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# Chinook salmon outmigration survival in wet and dry years in California's Sacramento River

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DRAFT

## 53 ABSTRACT

54 Outmigration survival of acoustic tagged hatchery-origin Sacramento River late-fall run  
55 Chinook salmon (*Oncorhynchus tshawytscha*) smolts was estimated for five years (2007-2011)  
56 using a receiver array spanning the entire outmigration corridor, from the upper river, through  
57 the estuary, and into the coastal ocean. The first four years of releases occurred during below-  
58 average river flows, while the fifth year (2011) occurred during above-average flows. In 2011,  
59 overall outmigration survival was two to five times higher than survival in the other four years.  
60 Regional survival estimates indicate that most of the improved survival seen in 2011 occurred in  
61 the riverine reaches of the outmigration corridor, while survival in the brackish portions of the  
62 estuary did not significantly differ among the five years. For the four low flow years combined,  
63 survival rate in the river was lower in the more anthropogenically-modified upper reaches;  
64 however, across all regions, survival rate was lowest in the brackish portion of the estuary. Even  
65 in the high flow year, outmigration survival was substantially lower than yearling Chinook  
66 salmon populations in other large rivers. Potential drivers of these patterns are discussed,  
67 including channelization, water flow, and predation. Finally, management strategies are  
68 suggested to best exploit survival advantages described in this study.

## 69 INTRODUCTION

70 Knowing where excessive mortality is occurring is crucial to designing effective  
71 conservation measures for salmon populations. Salmon utilize many different habitats during the  
72 different stages of their life cycle, but it is the degradation of freshwater or estuarine habitats that  
73 is commonly cited as the cause of population declines (Nehlsen et al. 1991). Of particular  
74 concern is the high mortality often experienced in these habitats during one of the most

75 vulnerable stages in the salmon life cycle: the downstream migration of juveniles ('smolts')  
76 heading to the ocean from their riverine birthplace (Healey 1991).

77         There has been extensive research on juvenile salmonid smolt survival in large rivers of  
78 the west coast of North America, most notably in the Columbia and Fraser Rivers (McMichael et  
79 al. 2010; Muir et al. 2001; Rechisky et al. 2013; Skalski et al. 1998; Welch et al. 2009; Welch et  
80 al. 2008). These studies have indicated that outmigration survival can vary widely from year to  
81 year and population to population, and further research in these rivers has shown that survival  
82 rates often correlate with environmental variables such as flow, turbidity and temperature (Giorgi  
83 et al. 1997; Gregory and Levings 1998; Smith et al. 2003). This information has proved crucial  
84 for improving salmon survival in the Columbia River, through improvements in fish passage  
85 structures and changes in dam operations (Connor et al. 2003).

86         California's Sacramento River, in contrast, is critically lacking in smolt outmigration  
87 survival information. The Sacramento River, compared to the Columbia and Fraser Rivers, has  
88 an order of magnitude lower discharge, exists in a warm and dry Mediterranean climate, and yet  
89 is the primary source of water to the state's industrial, domestic and agricultural sectors. The  
90 Sacramento River and its estuary are currently the objects of intense conservation concern due to  
91 the poor status of some of its salmon and steelhead populations (among other native species) and  
92 habitats. In spite of these problems, the Sacramento River is still an important contributor to west  
93 coast Chinook salmon (*Oncorhynchus tshawytscha*) fisheries, largely due to extensive hatchery  
94 propagation efforts (O'Farrell et al. 2013). Several very large water and habitat management  
95 projects are under consideration that are expected by their proponents to contribute to the  
96 restoration of Chinook salmon populations, yet survival rates across the life cycle of these

97 populations are poorly known. Several coded-wire and acoustic tagging studies have assessed  
98 Chinook salmon smolt survival in the Sacramento-San Joaquin Delta (the freshwater portion of  
99 the estuary), which is the hub of water infrastructure for the majority of southern California and a  
100 location where anthropogenic modifications are extensive and salmonid losses are great (Baker  
101 and Morhardt 2001; Brandes and McLain 2001; Perry et al. 2010). However, no study has  
102 assessed smolt survival through the entirety of the outmigration corridor, from the upper limit of  
103 anadromy to the Pacific Ocean.

104 In this study, we quantify the spatial and temporal patterns of hatchery late-fall run  
105 Chinook salmon smolt survival in the Sacramento River system. Utilizing an extensive network  
106 of acoustic receivers, we estimated survival through the river and estuary over 5 years at a fine-  
107 scale spatial resolution previously not possible. This resolution allowed us to discern regional  
108 and temporal differences in survival that cannot be obtained using traditional tagging methods.

