Assigning fates in telemetry studies using hidden Markov models: an application to deepwater groupers released with descender devices

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SEDAR68-DW-27

27 February 2020



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Please cite this document as:

Runde, Brendan J., Theo Michelot, Nathan M. Bacheler, Kyle W. Shertzer, and Jeffrey A. Buckel. 2020. Assigning fates in telemetry studies using hidden Markov models: an application to deepwater groupers released with descender devices. SEDAR68-DW-27. SEDAR, North Charleston, SC. 42 pp.

1	Runde et al. in review (North American Journal of Fisheries Management); not to be cited
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12 <u>Abstract</u>

13 Fate assignment is crucial to the results of survival studies, particularly those that utilize acoustic 14 tagging. Most current methodologies are at least partially subjective, thus having a means of 15 objectively assigning fates would improve precision, accuracy, and utility of such studies. We 16 released 57 acoustically tagged deepwater groupers of six species off North Carolina, USA, via 17 surface release and recompressed release with descender devices. We applied a three-state 18 hidden Markov model (HMM) in a novel way, to identify movement patterns associated not only 19 to the behavior of live groupers, but also to the behavior of their predators or scavengers. We 20 assigned fates using two approaches that differed in their reliance on HMMs. When HMMs were 21 the predominant source of fate assignment, we estimated survival of 40 deepwater groupers

22 released with descender devices at the continental shelf break (66-120 m depth) to be 0.46 (95%23 confidence interval 0.33, 0.65). When a combination of HMMs and prior information was 24 utilized, we estimated survival of the same 40 groupers to be 0.61 (0.47, 0.80). Both estimates 25 represent a substantial improvement over survival for surface releases (~zero). Furthermore, 26 HMMs estimated zero survival for an additional five descended groupers at a wreck site in 240 27 m depth, though one analysis using prior information suggests survival may be possible in that depth. These estimates were aided by the objectivity of HMMs and we recommend future 28 29 survival studies involving acoustic tagging employ similar methodologies. The improved 30 survival of groupers after descending is an important finding for management, as this taxon 31 contains several species of impaired stock status or fishery status.

32

33 Introduction

34 The use and utility of electronic tags in ecology has grown in recent years as such devices 35 have become smaller, cheaper, and more advanced (Kays et al. 2015; Crossin et al. 2017). The 36 incorporation of miniaturized sensors into tags enables scientists to collect a greater variety of 37 information about tagged animals and offers flexibility in study design and objectives (Wilson et 38 al. 2015). For example, sensors for metrics such as temperature (Gorsky et al. 2012), pH 39 (Halfyard et al. 2017), light (Seitz et al. 2019), depth (Bohaboy et al. 2019), and acceleration 40 (Curtis et al. 2015) can provide much insight into biology, movement, and survival (Runde et al. 41 2018). However, the pace of these technological advances has often outstripped the development 42 of methods for the analysis of the data they produce. Novel techniques for processing the vast 43 amounts and diverse types of data created by modern telemetry studies are required to maximize 44 the benefits of electronic tagging.

45 One modern application of electronic tagging is the use of acoustic transmitters to obtain 46 information about post-release (or discard) survival of fishes (e.g., Brill et al. 2002). Studies 47 intending to estimate fish discard survival have become more frequent in recent years as this 48 value has become more important to stock assessments (Breen and Cook 2002; Viana et al. 49 2013). The primary component of most discard survival studies is fate assignment, whereby 50 information about each fish is used to infer its most likely fate (e.g., survival, discard mortality, 51 emigration). Early telemetry studies of fish survival used active tracking to collect data for fate 52 assignment (Bendock and Alexandersdottir 1993), and most assumed any moving tag 53 represented a live fish. However, some authors recognized that transmitters might also move if 54 the study animal had been eaten by a predator (Bacheler et al. 2009), though this was difficult to detect other than by direct observation (e.g., Pepperell and Davis 1999). 55

56 The incorporation of sensors into transmitters has allowed for more realistic 57 interpretation of fish tagging data, yet some studies using sensor transmitters still rely primarily 58 on subjective inferences to assign fates (Yergey et al. 2012; Baktoft et al. 2013; Curtis et al. 59 2015; Runde and Buckel 2018). This methodology can be accurate when fates are obvious; for 60 example, when a transmitter relays constant depth and zero acceleration, the animal is likely 61 either dead or has shed the tag. However, there are scenarios where fates remain ambiguous. For 62 instance, a tagged animal may reside on the boundary of the detectable area, and therefore may provide only a few intermittent pieces of information making inference difficult. Further, for 63 64 animals and systems where post-release predation or scavenging may be common, distinguishing between the behaviors (e.g., depth, velocity, acceleration) of a live study animal versus a 65 66 predator that has ingested the tag may be difficult (Jepsen et al. 1998; Gibson et al. 2015).

Resolving uncertainty in fate assignment in survival studies is critical for generating accurate anduseful results.

69 More advanced techniques for assigning fates include using a subset of "known-fate" 70 individuals to clarify classification of the remaining subjects. One way to achieve this is to 71 sacrifice some fish prior to tagging and release (i.e., negative control; Muhametsafina et al. 72 2014). The behavior of these transmitters attached to known dead fish can then be scrutinized 73 and any similar patterns among released-alive fish imply discard mortalities (Yergey et al. 2012; 74 Capizzano et al. 2016). A more opportunistic approach to identify a fate involves re-sighting or 75 recapturing a live tagged animal after a period at large, thereby confirming that all data between 76 release and recapture were generated by that individual and allowing for comparisons as above 77 (i.e., a positive control; Capizzano et al. 2019). Even with these approaches, comparing detection 78 information of known-fate and unknown-fate individuals is typically at best a semi-quantitative 79 procedure (Benoît et al. 2012).

80 One method for introducing objectivity into fate assignment is with hidden Markov 81 models (HMMs). HMMs use time series data to detect and classify latent or "hidden" patterns 82 that, when applied to tagging data of animals, are often interpreted as behavioral states 83 (Langrock et al. 2012). To date, the utility of HMMs in ecology has been primarily to expand 84 biological knowledge via descriptive studies. For example, in marine fisheries HMMs have been 85 applied in studies of spawning behaviors (Holan et al. 2009), behavior in sharks (Papastamatiou 86 et al. 2018), migratory phases of Southern Bluefin Tuna Thunnus maccoyii (Patterson et al. 87 2009) and Cownose Ray *Rhinoptera bonasus* (Ogburn et al. 2018), movement types in Gray 88 Triggerfish Balistes capriscus (Bacheler et al. 2019), and behavioral states in Yellowfin Tuna T. 89 albacares and Bigeye Tuna T. obesus (Vermard et al. 2010). However, instead of identifying and classifying behaviors of the tagged animals themselves, it is possible that HMMs could identify
the animal that generated the data and therefore objectively identify likely predation or
scavenging within the context of a survival study. To our knowledge, HMMs have never been
used in survival studies where changes in movement patterns may imply predation or
scavenging.

