

₁ An analysis of the North Sea International Bottom Trawl Survey

₂ Data

₃

₄ **Abstract**

₅ In this research we present nonparametric estimation procedures for calculating abundance at age
₆ indices, and investigate the sensitivity of these estimates with respect to the number of otoliths collected
₇ at sea. The procedures presented are applied to the North Sea International Bottom Trawls Survey data
₈ for cod (*Gadus morhua*) and saithe (*Pollachius virens*). We demonstrate how much information would
₉ be lost if the survey design was defined such that fewer otoliths were collected. Age length keys (ALKs)
₁₀ are used to map lengths to age, and we use ALKs with and without the assumption of constant age length
₁₁ structures over relatively large areas. All abundance at age indices are presented with variance estimates.

₁₂

₁₃ **1 Introduction**

₁₄ Fish stock assessments are used by fishery managers for making management decisions regarding catch
₁₅ quotas. The assessments provide fundamental information about the status of the stock, for instance,
₁₆ whether the stock is increasing and support for increased levels of harvest should be given, or whether the
₁₇ stock is decreasing and stricter control on harvest should be implemented. Associated with the parameters
₁₈ used in fish stock assessment is their uncertainty, which should not be ignored when formulating management
₁₉ policies (Walters and Ludwig, 1981; Ludwig and Walters, 1981; Berg et al., 2014). This uncertainty can arise
₂₀ from many sources including natural variability, estimation procedures and lack of knowledge regarding the
₂₁ parameter (Ehrhardt and Legault, 1997). The North Sea International Bottom Trawl Survey (IBTS) data,

22 coordinated by the International Council for the Exploration of the Sea (ICES), provides information on
23 seasonal distribution of stocks and estimates of abundance indices and catch in numbers of fish per age-class
24 without an assessment of the accuracy of these estimates. As stated by Ludwig and Walters (1981) it is
25 relevant for managers to take into account the uncertainty related to stock size when making management
26 polices. The indices of abundance at age from IBTS are based on data obtained from a stratified semi-random
27 sampling approach of trawl stations, and it is essential to account for the sampling approach so as to produce
28 reliable variance estimates (Lehtonen and Pahkinen, 2004). If the sampling approach is ignored, the effect on
29 the variance of the parameters could be substantial. In particular, the variance could be greatly inflated due
30 to the clustering effect, which involves intra-cluster correlation of the variables (Aanes and Vølstad, 2015;
31 Lehtonen and Pahkinen, 2004).

32 There are two separate stages for generating abundance indices per age from the North Sea International
33 Bottom Trawl Survey (IBTS) data. The first consist of calculating indices per *length* class, which are obtained
34 by trawling in a stratified manner, sorting the catch by [taxa?](#) and take biological measurement of the sorted
35 catch. Then that knowledge is transformed to indices with respect to age. The latter part is achieved with
36 an age-length key (ALK), which is constructed by sampling otoliths in a stratified procedure from each haul
37 and/or sub-area. To our best knowledge, there has been no research on how much the uncertainty of the
38 abundance indices is related to these two distinct parts. The main contribution of this research is to shed
39 light on how the indices estimates and their associated uncertainty estimates change if less effort was spent
40 on collection of otoliths. We achieve the reduction of otoliths by mimicking a defined sampling procedure
41 with less effort. We also focus on the spatial distribution of the ALK, and such spatial structures in the
42 ALK has also been investigated in Berg and Kristensen (2012) and Hirst et al. (2012).

43 Currently, abundance indices from IBTS are reported in DATRAS (ICES, 2018c) using an age-length key
44 (ALK) (Fridriksson, 1934) which is assumed to be constant over relatively large areas. In this research we
45 propose two ALKs which accounts for spatial variation: i) a nonparametric haul based ALK, and ii) a spatial
46 model based ALK. These ALKs are described in Section 2. A spatial model based ALK (Berg and Kristensen,
47 2012; Berg et al., 2014) known as the NS-IBTS Delta-GAM index (ICES, 2016b) is currently being used to
48 calculate standardized age-based survey indices used in assessment for the North Sea stock ([haddock](#) and

49 [cod](#)). And, as far as we are aware the variance estimates of parameters estimated from NS-IBTS Delta-GAM
50 index are *only* utilized for assessment of Herring (*Clupea harengus*) in the North Sea.

51 The spatial ALK model introduced in Berg and Kristensen (2012) is similar to the model used in this
52 paper; the main difference is that we include the spatial structure through a spatial random field (Lindgren
53 et al., 2011) and not through two dimensional splines (Wood, 2017).

54 An overview of the North Sea International Bottom Trawl Survey is given in Section 1.1. The current
55 estimators for ALK and catch per unit effort (CPUE) used by ICES in their database for trawl surveys
56 (DATRAS) and our proposed ALK estimators are given in Section 2. We apply these ALK methods to two
57 case studies in Section 3, and a discussion is given in Section 4.

58 **1.1 Overview of the North Sea International Bottom Trawl Survey**

59 The North Sea International Bottom Trawl Survey was formed in 1991, to combine the International Young
60 Herring Survey (IYHS) and eight national surveys in the North Sea, Skagerrak and Kattegat areas. These
61 surveys began in the 1960's, and the 1970's and 1980's, respectively. The IYHS was developed with the aim
62 of obtaining annual recruitment indices for the combined North Sea herring (*Clupea harengus*) stock (ICES,
63 2012), but yielded valuable information on other fish species such as cod (*Gadus morhua*) and haddock
64 (*Melanogrammus aeglefinus*).

65 The North Sea IBTS began with quarterly surveys providing information on seasonal distribution of
66 stocks sampled, hydrography and the environment, which allows changes in fish stock to be monitored and
67 abundance of all fish species to be determined. These quarterly surveys, however became difficult to sustain
68 as countries experienced budget cuts making it impossible to maintain high levels of research vessel effort. As
69 such, in 1997 countries carried out a survey only twice a year; a first quarter survey (January-February) and
70 a third quarter survey (July-September). The target species of IBTS fished from 1991-2018 includes standard
71 pelagic species: Herring (*Clupea harengus*), Sprat (*Sprattus sprattus*) and Mackerel (*Scomber scombrus*); and
72 standard roundfish species: Cod (*Gadus morhua*), Haddock (*Melanogrammus aeglefinus*), Saithe (*Pollachius*
73 *virens*), Norway Pout (*Trisopterus esmarkii*) and Whiting (*Merlangius merlangus*). There are also several
74 by-catch species (see for example, ICES, 2006b)

75 Research vessels from seven nations in the first quarter (Q1) and six nations in the third quarter (Q3) are
76 used for conducting surveys on all finfish species in the North Sea during January–February and July–August,
77 respectively, between 1997–2018 (Table S1.1 in Supplementary Materials S1 gives details of the research ves-
78 sels). The sampling frame is defined by the ICES index or roundfish areas (RFA) as shown in Figure 1
79 numbered 1 to 10. These roundfish areas were substratified into small strata defined by non-overlapping
80 statistical rectangles of roughly 30×30 nautical miles (1° Longitude \times 0.5° Latitude), and were conve-
81 nient to use for IBTS as they were already being used for fisheries management purposes. Most statistical
82 rectangles contain a number of possible tows that are deemed free of obstructions ([found in databases of](#)
83 [national safe tows or DATRAS or commercial fishing data](#)), and vessels are free to choose any position in
84 the rectangles as long as the hauls are separated by at least 10 nautical miles within and between rectangles
85 (ICES, 2018b). However, all countries select tows based on a semi-random approach from databases of
86 national safe tows or DATRAS or commercial fishing data, except Sweden who uses fixed stations and in
87 some cases depth-stratified semi-random sampling design (ICES, 2018b); and England who also uses fixed
88 stations and only conduct surveys during the third quarter. In some rectangles, sampling may be further
89 stratified due to significant changes in seabed depth which may, in turn, cause variations in the fish popula-
90 tion. In particular, the North Sea IBTS herring, saithe and sprat data are weighted by depth strata in the
91 statistical rectangle (see Table S3.1 in Supplementary Materials S3). [But this weighting is not included in](#)
92 [the current estimation procedure in DATRAS](#). It is also a requirement that countries avoid clustering their
93 stations between adjacent rectangles in order to reduce positive serial correlation, and thereby maximize
94 survey precision. The latest major reallocation of rectangles occurred in 1991, but since then the survey
95 has tried to keep at least one vessel in every subarea in which it had fished in the most recent years. Minor
96 reallocation of rectangles between Norway, Scotland and Germany was done in 2013. Each rectangle was
97 typically sampled twice by two different countries before 1997, but after that target coverage of two trawl
98 hauls per rectangle per survey was introduced because of national financial constraints (ICES, 2015). But
99 in some rectangles in the Eastern English Channel, Southern North Sea and Central North Sea intensified
100 sampling is carried out.

101 The recommended standard trawling gear of the North Sea IBTS is the mulitpurpose chalut à Grande

102 Ouverture Verticale (GOV) trawl (ICES, 2012), which has been used on all participating vessels since 1992,
 103 while different pelagic and bottom trawls suitable for fishing finfish species were used before 1992. Standard-
 104 ized trawling protocols were adopted with a towing speed of 4 knots but depending on vessel performance,
 105 tide and weather conditions the average towing speed can be at minimum 3.5 and maximum 4.5 knots. From
 106 2000-2018 trawling is done during the daylight hours, which are considered 15 minutes before sunrise to 15
 107 minutes after sunset (ICES, 2012). After each trawl the total catch of the different species is weighed on
 108 board and biological parameters such as length for all fish species caught (to 0.1 cm below for shellfish, to
 109 0.5 cm below for herring and sprat and to 1 cm below for all other species) are collected. Where the numbers
 110 of individuals are too large for all of them to be measured to obtain the length distribution, a representative
 111 subsample of 100 fish is selected. Otoliths are collected on board from a small fraction of all the target
 112 species from all RFAs (Figure 1) to retrieve age reading. Table S2.1 in Supplementary Materials S2 gives
 113 the minimum sampling levels of otoliths for the target species.

