

## Appendix L, Shasta Cold Water Pool

# Attachment L.3 Egg-to-fry Survival and Temperature-Dependent Mortality

### L.3.1 Methods

#### L.3.1.1 Model Overview

The Martin et al. (2017) or Anderson et al. (2022) models can be used to predict egg-to-fry survival for winter-run Chinook salmon as a function of temperature-dependent egg mortality, background mortality, and density-dependent mortality. Both models specify egg mortality as a function of temperature (i.e., temperature-dependent mortality, or TDM), applied over either the entire embryonic developmental period (i.e., stage-independent or Martin model) or only part of it (i.e., stage-dependent or Anderson model), based on an estimated minimum temperature at which no temperature-dependent mortality occurs and a slope term that describes how much increasing temperatures above the minimum affect egg mortality. Density-dependent mortality is specified following the Beverton-Holt function with a corresponding carrying capacity density term. Model parameters were estimated using known redd locations, estimated temperatures, and annual estimates of egg-to-fry survival from either 1996-2015 (Martin et al. 2017) or 2002-2020 (e.g., Poytress 2016; Anderson et al. 2022). Datasets necessary to run the models include the abundance of redds over space and time and corresponding daily temperatures for each redd location; historical aerial redd or carcass survey data and HEC-5Q daily temperature estimates can and have been used as model inputs. These models are available to run as part of the SacPAS Fish Model implementation at: <https://www.cbr.washington.edu/sacramento/fishmodel/>. The Martin and Anderson models were used to evaluate the stand-alone temperature-dependent mortality, but Reclamation notes they can evaluate overall egg to fry survival performance metrics for winter-run Chinook Salmon. Model development was not open and participatory. Versions of both models were applied in the 2019 Biological Assessment and Biological Opinion.

The models are sensitive to the temperature target, locations, and timing. The Proposed Action (i.e., Alternative 2) developed bins with different water temperature management biological goals and objectives (i.e., “Bin Criteria”). The Proposed Action additionally included shaping water temperature management to optimize for low TDM. The models used and updated the 2020 Record of Decision into a strategy that may better represent the outcome of temperature shaping by the real-time groups (i.e., “2021 Updated Tier Strategy”). Reclamation staff present all results for Alternative 2 with “Bin Criteria” temperature target, locations, and timing, in addition to select results in which the “2021 Updated Tier Strategy” is applied instead to the No

Action Alternative (NAA) and components of the Proposed Action. Reclamation staff explicitly identify all instances in which results reflect the “2021 Updated Tier Strategy”.

### **L.3.1.2 Analyzing TDM without Parameter/Model Uncertainty**

TDM is calculated for each simulated water year (WY) from CalSim 3 (i.e., 1923-2021) using HEC-5Q modeling temperature estimates at three locations in the Sacramento River: below Keswick Dam (RKM 483), near the confluence with Clear Creek (RKM 479), and near Bend Bridge (RKM 474). Expected variability in TDM as a function of the spatial and temporal distribution of spawning timing for each WY is captured by calculating estimates of TDM for annual redd distribution datasets between 2001 and 2021, such that each simulated WY is associated with 21 TDM estimates. The redd distribution datasets were based on carcass surveys and obtained from SacPas (<https://www.cbr.washington.edu/sacramento/>). Both stage-dependent and stage-independent estimates of TDM are generated for each combination of WY and redd distribution dataset, using the same parameter values used in the SacPAS implementation of TDM models. Modeling results are summarized for each WY using either the full range of estimated TDM values or using the 80<sup>th</sup> percentile of TDM estimates as a conservative, expected TDM value.

### **L.3.1.3 Analyzing Stage-Independent TDM with Parameter Uncertainty**

Reclamation staff characterized parameter uncertainty associated with TDM for the Martin (i.e., stage-independent) model by refitting the model, using the same model structure and data inputs, using ‘jags’ Bayesian software with the R package ‘jagsUI’; staff did not characterize parameter uncertainty associated with TDM for the Anderson model due to significant challenges in achieving model convergence. For the model, relatively uninformative priors were specified for each of the main model parameters:

- Critical temperature ( $T_{crit}$ ): Normal( $\mu=15$ ,  $\sigma=5$ )
- Effect of temperature on mortality ( $\log(b_t)$ ): Normal( $\mu=0$ ,  $\sigma=10$ )
- Background survival ( $S_0$ ): Beta( $a=1$ ,  $b=1$ )
- Carrying capacity ( $K$ ): Normal( $\mu=10000$ ,  $\sigma=5000$ )

Reclamation staff specified fixed initial values based on published parameter estimates to start the chains at reasonable starting points ( $T_{crit}=15$ ,  $\log(b_t)=-3.38$ ,  $S_0=0.37$ ,  $K=9100$ ); this was necessary to achieve somewhat consistent model convergence. Reclamation staff ran the model using three chains, each with 5000 burn-in iterations and 5000 retained iterations.

Reclamation observed considerable variability in model convergence and estimated parameters, consistent with results reported in Martin et al. (2017) based on non-Bayesian optimization methods. Parameter R-hat values, which measure the degree to which parameter values are similar among chains, varied between 1.006 and 1.358; values less than 1.1 are generally considered acceptable. Parameter estimates and confidence intervals, alongside those presented in Martin et al. (2017), are presented in Table L.3-1, below.

Table L.3-1. Parameter estimates.