95 Estimates of discard survival are particularly important for fisheries in which discards 96 comprise a large portion of catch (Runde et al. 2019) and discard survival is likely to be low due 97 to gear interactions or barotrauma (Davis 2002). One group of marine fishes for which discard 98 survival is typically low is deepwater groupers. Many species of deepwater groupers in the 99 southeast United States (SEUS) are imperiled in part because they are naturally rare, aggressive, 100 heavily targeted, and susceptible to extreme barotrauma (Huntsman et al. 1999). In fact, 101 barotrauma of fishes in this group is so severe that discard survival is often assumed to be 0%; 102 this assumption is reflected in regulations for species such as Snowy Grouper Hyporthodus 103 *niveatus*, for which the recreational bag limit in the SEUS is currently one per vessel with no 104 minimum size (SAFMC 2016; Runde and Buckel 2018). Further, several species of groupers in 105 the SEUS are listed as overfished (Snowy Grouper; Red Grouper *Epinephelus morio*), 106 undergoing overfishing (Speckled Hind E. drummondhavi) or are experiencing a multi-decade 107 decline (Scamp Mycteroperca phenax) (Bacheler and Ballenger 2018; NOAA Fisheries 2018). 108 The use of descender devices to recompress barotraumatized fishes has been explored for 109 several species and taxa, including Walleye Sander vitreus (Eberts et al. 2018), Red Snapper 110 Lutjanus campechanus (Drumhiller et al. 2014; Bohaboy et al. 2019), Pacific rockfishes Sebastes 111 spp. (Theberge and Parker 2005), and deepwater groupers (Runde and Buckel 2018). Studies 112 testing this technique have generally found increases in survival of fish released with a descender device as compared to without (reviewed by Eberts and Somers 2017). More challenging has been generating precise estimates of survival that are usable for stock assessments and management strategy evaluations and that could be confidently cited as evidence by managers wishing to encourage or require the use of descender devices in the fishery.

Here we use HMMs to quantitatively analyze acoustic telemetry data from several
species of deepwater groupers released with descender devices. We build on the findings of
Runde and Buckel (2018) by following much of their field methodology but introduce
substantial improvements in the approach to analysis and inference. Specifically, we used HMMs
to aid in identification of predation or scavenging of the released study animals by examining
changes in acceleration and depth. Our results are the first discard survival estimates to be
generated with HMMs.

124 <u>Methods</u>

125 Study area, fish capture, and tagging

126 We fished for groupers inside the Snowy Wreck Marine Protected Area (33°30'N, 127 76°50'W) off North Carolina, USA, in May-August, 2018 (Figure 1). Fishing was conducted at 128 the continental shelf break in 66-120 m and at a shipwreck (called the Snowy Wreck) in 240 m. 129 Our methods largely followed those of Runde and Buckel (2018). Briefly, we fished using high-130 low bottom rigs with size-8/0 hooks baited with cut Atlantic Menhaden Breevortia tyrannus and 131 shortfin squid *Illex* sp. Upon capture, grouper total lengths (TL) were measured to the nearest 5 132 mm and groupers > 350 mm TL were affixed with Vemco ultrasonic coded transmitters (V13AP-133 H; 69 kHz; random delay = 60-180 s; estimated tag life = 158 d) via two nylon dart tags to the 134 dorsal musculature (see Figure 1 in Runde and Buckel 2018). V13AP transmitters contain two

sensors: depth (via a converted pressure value) and acceleration, produced as an average value
over a 45 sec interval. More description of accelerometer sensors may be found in Curtis et al.
(2015). Our external attachment procedure shortened the surface interval, isolated the effects of
recompression (instead of venting via an incision), and increased detectability of the transmitters
(Johnson et al. 2015; Dance et al. 2016). Transmitters were sterilized in diluted 2% chlorhexidine
gluconate prior to attachment, and deck time for each fish was no more than 2 min.

141 At the continental shelf break, grouper were released by one of three methods. Most 142 groupers were descended with a SeaQualizer[™] descender device set to 30, 61, or 91 m, 143 depending on the bottom depth. Four groupers in this treatment group were double-tagged 144 (affixed with two V13AP transmitters, one on each side of the dorsum and offset in the anterior-145 posterior plane) in an effort to estimate tag retention, as is common in conventional tagging 146 studies (Beverton and Holt 1957; Seber 1982). For the second treatment, some groupers were 147 released boat-side into a bottomless surface enclosure (2.5 m square and 1.3 m deep) where their 148 behavior was observed and recorded (sensu Hannah et al. 2008). If these groupers floated and 149 appeared moribund, they were assumed to be dead and were recovered, and the transmitter was 150 reused. Finally, a subset of groupers caught at the continental shelf break were sacrificed, tagged 151 as above, and descended to 30, 61, or 91 m with a SeaQualizerTM device. These individuals 152 served as a negative control, because any acceleration and depth changes of their transmitters were known to be from predators or scavengers. At the Snowy Wreck, all grouper were 153 154 descended to the seafloor with a BlacktipTM descender device in order to promote residency of 155 the transmitter to the site (and detectability on local receivers) as opposed to a mid-water-column 156 release via the SeaQualizer.

158 Submersible receiver mooring deployment and retrieval

159 We deployed an array of 22 Vemco VR2AR acoustic release receivers in the Snowy 160 Wreck Marine Protected Area on May 1, 2018 (Figure 1). Each mooring was anchored with ~43 161 kg steel sacrificial ballast attached to a receiver lug with 6.4 mm diameter steel cable. Above 162 each receiver was a subsurface trawl float (280 mm diameter, 8.8 kg buoyancy) attached with 163 ultra-high molecular weight polyethylene fiber (Dyneema®) rope and stainless steel shackles. 164 Twenty receivers were deployed at the continental shelf break in likely areas of grouper catch, 165 based on catches by Runde and Buckel (2018) and Rudershausen et al. (2010) in the same 166 region. Two VR2AR receivers were deployed at the Snowy Wreck, approximately 100 m apart. 167 We recovered all receivers on October 2, 2018. 168

169 Data processing and analysis

Detection data were downloaded to Vemco VUE software and subjected to the False
Detection Analyzer to remove likely erroneous detections. We compiled a detection history of
depth and acceleration for each transmitter in R (R Core Team 2019) for use in HMM and
assignments of fate.

A hidden Markov model assumes that each observed variable (in our case, acceleration or depth) can arise from several different probability distributions, called emission distributions (Zucchini et al. 2016). An unobserved state process determines which distribution is active at each time point, and its evolution is modelled with transition probabilities. We fitted a 3-state HMM to the detection data collected from each transmitter. HMMs require data streams to be on a regularized time grid (e.g., one observation every 30 min). Given that our V13AP tags transmitted on a random delay, our detection data were not regularized temporally. Therefore, we 181 binned detections into 30 min time bins for the purpose of regularization. We chose an interval 182 long enough so that most time bins contained one observation or more, and short enough to 183 capture the movement states of interest. From the binned detection data, we generated three data 184 streams that were used as inputs in our HMM. The first data stream was acceleration (m/s^2) , for 185 which a single observation from each 30 min time bin was randomly chosen to represent each 186 bin. This acceleration data stream was parameterized as a gamma distribution. The second data 187 stream was depth as a proportion of capture depth (m), where a value of 1.0 represented the fish 188 being detected at exactly the same depth as was recorded during capture. This transformation 189 was necessary as the study animals were released across a range of depths. This data stream was 190 also created using a single random selection from within each time bin and was parameterized as 191 a Gaussian ("normal") distribution. Finally, the third data stream was the standard deviation of 192 all depth values in each time bin. This final data stream was parameterized as a gamma 193 distribution. We elected not to use summary statistics for the first two data streams (e.g., mean or 194 median values within each time bin) because such values may not appropriately capture the 195 variability in acceleration and depth. In addition, averaging could result in the use of a value that 196 never truly appeared in a given time bin.

We used a "bootstrapping" procedure to investigate the sensitivity of our findings to the random selection of values to represent time bins in the acceleration and relative depth data streams. Here we conducted 10 replicate HMMs where each replicate used independent, randomly drawn acceleration and relative depth values. For bins in which no observations occurred, the data frame was filled with a missing value (NA). We calculated the most likely state sequence for each replicate model using the Viterbi algorithm, to infer behavioral states and fate of tagged fish. For each pair of replicate models, we calculated the proportion of time bins in which the predicted state differed, and then closely examined the implications for fate
assignment of the state sequences generated by the two least similar models. HMMs and
subsequent analyses were performed in the R package 'momentuHMM' (McClintock and
Michelot 2018).

