# CASAL<sup>2</sup> User Manual

S. Rasmussen, I. Doonan, A. Dunn, K. Large, C. Marsh, S. Mormede



NIWA Technical Report xxx ISSN 1174-2631 2016

CASAL<sup>2</sup> User Manual (modified: 2016-02-21) for use with casal2 2016-02-21 (rev. 0148ec6)



# **Contents**

1	Intr	oduction 1
	1.1	Version
	1.2	Citing $CASAL^2$
	1.3	Software license
	1.4	System requirements
	1.5	Necessary files
	1.6	Getting help
	1.7	Technical details
2	Mod	lel overview 5
	2.1	Introduction
	2.2	The population section
	2.3	The estimation section
	2.4	The observation section
	2.5	The report section
3	Run	ning CASAL <sup>2</sup>
	3.1	Using CASAL <sup>2</sup>
	3.2	The input configuration file
	3.3	Redirecting standard output
	3.4	Command line arguments
	3.5	Constructing an CASAL <sup>2</sup> input configuration file
		3.5.1 Commands
		3.5.2 Subcommands
		3.5.3 The command-block format
		3.5.4 Commenting out lines
		3.5.5 Determining parameter names
	3.6	CASAL <sup>2</sup> exit status values
4	The	population section 15
-	4.1	Introduction
	4.2	Population structure
	4.3	The state object and the partition
	4.4	Time sequences
	4.5	Time sequences
		4.5.1 Annual cycle
		4.5.2 Initialisation
		4.5.3 Model years
		4.5.4 Projections
	4.6	Population processes
		4.6.1 Recruitment

	4.6.2	Ageing
	4.6.3	Mortality
	4.6.4	Maturation
	4.6.5	Migration
		4.6.5.1 Tag release events
		4.6.5.2 Tag shedding rate
4.7	Derived	d quantities
4.8	Age-lei	ngth relationship
4.9	Weight	less model
4.10	Maturit	ty, in models without maturing in the partition
4.11	Selectiv	vities
	4.11.1	Constant
	4.11.2	Knife-edge
	4.11.3	All-values
	4.11.4	All-values-bounded
	4.11.5	Increasing
	4.11.6	Logistic
	4.11.7	Inverse logistic
	4.11.8	Logistic producing
	4.11.9	Double-normal
	4.11.10	Double-exponential
	4.11.11	Spline
4.12	Time V	Varying Parameters
	4.12.1	Constant
	4.12.2	Random Walk
	4.12.3	Exogenous
The	aatim at	ion section 19
5.1		f the estimation section
5.2		jective function
5.3	`	ring the parameters to be estimated
5.4		stimation
J. <del>4</del>	5.4.1	The numerical differences minimiser
	5.4.2	The differential evolution minimiser
	5.4.3	The Betadiff minimiser
5.5		or profiles
5.6		an estimation
5.7	-	26
5.8		es
5.9		te Transformations
٥.)	5.9.1	log
		Inverse 28

5

		5.9.3 Log odds
		5.9.4 Log odds
		5.9.5 Simplex
6	The	observation section 29
	6.1	Observations and likelihoods
	6.2	Proportions-at-age observations
		6.2.1 Likelihoods for proportions-at-age observations
	6.3	Proportions-by-category observations
		6.3.1 Likelihoods for proportions-by-category observations
	6.4	Abundance or biomass observations
		6.4.1 Likelihoods for abundance observations
	6.5	Process error
	6.6	Ageing error
	6.7	Simulating observations
	6.8	Pseudo-observations
7	The	report section 41
8	Popi	ulation command and subcommand syntax 43
	8.1	Model structure
	8.2	Initialisation
		8.2.1 Cinitial
		8.2.2 Derived
		8.2.3 Iterative
		8.2.4 State Category By Age
	8.3	Categories
	8.4	Time-steps
	8.5	Processes
		8.5.1 Ageing
		8.5.2 Growth
		8.5.3 Maturation
		8.5.4 Mortality Constant Rate
		8.5.5 Mortality Event
		8.5.6 Mortality Event Biomass
		8.5.7 Mortality Holling Rate
		8.5.8 Mortality Instantaneous
		8.5.9 Mortality Prey Suitability
		8.5.10 Nop
		8.5.11 Recruitment Beverton Holt
		8.5.12 Recruitment Constant
		8.5.13 Tag By Age
		8 5 1/1 Tag Ry Length 58

		8.5.15	Transition Category
		8.5.16	Transition Category By Age
	8.6	Time v	arying parameters
		8.6.1	Annual Shift
		8.6.2	Constant
		8.6.3	Exogenous
		8.6.4	Random Walk
	8.7	Derived	d quantities
		8.7.1	Abundance
		8.7.2	Biomass
	8.8	Age-lei	ngth relationship
		8.8.1	Data
		8.8.2	None
		8.8.3	Schnute
		8.8.4	Von Bertalanffy
	8.9	Length	-weight
		8.9.1	Basic
		8.9.2	None
	8.10	Selectiv	vities
		8.10.1	All Values
		8.10.2	All Values Bounded
		8.10.3	Constant
		8.10.4	Double Exponential
		8.10.5	Double Normal
		8.10.6	Increasing
		8.10.7	Inverse Logistic
		8.10.8	Knife Edge
		8.10.9	Logistic
		8.10.10	Logistic Producing
9	Estir	nation (	command and subcommand syntax 80
	9.1		tion methods
		9.1.1	Beta
		9.1.2	Lognormal
		9.1.3	Normal
		9.1.4	Normal By Stdev
		9.1.5	Normal Log
		9.1.6	Uniform
		9.1.7	Uniform Log
	9.2	Point e	stimation
		9.2.1	ADOLC 89
		9.2.2	Beta Diff

		9.2.3 CPPAD 9
		9.2.4 D E Solver
		9.2.5 D Lib
		9.2.6 Dummy
		9.2.7 Gamma Diff
	9.3	Monte Carlo Markov Chain (MCMC)
		9.3.1 Independence Metropolis
	9.4	Profiles
	9.5	Defining catchability constants
		9.5.1 Free
	9.6	Defining penalties
		9.6.1 Process
	9.7	Defining priors on parameter ratios, differences and means
		9.7.1 Beta
		9.7.2 Vector Average
		9.7.3 Vector Smoothing
10	01	
10		Prvation command and subcommand syntax  Observation types
	10.1	<b>91</b>
		10.1.2 Biomass
		10.1.3 Proportions At Age
		10.1.4 Proportions At Age For Fishery
		10.1.5 Proportions At Length
		10.1.6 Proportions At Length For Fishery
		10.1.7 Proportions By Category
		10.1.8 Proportions Migrating
		10.1.9 Tag Recapture By Age
		10.1.10 Tag Recapture By Length
	10.2	Likelihoods
		10.2.1 Binomial
		10.2.2 Binomial Approx
		10.2.3 Dirichlet
		10.2.4 Log Normal
		10.2.5 Log Normal With Q
		10.2.6 Multinomial
		10.2.7 Normal
		10.2.8 Pseudo
	10.3	Defining ageing error
		10.3.1 Data
		10.3.2 Normal
		10.3.3 Off By One

11	Report command and subcommand syntax	119
	11.1 Report commands and subcommands	119
	11.1.1 Ageing Error Matrix	120
	11.1.2 Category Info	120
	11.1.3 Category List	121
	11.1.4 Covariance Matrix	121
	11.1.5 Derived Quantity	122
	11.1.6 Estimable	122
	11.1.7 Estimate Summary	123
	11.1.8 Estimate Value	123
	11.1.9 Initialisation Partition	124
	11.1.10 M C M C Covariance	124
	11.1.11 M C M C Objective	124
	11.1.12 M C M C Sample	125
	11.1.13 M P D	125
	11.1.14 Objective Function	126
	11.1.15 Observation	126
	11.1.16 Partition	127
	11.1.17 Partition Biomass	127
	11.1.18 Partition Mean Weight	128
	11.1.19 Process	129
	11.1.20 Random Number Seed	129
	11.1.21 Selectivity	130
	11.1.22 Simulated Observation	130
	11.1.23 Standard Header	131
12	Other commands and subcommands	131
14	Other Commands and SubCommands	131
13	Examples	133
	13.1 An example of a simple model	133
	13.2 In line declaration	134
14	Post processing output using R	137
15	Thoughton	120
13	Troubleshooting 15.1 Introduction	<b>139</b> 139
	15.2 Reporting errors	139
	15.3 Guidelines for reporting a problem with CASAL <sup>2</sup>	139
16	Acknowledgements	141
17	Quick reference	143
18	References	169

19 C	ASAL <sup>2</sup> software license	171
20 In	ndex	173

#### 1. Introduction

check and confirm text

KL comment: Needs rewriting

CASAL<sup>2</sup> (casal2) is a generalised age- or size-structured fish stock assessment model that allows flexibility in specifying population dynamics, paramaeter estimation and model outputs. CASAL<sup>2</sup> can model population dynamics for an age-structured population using a range of observations, including tagging, relative abundance, and age frequency data. CASAL<sup>2</sup> implements an age-structured population which can have user defined categories (e.g., immature, mature, male, female, etc.), and age range.

This manual describes how to use CASAL<sup>2</sup>, including how to run CASAL<sup>2</sup>, how to set up an input configuration file. Further, we describe the population dynamics and estimation methods, and describe how to specify and interpret output.

#### 1.1. Version

check and confirm text

This document (last modified 2016-02-21) describes CASAL<sup>2</sup> 2016-02-21 (rev. 0148ec6). The CASAL<sup>2</sup> version number is suffixed with a date/time (yyyy-mm-dd) and revision number, giving the revision control system UTC date and revision number for the most recent modification of the source files. User manual updates will usually be issued for each minor version or date release of CASAL<sup>2</sup>, and can be obtained, on request, from the authors.

# 1.2. Citing CASAL<sup>2</sup>

check and confirm text

A suitable reference for CASAL<sup>2</sup> and this document is:

S. Rasmussen, I. Doonan, A. Dunn, K. Large, C. Marsh, S. Mormede (2016) CASAL<sup>2</sup> User Manual, 2016-02-21 (rev. 0148ec6). National Institute of Water & Atmospheric Research Ltd. *NIWA Technical Report*. 206 p.

#### 1.3. Software license

check and confirm text

This program and the accompanying materials are made available under the terms of the Common Public License v1.0 which accompanies this software (see Section 19).

Copyright ©2008-2016, National Institute of Water & Atmospheric Research Ltd. and the New Zealand Ministry for Primary Industries. All rights reserved.

## 1.4. System requirements

check and confirm text

 $CASAL^2$  is available for most IBM compatible machines running 64-bit Linux and Microsoft Windows operating systems.

Several of CASAL<sup>2</sup>s tasks are highly computer intensive and a fast processor is recommended. Depending on the model implemented, some of CASAL<sup>2</sup>s tasks can take a considerable amount of

time (minutes to hours), and in extreme cases can even take several days to estimate a model fit. Some of CASAL<sup>2</sup>s tasks can be multi-threaded, and hence multi-core machines may perform some tasks quicker than single core processors.

The program itself requires only a few megabytes of hard-disk space but output files can consume large amounts of disk space. Depending on 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 extremely large models, several gigabytes of RAM may be required.

# 1.5. Necessary files

check and confirm text

For both 64-bit Linux and Microsoft Windows, only the binary file spm or spm. exe is required to run CASAL<sup>2</sup>. No other software is required. We do not compile a version for 32-bit operating systems.

CASAL<sup>2</sup> offers little in the way of post-processing of the output, and a package available that allows tabulation and graphing of model outputs is recommended. We suggest software such as  $\mathbf{R}$  (R Development Core Team 2007) to assist in the post processing of CASAL<sup>2</sup> output. We provide the CASAL<sup>2</sup>  $\mathbf{R}$  package for importing the CASAL<sup>2</sup> output into  $\mathbf{R}$  (see Section 14).

# 1.6. Getting help

check and confirm text

CASAL<sup>2</sup> is distributed as unsupported software, however we would appreciate being notified of any problems or errors in CASAL<sup>2</sup>. See Section 15.2 for how to report errors, for reporting errors and further information on CASAL<sup>2</sup> contact the development team at casal2@niwa.co.nz.

## 1.7. Technical details

check and confirm text

CASAL<sup>2</sup> was compiled on Linux using gcc, the C/C++ compiler developed by the GNU Project. The 64-bit Linux version was compiled using gcc version 4.8.1 20130909 (SUSE Linux). Note that CASAL<sup>2</sup> is not supported for Linux kernel versions prior to 2.6. The Microsoft Windows version was compiled using Mingw32 gcc (tdm64-1) 4.7.1. The Microsoft Windows installer was built using the Nullsoft Scriptable Install System.

CASAL<sup>2</sup> uses two minimisers — the first is closely based on the main algorithm of Dennis Jr and Schnabel (1996), and which which uses finite difference gradients, and the second is an implementation of the differential evolution solver (Storn and Price, 1995), and based on code by Lester E. Godwin of PushCorp, Inc.

The random number generator used by CASAL<sup>2</sup> uses an implementation of the Mersenne twister random number generator (Matsumoto and Nishimura, 1998). This, the command line functionality, matrix operations, and a number of other functions use the BOOST C++ library (Version 1.54.0).

Note that the output from CASAL<sup>2</sup> may differ slightly on the different platforms due to different precision arithmetic or other platform dependent implementation issues. The source code for CASAL<sup>2</sup> is available either as a part of the installation, or on request from the S. Rasmussen, I. Doonan, A. Dunn, K. Large, C. Marsh, S. Mormede.

Unit tests of the underlying  $CASAL^2$  code are carried out at build time, using the GOOGLE mock and unit testing framework. The unit test framework aims to cover a significant proportion of the key functionality within the  $CASAL^2$  code base. The unit test code for  $CASAL^2$  is available as a part of the underlying source code.

# 2. Model overview

#### 2.1. Introduction

check and confirm text

 ${\rm CASAL^2}$  is an age-structured population dynamics model. It implements a statistical catch-at-age population dynamics, using a discrete time-step state-space model that represents a cohort-based population age structure.

CASAL<sup>2</sup> is run from the console window on Microsoft Windows or from a terminal window on Linux. CASAL<sup>2</sup>gets its information from input data files, the main one of which is the *input configuration file*. Commands and subcommands in the input configuration file are used to define the model structure, provide observations, define parameters, and define the outputs (reports) for CASAL<sup>2</sup>. Command line switches tell CASAL<sup>2</sup> the run mode and where to direct its output. See Section ?? for the details.

We define the model in terms of the *state*. The state consists of two parts, the *partition*, and any *derived quantities* or *derived quantities by cell*. The state will typically change one or more times in every *time-step* of every year, depending on the *processes* defined for each model.

The partition is a representation of the population at an instance in time, and is a matrix of the numbers of individuals within each age, and category. A derived quantity is a cumulative summary of the partition (over all cells) at some point in time. A derived quantity by cell is a cumulative summary of the partition in each of the cells at some point in time. Unlike the partition (which is updated as each new process is applied), each derived quantity records a single value for each year of the model run, and each derived quantity by cell records a layer of values for each year of the model run. Hence, derived quantities build up a vector of values over the model run years. For example, the total number of individuals in a category labelled mature at some point in the annual cycle may be a derived quantity and the total number of individuals in a category labelled mature in each cell of the model at some point in the annual cycle may be a derived quantity by cell. The state is the combination of the partition and any derived quantities or derived quantities by cell at some instance in time. Changes to the state occur by the application of processes. Additions to the vectors of derived quantities occur when a model is requested to add a value to each derived quantity vector.

Running of the model consists of two main parts — first the model state is initialised for a number of iterations (years), then the model runs over a range of predefined years.

The application of processes within each year is controlled by the *annual cycle*. This defines what processes happen in each model year, and in what sequence. Initialisation can be phased, and for each phase, the user need to define the processes that occur in each year, and the order in which they are applied.

For the run years, each year is split up into one or more time-steps (with at least one process occurring in each time-step). You can think of each time-step as representing a particular part of the calendar year, or you can just treat them as an abstract sequence of events.

The division of the year into an arbitrary number of time-steps allows the user to specify the exact order in which processes occur and when observations are evaluated. The user specifies the time-steps, their order, and the processes within each time-step. If more than one process occurs in the same time-step, then the occur in the order that they are specified. Observations are always evaluated at the end of the time-step in which they occur. Hence, time-steps can be used to break processes into groups, and assist in defining the timing of the observations within the annual cycle.

The population structure of CASAL<sup>2</sup> follows the usual population modelling conventions and is similar to those implemented in other population models, for example CASAL (Bull et al., 2012). The model records the numbers of individuals by age and category (e.g., male, female). In general, cohorts are added via a recruitment event, are aged annually, and are removed from the population via various forms of mortality. The population is assumed to be closed (i.e., no immigration or emigration from the modelled area)

A model is implemented in CASAL<sup>2</sup> using an input configuration file, which is a complete description of the model structure (i.e., spatial and population processes), observations, estimation methods, and reports (outputs) requested. CASAL<sup>2</sup> runs from a console window on Microsoft Windows or from a text terminal on Linux. A model can be either *run*, estimable parameters can be *estimated* or *profiled*, *MCMC* distributions calculated, and these estimates can be used by CASAL<sup>2</sup> as parameters of an operating model to *simulate* observations.

A model in CASAL<sup>2</sup> is specified by an input configuration file, and comprises of four main components. These are the population section (model structure, population dynamics, etc.), the estimation section (methods of estimation and the parameters to be estimated), the observation section (observational data and associated likelihoods), and the report section (printouts and reports from the model). The input configuration file completely describes a model implemented in CASAL<sup>2</sup>. See Sections 8, 9, 10, and 11 for details and specification of CASAL<sup>2</sup>s command and subcommand syntax within the input configuration file.

# 2.2. The population section

check and confirm text

The population section (Section 4) defines the model of the population dynamics. It describes the model structure (i.e. the population structure), initialisation and run years (model period), population processes (for example, recruitment, migration, and mortality), selectivities, and key population parameters.

#### 2.3. The estimation section

check and confirm text

The estimation section (Section 5) specifies the parameters to be estimated, estimation methods, penalties and priors. Estimation is based on an objective function (e.g., negative log posterior). Depending on the run mode, the estimation section is used to specify the methods for finding a point estimate (i.e., the set of parameter values that minimizes the objective function), doing profiles, or MCMC methods and options, etc.

Further, the estimation section specifies the parameters to be estimated within each model run and the estimation methods. The estimation section specifies the choice of estimation method, which model parameters are to be estimated, priors, starting values, and minimiser control values.

Penalties and priors act as constraints on the estimation. They can either encourage or discourage (depending on the specific implementation) parameter estimates that are 'near' some value, and hence influence the estimation process. For example, a penalty can be included in the objective function to discourage parameter estimates that lead to models where the recorded catch was unable to be fully taken.

#### 2.4. The observation section

# check and confirm text

Types of observations, their values, and the associated error structures are defined in the observation section (Section 6). Observations are data which allow us to make inferences about unknown parameters. The observation section specifies the observations, their errors, likelihoods, and when the observations occur. Examples include relative or absolute abundance indices, proportions-at-age frequencies, etc. Estimation uses the observations to find values for each of the estimated parameters so that each observation is 'close' (in some mathematical sense) to a corresponding expected value.

## 2.5. The report section

#### check and confirm text

The report section (Section 7) specifies the model outputs. It defines the quantities and model summaries to be output to external files or to the standard output. While CASAL<sup>2</sup> will provide informational messages to the screen, CASAL<sup>2</sup> will only produce model estimates, population states, and other data as requested by the report section. Note that if no reports are specified, then no output will be produced.

# 3. Running CASAL<sup>2</sup>

check and confirm text

CASAL<sup>2</sup> is run from the console window (i.e., the DOS command line) on Microsoft Windows or from a terminal window on Linux. CASAL<sup>2</sup> gets its information from input data files, the key one of which is the input configuration file.

The input configuration file is compulsory and defines the model structure, processes, observations, parameters (both the fixed parameters and the parameters to be estimated), and the reports (outputs) requested. The following sections describe how to construct the CASAL<sup>2</sup> configuration file. By convention, the name of the input configuration file ends with the suffix .csl<sup>2</sup>, however, any file name is acceptable.

Other input files can, in some circumstances, be supplied to define the starting point for an estimation or as a point estimate from which to simulate observations.

Simple command line arguments are used to determine the actions or *tasks* of CASAL<sup>2</sup>, i.e., to run a model with a set of parameter values, estimate parameter values (either point estimates or MCMC), project quantities into the future, simulate observations, etc., Hence, the *command line arguments* define the *task*. For example, -r is the *run*, -e is the *estimation*, and -m is the *MCMC* task. The *command line arguments* are described in Section 3.4.

# 3.1. Using CASAL<sup>2</sup>

check and confirm text

To use CASAL<sup>2</sup>, open a console (i.e. the command prompt) window (Microsoft Windows) or a terminal window (Linux). Navigate to a directory of your choice, where your input configuration files are located. Then type casal2 with any arguments (see Section 3.4 for the the list of possible arguments). CASAL<sup>2</sup>will print output to the screen and return you to the command prompt when it completes its task. Note that the CASAL<sup>2</sup> executable (binary) must be either in the directory where you run it or somewhere in your PATH. Note that an automated installer is available for CASAL<sup>2</sup> on Microsoft Windows. If you use the installer, then it will give you the option of modifying your PATH for you (as well a a number of other options to make using the program a little easier). Otherwise, see your operating system documentation for help on identifying or modifying your PATH.

need an example here...a small example of directory navigation and casal2 with arguments as would be typed in the command prompt window

## 3.2. The input configuration file

check and confirm text

The input configuration file is made up of four broad sections; the description of the population structure and parameters (the population section), the estimation methods and variables (the estimation section), the observations and their associated likelihoods (the observation section), and the outputs and reports that CASAL<sup>2</sup> will return (the report section). The input configuration file is made up of a number of commands (many with subcommands) which specify various options for each of these components.

The command and subcommand definitions in the input configuration file can be extensive (especially when you have a model that has many observations), and can result in a input configuration file that is long and difficult to navigate. To aid readability and flexibility, we can use the input configuration file command !include file. The command causes an external

file, file, to be read and processed, exactly as if its contents had been inserted in the main input configuration file at that point. The file name must be a complete file name with extension, but can use either a relative or absolute path as part of its name. Note that included files can also contain !include commands — but be careful that you do not set up a recursive state. See Section 12 for more detail.

# 3.3. Redirecting standard output

check and confirm text

CASAL<sup>2</sup> uses the standard output stream standard output to display run-time information. The standard error stream is used by CASAL<sup>2</sup> to output the program exit status and run-time errors. We suggest redirecting both the standard output and standard error into files. With the bash shell (on Linux systems), you can do this using the command structure,

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

It may be useful to redirect the standard input, especially is you're using CASAL<sup>2</sup> inside a batch job software, i.e.

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

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

```
casal2 [arguments] > out
```

And, on some Microsoft Windows systems (e.g., Windows7), you can redirect to both standard output and standard error, using the syntax,

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

Note that CASAL<sup>2</sup> outputs a few lines of header information to the output. The header consists of the program name and version, the arguments passed to CASAL<sup>2</sup> 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). These can be used to track outputs as well as identifying the version of CASAL<sup>2</sup> used to run the model.

## 3.4. Command line arguments

```
check and confirm text
```

The call to  $CASAL^2$  is of the following form.:

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

-c config\_file Define the input configuration file for CASAL<sup>2</sup>. If omitted, then CASAL<sup>2</sup> looks for a file named casal2.txt.

and where task is one of;

**-h** Display help (this page).

- **-1** Display the reference for the software license (LGPL).
- **-v** Display the CASAL<sup>2</sup> version number.
- -r Run the model once using the parameter values in the input configuration file, or optionally, with the values from the file denoted with the command line argument -i file.
- **-e** 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 start values from the file denoted with the command line argument -i file.
- **-p** Do a likelihood *profile* using the parameter values in the input configuration file as the starting point, or optionally, with the start values from the file denoted with the command line argument -i file.
- -m Do an *MCMC* estimate using the values in the input configuration file as the starting point for the parameters to be estimated, or optionally, with the start values from the file denoted with the command line argument -i file.
- **-f** 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 start values from the file denoted with the command line argument -i file.
- **-s** *number Simulate* the *number* of observation sets using values in the input configuration file as the parameter values, or optionally, with the values for the parameters denoted as estimated from the file with the command line argument -i file.

In addition, the following are optional arguments [options],

- -i *file Input* one or more sets of free (estimated) parameter values from *file*. See Section ?? for details about the format of *file*.
- -o **file** Output a report of the free (estimated) parameter values in a format suitable for -i file. See Section ?? for details about the format of file.
- -g seed Seed the random number generator with seed, a positive (long) integer value. Note, if -g is not specified, then CASAL<sup>2</sup> will generate a random number seed based on the computer clock time.
- **--loglevel** arg = {trace, finest, fine, medium}
- --tabular Run with -r or -f command it will print @report in tabular format.
- **--single-step** Run with -r, this additional option will pause the model and ask the user to specify parameters and their values to use for the next iteration.

# 3.5. Constructing an CASAL<sup>2</sup> input configuration file

check and confirm text

The model definition, parameters, observations, and reports are specified in an input configuration file. The population section is described in Section 4 and the population commands in Section 8. Similarly, the estimation section is described in Section 5 and its commands in Section 9, and in Section 7 and Section 11 for the report and report commands.

#### 3.5.1. Commands

check and confirm text

CASAL<sup>2</sup> has a range of commands that define the model structure, processes, observations, and how tasks are carried out. There are three types of commands,

- 1. Commands that have an argument and do not have subcommands (for example, !include
- 2. Commands that have a label and subcommands (for example @process must have a label, and has subcommands)
- 3. Commands that do not have either a label or argument, but have subcommands (for example @model)

Commands that have a label must have a unique label, i.e., the label cannot be used on more than one command of that type. The labels must start with a letter or underscore, can contain letters, underscores, or numbers. Labels must not contain white-space, a full-point ('.'), or other characters that are not letters, numbers, or an underscore.

need an example here...

#### 3.5.2. Subcommands

check and confirm text

Subcommands in CASAL<sup>2</sup> are for defining options and parameter values for commands. They always take an argument which is one of a specific type. The types acceptable for each subcommand are defined in Section 12, and are summarised below.

Like commands (@commands and their arguments are not order specific — except that that all subcommands of a given command must appear before the next @command block. CASAL<sup>2</sup> 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 possible errors in your expected results.

The arguments for a subcommand are either:

switch true/false

integer an integer number,

integer vector a vector of integer numbers,

a range of integer numbers separated by a hyphen (-), e.g. 1994-1996 2000 is integer range

expanded to an integer vector of values 1994 1995 1996 2000),

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

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

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

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

string a categorical (string) value, or string vector a vector of categorical values.

Switches are parameters which are either true or false. Enter true as true or t, and false as false

Integers must be entered as integers (i.e., if year is an integer then use 2008, not 2008.0)

Arguments of type integer vector, integer range, constant vector, estimable vector, or categorical vector contain one or more entries on a row, separated by white space (tabs or spaces).