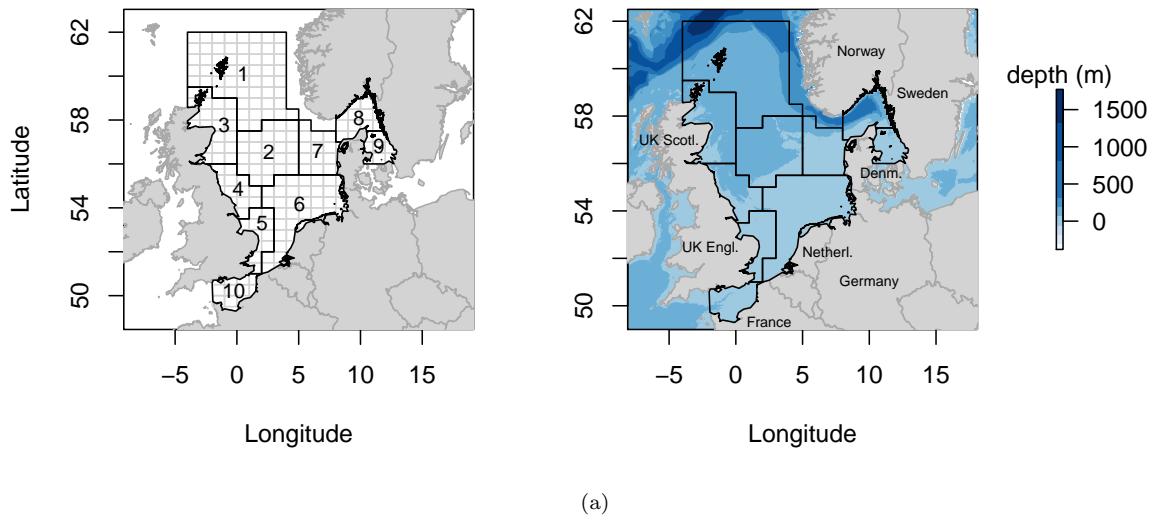


Figure 1: Standard roundfish areas (RFAs) used for roundfish since 1980 and for all standard species since 1991 (left panel). RFA 10 was added in 2009. The number 1, for example, indicates ICES RFA 1. The small grey rectangles in the left panel indicate the statistical rectangles of approximately 30×30 nautical miles (these vary from 28 nm wide in the north, to 40 nm wide in the south of North sea) (1° Longitude \times 0.5° Latitude). The map in the right panel shows the Norwegian trench and shelf edge (depths 1000-1500).

114

2 METHODS

115 This section gives the estimators of abundance indices. The estimators are haul-duration based and utilizes
 116 an ALK approach. We consider the ALK approach used in DATRAS and we propose two ALK estimators.
 117 The ALK used in DATRAS for computing abundance indices does not account explicitly for the spatial
 118 distribution in age-length structures over large areas. [As differences in age-length structures may exist over](#)
 119 [large areas, these differences do have the potential to result in a biased ALK \(Gerritsen et al., 2006; Kimura,](#)
 120 [1977\)](#). These differences may be caused either by variation in length-at-age distributions or by variations in
 121 the relative abundance of age classes, that is age-at-length distributions (Gerritsen et al., 2006). To account
 122 for the spatial distribution we propose a design-based ALK estimator that is haul dependent (Section 2.2.2)
 123 and a model based ALK estimator (2.2.3).

124 **2.1 Catch per unit effort**

125 In this research, the catch per unit effort (CPUE) is defined as the number of fish of a certain species and
 126 age or length which are caught per hour trawl. In this section we define the CPUE mathematically, which
 127 explains how the index is calculated. For a given species of interest, let $n_{h,l}$ be the number of fish with
 128 length l caught by trawl haul h . The CPUE for a given length l by trawl haul h is defined as

$$\text{CPUE}_{h,l} = \frac{n_{h,l}}{d_h}, \quad (2.1)$$

129 where d_h is the duration of the trawl in hours. The CPUE per age class is further defined as

$$\text{CPUE}_{h,a} = \sum_{l \in \mathbf{L}} \text{CPUE}_{h,l} \times \text{ALK}_{a,l,h}, \quad (2.2)$$

130 where \mathbf{L} is the set of all length classes and $\text{ALK}_{a,l,h}$ is the age length key, which represents the estimated
 131 proportion of fish with age a in l th length class in haul h . For a given number of trawl hauls in a statistical
 132 rectangle, the mean CPUE defined as mCPUE in a statistical rectangle can be expressed as the average
 133 CPUE of the trawl hauls in the statistical rectangle:

$$\text{mCPUE}_{s,a} = \sum_{h \in H_s} \frac{\text{CPUE}_{h,a}}{|H_s|}. \quad (2.3)$$

¹³⁴ Here H_s represents the set of trawl hauls taken in statistical rectangle s , and $|H_s|$ is the number of hauls
¹³⁵ taken in the rectangle. The mCPUE in p th RFA is further defined as

$$\text{mCPUE}_{p,a} = \sum_{s \in S_p} \frac{\text{mCPUE}_{s,a}}{|S_p|} \omega_s, \quad (2.4)$$

¹³⁶ where S_p is the set of all statistical rectangles in RFA p , $|S_p|$ is the number of statistical rectangles in RFA
¹³⁷ p , and ω_s is a weight variable for each statistical rectangle. The weight variable ω_s varies between species.
¹³⁸ (Would it be better to present ω as a parameter that is intended to incorporate area, or in some cases an
¹³⁹ 'inhabitable area' for the species. And then state the rest as examples of usage in stock assessment. The
¹⁴⁰ difference in parameterization between species might partly reflect that different people made decisions on
¹⁴¹ how to estimate, and partly that weighting actually is more important for some species than others.) For
¹⁴² some species ω equals 1 (e.g. *Gadus morhua*) for all s , and for other species it is the proportion of the
¹⁴³ statistical rectangle which has depth between 10 to 200 meters, for example *Pollachius virens* (see Table S3.1
¹⁴⁴ in Supplementary Materials S3). The mean catch per unit at age in the whole study area, λ_a , is defined by

$$\lambda_a = \frac{\sum_{p \in \mathbf{P}} A_p \text{mCPUE}_{p,a}}{A_{\text{total}}}. \quad (2.5)$$

¹⁴⁵ This is known as the index of abundance at age, where \mathbf{P} is the set of RFAs, A_p is the area of RFA p , and
¹⁴⁶ $A_{\text{total}} = \sum_{p \in \mathbf{P}} A_p$.

¹⁴⁷ 2.2 ALK estimators

¹⁴⁸ The definition of the CPUE of age includes an ALK, see (2.2), which we described in this section. Three
¹⁴⁹ ALK estimators are included in this research, which are named as follows: *i*) DATRAS ALK, *ii*) haul based
¹⁵⁰ ALK and *iii*) model based ALK.

¹⁵¹ 2.2.1 DATRAS ALK

¹⁵² Let ALK^D denote the ALK used in DATRAS to estimate abundance at age for the IBTS data. The ALK^D is
¹⁵³ defined as constant within each RFA, and is calculated for each RFA by aggregating the age observation from
¹⁵⁴ each RFA. $\text{ALK}_{a,l,h}^D$ used in equation (2.2) is defined as the proportion of observed fish with age a in length
¹⁵⁵ class l in the RFA h . If there are no observed fish in length class l in the RFA, ages from length classes close

156 to l is used. The details of the procedure for borrowing strength from neighbouring length classes are given
 157 in Supplementary Materials S4.1. The underlying assumption of this ALK is that age-length compositions
 158 are homogeneous within the RFAs. This is a rather strong assumption, and any violation would have an
 159 unknown impact on the estimates of abundance indices. Aanes and Vølstad (2015) illustrated that violation
 160 of the assumption of constant ALK leads to biased estimates of CPUEs.

161 *2.2.2 Haul based ALK*

162 We define a haul dependent ALK by ALK^H . The $ALK_{a,l,h}^H$ used in equation (2.2) is defined as the average
 163 proportion of observed fish with age a in length class l in haul h . If there are no observed ages of fish in a
 164 length class l in the haul, ages from the same length class in the haul close by is used (see Supplementary
 165 Materials S4.2 for the procedure).

166 *2.2.3 Model based ALK*

167 In this section we introduce a spatial model based ALK, which we define as ALK^M . Using such a model
 168 enables us to obtain smooth structures in the distribution of age given length. It further enables us to utilize
 169 spatial latent effects. Spatial model based approach of age-lengths are widely used (Berg and Kristensen,
 170 2012; Hirst et al., 2012; Rindorf and Lewy, 2001), and are used for stock assessment in the North Sea (Berg
 171 et al., 2014).