## 109 **METHODS**

### 110 **Study area**

111 The Sacramento River is the longest and largest (measured by flow discharge) river that  
112 is fully contained within the state of California, and is the third largest river that flows into the  
113 Pacific Ocean in the contiguous United States (Fig. 1). The headwaters are located just south of  
114 Mount Shasta in the lower Cascade Range and the river enters the ocean through the San  
115 Francisco Estuary at the Golden Gate. The total catchment area spans approximately 70,000 km<sup>2</sup>.  
116 The Sacramento River and its tributaries have been heavily dammed and otherwise impacted by  
117 human activities; it is estimated that 47% of the historic spawning, migration and/or rearing area  
118 is no longer accessible to Chinook salmon (Yoshiyama et al. 2001).

119 The Sacramento River watershed includes diverse habitats, from relatively pristine run-  
120 riffle reaches in the north, to a heavily channelized and impacted waterway further south, and  
121 finally to the San Francisco Estuary, the largest and most modified estuary on the west coast of  
122 North America (Nichols et al. 1986). The San Francisco Estuary is comprised of an expansive  
123 tidally-influenced freshwater delta upstream of its confluence with the San Joaquin River and a  
124 series of increasingly saline bays. The sheer size and physical differences between these two  
125 sections of the estuary merit separate consideration with respects to their influence on salmon  
126 survival, therefore, we use the terms “delta” and “bays” to differentiate between the two.

127 The annual mean daily discharge for the Sacramento River from 1956 to 2008 was 668  
128  $\text{m}^3\text{s}^{-1}$  (Interagency Ecological Program, 2004). However, this water does not continue  
129 downstream unimpeded; due to one of the world’s largest water storage and water transportation  
130 infrastructures, replete with abundant dams, reservoirs, diversions and aqueducts, it is estimated  
131 that current discharge of the Sacramento and San Joaquin Rivers combined is less than 40% of  
132 the pre-development discharge (Nichols et al. 1986). The damming and water diversions of the  
133 Sacramento River and its tributaries have also homogenized river flows throughout the year,  
134 reducing winter high flows and flooding while increasing flows in the summer and fall (Buer et  
135 al. 1989).

136 The study area included approximately 92% of the current outmigration corridor of late-  
137 fall run Chinook salmon, from release to ocean entry. Specifically, the study area’s furthest  
138 upstream release site at Jelly’s Ferry (518 km upstream from the Golden Gate Bridge) is only 47  
139 km downstream from Keswick Dam, the first impassable barrier to adult salmon returning to  
140 spawn on the Sacramento River.



**141 Central Valley late-fall run Chinook salmon**

142 The late-fall run is one of the four Chinook salmon runs occurring in the Sacramento  
143 River drainage, and is the only run to exhibit a predominately yearling migrant life history  
144 (Moyle 2002). Following emergence from the gravel, wild late-fall run juveniles exhibit a river  
145 residency of 7 to 13 months, after which smolts (juvenile salmon that are actively migrating to  
146 the ocean) will migrate to the ocean between the months of October and May at a fork length of  
147 90 to 170 mm (Fisher 1994; Snider and Titus 2000a, b). In contrast, the subyearling life history  
148 demonstrated by a 4 to 7 months freshwater residency is the more common life history strategy  
149 used by the other salmon populations in the Sacramento River. Moyle et al. (1995) outlined six  
150 major threats to the late-fall run Chinook salmon population, one of which was mortality during  
151 outmigration, potentially due to water diversions and increased predation in bank-altered areas.  
152 In 2004, the fall/late-fall run Chinook salmon Evolutionarily Significant Unit (ESU) was  
153 designated a “species of concern” by the United States Endangered Species Act.

154 The United States Fish and Wildlife Service’s (USFWS) Coleman National Fish  
155 Hatchery (Anderson, CA) is the only hatchery to produce late-fall run Chinook salmon, releasing  
156 approximately one million smolts a year between mid-December and mid-January. Annual  
157 escapement for this population can vary from just several hundred to 42,000; the average annual  
158 escapement from the winter of 1973/1974 to the winter of 2007/2008 is 12,386 individuals (Azat  
159 2015). Little information exists regarding what proportion of the late-fall run adult population is  
160 of hatchery origin versus wild origin. Palmer-Zwahlen and Kormos (2013) estimated that in  
161 2011, 100% of late-fall run adults returning to Coleman National Fish Hatchery were hatchery

162 fish while 44% of late-fall adults recovered during carcass surveys on the Sacramento River were  
163 hatchery origin.