Estimable parameters are those parameters that CASAL<sup>2</sup> can estimate, if requested. If a particular parameter is not being estimated in a particular model run, then it acts as a constant. Within CASAL<sup>2</sup> only estimable parameters can be estimated. And, you have to tell CASAL<sup>2</sup> those that are to be estimated in any particular model. Estimable parameters that are being estimated within a particular model run are called the *estimated parameters*.

## 3.5.3. The command-block format

check and confirm text

Each command-block either consists of a single command (starting with the symbol @) and, for most commands, a label or an argument. Each command is then followed by its subcommands and their arguments, e.g.,

```
@command, or
@command argument, or
@command label
and then
subcommand argument
subcommand argument
```

etc,.

Blank lines are ignored, as is extra white space (i.e., tabs and spaces) between arguments. But don't put extra white space before a @ character (which must also be the first character on the line), and make sure the file ends with a carriage return.

There is no need to mark the end of a command block. This is automatically recognized by either the end of the file, section, or the start of the next command block (which is marked by the @ on the first character of a line). Note, however, that the !include is the only exception to this rule. See Section 12) for details of the use of !include.

Note that in the input configuration file, commands, sub-commands, and arguments are not case sensitive. However, labels and variable values are case sensitive. Also note that if you are on a Linux system then external calls to files are case sensitive (i.e., when using !include file, the argument file will be case sensitive).

Characters used in labels must be alphanumeric and can include underscores (\_). Other characters will result in an error.

## 3.5.4. Commenting out lines

check and confirm text

Text that follows a # on a line are considered to be comments and are ignored. If you want to remove a group of commands or subcommands using #, then comment out all lines in the block, not just the first line.

Alternatively, you can comment out an entire block or section by placing curly brackets around the text that you want to comment out. Put in a { as the first character on the line to start the comment block, then end it with }. All lines (including line breaks) between { and } inclusive are ignored. (These should ideally be the first character on a line. But if not, then the entire line will be treated as part of the comment block.)

need an example here.....short example of comment syntax

# 3.5.5. Determining parameter names

check and confirm text

When CASAL<sup>2</sup> processes a input configuration file, it translates each command and each subcommand into a parameter with a unique name. For commands, this parameter name is simply the command name. For subcommands, the parameter name format is either

```
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 ith element of that vector.
```

The unique parameter name is used to reference the parameter when estimating, applying a penalty, or applying a profile. For example, the parameter name of subcommand r0 of the command @process with the label MyRecruitment is

```
process[MyRecruitment].r0
```

# 3.6. CASAL<sup>2</sup> exit status values

check and confirm text

When  $CASAL^2$  completes its task successfully or errors out gracefully, it returns a single exit status value (0) to the operating system. The operating system will return (-1) if  $CASAL^2$  terminates unexpectedly. To determine if  $CASAL^2$  has completed its task successfully, check the standard output for error and information messages.

# 4. The population section

#### 4.1. Introduction

The population section specifies the model structure, population dynamics, and other associated parameters. It describes the model structure (population structure), defines the population processes (e.g., recruitment, migration, and mortality), selectivities, and model parameters.

The population section consists of several components, including;

- The population structure;
- Model initialisation (i.e., the state of the model at the start of the first year);
- The years over which the model runs (i.e., the start and end years of the model)
- The annual cycle (time-steps and processes that are applied in each time-step);
- The specifications and parameters of the population processes (i.e. processes that add, remove individuals to or from the partition, or shift numbers between ages and categories in the partition);
- Selectivities:
- Parameter values and their definitions;
- Derived quantities, required as parameters for some processes (e.g. spawning stock biomass to resolve the spawner-recruit relationship in a recruitment process).

# 4.2. Population structure

The basic structure of a CASAL<sup>2</sup> population model is defined in terms of an annual cycle, time steps, states, and transitions.

The annual cycle defines what processes happen in each model year, and in what sequence. (In line with the New Zealand fisheries management framework, CASAL<sup>2</sup> runs on an annual cycle rather than, for example, a 6-monthly cycle.)

Each year is split into one or more time steps, with at least one process occurring in each time step. Each time step can be thought of as representing a particular part of the calendar year, or you can just treat them as an abstract sequence of events. In every time step, there exists a mortality block, this is a block where individuals are removed from the partition. If there are no mortality processes then the mortality block is empty (nothing happens) and occurs at the end of a time step. maybe the user doesn't need to know this more of a code base statement

The state is the current status of the population, at any given time. The state can change one or more times in every time step of every year. The state object must contain sufficient information to figure out the future course of the fishery (given a model and a complete set of parameters).

There are a number of possible changes in the state, which are called transitions. These include processes such as recruitment, natural mortality, fishing mortality, disease mortality, ageing, migration, tagging events, and semelparous mortality.

The division of the year into an arbitrary number of time steps allows the user to specify the exact order in which processes and observations occur. The user needs to specify the time step in which each process occurs. If more than one process occurs in the same time step, they will be applied in the order specified in the <code>@time\_step</code> block.

there is a default order in which they occur (see Section 5.3). If you dont want things to happen in this default order, then split the processes into different time steps.

The key element of the state is the partition. This is a broadly applicable concept that can be used to describe many different kinds of population model. The partition is simply a breakdown of the total number of fish in the current population into different kinds of fish. (Note that the partition records numbers of fish, not biomass.) The fish are categorised by various characters. The permissible characters are: length class or age class, sex, maturity, area, stock, tag, and growth-path. The user chooses:

- whether the partition is subdivided by length class or age class (not both)
- which of the other characters are included in the partition, e.g., the number of areas, stocks, tagging events, or growth paths (if any of these characters are included in the partition).

The resulting partition can be conceptualised as a matrix, where the columns are length or age classes and the rows represent combinations of the other characters. Then the number in each cell of the matrix is the number of fish with the corresponding combination of characters.

#### **Craigs attempt**

The resulting partition can be conceptualised as a group of vectors, where each category is represented as a vector and the size of the vector is the number of age or length classes, shown in Figure 4.1. Each element in a vector represents the number of individuals for that category in that age or length bin. splitting the partition up into separate categories allows categories to have different age or length structures.

The names and number of categories are user defined, but there must be at least one category defined for a model. The ages are defined as a sequence from  $age_{min}$  to  $age_{max}$ , with the last age optionally a plus group. In order to calculate biomass, the age-length relationship for each category must also be defined. An example of how this is specified for four categories based on sex and area is as follows,

```
@categories
format spawn.sex
names spawn.male spawn.female nonspawn.male nonspawn.female
age_lengths male_AL female_AL male_AL female_AL
```

For an example of these ideas, consider a model of a single stock with a spawning and non-spawning fishery. The non-spawning fishery happens over most of the year (say 10 months) in the home area. The mature fish then migrate to the spawning area, where the spawning fishery operates. At the end of spawning, these fish, along with the recruits from the previous year, migrate back to the home area. The modeller decides that fish will be divided in the partition by age, sex, maturity, and area (spawning and home grounds). So the partition has 8 rows (2 sexes (mature or immature) 2 areas) and one column per age class.

For an example of these ideas, consider a model of a single stock with a spawning and non-spawning fishery. The non-spawning fishery happens over most of the year (say 10 months) in the home area. The mature fish then migrate to the spawning area, where the spawning fishery operates. At the end of spawning, these fish, along with the recruits from the previous year, migrate back to the home area. The modeller decides that fish will be divided in the partition by age, sex, maturity, and area (spawning and home grounds). So the partition has 8 rows (2 sexes (mature or immature) 2 areas) and one column per age class.

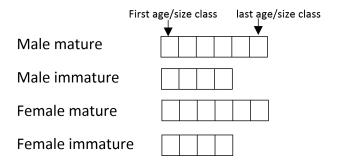


Figure 4.1: A visual representation of a partition

So they define four time steps, labelled 1 through 4. Step 1 includes the non-spawning fishery. Step 2 includes the migration to the spawning area. Step 3 includes the spawning fishery. Step 4 includes recruitment and the migration back to the home area. (In fact, they could have used only 3 time steps, by using a single step in place of their steps 2 and 3. Because the default order of processes within a time step places migrations before fisheries, the processes would still have occurred in the right order.) There are other details to be sorted out, such as the proportion of natural mortality occurring in each time step, but this gives the basic idea.

This structure can be used to implement complex models, with intermingling of separate stocks, with complex migration patterns over multiple areas, and multiple fisheries using different fishing methods and covering different areas and times. Note that there is little point in using a complex structure to model a stock when there are no observations to support that structure. In other words, use a structure for your model that is compatible with the data available.

The model is run from an initial year up to the current year. It can also be run past the current year to make projections things that happen in the future up to the final year. Alternatively, for yield calculations, it is run over an abstract simulation period.

An example, to specify a model with 2 categories (male and female) with ages 1-20 (with the last age a plus group) and an age-length relationship defined with the label male-growth and female-growth, then the @model example from above becomes,

```
@model
start_year
final_year
min_age 1
max_age 20
age_plus_group True
initialisation_phases iphase
time_steps step1 step2
```

# 4.3. The state object and the partition

The key component of the state object is the partition, a matrix of numbers of fish by combinations of characters. The columns can either be age or length classes, the rows are combinations of the following characters:

The key component of the state object is the partition, a group of vectors that store numbers of fish at age or length for a specific category. A category represents a group of fish that have specific attributes, examples of such attributes include life histories and growth paths. Characters in a

population that display different attributes and that can make up a category or seperate categories are:

- Sex (male or female);
- Area (any number of areas, named by the user);
- Stock (any number of stocks, named by the user);
- Maturity (immature or mature);
- Growth-path (any number of growth-paths);
- Tag. (any number of tagging events).

A stock is defined as a subpopulation of fish which recruits separately. See Section 5.11 for the treatment of maturity when it is not a character in the partition.

Growth-paths are a feature used to implement some persistence of length at age in an age-based model that uses some length/size data. Each growth-path has its own growth curve, and the length-based model features will consequently have different effects on different growth-paths. So, you need to tell CASAL<sup>2</sup>the following:

- Whether the model is age- or length-based.
- The number and nature of length classes in a length-based model.
- The minimum and maximum age classes in an age-based model.
- Whether there is a plus group.
- The names of all categories and there corresponding growth path labels.
- Whether the partition is divided by sex.
- Whether the partition is divided by maturity.
- Whether the partition has growth-paths, and, if so, how many.
- Whether the partition has multiple stocks, and, if so, how many, and their names.
- Whether the partition has multiple areas, and, if so, how many, and their names.
- Whether the partition includes tagged fish, and, if so, how many, and the names of the tag partitions.

Age classes are always 1 year wide, except that the maximum age group can optionally be a plus group. Users need to choose the minimum and maximum age classes. Length classes are defined by the user, and you need to specify how many length classes there are, the lower bound of each length class, and whether the last length class is a plus group, or if not, what its upper bound is. The relevant parameters are class\_mins and plus\_group. The class\_mins parameter contains the lower bound of each class, and concludes with the upper bound of the last class if it is not a plus group. If, for example, length classes of 30-40, 40-50, 50-60, and 60-70+ cm were desired, you would set class\_mins 30 40 50 60 and plus\_group true. Whereas if 30-40, 40-50, 50-60, and 60-70 cm were desired, you would set class\_mins 30 40 50 60 70 and plus\_group false.

## Pretty sure, CASAL 2 doesn't support this concept, can be deleted

The user can specify that some combinations of characters are not possible. For example, immature fish might never occur in the area you have labelled <code>spawn\_ground</code>. To do this, you use the exclusions parameters. In this case, you would set,

```
exclusions_char1 maturity exclusions_val1 immature
```

```
exclusions_char2 area
exclusions_val2 spawn_ground
```

Its a good idea to use the exclusions parameter wherever appropriate because it reduces the size of the partition (so, with the above example, there will be no rows in the partition corresponding to immature fish in area <code>spawn\_ground</code>) and can save memory and calculation time.

Another important component of the state object in CASAL is a vector of spawning stock biomasses (SSB's, mid-spawning season biomasses of spawning fish) for each stock. CASAL needs to include this in the stat object to calculate future recruitments, if there is a stock-recruitment relationship. Another important component of the state object in casal<sup>2</sup> are spawning stock biomasses (SSBs, mid-spawning season biomasses of spawning fish) for each stock. Casal<sup>2</sup> derives through the command @derived\_quantity, this is needed if there is a stock-recruitment relationship.

## 4.4. Time sequences

The time sequence of the population model includes the years over which it is to run and the annual cycle for each year. The model runs from the start of year initial and runs to the end of year current. Projections extend up to the end of year final. The annual cycle can contain the following transition processes:

- Ageing (in an age-based model);
- Recruitment;
- Maturation (if maturity is a character in the partition);
- Migration (if the model includes more than one area);
- Growth (in a length-based model);
- Natural and fishing mortality;
- Disease mortality; (Not yet implemented)
- Tag release events;
- Tag shedding rate;
- Semelparous mortality.(Not yet implemented)

If two or more processes are specified for the same time step CASAL<sup>2</sup>will apply the processes in sequential order, that is the order the user has specified. For example, in an annual cycle that has a single time step labelled step1,

@model

time\_steps step1

and in step1 there are three processes that occured in the following order, Recruitment, Natural\_mortality and Ageing, you would specify that time step as,

@time\_step step1

processes Recruitment Natural\_mortality Ageing

The basic unit of fishing mortality is a fishery, defined as fishing mortality in a single area and time step. You may need to split a single administrative fishery into multiple CASAL fisheries, in which case you will need to partition the catch. (However, this should often be avoidable. If you have an observation partway through a fishery, you can specify that a certain proportion of the mortality occurs before the observation, without needing to split the time step into two.)

If there is more than one stock, recruitment is handled separately for each stock, but all stocks must recruit in the same time step. There can be more than one maturation episode per year, each

of which can apply to only one stock, or all stocks equally. Similarly there can be more than one growth episode per year, each of which can apply to only one stock, or all stocks equally. The user can define any number of migrations in a given year.

-To specify the time sequence, you need to tell CASAL the following:

The basic unit of fishing mortality is a fishery, defined as fishing mortality on group of individuals in the partition in a single time step. If you have an observation partway through a fishery, you can specify that a certain proportion of the mortality occurs before the observation, without needing to split the time step into two.

If there is more than one spawning stock, recruitment is handled separately for each stock. There can be more than one maturation episode per year, each of which can apply to only one stock, or all stocks equally. Similarly there can be more than one growth episode per year, each of which can apply to only one stock, or all stocks equally. The user can define any number of migrations in a given year.

To specify the time sequence, you need to tell CASAL<sup>2</sup>the following:

- The initial, current, and final years;
- The number of time steps in each year;
- The time step in which recruitment occurs, and the area to which each stock recruits
- How SSB is calculated <sup>1</sup>;
- In an age-based model, the time step at which ages are incremented;
- If there are any migrations, the time step at which each migration occurs and the source and destination areas. Note that if there are multiple migrations in a time step and an area is the source of more than one migration, then the migrations will happen in the order that they are defined in the configuration file;
- If maturity is a partition character, the number of maturation episodes per year, and the time step at which each maturation episode occurs;
- In a length-based model, the number of growth episodes per year, and the time step at which each growth episode occurs;
- In an age-based model, the proportion of the years growth which has occurred by the start of each time step <sup>2</sup>;

<sup>1</sup>The SSB (spawning stock biomass) is a common model output and is also the measure of abundance used in stock-recruitment relationships in CASAL<sup>2</sup>(where applicable). Different models define SSB in quite different ways so we allow several options in CASAL<sup>2</sup> as to how SSB is calculated. By default, SSB is calculated for each stock as the mature biomass (of both sexes), in an area (or areas) of your choice, halfway through the natural and fishing mortality in a time step of your choice. There is no default for calulating an SSB. When defining SSB you need, which categories contribute to the SSB, how different age or length classes contribute to SSB through selectivities (i.e maturity being age age or length based), whether SSB happens part way through natural and fishing mortality. It can alternatively be calculated after some other specified proportion of the mortality (see Section 5.4.6) and/or for one sex only. A proportion spawning multiplier can be applied to the mature biomass to get the SSB (in multi-area models this would typically not be done, instead the appropriate proportion of fish would be migrated to the spawning area). If maturity is not a category in the partition, then the modeller may nevertheless know that all fish in the spawning area should be mature (i.e., because only mature fish are meant to migrate) but the model does not know this because maturity is not persistent. In this case the user can specify that the SSB is the total biomass, through the use of a constant selectivity of one.

<sup>2</sup>Fish growth in an age-based model is handled quite differently from a length-based model. The simplest option is to assume that the mean length of a fish is based on its age, rounded down to the next lowest whole number of years. So, for example, 2-year old fish have the same mean length whether they have just passed their 2nd birthday or whether they are about to turn 3. An alternative is to allow some fish growth between birthdays. You can do this using the growth\_proportions parameter. This is a vector with one entry per time step. The mean length of fish of age *a* years

- The proportion of the years natural mortality occurring in each time step;
- The time step and area in which each fishery occurs;
- Whether fishing mortality is instantaneous or uses the Baranov equation <sup>3</sup>
- If there is a disease mortality event, and in which time step this occurs;
- If tagging has been specified, when the tagging event occurs, how many fish by age or length class, in which member of the partition to put the tagged fish, and the tag shedding rates, if defined.

You then need to provide CASAL<sup>2</sup> with details about how each process works. These processes are described individually in Section 5.4.

When defining the annual cycle, there are a number of errors that can be made. Some of the less obvious ones are listed here. It is an error if:

- the sum of the proportions of the years natural mortality over time steps is not 1,
- in an age-based model, any element of growth\_props is outside [0,1]; or if growth\_props is not 0 in the time step in which fish age; or if growth\_props diminishes between consecutive time steps without age incrementation having taken place,
- in a length-based model, more than one growth episode occurs in the same time step, unless they involve different stocks,
- you want to use the Baranov equation and there is a time step that includes two or more fisheries in the same area.

# 4.5. Time sequences

The time sequence of the model is defined in two parts;

- Initialisation
- Run years
- Projection years

## 4.5.1. Annual cycle

The annual cycle is implemented as a set of processes that occur, in a user-defined order, within each year. Time-steps are used to break the annual cycle into separate components, and allow observations to be associated with different sets of processes. Any number of processes can occur within each time-step, in any order and can occur multiple times within each time-step. Note that time-steps are not implemented during the initialisation phases (effectively, there is only one time-step), and that

(rounded down) in the *ith* time step is calculated as if their age was (a+growth\_proportions[i]). So, if the first entry of growth\_proportions is 0.5, then, in time step 1, the mean length of 2-year-old fish is calculated as if they were age 2.5. The default is growth\_proportions = 0 (i.e., no growth between birthdays).

<sup>&</sup>lt;sup>3</sup> Natural mortality and fishing mortality occurring in the same area and time step can be sequenced in two different ways. The first option is to apply half the natural mortality, then to apply the mortalities from all the fisheries instantaneously, then to apply the remaining half of the natural mortality. The second options is to use the Baranov catch equation, which implies that natural and fishing mortalities are simultaneous Not implemented. We prefer the first option the calculations are more straightforward and the result typically about the same. However you can use Baranov if you want, except that we have not yet implemented the Baranov equation for multiple fisheries in the same area in the same time step. Whichever option you use is applied to all fisheries. More on this in Section 5.4.6.

the annual cycle in the initialisation phases can be different from that which is applied during the model years.

#### 4.5.2. Initialisation

There are multiple methods to initialise a partition in CASAL<sup>2</sup>. These methods are: iterative, fixed, and analytical. Model initialisation can occur in several phases, each of which iterates through a number of years carrying out the population processes defined for that phase. At the end of the initialisation step, CASAL<sup>2</sup> runs through the model years carrying out processes in the order defined in the annual cycle, and can evaluate expected values of observations in order to calculate likelihoods, project forward to determine future states, or simulate observations from the current state.

One of CASAL<sup>2</sup> methods for initialising the initial equilibrium state as an iterative process: a general solution that initialises complex structured models can be difficult to implement using analytic techniques. However, initialising via iteration for a long-lived species with complex transitions can take many iterations and be slow to run. In CASAL<sup>2</sup>, we allow for user-defined multi-phased initialisation using iteration to allow the user to optimize models for speed. Each phase of the initialisation can involve any number of processes. Note that the length of the initialisation period may affect the model outputs, and that a period should be chosen to allow the population state to converge.

In addition, each initialisation process can optionally be stopped early if a user defined convergence criteria is met. For a set of user defined years in the initialisation phase, convergence is defined as 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  $\hat{\lambda}$  where,

$$\widehat{\lambda} = \frac{\sum \sum_{i} |\text{element}(i, j)_t - \text{element}(i, j)_{t-1}|}{\sum_{i} \sum_{j} \text{element}(i, j)_t}$$
(4.1)

In each initialisation phase, the processes defined for that phase are carried out and used as the starting point for the following phase or, if it is the last phase, then the years that the model is run over. The first phase is always initialised with each element (i.e., each age and category) set at zero. Note that this means that recruitment processes where the numbers of recruits is based on a stock recruitment or density dependant relationship will likely fail if used in the first phase of an initialisation.

The multi-phase iteration allows the user to determine if the initialisation has converged in a particular model run. Here, add an additional initialisation phase for, say, 1 year as the last initialisation phase (with the same processes applied). Then, using the initialisation reports (@report[label].type=initialisation\_partition), print a copy of the partition just before and just after that phase. If the initialisation has converged to an equilibrium state, then the partition at both these time intervals will be the same.

Hence, for an iterative initialisation you need to define;

- The initialisation phases.
- The number of years in each phase and the processes to apply in each (default is the annual cycle).

## 4.5.3. Model years

Following initialisation, the model then runs over a number of user-defined years. For this part of the model, the annual cycle can be broken into separate time-steps, and observations can be associated with the state of the model at the end of any time-step, i.e., likelihoods for particular observations are evaluated, if required, at the end of each time-step.

Processes are carried out in the order specified within each time-step, and can be the same or different to processes in other initialisation phases of the model. The run years define the years over which the model is to run and the annual cycle within each year. The model runs from the start of year initial and runs to the end of year current. The projection part then extends the run time up to the end of year final.

- The time-steps and the processes applied in each
- The initial year (i.e., the model start year)
- The current year (i.e., the model end year)
- The final year (i.e., the model projection end year)

# 4.5.4. Projections

CASAL<sup>2</sup> can project, from a set of parameter estimates, the state of the model into the future. In a projection run, the model is initialised and run through the model years from initial to the current. Then, the model is run from current to final.

# 4.6. Population processes

check and confirm text

Population processes are those processes that change the population state of individuals. Processes produce changes in the model partition, by adding, removing or moving individuals between ages or categories. The population processes include recruitment, ageing, mortality events (e.g., natural and exploitation) and category transition processes (i.e., processes that move individuals between categories, while preserving their age structure). See Section 4 for a complete list of available processes.

There are two types of processes, processes that occur across multiple time steps in the annual cycle e.g Natural Mortality and Instantaneous Mortality. There are also processes that only occur within the time step they are defined. Each of these processes is carried out in the user-defined prescribed order when initialising the model, and then for a user-defined order in each year in the annual cycle.

#### 4.6.1. Recruitment

check and confirm text

Recruitment processes are defined as process that introduces new individuals into the model. CASAL<sup>2</sup> implements two types of recruitment process, constant recruitment and Beverton-Holt recruitment (Beverton and Holt, 1957).

In the recruitment processes, the number of individuals are added to a single age class within the partition, with the amount defined by the type of recruitment process and its function. If more than one category is defined, then the proportion of recruiting individuals to be added to each category

is specified by the proportions parameter. For example, if recruiting to categories labelled male and female, then you might set the proportions as 0.5 and 0.5 respectively to denote that half of the recruits recruit to the male category and the remaining half to the female category.

For the constant and Beverton-Holt recruitment processes, the number of individuals following recruitment in year y is,

$$element(i, j) \leftarrow element(i, j) + p_j(R_v)$$

$$(4.2)$$

where age is the age defined as the recruitment age,  $p_j$  is the proportion to category k defined to have recruitment, n is the number of spatial locations where recruitment occurs, and the recruitment to each cell is scaled to be proportional to the value of the layer in that cell. See below for how  $R_y$  is determined in each of these cases.

# Craig's attempt at re writting the above

$$N_{a,k} \leftarrow N_{a,k} + p_k(R_{\nu}) \tag{4.3}$$

where a is the age defined as the recruitment age,  $p_k$  is the proportion to category k, and  $R_y$  is the number of recruits for year y. See below for how  $R_y$  is determined in each of these cases.

#### **Constant Recruitment**

check and confirm text

In the constant recruitment process the total number of recruits added each year is  $R_y$ , and is simply  $R_0$ , i.e.

$$R_{\mathbf{y}} = R_0 \tag{4.4}$$

It is equivalent to a Beverton-Holt recruitment process where steepness is set equal to one (h = 1).

For example, to specify a constant recruitment process, where individuals are added to the category 'immature' at age = 1, and the number to add is  $R_0 = 5 \times 10^5$ , then the syntax is

@process Recruitment
type constant\_recruitment
categories immature
proportions 1.0
r0 500000
age 1

#### **Beverton-Holt recruitment**

check and confirm text

In the Beverton-Holt recruitment process the total number of recruits added each year is  $R_y$ , and is the product of the average recruitment  $R_0$ , the annual year class strength multiplier, YCS, and the stock-recruit relationship i.e.,

$$R_{\nu} = R_0 \times YCS_{\nu-\text{offset}} \times SR(SSB_{\nu-\text{offset}})$$
(4.5)

where offset is the number of years offset to link the year class with the year of spawning y, and SR is the Beverton-Holt stock-recruit relationship parametrised by the steepness h,

$$SR(SSB_y) = \frac{SSB_y}{B_0} / \left(1 - \frac{5h - 1}{4h} \left(1 - \frac{SSB_y}{B_0}\right)\right)$$
 (4.6)

Note that the Beverton-Holt recruitment process requires a value for  $B_0$  and  $SSB_y$  to resolve the stock-recruitment relationship. Here, a derived quantity (see Section 4.7) must be defined that provides the annual  $SSB_y$  for the recruitment process.  $B_0$  is then defined as the value of the SSB at the end of one of the initialisation phases. During initialisation the YCS multipliers 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 is assumed to have steepness h = 1 (i.e. in those initialisation phases, recruitment is simply equal to  $R_0$ ). Recruitment in the initialisation phases after the phase where  $B_0$  was determined follow the Beverton-Holt stock-recruit relationship defined above. Recruits are then distributed across cells in proportion to the values in a numeric layer.

For example, assume a Beverton-Holt recruitment process, where individuals are added to the category 'immature' at age = 1, the number to add is  $R_0 = 5 \times 10^5$ . Then SSB\_Biomass is a derived quantity that specifies the total spawning stock biomass, with  $B_0$  the value of the derived quantity at the end of the initialisation phase labelled phase1. The YCS are standardised to have mean one in the period 1994 to 2004, and recruits enter into the model two years following spawning. Then the command specification is

```
@process Recruitment
type recruitment_beverton_holt
categories immature
proportions 1.0
r0 500000
steepness 0.75
age 1
ssb SSB_Biomass
standardise_ycs_years 1994-2004
ycs_years 1994 1995 1996 1997 1998 1999 2000 2001 2002 2003 2004 2005 2006
YCS_values 1 1 1 1 1 1 1 1 1 1 1 1 1
ssb_offset 2
```

## Check

Note that if not specified, ssb\_offset is set at the value of age. This corresponds to cases where recruitment happens after spawning. SSB\_offset can be user-defined to a different value if needed — for example, if recruitment happens in a time-step before spawning, the offset will need to be specified as age + 1.