172 Let the response variable of the age group of a fish be $a = M, \dots, A$ where M is the youngest age, and A
 173 is the oldest age which is typically defined as a "plus group". Suppose $y(l, \mathbf{s})$ is the age of a fish with length
 174 l caught at location \mathbf{s} . As in Berg and Kristensen (2012) we use a continuous ratio model for the spatial age
 175 given length model. However, in our application we assume for each species we know a length l^* such that
 176 all fish above length l^* are above age M , and all fish with length below l^* are of age below A . By including
 177 such a variable we reduce the number of parameters in the model by removing one linear predictor. Define
 178 the continuous ratio we are modelling as

$$\pi_a[y(l, \mathbf{s})] = \frac{p_a(l, \mathbf{s})}{p_a(l, \mathbf{s}) + \dots + p_A(l, \mathbf{s}) + p_M(l, \mathbf{s})} \quad \text{for } a = M + 1, \dots, A - 1, \quad (2.6)$$

179 where $p_a(l, s)$ is the probability of a fish with length l at location \mathbf{s} (**I assume from the use of Euclidian**

180 distance later that \mathbf{s} is in planar coordinates. It would be nice to state that clearly here, and state somewhere
 181 the projection used for the IBTS data.) (I changed the the text under related to $\|\cdot\|$ and I don't think we
 182 need to include the coordinate system here. Perhaps we should include how the distances are calculated,
 183 note that these distances are also calculated in the haul based ALK when filling the missing values. to be of
 184 age a . Note that either $p_A(l, \mathbf{s})$ or $p_M(l, \mathbf{s})$ is known to be equal to zero, and the other is selected such that
 185 $\sum_a p_a = 1$.

186 We further assume the logit link

$$\log \left[\frac{\pi_a[y(l, \mathbf{s})]}{1 - \pi_a[y(l, \mathbf{s})]} \right] = f_a(l) + \gamma_a(\mathbf{s}). \quad (2.7)$$

187 Here $f_a(l)$ is a continuous function of length and γ is a mean zero Gaussian spatial random field with
 188 Matérn covariance function (Stein, 2012). (I think γ needs to be specified, but it could probably be done
 189 by reference). The spline f_a is intended to account for that longer fish are typically older, and the spatial
 190 random field, γ , is intended to account for spatial variation in the ALK. See table 1 for a description of the
 191 parameters used in (2.7).

192 The continuous function $f_a(l)$ in (2.7) is modelled with usage of P-splines (Wood, 2017), and these spline
 193 regression coefficients are included as a Gaussian random effect. The precision matrix for the spline regression
 194 coefficients is constructed such that the variability (or wryggliness) in the spline is penalized, see Wood (2017,
 195 page 239) for details. The R package mgcv (Wood, 2015) is used for extracting the precision matrix needed
 196 for the spline regression coefficients. The marginal variance of the P-splines regression coefficients, σ_f^2 , is
 197 estimated in our inference procedure.

198 We assume that the spatially Gaussian random field in (2.7), γ , follows a stationary Matérn covariance
 199 structure:

$$\text{Cov}(\gamma(\mathbf{s}_1), \gamma(\mathbf{s}_2)) = \frac{\sigma_\gamma^2}{2^{\nu-1}\Gamma(\nu)} (\kappa \|\mathbf{s}_1 - \mathbf{s}_2\|)^\nu K_\nu(\kappa \|\mathbf{s}_1 - \mathbf{s}_2\|), \quad (2.8)$$

200 where σ_γ^2 is the marginal variance, $\|\mathbf{s}_1 - \mathbf{s}_2\|$ is the distance between \mathbf{s}_1 and \mathbf{s}_2 in kilometres |||| is the
 201 Euclidean distance measure in kilometres (I think the unit should be specified for \mathbf{s} if they need to be
 202 specified. For this particular expression, I suppose the spatial scale parameter takes care of adjusting for
 203 distance units.)) (Yes κ does, but it is important to know that the distance is given in kilometres for
 204 interpretation of κ . I don't think we need to define the units of \mathbf{s} , it is only $\|\mathbf{s}_1 - \mathbf{s}_2\|$ which is of interest.),

205 κ is a spatial scale parameter, ν is a smoothing parameter and $K_\nu(\cdot)$ is the modified Bessel function of
 206 the second kind with $\nu = 1$. The spatial field is estimated with the stochastic partial differential equation
 207 (SPDE) procedure described in Lindgren et al. (2011). The main concept behind the SPDE procedure is
 208 that the precision matrix of a spatial field with Matérn covariance function can be approximated by a sparse
 209 matrix on a grid covering the area of interest. Such a grid and sparse precision matrix are constructed with
 210 use of the R-INLA package (Rue et al., 2009). See figure 2 for an illustration of the mesh used in the case
 211 study for cod in section 3. (we should specify somewhere the grid parameters we have used) (The code
 212 should be publicly available when publishing the paper, and the results should relatively easily be redone by
 213 anyone. Perhaps we can refer the interested reader to the code for the specifications used in the INLA and
 214 mgcv package.)

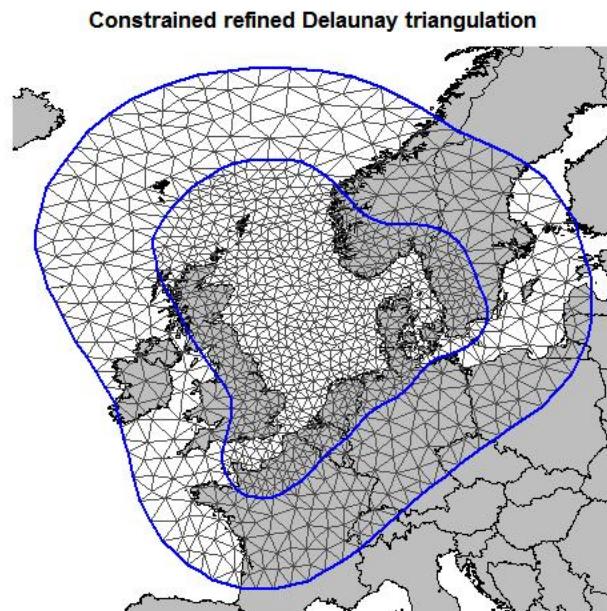


Figure 2: Mesh used in the case study for cod in section 3 for approximating (2.8) with the SPDE-procedure.

215 The species specific constant l^* is selected as the mid point between the shortest fish of age A and the
 216 longest fish of age M in the corresponding year and quarter. A sensitivity analysis of this constant were
 217 performed by adjusting it up and down 5 cm for cod in year 2018 in Q1. The point estimate of the mCPUEs
 218 then changed in the forth decimal, which we will consideris negligible.

219 The model based ALK estimate is obtained by maximizing the likelihood. We maximize the likelihood

220 with use of an R-Package called Template Model Building **TMB** (Kristensen et al., 2015), combined with the
 221 optimizing function **nlnmb** in R. In this application **TMB** is advantageous as it uses Laplace approximation
 222 for the latent fields gaining computational efficiency, it also utilizes sparse structures in the latent fields, and
 223 uses automatic derivation.

Parameter	Explanation
σ_f^2	Marginal variance of the spline regression coefficients
σ_γ^2	Marginal variance of the spatial field in (2.8)
κ	Spatial scale parameter of the spatial field in (2.8)

Table 1: *The three parameters used in the ALK model.*

224 (I think the above gives a good declaration of the model, but I wasnt quite able to always keep track
 225 of the parameters that need to be decided in the max-likelihood procedure. It would be nice with a short
 226 summary of what our free parameters are, including any dimensionality so that the reader can compare
 227 with the data volume.) (I agree, I suggest to include a table with MLE of the parameters in the section we
 228 elaborate results for the case studies)

229 **2.3 Uncertainty estimation**

230 In this section we describe how the uncertainty of the CPUE estimates are calculated. We use nonparametric
 231 bootstrapping to quantify the uncertainty of the CPUEs. In nonparametric bootstrapping independent sam-
 232 ples of lengths and age are drawn with replacement from the original data and approximate 95% confidence
 233 intervals are obtained using bias-corrected percentile method (Carpenter and Bithell, 2000). Nonparamet-
 234 ric resampling allows us to estimate the sampling distribution of the CPUE empirically without making
 235 assumptions concerning the data. The bias-Corrected method adjusts for the bias and skew of the sam-
 236 pling distribution of the data (Puth et al., 2015; Karlsson, 2009). The bootstrap procedure is given in
 237 Supplementary Materials S5.

238 A bootstrap procedure for estimating the uncertainty of CPUEs in the North Sea is suggested in **ICES**
 239 (**2006a**). This procedure is given in Supplementary Materials S5. In the rest of this research, we refer to
 240 this procedure as DATRAS bootstrap procedure, as it is the current procedure outlined in DATRAS for
 241 uncertainty estimation of IBTS indices. The DATRAS procedure is divided into two parts; one part which

242 samples CPUE per length (2.1), and another part which samples the ALK used in (2.2). The DATRAS
243 bootstrap procedure is based on the assumption of homogeneous CPUE within RFAs. This assumption
244 is likely to be wrong, and would typically cause an overestimation of the uncertainty. Therefore, we have
245 included a bootstrap procedure, defined as the stratified bootstrap procedure, which instead assumes constant
246 CPUE within each statistical rectangle.