Parameter	Mean (95% CI)	Median	Published Value (95% CI)
T <sub>crit</sub>	11.80 (9.62, 13.89)	11.88	12.0 (10.8, 13.7)
b <sub>t</sub>	1.21e8 (0.005, 428.09)	0.022	0.024 (0.007, 4.21)
S <sub>0</sub>	0.41 (0.28, 0.84)	0.38	0.366
K	9562 (3622, 17608)	9298	9107

CI = confidence interval.

The extremely high mean value for b<sub>t</sub> results from a few outlier estimates during model fitting. Martin et al. (2017) noted covariance between the TDM parameters contributed to high variability in parameter estimates, and noted that smaller parameter ranges were observed when only the more likely parameter sets were considered (i.e., T<sub>crit</sub> ~11-12.5°C). With the model fitting in ‘jags’, Reclamation staff observed the greatest covariance between T<sub>crit</sub> and S<sub>0</sub> (Pearson’s squared correlation, or r<sup>2</sup>, was 0.42), which resulted in parameter combinations with low T<sub>crit</sub> and high S<sub>0</sub> (and vice versa). When the parameter set was restricted to only those corresponding to a deviance less than 20, the range of T<sub>crit</sub> values was between 11.01-12.47°C, similar to that reported in Martin et al. (2017). Observed deviance values from model fitting ranged between ~10 and ~50, and lower deviance values indicate higher likelihood of parameter estimates.

Parameter staff used a randomly selected subset of posterior TDM parameter estimates with corresponding deviance values less than 20 (N=1000) to characterize the effects of parameter uncertainty on uncertainty in TDM estimates (‘Good posteriors\_JAGS\_12.19.22\_n1000.csv’). For each modeled WY and redd distribution, Reclamation staff obtained separate TDM estimates for each set of posterior parameter estimates. Modeling results were summarized using the full range of estimated TDM values for each WY, rather than using the 80<sup>th</sup> percentile.

The deviance cut-off value of 20 is somewhat arbitrary, but it removed biologically extreme and infeasible parameter estimates. Ranges of estimated TDM using all posterior estimates were so large as to be meaningless in comparing alternatives or WYs. Strong covariance among parameters, including those either linked or not linked directly to temperature effects, made it difficult to estimate uncertainty surrounding estimates of TDM in isolation from background and density-dependent survival. The representation of parameter uncertainty presented here addresses some of these challenges, but Reclamation staff acknowledge that ad-hoc methods were used to obtain reasonable values of TDM uncertainty resulting from uncertainty from model fitting. Because of these documented challenges in estimating uncertainty surrounding estimates of TDM, the current approach (i.e., using the framework of either Martin et al. 2017 or Anderson et al. 2022) is problematic for forecasting TDM if estimates are to be accompanied with appropriate, corresponding estimates of uncertainty.

## L.3.2 Results

The EIS results include comparisons among the No Action Alternative (NAA) and all other management alternatives (Alt1 – Alt4). The Biological Assessment results include results for the NAA, the EXP1 and EXP3 baseline alternatives, and Alt2.

### L.3.2.1 Environmental Impact Statement

#### L.3.2.1.1 Takeaways

Values of proportional TDM will be presented in Table L.3-1 and Figure L.3-1 through Figure L.3-8.

#### L.3.2.1.2 Expected TDM without Model Uncertainty

Table L.3-2. Predicted mean proportional TDM estimates for different models and WYTs, in which presented means are the means of 80<sup>th</sup> percentile TDM values for relevant CalSim WYs.

[INSERT TABLE]

TDM = temperature-dependent mortality; WYT = water year type; WY = water year.  
Parentheses indicate percent different from NAA (negative values indicate a decrease in expected TDM).

[INSERT FIGURE]

TDM = temperature-dependent mortality; WYT = water year type; WY = water year.

Figure L.3-1. Summaries of proportional TDM estimates across all WYs for the Anderson and Martin TDM estimates, calculated using the 80<sup>th</sup> percentile of TDM for each WY.

[INSERT FIGURE]

TDM = temperature-dependent mortality; WYT = water year type; WY = water year.

Figure L.3-2. Summaries of proportional TDM estimates for each WYT for the Anderson and Martin TDM models, calculated using the 80<sup>th</sup> percentile of TDM for each WY.

[INSERT FIGURE]

TDM = temperature-dependent mortality; WY = water year.

Figure L.3-3. Trends in proportional TDM for water years 2017-2021, including the range of TDM values across different redd distributions for each WY.

[INSERT FIGURE]

TDM = temperature-dependent mortality; WYT = water year type; WY = water year.

Figure L.3-4. Exceedance plots of proportional TDM estimates across all WYs for the Anderson and Martin TDM models, calculated using the 80th percentile of TDM for each WY.

[INSERT FIGURE]

TDM = temperature-dependent mortality; WYT = water year type; WY = water year.

Figure L.3-5. Exceedance plots of proportional TDM estimates for each WYT for the Anderson and Martin TDM models, calculated using the 80th percentile of TDM for each WY.

[INSERT FIGURE]

TDM = temperature-dependent mortality; WYT = water year type; WY = water year.

Figure L.3-6. Exceedance plots of proportional TDM estimates across all WYs for the Anderson and Martin TDM models, based on the “2021 Updated Tier Strategy” for NAA and Alt2 and calculated using the 80th percentile of TDM for each WY.

[INSERT FIGURE]

TDM = temperature-dependent mortality; WYT = water year type; WY = water year.

Figure L.3-7. Exceedance plots of proportional TDM estimates for each WYT for the Anderson and Martin TDM models, based on the “2021 Updated Tier Strategy” for NAA and Alt2 and calculated using the 80th percentile of TDM for each WY.

[INSERT FIGURE]

Boxplots summarize TDM variability across either only different annual redd distributions or both different redd distributions and posterior parameter estimates.