### 4.6.2. **Ageing**

check and confirm text

The ageing process simply moves all individuals in the named categories to the next age class. The ageing process is defined as,

$$element(i, j) \leftarrow element(i, j - 1) \tag{4.7}$$

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

$$element(i, age_{max}) \leftarrow element(i, age_{max}) + element(i, age_{max-1}). \tag{4.8}$$

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

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

Note that ageing is *not* applied by CASAL<sup>2</sup> by default. As with other processes, CASAL<sup>2</sup> will not apply a process unless its defined and specified as a process within the annual cycle. Hence, it is possible to specify a model where a category is not aged. CASAL<sup>2</sup> will not check or otherwise warn if there is a category defined where ageing is not applied.

## 4.6.3. Mortality

check and confirm text

Four types of mortality processes are permissible in CASAL<sup>2</sup>, constant rate, event, biomass-event and instantaneous. These processes remove individuals from the partition, either as a rate, as a total number (abundance), as a biomass of individuals or as a mixture of these. CASAL<sup>2</sup> does not implement the Baranov catch equation or any other process where both natural and event mortality are applied simultaneously. To apply both natural and biomass-event mortality, the population processes must be defined to remove some natural mortality (e.g. as a constant), then some event mortality (e.g. fishing) in sequence. It is up to the user to specify how this happens.

### **Constant mortality rate**

To specify a constant annual mortality rate (M = 0.2) for categories 'male' and 'female', then,

@process NaturalMortality
type mortality\_constant\_rate
categories male female
selectivities One One
M 0.2 0.2

Note that the mortality rate process requires a selectivity. To apply the same mortality rate over all age classes, use a selectivity defined as  $S_i = 1.0$  for all ages i, e.g.

@selectivity One
type constant
c 1

### **Event and biomass-event mortality**

The event mortality process and biomass mortality processes act in a similar manner, except that they remove a specified abundance (number of individuals) or biomass respectively, rather than applying mortality as a rate. However, the maximum abundance or biomass to remove is constrained by a maximum exploitation rate.

CASAL<sup>2</sup> removes as many individuals or as much biomass as it can while not exceeding the maximum exploitation rate. Event mortality processes require a penalty function to discourage parameter values that do not allow the defined number of individuals to be removed. Here, the model penalises those parameter estimates that result in an insufficient number of individuals in defined categories (after applying selectivities). See Section 5.8 for more information on specifying penalties.

For example, the event mortality applied to user-defined categories i, with the numbers removed at age j determined by a selectivity-at-age  $S_l$  is applied as follows:

First, calculate the vulnerable abundance for each category i in 1...I for ages j = 1...J that are subject to event mortality,

$$V(i,j) = S(j)N(i,j)$$

$$(4.9)$$

And hence define the total vulnerable abundance  $V_{total}$  as,

$$V_{total} = \sum_{i} \sum_{j} V(i, j) \tag{4.10}$$

Hence the exploitation rate to apply is

$$U = \begin{cases} C/V_{total}, & \text{if } C/V_{total} \le U_{max} \\ U_{max}, & \text{otherwise} \end{cases}$$
 (4.11)

And the number removed R from each age j in category i is,

$$R(i,j) = UV(i,j) \tag{4.12}$$

For example, to specify fishing mortality based on catches given for each year, over categories 'immature' and 'mature', with selectivity 'FishingSel' and assuming a maximum possible exploitation rate of 0.7, then 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
```

### Instantaneous mortality

The instantaneous mortality process is a combination of natural mortality and event biomass mortality that occurs across multiple time steps. This process applies half the natural mortality, then to apply the mortalities from all the fisheries instantaneously, then to apply the remaining half of the natural mortality.

When Instantaneous mortality is applied the following equations are used. Steal the rest from CASAL manual

```
@process instant_mort
type mortality_instantaneous
m 0.19
time_step_ratio 0.42 0.25 0.33
selectivities One
categories stock
table catches
year FishingWest FishingEest
1975 80000 111000
1976 152000 336000
1977 74000 1214000
end table
```

```
table fisheries
fishery category selectivity u_max time_step penalty
FishingWest stock westFSel 0.7 step1 CatchPenalty
FishingEest stock eastFSel 0.7 step1 CatchPenalty
end_table
```

#### 4.6.4. Maturation

#### KL comment: Text from CASAL, need to rewrite as relevant to SAM

Maturation is the process in which immature fish become mature and are moved accordingly in the partition. See Section 5.11 for how to treat maturity when it is not a character in the partition.

You can specify a single maturation episode in each year, or you can have multiple maturations. Each episode can apply to one stock, or all stocks equally, and can be applied in one area, or all areas equally. Maturation rates are expressed as an ogive (and note that this ogive contains the rates of maturation, not the proportions of mature fish).

If you try to mature fish in an area where fish are constrained to be immature, CASAL will issue a warning, and will not mature those fish.

So, to specify each maturation episode, the following information is required:

- If it applies to only one stock, which is it?
- If it applies to only one area, which is it?
- The maturation rates, as an ogive, optionally by sex.

# 4.6.5. Migration

*KL comment:* text from CASAL. Rewrites required?

Migration is the process of moving fish from one area to another. It only occurs in multi-area models. You can specify any number of migrations occurring in each year. If two or more migrations are specified in the same time step then they take place in the order in which they are given.

Migration is the process of moving fish from one area to another. For this to be sensibly applied in CASAL<sup>2</sup>there needs to be a category for the source area and a category for the target area. If two or more migrations are specified in the same time step, then they take place in the order in which they are given.

A migration can involve only one stock in an area, or all stocks. You can migrate immature fish only, or mature fish only, or both. You can state that a given proportion of these fish migrate (constant across all age or length classes), or provide an ogive of proportions migrating by age or length class.

A migration can involve any number of categories as long as there is one to one category relationship. That is for every source category there is one target category. You can state that a given proportion of these fish migrate (constant across all age or length classes), or provide a selectivity of proportions migrating by age or length class.

An example, to specify a simple spawning migration of mature males and females moving from a western area to an eastern (spawning) area, then the syntax is

@process Spawning\_migration

type category\_transition
from West.males West.females
to East.males West.females
selectivities MatureSel matureSel

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

**Have not implemented** You cannot migrate fish to an area where their combination of characters is not allowed (CASAL errors out). So, for example, if moving fish to an area where only mature fish are allowed, you need to specify that only mature fish migrate.

CASAL currently supports two-wave migrations. These migrations consist of two waves in different time steps. If pi is the specified proportion of fish migrating from the ith partition element, proportion (pwave pi) will migrate in wave 1 and proportion (1-pwave)pi/(1-(pwavepi)) will migrate in wave 2. Specify these as two separate migrations, give pwave for each, and specify that the first is a '1st wave' and that the second is a '2nd wave'. (No checking is currently carried out that there are two matching waves with the same parameters. Remember that to specify pwave for each, not pwave for the first and (1-pwave) for the second. If you want to estimate pwave, you need to set the estimate same parameter to make sure that pwave takes the same value for both waves.)

CASAL also supports annual variation in migrations and density-dependent migrations. The annual variation allows the migration rate to be modified in a particular year by some factor F. For density dependent migrations, the rate depends on the fish abundance in the source area, the destination area, or both - so, you can encourage fish to move into an under populated area and/or out of an overpopulated area.

Both annual variation and density dependen migration rates are calculated via an odds ratio, and a single factor (F) is applied to all fish in a given migration in a given year, regardless of age, sex, etc. Now let  $P_{a,b}^i(y)$  be the proportion of fish in element i of the partition which migrate from area a to area b in year y, prior to the application of an annual variation or density dependence. (These values depend on the migration rate, or ogive of migration rates, etc.) And let the corresponding odds be

$$O_{a,b}^{i}(y) = \frac{P_{a,b}^{i}(y)}{1 - P_{a,b}^{i}(y)}$$
(4.13)

Then the effect of the annual variation or density dependence is to change the odds to

$$\vartheta_{ab}^{i}(y) = O_{ab}^{i}(y) \times F_{ab}(y) \tag{4.14}$$

and hence the proportion of fish migrating to

$$\Pi_{a,b}^{i}(y) = \frac{\vartheta_{a,b}^{i}(y)}{1 - \vartheta_{a,b}^{i}(y)}$$
(4.15)

For annually-varying migrations, the factor F is just  $\exp(m_y)$ , where  $m_y$  is the annual variation value for year y. For density dependent migrations, F is calculated as follows. In each year y, for each density dependent migration from area a to area b

$$F_{a,b}(y) = \exp\left(-S\left(\frac{A_{a,y} - A_{a,0}}{A_{a,0}}\right) - D\left(\frac{A_{b,y} - A_{b,0}}{A_{b,0}}\right)\right) \tag{4.16}$$

where S is a number expressing the dependence on the abundance in the source area (negative values mean that fish are encouraged to leave an overpopulated area. Set S=0 for no dependence); D is a number expressing the dependence on the abundance in the destination area (positive values mean that fish are encouraged to move to an under populated area – set D=0 for no dependence);  $A_{j,y}$  is the total abundance of all fish in area j, year y (with y=0 meaning the unfished equilibrium level) just before the migration occurs.

Neither annual variations nor density dependence are applied during the calculation of the initial state. In the calculation of the initial state for a model with annually-varying migration, the above factor F is set to  $\exp(\overline{m})$ , where  $\overline{m}$  is the mean of the annual variation values,  $m_y$ , over a user-specified range of years.

The specification of the annual cycle includes the time step, source area, and destination area of each migration. You also need to tell CASAL the following:

- If there are multiple stocks and only one stock migrates, which is it?
- Do only mature fish migrate, or immature fish, or both?
- If a proportion of these fish migrate (constant across age or length classes), what is it? Or, if fish migrate according to an ogive across age or length classes, what is it?
- Is density dependence applied? If so, what are the values of the density dependence parameters *S* and *D*?
- Is an annual variation applied? If so, what are the years (annual\_variation\_years) and values (annual\_variation\_values) of the annual variation, and what range of years should be used in calculating?

Two-wave migrations require more details – see earlier.

#### 4.6.5.1. Tag release events

# 4.6.5.2. Tag shedding rate

### 4.7. Derived quantities

Derived quantities represent a snap shot of abundance or biomass of the partition at a specified point in time. The most common use of derived quantites is to calculate spawning stock biomasses th Derived quantities are associated with the **mortaltiy block** of that time step. This allows you to specify whether the quantity should be at the beginning of mortality, at the end or part-way through a mortality event.

# 4.8. Age-length relationship

The age-length relationship defines the length at age (and the weight at length, see Section 4.8) of individuals at age/category within the model. There are three length-age relationships available in CASAL<sup>2</sup>. The first is the naive no relationship (where each individual has length 1 irrespective of age). The second and third are the von-Bertalanffy and Schnute relationships respectively. The length-at-age relationship is used to determine the length frequency, given age, and then with the length-weight relationship, a weight-at-age of individuals within an age/category.

The three age-length relationships are,

None: where the length of each individual is exactly 1 for all ages, in which case the none length-weight relationship must also be used.

von Bertalanffy: where length at age is defined as,

$$\bar{s}(age) = L_{\infty}(1 - \exp(-k(age - t_0)))$$
 (4.17)

Schnute: where length at age is defined as,

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

$$(4.18)$$

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

When defining length-at-age in CASAL<sup>2</sup>, you must also define a length-weight relationship (see Section 4.8 below).

# Calculation of length-at-age (in an age-based model)

### Interpolation of length-at-age

### Size-weight relationship

There are two length-weight relationship,s available in CASAL<sup>2</sup>. The first is the naive no relationship. Here, the weight of an individual, regardless of length, is always 1. The second is the basic relationship.

The two length-weight relationships are,

• None: The length-weight relationship where

$$mean weight = 1 (4.19)$$

• Basic: The length-weight relationship where the mean weight w of an individual of length l is

$$w = al^b (4.20)$$

Note that if a distribution of length-at-age is specified, then the mean weight is calculated over the distribution of lengths, and is

$$w = (al^b)(1 + cv^2)^{\frac{b(b-1)}{2}}$$
(4.21)

where the cv is the c.v. of lengths-at-age. This adjustment is exact for lognormal distributions, and a close approximation for normal distributions if the c.v. is not large (Bull et al., 2012).

Be careful about the scale of a — this can easily be specified incorrectly. If the catch is in tonnes and the growth curve in centimetres, then a should be on the right scale to convert a length in centimetres to a weight in tonnes. Note that there are reports available that can be used to help check that the units specified are plausible (see Section 7).

# Calculation of mean weight

- 4.9. Weightless model
- 4.10. Maturity, in models without maturing in the partition

### 4.11. Selectivities

A selectivity is a function that can have a different value for each age class. Selectivities are used throughout CASAL<sup>2</sup> to interpret observations (Section 5) or to modify the effects of processes on each age class (Section 4). CASAL<sup>2</sup> implements a number of different parametric forms, including logistic, knife edge, and double normal selectivities.

CASAL concept that has been removed can be removed? A selectivity is always defined to apply just to one category of the partition. To apply the same selectivity to more than one category, then just repeat the selectivity for each category that it is applied to.

Note that selectivities are indexed by age, with indices from min\_age to max\_age. For example, you might have an age-based selectivity that was logistic with 50% selected at age 5 and 95% selected at age 7. This would be defined by the type=logistic with parameters  $a_{50} = 5$  and  $a_{t095} = (7-5) = 2$ . Then the value of the selectivity at age x = 7 is 0.95 and the selectivity at x = 3 is 0.05.

Note that the function values for some choices of parameters for some selectivities can result in an computer numeric overflow error (i.e., the number calculated from parameter values is either too large or too small to be represented in computer memory). CASAL<sup>2</sup> implements range checks on some parameters to test for a possible numeric overflow error before attempting to calculate function values. For example, the logistic selectivity is implemented such that if  $(a50 - x)/ato_95 > 5$  then the value of the selectivity at x = 0, i.e., for a50 = 5,  $ato_95 = 0.1$ , 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  $(a50x)/ato_95 = 40 > 5$ ).

The available selectivities are:

- Constant
- Knife-edge
- All values
- All values bounded
- Increasing
- Logistic
- Inverse logistic
- Logistic producing
- Double normal
- Double exponential
- Cubic spline

The available selectivities are described below.

#### 4.11.1. constant

$$f(x) = C (4.22)$$

The constant selectivity has the estimable parameter C.

### 4.11.2. knife\_edge

$$f(x) = \begin{cases} 0, & \text{if } x < E \\ \alpha, & \text{if } x \ge E \end{cases}$$
 (4.23)

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

#### 4.11.3. all\_values

$$f(x) = V_x \tag{4.24}$$

The all-values selectivity has estimable parameters  $V_{low}$ ,  $V_{low+1}$  ...  $V_{high}$ . Here, you need to provide the selectivity value for each age class.

#### 4.11.4. all\_values\_bounded

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

$$(4.25)$$

The all-values-bounded selectivity has non-estimable parameters L and H. The estimable parameters are  $V_L$ ,  $V_{L+1}$  ...  $V_H$ . Here, you need to provide an selectivity value for each age class from L ... H.

### 4.11.5. increasing

$$f(x) = \begin{cases} 0, & \text{if } x < L \\ f(x-1) + \pi_x(\alpha - f(x-1)), & \text{if } L \le x \le H \\ f(\alpha), & \text{if } x \ge H \end{cases}$$
 (4.26)

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

# 4.11.6. logistic

$$f(x) = \alpha/[1 + 19^{(a_{50} - x)/a_{to95}}] \tag{4.27}$$

The logistic selectivity has estimable parameters  $a_{50}$  and  $a_{to95}$ .  $\alpha$  is a scaling parameter, with default value of  $\alpha = 1$ . The logistic selectivity takes values  $0.5\alpha$  at  $x = a_{50}$  and  $0.95\alpha$  at  $x = a_{50} + a_{to95}$ .

# 4.11.7. inverse\_logistic

$$f(x) = \alpha - \alpha/[1 + 19^{(a_{50} - x)/a_{to95}}]$$
(4.28)

The inverse logistic selectivity has estimable parameters  $a_{50}$  and  $a_{to95}$ .  $\alpha$  is a scaling parameter, with default value of  $\alpha = 1$ . The logistic selectivity takes values  $0.5\alpha$  at  $x = a_{50}$  and  $0.95\alpha$  at  $x = a_{50} - a_{to95}$ .

## 4.11.8. logistic\_producing

$$f(x) = \begin{cases} 0, & \text{if } x < L \\ \lambda(L), & \text{if } x = L \\ (\lambda(x) - \lambda(x - 1)) / (1 - \lambda(x - 1)), & \text{if } L < x < H \\ 1, & \text{if } x \ge H \end{cases}$$
 (4.29)

The logistic-producing selectivity has the non-estimable parameters L and H, and has estimable parameters  $a_{50}$  and  $a_{to95}$ .  $\alpha$  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  $a_{50}$ ,  $a_{to95}$ .

#### 4.11.9. double\_normal

$$f(x) = \begin{cases} \alpha 2^{-[(x-\mu)/\sigma_L]^2}, & \text{if } x \le \mu \\ \alpha 2^{-[(x-\mu)/\sigma_R]^2}, & \text{if } x \ge \mu \end{cases}$$
 (4.30)

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  $x = a_1 + s_R$ .

# 4.11.10. double\_exponential

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

$$(4.31)$$

The double-exponential selectivity has non-estimable parameters  $x_1$  and  $x_2$ , and estimable parameters  $x_0$ ,  $y_0$ ,  $y_1$ , and  $y_2$ .  $\alpha$  is a scaling parameter, with default value of  $\alpha = 1$ . It 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  $(x_0, y_0)$ .

# 4.11.11. spline

The spline selectivity implements a cubic spline that has non-estimable knots, and an estimable value for each knot. The cubic spline is either (i) a natural splines where the second derivatives are set to 0 at the boundaries, i.e., the values at the boundaries are horizontal, (ii) a spline with a fixed first derivative at the boundaries (linear, but not necessarily horizontal) and (iii) spline which turns into a parabola at the boundaries.

## 4.12. Time Varying Parameters

CASAL<sup>2</sup> has the functionality to vary a parameter between the first and final year of a model run. This can be for blocks of years or specific years if chosen. For years that are not specified the parameter will default to the input or if in a iterative state such as estimation mode, the value being trialled at that iteration. Available methods for time varying a parameter.

## 4.12.1. Constant

Allows a parameter to have multiple values during the year.

## 4.12.2. Random Walk

Based on Gaussian AR(1) process

# 4.12.3. Exogenous

parameters are shifted based on an exogenous variable, an example of this is fishing selectivity parameters that may vary between years based on known changed fishing behaviours such as fishing season start time.

### 5. The estimation section

#### 5.1. Role of the estimation section

check and confirm text

KL comment: This text from SPM, a rewrite of CASAL. OK to use?

The role of the estimation section is to define the tasks carried out by CASAL<sup>2</sup>:

- 1. Define the objective function (see Section 5.2)
- 2. Define the parameters to be estimated (see Section 5.3)
- 3. Calculate a point estimate, i.e., the maximum posterior density estimate (MPD) (see Section 5.4).
- 4. Calculate a posterior profile selected parameters, i.e., find, for each of a series of values of a parameter, allowing the other estimated parameters to vary, the minimum value of the objective function (see Section 5.5).
- 5. Generate an MCMC sample from the posterior distribution (see Section 5.6).
- 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 5.4).

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, priors and penalties. See the observation section for a description of the observations, likelihoods, priors and penalties.

### 5.2. The objective function

check and confirm text

*KL comment:* This text from SPM. Does not cover all text in S6.7 of CASAL, e.g. max likelihood. OK to use? Additions required?

In Bayesian estimation, the objective function is a negative log-posterior,

$$Objective(p) = -\sum_{i} \log [L(\mathbf{p}|O_i)] - \log [\pi(\mathbf{p})]$$
(5.1)

where  $\pi$  is the joint prior density of the parameters p.

The contribution to the objective function from the likelihoods are defined in Section 6.1. In addition to likelihoods, priors (see Section 5.7) and penalties (see Section 5.8) are components of the objective function.

Penalties can be used to ensure that the exploitation rate constraints on mortality events (i.e., fisheries) are not breached (otherwise there is nothing to prevent the model from having abundances so low that the recorded mortalities could not have been taken), penalties on category transitions (to ensure there are enough individuals to move), and possibly penalties to encourage estimated values to be similar or smooth, etc.

## 5.3. Specifying the parameters to be estimated

check and confirm text

*KL comment:* This text from SPM. Does not cover all the text in CASAL, e.g. catchabilities. OK to use? Additions required?

The estimable parameters that will be estimated are defined using @estimate commands (see Section 9). An @estimate command-block looks like,