247 *2.3.1 DATRAS and Stratified bootstrap procedure*

248 In this section we describe the bootstrap procedure for catch at length proposed in [DATRAS ICES \(2006a\)](#)
249 and the stratified procedure, and elaborate how the ALK is simulated. Assume there are N_s trawl hauls
250 in a statistical rectangle. The DATRAS bootstrap procedure consists of sampling with replacement N_s of
251 all trawl hauls in the corresponding RFA, and place them in the statistical rectangle. This procedure is
252 performed independently across all statistical rectangles. It should be remembered that this procedure is
253 based on the assumption that ALK is homogeneous in the whole RFA, and the implication of DATRAS
254 bootstrap procedure on indices of abundance is two-fold. Firstly, DATRAS bootstrap procedure ignores the
255 fine-scale stratification in the sampling process. This would lead to an overestimation of the uncertainty.
256 Secondly, it ignores the sampling procedure of age-length data collected at the haul level. This would lead to
257 an underestimation of the uncertainty. So there are biases in both directions, which are difficult to quantify.
258 The Stratified bootstrap procedure is a modification of the DATRAS bootstrap procedure. Rather than
259 sampling hauls from the whole RFA, we sample the N_s trawl hauls from the list of hauls within the same
260 statistical rectangle. If there is only one trawl haul within a statistical rectangle, we sample either that haul
261 or the closest haul.

262 To estimate the ALK used in DATRAS, ALK^D we sample with replacement age observations within each
263 RFA stratified with respect to length. If there is only one observed age from a given length class(If they
264 follow the revised manual of only sampling one otolith pr lengthgroup, this will usually be the case for most
265 species), we sample either that age or, at random, an age of the closest length class with observed ages. For
266 both the haul based ALK and the model based ALK, we use the ages in the sampled hauls obtained when
267 simulating the CPUE per length.

268 (Are we not missing a description of the ALK-bootstrap for haul-based and model based, and a description
269 of how the bootstrap of hauls is integrated with the bootstrap of ALKs (the nested bootstrap loop) ?)

270 **2.4 Reducing sampling effort**

271 (Discussion point 1: I am thinking that if we are to mimick reduced sampling, the probability of selecting
272 the otolith from each of the lengthgroups that have been 'merged' should be proportional to the number of
273 fish in that length group.) The current sampling procedure for the North Sea IBTS data is the sampling of
274 one otolith from every observed length group in every trawl (see Table S2.1 in Supplementary Materials S2).
275 We investigate the effect on the estimated index of abundance $\hat{\lambda}_a$ and its variance if the sampling procedure
276 of otoliths changes such that fewer otoliths were collected. To determine this effect we remove otholits in a
277 stratified manner, mimicking a sampling procedure where fewer otoliths are collected. For sampling fewer
278 otoliths, we define wider length groups, for example 1 cm, 2 cm, 3 cm and so on, and simulate the otolith
279 collection such that only one pair of otolith is sampled from every wider length group. Estimated indices
280 of abundance with summary statistics, based on the simulated reduced data sets are then compared with
281 the parameters estimated from using all of data. In principle, we are free to define any length class to
282 reduce the number of observed otoliths. To determine whether there is obvious change in estimated indices
283 of abundance and its uncertainty we propose seven procedures. We sample at random one pair of otoliths (I
284 assume this is one pair fo otoliths from one fish, so only one age-reading?) from the following length groups:
285 1 cm, 2 cm, 3 cm, 4 cm , 6 cm or 7 cm. (Discussion point 2: I hate to extend the scope of this, but I think an
286 important reason why simple desing-based variance estimation breaks down for this design, is that we only
287 have one samples within length strata. This could be solved by doing to age-readings for bigger stratas, and
288 I think it would be interesting to discuss a way to address comparisons like '1 age reading pr 2 cm group'
289 vs '2 age readings pr 4 cm group', which would give the same number of otoliths if implemented in a design
290 (not necessary the same number of otoliths collected with such a procedure), but would allow for different
291 estimators)

292

3 Case studies

293 In this section we apply the methods described in Section 2 to data from the International Bottom Trawl
 294 Survey for the years 2017-2018, which is obtained from the DATRAS database (ICES, 2018c). These years
 295 are chosen for two reasons. The first is that in year 2018 new sampling procedures proposed by ICES
 296 for the collection of otoliths were introduced in the surveys. For instance, one otolith per length group is
 297 sampled for most target species (see Table S2.1 in Supplementary Materials S2 for the sampling procedures
 298 for each target species), and this data is appropriate for the application of our proposed sample optimization
 299 procedure described in Section 2.4. The second is that IBTS included Age 0 in Q3 surveys, and since data
 300 for year 2018 Q3 is not yet available, the data for years 2017 Q3 and 2018 Q1 will be used in our analyses.
 301 Also, some species such as saithe that occupies the deeper waters in the northern part of the North Sea
 302 and in the Skagerrak and Kattegat, along the shelf edge (ICES, 2018a), the IBTS Q3 data is relevant for
 303 analyses compared with data from IBTS Q1 surveys, which do not adequately cover these areas where saithe
 304 is distributed (see Figure 1). Note that both IBTS Q1 and Q3 surveys do not adequately cover the whole
 305 stock distribution of saithe but the data collected is considered generally representative (ICES, 2016a).

306 In this research, the species of interest are cod and saithe. All samples are caught using the standard
 307 GOV gear described in Section 1.1. Cod can be as old as 12 years in the first quarter and 11 years in the
 308 third quarter; and saithe as old as 18 years in the first quarter and 17 years in the third quarter. In our
 309 analyses we consider the age groups 1 to 6+ in Q1 and 0 to 6+ in Q3 for all ALK methods, where the last
 310 group consists of fish of age 6 or older. Saithe are typically older than cod but smaller in length, particularly
 311 in Q1. Catch rates are higher in the third quarter, 48% for cod and 164% for saithe, compared with the
 312 first quarter. Table S6.1 in Supplementary Materials S6 briefly describes the data for year 2018 in the first
 313 quarter and year 2017 in the third quarter.

314 ***3.1 Estimated indices of abundance and variability for cod and saithe***

315 In this section we apply the three ALK methods given in section 2.2 for abundance estimation, and the
 316 bias-corrected bootstrap method, given in Section 2.3.1 for estimating variability of estimated indices of
 317 abundance. The main assumption of DATRAS ALK is that the age-length compositions of species over large

318 areas are the same. In this section we apply the three ALK methods, given in section 2.2, for estimating
319 abundance at age and the bias-corrected bootstrap method, given in Section 2.3.1, for estimating variability of
320 estimated indices of abundance. The main assumption of DATRAS ALK is that the age-length compositions
321 of species over large areas are the same. Figure 3 illustrates the predicted probability of age of cod given
322 length using the spatial model based ALK (2.7). Figure 3 illustrates that the main assumption of DATRAS
323 ALK of constant age-length compositions over large areas is not valid as a 20 cm long cod is more likely
324 to be two years old in the south and east of Skagerak. (Discussion point 3: Depending on how strong we
325 want to make this claim, we might need to elaborate here. I think this illustrates nicely the potential issue,
326 but it would be nice to 1. convince people we have cherry-picked a nice plot from all those age-length-area
327 combinations, and 2. Be able to claim that this *is* an issue, and not just a potential one. To address 1,
328 we could do the plot for other length groups (in supplementary maybe) in the same area. To address 2, we
329 could check if the trends are consistent between years for the same area.)

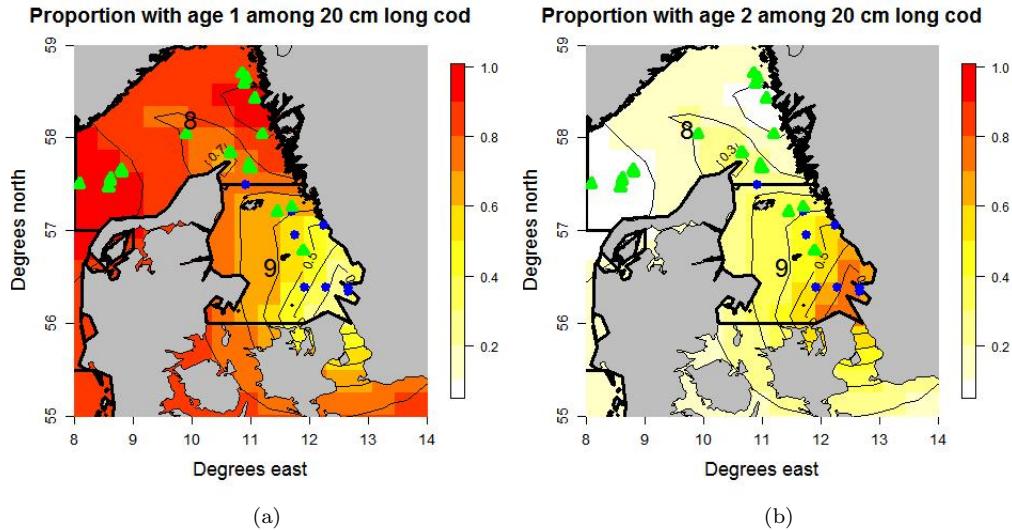


Figure 3: Estimated proportion of age 1 and 2 year old cod of length 20 cm long in Skagerak. The green triangles and blue points are observations of one and two year old cod, respectively, which are in the length interval 19 cm to 21 cm.