#### 164 **Fish Tagging and Releases**

165 For five consecutive winters, from January 2007 to December 2010/January 2011  
166 (henceforth referred to as 2007, 2008, 2009, 2010 and 2011 seasons, based on the year during  
167 which January tagging occurred), 200 to 304 late-fall run Chinook salmon smolts from Coleman  
168 National Fish Hatchery were implanted with acoustic tags and released into the Sacramento  
169 River. Release times were scheduled to be within a few days of the release times of the general  
170 production of hatchery fish. Only smolts 140 mm or larger were tagged to keep the tag weight to  
171 less than 6% of the fish weight. Therefore, tagged smolts were representative of the larger  
172 hatchery individuals; specifically, from 2007 to 2011, smolts at or above the 140 mm cutoff  
173 represented 23.5%, 38.4%, 50.2%, 29.6, and 50.9% of the total hatchery production. In the rare  
174 instance that a smolt had severe descaling, fin erosion, or other obvious injuries, the smolt was  
175 discarded and not tagged.

176 Acoustic tags were surgically implanted into the peritoneal cavity of anesthetized fish.  
177 The tag was inserted through a 12 mm incision anterior to the pelvic girdle and 3 mm to the side  
178 of the *linea alba*. The incision was then closed with two simple interrupted stitches tied with  
179 square knots of non-absorbable nylon cable-type suture. All fish were allowed to recover for a  
180 minimum of 24 hours before release. Additional surgery details can be found in Ammann et al.  
181 (2013). In study years 2008 and 2009, an additional group of smolts from the same hatchery  
182 were tagged with dummy acoustic transmitters to monitor tag effects and tag retention in  
183 laboratory trials. No fish shed their tags over 221 and 160 days (the entire length of the trial in

184 both years respectively) and tagged fish growth and survival was not significantly different than  
185 untagged fish (Ammann et al. 2013). Since fish in the field and captive studies had similar tag  
186 burdens (1.6 to 6.3% for field study, 2.6 to 5.6% for captive study), we assumed that mortality in  
187 the field study was not tag related.

188 In the first year (2007), a total of 200 fish were released in small batches (13-14 fish  
189 each) every weekday afternoon for the third, fourth and fifth weeks of January 2007 at the  
190 Coleman National Fish Hatchery into Battle Creek (river km 534 - "rkm" is distance from  
191 ocean), a tributary to the Sacramento River (Table 1). In the following four years, fish were  
192 released in two groups. In 2008-2010 a total of approximately 300 fish was released: ~50 fish  
193 were simultaneously released at dusk at three release sites in the upper 150 km of the mainstem  
194 Sacramento River (rkm 518, 412, 363) in mid-December and early January allowing the lower  
195 release groups to reach the lower river and estuary in larger numbers, which improved statistical  
196 precision of the survival estimation. In 2011, 240 fish were released: 120 fish were released in  
197 mid-December and early January at dusk at Jelly's Ferry (rkm 518), a site on the mainstem  
198 Sacramento River, only 7.3 kilometers downstream of the confluence with Battle Creek. Fish  
199 were transported to the release sites by truck at low densities ( $\sim 10 \text{ g}\cdot\text{l}^{-1}$ ) in coolers with aerators.  
200 In years with multiple release sites, transport times were extended for closer sites to keep  
201 potential transport stress equal among all release groups.

## 202 **Acoustic Telemetry**

203 Acoustic tagging technology was used to acquire high-resolution movement data and  
204 survival estimates. Uniquely coded Vemco 69 kHz V7-2L acoustic tags ( $1.58\text{g} \pm 0.03 \text{ S.D.}$  in air,  
205 7mm diameter by 20mm long; Amirix Systems, Inc., Halifax, Nova Scotia, Canada) and Vemco

206 VR2/VR2W receivers were used to tag and track fish. The tags transmitted every 30 to 90  
207 seconds (with a mean of 60 seconds) in the first year of the study, then transmitted every 15 to 60  
208 seconds (with a mean of 45 seconds) in the following four years. Battery life tests were  
209 conducted in 2007, 2010, and 2011 with a subset of tags from the same batch used for tagging  
210 smolts. In 2007, tag life of 11 test tags ranged from 138 to 749 days with a mean of 513; in 2010,  
211 tag life of 20 test tags ranged from 127 to 297 days with a mean of 194; in 2011, tag life of 25  
212 test tags ranged from 98 to 214 days, with a mean of 172. For the purposes of verifying that tag  
213 life was sufficient to last the entire migration of all smolts, the time elapsed from release to last  
214 known detection was calculated for each smolt for all five years of the study. Last known  
215 detection for smolts was either last known detection before disappearance, or time of arrival to  
216 the Golden Gate receiver location (considered the end of the outmigration in this study). The  
217 longest outmigrating individual per year took 32, 89, 67, 97, and 79 days respectively for the  
218 years 2007-2011, with 99.2% of smolts successfully outmigrating or disappearing within the first  
219 60 days after release. Therefore, we believe the battery life for our tags were sufficient to last the  
220 entire outmigration period of our tagged smolts.