208 *Fate assignment and survival estimation*

209 Results from the HMM were examined for each individual grouper and used to assign 210 fates. We compared the state sequences of the sacrificed descended individuals (i.e., negative 211 control) to the state sequences of the descended-alive individuals. If descended-alive groupers 212 displayed the same state as the negative controls, they were determined to be deceased and 213 subject to predation or scavenging. The state sequences for groupers displaying other states were 214 scrutinized and used to make informed decisions about their assigned fates. Emigration of a live 215 grouper was determined to have occurred if detections ceased without switching to a state 216 representing predation. Groupers that emigrated from the receiver array or lost their tag were 217 censored from the analysis on the day of emigration or tag loss.

218 We assigned fates using two general scenarios. In Analysis 1, we assigned fates based 219 more strictly on HMM results; we imposed expert knowledge only when the fates suggested by 220 HMMs were illogical. In Analysis 2, we allowed for behaviors and phenomena that have been 221 anecdotally observed in other studies but could not be confirmed here (e.g., vertical movement of 222 live study animals before emigration from the receiver array; N. Wegner, unpublished data). 223 Furthermore, in Analysis 2 we took into account ancillary data that could not be included in the 224 HMM, such any information about a transmitter's movement through space on different 225 receivers. The fate assignments from Analysis 1 are generally more conservative (i.e., they err on 226 the side of lower survival).

Fates for groupers that were released alive were used to inform Kaplan-Meier nonparametric models to estimate post-release survival. We conducted separate Kaplan-Meier procedures for groupers released via descending, released into the surface enclosure, and for releases at the Snowy Wreck; estimates were generated twice for each of these groups (once each for Analysis 1 and Analysis 2). The Kaplan-Meier procedures were conducted in the R package 'survminer' (Kassambara and Kosinski 2018).

233 <u>Results</u>

247

234 At the continental shelf break (depth = 66-120 m), we released 40 groupers via 235 descending, of which four were double tagged. In addition, we released nine groupers into the 236 bottomless surface enclosure. Of these nine surface releases, two groupers swam down and seven 237 floated. The seven groupers that floated were recovered and their tags reused; those reused tags 238 are included in totals below. We sacrificed and descended three tagged groupers for a total of 45 239 individuals released at the shelf break (42 live, three dead). At the Snowy Wreck (depth = 240240 m), we tagged and released five Snowy Groupers, all of which were descended to the seafloor. 241 Overall, we tagged at least one individual of six grouper species: Gag *M. microlepis* (n = 1), Red 242 Grouper (n = 1), Scamp (n = 11), Snowy Grouper (n = 31 + 5 at the Snowy Wreck), Speckled 243 Hind (n = 4), and Yellowmouth Grouper *M. interstitialis* (n = 4). Total lengths, depths of 244 capture, species identification, and treatments for each individual are shown in Table 1. 245 We obtained over 580,000 detections from telemetered groupers. These detections were 246 from each of the 50 groupers in the study that submerged. Across all individuals, we created

60,666 30-min time bins. To investigate the reliability of our method of random selection from

each time bin, we first compared the estimated state sequences obtained for the 10 replicates.

249 The largest difference was 1.04% of time bins, which indicates that the estimated states were

253 Estimates of the parameters of the emission distributions showed clear distinctions 254 between the three states (Table 2; Figure 2). State 1 was characterized by the lowest mean 255 acceleration ("Acc") values, the closest relative depth ("RelDepth") to 1.0, and the lowest mean 256 standard deviation of depth ("DepthSD"). State 2 had similar Acc values to state 1, but had a 257 mean RelDepth of 1.13 (the highest of the three states), and a moderate DepthSD mean. State 3 258 showed the highest mean Acc, the only RelDepth mean less than 1.0 (indicating depths well 259 above tagging depth), and the largest DepthSD value. The estimated probabilities of remaining in 260 the current state were 0.99 for state 1 and 0.96 for state 2, indicating behavioral persistence over 261 multiple time intervals. Comparisons between state sequences generated from the two least 262 similar replicates (HMM 3 and HMM 4) resulted in no differences in fate assignment for any of 263 the groupers in the study.

264 Of the three sacrificed and descended dead groupers, only one provided sufficient data to 265 be included in the HMM (Scamp 3). The other two individuals (Snowy Grouper 11 and Snowy 266 Grouper 5) were detected for approximately 7 and 25 minutes respectively, and each had very 267 few detections. The terminal detection for each of these individuals suggested the transmitter was within a few meters of the surface. Scamp 3 was detected for approximately 26 hours. The HMM 268 269 classified this individual as exhibiting state 3 throughout the entire time period for which it was 270 detected (Figure 3A). We reviewed the state sequences for the remaining individuals, and those 271 dominated by states 1 and 2 were categorized as survivals (e.g., Figure 3B).

272 For 40 groupers descended alive at the shelf break, Analysis 1 determined 14 had 273 survived the duration of the study, three lost their tags while still alive, one emigrated, and 22 274 experienced discard mortality. For the same fish, fates determined using Analysis 2 differed for 275 11 individuals; in general, this procedure changed fates from mortalities to emigration or tag loss 276 based on previous authors' observations of post-tagging recovery behavior in demersal fishes 277 (e.g., Collins 2014; see *Discussion*). Further, the HMM was not able to distinguish between a 278 dead grouper on the seafloor (with occasional movement caused by scavengers) and a live 279 grouper. These two interpretations of the same general "behavior" is reflected in the differences 280 between the two Analyses. Analysis 2 determined 14 grouper survived the duration of the study, 281 four lost their tags while still alive, seven emigrated, and 15 experienced discard mortality. In 282 Analysis 1, each of the four double-tagged groupers experienced mortality within the first day 283 after release. In Analysis 2, one died, two emigrated in the first two days, and one appeared to 284 lose one tag within hours of release and then emigrate on day 4. We conclude that tag loss is 285 possible given this attachment type, though the sample sizes and durations of observation for 286 double-tagged fish preclude a statistical estimate of that rate. Fates for each individual assigned 287 in both Analyses are shown in Table 1.

All mortalities occurred within the first seven days after tagging, therefore our survival estimate at that time represents our estimate for the study overall. For groupers descended alive at the shelf break, the Kaplan-Meier survivorship procedure using Analysis 1 fates generated a survival estimate of 0.46 (95% confidence interval 0.33, 0.65; Figure 4). Using Analysis 2 fates, the survival estimate was 0.61 (0.47, 0.80).

Two of nine surface-released groupers swam down; under Analysis 1, both of these fish appeared to experience mortality on the day they were tagged (day zero), resulting in survival of 0.00. Under Analysis 2, these two fish could have emigrated on days 1 and 5 respectively. Using
these fates, a Kaplan-Meier survivorship procedure estimates survival of 0.22 (0.07, 0.75) for
surface-released groupers. Of five groupers released at the Snowy Wreck in 240 m, none
survived beyond day zero using Analysis 1 fates, resulting in a survival estimate of 0.00.
Analysis 2 interpretations suggest that all five may have emigrated within 9 days based on their
disappearance from the receiver array (but see *Discussion*). We therefore estimate survival of
0.00-1.00 for groupers released at the Snowy Wreck.

302 <u>Discussion</u>

The objectivity for fate assignment provided by hidden Markov models is a major improvement to telemetry-based survival studies. We found that in most cases the HMM could distinguish between known-dead individuals and groupers we believe to have been alive during the study period. However, generating a survival estimate from HMMs still required subjective assignment of fates for some individuals; we describe these procedures and other caveats below.