330 Figures 4 gives estimates of indices of abundance for cod in **years** 2018 Q1 and for saithe in **year** 2017
 331 Q3. Approximate 95% confidence intervals from the bias-corrected bootstrap method for 200 bootstrap
 332 replication are estimated from the three ALK methods **I think we need to run 'production' run on larger**
 333 **number of iterations before interpreting too much.** The stratified procedure described in 2.3.1 is used in the
 334 sampling process to estimate bootstrap confidence intervals. Figures 4 shows that the resulting indices of
 335 abundance for cod and saithe turned out to be similar for all ALKs. IBTS is a complex multistage survey
 336 design, and since the ALKs are estimated from cluster-correlated data the resulting effective sample for
 337 estimating age-composition of fish would be lower than the number of fish measured (ICES, 2013). Hence,
 338 the ALKs are subject to large sampling errors. For example, the estimated percentage relative standard
 339 errors from the spatial ALKs for the plus group (6+) for cod are > 25%, suggesting high sampling error in
 340 the ALKs. **(Which parameter is tested here (age, length or something else)? Could the observation also be**
 341 **explained by high natural variation and the collapsing of potentially heterogenous length and ages into one**
 342 **group?** Also, it should be remembered that DATRAS ALK is constant. Aanes and Vølstad (2015) showed
 343 that in such cases, and where only the variability of length compositions are allowed for, the estimated age-
 344 distributions may appear to be more precise than they truly are since the ALK itself is subject to sampling

³⁴⁵ errors, see for example the estimated relative standard standard errors for ages 2, and the older fish (4, 5
³⁴⁶ and 6+) for both species.

best performance over all age groups. While both methods seem to give reasonable estimates, the spatial model based ALK generally gave shorter interval widths for both species (Figure 4). Furthermore, compared with DATRAS ALK and the haul based ALK, the spatial model based ALK allows smooth functions of the spatial effects predicting numbers-at-age. Figure 5 illustrates the estimated age compositions as a function of length for a given haul in RFA 1. The haul selected is the haul with the most number of observed ages of cod in 2018 Q1. Notice that the the model based ALK is smooth, while the DATRAS ALK and the haul based ALK are not. This is an important advantage of the model based ALK, and it is surprising that it did not result in a larger difference in the estimated index of abundance as shown Figure 4. An intuitive reason for this is presumably because there are enough observed ages per length group for the haul based ALK to be representative. But, there are some limitations of the spatial model based ALK. For instance, the uncertainty of relative abundance from the spatial model based ALK is calculated using bootstrapping, as approximation of the joint distribution of the regression coefficient and spatial effect, in some cases, fails to account for the negative correlations between ages. Also, estimating relative abundance at age and its precision from the spatial ALK model can be computationally intensive.

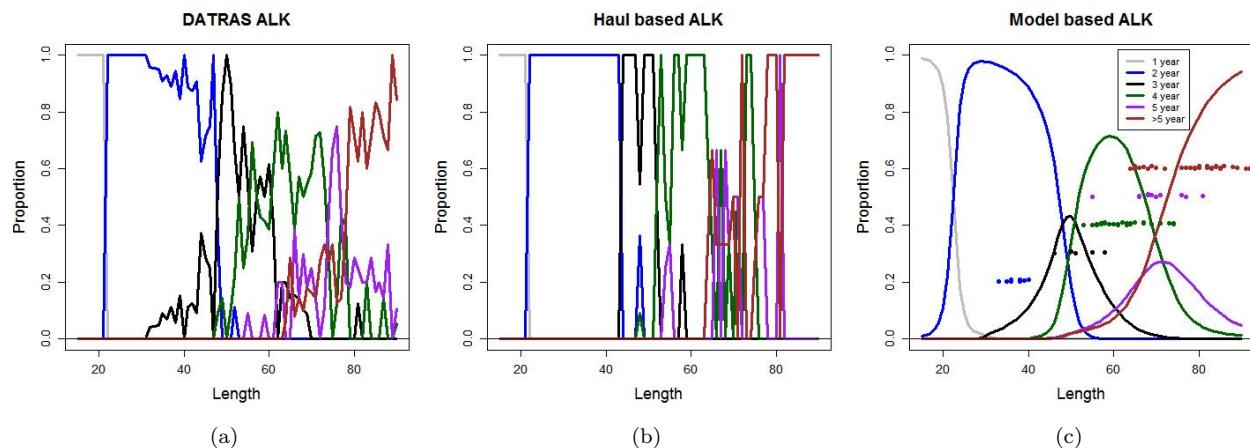


Figure 5: Estimated age compositions of cod as a function of length in a given haul in RFA 1 using a) DATRAS ALK, b) haul based ALK and c) model based ALK. Note that explanation of the colours are only given in c). Each coloured point in c) defines an observed cod with the corresponding length and age in the haul. The haul selected is the haul with most observed ages of cod in 2018 Q1.

We also demonstrate the implications of using DATRAS bootstrap procedure for estimating the uncertainty around indices of abundance (see Figure S1 in Supplementary Materials S7.1). Compared with the

364 stratified bootstrap procedure, DATRAS bootstrap procedure gives an overestimation of the uncertainty for
365 all age groups, suggesting that it is highly relevant to account for the variation in the data over large areas.

366 **3.2 Alternative sampling procedure for North Sea Cod and Saithe**

367 In this section we investigate how the mCPUE estimates are affected by reducing the number of otoliths
368 collected. The collection of otoliths is cost full and time consuming, and we therefore want to share light
369 on the impact of reducing the effort spent on age determination. The current sampling procedure for cod
370 and saithe is to collect *one* otolith from every observed cm group in every haul. In this research we remove
371 otoliths such that the reduced data set is a random realisation with a sampling procedure were *one* otolith
372 is collected from every 1,2,...,5 cm group as explained in section 2.4.

373 We want to highlight that in some hauls there were collected more than one otholit from some cm groups.

374 In e.g. year 2018 in Q1, a total of 231 otoliths were removed by sampling *one* otolith per cm group for cod.
375 We have noticed that it is mainly surveys conducted by Scotland were those otoliths were collected, mainly
376 from the larger cod and in RFA 1. Intuitively it is reasonable that relatively more effort should be spent
377 on the larger fish since the uncertainty of the age is typically high for the larger fish. One interesting part
378 about the availability of those, in some sense extra, samples is that we are able to give an indication about
379 how the mCPUE is affected by collecting more than one otolith per cm group.

380 We shall now elaborate the additional uncertainty introduced with reducing the number of otoliths
381 collected with the mCPUE uncertainty given in table 4. Define $\lambda_{a,l}$ to be the random point estimate of the
382 mCPUE_a of interest if the proposed sampling procedure in section 2.4 was performed. Here *l* refers to the
383 width of the length intervals explained in section 2.4. Figure 6 shows the stand deviation of $\lambda_{a,l}$ as a function
384 of *l*, and as a proportion of the uncertainty of mCPUE_a. We see that the uncertainty increases relatively
385 rapidly for age 2 and older. This indicates that the mCPUE would typically be estimated quite different for
386 several of the ages if the sampling procedure were adjusted as suggested in section 2.4.

387 From figure 6 we see that the uncertainty of $\lambda_{a,l}$ is quite large compared with the uncertainty of the
388 corresponding mCPUE_a for *l* = 1cm. This indicates that we have gain relatively much information by
389 collecting more than one otolith per cm group.

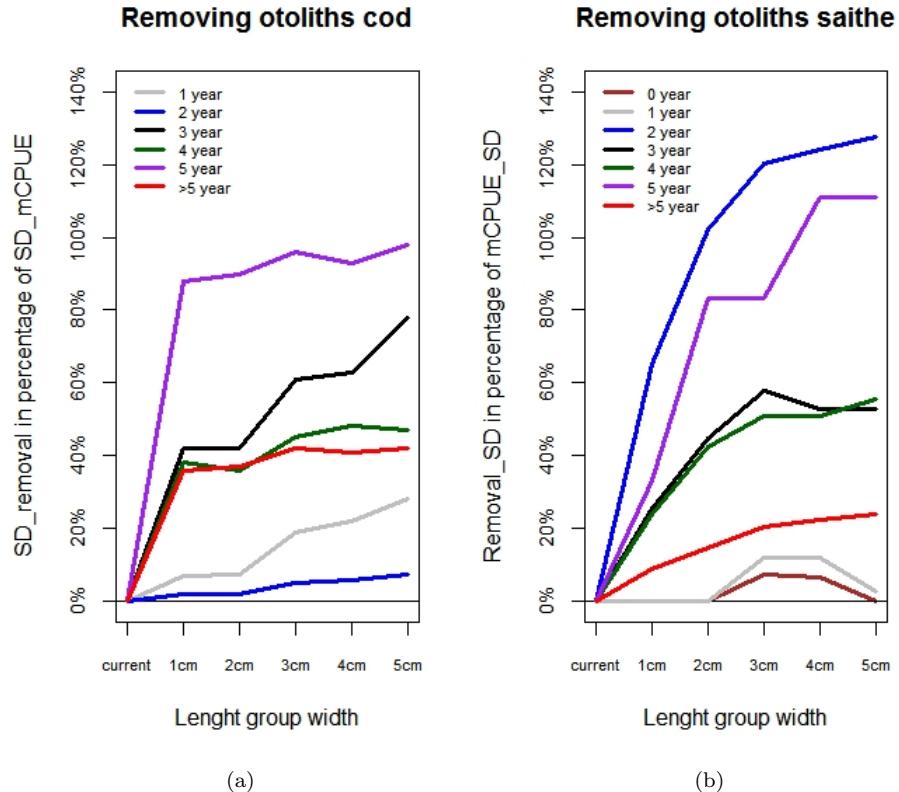


Figure 6: Estimated standard deviation of $\lambda_{a,l}$ as a function of the grouped length width intervals, a) for cod in year 2018 in Q1 and b) for saithe in year 2017 in Q3.