221 The receiver array spanned 550 km of the Sacramento River watershed from below  
222 Keswick Dam to the entrance to the ocean (Golden Gate) and beyond to Point Reyes. This  
223 network of approximately 300 receivers at 210 receiver locations was maintained by the  
224 California Fish Tracking Consortium (<http://californiafishtracking.ucdavis.edu>), a group of  
225 academic, federal and state institutions, and private consulting firms. We selected a subset of  
226 these receiver locations for the final survival analyses, as per the selection criteria described in  
227 the Data Analysis section of the methods.

228 The acoustic receivers automatically process all detection data and drop most false  
229 detections or incomplete codes from the detection file. All detections were then subject to  
230 standardized quality control procedures to remove any remaining false detections (see Michel et  
231 al. (2013)).

## 232 **Data Analysis**

### 233 *Survival in each reach*

234 Juvenile Chinook salmon express obligate anadromy, meaning that they will travel  
235 toward the ocean once the emigration has begun with scarce exceptions (Healey 1991).  
236 Therefore, in a linear system such as the Sacramento River, if receiver locations were capable of  
237 detecting every passing tag, then if a fish is detected at one receiver location but is never detected  
238 thereafter, we could assume that the fish has died somewhere in the reach between the receiver  
239 location where it was last detected and the next downstream receiver location.

240 However, receiver locations rarely operate perfectly, necessitating the estimation of  
241 detection and survival probabilities at each receiver location. We used the Cormack-Jolly-Seber  
242 (CJS) model for live recaptures (Cormack 1964; Jolly 1965; Seber 1965) within Program MARK  
243 (White and Burnham 1999) using the RMark package (Laake and Rexstad) within program R (v.  
244 3.0.1; R Development Core Team 2013). The CJS model was originally conceived to calculate  
245 survival of tagged animals over time, by re-sampling (recapturing) individuals and estimating  
246 survival and recapture probabilities using maximum likelihood. For species that express an  
247 obligate migratory behavior, a spatial form of the CJS model can be used, in which recaptures  
248 (i.e., tagged fish detected acoustically downstream from release) occur along a migratory  
249 corridor (Burnham 1987). The model determines if fish not detected at certain receivers were

250 ever detected at any receiver downstream of that specific receiver, thus enabling calculation of  
251 maximum-likelihood estimates for detection probability of all receiver locations ( $p$ ), survival  
252 ( $\Phi$ ), and 95% confidence intervals for both (Lebreton et al. 1992).

253 An initial run of the model with all possible river receiver locations together with the  
254 major estuary receiver locations was performed for each individual year separately, after which a  
255 subset of the river receiver locations that had consistently high tag detection probabilities  
256 through the years and that were strategically located were chosen to delimit the river reaches that  
257 were used in the spatial survival analysis. Additionally, because survival between the Battle  
258 Creek release site and Jelly's Ferry receiver location was only estimated in 2007, and because  
259 Jelly's Ferry was the furthest upstream release site for all following years, only fish known to  
260 have reached the Jelly's Ferry receiver location in 2007 were included in all survival analyses,  
261 and Jelly's Ferry was considered to be their release location. In total, 145 of the 200 smolts  
262 released in 2007 were known to have reached the Jelly's Ferry release location and were  
263 included in survival analyses. A total of 19 receiver locations were chosen, extending from just  
264 below the most upstream release site, Jelly's Ferry, to the Golden Gate (Fig. 1; Table 2).  
265 Between them, we delineated 17 reaches in which mortality can be accurately estimated (the  
266 detection probability and survival of the 18<sup>th</sup> and last reach can only be estimated jointly as there  
267 is no detection information beyond this point in which to assess the final receiver location).

268 Parallel receiver lines were installed at the Golden Gate approximately 1 km apart in  
269 order to estimate detection probability and survival at the inner (East) Golden Gate receiver line  
270 by using the western line to assess performance of the eastern line. After the 2008 outmigration  
271 season, a coastal ocean receiver line was deployed across the continental shelf at Point Reyes,

272 approximately 60 km north of the Golden Gate. Detections from this receiver line were included  
273 in the encounter history for the Golden Gate West line to improve accuracy in the estimation of  
274 survival and detection probability to the Golden Gate East line. However, because the Point  
275 Reyes receiver location did not exist in the 2007 or 2008 season, and few fish were detected  
276 there in subsequent years, it was not formally included as a receiver location in the survival  
277 analyses.

### 278 ***Survival per 10 km, regional survival and overall survival***

279 For each year, we used the 18 receiver locations to estimate reach survival (“ $\phi_R$ ”) for 17  
280 reaches, using the fully time-varying CJS model, which in this case actually varies over space,  
281 specifically each reach has a parameter (“reach model”). Detection probabilities were also  
282 allowed to vary by reach. These survival estimates were then standardized by reach lengths  
283  $l$  (giving survival per 10 km, “ $\phi_{10}$ ”) to allow inter-reach survival comparisons. This was done by  
284 setting the time intervals (in reality, space intervals for this application) in the `process.data()`  
285 function of RMark package to a vector of reach lengths (in units of 10 km). The per 10 km  
286 survival estimates are calculated by RMark according to this formula (Eqn 1):

$$(1) \quad \phi_{10} = \sqrt[l]{\phi_R}$$

287 To account for the propagation of error, standard errors for  $n$ th root parameter estimates were  
288 calculated by the RMark package using the delta method (Powell 2007; Seber 1982).