308 In our study, there were a few groupers for which the HMM identified mortalities that 309 subjective inference would likely have missed. These animals represent one of the major utilities 310 of HMMs. For Scamp 6 (Appendix 2), Snowy Grouper 3 (Figure 3C), and Speckled Hind 4 311 (Appendix 2), initial examination of the acoustic profiles suggested tag loss, and we would likely 312 have considered these fish alive using subjective inference alone. However, the HMM identified 313 clear changes in the states of these three individuals (from states 1 and 2 to state 3) several days 314 prior to flat-lined depth and acceleration. We therefore concluded that these individuals were 315 alive and then eaten by a predator. These three groupers exhibited state 3 for four days, five days, 316 and one day prior to apparent expulsion of the transmitter by the predator. These durations fall 317 within the usual gastric evacuation time of most large elasmobranchs (Wetherbee and Cortés

2004). Furthermore, during the period after apparent predation for each of these three fish
detections were recorded on several (four or more) receivers, suggesting the transmitter was in
an extremely mobile animal.

321 Contrary to the above individuals, where we assigned mortalities based on HMM results, 322 there were several fish for which we used ancillary information to overrule HMM results. For 323 example, Scamp 10 was assigned state 3 for the entirety of its detection history (Figure 3D). 324 Scamp 10 was relatively small (490 mm TL), but was tagged with a transmitter that had been 325 prepared for a larger fish. The wires connecting the tag to the dart tips were therefore longer than 326 necessary. The first author noted that the tag appeared loose upon release. This situation appears 327 to be reflected in the acceleration profile for this fish: there are no observations of zero 328 acceleration until the tag was evidently lost on day six. Because the depth detections for Scamp 329 10 resemble depths for live groupers, we categorized this individual as alive until tag loss in both 330 Analysis 1 and Analysis 2. All other groupers were tagged with transmitters with wire lengths 331 appropriate for their body size.

332 In addition to Scamp 10, there were several individuals that transitioned to state 3 or 333 disappeared after several days of states 1 and 2. Examination of these profiles revealed that some 334 showed almost no changes in depth and few non-zero acceleration detections until their 335 transition to state 3 or disappearance (e.g., Snowy Grouper 20; Figure 3E). This type of detection 336 profile may represent a dead grouper on the seafloor being scavenged by smaller fish and 337 invertebrates with intermittent occurrences of being picked up by a (perhaps larger) scavenger 338 (signaled by a switch to state 3) on (in the case of Snowy Grouper 20) August 30 and again on 339 September 8. These brief, rapid, vertical movements from a near-constant depth of 120m to 340 depths as shallow as 60m are a behavior we never observed in groupers we categorized as alive.

341 Live groupers sometimes exhibited zero acceleration and no changes in depth, but these periods 342 were punctuated with regular movements detected by both sensors. This regular movement was 343 not observed in the several fish we believe may have been dead and experiencing seafloor 344 scavenging. There were nine individuals for which this potential on-seafloor scavenging was 345 observed. The majority of these were categorized by the HMM as states 1 and 2 for much of 346 their observation period but state 3 at the end of their detection history. Contrary to scavenging 347 events during which the predator ingested the transmitter and rose into the water column, on-348 seafloor scavenging appears to the HMM to be similar to live grouper behavior (i.e., states 1 and 349 2). For Analysis 1, these individuals were considered mortalities on day 0. Under Analysis 2, we 350 considered the possibility that these fish were alive and recovering from the stress associated 351 with capture, tagging, and release, and emigrated after or during this recovery period by first 352 migrating vertically. Collins (2014) and Runde and Buckel (2018) described a post-tagging 353 recovery period during which fish were less active. As none of the descended dead groupers 354 exhibited this type of profile, these individuals were therefore considered alive until the point of 355 emigration in Analysis 2. Recovery followed by emigration behavior has been observed in 356 Pacific rockfishes, some of which were later recaptured, thereby confirming their status as live 357 fish (N. Wegner, NMFS, pers. comm.). Unfortunately, we were unable to recapture any 358 telemetered fish in this study; therefore, the interpretation of these animals' behavior remains 359 uncertain. We recommend future telemetry studies tag a larger sample size of sacrificed 360 individuals.

We identified some groupers that clearly lost their transmitter (either while still alive or postmortem) prior to the end of the study, as they displayed zero acceleration and constant depth after a certain point. The data file for each of these fish was truncated to remove the detections

364 representing a lost tag, as these tag loss data would not correspond to any of the movement states 365 of the HMM. We considered the possibility of a 4-state HMM, where the additional state would 366 represent these data. However, this was not feasible given our use of relative depth as a 367 datastream for the HMM. Indeed, the distribution of relative depths was not consistent across lost 368 tags, because transmitters were lost at relative depths ranging from approximately 0.56 to 1.95. 369 This wide range is a result of the high relief habitat in which we performed our study; future 370 studies conducted in lower relief areas may have success modeling tag loss as its own HMM 371 state.

372 Choosing the number of states in HMMs is challenging, and often not straightforward 373 (Pohle et al., 2017). In this study, we investigated an HMM with two states in addition to the 374 eventual 3-state model. The 2-state model did not appropriately distinguish the descended-dead 375 grouper from the released-alive fish. We determined that the 3-state model was necessary to 376 capture the complexity of the situation to which we were attempting to apply HMMs. We lacked 377 the data that are perhaps most typical as inputs for HMMs applied to animal movement: turning 378 angle and step length. Instead, we used alternative data streams to characterize movement, e.g., 379 depth relative to depth at release was chosen as a proxy for distance from the seafloor. We note 380 that some groupers may have consistently occupied seafloor habitat but appear to sometimes be 381 much deeper or much shallower than their release depth (e.g., Red Grouper 1; Figure 3F). This 382 possibly occurred because the shelf break consists of many areas of extreme depth changes over 383 a short linear distance; Red Grouper 1 appeared to prefer seafloor habitat in two primary depths 384 that were ~20 m different yet still within the receiver array. Because of the variation in this and 385 other individuals, the live grouper detection information for all three data streams contained a

wide range of values, which resulted from not only a variety of "normal" grouper behaviors butalso from the imperfection of the data streams available in this study.

388 Typical HMMs for animal movement result in biological description of the behavioral 389 states identified such as "foraging" or "transiting" (e.g., Bacheler et al. 2019). For our purposes, 390 such description is a dubious exercise given the data streams we had available. States 1 and 2 391 seemed to define animals that accelerate at a relatively low amount, occupy habitat close to the 392 seafloor, and change depths a low to moderate amount. State 3 was described by animals that 393 have higher acceleration, utilize a much wider range of depths, and change depth rapidly. These 394 qualitative descriptions of the states are consistent with our assertion that states 1 and 2 represent 395 live groupers and state 3 represents groupers eaten by predators. In cases where the fate of some 396 of the fish is known, this information can also be included in the HMM to clarify the 397 classification of the other tracks ("semi-supervised learning," Leos-Barajas et al. 2017). Future 398 work including a greater number and variety of known-fate individuals could attempt this 399 approach.

400 We considered applying a continuous-time model to these data given the irregularity of 401 the detections. However, the implementation of state-switching continuous-time models is much 402 more difficult and computational than using HMMs (Blackwell et al. 2016; Michelot and 403 Blackwell 2019). In particular, it is not clear what continuous-time processes should be used to 404 model the "acceleration" and "depth" variables considered here, given that continuous-time 405 methodology has focused on the analysis of longitude-latitude movement data. Further, there are 406 no accessible software packages to apply those models to telemetry data sets, and the large size 407 of our data set (~60,000 time bins) would make the model fitting infeasible. For all these 408 reasons, we believe that the use of a discrete-time method is defensible here.

409 Our survival estimate from Analysis 1 of 0.46 (0.33, 0.65) and from Analysis 2 of 0.61 410 (0.47, 0.80) fall within the range estimated by Runde and Buckel (2018). Their survival estimate 411 of 0.50 (0.10, 0.91) had extremely broad confidence intervals because many emigrations 412 exacerbated an already-low sample size. Our higher sample size and larger array, paired with 413 more precise fate assignments via HMM, produced much narrower confidence intervals in the 414 present study. Other studies examining the effects of descender devices in this depth range are 415 scarce, though some have been conducted in slightly shallower marine environments. Curtis et 416 al. (2015) worked in 50m and estimated survival of descended Red Snapper as 0.83 (0.68, 0.98). 417 Sumpton et al. (2010) tagged red emporer *L. sebae* in depths predominantly >30 m but found 418 little evidence for descender devices promoting survival in this species. We recommend future 419 descender device studies work in depths and habitats that are most relevant to the fishery.