```
@estimate process[MyRecruitment].r0
lower_bound 1000
upper_bound 100000
prior uniform
```

See Section 3.5.5 for instructions on how to generate the parameter name. At least one parameter to be estimated if doing an estimation, profile, or MCMC run. Initial values for the parameters to be estimated will still need to be provided, and these are used as the starting values for the minimiser. However, these may be overwritten if you provide a set of alternative starting values (i.e., using casal2 -i, see Section 3.4).

All parameters are estimated within bounds. For each parameter to be estimated, you need to specify the bounds and the prior (Section 5.7). Note that the bounds and prior for each parameter refer to the values of the parameters, not the actual values resulting from the application of the parameter to an equation. Bounds should be carefully chosen as they effect the space in which the minimisers search over. Minimisers convert lower and upper bound to -1,1 space. Needs to be referenced. If estimating only some elements of a vector, either define the elements of the vector to be estimated (see 3.5.5) or fix the others by setting the bounds equal.

The estimation of parameters can be phased. Here, some of the estimated parameters are initially held fixed, and a minimisation is carried out. Next, some or all of the remaining parameters that were initially held fixed are freed, and another minimisation is carried out. This process continues until all phases have been carried out.

#### 5.4. Point estimation

check and confirm text

*KL comment:* This text from SPM. A rewrite of what's in CASAL and set out differntly. OK to use? Additions required?

Point estimation is invoked with casal2 -e. Mathematically, it is an attempt to find a minimum of the objective function. SPM has two algorithms for solving (minimising) the optimisation problem. The first uses a quasi-Newton minimiser built which is a slightly modified implementation of the main algorithm of Dennis Jr. & Schnabel (Dennis Jr and Schnabel, 1996), while the second uses a genetic algorithm developed by Storn & Price (Storn and Price, 1995), the differential evolution minimiser. However, the second minimiser does not produce an estimate of the covariance matrix, and hence cannot be used to start an MCMC.

### 5.4.1. The numerical differences minimiser

check and confirm text

The minimiser has three kinds of (non-error) exit status:

- 1. Successful convergence (suggests you have found a local minimum, at least).
- 2. Convergence failure (you have not reached a local minimum, though you may deem yourself to be 'close enough' at your own risk).
- 3. Convergence unclear (the minimiser halted but was unable to determine if convergence occurred. You may be at a local minimum, although you should check by restarting the minimiser at the final values of the estimated parameters).

You can choose the maximum number of quasi-Newton iterations and objective function evaluations allotted to the minimiser. If it exceeds either limit, it exits with a convergence failure. We recommend large numbers of evaluations and iterations (at least the defaults of 300 and 1000) unless you successfully reach convergence with less. You can also specify an alternative starting point of the minimiser using casal2 -i.

We want to stress that this is a local optimisation algorithm trying to solve a global optimisation problem. What this means is that, even if you get a 'successful convergence' message, your solution may be only a local minimum, not a global one. To diagnose this problem, try doing multiple runs from different starting points and comparing the results, or doing 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. Be aware 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
- 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.

#### 5.4.2. The differential evolution minimiser

check and confirm text

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 is terminated 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 your problem, you may find that you may need more, or that less will suffice.

We note that 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. Our (limited) experience suggests 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 auto-differentiation minimisers or other more sophisticated algorithms have not been made.

### 5.4.3. The Betadiff minimiser

An auto-differentiable minimiser for non-linear models.

# 5.5. Posterior profiles

check and confirm text

*KL comment:* This text from SPM. A rewrite of what's in CASAL, except for par. 5 and 7. OK to use? Additions required?

If profiles are requested casal2 -p,  $CASAL^2$  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,  $CASAL^2$  will fix its value at a sequence of n evenly spaced numbers (step) between a specified lower and upper bounds l and u, and calculate a point estimate at each value.

By default step = 10, and (l,u) = (lower bound on parameter plus <math>(range/(2n)), 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. CASAL<sup>2</sup> will report the objective function for each parameter value. Note that an initial point estimate should be compared with the profile, not least to check that none of the other points along the profile have a better objective function value than the initial 'minimum'.

You specify which parameters are to be profiled, and optionally the number of steps, lower bound, and upper bound for each. In the case of vector parameters, you will also need to specify the element of the vector being profiled.

You can also supply the initial starting point for the estimation using casal2 -i file — this may improve the minimiser performance for the profiles.

If you get an implausible profile, 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 also may be useful to try both if the minimisers in CASAL<sup>2</sup> and compare the results.

# 5.6. Bayesian estimation

check and confirm text

*KL comment:* This text is from SPM and is nearly verbatim S6.5 in CASASL, but two large sections exluded: ...request covariate matrix change adaptively... and from ...multivariate t dist... onwards. OK to use/ Additions required?

CASAL<sup>2</sup> can use a Monte Carlo Markov Chain (MCMC) to generate a sample from the posterior distribution of the estimated parameters casal<sup>2</sup> -m and output the sampled values to a file (optionally keeping only every nth set of values).

As CASAL<sup>2</sup> has no post-processing capabilities. CASAL<sup>2</sup> cannot produce MCMC convergence diagnostics (use a package such as BOA) or plot/summarize the posterior distributions of the output quantities (for example, using a general-purpose statistical or spreadsheet package such as S-Plus, **R**, or Microsoft Excel).

Bayesian methodology and MCMC are both large and complex topics, and we do not describe either properly here. 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 only briefly describes the MCMC algorithms used in CASAL<sup>2</sup>. See Section 9.3 for a better description of the sequence of CASAL<sup>2</sup> commands used in a full Bayesian analysis.

CASAL<sup>2</sup> uses a straightforward implementation of the 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 and every Nth element of the remainder is taken as the posterior sample. The chain is produced by taking an initial point  $x_0$  and repeatedly applying the following rule, where  $x_i$  is the current point:

- Draw a candidate step s from a proposal distribution J, which should be symmetric i.e., J(-s) = J(s).
- Calculate  $r = min(\pi(x_i + s)/\pi(x_i), 1)$ .
- 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 user can specify the starting point of the point estimate minimiser using casal 2 -i. Don't start it too close to the actual estimate (either by using casal 2 -i, or by changing the initial parameter values in input configuration file) as it takes a few iterations to form a reasonable approximation to the Hessian.

There are two options for the starting point of the Markov Chain:

- Start from the point estimate.
- Start from a random point near the point estimate (the point is generated from a multivariate normal distribution, centred on the point estimate, with covariance equal to the inverse Hessian times a user-specified constant). This may be useful if the chain gets 'stuck' at the point estimate, or if you wish to generate multiple chains from for later MCMC diagnostic tests.
- Start from a point specified by the user with casal2 -i (was NYI, to be included?)

The chain moves in natural space, i.e., no transformations are applied to the estimated parameters. The default proposal distribution is a multivariate t centred on the current point, with covariance matrix equal to a matrix based on the approximate covariance produced by the minimiser, times some stepsize factor. The following steps define the initial covariance matrix of the proposal distribution:

- The covariance matrix is taken as the inverse of the approximate Hessian from the quasi-Newton minimiser.
- The covariance matrix is modified so as to decrease all correlations greater than <code>@mcmc.max\_correlation</code> down to <code>@mcmc.max\_correlation</code>, and similarly to increase all correlations less than <code>-@mcmc.max\_correlation</code> up to <code>-@mcmc.max\_correlation</code> (the <code>@mcmc.max\_correlation</code> parameter defaults to 0.8). This should help to avoid getting 'stuck' in a lower-dimensional subspace.
- The covariance matrix is then modified either by,
  - if <code>@mcmc.adjustment\_method=covariance</code>: that if the variance of the ith parameter is non-zero and less than <code>@mcmc.min\_difference</code> times the difference between the parameters' lower and upper bound, then the variance is changed, without changing the associated correlations, to  $k = \min_d \inf(upper\_bound_i lower\_bound_i)$ . This is done by setting

$$Cov(i, j)' = sqrt(k) Cov(i, j)/sd(i)$$

for  $i \neq j$ , and var(i)' = k

- if @mcmc.adjustment\_method=correlation: that if the variance of the ith parameter is non-zero and less than @mcmc.min\_difference times the difference between the parameters' lower and upper bound, 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 ith 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 <code>@mcmc.min\_difference</code> parameter defaults to 0.0001.

• The @mcmc.stepsize (a scalar factor applied to the covariance matrix to improve the acceptance probability) is chosen 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). However, you may find that a smaller value may often be better.

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 as follows:

- 1. You can request that the stepsize change adaptively at one or more sample numbers. At each adaptation, the stepsize 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. (See Gelman et al. (Gelman et al., 1995) for justification.)
- 2. You can request that the entire covariance matrix change adaptively at one or more sample numbers. At each adaptation, it is replaced with a matrix based on the sample covariance of an earlier section of the chain. The theory here is that the covariance of a portion of chain could potentially be a better estimate of the covariance of the posterior distribution than the inverse Hessian. (was NYI, to be included?)

The procedure used to choose the sample of points is as follows. First, 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 CASAL<sup>2</sup> 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 moved this often, it is again a fatal error. If this test is passed, the set of points is systematically sub-sampled down to 1000 points (it must be at least this long to start with). (was NYI, to be included?)

The variance-covariance matrix of this sub-sample of chain is calculated. As above, correlations greater than <code>@mcmc.max\_correlation</code> are reduced to <code>@mcmc.max\_correlation</code>, correlations less than <code>@mcmc.max\_correlation</code> are increased to <code>@mcmc.max\_correlation</code>, and very small non-zero variances are increased (<code>@mcmc.covariance\_adjustment</code> and <code>@mcmc.min\_difference</code>. The result is the new variance-covariance matrix of the proposal distribution. (<code>was NYI</code>, to be included?)

The stepsize parameter is now on a completely different scale, and must be reset. It is set to a user-specified value (which may or may not be the same as the initial stepsize). We recommend that some of the stepsize adaptations are set to occur after this, so that the stepsize can be readjusted to an appropriate value which gives good acceptance probabilities with the new matrix. (was NYI, to be included?)

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. The number of covariance modifications by each iteration is recorded as a column on the objectives file. (*was NYI*, *to be included?*)

The probability of acceptance for each jump is 0 if it would move out of the bounds, or 1 if it improves the posterior, or (new posterior/old posterior) otherwise. You can specify how often the position of the chain is recorded using the keep parameter. For example, with keep 10, only every 10th sample is recorded.

You have the option to specify that some of the estimated parameters are fixed during the MCMC. If the chain starts at the point estimate or at a random location, these fixed parameters are set to their values at the point estimate.

If you specify the start of the chain using casal2 -i, these fixed parameters are set to the values in the file. (was NYI, to be included?)

The posterior sample can be used for (projections (Section 4.5.4)(was NYI, to be included?)) or simulations (Section 6.7) with the values supplied using casal 2 -i file.

(following from CASAL, to be included?)

A multivariate t distribution is available as an alternative to the multivariate normal proposal distribution. If you request multivariate t proposals, you may want to change the degrees of freedom from the default of 4. As the degrees of freedom decrease, the t distribution becomes more heavy tailed. This may lead to better convergence properties.

Having produced one or more Markov chains and looked at the diagnostics, reload all the chain output files into CASAL and use them to generate a single posterior sample (using -C). At this stage, the first burn\_in iterations for each chain are discarded (so, with keep 10, burn\_in 1000, the first 1000 recorded samples are discarded for each chain). Unless a very large value of keep was originally chosen, it will be necessary to further reduce the size of the posterior sample (possibly down to several hundred) such that it can be analysed in a reasonable amount of time. This is done by sub-sampling. You specify the size of the sub-sample to be produced (or else no sub-sampling is done). You have the option to generate a systematic sub-sample (i.e., every nth point is kept) or a random sub-sample (the former is recommended except with prior re-weighting, when the latter must be used).

Given a posterior (sub)sample, CASAL can calculate a list of output quantities for each sample

point (see Section 7.2). These quantities can be dumped into a file (using casal -v) 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 7.3) and stochastic yield calculations (Section 7.5). The advantage of this is that the parameter uncertainty, as expressed in your posterior distribution, can be included into the risk and yield estimates.

It is possible to investigate the results that would have been obtained if a different prior had been specified This is called prior re-weighting and is done by calculating the ratio of the new prior to the original prior for each point in the posterior sample, then using these ratios as probability weights when generating a random (not systematic) sub-sample with casal -C. Prior re-weighting is applicable only if the new prior is zero in every part of the parameter space for which the original prior was zero. Also, it is likely to be numerically unstable unless the new prior is very small in every part of the parameter space for which the original prior was very small.

#### 5.7. Priors

In a Bayesian analysis, you need to give a prior for every parameter that is being estimated. There are no default priors.

Note that 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 bounds are applied. The moments of the prior after the bounds are applied may differ.

CASAL<sup>2</sup> has the following priors (expressed in terms of their contribution to the objective function):

1. Uniform

$$-\log(\pi(p)) = 0 \tag{5.2}$$

2. Uniform-log (i.e.,  $log(p) \sim uniform$ )

$$-\log(\pi(p)) = \log(p) \tag{5.3}$$

3. Normal with mean  $\mu$  and c.v. c

$$-\log\left(\pi(p)\right) = 0.5 \left(\frac{p-\mu}{c\mu}\right)^2 \tag{5.4}$$

4. Normal with mean  $\mu$  and standard deviation  $\sigma$ 

$$-\log(\pi(p)) = 0.5 \left(\frac{p-\mu}{\sigma}\right)^2 \tag{5.5}$$

5. Lognormal with mean  $\mu$  and c.v. c

$$-\log(\pi(p)) = \log(p) + 0.5 \left(\frac{\log(p/\mu)}{s} + \frac{s}{2}\right)^2$$
 (5.6)

where s is the standard deviation of  $\log(p)$  and  $s = \sqrt{\log(1+c^2)}$ . (following from CASAL, to be included?)

6. Normal-log with  $\log(p)$  having mean m and standard deviation s,

6. Beta with mean  $\mu$  and standard deviation  $\sigma$ , and range parameters A and B

$$-\log(\pi(p)) = (1-m)\log(p-A) + (1-n)\log(B-p)$$
(5.7)

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  $\tau \le 0$ .

## (following from CASAL, to be included?)

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.

In addition, for a vector p of n identically distributed parameters (for example, YCS) the following priors are allowed:

```
    Multivariate normal from a stationary AR(1) process with parameters
    Multivariate normal-log, where log(p) forms a stationary AR(1) process as per 1. above, with parameters
    Multivariate normal-log with mean 1, where E(pi)=1 and log(p) forms a stationary AR(1) process as for the multivariate normal above, with parameters
    .
```

# 5.8. Penalties

check and confirm text

*KL comment:* This text from SPM, currently iSAM coded as described here. CASAL documentation (S6.7.6) includes 11 penalties. Will this be included?

Penalties can be used to encourage or discourage parameter values or model outputs that are unlikely to be sensible, by adding a penalty to the objective function. For example, parameter estimates that do not allow a known mortality event to remove enough individuals from the population can be discouraged with an event mortality penalty. CASAL<sup>2</sup> requires penalty functions for processes that move or shift a *number* of individuals between categories or from the partition.

For most penalties, you need to specify a multiplier, and the objective function is increased by this multiplier times the penalty value as described below. In some cases you will need to make the multiplier quite large to prohibit some model behaviour.

Currently, the penalties for the processes <code>@process[label].type=event\_mortality</code> and <code>@process[label].type=category\_transition</code> are the only penalties implemented.

For both of these processes, two types of penalty can be defined, natural scale (the default) and log scale. Both of these types add a penalty value of the squared difference between the observed value (i.e., 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), times the penalty multiplier.

The natural scale penalty just uses at the squared difference on a natural scale, while the log scale penalty uses the squared difference of the logged values.

### 5.9. Estimate Transformations

CASAL<sup>2</sup> has the untested functionality of transforming a parameter on a new scale. When parameters are estimated or used in MCMC they are transformed on the desired scale, and after each iteration they are untransformed and used in the annual cycle. Each transformation will contribute a Jacobian to the objective function taking into account the new distribution. The user must supply the lower and upper bound for the transformed variable.

- 5.9.1. log
- 5.9.2. Inverse
- 5.9.3. Log odds
- 5.9.4. Log odds
- 5.9.5. Simplex

#### 6. The observation section

#### 6.1. Observations and likelihoods

Observations are typically supplied as observations at an instance in time, over some spatially aggregated area. Time series of observations can be supplied as separate observations for each year or point in time.

CASAL<sup>2</sup> allows the following types of observations;

- Observations of proportions by age class within categories
- Observations of proportions between categories within age classes
- Relative and absolute abundance/biomass observations

The definitions for each type of observation are described below, including how the observed values should be supplied, how CASAL<sup>2</sup> calculates the expected values, and the likelihoods that are available for each type of observation.

CASAL<sup>2</sup> evaluates the observations at the end of a time-step (i.e., after all of the processes for that time-step have been applied). However, the observation can be applied to the abundance at the start of a time-step or part-way through a time-step by the use of the proportion\_time\_step subcommand.

By default (i.e., if proportion\_method = mean), the partition at some point p during the time-step is then evaluated as the weighted sum between the start and end of the time-step, i.e., for any element i in the partition,  $n_i = (1-p)n_i^{start} + pn_i^{end}$ . Note that it may not be sensible to use a value other than one, depending on the processes that happen during the time-step (for example, if the time-step contains an ageing process).

If the proportion\_method = difference, then the observation is of the *difference* between the population state at the start of the time-step and the end. This can be used to generate expected values for observations of, for example removals due to a mortality event, by only having a single process in the time-step. In this case, the proportion\_time\_step is simply a multiplier of the population state.

### 6.2. Proportions-at-age observations

Proportions-at-age observations are observations of either the relative number of individuals at age or relative biomass 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), for categories aggregated over a set of spatial cells. 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 <code>@model.min\_age</code> and <code>@model.max\_age</code> inclusive), but 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.

Proportions-at-age observations can be supplied as;

- 1. a set of proportions for a single category,
- 2. a set of proportions for multiple categories, or
- 3. a set of proportions across aggregated categories.

For example, for a model with the two categories *male* and *female*, we might supply either (i) a set of proportions for a single category (i.e., males) within each age class; (ii) a set of proportions describing the proportions of individuals within each age class across multiple categories (i.e., males and females) simultaneously, or (iii) a set of proportions for the total number of individuals over the aggregated categories (i.e., males + females) combined, within each age class.

The way the categories of the observation are defined specifies which of these alternatives are used. It is also possible to have an observation with multiple and aggregated categories simultaneously.

# Proportions-at-age for a single category

This form of defining the observation is the simplest, and 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 <code>@observation[label].type=proportion\_by\_age command is</code>,

```
categories male
```

CASAL<sup>2</sup> then expects 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 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 ignoring any males aged less than 3 or 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.

The observations must be also supplied using all or some of the the values of defined by some *categorical* layer. CASAL<sup>2</sup> calculates the expected values by summing over the defined ages (via the age range and selectivity) and categories for those spatial cells where the categorical layer has the same value as defined for each vector of observations.

For example, in a  $2 \times 2$  spatial model a categorical layer (e.g., with label Area) may define that cells (1,1) and (1,2) have value A and cells (2,1) and (2,2) have value B, i.e.,

```
@layer Area
type categorical
data A A
data B B
```

The observations for those spatial cells where the categorical layer has value A would be,

```
@observation MyProportions
type proportions_at_age
layer Area
...
categories male
min_age 1
max_age 5
obs A 0.01 0.09 0.20 0.30 0.40
...
```

### Or, for both A and B as,

```
@observation MyProportions
type proportions_at_age
layer Area
...
categories male
min_age 1
max_age 5
obs A 0.01 0.09 0.20 0.30 0.40
obs B 0.02 0.06 0.12 0.25 0.55
...
```

Note that to have an observation for each individual spatial cell in a model, then define a categorical layer that has a single, unique value for each spatial cell for use in the observation.

## Proportions-at-age for multiple categories

This form of the observation extends the idea above for multiple categories. 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 <code>@observation[label].type=proportion\_by\_age command is</code>,

```
categories male female
```

CASAL<sup>2</sup> then expects 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.

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 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 within each of these age classes (after ignoring those aged less than 3 or 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, using the earlier spatial model with a categorical layer that has label Area, the observations for those spatial cells where the categorical layer has value A would be,

```
@observation MyProportions
type proportions_at_age
layer Area
...
categories male female
min_age 1
max_age 5
obs A 0.01 0.05 0.10 0.20 0.20 0.01 0.05 0.15 0.20 0.03
obs B 0.02 0.06 0.10 0.21 0.18 0.02 0.05 0.15 0.20 0.01
```

## Proportions-at-age across aggregated categories

This form of the observation extends the idea above, but 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
```

CASAL<sup>2</sup> then expects 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 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 ignoring those aged less than 3 or 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, using the earlier spatial model with a categorical layer that has label Area, the observations for those spatial cells where the categorical layer has value A would be,

```
@observation MyProportions
type proportions_at_age
layer Area
...
categories male + female
min_age 1
max_age 5
obs A 0.02 0.13 0.25 0.30 0.30
obs B 0.02 0.06 0.18 0.35 0.39
...
```

The later 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 1–4, a total of 12 proportions are required

```
@observation MyProportions
type proportions_at_age
layer Area
...
categories male_immature male_mature female_immature + female_mature
min_age 1
max_age 4
obs A 0.05 0.15 0.15 0.05 0.02 0.03 0.08 0.04 0.05 0.15 0.15 0.08
```

#### 6.2.1. Likelihoods for proportions-at-age observations

CASAL<sup>2</sup> implements two likelihoods for proportions-at-age observations, the multinomial likelihood and the lognormal likelihood.

### The multinomial likelihood

For the observed proportions at age  $O_i$  for age classes i, with sample size N, and the expected proportions at the same age classes  $E_i$ , the negative log-likelihood is defined as;

$$-\log(L) = -\log(N!) + \sum_{i} \log((NO_{i})!) - NO_{i} \log(Z(E_{i}, \delta))$$
(6.1)

where  $\sum_{i} O_{i} = 1$  and  $\sum_{i} E_{i} = 1$ .  $Z(\theta, \delta)$  is a robustifying function to prevent division by zero errors, with parameter  $\delta > 0$ .  $Z(\theta, \delta)$  is defined as,

$$Z(\theta, \delta) = \begin{cases} \theta, & \text{where } \theta \ge r \\ \delta/(2 - \theta/\delta), & \text{otherwise} \end{cases}$$
 (6.2)

The default value of  $\delta$  is  $1 \times 10^{-11}$ .

# The lognormal likelihood

For the observed proportions at age  $O_i$  for age classes i, with c.v.  $c_i$ , and the expected proportions at the same age classes  $E_i$ , the negative log-likelihood is defined as;

$$-\log(L) = \sum_{i} \left( \log(\sigma_i) + 0.5 \left( \frac{\log(O_i/Z(E_i, \delta))}{\sigma_i} + 0.5\sigma_i \right)^2 \right)$$

$$(6.3)$$

where

$$\sigma_i = \sqrt{\log\left(1 + c_i^2\right)} \tag{6.4}$$

and the  $c_i$ 's are the c.v.s for each age class i, and  $Z(\theta, \delta)$  is a robustifying function to prevent division by zero errors, with parameter  $\delta > 0$ .  $Z(\theta, \delta)$  is defined as,

$$Z(\theta, \delta) = \begin{cases} \theta, & \text{where } \theta \ge r \\ \delta/(2 - \theta/\delta), & \text{otherwise} \end{cases}$$
 (6.5)

The default value of  $\delta$  is  $1 \times 10^{-11}$ .

# 6.3. 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 some selected age classes of the population (i.e., for a range of ages multiplied by a selectivity), for categories aggregated over a set of spatial cells.

The age range must be ages defined in the partition (i.e., between <code>@model.min\_age</code> and <code>@model.max\_age</code> inclusive), but 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*, we might supply observations of the proportions of males in the population at each age class. 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, e.g.,

categories male

```
categories2 female
selectivities male-selectivity
selectivities2 female-selectivity
```

defines that the proportion of males in each age class as a proportion of males + females. CASAL<sup>2</sup> then expects 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 the ages 3, 4, 5, 6, 7, 8, 9, and 10). The expected values will be the expected proportions of male to male + female within each of these age classes, after applying the selectivities at the year and time-step specified.

The observations must be supplied using all or some of the values defined by a categorical layer. CASAL<sup>2</sup> calculates the expected values by summing over the ages (via the age range and selectivity) and categories for those spatial cells where the categorical layer has the same value as defined for each vector of observations.

For example, in a  $2 \times 2$  spatial model a categorical layer (e.g., with label Area) may define that cells (1,1) and (1,2) have value A and cells (2,1) and (2,2) have value B, i.e.,

```
@layer Area
type categorical
data A A
data B B
```

Here we supply observations for those spatial cells where the categorical layer has value A as,

```
@observation MyProportions
type proportions_by_category
layer Area
...
categories male
categories2 female
min_age 1
max_age 5
obs A 0.01 0.05 0.10 0.20 0.20
```

### Or, for both A and B as,

```
@observation MyProportions
type proportions_by_category
layer Area
...
categories male
categories2 female
min_age 1
max_age 5
obs A 0.01 0.05 0.10 0.20 0.20
obs B 0.02 0.06 0.10 0.21 0.18
...
```

To supply an observation for individual spatial cells, then you will need to define a categorical layer with a single, unique value for each spatial cell.

# 6.3.1. Likelihoods for proportions-by-category observations

CASAL<sup>2</sup> 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 defined as;

$$-\log(L) = -\sum_{i} [\log(N_{i}!) - \log((N_{i}(1 - O_{i}))!) - \log((N_{i}O_{i})!) + N_{i}O_{i}\log(Z(E_{i}, \delta)) + N_{i}(1 - O_{i})\log(Z(1 - E_{i}, \delta))]$$
(6.6)

where  $Z(\theta, \delta)$  is a robustifying function to prevent division by zero errors, with parameter  $\delta > 0$ .  $Z(\theta, \delta)$  is defined as,

$$Z(\theta, \delta) = \begin{cases} \theta, & \text{where } \theta \ge r \\ \delta/(2 - \theta/\delta), & \text{otherwise} \end{cases}$$
 (6.7)

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;

$$-\log\left(L\right) = \sum_{i} \log\left(\sqrt{Z(E_{i},\delta)Z(1-E_{i},\delta)/N_{i}}\right) + \frac{1}{2} \left(\frac{O_{i} - E_{i}}{\sqrt{Z(E_{i},\delta)Z(1-E_{i},\delta)/N_{i}}}\right)^{2}$$
(6.8)

where  $Z(\theta, \delta)$  is a robustifying function to prevent division by zero errors, with parameter  $\delta > 0$ .  $Z(\theta, \delta)$  is defined as,

$$Z(\theta, \delta) = \begin{cases} \theta, & \text{where } \theta \ge r \\ \delta/(2 - \theta/\delta), & \text{otherwise} \end{cases}$$
 (6.9)

The default value of  $\delta$  is  $1 \times 10^{-11}$ .

### 6.4. 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 observations 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 just the number of individuals.

Each observation is 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), for categories aggregated over a set of spatial cells. Further, you need to provide the label of the catchability coefficient q, which can either be estimated of fixed. For absolute abundance or absolute biomass observations, define a catchability where q = 1.

The observations can be supplied for any set of categories. For example, for a model with the two categories *male* and *female*, we might supply an observation of the total abundance/biomass (male + female) or just male abundance/biomass. 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. CASAL<sup>2</sup> then expects that there will be a single observation 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.

The observations must be supplied using all or some of the the values of defined by a categorical layer. CASAL<sup>2</sup> calculates the expected values by summing over the defined ages (via the age range and selectivity) and categories for those spatial cells where the categorical layer has the same value as defined for each vector of observations.

For example, in a  $2 \times 2$  spatial model a categorical layer (e.g., with label Area) may define that cells (1,1) and (1,2) have value A and cells (2,1) and (2,2) have value B, i.e.,

```
@layer Area
type categorical
data A A
data B B
```

Here we supply abundance observations for those spatial cells where the categorical layer has value A as,

```
@observation MyAbundance
type abundance
layer Area
...
categories male
obs A 1000
...
```

#### Or, for both A and B as,

```
@observation MyAbundance
type abundance
layer Area
...
categories male
obs A 1000
obs B 1200
...
```

To supply an observation for individual spatial cells, then you will need to define a categorical layer with a single, unique value for each spatial cell.

Note that, to define a biomass observation instead of an abundance observation, use

```
@observation MyBiomass
type biomass
...
```

## 6.4.1. Likelihoods for abundance observations

## The lognormal likelihood

For observations  $O_i$ , c.v.  $c_i$ , and expected values  $qE_i$ , the negative log-likelihood is defined as;

$$-\log(L) = \sum_{i} \left( \log(\sigma_i) + 0.5 \left( \frac{\log(O_i/qZ(E_i, \delta))}{\sigma_i} + 0.5\sigma_i \right)^2 \right)$$

$$(6.10)$$

where

$$\sigma_i = \sqrt{\log\left(1 + c_i^2\right)} \tag{6.11}$$

and  $Z(\theta, \delta)$  is a robustifying function to prevent division by zero errors, with parameter  $\delta > 0$ .  $Z(\theta, \delta)$  is defined as,

$$Z(\theta, \delta) = \begin{cases} \theta, & \text{where } \theta \ge r \\ \delta/(2 - \theta/\delta), & \text{otherwise} \end{cases}$$
 (6.12)

The default value of  $\delta$  is  $1 \times 10^{-11}$ .

#### The normal likelihood

For observations  $O_i$ , c.v.  $c_i$ , and expected values  $qE_i$ , the negative log-likelihood is defined as;

$$-\log\left(L\right) = \sum_{i} \left(\log\left(c_{i}E_{i}\right) + 0.5\left(\frac{O_{i} - E_{i}}{Z\left(c_{i}E_{i}, \delta\right)}\right)^{2}\right) \tag{6.13}$$

and  $Z(\theta, \delta)$  is a robustifying function to prevent division by zero errors, with parameter  $\delta > 0$ .  $Z(\theta, \delta)$  is defined as,

$$Z(\theta, \delta) = \begin{cases} \theta, & \text{where } \theta \ge r \\ \delta/(2 - \theta/\delta), & \text{otherwise} \end{cases}$$
 (6.14)

The default value of  $\delta$  is  $1 \times 10^{-11}$ .

### 6.5. Process error

Additional 'process error' can be defined for each 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 where the likelihood is parameterised by the c.v., you can specify the process error for a given set of observations as a c.v., in which case all the c.v.s  $c_i$  are changed to

$$c_i' = \sqrt{c_i^2 + c_{process\_error}^2} \tag{6.15}$$

Note that  $c_{process\_error} \ge 0$ , and that  $c_{process\_error} = 0$  is equivalent to no process error.

Similarly, if the likelihood is parameterised by the effective sample size N,

$$N_i' = \frac{1}{1/N_i + 1/N_{process\_error}} \tag{6.16}$$

Note that this requires that  $N_{process\_error} > 0$ , but we allow the special case of  $N_{process\_error} = 0$ , and define  $N_{process\_error} = 0$  as 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. Be clear that a large value for the *N* process error means a small process error.

# 6.6. Ageing error

CASAL<sup>2</sup> can apply ageing error age frequency observations. Ageing error is applied to the expected values for proportions-at-age observations. The ageing error is applied as a misclassification matrix, which has the effect of 'smearing' the age frequencies. These 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 ?? for reporting the misclassification matrix.

The ageing error models implemented are,

- 1. None: The default model is to apply no ageing error.
- 2. 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.
- 3. 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.

Note that the expected values (fits) reported by CASAL<sup>2</sup> for observations with ageing error will have had the ageing error applied.

#### 6.7. Simulating observations

CASAL<sup>2</sup> can generate simulated observations for a given model with given parameter values (using spm -s). Simulated observations are randomly distributed values, generated according to the error assumptions 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 CASAL<sup>2</sup> uses for simulating observations is to first run using the 'true' parameter values and generate the expected values. Then, if a set of observations uses 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 simulated values, depend on the specific likelihood type of each observation.

1. 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  $E_ic_i$ .

- 2. 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  $E_ic_i$  respectively. The robustification parameter  $\delta$  is ignored.
- 3. 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,
  - (a) A sample of N values from 1 to n is generated using the multinomial distribution, using sample probabilities proportional to the values of  $E_i$ .
  - (b) Each simulated observation value  $S_i$  is calculated as the proportion of the N sampled values equalling i
  - (c) The simulated observation values  $S_i$  are then rescaled so that their sum is equal to 1
- 4. 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,
  - (a) A sample of  $N_i$  independent binary variates is generated, equalling 1 with probability  $E_i$
  - (b) The simulated observation value  $S_i$  is calculated as the sum of these binary variates divided by  $N_i$

Note that  $CASAL^2$  will report simulated observations using the usual observation report (@report[label].type=observation). The report @report[label].type=simulated\_observation will generate simulated observations in a form suitable for use as input within a  $CASAL^2$  input configuration file. See Section 7 for more detail.