289 Regional (river, delta, and bays) and overall (from the release site to the Golden Gate)  
290 survival was then assessed for each year. We did this by taking the product of the reach survival  
291 estimates that fall inside the spatial extent of interest, and we present this as percent survival. To  
292 account for the propagation of error, standard errors of the cumulative products of survival

293 estimates were also calculated using the RMark package, using the `deltamethod.special()`  
294 function. When using the delta method for estimating the variance of the product of survival  
295 estimates, the variance-covariance matrix for the survival estimates must be included in the  
296 estimation. Confidence intervals for the product of survival estimates must be calculated on the  
297 logit scale, then back-transformed to the real probability scale. Therefore, to estimate 95%  
298 confidence intervals, we used our product of survival estimates ( $\hat{\Phi}$ ) along with its respective  
299 standard error of the beta estimate ( $\widehat{SE}_{logit}(\hat{\Phi})$ ) by using the formula (Eqn 2):

$$300 \quad (2) \quad \text{expit}[\text{logit}(\hat{\Phi}) \pm 1.96 \times \widehat{SE}_{logit}(\hat{\Phi})]$$

301 The influences of different spatial and temporal factors on survival rates were assessed by  
302 modeling  $\Phi_R$  as a function of the factor in question. Specifically, the influence of these factors  
303 was assessed by allowing each release group (e.g., five groups for the release year model: 2007,  
304 2008, 2009, 2010 and 2011) within each model to have its own set of survival parameters. Each  
305 factor-specific survival model was compared to one another and to a base model (a model with  
306 no factor-specific parameters) using Akaike's Information Criterion corrected for small sample  
307 sizes (AICc). Goodness-of-fit was assessed by estimating the  $\hat{c}$  variance inflator factor of the  
308 base model. For this we used two different methods, and adopted the more conservative estimate.  
309 Firstly, we simulated  $\hat{c}$  and deviance from 100 simulations using the bootstrap procedure. Then,  
310 we estimated  $\hat{c}$  in two ways, first by dividing the deviance estimate from the original data by the  
311 mean of simulated deviances, giving a  $\hat{c}$  of 1.309, then by dividing the  $\hat{c}$  from the original data  
312 by the mean  $\hat{c}$  from the bootstraps, giving a  $\hat{c}$  of 1.494. We therefore adopted the more  
313 conservative  $\hat{c}$  of 1.494 and used it to adjust all AIC values for overdispersion (hereafter called  
314 QAICc). As a rule of thumb, if a test model lowered QAICc relative to the base model by a



315 difference of more than seven, the test model was deemed substantially more parsimonious, and  
316 therefore supported over the base model.

317 The effects of reach (n=17), release year (n=5), release site (n=3), and all interactions of  
318 those factors were tested (Table 3 for models). This was done by comparing the QAICc score of  
319 each model to the QAICc score of a version of the “reach model” that combines data from all  
320 five years, which henceforth will be considering the “base model”. We used the reach model as  
321 our base model under the assumption that survival must vary through space given the spatial  
322 heterogeneity of the study system. To test this assumption, a “null model” was also included for  
323 comparison. This model only allowed one parameter for survival (representing the null  
324 hypothesis: constant survival through space and time). An initial run of several models that  
325 allowed for different parameterization of the detection probability terms, while keeping the  
326 survival terms the same, indicated that the model allowing for detection probability to vary by  
327 reach and year was the best supported. Therefore, all survival models presented in Table 3 allow  
328 detection probability to vary by reach and year [ $p(\text{reach}*\text{year})$ ].

329 In order to better understand whether annual fluctuations in survival occurred on a  
330 regional scale, we also included three models that allowed survival to vary per reach and per year  
331 (reach\*year) in only the river, the delta (the delta being the freshwater portion of the estuary) or  
332 the bays (Suisun, San Pablo and San Francisco Bays, i.e. the brackish portion of the estuary).  
333 These models allowed survival to vary by reach in the remaining regions, and are therefore also  
334 comparable with the base model.

335 Finally, the influence of individual covariates (fork length (mm) and weight (g)) on  
336 survival was assessed. The model selected *a priori* to include these covariates was the base

337 model. The individual covariates were added both as an additive factor (different intercept per  
338 reach, but common slope), and as factor including the interaction term (different intercept and  
339 different slope). These models were then compared using QAICc to the base model without any  
340 individual covariates to determine whether fish size and weight affects survival.