420 We elected to analyze survival across species for several reasons. First, given the high 421 cost of acoustic telemetry, our sample sizes by species were limited. Second, many of these 422 species cohabitate, and most groupers in the SEUS are managed as an aggregate unit (SAFMC 423 2016), so our findings are applicable to the fishery in general. When analyzed separately, the two 424 species for which we had the highest sample sizes at the shelf break, Snowy Grouper and Scamp, 425 had survival estimates of 0.49 (0.32, 0.76) and 0.38 (0.15, 0.92) respectively in Analysis 1, and 426 the two species had estimates of 0.79 (0.62, 1.00) and 0.31 (0.10, 0.96) respectively in Analysis 427 2. The majority of these mean estimates are near our overall estimates of 0.46 and 0.62, and all 428 of the confidence intervals overlap widely, supporting our choice to pool the species-specific 429 estimates.

430 Current management assumes discard survival of zero for many reef fishes due to
431 extreme barotrauma (SAFMC 2016). In the present study, we made an attempt to gather

432 evidence on this topic by releasing tagged groupers into our bottomless surface enclosure. Since 433 our maximal mean estimate of survival (Analysis 2) for nine groupers released at the surface in 434 this study is 0.22, we are inclined to agree in principle with the current assumption of zero 435 survival for the species examined, though a low level of survival may be possible particularly in 436 the shallower portion of these species' ranges. However, we have demonstrated that survival is 437 significantly higher than zero for groupers released with a descender device. The South Atlantic 438 Fishery Management Council recently approved Regulatory Amendment 29 to the Snapper-439 Grouper Fishery Management Plan, which requires the presence of descender devices on board 440 vessels fishing for reef fish in the southeast US (approved September 2019; awaiting Formal 441 Secretarial Review). Given our findings, we recommend other management agencies take similar 442 measures to promote widespread use of descender devices in this and other fisheries.

443 Many of our groupers, including all five released at the Snowy Wreck, may have 444 succumbed to predation after release. While Analysis 2 allows for the possibility of emigration 445 for these individuals, we believe that explanation to be unlikely. Three out of five of these fish 446 were detected mid-water-column during their detection history at depths of 22 m, 26 m, and 71 447 m. Ambient pressure at 100 m is 25 atm; the shallower depths where we detected these 448 individuals has ambient pressure of as low as 3 atm. The barotrauma that is likely to be sustained 449 by a Snowy Grouper transitioning between these two depths is probably prohibitive of such movement being voluntary. Therefore, the depth of the Snowy Wreck may be beyond the 450 451 maximum depth for which groupers can survive the barotraumatic effects of capture, even if 452 released with a descender device. However, the possibly absolute mortality we observed at that 453 site may have partially resulted from a high density of predators in the area.

454 Throughout our study, we detected several acoustically tagged elasmobranchs inside our 455 receiver array; at the shelf break, we detected one Tiger Shark Galeocerdo cuvier and five White 456 Sharks Carcharodon carcharias over the five month period for which our receivers were 457 deployed. At the Snowy Wreck, receivers were in place for eighteen months, over which we 458 detected one tiger shark and eight white sharks. Total lengths of these predators ranged from 3.1 459 m to 4.2 m for Tiger Sharks (B. Frazier, pers comm) and 3.3 m to 4.3 m for White Sharks (G. 460 Skomal and M. Winton, pers comm). Sharks were detected in every month of the study in both 461 locations, supporting the idea that these species (or others) may have been responsible for the 462 predation of our tagged groupers. It is likely that descended groupers displayed abnormal 463 behavior immediately after release, perhaps during recovery from barotrauma (Collins 2014; 464 Runde and Buckel 2018). This behavior is possibly linked to an increased risk of predation, as 465 elasmobranch predators have been shown to preferentially feed on prey that are struggling or 466 displaying irregular behavior (Kritzler and Wood 1961; Dijkgraaf 1963; Bleckmann and 467 Hofmann 1999). It is conceivable that some of the groupers that died after release might have 468 survived if they were able to avoid predation during their recovery period. Some of the groupers 469 may have been deceased prior to ingestion by a predator though some may have been attacked 470 while alive. This is supported by detection data showing depth and acceleration movements 471 typical of a live grouper prior to switching to state 3 (e.g., Scamp 6). Furthermore, we assume 472 that tagging itself did not increase the risk of predation; if any tagged groupers died as a result of 473 tagging, our estimate of survival after recompression would be lower than when realized in the 474 fishery.

475 External tagging with acoustic transmitters has increased in popularity due to increased 476 detection ranges (Dance et al. 2016) and, for survival studies, the desire to separate the effects of 477 barotrauma with possible relief caused by tagging (Johnson et al. 2015). Attachment methods 478 have ranged from the dart tag style used here and by Runde and Buckel (2018), a method by 479 which the transmitter is glued to a t-bar tag (Yergey et al. 2012), procedures involving "cinch-480 up" tags used by Curtis et al. (2015), methods using suture material passed through the fish by 481 Bacheler et al. (2019), and attachment via an intramuscular stainless steel bolt by Bohaboy et al. 482 (2019). To our knowledge no attempts have been made to quantify tag loss *in situ* for any of 483 these methods, though some authors used tank holding studies to this end (e.g., Bacheler et al., 484 2019). Therefore, there is no resolution as to the best tag attachment procedure for such studies. 485 Our attempt to quantify tag loss by double tagging groupers was unsuccessful, as zero of four 486 double-tagged fish survived beyond day zero. This is perhaps because the injury caused by the 487 introduction of four darts was substantially greater than that caused by two darts. Alternatively, 488 the slightly longer surface interval required to tag a fish twice may have resulted in increased 489 mortality risk. It is also possible that these four animals would have experienced mortality if they 490 were tagged only once, and that we simply required a larger sample size to reach a conclusion. 491 As is done for conventional tagging, we recommend studies using external attachment of 492 acoustic transmitters make attempts to quantify tag loss *in situ*, particularly when fate assignment 493 is difficult due to the study animal or habitat. Double tagging with acoustic transmitters, though 494 costly, is likely a sufficient means to that end.

495

496 <u>Conclusions</u>

497 Survival studies often rely on subjectivity when assigning fates of tagged animals. Recent
498 advancements in transmitter technology have resulted in a greater variety of data available to
499 researchers, but methods for quantitative analysis thereof are lacking. We successfully employed

hidden Markov models as a means of increasing objectivity of fate assignment in our study.
Future researchers should consider HMMs when attempting to determine fates of animals tagged
with acoustic transmitters.

503 Our result that all surface-released groupers may have died corroborates the assumed 504 100% discard mortality for many of species in this group when untreated with a descender 505 device. When taken in context with our survival estimates of 0.46 and 0.61 at the shelf break, 506 this information is extremely valuable for reef fish managers. In addition, our result of perhaps 507 zero survival for groupers released in much deeper water suggests that the recent descender 508 device requirement in the South Atlantic region may not achieve the desired effect, even if 509 compliance is high. Given that descender devices may not be effective in very deep water and 510 that grouper survival in shelf break waters is still relatively low even when descended, it may be 511 necessary for managers to take additional measures (such as spatial closures) to protect imperiled 512 species from overfishing.

513

514 Acknowledgments

515 Funding for this work was provided by the NOAA Saltonstall-Kennedy Program

516 (#NA17NMF4270204). For assistance in the field, we thank P. Rudershausen, J. Styron, D.