TDM = temperature-dependent mortality; WY = water year.

Figure L.3-8. Trends in proportional TDM (i.e., Martin model only) for WY 2011-2020 for the NAA.

## **L.3.2.2 Biological Assessment**

### **L.3.2.2.1 Takeaways**

Values of proportional TDM are presented for relevant alternatives in Table L.3-2 and Figure L.3-9 through Figure L.3-16.

For the Anderson model, expected proportional TDM values calculated across all WYTs, for only critical WYTs, and for only wet WYTs were 0.094, 0.468, and 0.001, respectively for the Alt2woTUCPwoVA (Table L.3-2). Relative to the Anderson model, expected proportional TDM values were slightly higher for the Martin model across all WYTs and for only critical WYTs, but slightly lower for wet WYTs (i.e., 0.118, 0.556, and 0.006, respectively, for Alt2woTUCPwoVA). For expected proportional TDM values calculated across all WYTs, mean TDM values ranged from 0.070 to 0.190 across all alternatives for the Anderson model and 0.093 to 0.187 for the Martin model. Water year-specific TDM estimates varied from approximately 0 to 1 across alternatives and models, and were highest in critical WYTs (Figure L.3-9, 10Figure L.3-10). For select recent WYs, alternatives, and models, annual TDM estimates varied by as much as 0.25 due to uncertainty in spatial and temporal redd distributions (Figure L.3-11).

For the Anderson and Martin models, greater than 75% of modeled WYs for every alternative resulted in expected proportional TDM values less than 0.125 (Figure L.3-12). For critical WYTs only, at least 12.5% of modeled WYs resulted in expected proportional TDM values less than 0.5 for all alternatives; for above normal and wet WYTs only, expected proportional TDM never exceeded 0.125 for all alternatives (Figure L.3-13).

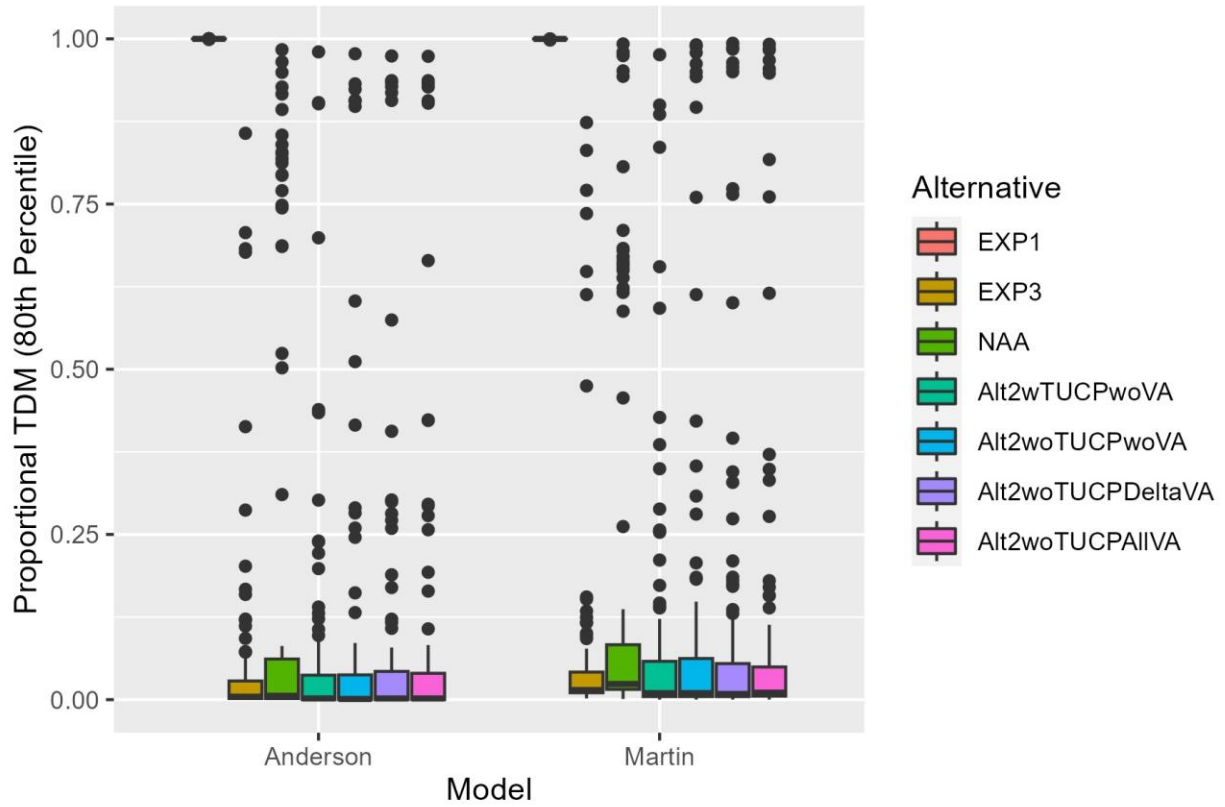
For the model runs with the “2021 Updated Tier Strategy” applied to NAA and all components of Alt2, greater than 75% of all modeled WYs for every alternative resulted in expected TDM values less than 0.0625 for both the Martin and Anderson models (Figure L.3-14). For the Martin model only, almost all alternatives resulted in expected TDM less than 0.125 for greater than 87.5% of all modeled WYs. For critical WYTs only, at least 37.5% of modeled WYs resulted in expected proportional TDM values less than 0.5 for all alternatives; for both above normal and wet WYTs, expected TDM never exceeded 0.125 (Figure L.3-15). Values of TDM never exceeded 0.25 for below normal WYTs.