#### 6.8. Pseudo-observations

CASAL<sup>2</sup> 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 CASAL<sup>2</sup> 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. CASAL<sup>2</sup> can also generate simulated observations from pseudo-observations. Note that;

- Output will only be generated if a report command @report[label].type=observation is specified.
- The observed values should be supplied (even if they are 'dummy' observation). These will be processed by CASAL<sup>2</sup> as if they were actual observation values, and must conform to the validations carried out for the other types of likelihood.
- The subcommands likelihood, obs, error\_value and process\_error have no effect when generating the expected values for the pseudo-observation.
- When simulating observations, CASAL<sup>2</sup> needs the subcommand simulation\_likelihood to tell it what sort of 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. The report section

The report section the output users wish the model to dump after there desired run. These reports include snapshots of the partition after each time step, parameter estimates after each iteration, objective function values, MCMC attributes and others. All reports begin with the @report command, followed by the label, type, and sub commands specific for certain reports, for example. Specifying CASAL<sup>2</sup> to print out the expected, observed, residuals and likelihood contribution values from a set of observations, the command would go,

```
@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 ...
```

Reporting in debug mode. All through out the code base there are LOG() commands that come at varies levels. The most detailed is LOG\_TRACE(), followed by, LOG\_FINEST(),LOG\_FINE() and LOG\_MEDIUM(). These were implemented by developers and will print on the fly which method, state the model is in and sometimes quantities within methods. These are useful for isolating where crashes are occurring in the model. Because unlike @report, which cache reports in memory, logging out will print on the go.

#### 8. Population command and subcommand syntax

For ease of reading CASAL<sup>2</sup> files in text editors, there exists a syntax highlighter CASAL<sup>2</sup>. syn

#### 8.1. Model structure

**@model** label Define an object type Model

age\_plus Define the oldest age as a plus group

Type: boolean Default: false Value: true, false

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

initialisation\_phases Define the labels of the phases of the initialisation

Type: string vector Default: true

Value: A list of valid labels defined by @initialisation\_phase

label

Type: string

Default: No Default

length\_bins

Type: constant vector

Default: true

max\_age Maximum age of individuals in the population

Type: non-negative integer

Default: 0

Value:  $0 \le age_{min} \le age_{max}$ 

min\_age Minimum age of individuals in the population

Type: non-negative integer

Default: 0

 $Value: 0 \leq age_{min} \leq age_{max}$ 

Type: non-negative integer

Default: 0

Value: Defines the last year of the projection period, i.e., the projection period runs from final\_year+1

to  $projection\_final\_year$ . For the default, 0, no projections are run.

#### 8 Population command and subcommand syntax

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,  $\geq 1$ , e.g. 1990

time\_steps Define the labels of the time steps, in the order that they are applied, to form the

annual cycle Type: string vector Default: No Default

Value: A list of valid labels defined by @time\_step

type Type of model (the partition structure). Either age, length or hybrid

Type: string Default: age

#### 8.2. Initialisation

@initialisation\_phase label Define an object type Initialisation\_Phase

label Label Type: string

Default: No Default

type Type
Type: string
Default: iterative

#### 8.2.1. @initialisation\_phase[label].type=cinitial

categories List of categories to use

Type: string vector Default: No Default

label Label Type: string

Default: No Default

type Type
Type: string
Default: iterative

## 8.2.2. @initialisation\_phase[label].type=derived

exclude\_processes

The processes to exclude from all time steps

Type: string vector Default: true

insert\_processes

The processes to insert in to target time steps

Type: string vector Default: true

label Label

Type: string
Default: No Default

type Type
Type: string
Default: iterative

# 8.2.3. @initialisation\_phase[label].type=iterative

convergence\_years The years to test for convergence

Type: non-negative integer vector

Default: true

exclude\_processes The processes to exclude from all time steps

Type: string vector Default: true

insert\_processes T

The processes to insert in to target time steps

Type: string vector Default: true

label Label Type: string

Default: No Default

1ambda Lambda
Type: constant
Default: Double(0.0

type Type
Type: string
Default: iterative

years The number of iterations to execute this phase for

Type: non-negative integer

Default: No Default

# 8.2.4. @initialisation\_phase[label].type=state\_category\_by\_age

categories List of categories to use

Type: string vector Default: No Default

label Label Type: string

Default: No Default

max\_age Maximum age to use for this process

Type: non-negative integer Default: No Default

min\_age Minimum age to use for this process

Type: non-negative integer Default: No Default

type Type
Type: string
Default: iterative

#### 8.3. Categories

**@categories** label Define an object type Categories

age\_lengths The labels of age\_length objects that are assigned to categories

Type: string vector Default: true

format The format that the category names should adhere too

Type: string

Default: No Default

names The names of the categories to be used in the model

Type: string vector Default: No Default

years The years that individual categories will be active for. This overrides the model values

Type: string vector Default: true

## 8.4. Time-steps

@time\_step label Define an object type Time\_Step

label Label Type: string

Default: No Default

processes Processes

Type: string vector Default: No Default

type

Type: string

Default: No Default

#### 8.5. Processes

**@process** label Define an object type Process

Type: boolean Default: false

label Label Type: string

Default: No Default

type Type
Type: string

Default: No Default

## 8.5.1. @process[label].type=ageing

categories Categories

Type: string vector Default: No Default

Type: boolean Default: false

label Label Type: string

type Type
Type: string

Default: No Default

## 8.5.2. @process[label].type=growth

Type: boolean Default: false

label Label Type: string

Default: No Default

type Type
Type: string

Default: No Default

## 8.5.3. @process[label].type=maturation

Type: boolean Default: false

from List of categories to mature from

Type: string vector Default: No Default

label Label Type: string

Default: No Default

rates The rates to mature for each year

Type: constant vector Default: No Default

selectivities List of selectivities to use for maturation

Type: string vector Default: No Default

to List of categories to mature too

Type: string vector Default: No Default type Type
Type: string

Default: No Default

years The years to be associated with rates

Type: non-negative integer vector

Default: No Default

# 8.5.4. @process[label].type=mortality\_constant\_rate

categories List of categories

Type: string vector Default: No Default

Type: boolean Default: false

label Label Type: string

Default: No Default

Mortality ratesType: constant vectorDefault: No Default

 $\mbox{time\_step\_ratio} \quad \mbox{ Time step ratios for } M \\$ 

Type: constant vector

Default: true

selectivities Selectivities

Type: string vector Default: No Default

type Type
Type: string

Default: No Default

## 8.5.5. @process[label].type=mortality\_event

catches Catches
Type: constant vector
Default: No Default

categories Categories

Type: string vector Default: No Default

Type: boolean Default: false

label Label Type: string

Default: No Default

penalty Penalty label

Type: string Default: ""

selectivities List of selectivities

Type: string vector Default: No Default

type Type
Type: string

Default: No Default

u\_max U Max
Type: constant
Default: 0.99

years Years

Type: non-negative integer vector

Default: No Default

# 8.5.6. @process[label].type=mortality\_event\_biomass

catches Catches for each year

Type: constant vector Default: No Default

categories Category labels

Type: string vector Default: No Default

Type: boolean Default: false label Label Type: string

Default: No Default

penalty Penalty label

Type: string Default: ""

selectivities Selectivity labels

Type: string vector Default: No Default

type Type
Type: string

Default: No Default

u\_max U Max
Type: constant
Default: 0.99

years Years to apply mortality
Type: non-negative integer vector

Default: No Default

# 8.5.7. @process[label].type=mortality\_holling\_rate

a parameter aType: constantDefault: No Default

Lower Bound: 0.0 (inclusive)

b parameter b
Type: constant
Default: No Default

Lower Bound: 0.0 (inclusive)

Type: boolean Default: false

label Label Type: string

#### 8 Population command and subcommand syntax

penalty Label of penalty to be applied

Type: string Default: ""

Type: string vector Default: No Default

predator\_selectivities Selectivities for predator categories

Type: string vector Default: No Default

Type: string vector Default: No Default

Type: string vector Default: No Default

type Type
Type: string

Default: No Default

u\_max Umax
Type: constant
Default: No Default

Lower Bound: 0.0 (inclusive) Upper Bound: 1.0 (inclusive)

x parameter x Type: constant

Default: No Default

Lower Bound: 0.0 (inclusive)

years Year to execute in

Type: non-negative integer vector

Default: No Default

## 8.5.8. @process[label].type=mortality\_instantaneous

categories Categories for natural mortality

Type: string vector Default: No Default Type: boolean Default: false

m Mortality rates

Type: constant vector Default: No Default

Lower Bound: 0.0 (inclusive) Upper Bound: 1.0 (inclusive)

selectivities Selectivities for Natural Mortality

Type: string vector Default: No Default

time\_step\_ratio Time step ratios for M

Type: constant vector

Default: true

Lower Bound: 0.0 (inclusive) Upper Bound: 1.0 (inclusive)

type Type
Type: string

Default: No Default

#### 8.5.9. @process[label].type=mortality\_prey\_suitability

Type: constant
Default: No Default

Lower Bound: 0.0 (inclusive) Upper Bound: 1.0 (inclusive)

Type: boolean Default: false

electivities Prey Electivities

Type: constant vector Default: No Default

Lower Bound: 0.0 (inclusive) Upper Bound: 1.0 (inclusive)

label Label Type: string

#### 8 Population command and subcommand syntax

penalty Label of penalty to be applied

Type: string Default: ""

Type: string vector Default: No Default

predator\_selectivities Selectivities for predator categories

Type: string vector Default: No Default

Type: string vector Default: No Default

prey\_selectivities Selectivities for prey categories

Type: string vector Default: No Default

type Type
Type: string

Default: No Default

u\_max Umax
Type: constant
Default: No Default

Lower Bound: 0.0 (inclusive) Upper Bound: 1.0 (inclusive)

years Year that process occurs
Type: non-negative integer vector

Default: No Default

## 8.5.10. @process[label].type=nop

Type: boolean Default: false

label Label Type: string

Default: No Default

type Type

Type: string

Default: No Default

#### 8.5.11. @process[label].type=recruitment\_beverton\_holt

age Age to recruit at

Type: non-negative integer

Default: true

categories Category labels

Type: string vector Default: No Default

Type: boolean Default: false

label Label Type: string

Default: No Default

b0 B0 Label

Type: string Default: ""

prior\_standardised\_ycs

Priors for year class strength on ycs values (not standardised ycs

values

Type: boolean Default: true

proportions Proportions

Type: constant vector Default: No Default

r0 R0

Type: constant
Default: No Default

ssb SSB Label (derived quantity

Type: string
Default: No Default

Type: integer Default: 0

standardise\_ycs\_years Years that are included for year class standardisation

Type: non-negative integer vector

Default: true

steepness Steepness

Type: constant Default: 1.0

type Type
Type: string

Default: No Default

ycs\_values YCS Values

Type: constant vector Default: No Default

# 8.5.12. @process[label].type=recruitment\_constant

age Age

Type: non-negative integer Default: No Default

categories Categories

Type: string vector Default: No Default

Type: boolean Default: false

label Label Type: string

Default: No Default

proportions Proportions

Type: constant vector

Default: true

r0 R0

Type: constant Default: No Default

Lower Bound: 0.0 (exclusive)

type Type
Type: string

Default: No Default

## 8.5.13. @process[label].type=tag\_by\_age

Type: boolean Default: false

from Categories to transition from

Type: string vector Default: No Default

initial\_mortality

Type: constant
Default: Double(0

initial\_mortality\_selectivity

Type: string Default: ""

label Label Type: string

Default: No Default

loss\_rate

Type: constant vector Default: No Default

loss\_rate\_selectivities

Type: string vector Default: true

max\_age Maximum age to transition

Type: non-negative integer Default: No Default

min\_age Minimum age to transition

Type: non-negative integer Default: No Default

n

Type: constant vector

Default: true

penalty Penalty label

Type: string Default: ""

selectivities

Type: string vector Default: No Default

to Categories to transition to

Type: string vector Default: No Default

type Type

Type: string

Default: No Default

 $u_max$  U Max

Type: constant Default: 0.99

years Years to execute the transition in

Type: non-negative integer vector

Default: No Default

#### 8.5.14. @process[label].type=tag\_by\_length

Type: boolean Default: false

from Categories to transition from

Type: string vector Default: No Default

initial\_mortality

Type: constant
Default: Double(0

initial\_mortality\_selectivity

Type: string Default: ""

label Label

Type: string

Default: No Default

loss\_rate

Type: constant vector Default: No Default

loss\_rate\_selectivities

Type: string vector Default: true

Type: constant Default: Double(0

n

Type: constant vector

Default: true

penalty Penalty label

Type: string Default: ""

plus\_group Use plus group for last length bin

Type: boolean Default: false

selectivities

Type: string vector Default: No Default

to Categories to transition to

Type: string vector Default: No Default

type Type
Type: string

Default: No Default

u\_max U Max
Type: constant
Default: 0.99

years Years to execute the transition in

Type: non-negative integer vector

Default: No Default

#### 8.5.15. @process[label].type=transition\_category

Type: boolean Default: false

from From
Type: string vector
Default: No Default

label Label Type: string

Default: No Default

proportions Proportions

Type: constant vector Default: No Default

selectivities Selectivity names

Type: string vector Default: No Default

to To

Type: string vector Default: No Default

type Type
Type: string

Default: No Default

## 8.5.16. @process[label].type=transition\_category\_by\_age

Type: boolean Default: false

from Categories to transition from

Type: string vector Default: No Default

label Label

Type: string

Default: No Default

max\_age Maximum age to transition

Type: non-negative integer

Default: No Default

min\_age Minimum age to transition

Type: non-negative integer Default: No Default

penalty Penalty label

Type: string Default: ""

to Categories to transition to

Type: string vector Default: No Default

type Type
Type: string

Default: No Default

u\_max U Max
Type: constant
Default: 0.99

years Years to execute the transition in

Type: non-negative integer vector

Default: No Default

## 8.6. Time varying parameters

@time\_varying label Define an object type Time\_Varying

label Label Type: string

Default: No Default

parameter Parameter to vary

Type: string

Default: No Default

type Type

Type: string Default: ""

years Years to recalculate the values

Type: non-negative integer vector

Default: No Default

# 8.6.1. @time\_varying[label].type=annual\_shift

а

Type: constant Default: No Default

b

Type: constant
Default: No Default

С

Type: constant Default: No Default

label Label Type: string

Default: No Default

parameter Parameter to vary

Type: string

Default: No Default

scaling\_years

Type: non-negative integer vector

Default: true

type Type
Type: string
Default: ""

values

Type: constant vector Default: No Default

years Years to recalculate the values

Type: non-negative integer vector

## 8.6.2. @time\_varying[label].type=constant

label Label Type: string

Default: No Default

parameter Parameter to vary

Type: string

Default: No Default

type Type
Type: string
Default: ""

value Value to assign to estimable

Type: constant
Default: No Default

years Years to recalculate the values

Type: non-negative integer vector

Default: No Default

# 8.6.3. @time\_varying[label].type=exogenous

a Shift parameter

Type: constant
Default: No Default

exogeneous\_variable Values of exogeneous variable for each year

Type: constant vector Default: No Default

label Label Type: string

Default: No Default

parameter Parameter to vary

Type: string

Default: No Default

type Type
Type: string
Default: ""

years Years to recalculate the values

Type: non-negative integer vector

Default: No Default

## 8.6.4. @time\_varying[label].type=random\_walk

distribution distribution

Type: string Default: normal

label Label Type: string

Default: No Default

mean Mean
Type: constant
Default: 0

parameter Parameter to vary

Type: string

Default: No Default

sigma Standard deviation

Type: constant Default: 1

type Type
Type: string

Default: ""

years Years to recalculate the values

Type: non-negative integer vector

Default: No Default

#### 8.7. Derived quantities

**@derived\_quantity** label Define an object type Derived\_Quantity

categories The list of categories to use when calculating the derived quantity

Type: string vector Default: No Default

label Label Type: string

 $\verb|time_step_proportion_method|$ 

Type: string

Default: weighted\_sum

Allowed Values: weighted\_sum, weighted\_product

selectivities The list of selectivities to use when calculating the derived quantity. 1 per

category

Type: string vector Default: No Default

Type: string

Default: No Default

time\_step\_proportion

Type: constant
Default: Double(1.0

type Type
Type: string

Default: No Default

#### 8.7.1. @derived\_quantity[label].type=abundance

categories The list of categories to use when calculating the derived quantity

Type: string vector Default: No Default

label Label Type: string

Default: No Default

time\_step\_proportion\_method

Type: string

Default: weighted\_sum

Allowed Values: weighted\_sum, weighted\_product

selectivities The list of selectivities to use when calculating the derived quantity. 1 per

category

Type: string vector Default: No Default

time\_step The time step to calculate the derived quantity after

Type: string

time\_step\_proportion

Type: constant
Default: Double(1.0

type Type
Type: string

Default: No Default

# 8.7.2. @derived\_quantity[label].type=biomass

categories The list of categories to use when calculating the derived quantity

Type: string vector Default: No Default

label Label Type: string

Default: No Default

time\_step\_proportion\_method

Type: string

Default: weighted\_sum

Allowed Values: weighted\_sum, weighted\_product

selectivities The list of selectivities to use when calculating the derived quantity. 1 per

category

Type: string vector Default: No Default

Type: string

Default: No Default

time\_step\_proportion

Type: constant
Default: Double(1.0

type Type
Type: string

Default: No Default

#### 8.8. Age-length relationship

@age\_length label Define an object type Age\_Length

Type: constant
Default: Double(0.0

Lower Bound: 0.0 (inclusive)

Type: constant
Default: Double(0.0

Lower Bound: 0.0 (inclusive)

distribution TBA

Type: string Default: normal

label Label Type: string

Default: No Default

time\_step\_proportions

Type: constant vector

Default: true

type Type
Type: string

Default: No Default

## 8.8.1. @age\_length[label].type=data

by\_length Specifies if the linear interpolation of CV's is a linear function of mean length at age. Default is just by age

Type: boolean

Default: true

Type: constant
Default: Double(0.0

Lower Bound: 0.0 (inclusive)

Type: constant
Default: Double(0.0

Lower Bound: 0.0 (inclusive)

distribution TBA

Type: string
Default: normal

external\_gaps
Type: string
Default: mean

Allowed Values: mean, nearest\_neighbour

internal\_gaps
Type: string
Default: mean

Allowed Values: mean, nearest\_neighbour, interpolate

label Label Type: string

Default: No Default

length\_weight TBA

Type: string

Default: No Default

time\_step\_proportions
Type: constant vector

Default: true

type Type
Type: string

Default: No Default

#### 8.8.2. @age\_length[label].type=none

Type: constant
Default: Double(0.0

Lower Bound: 0.0 (inclusive)

Type: constant Default: Double(0.0

Lower Bound: 0.0 (inclusive)

distribution TBA

Type: string
Default: normal

label Label Type: string

Default: No Default

time\_step\_proportions

Type: constant vector

Default: true

type Type
Type: string

Default: No Default

## 8.8.3. @age\_length[label].type=schnute

a TBA

Type: constant Default: No Default

Lower Bound: 0.0 (inclusive)

 $\texttt{b} \qquad TBA$ 

Type: constant Default: No Default

Lower Bound: 0.0 (exclusive)

by\_length TBA

Type: boolean Default: true

Type: constant
Default: Double(0.0

Lower Bound: 0.0 (inclusive)

Type: constant
Default: Double(0.0

Lower Bound: 0.0 (inclusive)

distribution TBA

Type: string
Default: normal

label Label Type: string

#### length\_weight TBA

Type: string

Default: No Default

#### taul TBA

Type: constant
Default: No Default

#### tau2 TBA

Type: constant
Default: No Default

#### time\_step\_proportions

Type: constant vector

Default: true

#### type Type

Type: string

Default: No Default

#### y1 TBA

Type: constant Default: No Default

#### y2 TBA

Type: constant Default: No Default

## 8.8.4. @age\_length[label].type=von\_bertalanffy

by\_length Specifies if the linear interpolation of CV's is a linear function of mean length at

age. Default is just by age

Type: boolean Default: true

#### 

Type: constant
Default: Double(0.0)

Lower Bound: 0.0 (inclusive)

#### 

Type: constant
Default: Double(0.0

Lower Bound: 0.0 (inclusive)

#### distribution TBA

Type: string
Default: normal

#### k TBA

Type: constant Default: No Default

Lower Bound: 0.0 (inclusive)

label Label Type: string

Default: No Default

length\_weight TBA

Type: string

Default: No Default

#### linf TBA

Type: constant Default: No Default

Lower Bound: 0.0 (inclusive)

#### t0 TBA

Type: constant Default: No Default

time\_step\_proportions

Type: constant vector

Default: true

type Type

Type: string

Default: No Default

# 8.9. Length-weight

@length\_weight label Define an object type Length\_Weight

label Label Type: string

Default: No Default

type Type

Type: string

Default: No Default

# 8.9.1. @length\_weight[label].type=basic

a A

Type: constant Default: No Default

b B

Type: constant
Default: No Default

label Label Type: string

Default: No Default

type Type
Type: string

Default: No Default

units Units of measure (tonnes, kgs, grams

Type: string

Default: No Default

## 8.9.2. @length\_weight[label].type=none

label Label Type: string

Default: No Default

type Type
Type: string

Default: No Default

## 8.10. Selectivities

**@selectivity** label Define an object type Selectivity

label Label
Type: string

Type: boolean Default: false

intervals Number of quantiles to evaluate a length based selectivity over the age length

distribution

Type: non-negative integer

Default: 5

type Type
Type: string

Default: No Default

### 8.10.1. @selectivity[label].type=all\_values

label Label Type: string

Default: No Default

Type: boolean Default: false

intervals Number of quantiles to evaluate a length based selectivity over the age length

distribution

Type: non-negative integer

Default: 5

type Type
Type: string

Default: No Default

v V

Type: constant vector Default: No Default

## 8.10.2. @selectivity[label].type=all\_values\_bounded

h **H** 

Type: non-negative integer Default: No Default

label Label

#### 8 Population command and subcommand syntax

Type: string

Default: No Default

Type: boolean Default: false

1 L

Type: non-negative integer Default: No Default

intervals Number of quantiles to evaluate a length based selectivity over the age length distribution

Type: non-negative integer

Default: 5

type Type
Type: string

Default: No Default

v V

Type: constant vector Default: No Default

## 8.10.3. @selectivity[label].type=constant

c C

Type: constant Default: No Default

label Label Type: string

Default: No Default

Type: boolean Default: false

intervals Number of quantiles to evaluate a length based selectivity over the age length distribution

Type: non-negative integer

Default: 5

type Type

Type: string

Default: No Default

#### 8.10.4. @selectivity[label].type=double\_exponential

alpha Alpha
Type: constant
Default: 1.0

label Label Type: string

Default: No Default

Type: boolean Default: false

intervals Number of quantiles to evaluate a length based selectivity over the age length distribution

Type: non-negative integer

Default: 5

type Type
Type: string

Default: No Default

x0 **X0** 

Type: constant Default: No Default

x1 X1

Type: constant Default: No Default

x2 **X2** 

Type: constant
Default: No Default

y0 **Y**0

Type: constant
Default: No Default

y1 Y1

Type: constant
Default: No Default

y2 **Y2** 

Type: constant Default: No Default

# 8.10.5. @selectivity[label].type=double\_normal

alpha Alpha
Type: constant
Default: 1.0

label Label Type: string

Default: No Default

Type: boolean Default: false

 $\quad \text{mu} \quad Mu$ 

Type: constant
Default: No Default

intervals Number of quantiles to evaluate a length based selectivity over the age length

distribution

Type: non-negative integer

Default: 5

sigmal Sigma L

Type: constant
Default: No Default

sigma\_r Sigma R

Type: constant Default: No Default

type Type
Type: string

## 8.10.6. @selectivity[label].type=increasing

alpha Alpha
Type: constant
Default: 1.0

#### h **High**

Type: non-negative integer Default: No Default

label Label Type: string

Default: No Default

Type: boolean Default: false

#### 1 Low

Type: non-negative integer Default: No Default

intervals Number of quantiles to evaluate a length based selectivity over the age length distribution

Type: non-negative integer

Default: 5

type Type
Type: string

Default: No Default

#### v V

Type: constant vector Default: No Default

## 8.10.7. @selectivity[label].type=inverse\_logistic

a50 A50
Type: constant
Default: No Default

alpha Alpha
Type: constant
Default: 1.0

ato95 aTo95
Type: constant
Default: No Default

label Label Type: string

Default: No Default

Type: boolean Default: false

intervals Number of quantiles to evaluate a length based selectivity over the age length distribution

Type: non-negative integer

Default: 5

type Type
Type: string

Default: No Default

# 8.10.8. @selectivity[label].type=knife\_edge

alpha Alpha
Type: constant
Default: 1.0

e Edge

Type: constant Default: No Default

label Label Type: string

Default: No Default

Type: boolean Default: false

intervals Number of quantiles to evaluate a length based selectivity over the age length distribution

Type: non-negative integer

Default: 5

type Type

Type: string

Default: No Default

# 8.10.9. @selectivity[label].type=logistic

a50 A50

Type: constant Default: No Default

alpha Alpha
Type: constant
Default: 1.0

ato95 Ato95
Type: constant
Default: No Default

label Label Type: string

Default: No Default

Type: boolean Default: false

intervals Number of quantiles to evaluate a length based selectivity over the age length distribution