341 For the purpose of considering migration rate as a potential driver for survival rates,  
342 mean successful migration movement rate (km/day MSMMR; (Michel et al. 2013)) was  
343 calculated per year. Migration movement rate from release site to the West Golden Gate receiver  
344 line (i.e., entry to the Pacific Ocean) was calculated for every fish that was detected (i.e.,  
345 successfully reached the ocean) at either of the Golden Gate receiver lines. These values were  
346 then averaged per year and compared to the overall survival for that year in Table 4.

## 347 **RESULTS**

348 Overall survival of late-fall run Chinook through the entire migration corridor (rkm 518  
349 to rkm 2) per year ranged from 2.8 to 15.7%, with 2011 having the highest survival (Table 4).  
350 The MSMMR values indicate that the first four years of the study had relatively similar  
351 migration rates, ranging from 17.5 to 23.5 kilometers per day, whereas 2011 had a faster  
352 migration rate of 36 kilometers per day.

353 Survival rate on a reach-by-reach basis was quite variable. During the first four years of  
354 the study, the upper river reaches (reaches 1 through 8; rkm 518 to 325) had some of the lowest  
355 survival per 10 km and the lower reaches of the river (reaches 9-12; rkm 325-169) had the  
356 highest. The delta was comparable to the upper river, and the San Francisco and Suisun Bays  
357 (reaches 13-17; rkm 169-2) had the lowest survival rates (Fig. 2). During these same four years,  
358 detection probabilities per year and per receiver location throughout the watershed ranged from

359 4% to 100%, with 90% of all detection probabilities being larger than 50%. In the fifth year,  
360 river flows at the time of release were much higher than in the previous four years (Fig. 3), and  
361 as a result detection rates were much lower in the river, with only three of the twelve river  
362 receiver locations having a detection probability higher than 1%. Therefore 2011 reach-specific  
363 survival in the river was not estimable.

364 Region-specific survival estimates were calculated using the product of all reach-specific  
365 survival estimates within the region of interest (Fig. 4; Table 4). Although reach specific survival  
366 parameters could not be estimated for the river region in 2011, detection probability improved  
367 downstream as water velocity decreased, allowing the estimation of reach specific and region  
368 specific survival estimates downstream of the river region. To estimate river region survival in  
369 2011, and to further investigate differences in survival between 2011 and the previous years, the  
370 detection data was simplified for a post-hoc CJS modeling exercise that would allow the  
371 inclusion of 2011. We simplified the detection data by only including detections from four  
372 receiver locations separating the major watershed regions: Freeport at the downstream end of the  
373 river region, Chipps Island at the downstream end of the delta region, and the two parallel  
374 Golden Gate receiver lines at the downstream end of the bays region. Additionally, only fish  
375 released at the Jelly's Ferry site were included for all years since the other release locations did  
376 not have associated receiver locations. A preliminary model that allowed survival and detection  
377 probability to vary by region and by year (region\*year) allowed us to estimate survival in the  
378 river region in 2011 (Fig. 4; Table 4). This estimate revealed that survival in the river in 2011  
379 was much higher than in all previous years, while survival in the delta and bays was similar  
380 among all five years. We also constructed a set of similar models where one year was given its

381 own set of region specific survival parameters, while the remaining four years shared the same  
382 region specific survival parameters. These models allowed detection probability to vary by  
383 region and by year. Five models were constructed, each one allowing a different year to have its  
384 own survival parameters. The model allowing 2011 to have its own region-specific survival  
385 parameters while the other four years shared the same region-specific parameters was  
386 substantially better supported ( $\Delta\text{QAICc} > 7$ ) than all the other models of the same type, as well as  
387 the preliminary model (permitting all years to have different region-specific survival  
388 parameters).

389 In the analysis of the effect of different spatial and temporal factors on survival, 2011  
390 data was omitted due to the lack of detection data available in the river portions of the watershed.  
391 The influence of reach on survival rates (base model) was found to have substantially better  
392 support ( $\Delta\text{QAICc} \gg 7$ ) than the null model (constant survival through space and time; Table 3).  
393 The reach models that included release site or year (“Reach\*release” and “Reach\*year”,  
394 respectively), as well as the interaction model (“Reach\*year\*release”), did not improve their  
395 support over the base model. The year model was better supported than the release model. The  
396 only model that had substantially better support than the base model was the model that allowed  
397 for river survival to have a year effect, while delta and bays survival was held constant through  
398 time. (“(River survival\*year)\*reach”). The model allowing only the delta reach to have a year  
399 effect (“(Delta survival\*year)\*reach”) was marginally better supported than the base model  
400 ( $\Delta\text{QAICc} < 2$ ).