For recent water years 2011-2020, expected proportional TDM values for the NAA alternative had noticeably greater variation when both redd and parameter uncertainty were included than when only redd uncertainty was included (Figure L.3-16).

Table L.3-3. Predicted mean proportional TDM estimates for different models and WYTs, in which presented means are the means of 80<sup>th</sup> percentile TDM values for relevant CalSim WYs.

Model	WYT	EXP1	EXP3	NAA	Alt2wTUCP woVA	Alt2woTUCP woVA	Alt2woTUCP DeltaVA	Alt2woTUCP AllVA
Anderson	All	1	0.056	0.190	0.070	0.094	0.094	0.095
Anderson	C	1	0.273	0.712	0.334	0.468	0.462	0.466
Anderson	D	1	0.023	0.210	0.049	0.051	0.051	0.052
Anderson	BN	1	0.013	0.135	0.023	0.035	0.038	0.040
Anderson	AN	1	0.007	0.008	0.002	0.002	0.002	0.002
Anderson	W	1	0.012	0.003	0.001	0.001	0.001	0.001
Martin	All	1	0.077	0.187	0.093	0.118	0.117	0.115
Martin	C	1	0.349	0.690	0.427	0.556	0.548	0.543
Martin	D	1	0.031	0.193	0.067	0.087	0.085	0.079
Martin	BN	1	0.027	0.132	0.027	0.033	0.036	0.034
Martin	AN	1	0.016	0.021	0.007	0.007	0.007	0.008
Martin	W	1	0.019	0.016	0.008	0.006	0.008	0.008

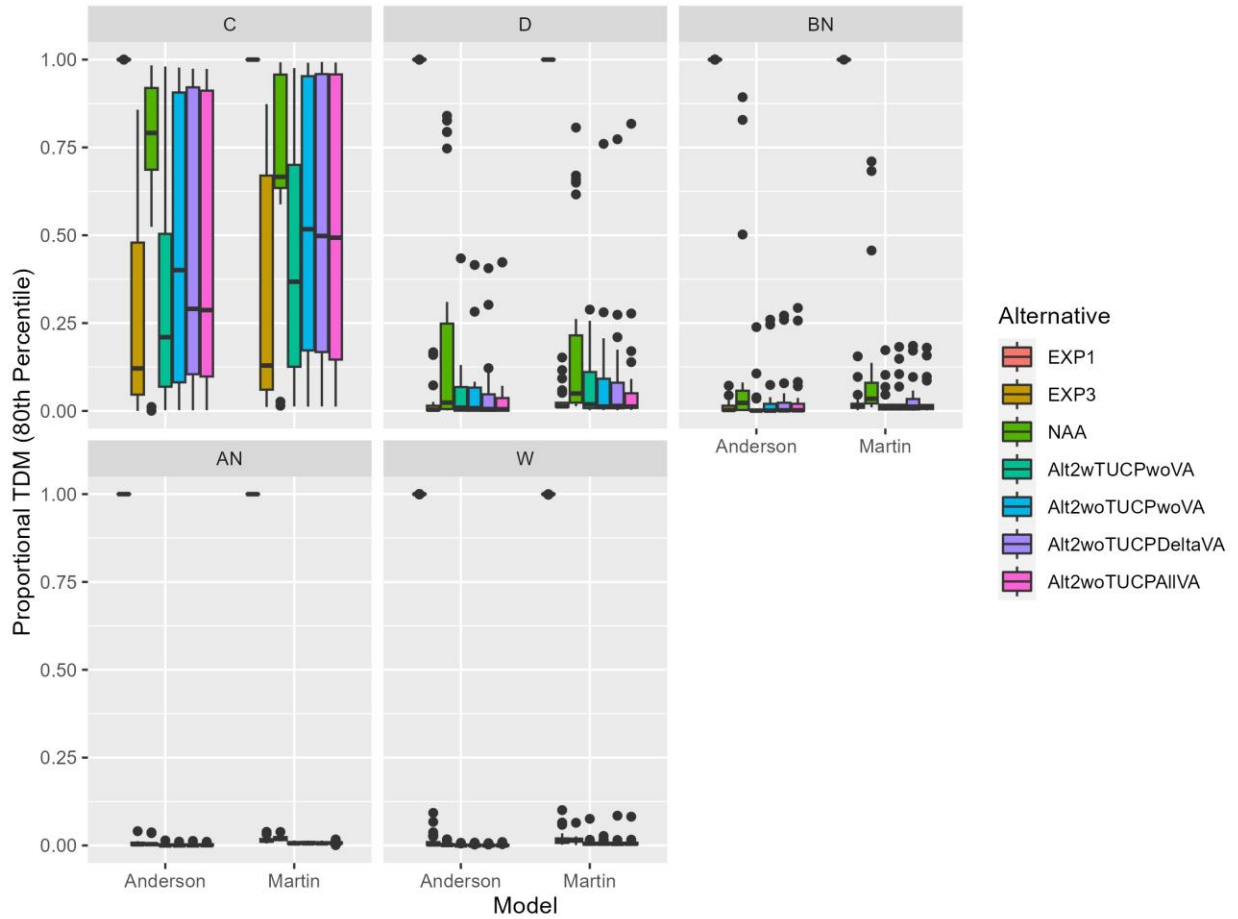
TDM = temperature-dependent mortality; WYT = water year type; WY = water year.



TDM = temperature-dependent mortality; WYT = water year type; WY = water year.