517 Wells, K. Johns, D. Berrane, D. Britt, P. Dufour, E. Scheeler, E. Ebert, R. Gallagher, C. Mikles,

518 J. Fader, O. Mulvey-Mcferron, K. Erickson, and T. Burgess. We gratefully acknowledge J.

519 Locascio for the extended use of two receivers and N. Wegner for his thoughts on fate

520 assignment. We thank J. Cao for reviewing an early draft of this paper. Scholarship support for

521 B. Runde was provided by the Steven Berkeley Marine Conservation Fellowship, the Joseph E.

and Robin C. Hightower Graduate Student Award in Fisheries and Wildlife Sciences, and the
North Carolina Wildlife Federation. The scientific results and conclusions, as well as any views
and opinions expressed herein, are those of the authors and do not necessarily reflect those of
any government agency or institution. There is no conflict of interest declared in this article.

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- 687
- 688
- 689 Tables and Figures
- 690 Table 1. Information for individual groupers off North Carolina, USA. "Site" identifies whether
- the fish were tagged at the shelf break ("Shelf") or at the Snowy Wreck ("Wreck"). Tag names
- are comprised of the species and a unique identifying number. Tag names including "tag 1" or

693	"tag 2" identify individuals that were double-tagged. Fish were either released alive with a
694	descender device ("Descend"), descended after sacrifice ("Descend dead"), or released into a
695	bottomless surface enclosure where they either swam down ("Surface cage, swam") or floated
696	("Surface cage, floated"). "Survival, full" indicates that the fish was still alive at the end of the
697	study period. Fates were determined mainly by hidden Markov model (HMM); "Analysis 1 fate"
698	indicates the assigned fate when the HMM results were interpreted more strictly (i.e., lower
699	subjectivity). "Analysis 2 fate" indicates the assigned fate when we altered fates subjectively and
700	are only present in this table when they differed from those in Analysis 1. Days alive were used
701	as inputs for two Kaplan-Meier survivorship procedures.

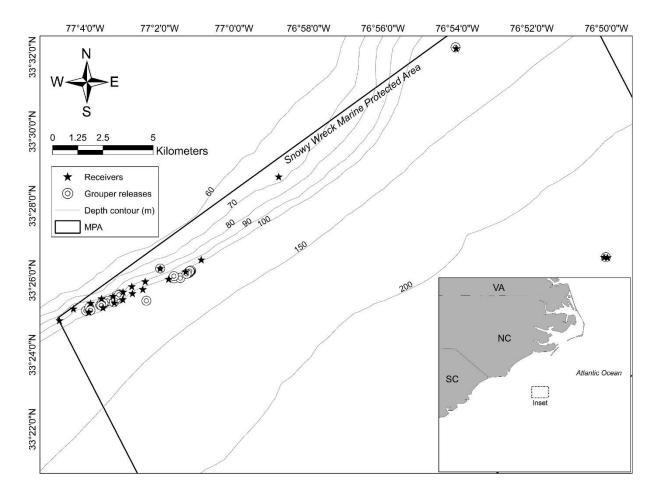
		Total length	Capture depth		Analysis 1	Days	Analysis 2	Days
Site	Tag name	(mm)	(m)	Release type	Fate	alive	Fate	alive
Shelf	Gag 1	1085	72	Descend	Mortality	0		
Shelf	Red Grouper 1	850	116	Descend	Survival, full	123		
Shelf	Scamp 1	675	85	Descend	Mortality	3		
Shelf	Scamp 2	630	85	Descend	Mortality	0		
Shelf	Scamp 3	680	85	Descend dead	-			
Shelf	Scamp 4	610	76	Descend	Survival, full	124		
Shelf	Scamp 5	510	82	Surface cage, swam	Mortality	0	Emigration	0
Shelf	Scamp 6	650	88	Descend	Mortality	4		
Shelf	Scamp 7	595	116	Descend	Mortality	0	Mortality	7
Shelf	Scamp 8	550	117	Descend	Mortality	0	Mortality	7
Shelf	Scamp 9	520	91	Descend	Survival, full	34		
Shelf	Scamp 10	490	66	Descend	Tag loss	6		
Shelf	Scamp 11	680	85	Surface cage, floated	Mortality	0		
Shelf	Snowy Grouper 1	555	119	Descend	Mortality	0	Emigration	0
Shelf	Snowy Grouper 2	410	119	Descend	Mortality	0		
Shelf	Snowy Grouper 3	415	91	Descend	Mortality	2		
Shelf	Snowy Grouper 4	430	79	Descend	Survival, tag loss	9		
Shelf	Snowy Grouper 5	390	118	Descend dead	-			
Shelf	Snowy Grouper 6	600	95	Descend	Survival, full	119		
Shelf	Snowy Grouper 7	470	115	Descend	Mortality	3		
Shelf	Snowy Grouper 8	560	120	Descend	Survival, full	63		
Shelf	Snowy Grouper 9	430	80	Descend	Mortality	1	Tag loss	16

Shelf	Snowy Grouper 10	420	119	Descend	Survival, full	63		
Shelf	Snowy Grouper 11	365	117	Descend dead	-			
Shelf	Snowy Grouper 12	385	117	Descend	Survival, full	63		
Shelf	Snowy Grouper 13	395	117	Descend	Survival, full	63		
Shelf	Snowy Grouper 14	365	117	Descend	Survival, full	63		
Shelf	Snowy Grouper 15	460	82	Descend	Survival, full	63		
Shelf	Snowy Grouper 16	410	91	Descend	Survival, full	63		
Shelf	Snowy Grouper 17	420	108	Descend	Mortality	0	Emigration	11
Shelf	Snowy Grouper 18	390	99	Descend	Survival, full	34		
Shelf	Snowy Grouper 19	590	116	Descend	Emigration	1		
Shelf	Snowy Grouper 20	855	113	Descend	Mortality	0	Emigration	11
Shelf	Snowy Grouper 21 tag 1	645	116	Descend	Mortality	0	Emigration	2
Shelf	Snowy Grouper 21 tag 2	645	116	Descend	Mortality	0	Emigration	2
Shelf	Snowy Grouper 22	710	116	Surface cage, swam	Mortality	0	Emigration	5
Shelf	Snowy Grouper 23 tag 1	870	116	Descend	Mortality	0	Emigration	4
Shelf	Snowy Grouper 23 tag 2	870	116	Descend	Mortality	0	Tag loss	0
Shelf	Snowy Grouper 24	450	113	Descend	Mortality	3		
Shelf	Snowy Grouper 25 tag 1	740	116	Descend	Mortality	0	Emigration	0
Shelf	Snowy Grouper 25 tag 2	740	116	Descend	Mortality	0	Emigration	0
Shelf	Snowy Grouper 26	440	119	Surface cage, floated	Mortality	0		
Shelf	Snowy Grouper 27	370	116	Surface cage, floated	Mortality	0		
Shelf	Snowy Grouper 28	725	116	Surface cage, floated	Mortality	0		
Shelf	Snowy Grouper 29	900	116	Surface cage, floated	Mortality	0		
Shelf	Snowy Grouper 30	655	116	Surface cage, floated	Mortality	0		
Shelf	Snowy Grouper 31	390	118	Surface cage, floated	Mortality	0		
Shelf	Speckled Hind 1	770	119	Descend	Mortality	0		
Shelf	Speckled Hind 2	645	117	Descend	Survival, full	63		
Shelf	Speckled Hind 3	540	90	Descend	Tag loss	34		
Shelf	Speckled Hind 4	570	116	Descend	Mortality	3		
Shelf	Yellowmouth Grouper 1 tag 1	730	87	Descend	Mortality	1		
Shelf	Yellowmouth Grouper 1 tag 2	730	87	Descend	Mortality	1		
Shelf	Yellowmouth Grouper 2	620	113	Descend	Mortality	0		
Shelf	Yellowmouth Grouper 3	595	113	Descend	Mortality	0		
Shelf	Yellowmouth Grouper 4	570	119	Descend	Survival, full	64		
Wreck	Snowy Grouper 1 wreck	800	244	Descend	Mortality	0	Emigration	6
Wreck	Snowy Grouper 2 wreck	920	244	Descend	Mortality	0	Emigration	0
Wreck	Snowy Grouper 3 wreck	850	244	Descend	Mortality	0	Emigration	1
Wreck	Snowy Grouper 4 wreck	800	244	Descend	Mortality	0	Emigration	9
Wreck	Snowy Grouper 5 wreck	1020	244	Descend	Mortality	0	Emigration	2

Table 2. Mean parameter estimates for the 10 bootstrapped hidden Markov models. Variances
are provided for each estimate parenthetically. The three data streams parameterized were
acceleration ("Acc"), depth relative to the depth of release ("RelDepth"), and standard deviation
of all depth values in each time bin ("DepthSD"). For each data stream, "SD" refers to the
standard deviation parameter. "Zmass" refers to the zero-mass parameter which was estimated
for Acc and DepthSD, as they are described by gamma distributions.