In this section we investigate the effect of sampling fewer otoliths on the estimated indices of abundance for the North Sea IBTS saithe and cod. We use the spatial ALK model based approach, although the haul based could also be used (see Supplementary Materials.....). The removal procedure for otolith sampling described in Section 2.4 is applied to data in year 2018 Q1 for cod and year 2017 Q3 for saithe. We sample one pair of otoliths per length group described in Section 2.4: 1 cm, 2 cm, 3 cm, 4 cm, 5 cm, 6 cm or 7 cm. Recall that prior to 2018 the standardized IBTS sampling procedure was 8 pairs of otoliths per length group but some nations such as Norway and Netherlands sampled one pair of otoliths per length group from every haul. Although the revised standardized IBTS sampling procedure is one pair of otolith per 1 cm length group for standard round fish as of year 2018 Q1, except for haddock and Norway Pout where 2 otoliths per cm is to be sampled, some nations (Scotland and Sweden) continue to sample more than one pair of otoliths, particularly for older age groups (see Table S2.1 in Supplementary Materials S2).

402 Figure 7 gives the percentage relative standard error of estimated indices of abundance and mean square
403 error for cod and saithe from the seven different sampling procedures described above. Estimates are com-
404 puted from 1000 simulations and 1000 bootstrap replication A total of 1600 pairs of otoliths were sampled
405 for cod in year 2018 Q1, while 2163 pairs of otoliths were sampled for saithe in year 2017 Q3 (see Table
406 S6.1 in Supplementary Materials S6). The proportion of otoliths removed for cod from each of the sam-
407 pling procedures stated above is: 14.4%, 28.6%, 38.4%, 44.5%, 49.3%, 52.6% or 55.6%, respectively, while
408 for saithe the following proportions of otoliths are removed: 27.1%, 48.9%, 59.5%, 65.6%, 69.8%, 73.1% or
409 75.2%, respectively. Notice that 14% of the cod data in year 2018 Q1 is removed for the sampling procedure
410 of a pair of otoliths per 1 cm length group. This should be 0% if all nations followed the revised standardized
411 IBTS sampling procedure of year 2018 Q1.

412

413 **Tables S7.1 and S7.2 in Supplementary Materials S7.2 give results of the estimated indices**
414 **of abundance and approximate 95% bias-corrected bootstrap confidence intervals**

415 **discuss graph**

416

417 • **We discuss and include these in explanations below**

418 • Accuracy of estimates of reduced data compared with estimates from full data

419 • Precision in estimates is measured by standard error (SE) and relative standard error (RSE)

420 • accuracy is measured by root mean square error (RMSE) = $\sqrt{SE^2 + (\text{bias})^2}$. Measures how close, on
421 average, a fitted line is to the data points (measure of goodness of fit). One can compare the RMSE to
422 observed variation in measurements of a typical point (**the two should be similar for a reasonable**
423 **fit**). Can we use this even though we do not have a "true value", which we would never know from
424 large survey data and since we did not simulate synthetic data? Can we consider $\hat{\lambda}_a$ as a "true value"?

425 The nonparametric bias-corrected bootstrap method is adopted for estimating confidence intervals of
426 indices of abundance, and although this method has the advantage of correcting for the bias and skew of
427 the sampling distribution of the data; accounting for some of the variability in the sampling distribution of

428 the CPUE; and does not assume any distribution for the data, there are some limitations of the bootstrap
429 approach. The most important limitation is the assumption that the distribution of the data represented
430 by the sample is a reasonable estimate of the population function from which the data are sampled. If this
431 assumption is violated the random sampling performed in the bootstrap procedure may add another level
432 of sampling error, resulting in invalid statistical estimations (Haukoos and Lewis, 2005). As discussed in
433 Section 1.1 the selection of the trawling locations for IBTS surveys is semi-random where cruise leaders
434 selects "clear" tow locations or "blind" tow locations if no clear tow exists by checking the proposed trawl
435 track for hazardous seabed obstructions with acoustic methods. More recently, selection of tow locations is
436 based on pre-proposed valid tow locations with start and end positions executed in the period 2000-2018.
437 Hence, the lack of a fully randomized sampling process has the potential to result in biased estimates of
438 parameters and their uncertainty. Additionally, prior to 2013, all nations were sampling 8 pairs of otoliths
439 per 1 cm length group for our focal species (Table S2.1 in Supplementary Materials S2), and these samples
440 could be acquired from, for example the first haul (or first few trawl hauls), resulting in an unrepresentative
441 sample of the population. From 2013, some nations adopted the current sampling procedure outlined by
442 ICES for IBTS 2018 surveys of 1 pair of otolith per 1 cm length group from each haul, while other nations
443 continued with sampling 8 pairs of otoliths per 1 cm length group. So, bias was still introduced via the
444 sampling procedure. Another limitation of the bootstrap is the smaller the original sample the less likely it
445 is to represent the entire population, thus the more difficult it becomes to compute valid confidence intervals.
446 Note that the bootstrap relies heavily on the tails of the estimated sampling distribution when computing

447

448 these results in the graph are from the haul based ALK procedure. The model based
449 ALK procedure gave an error, when it's working those will be here and haul based will go in
450 supplementary materials

451

4 DISCUSSION

452 In this research we have determined optimal sampling efforts of otoliths for target species of the North Sea
453 International Bottom Trawl Survey (IBTS). This was achieved by testing different sampling procedures that

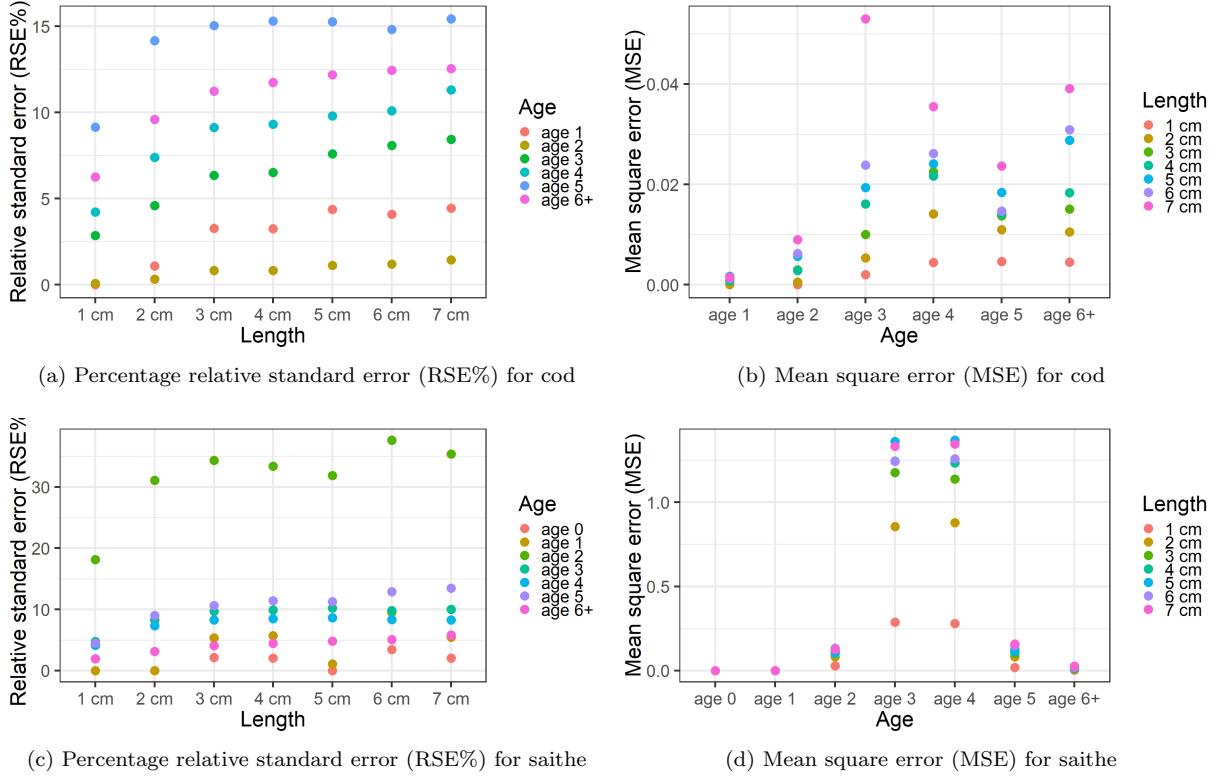


Figure 7: Percentage relative standard error (RSE%) and mean square error (MSE) for age given seven length group sampling procedures of otolith collection for cod in year 2018 Q1 and saithe in year 2017 Q3.

454 mimic the real data collection procedure but with a reduced number of otoliths. The estimated indices of
 455 abundance and their estimated uncertainty were investigated to determine if there is any real change in the
 456 precision of the estimates. Abundance indices were estimated using age-length keys (ALKs). The database
 457 for trawl surveys (DATRAS) manned by ICES includes an ALK that uses the raw proportions of age given
 458 length assuming constant age-length compositions over relatively large areas. We have developed two spatial
 459 ALK methods to estimate abundance indices and their variance that accounts for spatial variation in the
 460 data: 1) a haul based ALK that produces an ALK for each trawl haul, and which uses the raw proportions
 461 of age given length, and 2) a spatial ALK model that uses logits for modelling the age distribution in catch
 462 data from the length-stratified subsamples. Several studies have used spatial ALK modelling for estimating
 463 abundance indices of the North Sea stocks used in assessments (Berg and Kristensen, 2012; Berg et al., 2014;
 464 Gerritsen et al., 2006). These studies used continuous ratio logits with General Linear Model (GLM) or
 465 General Additive Models (GAMs) to model the spatial effects and found large spatio-temporal variability of

466 the ALK and relative abundance at age. We proposed to use Gaussian Random Field Theory to model the
467 spatial effects as a smooth surface to estimate age-at-length and relative abundance for the IBTS data. The
468 spatial model based ALK and the design based spatial ALK (haul based) gave similar estimates as DATRAS
469 estimator for relative abundance at age but the spatial ALK estimators gained better precision.