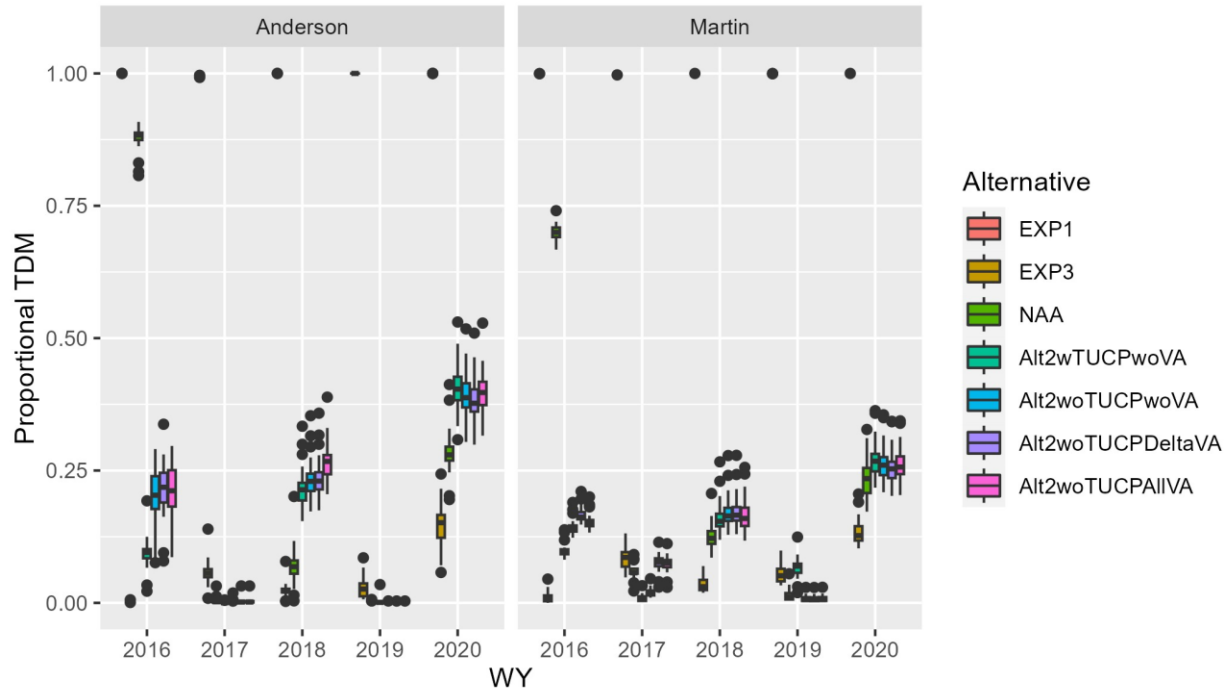
Figure L.3-9. Summaries of proportional TDM estimates across all WYs for the Anderson and Martin TDM estimates, calculated using the 80<sup>th</sup> percentile of TDM for each WY.





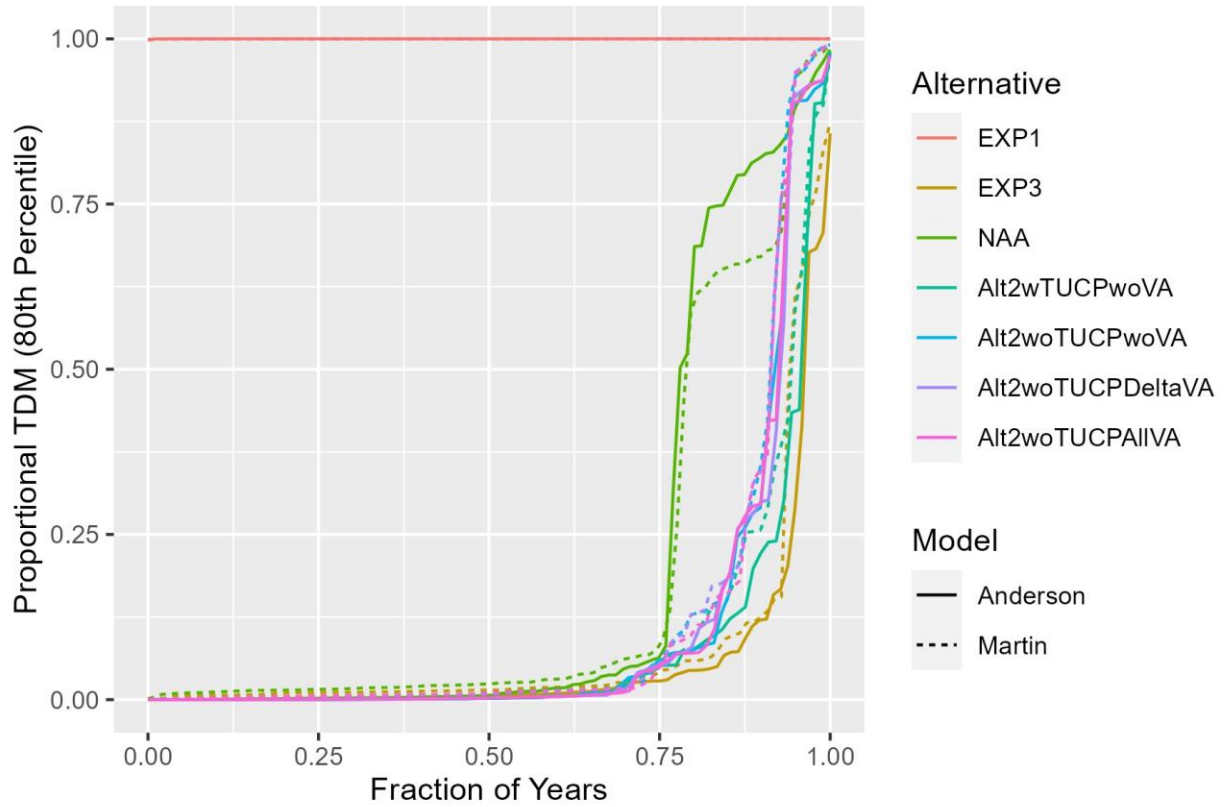
TDM = temperature-dependent mortality; WYT = water year type; WY = water year.