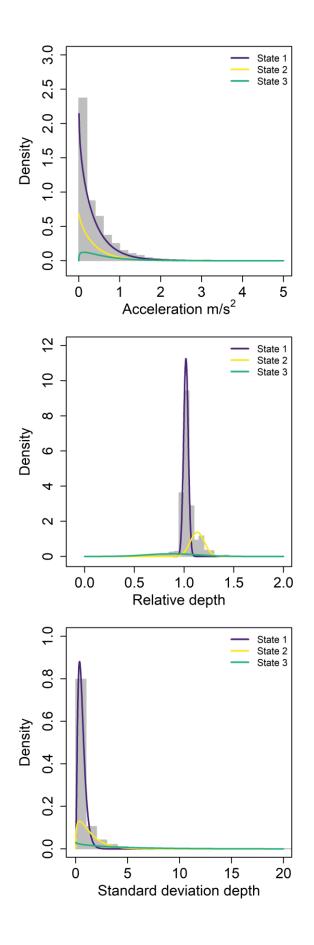


State 1		State 2	State 3		
Acc Mean	0.389 (1.77E-06)	0.388 (7.30E-06)	0.601 (8.00E-05)		
Acc SD	0.408 (3.01E-06)	0.395 (1.60E-05)	0.534 (1.06E-04)		
Acc Zmass	5.38 E-05 (2.36E-09)	9.09 E-09 (9.88E-18)	5.39 E-04 (5.74E-08)		
RelDepth Mean	1.012 (7.05E-09)	1.133 (3.26E-07)	0.880 (9.39E-06)		
RelDepth SD	0.023 (1.01E-08)	0.070 (4.85E-08)	0.252 (4.25E-06)		
DepthSD Mean	0.587 (1.61E-05)	1.383 (7.62E-05)	4.172 (9.20E-04)		
DepthSD SD	0.360 (2.44E-05)	1.187 (1.02E-04)	4.332 (1.60E-03)		
DepthSD Zmass	0.461 (1.00E-06)	0.266 (7.69E-07)	0.099 (1.80E-06)		

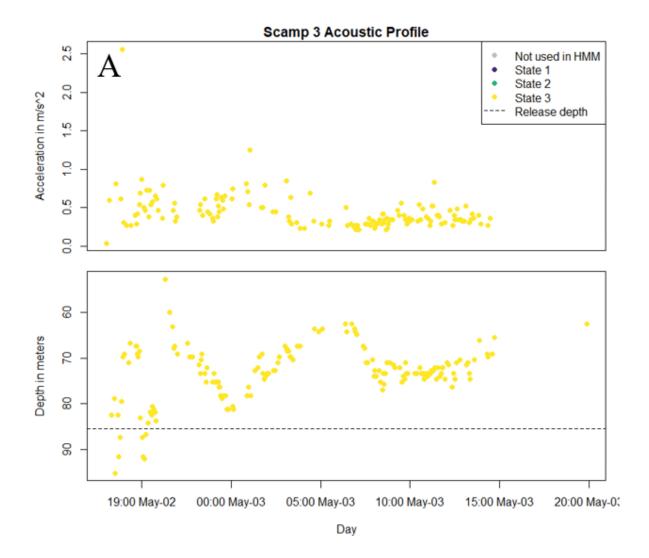


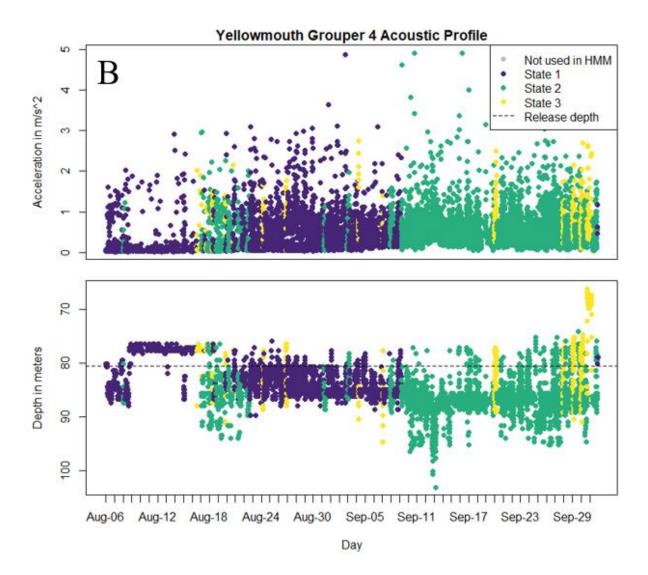
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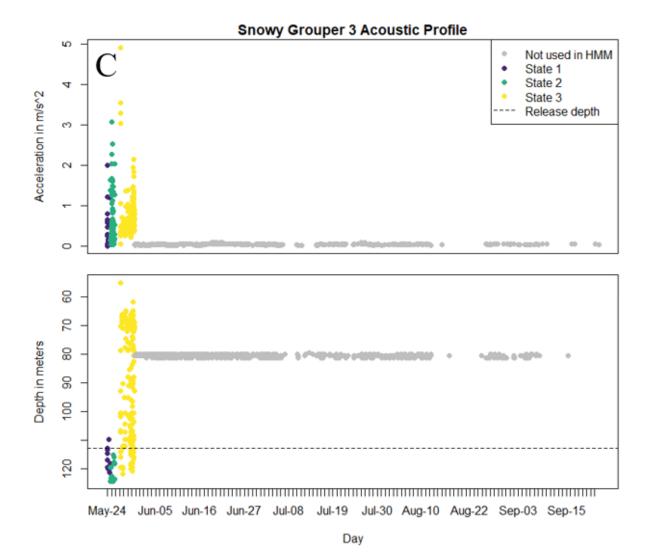
- Figure 1. Map showing the region of the Snowy Wreck Marine Protected Area (MPA) off the
- coast of North Carolina, USA. Grouper releases occurred at the shelf break along the
- northwestern edge of the MPA and at the Snowy Wreck near the eastern edge of the panel.