Type: non-negative integer

Default: 5

type Type
Type: string

Default: No Default

# 8.10.10. @selectivity[label].type=logistic\_producing

a50 A50

Type: constant Default: No Default

alpha Alpha
Type: constant
Default: 1.0

ato95 Ato95
Type: constant

Default: No Default

h High

Type: non-negative integer Default: No Default

label Label Type: string

Default: No Default

Type: boolean Default: false

1 Low

Type: non-negative integer Default: No Default

 $\hbox{intervals} \qquad \hbox{Number of quantiles to evaluate a length based selectivity over the age length}$ 

distribution

Type: non-negative integer

Default: 5

type Type
Type: string

Default: No Default

# 9. Estimation command and subcommand syntax

#### 9.1. Estimation methods

**@estimate** label Define an object type Estimate

estimation\_phase TBA Type: non-negative integer

Default: 1u

label Label
Type: string
Default: ""

lower\_bound The lowest value the parameter is allowed to have

Type: constant Default: No Default

mcmc TBA
Type: boolean
Default: false

parameter The name of the variable to estimate in the model

Type: string

Default: No Default

prior The name of the prior to use for the parameter

Type: string Default: ""

same A list of parameters that are bound to the value of this estimate

Type: string vector

Default: ""

type Type Type: string

Default: No Default

upper\_bound The highest value the parameter is allowed to have

Type: constant Default: No Default

# 9.1.1. @estimate[label].type=beta

a A

Type: constant
Default: No Default

b B

Type: constant Default: No Default

estimation\_phase TBA
Type: non-negative integer

Default: 1u

label Label Type: string

Default: ""

lower\_bound The lowest value the parameter is allowed to have

Type: constant
Default: No Default

mcmc TBA
Type: boolean
Default: false

mu **Mu** 

Type: constant Default: No Default

parameter The name of the variable to estimate in the model

Type: string

Default: No Default

prior The name of the prior to use for the parameter

Type: string Default: ""

same A list of parameters that are bound to the value of this estimate

Type: string vector

Default: ""

sigma Sigma Type: constant

Default: No Default

Lower Bound: 0.0 (exclusive)

type Type
Type: string

Default: No Default

upper\_bound The highest value the parameter is allowed to have

Type: constant
Default: No Default

#### 9.1.2. @estimate[label].type=lognormal

cv Cv

Type: constant Default: No Default

Lower Bound: 0.0 (exclusive)

estimation\_phase TBA

Type: non-negative integer

Default: 1u

label Label
Type: string
Default: ""

lower\_bound The lowest value the parameter is allowed to have

Type: constant
Default: No Default

mcmc TBA
Type: boolean
Default: false

> Type: constant Default: No Default

Lower Bound: 0.0 (exclusive)

parameter The name of the variable to estimate in the model

Type: string

Default: No Default

prior The name of the prior to use for the parameter

Type: string Default: ""

same A list of parameters that are bound to the value of this estimate

Type: string vector

Default: ""

type Type
Type: string

Default: No Default

upper\_bound The highest value the parameter is allowed to have

Type: constant
Default: No Default

# 9.1.3. @estimate[label].type=normal

cv Cv
Type: constant

Default: No Default

Lower Bound: 0.0 (exclusive)

estimation\_phase TBA

Type: non-negative integer

Default: 1u

label Label

Type: string Default: ""

lower\_bound The lowest value the parameter is allowed to have

Type: constant
Default: No Default

mcmc TBA

Type: boolean Default: false

mu **M**u

Type: constant
Default: No Default

parameter The name of the variable to estimate in the model

Type: string

Default: No Default

prior The name of the prior to use for the parameter

Type: string
Default: ""

same A list of parameters that are bound to the value of this estimate

Type: string vector

Default: ""

type Type

Type: string

Default: No Default

upper\_bound The highest value the parameter is allowed to have

Type: constant Default: No Default

#### 9.1.4. @estimate[label].type=normal\_by\_stdev

estimation\_phase TBA
Type: non-negative integer

Default: 1u

label Label
Type: string
Default: ""

lower\_bound The lowest value the parameter is allowed to have

Type: constant
Default: No Default

mcmc TBA
Type: boolean
Default: false

mu Mu

Type: constant Default: No Default

parameter The name of the variable to estimate in the model

Type: string

Default: No Default

prior The name of the prior to use for the parameter

Type: string Default: ""

same A list of parameters that are bound to the value of this estimate

Type: string vector

Default: ""

sigma Sigma
Type: constant
Default: No Default

Lower Bound: 0.0 (exclusive)

type Type
Type: string

upper\_bound The highest value the parameter is allowed to have

Type: constant Default: No Default

#### 9.1.5. @estimate[label].type=normal\_log

estimation\_phase TBA

Type: non-negative integer

Default: 1u

label Label

Type: string Default: ""

lower\_bound The lowest value the parameter is allowed to have

Type: constant Default: No Default

mcmc TBA

Type: boolean Default: false

 $\quad \text{mu} \quad Mu$ 

Type: constant Default: No Default

parameter The name of the variable to estimate in the model

Type: string

Default: No Default

prior The name of the prior to use for the parameter

Type: string Default: ""

same A list of parameters that are bound to the value of this estimate

Type: string vector

Default: ""

sigma Sigma

Type: constant Default: No Default

Lower Bound: 0.0 (exclusive)

type Type

Type: string

Default: No Default

upper\_bound The highest value the parameter is allowed to have

Type: constant Default: No Default

#### 9.1.6. @estimate[label].type=uniform

estimation\_phase TBA Type: non-negative integer

D f 1, 1

Default: 1u

label Label
Type: string
Default: ""

lower\_bound The lowest value the parameter is allowed to have

Type: constant Default: No Default

mcmc TBA
Type: boolean
Default: false

parameter The name of the variable to estimate in the model

Type: string

Default: No Default

prior The name of the prior to use for the parameter

Type: string Default: ""

same A list of parameters that are bound to the value of this estimate

Type: string vector

Default: ""

type Type
Type: string

Default: No Default

upper\_bound The highest value the parameter is allowed to have

Type: constant Default: No Default

# 9.1.7. @estimate[label].type=uniform\_log

estimation\_phase TBA
Type: non-negative integer

Default: 1u

label Label
Type: string
Default: ""

lower\_bound The lowest value the parameter is allowed to have

Type: constant
Default: No Default

mcmc TBA
Type: boolean
Default: false

parameter The name of the variable to estimate in the model

Type: string

Default: No Default

prior The name of the prior to use for the parameter

Type: string Default: ""

same A list of parameters that are bound to the value of this estimate

Type: string vector

Default: ""

type Type
Type: string

Default: No Default

upper\_bound The highest value the parameter is allowed to have

Type: constant Default: No Default

# 9.2. Point estimation

@minimiser label Define an object type Minimiser

active True if this minimiser is active

Type: boolean Default: false covariance True if a covariance matrix should be created

Type: boolean Default: true

label Label Type: string

Default: No Default

type Type of minimiser to use

Type: string

Default: No Default

#### 9.2.1. @minimiser[label].type=a\_d\_o\_l\_c

active True if this minimiser is active

Type: boolean Default: false

covariance True if a covariance matrix should be created

Type: boolean Default: true

tolerance Tolerance of the gradient for convergence

Type: constant Default: 0.02

label Label Type: string

Default: No Default

evaluations Maximum number of evaluations

Type: integer Default: 4000

iterations Maximum number of iterations

Type: integer Default: 1000

step\_size Minimum Step-size before minimisation fails

Type: constant Default: 1e-7

type Type of minimiser to use

Type: string

# 9.2.2. @minimiser[label].type=beta\_diff

active True if this minimiser is active

Type: boolean Default: false

covariance True if a covariance matrix should be created

Type: boolean Default: true

tolerance Tolerance of the gradient for convergence

Type: constant Default: 2e-3

label Label Type: string

Default: No Default

evaluations Maximum number of evaluations

Type: integer Default: 4000

iterations Maximum number of iterations

Type: integer Default: 1000

type Type of minimiser to use

Type: string

Default: No Default

# 9.2.3. @minimiser[label].type=c\_p\_p\_a\_d

active True if this minimiser is active

Type: boolean Default: false

covariance True if a covariance matrix should be created

Type: boolean Default: true

label Label Type: string

type Type of minimiser to use

Type: string

Default: No Default

# 9.2.4. @minimiser[label].type=d\_e\_solver

active True if this minimiser is active

Type: boolean Default: false

covariance True if a covariance matrix should be created

Type: boolean Default: true

crossover\_probability TBA

Type: constant Default: 0.9

difference\_scale The scale to apply to new solutions when comparing candidates

Type: constant Default: 0.02

label Label Type: string

Default: No Default

max\_generations The maximum number of iterations to run

Type: non-negative integer

Default: No Default

method The type of candidate generation method to use

Type: string Default: ""

Value: not\_yet\_implemented

Type: non-negative integer Default: No Default

tolerance The total variance between the population and best candidate before acceptance

Type: constant Default: 0.01

type Type of minimiser to use

Type: string

Default: No Default

#### 9.2.5. @minimiser[label].type=d\_lib

active True if this minimiser is active

Type: boolean Default: false

covariance True if a covariance matrix should be created

Type: boolean Default: true

label Label Type: string

Default: No Default

type Type of minimiser to use

Type: string

Default: No Default

# 9.2.6. @minimiser[label].type=dummy

active True if this minimiser is active

Type: boolean Default: false

covariance True if a covariance matrix should be created

Type: boolean Default: true

label Label Type: string

Default: No Default

type Type of minimiser to use

Type: string

# 9.2.7. @minimiser[label].type=gamma\_diff

active True if this minimiser is active

Type: boolean Default: false

covariance True if a covariance matrix should be created

Type: boolean Default: true

tolerance Tolerance of the gradient for convergence

Type: constant Default: 0.02

label Label Type: string

Default: No Default

evaluations Maximum number of evaluations

Type: integer Default: 4000

iterations Maximum number of iterations

Type: integer Default: 1000

step\_size Minimum Step-size before minimisation fails

Type: constant Default: 1e-7

type Type of minimiser to use

Type: string

Default: No Default

# 9.3. Monte Carlo Markov Chain (MCMC)

**@mcmc** label Define an object type MCMC

active Is this the active MCMC algorithm

Type: boolean Default: true

label Label Type: string

length The number of chain links to create

Type: non-negative integer Default: No Default

print\_default\_reports

Type: boolean Default: true

type Type
Type: string
Default: ""

#### 9.3.1. @m\_c\_m\_c[label].type=independence\_metropolis

active Is this the active MCMC algorithm

Type: boolean Default: true

Type: non-negative integer vector

Default: true

correlation\_adjustment\_diff TBA

Type: constant Default: 0.0001

covariance\_adjustment\_method Method for adjusting small variances in the covariance

proposal matrix
Type: string
Default: covariance

df Degrees of freedom of the multivariate t proposal distribution

Type: non-negative integer

Default: 4

keep Spacing between recorded values in the chain

Type: non-negative integer

Default: 1u

label Label Type: string

Default: No Default

length The number of chain links to create

Type: non-negative integer

Default: No Default

max\_correlation Maximum absolute correlation in the covariance matrix of the proposal

distribution
Type: constant
Default: 0.8

print\_default\_reports

Type: boolean Default: true

proposal\_distribution The shape of the proposal distribution (either t or normal

Type: string Default: t

start Covariance multiplier for the starting point of the Markov chain

Type: constant Default: 0.0

Type: constant Default: 0.02

Type: string
Default: ""

### 9.4. Profiles

**@profile** 1abe1 Define an object type Profile

label Label
Type: string
Default: ""

lower\_bound The lower bounds

Type: constant Default: No Default

parameter The system parameter to profile

Type: string

Default: No Default

steps The number of steps to take between the lower and upper bound

Type: non-negative integer

Default: No Default

type

Type: string

Default: No Default

upper\_bound The upper bounds

Type: constant
Default: No Default

#### 9.5. Defining catchability constants

**@catchability** *label* Define an object type Catchability

label Label Type: string

Default: No Default

type

Type: string

Default: No Default

# 9.5.1. @catchability[label].type=free

label Label

Type: string

Default: No Default

The catchability amount

Type: constant Default: No Default

type

Type: string

Default: No Default

#### 9.6. Defining penalties

**@penalty** label Define an object type Penalty

label Label

Type: string

type Type
Type: string

Default: No Default

# 9.6.1. @penalty[label].type=process

label Label Type: string

Default: No Default

log\_scale Log scale

Type: boolean Default: false

multiplier Multiplier

Type: constant Default: 1.0

type Type
Type: string

Default: No Default

# 9.7. Defining priors on parameter ratios, differences and means

**@additional\_prior** label Define an object type Additional\_Prior

label Label
Type: string

Default: No Default

type Type
Type: string

Default: No Default

# 9.7.1. @additional\_prior[label].type=beta

a A

Type: constant Default: No Default

b B

Type: constant
Default: No Default

label Label Type: string

Default: No Default

mu **Mu** 

Type: constant
Default: No Default

sigma Sigma
Type: constant
Default: No Default

Lower Bound: 0.0 (inclusive)

type Type
Type: string

Default: No Default

# 9.7.2. @additional\_prior[label].type=vector\_average

k K Value to use in the calculation

Type: constant Default: No Default

label Label Type: string

Default: No Default

method What calculation method to use (k, l, m

Type: string Default: k

multiplier Multiplier for the penalty amount

Type: constant Default: 1

parameter Label of the estimate to generate penalty on

Type: string

Default: No Default

type Type
Type: string

# 9.7.3. @additional\_prior[label].type=vector\_smoothing

label Label Type: string

Default: No Default

log\_scale Log scale

Type: boolean Default: false

lower\_bound First element to apply the penalty to in the vector

Type: non-negative integer

Default: 0u

multiplier Multiplier for the penalty amount

Type: constant Default: 1

parameter Label of the estimate to generate penalty on

Type: string

Default: No Default

r Penalty applied to rth differences

Type: non-negative integer

Default: 2u

type Type
Type: string

Default: No Default

Type: non-negative integer

Default: 0u

#### 10. Observation command and subcommand syntax

### 10.1. Observation types

The observation types available are,

Observations of proportions of individuals by age class

Observations of proportions of individuals between categories within each 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 type Observation

categories Category labels to use

Type: string vector Default: true

Type: constant
Default: Double(1.0

label Label Type: string

Default: No Default

Type: constant
Default: Double(1.0

likelihood Type of likelihood to use

Type: string

Default: No Default

simulation\_likelihood Simulation likelihood to use

Type: string Default: ""

type Type of observation

Type: string

Default: No Default

#### 10.1.1. @observation[label].type=abundance

categories Category labels to use

Type: string vector Default: true

Type: constant
Default: Double(1.0

label Label Type: string

likelihood\_multiplier Likelihood score multiplier

Type: constant
Default: Double(1.0

likelihood Type of likelihood to use

Type: string

Default: No Default

selectivities Selectivity labels to use

Type: string vector Default: true

Type: string Default: ""

time\_step Time step to execute in

Type: string

Default: No Default

type Type of observation

Type: string

Default: No Default

#### 10.1.2. @observation[label].type=biomass

catchability Catchability of Biomass

Type: string

Default: No Default

categories Category labels to use

Type: string vector Default: true

Type: constant

Default: Double(1e-10

Type: constant Default: Double(1.0

error\_value The error values to use against the observation values

Type: constant vector Default: No Default label Label Type: string

Default: No Default

Type: constant
Default: Double(1.0

likelihood Type of likelihood to use

Type: string

Default: No Default

obs Observation values

Type: string vector Default: No Default

process\_error Process error

Type: constant
Default: Double(0.0

selectivities Selectivity labels to use

Type: string vector Default: true

Type: string Default: ""

Type: string

Default: No Default

type Type of observation

Type: string

Default: No Default

years Years to execute in

Type: non-negative integer vector

# 10.1.3. @observation[label].type=proportions\_at\_age

Type: boolean Default: true

ageing\_error Label of ageing error to use

Type: string Default: ""

categories Category labels to use

Type: string vector Default: true

delta Delta
Type: constant
Default: DELTA

Type: constant
Default: Double(1.0

label Label Type: string

Default: No Default

likelihood\_multiplier Likelihood score multiplier

Type: constant
Default: Double(1.0

likelihood Type of likelihood to use

Type: string

Default: No Default

max\_age Maximum age
Type: non-negative integer
Default: No Default

Default: No Default

min\_age Minimum age
Type: non-negative integer

Default: No Default

process\_errors Process error

Type: constant vector

Default: true

selectivities Selectivity labels to use

Type: string vector Default: true

Type: string Default: ""

time\_step Time step to execute in

Type: string

Default: No Default

tolerance Tolerance

Type: constant

Default: Double(0.001

type Type of observation

Type: string

Default: No Default

years Year to execute in

Type: non-negative integer vector

Default: No Default

#### 10.1.4. @observation[label].type=proportions\_at\_age\_for\_fishery

Type: boolean Default: true

ageing\_error Label of ageing error to use

Type: string Default: ""

categories Category labels to use

Type: string vector Default: true

delta Delta
Type: constant
Default: DELTA

Type: constant
Default: Double(1.0

fishery Label of fishery the observation is from

Type: string vector

Default: ""

label Label Type: string

Default: No Default

Type: constant
Default: Double(1.0

likelihood Type of likelihood to use

Type: string

Default: No Default

max\_age Maximum age
Type: non-negative integer
Default: No Default

min\_age Minimum age
Type: non-negative integer
Default: No Default

process\_errors Process error

Type: constant vector

Default: true

process Process label

Type: string

Default: No Default

Type: string Default: ""

Type: string vector Default: No Default

tolerance Tolerance

Type: constant

Default: Double(0.001

type Type of observation

Type: string

Default: No Default

years Year to execute in

Type: non-negative integer vector

Default: No Default

# 10.1.5. @observation[label].type=proportions\_at\_length

categories Category labels to use

Type: string vector Default: true

delta Delta
Type: constant
Default: DELTA

Type: constant
Default: Double(1.0

label Label Type: string

Default: No Default

length\_bins Length bins

Type: constant vector Default: No Default

length\_plus\_group Is the last bin a plus group

Type: boolean Default: true

likelihood\_multiplier Likelihood score multiplier

Type: constant
Default: Double(1.0

likelihood Type of likelihood to use

Type: string
Default: No Default

process\_errors Process error

Type: constant vector

Default: true

selectivities Selectivity labels to use

Type: string vector Default: true

Type: string Default: ""

Type: string

Default: No Default

tolerance Tolerance for rescaling proportions

Type: constant

Default: Double(0.001

type Type of observation

Type: string

Default: No Default

years Year to execute in

Type: non-negative integer vector

Default: No Default

# 10.1.6. @observation[label].type=proportions\_at\_length\_for\_fishery

categories Category labels to use

Type: string vector Default: true

delta Delta
Type: constant
Default: DELTA

Type: constant
Default: Double(1.0

fishery Label of fishery the observation is from

Type: string Default: ""

label Label

Type: string

Default: No Default

length\_bins Length bins

Type: constant vector Default: No Default

Type: boolean Default: true

likelihood\_multiplier Likelihood score multiplier

Type: constant
Default: Double(1.0

likelihood Type of likelihood to use

Type: string

Default: No Default

process\_errors Process error

Type: constant vector

Default: true

process Process label

Type: string

Default: No Default

process\_proportion
Process proportion

Type: constant
Default: Double(0.5

Type: string Default: ""

time\_step Time step to execute in

Type: string

Default: No Default

tolerance Tolerance for rescaling proportions

Type: constant

Default: Double(0.001

type Type of observation

Type: string

Default: No Default

years Year to execute in

Type: non-negative integer vector

Default: No Default

### 10.1.7. @observation[label].type=proportions\_by\_category

Type: boolean Default: true

categories Category labels to use

Type: string vector Default: true

delta Delta
Type: constant
Default: DELTA

Lower Bound: 0.0 (exclusive)

Type: constant
Default: Double(1.0

label Label Type: string

Default: No Default

likelihood\_multiplier Likelihood score multiplier

Type: constant
Default: Double(1.0

likelihood Type of likelihood to use

Type: string

Default: No Default

 $\begin{array}{cc} \text{max\_age} & \textbf{Maximum age} \\ \text{Type: non-negative integer} \end{array}$ 

Default: No Default

min\_age Minimum age
Type: non-negative integer

process\_errors Process error

Type: constant vector

Default: true

selectivities Selectivity labels to use

Type: string vector Default: true

Type: string Default: ""

categories2 Target Categories

Type: string vector Default: No Default

selectivities2 Target Selectivities

Type: string vector Default: No Default

time\_step Time step to execute in

Type: string

Default: No Default

type Type of observation

Type: string

Default: No Default

years Year to execute in

Type: non-negative integer vector

Default: No Default

#### 10.1.8. @observation[label].type=proportions\_migrating

Type: boolean Default: true

ageing\_error Label of ageing error to use

Type: string Default: ""

categories Category labels to use

Type: string vector Default: true

delta Delta
Type: constant
Default: DELTA

Type: constant
Default: Double(1.0

label Label Type: string

Default: No Default

likelihood\_multiplier Likelihood score multiplier

Type: constant
Default: Double(1.0

likelihood Type of likelihood to use

Type: string

Default: No Default

max\_age Maximum age
Type: non-negative integer

Default: No Default

min\_age Minimum age
Type: non-negative integer
Default: No Default

Belault. 100 Belault

process\_errors Process error

Type: constant vector

Default: true

process Process label

Type: string

Default: No Default

Type: constant
Default: Double(0.5

 Type: string
Default: ""

time\_step Time step to execute in

Type: string

Default: No Default

type Type of observation

Type: string

Default: No Default

years Year to execute in

Type: non-negative integer vector

Default: No Default

# 10.1.9. @observation[label].type=tag\_recapture\_by\_age

Type: boolean Default: true

categories Category labels to use

Type: string vector Default: true

delta Delta
Type: constant
Default: DELTA

Lower Bound: 0.0 (exclusive)

detection Detection probability

Type: constant Default: No Default

Type: constant
Default: Double(1.0

Type: string
Default: No Default

Type: constant
Default: Double(1.0

likelihood Type of likelihood to use

Type: string

Default: No Default

max\_age Maximum age
Type: non-negative integer

Default: No Default

min\_age Minimum age
Type: non-negative integer

Default: No Default

process\_errors Process error

Type: constant vector

Default: true

selectivities Selectivity labels to use

Type: string vector Default: true

Type: string Default: ""

categories2 Target Categories

Type: string vector Default: No Default

selectivities2 Target Selectivities

Type: string vector Default: No Default

Type: string

Default: No Default

time\_step\_proportion Proportion through the time step to analyse the partition from

Type: constant Default: Double(0.5

type Type of observation

Type: string

years Year to execute in

Type: non-negative integer vector

Default: No Default

# 10.1.10. @observation[label].type=tag\_recapture\_by\_length

categories Category labels to use

Type: string vector Default: true

delta Delta
Type: constant
Default: DELTA

Lower Bound: 0.0 (exclusive)

detection Detection probability

Type: constant Default: No Default

Type: constant
Default: Double(1.0

label Label Type: string

Default: No Default

Type: constant vector Default: No Default

likelihood\_multiplier Likelihood score multiplier

Type: constant
Default: Double(1.0

 ${\tt likelihood} \qquad {\tt Type} \ of \ likelihood \ to \ use$ 

Type: string

Default: No Default

Type: boolean Default: true

process\_errors Process error

Type: constant vector

Default: true

selectivities Selectivity labels to use

Type: string vector Default: true

Type: string Default: ""

categories 2 Target Categories

Type: string vector Default: No Default

selectivities 2 Target Selectivities

Type: string vector Default: No Default

Type: string

Default: No Default

time\_step\_proportion Proportion through the time step to analyse the partition from

Type: constant
Default: Double(0.5

type Type of observation

Type: string

Default: No Default

years Year to execute in

Type: non-negative integer vector

Default: No Default

#### 10.2. Likelihoods

**@likelihood** label Define an object type Likelihood

label

Type: string

Default: No Default

type

Type: string

Default: No Default

# 10.2.1. @likelihood[label].type=binomial

label

Type: string

Default: No Default

type

Type: string

Default: No Default

# 10.2.2. @likelihood[label].type=binomial\_approx

label

Type: string

Default: No Default

type

Type: string

Default: No Default

# 10.2.3. @likelihood[label].type=dirichlet

label

Type: string

Default: No Default

type

Type: string

Default: No Default

# 10.2.4. @likelihood[label].type=log\_normal

label

Type: string

Default: No Default

type

Type: string

Default: No Default

# 10.2.5. @likelihood[label].type=log\_normal\_with\_q

label

Type: string

Default: No Default

type

Type: string

Default: No Default

# 10.2.6. @likelihood[label].type=multinomial

label

Type: string

Default: No Default

type

Type: string

Default: No Default

# 10.2.7. @likelihood[label].type=normal

label

Type: string

Default: No Default

type

Type: string

Default: No Default

# 10.2.8. @likelihood[label].type=pseudo

label

Type: string

Default: No Default

type

Type: string

Default: No Default

# 10.3. Defining ageing error

Three methods for including ageing error into estimation with observations are,

- None
- Normal
- Off-by-one

Each type of ageing error requires a set of subcommands and arguments specific to its type.