Figure L.3-10. Summaries of proportional TDM estimates for each WYT (i.e., facets) for the Anderson and Martin TDM models, calculated using the 80<sup>th</sup> percentile of TDM for each WY.



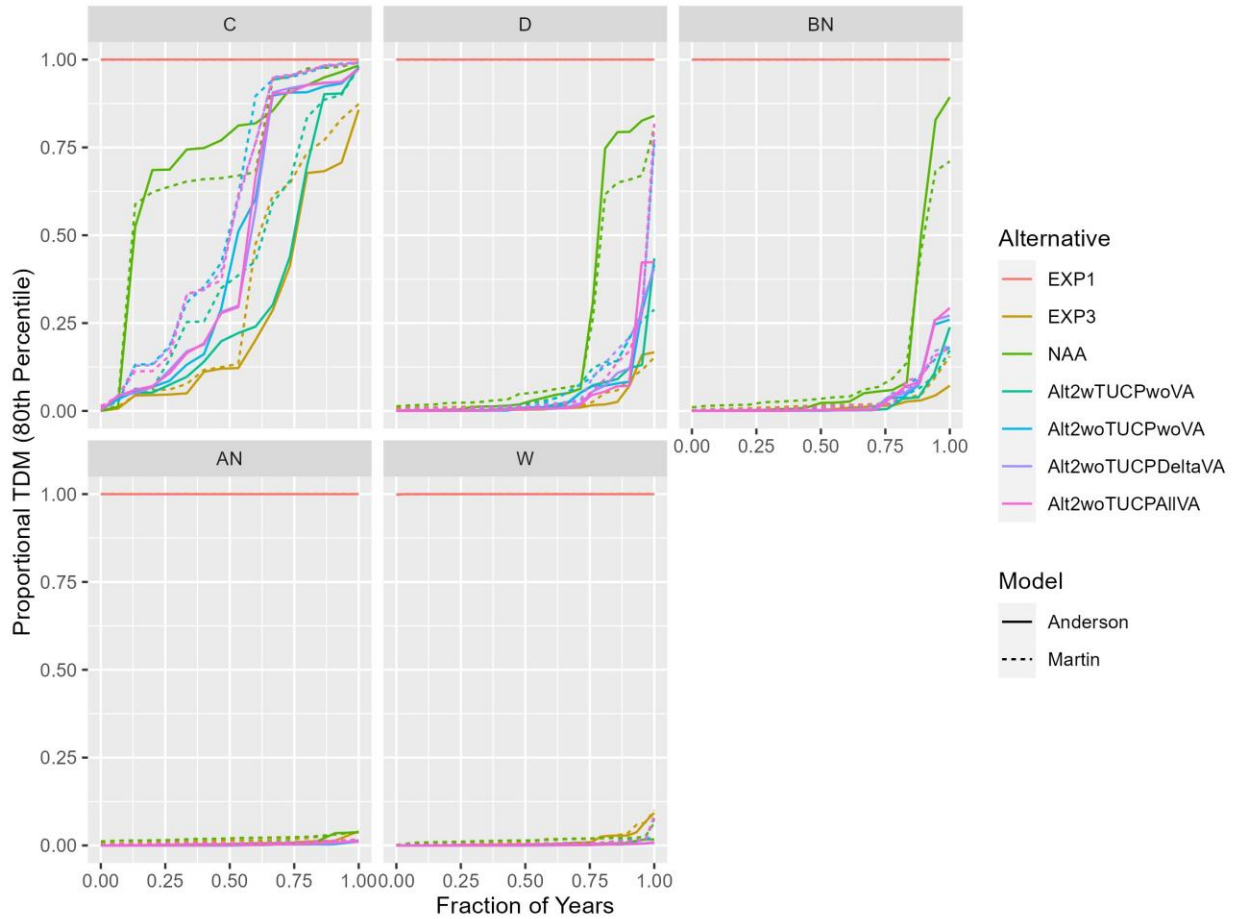
TDM = temperature-dependent mortality; WYT = water year type; WY = water year.

Figure L.3-11. Trends in proportional TDM for CalSim 3 WY 2016-2020, including the range of TDM values across different redd distributions for each WY, for the Anderson and Martin TDM models (i.e., facets).