470 The spatial ALK model based estimator appears to be a useful tool to detect significant differences
471 between ALKs over large areas, although estimation of the uncertainty in the ALK from the joint precision
472 matrix is problematic. Including the uncertainty of the ALK in the model requires an approximation of the
473 joint distribution of the regression coefficient and the spatial effect, but this approximation is only as good as
474 the quality of the data in a given year and quarter. For instance, the approximation of the ALK can predict
475 juvenile ages given longer lengths, which goes against the natural biology. This occurs presumably because
476 the approximation fails to account for the negative correlation structures between ages. So the uncertainty
477 in the relative abundance was, therefore, calculated using bootstrapping as done by Berg and Kristensen
478 (2012); Berg et al. (2014). In future, the model might be expanded to include the probability of recording
479 inaccurate age-at-length data, so that uncertainty in the ALK could be estimated using the joint precision
480 matrix. The model might also be expanded to include covariates such as trawl hauls to capture any haul
481 variation, for example a trawl haul may "hit" a school of fish of a certain age.

482 With regards to how many otoliths to sample per length group, the evidence is clear that

483

484 **discuss DATRAS and Haul based ALK and recommended optimum sampling level of**
485 **otoliths per length group**

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558 **Supplemental Materials: Optimizing sampling effort of the North**
559 **Sea International Bottom Trawl Survey.**

560 **S1 Areas fished by different countries in the North Sea IBTS**

561 Typically, two different countries fish each rectangle so that at least two trawl hauls are made per rectangle,
562 but intensified sampling is carried out in the following areas: at least 3 hauls per rectangle are taken in
563 statistical rectangles 31F1, 31F2, 32F1, 33F4, 34F2, 34F3, 34F4, 35F3, 35F4; while six or more hauls per
564 rectangle are taken in statistical rectangles 30F1, 32F2, 32F3, 33F2, 33F3 (ICES 1999). The Skagerrak
565 and Kattegat is fished solely by Sweden, who sample more than once in every rectangle while the west of
566 Shetland (in Q1 and Q3) and inshore areas (Q3) is fished solely by Scotland. The edge of the Norwegian
567 Trench is fished solely by Norway, but inshore areas near Denmark is fished by Denmark. The southern
568 North Sea is fished by Denmark, Germany and England. France, typically, is the only country that surveys
569 the western English Channel. Areas are surveyed by a single country because of the large proportion of
570 untrawalable area (and subsequent gear damage issues experienced by other nations) for efficient logistical
571 purposes. Table S1.1 gives the countries and research vessels participating the North Sea IBTS.

Table S1.1: Survey countries, vessel name, and period research vessels participating in first quarter (Q1) and third quarter (Q3) during 1997-2017.

Country	First Quarter (Q1)		Third Quarter (Q3)	
	Vessel name	Period	Vessel name	Period
Denmark	Dana	January-February	Dana	July-August
France	Thalassa II	January-February	-	-
Germany	Walther Herwig III	January-February	Walther Herwig III	July-August
Netherlands	Tridens 2	January-February	-	-
Norway	G.O. Sars	January-February	Johan Hjort	July
UK England	-	-	Endeavour	August-September
UK Scotland	Scotia III	January-February	Scotia III	July-August
Sweden	Dana	January-February	Dana	August

S2 Otolith sampling per fish species

574 From 1991-2017, most countries conducted quota sampling of otoliths per length group in a RFA. But from
 575 2013 Norway has been sampling one otolith per length class from each trawl haul (to 0.1cm below for shellfish,
 576 to 0.5cm below for herring and sprat and to 1cm below for all other species). From the first quarter in 2018
 577 all countries are required to sample one otolith per length class per trawl haul. Table S2.1 gives the minimum
 578 sampling levels of otoliths for the target species. However, for the smallest size groups, that presumably
 579 contain only one age group, the number of otoliths per length class may be reduced, and more otoliths per
 length are required for the larger length classes.

Table S2.1: Minimum sampling levels of otoliths by species for RFA or per trawl haul.

Period	Species	Minimum sampling levels of otoliths per length class
1991-2017		Number of otoliths per length class in a RFA
	herring	8 otoliths per $\frac{1}{2}$ cm group
	sprat	16 otoliths per $\frac{1}{2}$ cm length class 8.0 – 11.0 cm
		12 otoliths per $\frac{1}{2}$ cm length class \geq 11.0 cm
	mackerel	8 otoliths per $\frac{1}{2}$ cm length class
	cod	8 otoliths per 1 cm length class
	haddock	8 otoliths per 1 cm length class
	whiting	8 otoliths per 1 cm length class
	Norway pout	8 otoliths per 1 cm length class
	saithe	8 otoliths per 1 cm length class
	All target species	From 2013 Norway and Scotland, and Netherlands from 2016 have been sampling 1 otolith per length class from each trawl haul (to 0.1cm below for shellfish, to 0.5cm below for herring and sprat, and to 1cm below for all other species).
2018		Number of otoliths per length class per trawl haul
	herring	1 otolith per $\frac{1}{2}$ cm group
	sprat	1 otolith per $\frac{1}{2}$ cm length class 8.0 – 11.0 cm
		1 otolith per $\frac{1}{2}$ cm length class \geq 11.0 cm
	mackerel	1 otolith per 1 cm length class
	cod	1 otolith per 1 cm length class
	haddock	2 otoliths per 5 cm length class 11 – 15, 16 – 20, 21 – 25, 26 – 30 cm
	Norway pout	2 otoliths per 5 cm length class 5 – 10, 11 – 15 cm
		2 otoliths per 1 cm length class $>$ 15 cm
	saithe	1 otolith per 1 cm length class
	plaice	1 otolith per 1 cm length class

585

S4 Imputation for missing age samples

586 Catches of the target species are sampled (or subsampled with a size of 100 if the catches are too large) for
 587 length, and otoliths are typically collected from a subsample of the individuals sampled for length in the
 588 RFA, or per trawl haul as in the case of Norway for determining age of the fish (see Table ??). In the case of
 589 Norway where all trawl hauls are sampled for otoliths, missing age samples would still occur for the following
 590 two reasons: 1) the fish is below minimum length for otolith sampling (unreadable otoliths) or 2) otoliths
 591 are misplaced. Abundance indices by age group are estimated based on three age-length-keys (ALK): 1)
 592 DATRAS ALK estimator, 2) Haul based ALK estimator, and 3) Spatial model based ALK estimator.

593 ***S4.1 DATRAS ALK Borrowing Approach***

594 The ALK proposed in DATRAS (ICES 2013), which is an aggregation of individual samples from a haul
 595 combined over a round fish area (RFA), and missing age samples are imputed as follows:

- 596 1. If there is no ALK for a length in the CPUE dataframe, age information is obtained accordingly
- 597 • If length class (CPUE) < minimum length class (ALK), then age=1 for the first quarter and
 598 age=0 for all other quarters
- 599 • If minimum length class (ALK) < length class (CPUE) < maximum length (ALK) then age is
 600 set to the nearest ALK. If the ALK file contains values at equal distance, a mean is taken from
 601 both values.

- 602 2. If length class (CPUE) > maximum length (ALK) age is set to the plus group.

603 The underlying assumption of this ALK approach is that age-length compositions are homogeneous within
 604 the RFA.

605 ***S4.2 Haul based ALK Borrowing Approach***

606 The second is an a haul dependent ALK estimator which we propose, and is denoted by ALK^H . Since the age-
 607 length composition of fish may be space-variant, that is, there may be variation in age-length compositions
 608 between trawl stations within a RFA, the spatial dependence of the age-length composition must be accounted

609 for to produce reliable estimates of the CPUE per age estimates. If this spatial dependence is ignored not
 610 only will estimates of abundance be biased but the impact on the variance may be substantial. So for each
 611 trawl haul an ALK^H is produced. To replace missing values for the age distribution in a length class the
 612 method of "borrowing" ages from the same length from neighbouring trawl hauls of maximum radius of two
 613 statistical rectangles within the RFA. If there are no observed ages in the length class from the neighbour
 614 hauls in the RFA, missing values for the age distribution are replaced following the procedure outlined in
 615 the DATRAS ALK procedure (S4.1) in step 1.