#### @ageing\_error label Define an object type Ageing\_Error

label Label Type: string

Default: No Default

type Type
Type: string

Default: No Default

# 10.3.1. @ageing\_error[label].type=data

label Label Type: string

Default: No Default

type Type
Type: string

Default: No Default

#### 10.3.2. @ageing\_error[label].type=normal

#### cv CV for Misclassification matrix

Type: constant
Default: No Default

Lower Bound: 0.0 (inclusive)

#### k TBA

Type: non-negative integer

Default: 0u

label Label Type: string

Default: No Default

type Type

Type: string

Default: No Default

# 10.3.3. @ageing\_error[label].type=off\_by\_one

k The minimum age of fish which can be missclassified

Type: non-negative integer

Default: 0u

Lower Bound: 0.0 (inclusive) Upper Bound: 1.0 (inclusive)

label Label Type: string

Default: No Default

proprtion of misclassification up by an age, i.e. how proportion of age 3 that are actually age

4

Type: constant Default: No Default

p2 proprtion of misclassification down by an age

Type: constant Default: No Default

Lower Bound: 0.0 (inclusive) Upper Bound: 1.0 (inclusive)

type Type
Type: string

Default: No Default

# 11. Report command and subcommand syntax

# 11.1. Report commands and subcommands

**@report** label Define an object type Report

file\_name File Name

Type: string Default: ""

label Label Type: string

Default: No Default

type Type

Type: string

Default: No Default

write\_mode Write mode

Type: string
Default: overwrite

Allowed Values: overwrite, append, incremental\_suffix

# 11.1.1. @report[label].type=ageing\_error\_matrix

ageing\_error Ageing Error label

Type: string

Default: No Default

file\_name File Name

Type: string Default: ""

label Label

Type: string

Default: No Default

type Type

Type: string

Default: No Default

write\_mode Write mode

Type: string
Default: overwrite

Allowed Values: overwrite, append, incremental\_suffix

# 11.1.2. @report[label].type=category\_info

file\_name File Name

Type: string Default: ""

label Label Type: string

Default: No Default

type Type

Type: string

Default: No Default

write\_mode Write mode

Type: string
Default: overwrite

Allowed Values: overwrite, append, incremental\_suffix

#### 11.1.3. @report[label].type=category\_list

file\_name File Name

Type: string Default: ""

label Label Type: string

Default: No Default

type Type
Type: string

Default: No Default

write\_mode Write mode

Type: string
Default: overwrite

Allowed Values: overwrite, append, incremental\_suffix

# 11.1.4. @report[label].type=covariance\_matrix

file\_name File Name

Type: string Default: ""

label Label
Type: string

Default: No Default

type Type
Type: string

Default: No Default

write\_mode Write mode

Type: string
Default: overwrite

# 11.1.5. @report[label].type=derived\_quantity

file\_name File Name

Type: string Default: ""

label Label
Type: string

Default: No Default

type Type
Type: string

Default: No Default

write\_mode Write mode

Type: string
Default: overwrite

Allowed Values: overwrite, append, incremental\_suffix

# 11.1.6. @report[label].type=estimable

file\_name File Name

Type: string Default: ""

label Label Type: string

Default: No Default

parameter Parameter to print

Type: string

Default: No Default

Type: string Default: ""

type Type
Type: string

Default: No Default

write\_mode Write mode

Type: string
Default: overwrite

years Years to print the estimable for

Type: non-negative integer vector

Default: No Default

#### 11.1.7. @report[label].type=estimate\_summary

file\_name File Name

Type: string Default: ""

label Label Type: string

Default: No Default

type Type
Type: string

Default: No Default

write\_mode Write mode

Type: string
Default: overwrite

Allowed Values: overwrite, append, incremental\_suffix

### 11.1.8. @report[label].type=estimate\_value

file\_name File Name

Type: string Default: ""

label Label Type: string

Default: No Default

type Type
Type: string

Default: No Default

write\_mode Write mode

Type: string
Default: overwrite

# 11.1.9. @report[label].type=initialisation\_partition

file\_name File Name

Type: string Default: ""

label Label
Type: string

Default: No Default

type Type
Type: string

Default: No Default

write\_mode Write mode

Type: string
Default: overwrite

Allowed Values: overwrite, append, incremental\_suffix

# 11.1.10. @report[label].type=mcmc\_covariance

file\_name File Name

Type: string Default: ""

label Label Type: string

Default: No Default

type Type
Type: string

Default: No Default

write\_mode Write mode

Type: string
Default: overwrite

Allowed Values: overwrite, append, incremental\_suffix

# 11.1.11. @report[label].type=mcmc\_objective

file\_name File Name

Type: string Default: ""

label Label Type: string

Default: No Default

type Type
Type: string

Default: No Default

write\_mode Write mode

Type: string
Default: overwrite

Allowed Values: overwrite, append, incremental\_suffix

# 11.1.12. @report[label].type=mcmc\_sample

file\_name File Name

Type: string Default: ""

label Label Type: string

Default: No Default

type Type
Type: string

Default: No Default

write\_mode Write mode

Type: string
Default: overwrite

Allowed Values: overwrite, append, incremental\_suffix

#### 11.1.13. @report[label].type=m\_p\_d

file\_name File Name

Type: string Default: ""

label Label Type: string

Default: No Default

type Type

Type: string

Default: No Default

write\_mode Write mode

Type: string
Default: overwrite

Allowed Values: overwrite, append, incremental\_suffix

# 11.1.14. @report[label].type=objective\_function

file\_name File Name

Type: string Default: ""

label Label Type: string

Default: No Default

type Type
Type: string

Default: No Default

write\_mode Write mode

Type: string
Default: overwrite

Allowed Values: overwrite, append, incremental\_suffix

# 11.1.15. @report[label].type=observation

file\_name File Name

Type: string Default: ""

label Label Type: string

Default: No Default

observation Observation label

Type: string

Default: No Default

type Type
Type: string

Default: No Default

write\_mode Write mode

Type: string
Default: overwrite

Allowed Values: overwrite, append, incremental\_suffix

#### 11.1.16. @report[label].type=partition

file\_name File Name

Type: string Default: ""

label Label Type: string

Default: No Default

Type: string Default: ""

type Type
Type: string

Default: No Default

write\_mode Write mode

Type: string
Default: overwrite

Allowed Values: overwrite, append, incremental\_suffix

years Years

Type: non-negative integer vector

Default: true

# 11.1.17. @report[label].type=partition\_biomass

file\_name File Name

Type: string Default: ""

label Label Type: string

Default: No Default

Type: string Default: ""

type Type
Type: string

Default: No Default

units Units (Default Kgs

Type: string Default: kgs

write\_mode Write mode

Type: string
Default: overwrite

Allowed Values: overwrite, append, incremental\_suffix

years Years

Type: non-negative integer vector

Default: true

# 11.1.18. @report[label].type=partition\_mean\_weight

file\_name File Name

Type: string Default: ""

label Label Type: string

Default: No Default

Type: string Default: ""

type Type
Type: string

Default: No Default

write\_mode Write mode

Type: string
Default: overwrite

Allowed Values: overwrite, append, incremental\_suffix

years Years

Type: non-negative integer vector

Default: true

# 11.1.19. @report[label].type=process

file\_name File Name

Type: string Default: ""

label Label Type: string

Default: No Default

process Process label that is reported

Type: string Default: ""

type Type
Type: string

Default: No Default

Type: string
Default: overwrite

Allowed Values: overwrite, append, incremental\_suffix

# 11.1.20. @report[label].type=random\_number\_seed

file\_name File Name

Type: string Default: ""

label Label Type: string

Default: No Default

type Type
Type: string

Default: No Default

write\_mode Write mode

Type: string
Default: overwrite

# 11.1.21. @report[label].type=selectivity

file\_name File Name

Type: string Default: ""

label Label Type: string

Default: No Default

selectivity Selectivity name

Type: string

Default: No Default

type Type
Type: string

Default: No Default

write\_mode Write mode

Type: string
Default: overwrite

Allowed Values: overwrite, append, incremental\_suffix

### 11.1.22. @report[label].type=simulated\_observation

file\_name File Name

Type: string Default: ""

label Label Type: string

Default: No Default

observation Observation label

Type: string

Default: No Default

type Type
Type: string

Default: No Default

write\_mode Write mode

Type: string
Default: overwrite

Allowed Values: overwrite, append, incremental\_suffix

### 11.1.23. @report[label].type=standard\_header

file\_name File Name

Type: string Default: ""

label Label Type: string

Default: No Default

type Type
Type: string

Default: No Default

write\_mode Write mode

Type: string
Default: overwrite

Allowed Values: overwrite, append, incremental\_suffix

# 12. Other commands and subcommands

**@include** file Include an external file

file The name of the external file to include

Type: string
Default: No default

Mauri. No ucraun

Value: A valid external file

Condition: The file name must be enclosed in double quotes

Example: @include "my\_file.txt"

Note: @include does not denote the end of the previous command block as is the case for all other

commands

#### 13. Examples

### 13.1. An example of a simple model

This example implements a very simple single species and area model, with recruitment, maturation, natural and fishing mortality, and an annual age increment. The population structure has ages  $1-30^+$  with a single category.

CASAL<sup>2</sup> default file to search for in your current working directory is casal2.txt. In this example, casal2.txt specifies all the files necessary to run your CASAL<sup>2</sup> model from your current working directory. This is done using the !include command as follows.

```
!include "population.cs12
!include "reports.cs12"
!include "Observation.cs12"
!include "estimation.cs12"
```

Breaking up a CASAL<sup>2</sup> model into sections is recommended, as it aids in readability and error checking. population.csl2 contains the population information. The model runs from 1975-2012 and is initialised over a 120 year period prior to 1975, which applies the following processes,

- 1. A Beverton-Holt recruitment process, recruiting a constant number of individuals to the first age class (i.e., age = 1).
- 2. A constant mortality process representing natural mortality (M). This process is repeated in all three time steps, so that each with its own time step proportion of M applied.
- 3. 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 two timesteps. 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 attribute information on 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 first 28 lines of the main section of the population.csl2 are,

```
## Model Block
@model
start_year 1975
final_year 2012
min age 1
max_age 30
age_plus true
initialisation_phases iphase1
time_steps step1 step2
## Category Block
@categories
format
names stock
age_lengths age_size
## Initialisation block
@initialisation_phase iphase1
type iterative
vears 120
## Annual Cycle definition
@time_step step1
processes Recruitment instant_mort
@time_step step2
processes Ageing instant_mort
```

To carry out a run of the model (to verify that the model runs without any syntax errors), use the command casal2 - r. Note that as  $CASAL^2$  looks for a file named casal2.txt by default, we can override this. Hypothetically speaking if our model was all written in Mymodel.txt we could call it using the -c command like casal2 - r -c Mymodel.txt.

To run an estimation, and hence 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. Here, we have piped the output to estimate.log using the command casal2 -e > estimate.log, reports the user defined reports reports.csl2 from the final iteration of the estimation, and successful convergence printed to screen,

```
Total elapsed time: 1 second Completed
```

The main part of the output from the estimation run is summarised in the file estimate.log, and the final MPD parameter values can be piped out 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 also be run, using casal2 -p > profile.log. See the examples folder for an example of the output.

KATH note below, will be useful to copy that document across. Examples on Input file specification go to the file Input File Specification.odt found in CASAL2/Documentation/Software Development

#### 13.2. In line declaration

In line declarations can help shorten models by by passing @ blocks, for example

```
@observation chatCPUE
type biomass
```

```
catchability [q=6.52606e-005]
time_step one
categories male+female
selectivities chatFselMale chatFselFemale
likelihood lognormal
years 1992:2001
time_step_proportion 1.0
obs 1.50 1.10 0.93 1.33 1.53 0.90 0.68 0.75 0.57 1.23
error_value 0.35

@estimate
parameter catchability[chatTANbiomass.one].q
type uniform_log
lower_bound 1e-2
upper_bound 1
In line declaration tips
```

In the above code we are defining and estimating catchabbility without explicitely creating an @catchability block

When you do an inline declaration the new object will be created with the name of the creator's label.<index> where index will be the word if it's one-nine and the number if it's 10+, for example

```
@mortality halfm
selectivities [type=constant; c=1]
would create
@selectivity halfm.one
```

if there were 10 categories all with there own selectivity the  $10^t h$  selectivity would be labelled;

@selectivity halfm.10

# 14. Post processing output using R

In the downloaded bundle is a R-package that reads  $CASAL^2$  output into R. The  $CASAL^2$  package has only one function <code>extract()</code>, which will read in the entire file. The reporting framework is set up so the each <code>@report</code> will start with \* and end with \*end. If this is not the case the <code>extract()</code> function will most likely fail. A post processing package is being developed to then create plots and process the raw input from the <code>extract()</code> function.

#### 15. Troubleshooting

#### 15.1. Introduction

### 15.2. Reporting errors

When reporting a bug or problem to the CASAL<sup>2</sup> development team at casal2@niwa.co.nz, please address the following points.

# 15.3. Guidelines for reporting a problem with CASAL<sup>2</sup>

- 1. Detail the version of CASAL<sup>2</sup> are you using? e.g., "CASAL<sup>2</sup> 2016-02-21 (rev. 0148ec6)Microsoft Windows executable"
- 2. What operating system or environment are you using? e.g., "IBM-PC Intel CPU running Microsoft Windows 8.1 Enterprise, Service Pack 1".
- 3. Give a brief one-line description of the problem, e.g., "a segmentation fault was reported".
- 4. If the problem is reproducible, please list the exact steps required to cause it, remembering to include the relevant CASAL<sup>2</sup> configuration file, other input files, and any out generated. Specify the *exact* command line arguments that were used, e.g., "Using the command \*\*\*.-\*
  -\* reports a segmentation fault. The input configuration files are attached."
- 5. If the problem is not reproducible (only happened once, or occasionally for no apparent reason), please describe the circumstances in which it occurred and the symptoms observed (but note it is much harder to reproduce and hence fix non-reproducible bugs, but if several reports are made over time that relate to the same thing, then this may help to track down the problem), e.g., "CASAL<sup>2</sup> crashed, but I cannot reproduce how I did it. It seemed to be related to a local network crash but I cannot be sure."
- 6. If the problem causes any error messages to appear, please give the *exact* text displayed, e.g., segmentation fault (core dumped).
- 7. Remember to attach all relevant input and output files so that the problem can be reproduced (it can helpful to compress these into a single file). Without these, it is usually not possible to determine the cause of the problem, and we are unlikely to provide any assistance. Note that it is helpful to be as specific as possible when describing the problem.

# 16. Acknowledgements

#### 17. Quick reference

```
@ageing_error label
                           Define an object type Ageing Error
label
         Label
type
        Type
@ageing_error[label].type=data
label
         Label
type
        Type
@ageing_error[label].type=normal
      CV for Misclassification matrix
    TBA
k
label
         Label
        Type
type
@ageing_error[label].type=off_by_one
    The minimum age of fish which can be missclassified
label
         Label
      proprtion of misclassification up by an age, i.e. how proportion of age 3 that are actually age
р1
4
р2
      proprtion of misclassification down by an age
        Type
type
@age_length label
                         Define an object type Age_Length
cv_first
            CV for the first age class
           CV for last age class
cv_last
distribution
                 TBA
label
         Label
time_step_proportions
type
        Type
@age_length[label].type=data
by_length
              Specifies if the linear interpolation of CV's is a linear function of mean length at
age. Default is just by age
            CV for the first age class
cv_first
cv_last
           CV for last age class
distribution
                 TBA
external_gaps
internal_gaps
label
        Label
length_weight
                 TBA
time_step_proportions
        Type
type
```

### @age\_length[label].type=none

```
cv_first
            CV for the first age class
           CV for last age class
cv_last
distribution
                 TBA
label
         Label
time_step_proportions
        Type
type
@age_length[label].type=schnute
    TBA
    TBA
b
by_length
             TBA
cv_first
            CV for the first age class
cv_last
           CV for last age class
distribution
                 TBA
label
       Label
length_weight
                 TBA
tau1
        TBA
tau2
        TBA
time_step_proportions
        Type
type
      TBA
у1
      TBA
y2
@age_length[label].type=von_bertalanffy
             Specifies if the linear interpolation of CV's is a linear function of mean length at age.
by_length
Default is just by age
            CV for the first age class
cv_first
           CV for last age class
cv_last
distribution
                 TBA
    TBA
k
label
         Label
length_weight
                 TBA
linf
        TBA
t0
      TBA
time_step_proportions
        Type
@catchability label
                            Define an object type Catchability
label
         Label
type
@catchability[label].type=free
label
         Label
```

 $\begin{array}{ll} \text{label} & \textbf{Label} \\ \textbf{q} & \textbf{The catchability amount} \\ \text{type} \end{array}$ 

**@derived\_quantity** label Define an object type Derived\_Quantity

categories The list of categories to use when calculating the derived quantity

label Label

time\_step\_proportion\_method

selectivities The list of selectivities to use when calculating the derived quantity. 1 per category

time\_step The time step to calculate the derived quantity after

time\_step\_proportion

type Type

#### @derived\_quantity[label].type=abundance

categories The list of categories to use when calculating the derived quantity

label Label

time\_step\_proportion\_method

selectivities The list of selectivities to use when calculating the derived quantity. 1 per category

time\_step The time step to calculate the derived quantity after

time\_step\_proportion

type Type

#### @derived\_quantity[label].type=biomass

categories The list of categories to use when calculating the derived quantity

label Label

time\_step\_proportion\_method

selectivities The list of selectivities to use when calculating the derived quantity. 1 per category

time\_step The time step to calculate the derived quantity after

time\_step\_proportion

type Type

**@estimate** label Define an object type Estimate

estimation\_phase TBA

label Label

lower\_bound The lowest value the parameter is allowed to have

mcmc TBA

parameter The name of the variable to estimate in the model

prior The name of the prior to use for the parameter

same A list of parameters that are bound to the value of this estimate

type Type

upper\_bound The highest value the parameter is allowed to have

#### @estimate[label].type=beta

a A

b B

estimation\_phase TBA

label Label

lower\_bound The lowest value the parameter is allowed to have

mcmc TBA

mu **M**u

parameter The name of the variable to estimate in the model

prior The name of the prior to use for the parameter

same A list of parameters that are bound to the value of this estimate

sigma Sigma

type Type

upper\_bound The highest value the parameter is allowed to have

#### @estimate[label].type=lognormal

cv Cv

estimation\_phase TBA

label Label

lower\_bound The lowest value the parameter is allowed to have

mcmc TBA

mu **M**u

parameter The name of the variable to estimate in the model

prior The name of the prior to use for the parameter

same A list of parameters that are bound to the value of this estimate

type Type

upper\_bound The highest value the parameter is allowed to have

#### @estimate[label].type=normal

cv Cv

estimation\_phase TBA

label Label

lower\_bound The lowest value the parameter is allowed to have

mcmc TBA

mu **Mu** 

parameter The name of the variable to estimate in the model

prior The name of the prior to use for the parameter

same A list of parameters that are bound to the value of this estimate

type Type

upper\_bound The highest value the parameter is allowed to have

#### @estimate[label].type=normal\_by\_stdev

estimation\_phase TBA

label Label

lower\_bound The lowest value the parameter is allowed to have

 $\begin{array}{ll} \text{mcmc} & TBA \\ \text{mu} & Mu \end{array}$ 

parameter The name of the variable to estimate in the model

prior The name of the prior to use for the parameter

same A list of parameters that are bound to the value of this estimate

sigma Sigma type Type

upper\_bound The highest value the parameter is allowed to have

#### @estimate[label].type=normal\_log

estimation\_phase TBA

label Label

lower\_bound The lowest value the parameter is allowed to have

 $\begin{array}{ll} \text{mcmc} & TBA \\ \text{mu} & Mu \end{array}$ 

parameter The name of the variable to estimate in the model

prior The name of the prior to use for the parameter

same A list of parameters that are bound to the value of this estimate

sigma Sigma type Type

upper\_bound The highest value the parameter is allowed to have

#### @estimate[label].type=uniform

estimation\_phase TBA

label Label

lower\_bound The lowest value the parameter is allowed to have

mcmc TBA

parameter The name of the variable to estimate in the model

prior The name of the prior to use for the parameter

same A list of parameters that are bound to the value of this estimate

type Type

upper\_bound The highest value the parameter is allowed to have

### @estimate[label].type=uniform\_log

estimation\_phase TBA

label Label

lower\_bound The lowest value the parameter is allowed to have

mcmc TBA

parameter The name of the variable to estimate in the model

prior The name of the prior to use for the parameter

same A list of parameters that are bound to the value of this estimate

type Type

upper\_bound The highest value the parameter is allowed to have

@initialisation\_phase label Define an object type Initialisation\_Phase

label Label

type Type

### @initialisation\_phase[label].type=cinitial

 $\begin{array}{ll} \text{categories} & List \ of \ categories \ to \ use \\ \text{label} & Label \\ \text{type} & Type \end{array}$ 

#### @initialisation\_phase[label].type=derived

exclude\_processes
insert\_processes
The processes to exclude from all time steps
The processes to insert in to target time steps
type
Type

#### @initialisation\_phase[label].type=iterative

convergence\_years
exclude\_processes
insert\_processes
label Label
lambda Lambda
type Type
years
The years to test for convergence
The processes to exclude from all time steps
The processes to insert in to target time steps
The processes to insert in to target time steps
to the processes to insert in to target time steps
The processes to insert in to target time steps
to the processes to exclude from all time steps
The processes to insert in to target time steps
to the processes to exclude from all time steps
to the processes to exclude from all time steps
to the processes to exclude from all time steps
to the processes to insert in to target time steps
to the processes to insert in to target time steps
to the processes to insert in to target time steps
to the processes to insert in to target time steps
to the processes to insert in to target time steps
to the processes to insert in to target time steps
to the processes to insert in to target time steps
to the processes to insert in to target time steps
to the processes to insert in to target time steps
to the processes to insert in to target time steps
to the processes to insert in to target time steps
to the processes to insert in to target time steps
to the processes to insert in to target time steps
to the processes to insert in to target time steps
to the processes to insert in to target time steps
to the processes to insert in to target time steps
to the processes to insert in to target time steps
to the processes to insert in to target time steps
to the processes to insert in to target time steps
to the processes to insert in to target time steps
to the processes to insert in to target time steps
to the processes to insert in to target time steps
to the processes to the processes to insert in to target time steps
to the processes to the pr

#### @initialisation\_phase[label].type=state\_category\_by\_age

categories List of categories to use

label Label

max\_age Maximum age to use for this process

min\_age Minimum age to use for this process

type Type

@likelihood label Define an object type Likelihood

label

labe type

### @likelihood[label].type=binomial

label type

#### @likelihood[label].type=binomial\_approx

label type

#### @likelihood[label].type=dirichlet

label type

#### @likelihood[label].type=log\_normal

label

type

#### @likelihood[label].type=log\_normal\_with\_q

label

type

#### @likelihood[label].type=multinomial

label

type

#### @likelihood[label].type=normal

label

type

#### @likelihood[label].type=pseudo

label

type

# **@derived\_quantity** label Define an object type Derived\_Quantity

categories The list of categories to use when calculating the derived quantity

label Label

time\_step\_proportion\_method

selectivities The list of selectivities to use when calculating the derived quantity. 1 per category

time\_step The time step to calculate the derived quantity after

time\_step\_proportion

type Type

#### @derived\_quantity[label].type=abundance

categories The list of categories to use when calculating the derived quantity

label Label

time\_step\_proportion\_method

selectivities The list of selectivities to use when calculating the derived quantity. 1 per category

time\_step The time step to calculate the derived quantity after

time\_step\_proportion

type Type

#### @derived\_\_quantity[label].type=biomass

categories The list of categories to use when calculating the derived quantity

label Label

time\_step\_proportion\_method

selectivities The list of selectivities to use when calculating the derived quantity. 1 per

### category

time\_step The time step to calculate the derived quantity after

time\_step\_proportion

type Type

**@mcmc** label Define an object type MCMC

active Is this the active MCMC algorithm

label Label

length The number of chain links to create

print\_default\_reports

type Type

### @m\_c\_m\_c[label].type=independence\_metropolis

active Is this the active MCMC algorithm

correlation\_adjustment\_diff TBA

covariance\_adjustment\_method Method for adjusting small variances in the covariance proposal matrix

df Degrees of freedom of the multivariate t proposal distribution

keep Spacing between recorded values in the chain

label Label

length The number of chain links to create

print\_default\_reports

proposal\_distribution The shape of the proposal distribution (either t or normal

start Covariance multiplier for the starting point of the Markov chain

step\_size Initial stepsize (as a multiplier of the approximate covariance matrix

type Type

@minimiser label Define an object type Minimiser

active True if this minimiser is active

covariance True if a covariance matrix should be created

label Label

type Type of minimiser to use

## @minimiser[label].type=a\_d\_o\_l\_c

active True if this minimiser is active

covariance True if a covariance matrix should be created

tolerance Tolerance of the gradient for convergence

label Label

evaluations Maximum number of evaluations

iterations Maximum number of iterations

step\_size Minimum Step-size before minimisation fails

type Type of minimiser to use

### @minimiser[label].type=beta\_diff

active True if this minimiser is active

covariance True if a covariance matrix should be created tolerance Tolerance of the gradient for convergence

label Label

evaluations Maximum number of evaluations iterations Maximum number of iterations

type Type of minimiser to use

### @minimiser[label].type=c\_p\_p\_a\_d

active True if this minimiser is active covariance True if a covariance matrix should be created label Label type Type of minimiser to use

#### @minimiser[label].type=d\_e\_solver

active True if this minimiser is active

covariance True if a covariance matrix should be created

crossover\_probability TBA

difference\_scale The scale to apply to new solutions when comparing candidates

label Label

max\_generations The maximum number of iterations to run

method The type of candidate generation method to use

tolerance The total variance between the population and best candidate before acceptance

type Type of minimiser to use

### @minimiser[label].type=d\_lib

active True if this minimiser is active covariance True if a covariance matrix should be created label Label type Type of minimiser to use

21 31

## @minimiser[label].type=dummy

active True if this minimiser is active covariance True if a covariance matrix should be created label Label type Type of minimiser to use

# @minimiser[label].type=gamma\_diff

active True if this minimiser is active covariance True if a covariance matri

covariance True if a covariance matrix should be created tolerance Tolerance of the gradient for convergence

label Label

evaluations Maximum number of evaluations iterations Maximum number of iterations

step\_size Minimum Step-size before minimisation fails

type Type of minimiser to use

### **@model** label Define an object type Model

final\_year Define the final year of the model, excluding years in the projection period

initialisation\_phases Define the labels of the phases of the initialisation

label

length\_bins

max\_age Maximum age of individuals in the population

min\_age Minimum age of individuals in the population

projection\_final\_year Define the final year of the model in projection mode

start\_year Define the first year of the model, immediately following initialisation

Define the labels of the time steps, in the order that they are applied, to form the

annual cycle

type Type of model (the partition structure). Either age, length or hybrid

**@observation** label Define an object type Observation

categories Category labels to use

label Label

likelihood\_multiplier Likelihood score multiplier

likelihood Type of likelihood to use

type Type of observation

## @observation[label].type=abundance

categories Category labels to use

label Label

likelihood\_multiplier Likelihood score multiplier

likelihood Type of likelihood to use

selectivities Selectivity labels to use

time\_step Time step to execute in

type Type of observation

#### @observation[label].type=biomass

catchability Catchability of Biomass

categories Category labels to use Delta value for error values delta Error value multiplier for likelihood error\_value\_multiplier error\_value The error values to use against the observation values label Label likelihood\_multiplier Likelihood score multiplier Type of likelihood to use likelihood Observation values process\_error Process error selectivities Selectivity labels to use Simulation likelihood to use simulation\_likelihood time\_step Time step to execute in Type of observation type years Years to execute in

### @observation[label].type=proportions\_at\_age

age\_plus Use age plus group Label of ageing error to use ageing\_error categories Category labels to use delta Delta Error value multiplier for likelihood error\_value\_multiplier label Label likelihood\_multiplier Likelihood score multiplier likelihood Type of likelihood to use max\_age Maximum age Minimum age min\_age process\_errors Process error Selectivity labels to use selectivities simulation\_likelihood Simulation likelihood to use time\_step Time step to execute in Tolerance tolerance Type of observation type years Year to execute in

### @observation[label].type=proportions\_at\_age\_for\_fishery

years

Label of ageing error to use ageing\_error Category labels to use categories delta Delta error\_value\_multiplier Error value multiplier for likelihood Label of fishery the observation is from fishery label Label likelihood\_multiplier Likelihood score multiplier Type of likelihood to use likelihood max\_age Maximum age min\_age Minimum age Process error process\_errors Process label process simulation\_likelihood Simulation likelihood to use time\_step Time steps that the fisheries are in Tolerance tolerance Type of observation type

### @observation[label].type=proportions\_at\_length

Category labels to use categories delta Delta Error value multiplier for likelihood error\_value\_multiplier label Label length\_bins Length bins length\_plus\_group Is the last bin a plus group likelihood\_multiplier Likelihood score multiplier likelihood Type of likelihood to use Process error process\_errors Selectivity labels to use selectivities Simulation likelihood to use simulation\_likelihood time\_step Time step to execute in Tolerance for rescaling proportions tolerance Type of observation type Year to execute in years

# $\verb§@observation[label].type=proportions\_at\_length\_for\_fishery$

categories Category labels to use

Year to execute in

delta Delta Error value multiplier for likelihood error\_value\_multiplier Label of fishery the observation is from fishery label Label length\_bins Length bins Is the last bin a plus group length\_plus\_group likelihood\_multiplier Likelihood score multiplier Type of likelihood to use likelihood process\_errors Process error process Process label Process proportion process\_proportion simulation\_likelihood Simulation likelihood to use Time step to execute in time\_step tolerance Tolerance for rescaling proportions Type of observation type Year to execute in years

## @observation[label].type=proportions\_by\_category

age\_plus Use age plus group Category labels to use categories delta Delta Error value multiplier for likelihood error\_value\_multiplier Label label likelihood\_multiplier Likelihood score multiplier Type of likelihood to use likelihood max\_age Maximum age min\_age Minimum age Process error process\_errors Selectivity labels to use selectivities Simulation likelihood to use simulation\_likelihood **Target Categories** categories2 selectivities2 **Target Selectivities** Time step to execute in time\_step Type of observation type Year to execute in years

## @observation[label].type=proportions\_migrating

Label of ageing error to use ageing\_error Category labels to use categories delta Delta error\_value\_multiplier Error value multiplier for likelihood label Label likelihood\_multiplier Likelihood score multiplier Type of likelihood to use likelihood Maximum age max\_age min\_age Minimum age process\_errors Process error Process label process process\_proportion Process proportion Simulation likelihood to use simulation\_likelihood time\_step Time step to execute in Type of observation type Year to execute in years