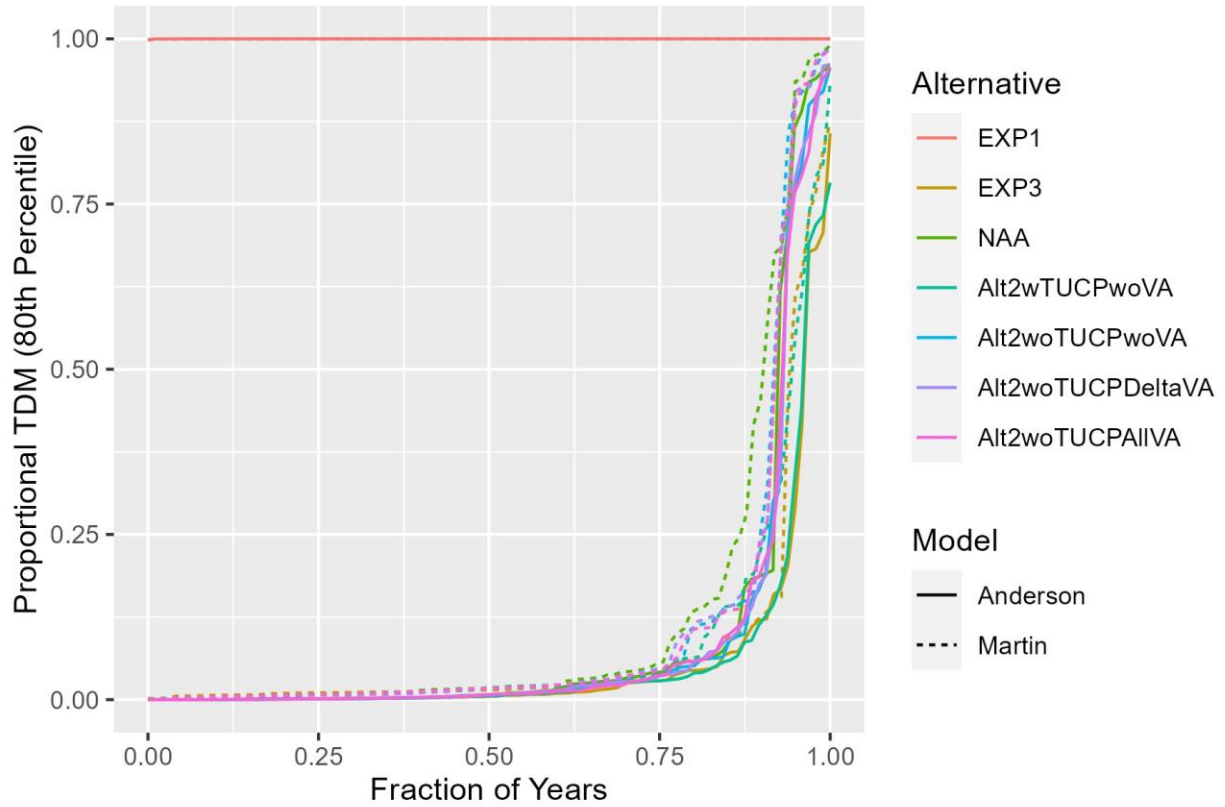
TDM = temperature-dependent mortality; WY = water year.

Figure L.3-12. Exceedance plots of proportional TDM estimates across all WYs for the Anderson and Martin TDM models, calculated using the 80<sup>th</sup> percentile of TDM for each WY.



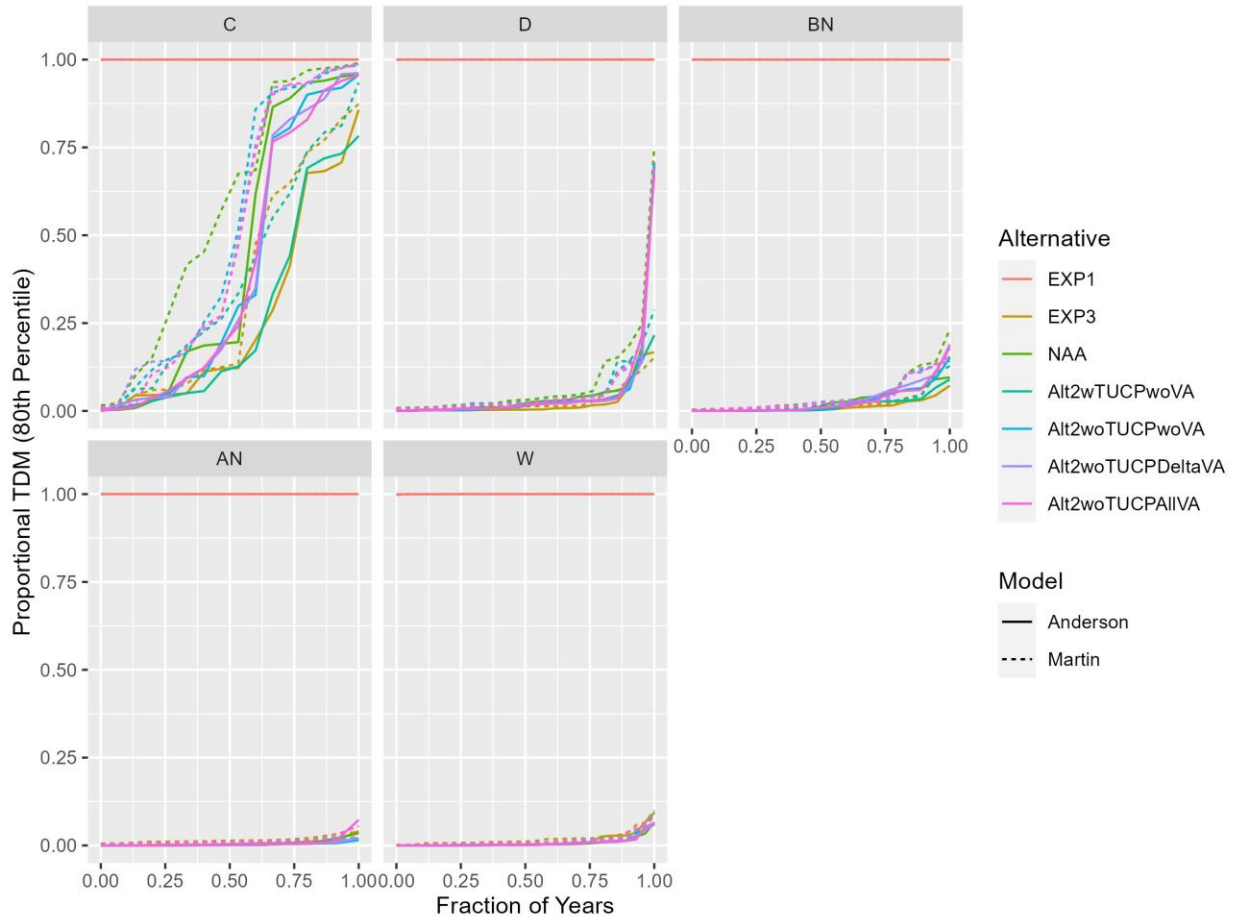
TDM = temperature-dependent mortality; WYT = water year type; WY = water year.