401 Tagged fish weight and fork length varied significantly among years ( $P < 0.001$ ), and  
402 pairwise hypothesis testing using Bonferroni and Tukey’s honestly significant difference tests

403 both indicate that fish sizes were statistically different among all years (with the exception of the  
404 2009/2010 pair) (Table 1). However, the addition of individual covariates (weight, length) as  
405 factors to the base model did not improve parsimony in any circumstance, although the length  
406 model did fit the data better than the weight model. A model adding length as an additive factor  
407 had more support than the other covariate models, and had approximately equal support with the  
408 base model ( $\Delta\text{QAICc} < 0.1$ ; Table 3). Therefore the significant differences in weight and fork  
409 length among years did not appear to affect survival.

## 410 **DISCUSSION**

411 This study used high resolution fish tracking and environmental data to provide the first  
412 reach-specific survival estimates of Chinook salmon smolts in the Sacramento River over the  
413 entire migration corridor. Survival was relatively high in the lower river compared to other areas,  
414 a somewhat unexpected finding given that this reach is channelized and rip-rapped. Also, and in  
415 contrast with the commonly-held belief that mortality during the Central Valley smolt  
416 outmigration is greatest in the delta (Williams 2006), we observed relatively high mortality in the  
417 upper river and especially in the bays downstream of the delta. We found that survival over the  
418 entire migration route was much lower in four low-discharge years (2.8 – 5.9%) than in one  
419 high-discharge year (15.9%; Fig. 3); higher survival in the high-discharge year was due mainly  
420 to increased survival in the river region. This suggests that riverine survival dynamics may be  
421 playing an underappreciated role in determining annual salmon stock abundance, as shown with  
422 Cheakamus River steelhead stock in British Columbia (Melnychuk et al. 2014).

423 One potential reason why the lower Sacramento River had higher survival than expected  
424 may be due to channelization. Levees, riprap, and channelization have been considered

425 detrimental for salmon populations due to their degradation of spawning grounds (reduced input  
426 of gravel), the paucity of prey to feed upon, and an absence of cover that results in a greater  
427 frequency of predation on juveniles (Buer et al. 1989; Chapman and Knudsen 1980; Garland et  
428 al. 2002; Schmetterling et al. 2001)). However, Michel (2010) found a strong positive correlation  
429 between channelized reaches and smolt survival. Given limited rearing potential, smolts likely  
430 migrate through channelized reaches, reducing the period of exposure to sources of mortality.  
431 The majority of potential predator species in the watershed are typically found associated with  
432 submerged structure and vegetation, which in the lower Sacramento River are mostly limited to  
433 the riprapped littoral zone. A smolt travelling downstream in the lower Sacramento River only  
434 needs to avoid the channel margins to minimize exposure to predators. Outmigrating Chinook  
435 salmon smolts in the Sacramento River travel disproportionately more in the center of the channel  
436 (Sandstrom et al. 2013). Similarly, smolt survival was higher in deep impoundments compared to  
437 shallower undammed reaches of the Columbia River (Welch et al. 2008).

438 Previous studies of salmon survival in the Sacramento River and estuary, based primarily  
439 on coded-wire tags, suggested significantly lower mortality in the bays, but higher mortality in  
440 the river. Brandes and McLain (2001) found survival of sub-yearling fall-run Chinook salmon  
441 smolts from Port Chicago to the Golden Gate (roughly equal to our bays region) during the 1984-  
442 1986 years to vary between 76% and 84%, compared to a range of 26% to 43% in this study.  
443 California Department of Fish and Wildlife monitored survival rates of late-fall Chinook salmon  
444 from Battle Creek to rkm 239 (within the river region) during the 1996-2000 years using coded-  
445 wire tag recoveries at rotary screw traps. They estimated survival rates to vary between 1.1% and  
446 2.7% (Snider and Titus 1998, 2000a, b, c; Vincik et al. 2006), compared to a range of 15.5% to

447 63.2% over a longer distance in this study. Reasons for these discrepancies could lie in the  
448 conditions during the years compared, or could have to do with the difference in sampling  
449 protocol and survival estimation.

450 Overall survival of outmigrating late-fall run Chinook salmon smolts in the Sacramento  
451 River is low in comparison to the Columbia and Fraser rivers, in spite of those rivers having  
452 substantially longer migration corridors. Welch et al. (2008) found that yearling Chinook salmon  
453 smolts from the Snake River (a tributary to the Columbia River) had an overall survival of 27.5%  
454 ( $\pm 6.9\%$  S.E.) to the ocean over a distance of 910 km in 2006. That study also found that overall  
455 survival for yearling Chinook salmon smolts from various tributaries of the Fraser River to the  
456 ocean over distances ranging from 330.8 to 395.2 km had an overall survival varying from 2.0%  
457 ( $\pm 3.6$  S.E.) to 32.2% ( $\pm 20.7$  S.E.), with the majority of the tributary and year-specific survival  
458 estimates above 15%. Rechisky et al. (2009) found that outmigrating yearling Chinook salmon  
459 smolts from the Yakima River (a tributary to the Columbia River) had an overall survival of 28%  
460 ( $\pm 5$  S.E.) to the ocean over a distance of 655 km.