616 S5 Nonparametric Bootstrap Sampling procedure

617 Nonparametric bootstrapping is attractive as it makes no distributional assumption, and is suitable for
 618 estimating confidence interval for indices of abundance. Suppose we have a vector \mathbf{x} of m independent obser-
 619 vations, and we are interested in estimating a parameter $\hat{\theta}(\mathbf{x})$ and its variance. The general nonparametric
 620 bootstrap algorithm is as follows:

- 621 1. Sample m observations randomly with replacement from \mathbf{x} to obtain a bootstrap data set, denoted by
- 622 \mathbf{x}^* .
- 623 2. Calculate the bootstrap version of the statistic of interest, $\theta^* = \hat{\theta}(\mathbf{x}^*)$.
- 624 3. Repeat steps 1 and 2 a large number of times, say B , to obtain an estimate of the bootstrap distribution
- 625 4. calculate the average of the bootstrapped statistics, $\sum_{b=1}^B \theta^*_{(b)} / B$
- 626 5. compute the variance of the estimator $\hat{\theta}(\mathbf{x})$ through the variance of the set $\theta^*_{(b)}$, $b = 1, 2, \dots, B$, given
- 627 by

$$\frac{\sum_{b=1}^B (\theta^*_{(b)} - \theta^*_{(.)})^2}{(B - 1)} \quad (S5.1)$$

628 where $\theta^*_{(.)} = \sum_{b=1}^B \theta^*_{(b)} / B$.

629 The Bias-Corrected method assumes that there is a montonic increasing function and the estimator $\hat{\lambda}_a$ has
 630 a monotonic increasing function $f()$ such that the transformed values $f(\hat{\lambda}_a)$ are normally distributed with
 631 mean $f(\lambda_a) - z_0$ and standard deviation one, where z_0 are the standard normal limits (Puth et al., 2015;

632 Karlsson, 2009). Now, let $P^* \left(\hat{\theta}(\mathbf{x}^*) \leq \hat{\theta}(\mathbf{x}) \right)$ denote the proportion of $\hat{\theta}(\mathbf{x}^*)$'s in the bootstrap sample that
 633 have a value lower than the value of the parameter estimate $\hat{\theta}(\mathbf{x})$, and let z_0 be defined as

$$z_0 = \Phi^{-1} \left\{ P^* \left(\hat{\theta}(\mathbf{x}^*) \leq \hat{\theta}(\mathbf{x}) \right) \right\}, \quad (\text{S5.2})$$

634 where Φ denotes the cumulative distribution function of the standard normal distribution. Also let $\tilde{\alpha}_1$ and
 635 $\tilde{\alpha}_2$ be defined as

$$\tilde{\alpha}_1 = \Phi(2z_0 + z_\alpha), \quad (\text{S5.3})$$

636 and

$$\tilde{\alpha}_2 = \Phi(2z_0 + z_{1-\alpha}), \quad (\text{S5.4})$$

637 respectively. A $100(1 - 2\alpha)$ percent confidence interval for $\theta(\mathbf{x})$ is then given by

$$\hat{\theta}_{(\tilde{\alpha}_1(B+1))}(\mathbf{x}^*) \leq \hat{\theta}(\mathbf{x}) \leq \hat{\theta}_{((\tilde{\alpha}_2-1)(B+1))}(\mathbf{x}^*). \quad (\text{S5.5})$$

638 S6 IBTS data set for cod and saithe

Table S6.1: Summary of North Sea IBTS cod and saithe (in parentheses) data for third quarter in year 2017 and first quarter in year 2018.

Data	Description
Trawl hauls	Total of 372 trawl hauls in year 2018 Q1; 238 (83) with length and 230 (81) with age information. In 2017 Q3, a total of 345 trawl hauls were taken; 238 (129) with length and 237 (128) with age information.
Age	The age varied between 1 (1) to 12 (18) years in year 2018 Q1 and 0 (0) to 11 (17) in year 2017 Q3.
Length	Length information in cm varied between 11 (13) to 114 (106) cm in year 2018 Q1 and between 6 (10) to 112 (109) cm in year 2017 Q3.
Date	Date of catch in year 2018 Q1 varied between 15.01.2018 to 28.02.2018 and in year 2017 Q3 between 18.07.2017 to 31.08.2018
Duration of haul	Mean duration is 29.37 minutes, with 30 minutes as 83% coverage interval in year 2018 Q1; and in 2017 Q3 with mean duration of 29.26 minutes with 30 minutes as 88% coverage .
Total count for all ages	1600 (822) in year 2018 Q1 and 2330 (2163) 2017 Q3.

Table S6.2: Age and length data for saithe in year 2017 Q3 and cod in year 2018 Q1. Data collected in the first quarter (Q1) has no age 0 group but this is collected in quarter 3 (Q3) surveys.

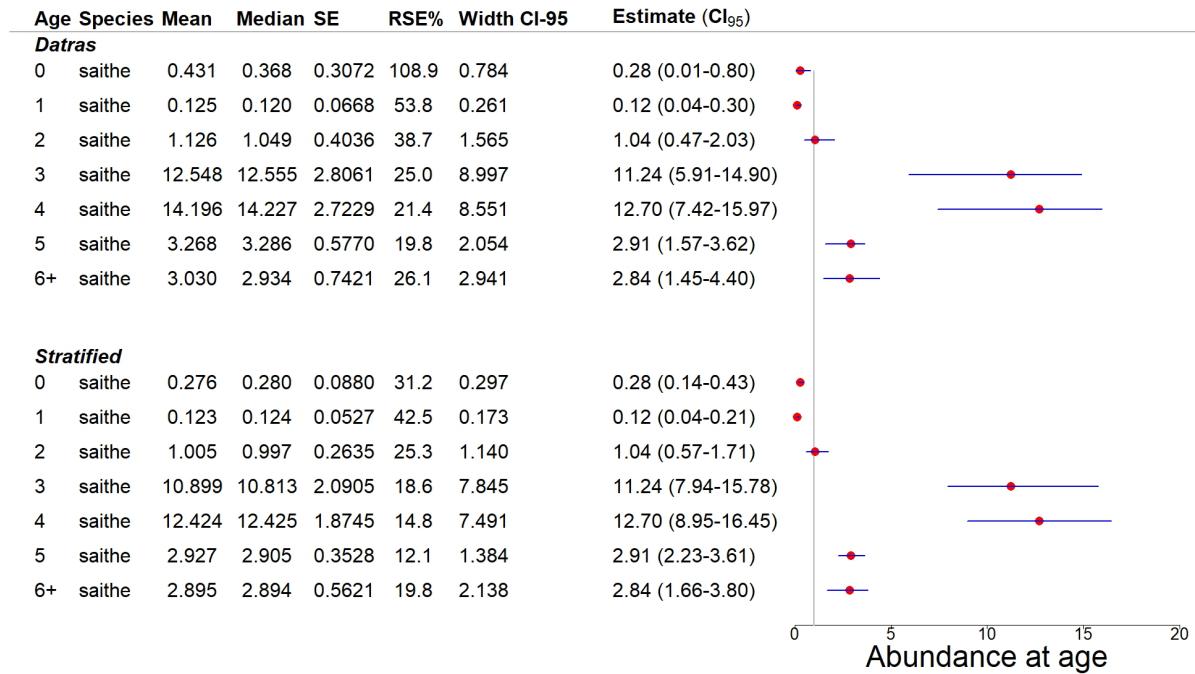
Age	saithe in year 2017 Q3						cod in year 2018 Q1					
	Numbers aged	L _{min}	L _{max}	L _{mean}	Sd(L)	CV(L)	Numbers aged	L _{min}	L _{max}	L _{mean}	Sd(L)	CV(L)
0	21	10	14	12.143	1.195	0.098						
1	26	23	32	27.654	2.297	0.083	149	11	30	18.407	3.693	0.201
2	65	27	47	38.077	3.337	0.088	814	17	53	33.180	6.290	0.190
3	531	34	56	42.041	3.785	0.090	222	30	81	50.654	10.185	0.202
4	767	35	73	48.261	4.521	0.094	189	43	92	64.479	8.399	0.130
5	334	46	78	56.876	6.105	0.107	102	54	96	76.627	9.594	0.125
6	159	50	91	66.025	7.137	0.108	84	54	100	80.871	9.456	0.117
7	127	57	93	73.976	7.163	0.097	28	58	110	84.086	11.308	0.134
8	69	63	94	77.725	7.010	0.090	4	80	94	85.500	6.455	0.075
9	18	64	97	85.333	7.499	0.088	5	66	96	83.400	11.305	0.061
10	22	84	107	92.364	5.803	0.063	1	87	87	-	-	-
11	5	79	102	92.800	9.311	0.100	1	106	106	-	-	-
12	7	91	109	99.429	6.554	0.066						
13	5	94	104	98.800	4.550	0.046						
14	1	108	108	108	-	-						
15	1	105	105	108	-	-						
16	4	93	106	100.250	5.439	0.054						
17	1	109	109	109	-	-						

639

S7 Analysis of real data

640 S7.1 Estimates from DATRAS and Stratified bootstrap procedures

641 The bootstrap procedure proposed by DATRAS lacks the potential to account for the spatial variation in
 642 the data. The DATRAS bootstrap procedure ignores the fine-scale stratification in the sampling process,
 643 leading to an overestimation of the uncertainty; and ignores the age-length data collected at the haul level,
 644 resulting in an underestimation of the uncertainty. The results (FigureS1) shows an overestimation of the
 645 uncertainty for all age groups, suggesting that it is relevant to account for the fine-scale stratification when
 646 resampling the data.



(a) Datras and Stratified bootstrap Procedures

Figure S1: Comparison of estimated confidence intervals (CI₉₅) from DATRAS and stratified bootstrap procedures. The bias-corrected bootstrap method is used to give estimates for saithe in year 2017 Q3. Estimated indices of abundance (Estimate), and its standard error (SE), bootstrap mean (Mean), Median estimates, percentage relative standard error (RSE %) and width of confidence intervals are also given.

⁶⁴⁷ S7.2 Estimates from different sampling procedures