Figure L.3-13. Exceedance plots of proportional TDM estimates for each WYT (i.e., facets) for the Anderson and Martin TDM models, calculated using the 80<sup>th</sup> percentile of TDM for each WY.



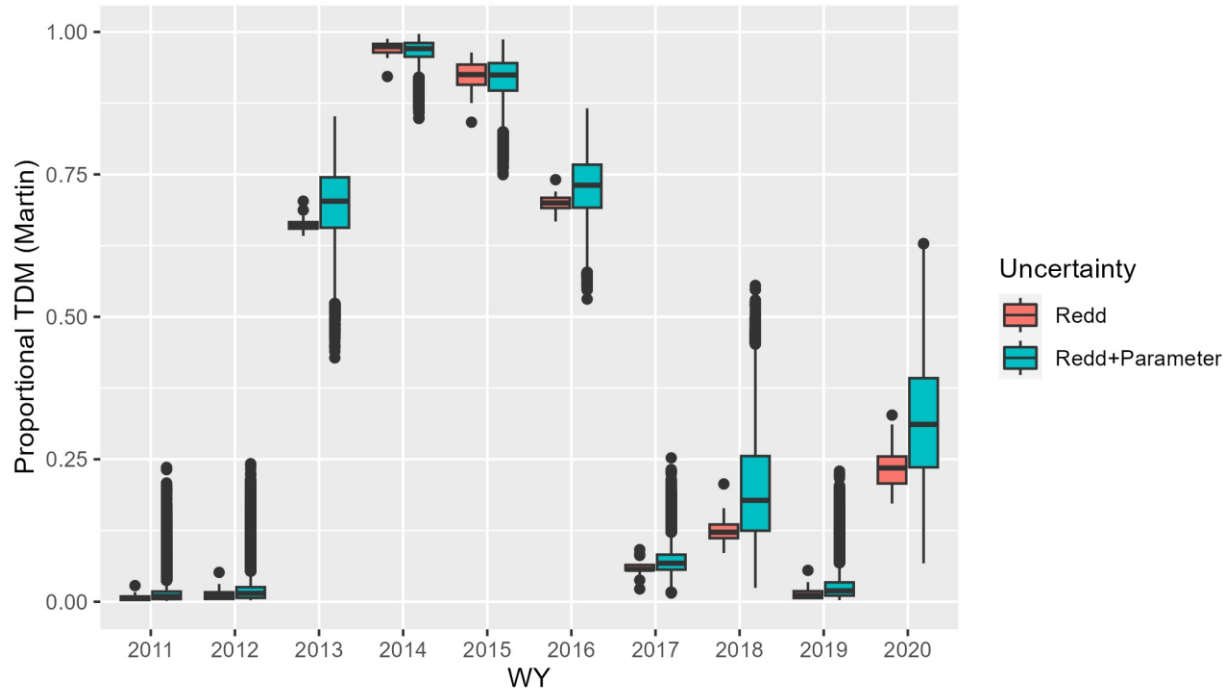
TDM = temperature-dependent mortality; WYT = water year type; WY = water year.

Figure L.3-14. Exceedance plots of proportional TDM estimates across all WYs for the Anderson and Martin TDM models, based on the "2021 Updated Tier Strategy" for NAA and Alt2 and calculated using the 80th percentile of TDM for each WY.



TDM = temperature-dependent mortality; WYT = water year type; WY = water year.

Figure L.3-15. Exceedance plots of proportional TDM estimates for each WYT for the Anderson and Martin TDM models, based on the "2021 Updated Tier Strategy" for NAA and Alt2 and calculated using the 80th percentile of TDM for each WY.



TDM = temperature-dependent mortality; WY = water year. Boxplots summarize TDM variability across either only different annual redd distributions or both different redd distributions and posterior parameter estimates.

Figure L.3-16. Trends in proportional TDM (i.e., Martin model only) for CalSim 3 WY 2011-2020 for the NAA alternative.

### L.3.3 References

Anderson, J. J., W. N. Beer, J. A. Israel, and S. Greene. 2022. Targeting river operations to the critical thermal window of fish incubation: Model and case study on Sacramento River winter-run Chinook salmon. *River Research and Applications* 38:895–905.

Martin, B.T., A. Pike, S. N. John, N. Hamda, J. Roberts, S. T. Lindley, and E. M. Danner. 2017. Phenomenological vs. biophysical models of thermal stress in aquatic eggs. *Ecology Letters* 20:50–59.

Poytress, W. R. 2016. *Brood-year 2014 winter Chinook juvenile production indices with comparisons to juvenile production estimates derived from adult escapement*. Report of U.S. Fish and Wildlife Service to U.S. Bureau of Reclamation, Sacramento, CA.