## @observation[label].type=tag\_recapture\_by\_age

Use age plus group age\_plus Category labels to use categories delta Delta detection Detection probability Error value multiplier for likelihood error\_value\_multiplier label Label Likelihood score multiplier likelihood\_multiplier likelihood Type of likelihood to use max\_aqe Maximum age Minimum age min\_age Process error process\_errors selectivities Selectivity labels to use Simulation likelihood to use simulation\_likelihood **Target Categories** categories2 **Target Selectivities** selectivities2 time\_step Time step to execute in Proportion through the time step to analyse the partition from time\_step\_proportion Type of observation type Year to execute in years

### @observation[label].type=tag\_recapture\_by\_length

categories Category labels to use

delta Delta

detection Detection probability

label Label

likelihood\_multiplier Likelihood score multiplier

likelihood Type of likelihood to use

plus\_group Last length bin a plus group

process\_errors Process error

selectivities Selectivity labels to use

categories 2 Target Categories

selectivities2 Target Selectivities

time\_step Time step to execute in

time\_step\_proportion Proportion through the time step to analyse the partition from

type Type of observationyears Year to execute in

**@penalty** *label* Define an object type Penalty

label Label
type Type

### @penalty[label].type=process

label Label

type Type

**@process** label Define an object type Process

print\_report Generate parameter report

label Label
type Type

## @process[label].type=ageing

categories Categories

label Label
type Type

### @process[label].type=growth

type Type

### @process[label].type=maturation

years

 $\begin{array}{lll} & \text{List of categories to mature from} \\ \text{label} & \text{Label} \\ \text{rates} & \text{The rates to mature for each year} \\ \text{selectivities} & \text{List of selectivities to use for maturation} \\ \text{to} & \text{List of categories to mature too} \\ \text{type} & \text{Type} \end{array}$ 

The years to be associated with rates

## @process[label].type=mortality\_constant\_rate

categories List of categories
print\_report Generate parameter report
label Label
m Mortality rates
time\_step\_ratio Time step ratios for M
selectivities Selectivities
type Type

## @process[label].type=mortality\_event

catches Catches Categories categories print\_report Generate parameter report label Label penalty Penalty label selectivities List of selectivities type Type U Max u\_max Years years

## @process[label].type=mortality\_event\_biomass

catches Catches for each year Category labels categories Generate parameter report print\_report Label label penalty Penalty label Selectivity labels selectivities Type type u\_max U Max Years to apply mortality years

## ${\tt @process[label].type=mortality\_holling\_rate}$

a parameter a

parameter b print\_report Generate parameter report Label label penalty Label of penalty to be applied predator\_categories Predator Categories labels predator\_selectivities Selectivities for predator categories Prey Categories labels prey\_categories Selectivities for prey categories prey\_selectivities type Type Umax u\_max parameter x Year to execute in years

# @process[label].type=mortality\_instantaneous

categories Categories for natural mortality
print\_report Generate parameter report
m Mortality rates
selectivities Selectivities for Natural Mortality
time\_step\_ratio Time step ratios for M
type Type

### @process[label].type=mortality\_prey\_suitability

consumption\_rate Predator consumption rate print\_report Generate parameter report electivities **Prey Electivities** label Label penalty Label of penalty to be applied **Predator Categories labels** predator\_categories predator\_selectivities Selectivities for predator categories Prey Categories labels prey\_categories Selectivities for prey categories prey\_selectivities type Type Umax u\_max Year that process occurs years

## @process[label].type=nop

## @process[label].type=recruitment\_beverton\_holt

age Age to recruit at categories Category labels print\_report Generate parameter report label Label b0 B0 Label

### values

**Proportions** proportions R0r0 ssb SSB Label (derived quantity SSB Offset (year offset ssb\_offset Years that are included for year class standardisation standardise\_ycs\_years Steepness steepness type Type ycs\_values YCS Values

## @process[label].type=recruitment\_constant

age Age
categories Categories
print\_report Generate parameter report
label Label
proportions Proportions
r0 R0
type Type

## @process[label].type=tag\_by\_age

print\_report Generate parameter report Categories to transition from from initial\_mortality initial\_mortality\_selectivity label Label loss\_rate loss\_rate\_selectivities Maximum age to transition max\_age Minimum age to transition min\_age n penalty Penalty label selectivities Categories to transition to Type type U Max u\_max Years to execute the transition in years

### @process[label].type=tag\_by\_length

## from Categories to transition from

initial\_mortality

initial\_mortality\_selectivity

label Label

loss\_rate

loss\_rate\_selectivities

maximum\_length The upper length when there is no plus group

n

penalty Penalty label

plus\_group Use plus group for last length bin

selectivities

to Categories to transition to

type Type
u\_max U Max

years Years to execute the transition in

### @process[label].type=transition\_category

from From label Label

proportions Proportions

selectivities Selectivity names

to To type

#### @process[label].type=transition\_category\_by\_age

from Categories to transition from

label Label

max\_age Maximum age to transition
min\_age Minimum age to transition

penalty Penalty label

to Categories to transition to

type Type
u\_max U Max

years Years to execute the transition in

**@profile** *label* Define an object type Profile

label Label

lower\_bound The lower bounds

parameter The system parameter to profile

 $\verb| steps| \qquad \text{The number of steps to take between the lower and upper bound}$ 

type

upper\_bound The upper bounds

**@report** label Define an object type Report

file\_name File Name

label Label
type Type
write\_mode Write mode

## @report[label].type=ageing\_error\_matrix

ageing\_error Ageing Error label file\_name File Name label Label type Type write\_mode Write mode

## @report[label].type=category\_info

file\_name File Name
label Label
type Type
write\_mode Write mode

## @report[label].type=category\_list

file\_name File Name
label Label
type Type
write\_mode Write mode

### @report[label].type=covariance\_matrix

file\_name File Name
label Label
type Type
write\_mode Write mode

## @report[label].type=derived\_quantity

file\_name File Name
label Label
type Type
write\_mode Write mode

## @report[label].type=estimable

file\_name File Name
label Label
parameter Parameter to print
time\_step Time Step label
type Type
write\_mode Write mode
years Years to print the estimable for

### @report[label].type=estimate\_summary

file\_name File Name

label Label
type Type

write\_mode Write mode

## @report[label].type=estimate\_value

file\_name File Name

label Label
type Type

write\_mode Write mode

# @report[label].type=initialisation\_partition

file\_name File Name

label Label

type Type

write\_mode Write mode

## @report[label].type=mcmc\_covariance

file\_name File Name

label Label

type Type

write\_mode Write mode

## @report[label].type=mcmc\_objective

file\_name File Name

label Label

type Type

write\_mode Write mode

# @report[label].type=mcmc\_sample

file\_name File Name

label Label

type Type

write\_mode Write mode

## @report[label].type=m\_p\_d

file\_name File Name

label Label

type Type

write\_mode Write mode

# @report[label].type=objective\_function

file\_name File Name

label Label
type Type
write\_mode Write mode

## @report[label].type=observation

file\_name File Name
label Label
observation Observation label
type Type
write\_mode Write mode

## @report[label].type=partition

file\_name File Name
label Label
time\_step Time Step label
type Type
write\_mode Write mode
years Years

### @report[label].type=partition\_biomass

file\_name File Name
label Label
time\_step Time Step label
type Type
units Units (Default Kgs
write\_mode Write mode
years Years

## @report[label].type=partition\_mean\_weight

file\_name File Name
label Label
time\_step Time Step label
type Type
write\_mode Write mode
years Years

## @report[label].type=process

file\_name File Name
label Label
process Process label that is reported
type Type
write\_mode Write mode

## @report[label].type=random\_number\_seed

file\_name File Name

label Label
type Type

write\_mode Write mode

### @report[label].type=selectivity

file\_name File Name

label Label

selectivity Selectivity name

type Type

write\_mode Write mode

## @report[label].type=simulated\_observation

file\_name File Name

label Label

observation Observation label

type Type

write\_mode Write mode

## @report[label].type=standard\_header

file\_name File Name

label Label
type Type

write\_mode Write mode

**@selectivity** label Define an object type Selectivity

label Label

intervals Number of quantiles to evaluate a length based selectivity over the age length

distribution

type Type

### @selectivity[label].type=all\_values

label Label

intervals Number of quantiles to evaluate a length based selectivity over the age length

distribution

type Type

v V

### @selectivity[label].type=all\_values\_bounded

h H

label Label

1 L

intervals Number of quantiles to evaluate a length based selectivity over the age length

```
distribution
```

```
type Type
```

### @selectivity[label].type=constant

```
c C
```

label Label

intervals Number of quantiles to evaluate a length based selectivity over the age length

distribution

type Type

# $@selectivity[label].type=double\_exponential\\$

alpha Alpha

label Label

intervals Number of quantiles to evaluate a length based selectivity over the age length

### distribution

type Type

x0 **X0** 

x1 X1

x2 **X2** 

y0 **Y**0

y1 Y1

y2 **Y2** 

## @selectivity[label].type=double\_normal

alpha Alpha

label Label

mu **M**u

intervals Number of quantiles to evaluate a length based selectivity over the age length

distribution

sigma\_l Sigma L

sigma\_r Sigma R

type Type

### @selectivity[label].type=increasing

alpha Alpha

h High

label Label

1 Low

intervals Number of quantiles to evaluate a length based selectivity over the age length

distribution

type Type

7 V

### @selectivity[label].type=inverse\_logistic

a50 **A50** 

alpha Alpha

ato95 aTo95

label Label

length\_based Is the selectivity length based

intervals Number of quantiles to evaluate a length based selectivity over the age length

distribution

type Type

## @selectivity[label].type=knife\_edge

alpha Alpha

e Edge

label Label

intervals Number of quantiles to evaluate a length based selectivity over the age length

distribution

type Type

### @selectivity[label].type=logistic

a50 A50

alpha Alpha

ato95 Ato95

label Label

intervals Number of quantiles to evaluate a length based selectivity over the age length

distribution

type Type

### @selectivity[label].type=logistic\_producing

a50 **A50** 

alpha Alpha

ato95 Ato95

h High

label Label

1 Low

intervals Number of quantiles to evaluate a length based selectivity over the age length distribution

type Type

@length\_weight label Define an object type Length\_Weight

label Label
type Type

### @length\_weight[label].type=basic

 $\begin{array}{ccc} \textbf{a} & & \textbf{A} \\ \textbf{b} & & \textbf{B} \end{array}$ 

label Label type Type

units Units of measure (tonnes, kgs, grams

# @length\_weight[label].type=none

label Label
type Type

@time\_step label Define an object type Time\_Step

label Label

processes Processes

type

#### 18. 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, 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.
- 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.
- 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.
- 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.
- J Schnute. A versatile growth model with statistically stable parameters. *Canadian Journal of Fisheries and Aquatic Sciences*, 38(9):1128–1140, 1981.
- 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.

## 19. CASAL<sup>2</sup> software license

#### check and confirm text

THE ACCOMPANYING PROGRAM IS PROVIDED UNDER THE TERMS OF THIS COMMON PUBLIC LICENSE ("AGREEMENT"). ANY USE, REPRODUCTION OR DISTRIBUTION OF THE PROGRAM CONSTITUTES RECIPIENT'S ACCEPTANCE OF THIS AGREEMENT.

#### 1. DEFINITIONS

"Contribution" means:

- a) in the case of the initial Contributor, the initial code and documentation distributed under this Agreement, and
- b) in the case of each subsequent Contributor:
  - i) changes to the Program, and
  - ii) additions to the Program;

where such changes and/or additions to the Program originate from and are distributed by that particular Contributor. A Contribution 'originates' from a Contributor if it was added to the Program by such Contributor itself or anyone acting on such Contributor's behalf. Contributions do not include additions to the Program which: (i) are separate modules of software distributed in conjunction with the Program under their own license agreement, and (ii) are not derivative works of the Program.

"Contributor" means any person or entity that distributes the Program.

"Licensed Patents" mean patent claims licensable by a Contributor which are necessarily infringed by the use or sale of its Contribution alone or when combined with the Program.

"Program" means the Contributions distributed in accordance with this Agreement.

"Recipient" means anyone who receives the Program under this Agreement, including all Contributors.

#### 2. GRANT OF RIGHTS

- a) Subject to the terms of this Agreement, each Contributor hereby grants Recipient a non-exclusive, worldwide, royalty-free copyright license to reproduce, prepare derivative works of, publicly display, publicly perform, distribute and sublicense the Contribution of such Contributor, if any, and such derivative works, in source code and object code form.
- b) Subject to the terms of this Agreement, each Contributor hereby grants Recipient a non-exclusive, worldwide, royalty-free patent license under Licensed Patents to make, use, sell, offer to sell, import and otherwise transfer the Contribution of such Contributor, if any, in source code and object code form. This patent license shall apply to the combination of the Contribution and the Program if, at the time the Contribution is added by the Contributor, such addition of the Contribution causes such combination to be covered by the Licensed Patents. The patent license shall not apply to any other combinations which include the Contribution. No hardware per se is licensed hereunder.
- c) Recipient understands that although each Contributor grants the licenses to its Contributions set forth herein, no assurances are provided by any Contributor that the Program does not infringe the patent or other intellectual property rights of any other entity. Each Contributor disclaims any liability to Recipient for claims brought by any other entity based on infringement of intellectual property rights or otherwise. As a condition to exercising the rights and licenses granted hereunder, each Recipient hereby assumes sole responsibility to secure any other intellectual property rights needed, if any. For example, if a third party patent license is required to allow Recipient to distribute the Program, it is Recipient's responsibility to acquire that license before distributing the Program.
- d) Each Contributor represents that to its knowledge it has sufficient copyright rights in its Contribution, if any, to grant the copyright license set forth in this Agreement.

### 3. REQUIREMENTS

A Contributor may choose to distribute the Program in object code form under its own license agreement, provided that:

- a) it complies with the terms and conditions of this Agreement; and
- b) its license agreement:
- i) effectively disclaims on behalf of all Contributors all warranties and conditions, express and implied, including warranties or conditions of title and non-infringement, and implied warranties or conditions of merchantability and fitness for a particular purpose;
- ii) effectively excludes on behalf of all Contributors all liability for damages, including direct, indirect, special, incidental and consequential damages, such as lost profits;
  - iii) states that any provisions which differ from this Agreement are offered by that Contributor alone and not by any other party; and
- iv) states that source code for the Program is available from such Contributor, and informs licensees how to obtain it in a reasonable manner on or through a medium customarily used for software exchange.

When the Program is made available in source code form:

- a) it must be made available under this Agreement; and
- b) a copy of this Agreement must be included with each copy of the Program.

Contributors may not remove or alter any copyright notices contained within the Program.

Each Contributor must identify itself as the originator of its Contribution, if any, in a manner that reasonably allows subsequent Recipients to identify the originator of the Contribution.

#### 4. COMMERCIAL DISTRIBUTION

Commercial distributors of software may accept certain responsibilities with respect to end users, business partners and the like. While this license is intended to facilitate the commercial use of the Program, the Contributor who includes the Program in a commercial product offering should do so in a manner which does not create potential liability for other Contributors. Therefore, if a Contributor includes the Program in a commercial product offering, such Contributor ("Commercial Contributor") hereby agrees to defend and indemnify every other Contributor ("Indemnified Contributor") against any losses, damages and costs (collectively "Losses") arising from claims, lawsuits and other legal actions brought by a third party against the Indemnified Contributor to the extent caused by the acts or omissions of such Commercial Contributor in connection with its distribution of the Program in a commercial product offering. The obligations in this section do not apply to any claims or Losses relating to any actual or alleged intellectual property infringement. In order to qualify, an Indemnified Contributor must: a) promptly notify the Commercial Contributor in writing of such claim, and b) allow the Commercial Contributor to control, and cooperate with the Commercial Contributor in, the defense and any related settlement negotiations. The Indemnified Contributor may participate in any such claim at its own expense.

For example, a Contributor might include the Program in a commercial product offering, Product X. That Contributor is then a Commercial Contributor. If that Commercial Contributor then makes performance claims, or offers warranties related to Product X, those performance claims and warranties are such Commercial Contributor's responsibility alone. Under this section, the Commercial Contributor would have to defend claims against the other Contributors related to those performance claims and warranties, and if a court requires any other Contributor to pay any damages as a result, the Commercial Contributor must pay those damages.

#### 5. NO WARRANTY

EXCEPT AS EXPRESSLY SET FORTH IN THIS AGREEMENT, THE PROGRAM IS PROVIDED ON AN "AS IS" BASIS, WITHOUT WARRANTIES OR CONDITIONS OF ANY KIND, EITHER EXPRESS OR IMPLIED INCLUDING, WITHOUT LIMITATION, ANY WARRANTIES OR CONDITIONS OF TITLE, NON-INFRINGEMENT, MERCHANTABILITY OR FITNESS FOR A PARTICULAR PURPOSE. Each Recipient is solely responsible for determining the appropriateness of using and distributing the Program and assumes all risks associated with its exercise of rights under this Agreement, including but not limited to the risks and costs of program errors, compliance with applicable laws, damage to or loss of data, programs or equipment, and unavailability or interruption of operations.

#### 6. DISCLAIMER OF LIABILITY

EXCEPT AS EXPRESSLY SET FORTH IN THIS AGREEMENT, NEITHER RECIPIENT NOR ANY CONTRIBUTORS SHALL HAVE ANY LIABILITY FOR ANY DIRECT, INDIRECT, INCIDENTAL, SPECIAL, EXEMPLARY, OR CONSEQUENTIAL DAMAGES (INCLUDING WITHOUT LIMITATION LOST PROFITS), HOWEVER CAUSED AND ON ANY THEORY OF LIABILITY, WHETHER IN CONTRACT, STRICT LIABILITY, OR TORT (INCLUDING NEGLIGENCE OR OTHERWISE) ARISING IN ANY WAY OUT OF THE USE OR DISTRIBUTION OF THE PROGRAM OR THE EXERCISE OF ANY RIGHTS GRANTED HEREUNDER, EVEN IF ADVISED OF THE POSSIBILITY OF SUCH DAMAGES.

#### 7. GENERAL

If any provision of this Agreement is invalid or unenforceable under applicable law, it shall not affect the validity or enforceability of the remainder of the terms of this Agreement, and without further action by the parties hereto, such provision shall be reformed to the minimum extent necessary to make such provision valid and enforceable.

If Recipient institutes patent litigation against a Contributor with respect to a patent applicable to software (including a cross-claim or counterclaim in a lawsuit), then any patent licenses granted by that Contributor to such Recipient under this Agreement shall terminate as of the date such litigation is filed. In addition, if Recipient institutes patent litigation against any entity (including a cross-claim or counterclaim in a lawsuit) alleging that the Program itself (excluding combinations of the Program with other software or hardware) infringes such Recipient's patent(s), then such Recipient's rights granted under Section 2(b) shall terminate as of the date such litigation is filed.

All Recipient's rights under this Agreement shall terminate if it fails to comply with any of the material terms or conditions of this Agreement and does not cure such failure in a reasonable period of time after becoming aware of such noncompliance. If all Recipient's rights under this Agreement terminate, Recipient agrees to cease use and distribution of the Program as soon as reasonably practicable. However, Recipient's obligations under this Agreement and any licenses granted by Recipient relating to the Program shall continue and survive.

Everyone is permitted to copy and distribute copies of this Agreement, but in order to avoid inconsistency the Agreement is copyrighted and may only be modified in the following manner. The Agreement Steward reserves the right to publish new versions (including revisions) of this Agreement from time to time. No one other than the Agreement Steward has the right to modify this Agreement. IBM is the initial Agreement Steward. IBM may assign the responsibility to serve as the Agreement Steward to a suitable separate entity. Each new version of the Agreement will be given a distinguishing version number. The Program (including Contributions) may always be distributed subject to the version of the Agreement under which it was received. In addition, after a new version of the Agreement is published, Contributor may elect to distribute the Program (including its Contributions) under the new version. Except as expressly stated in Sections 2(a) and 2(b) above, Recipient receives no rights or licenses to the intellectual property of any Contributor under this Agreement, whether expressly, by implication, estoppel or otherwise. All rights in the Program not expressly granted under this Agreement are reserved.

This Agreement is governed by the laws of the State of New York and the intellectual property laws of the United States of America. No party to this Agreement will bring a legal action under this Agreement more than one year after the cause of action arose. Each party waives its rights to a jury trial in any resulting litigation.

# 20. Index

CASAL <sup>2</sup> source code, 2	profile, 95, 159 report, 120, 159	
About CASAL <sup>2</sup> , 5	selectivity, 72, 163	
Abundance or biomass observations, 35	time_step, 47, 166	
Age-length relationship, 11, 66	time_varying, 61	
Ageing, 4, 6	Command block format, 12	
Ageing error, 38	Command line arguments, 9, 10	
Annual cycle, 2, 4, 5, 15	Commands, 11	
Available reports, 119		
Transco Toporus, 115	Commands	
Basic length-weight relationship, 12	Subcommands, 12	
Bayesian estimation, 22, 23	Commenting out lines, 13	
Beta prior, 27	Comments, 13	
Beverton-Holt recruitment, 4, 5	Common Public License, 1	
Binomial likelihood	Constant mortality, 7	
proportions-by-category, 35	Constant Recruitment, 5	
Binomial likelihood (normal approximation)	Convergence failure, 21	
proportions-by-category, 35	Correlation matrix, 21	
	Covariance matrix, 19, 21	
BOOST C++ library, 2		
Bounds, 20	Defining ageing error, 118	
Calculation of length-at-age (in an age-based	Defining catchability constants, 96	
model), 12	Defining penalties, 96	
Calculation of mean weight, 13	Defining priors on parameter ratios, differences	
CASAL, 6	and means, 97	
	Derived quantities, 5, 11, 64	
Categories, 46	Derived quantities by cell, 5	
Category transition, 4	Determining parameter names, 13	
Citation, 1	Differential evolution minimiser, 2, 20	
Citing CASAL <sup>2</sup> , 1	, ,	
Command	Estimable parameters, 9	
additional_prior, 97	Estimate Transformations, 28	
age_length, 66, 141	Inverse, 28	
ageing_error, 118, 141	log, 28	
catchability, 96, 142	Log odds, 28	
categories, 46	Simplex, 28	
derived_quantity, 64, 142, 147	Estimated parameters, 6, 12	
estimate, 80, 143	Estimating parameters, 20	
include, 132	Estimation methods, 80	
Include files, 13	Estimation section, 6	
initialisation_phase, 44, 145	Event mortality, 7	
length_weight, 71, 165	•	
likelihood, 115, 146	Examples, 133	
mcmc, 93, 148	Exit status value, 14	
minimiser, 88, 148	Finite differences minimiser, 2, 20	
model, 43, 150	Time differences minimiser, 2, 20	
observation, 100, 150	Getting help, 2	
penalty, 96, 155	Hessian, 19, 21	
process, 47, 155		

Include an external file, 132	Normal prior, 26	
Including external files, 10	Notifying errors, 2	
Initialisation, 2, 3, 15, 44		
phases, 3	Objective function, 20	
Input configuration file, 6, 9	Objective function evaluations, 21	
Input configuration file syntax, 11	Observation section, 6, 7	
Instantaneous mortality, 8	Observation types, 99	
Interpolation of length-at-age, 12	Observations, 29	
	Optional command line arguments, 11	
Length-weight, 71	Output header information, 10	
Likelihoods, 29, 115	Parameter names, 13	
Linux, 1, 2, 6, 9	Partition, 5	
Local minimums, 21	Point estimation, 20, 88	
Lognormal likelihood	Population processes, 4	
abundance, 37	Population section, 6, 15	
biomass, 37	Population structure, 15	
proportions-at-age, 33	Posterior profiles, 22	
Lognormal prior, 26	Priors, 20	
Maturation, 9	Priors	
Maturity, in models without maturing in the	Beta, 27	
partition, 13	Lognormal, 26	
Maximum exploitation rate, 8	Normal, 26	
Maximum posterior density estimate (MPD), 19	Uniform, 26	
MCMC, 19, 23	Uniform-log, 26	
Microsoft Windows, 1, 2, 6, 9	Process error, 37	
Migration, 9	Processes, 5, 47	
Mingw, 2	Profiles, 19, 95	
Model	Projection year, 2	
annual cycle, 5	Projections, 4	
derived quantities, 5	Proportions-at-age across aggregated categories.	
derived quantities by cell, 5	31	
initialisation, 15	Proportions-at-age for a single category, 30	
partition, 5	Proportions-at-age for multiple categories, 31	
processes, 5	Proportions-at-age observations, 29	
state, 5	Proportions-by-category observations, 33	
time-steps, 5	Pseudo-observations, 39	
Model overview, 5	, , , , , , , , , , , , , , , , , , ,	
Model structure, 43	Quasi-Newton iterations, 21	
Model years, 4		
Monte Carlo Markov Chain (MCMC), 19, 23, 93	Random number generator, 2	
Mortality, 4, 7	Recruitment, 4	
MPD (Maximum posterior density estimate), 19	Recruitment	
Multi-phase iteration, 3	Beverton-Holt, 4	
Multinomial likelihood	Constant, 4	
proportions-at-age, 32	Redirecting standard error, 10	
	Redirecting standard out, 10	
Necessary files, 2	Redirecting standard output, 10	
Normal likelihood	Report commands and subcommands, 120	
abundance, 37	Report section, 6, 7	
biomass 37	Reports, 41	

Reports section, 41	time-steps, 5	
Run years, 2		
Running CASAL <sup>2</sup> , 9	Uniform prior, 26	
	Uniform-log prior, 26	
Schnute growth curve, 12	User assistance, 2	
Selectivities, 14, 72	Using CASAL <sup>2</sup> , 9	
All-values, 15	X7 ' 1 1	
All-values-bounded, 15	Version number, 1	
Constant, 14	von Bertalanffy growth curve, 12	
Double-exponential, 16	Weightless model, 13	
Double-normal, 16	weightiess model, 13	
Increasing, 15		
Inverse-logistic, 15		
Knife-edge, 15		
Logistic, 15		
Logistic-producing, 16		
Spline, 16		
Setting the number of threads, 11		
Simulating observations, 38		
Size-weight relationship, 12		
Software license, 1		
Specifying the parameters to be estimated, 20		
standard error, 10		
standard output, 10		
State, 5		
Subcommand argument type, 12		
Successful convergence, 21		
System requirements, 1		
Tag release events, 11		
Tag shedding rate, 11		
Tasks, 9		
Technical specifications, 2		
The Betadiff minimiser, 22		
The differential evolution minimiser, 21		
The estimation section, 6, 19		
The numerical differences minimiser, 20		
The objective function, 19 The observation section, 6		
The population section, 6, 15		
The report section, 7, 41		
The state object and the partition, 17		
Threads		
setting, 11		
Time sequences, 0, 2		
Time Varying Parameters, 16		
Constant, 17		
Exogenous, 17		
Random Walk, 17		
Time varying parameters, 61		
Time-steps, 47		