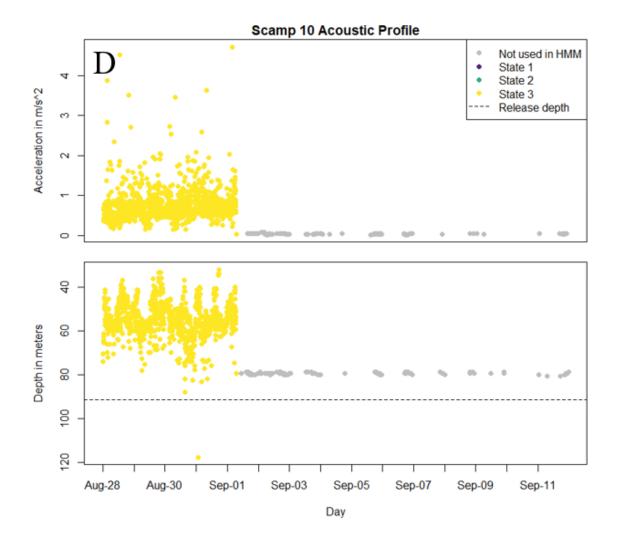


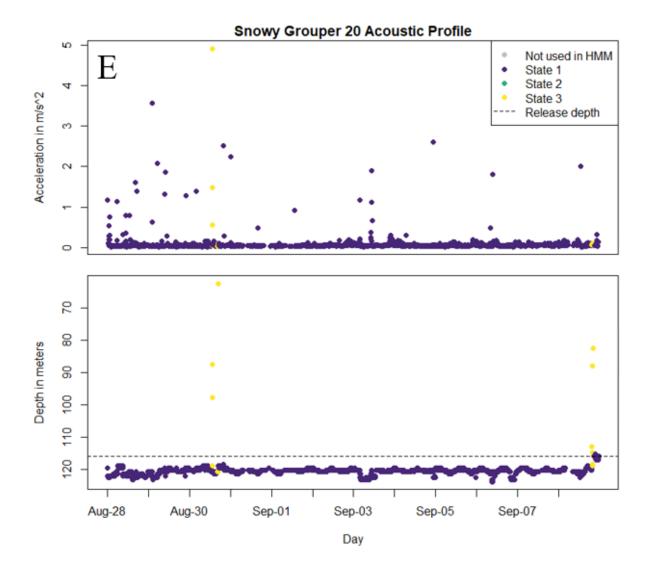
720 Figure 2. Distributions (lines) and histograms (gray bars) of acceleration (m/s^2) , relative depth, 721 and depth standard deviation data streams for hidden Markov model (HMM) developed for 722 telemetered six species of deepwater groupers off North Carolina, USA, in 2018. States 1 and 2 723 tended to represent live groupers while state 3 tended to define behavior or predators or 724 scavengers. Histograms were generated from combined observations from all 10 bootstrapped 725 HMM replicates and distributions are drawn from mean maximum likelihood estimates of the 10 726 replicates. Relative depth values are the depth of a given detection divided by the seafloor depth 727 where each fish was released, such that a value of 1.0 represents the animal being detected at the 728 exact depth of release. Standard deviation of depth is the standard deviation of all depth 729 observations within each 30-min time bin.

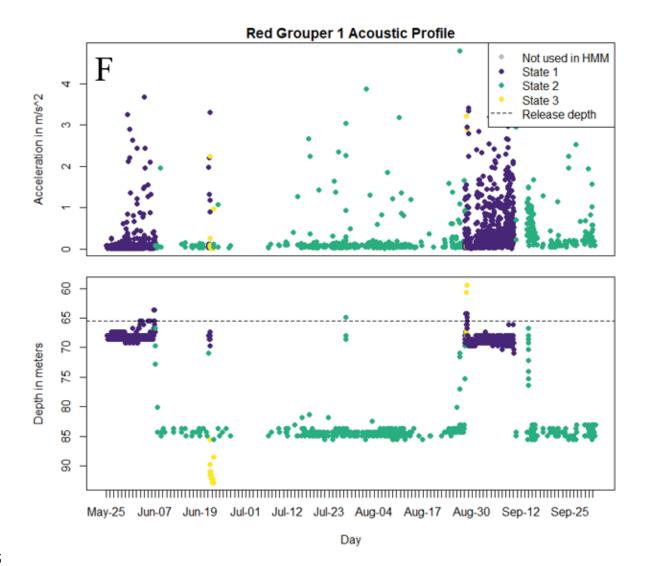




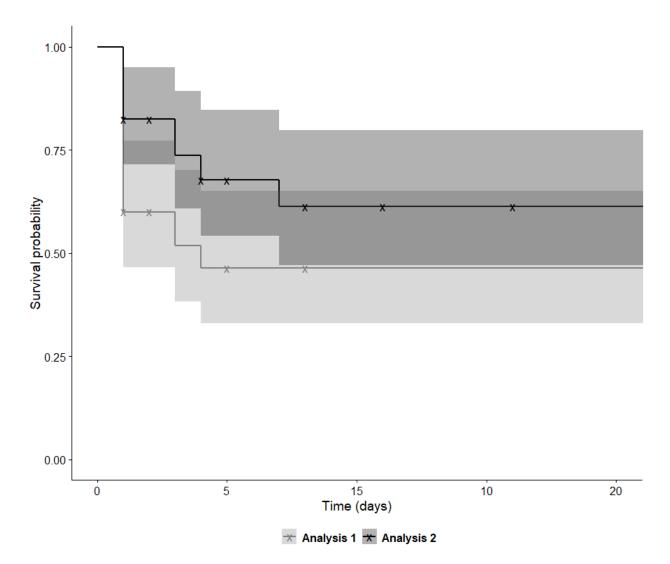








- Figure 3. Example acoustic profiles for five telemetry tags, with upper panels indicating
- acceleration (m/s^2) and lower panels indicating depth (m). Detections are indicated by dots,
- which are colorized by the state as determined by hidden Markov model. Variations in x-axis
- scale reflect the duration of detection for each individual. A) Scamp 3 was descended dead and
- all detections represent movements of the predator by which it was consumed. B) Yellowmouth
- Grouper 4 appeared alive for the duration of the study. C) Snowy Grouper 3 appeared to beconsumed and the tag expelled several days later. D) Scamp 10 was corrected from a mortality to
- a survival because data suggest its transmitter was loose. E) Snowy Grouper 20 was classified as
- a mortality on day zero because its profile suggests scavengers interacting with a grouper
- carcass. F) Red Grouper 1 is an example of a live fish that utilized a range of depths during thestudy period.
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753 Figure 4. Plot of the Kaplan-Meier survivorship curves for 40 deepwater groupers released via 754 descender device at the continental shelf break off North Carolina, USA, in 2018. Analysis 1 755 uses fates that were assigned more strictly with respect to hidden Markov model results. Analysis 756 2 incorporates more subjectivity. X symbols represent censorships of live groupers that either 757 were assumed to have lost their tag or emigrated from the array. We show only the first 20 d, as 758 zero mortalities, emigrations, or tag losses occurred after that point and prior to the end of the 759 study in either analysis. Shaded regions represent 95% confidence intervals around the mean 760 estimate (line). Time zero is the day of tagging and release.

761 Supplementary material

- Table S1. Percentage of time bins identified as being represented by different states between
- each pairing of 10 boostrapped hidden Markov models. The two models that agreed the least
- 764 (HMM 3 and HMM 4) differed by 1.04% (indicated in bold).

	HMM 1	HMM 2	HMM 3	HMM 4	HMM 5	HMM 6	HMM 7	HMM 8	HMM 9	HMM 10
HMM 1	0.0000	0.0077	0.0080	0.0082	0.0064	0.0086	0.0061	0.0080	0.0067	0.0087
HMM 2	-	0.0000	0.0090	0.0056	0.0076	0.0065	0.0064	0.0075	0.0077	0.0096
HMM 3	-	-	0.0000	0.0104	0.0075	0.0073	0.0076	0.0088	0.0083	0.0083
HMM 4	-	-	-	0.0000	0.0071	0.0075	0.0053	0.0070	0.0081	0.0095
HMM 5	-	-	-	-	0.0000	0.0064	0.0053	0.0082	0.0064	0.0077
HMM 6	-	-	-	-	-	0.0000	0.0081	0.0088	0.0081	0.0096
HMM 7	-	-	-	-	-	-	0.0000	0.0052	0.0073	0.0080
HMM 8	-	-	-	-	-	-	-	0.0000	0.0079	0.0069
HMM 9	-	-	-	-	-	-	-	-	0.0000	0.0082
HMM 10	-	-	-	-	-	-	-	-	-	0.0000
766										