSES SUSTAINED BY YOU OR THIRD PARTIES OR A FAILURE OF THE PROGRAM TO OPERATE WITH ANY OTHER PROGRAMS), EVEN IF SUCH HOLDER OR OTHER PARTY HAS BEEN ADVISED OF THE POSSIBILITY OF SUCH DAMAGES.





---

## 20 Acknowledgements

We thank the developers of CASAL (Bull et al., 2012) for their ideas that led to the development of Casal2. The Casal2 logo was designed by Ian Doonan and Erika Mackay (NIWA).

Much of the structure of Casal2, equations, and documentation in this manual draw heavily on similar components of the fisheries population modelling application CASAL (Bull et al., 2012) and the spatial population model SPM (Dunn et al., 2021). We thank the authors of CASAL and SPM for their permission to use their work as the basis for parts of Casal2 and allow the use of the definitions, concepts, and documentation.

The development of Casal2 was funded by the New Zealand Ministry for Primary Industries and the National Institute of Water & Atmospheric Research Ltd. (NIWA).



---

## 21 References

- R J H Beverton and S J Holt. *On the dynamics of exploited fish populations*. Fishery investigations. HMSO, London, 1957.
- B Bull, R I C C Francis, A. Dunn, A McKenzie, D J Gilbert, M H Smith, R Bian, and D Fu. CASAL C++ Algorithmic Stock Assessment Laboratory): CASAL user manual v2.30-2012/03/21. Technical Report 135, National Institute of Water and Atmospheric Research Ltd (NIWA), 2012.
- J E Dennis Jr and R B Schnabel. *Numerical methods for unconstrained optimisation and nonlinear equations*. Classics in Applied Mathematics. Prentice Hall, 1996.
- Ian Doonan, Kath Large, Alistair Dunn, Scott Rasmussen, Craig Marsh, and Sophie Mormede. Casal2: New zealand’s integrated population modelling tool. *Fisheries Research*, 183:498–505, 2016.
- A. Dunn, S. Rasmussen, and S. Mormede. Spatial population model user manual, spm v2.03-2021-06-03. Technical report, Ocean Environmental, 2021.
- A Dunn, A Grüss, J A Devine, Cara Miller, Philippe Ziegler, Dale Maschette, Tim Earl, Chris Darby, and Félix Massiot-Granier. Integrated toothfish stock assessments using casal2. Technical Report WG-SAM-2022/14, CCAMLR, 2022.
- R I C C Francis, V Haist, and B Bull. Assessment of hoki (*Macruronus novaezelandiae*) in 2002 using a new model. *New Zealand Fisheries Assessment Report*, 6, 2003.
- RIC Chris Francis. Data weighting in statistical fisheries stock assessment models. *Canadian Journal of Fisheries and Aquatic Sciences*, 68(6):1124–1138, 2011.
- A B Gelman, J S Carlin, H S Stern, and D B Rubin. *Bayesian data analysis*. Chapman and Hall, London, 1995.
- W R Gilks, A Thomas, and D J Spiegelhalter. A language and program for complex Bayesian modelling. *The Statistician*, 43(1):169–177, 1994.
- Walter R Gilks, Sylvia Richardson, and David Spiegelhalter. *Markov chain Monte Carlo in practice*. CRC press, 1995.
- Ray W Hilborn, PJ Starr, A Parma, B Ernst, J Payne, and M Maunder. COLERAINE: A Generalized Age-Structured Stock Assessment Model?User’s Manual Version 2.0. *Users manual Version 2.0. School of Aquatic & Fishery Sciences, University of Washington. FRI-UW Report Series 0116*. 58 p. University of Washington, 2001.
- C S Holling. The components of predation as revealed by a study of small-mammal predation of the european pine sawfly. *The Canadian Entomologist*, 91:293–320, 1959.
- PL Horn. Stock assessment of hake (*Merluccius australis*) on the Chatham Rise (HAK 4) and off the west coast of South Island (HAK 7) for the 2016–17 fishing year. *New Zealand Fisheries Assessment Report*, 47, 2017.
- J Jurado-Molina, P A Livingston, and J N Ianelli. Incorporating predation interactions in a statistical catch-at-age model for a predator-prey system in the eastern bering sea. *Canadian Journal of Fisheries and Aquatic Sciences*, 62:1865–1873, 2005.

- P.M Mace and I.J Doonan. A generalised bioeconomic simulation model for fish population dynamics. *New Zealand Fisheries Assessment Report*, 4, 1988.
- Makoto Matsumoto and Takuji Nishimura. Mersenne twister: a 623-dimensionally equidistributed uniform pseudo-random number generator. *ACM Transactions on Modeling and Computer Simulation: Special Issue on Uniform Random Number Generation*, 8(1):3–30, January 1998.
- Mark N Maunder. A review of integrated analysis in fisheries stock assessment. *Fisheries Research*, page 14, 2013.
- Richard D Methot Jr and Ian G Taylor. Adjusting for bias due to variability of estimated recruitments in fishery assessment models. *Canadian Journal of Fisheries and Aquatic Sciences*, 68(10):1744–1760, 2011.
- Richard D Methot Jr and Chantell R Wetzel. Stock synthesis: a biological and statistical framework for fish stock assessment and fishery management. *Fisheries Research*, 142:86–99, 2013.
- M I Michaelis and L Menten. Die kinetik der invertinwirkung. *Biochemische Zeitschrift*, 49:333–369, 1913.
- Andre E. Punt and Ray Hilborn. *BAYES-SA. Bayesian stock assessment methods in fisheries. User's manual. FAO Computerized information series (fisheries) 12*. Food and Agriculture Organisation of the United Nations, Rome (Italy), 2001.
- R Core Team. *R: A Language and Environment for Statistical Computing*. R Foundation for Statistical Computing, Vienna, Austria, 2014. URL <http://www.R-project.org/>.
- J Roberts and A Dunn. Investigation of alternative model structures for the estimation of natural mortality in the Campbell Island Rise southern blue whiting (*Micromesistius australis*) stock assessment (SBW 6I). *New Zealand Fisheries Assessment Report*, 26, 2017.
- J Schnute. A versatile growth model with statistically stable parameters. *Canadian Journal of Fisheries and Aquatic Sciences*, 38(9):1128–1140, 1981.
- C Sherlock and G Roberts. Optimal scaling of the random walk metropolis on elliptically symmetric unimodal targets. *Bernoulli*, 15(3), 2009.
- Rainer Storn and Kenneth Price. Differential evolution - a simple and efficient adaptive scheme for global optimization over continuous spaces. Technical Report TR-95-012, International Computer Science Institute, Berkeley, CA, 1995. URL <http://citeseer.ist.psu.edu/182432.html>.
- James T Thorson, Kelli F Johnson, Richard D Methot, and Ian G Taylor. Model-based estimates of effective sample size in stock assessment models using the dirichlet-multinomial distribution. *Fisheries Research*, 192:84–93, 2017.
- C.J Walters and D Ludwig. Calculation of bayes posterior probability distributions for key population parameters. *Canadian Journal of Fisheries and Aquatic Sciences*, 1994.
- Andrea Walther, Andreas Kowarz, and Andreas Griewank. Adol-c: a package for the automatic differentiation of algorithms written in c/c++. *ACM TOMS*, 22(2):131–167, 1996.