461 There are also striking differences in the spatial patterns of survival between the  
462 Sacramento River and the Columbia and Fraser Rivers. Columbia River tagging studies have  
463 found survival for yearling Chinook salmon through the lower river and estuary to vary between  
464 82% and 100% (or between 98.3% and 100% per 10km), depending on the year and population  
465 (Harnish et al. 2012; Rechisky et al. 2013). Similarly-sized sockeye salmon (*Oncorhynchus*  
466 *nerka*) smolts experienced little to no mortality during outmigration through the mainstem  
467 Fraser River (including the estuary) during the years 2010-2013 (Rechisky et al. 2014). In our

468 study, survival through the estuary (delta and bays region combined) ranged from 15.1% to  
469 23.4% (89.3%-91.7% per 10 km).

470 There are a number of possible explanations for why the survival of Chinook smolts in  
471 the Sacramento River is generally lower than in other west coast rivers. Flows in the Sacramento  
472 River are highly regulated by large water storage dams, and peak discharge is typically much  
473 reduced in the outmigration period (Buer et al. 1989; Larry and Marissa 2009). In contrast, no  
474 dams exist on the mainstem Fraser River, and the dams on the Columbia River are used for  
475 hydropower and do not reduce or homogenize flows to the same extent as water storage dams. It  
476 is only in wet years such as 2011 that water flows are high enough for water managers to allow  
477 significant dam releases in the Sacramento River. We observed much higher in-river survival  
478 during 2011, and other studies have shown positive relationships between survival and river flow  
479 (Connor et al. 2003; Smith et al. 2003). Higher flows correspond to higher velocities and faster  
480 travel times, reducing the time smolts are exposed to predators (Hogasen 1998). High flows may  
481 also be correlated to higher turbidities, which can reduce the effectiveness of visual predators  
482 (Ferrari et al. 2014; Gregory and Levings 1998).

483 Differences in the condition of estuaries offer another explanation. Magnusson and  
484 Hilborn (2003) found that in comparing the survival of subyearling Chinook salmon smolts in 27  
485 different small to medium sized estuaries in the U.S. Pacific Northwest, there was a significant  
486 positive relationship between survival and the percentage of the estuary that was in pristine  
487 condition. They also note that according to MacFarlane and Norton (2002), estuary use by  
488 subyearling Chinook salmon smolts was less in the brackish portion of San Francisco Estuary  
489 than other estuaries in the Pacific Northwest, potentially due to the poor condition of the estuary.



490 Nichols et al. (1986) posited that the San Francisco estuary is the most modified estuary on the  
491 west coast of the United States, which suggests that the low survival estimates seen in this study  
492 are consistent with Magnusson and Hilborn's findings. Cohen and Carlton (1998) suggested that  
493 the extensive modification of the San Francisco Estuary contributes to it being perhaps the most  
494 invaded estuary in the world. Invaders include a number of piscivorous fish species that likely  
495 prey on migrating juvenile salmon. The role of predation clearly warrants study.

496 Survival rates during drought years observed in this study, if applicable to natural  
497 populations, suggest that populations are likely contracting. Bradford's (1995) review of Pacific  
498 salmon mortality rates suggested that typical fished Chinook salmon populations have a total  
499 mortality rate of 6.76 (based on fecundity) and an average observed egg-to-smolt mortality rate  
500 of 2.56. Average smolt mortality rate ( $-\log_e(\text{survival})$ ) during the first four years of our study was  
501 3.23. A stable population subject to these mortality rates would require total mortality to be no  
502 more than 0.97 (or no less than 38% survival) for the period between ocean entry and  
503 reproduction, a period of two to four years for late-fall Chinook subject to significant ocean  
504 harvest rates.

505 Our results have implications for the management of Central Valley salmon hatcheries.  
506 Much of the hatchery production in the Central Valley is transported by tanker truck to the bays  
507 in order to avoid mortality incurred during the migration through the river and delta. Offsite  
508 release leads to undesirable levels of straying, and a recent independent review of California  
509 salmon hatchery practices recommends on-site release of hatchery production (CHSRG 2012).  
510 Salmon smolts have long been known to migrate during peak flows (Healey 1991; Hogasen  
511 1998; Kjelson et al. 1981). Our study has shown that fish migrating during high flows have

512 higher survival. Hatcheries could employ a “release window” strategy during which they wait for  
513 a peak flow, or coordinate their operations with releases from upstream reservoirs that could  
514 create artificial pulse flows. Reservoir releases have been shown to improve subyearling  
515 Chinook salmon smolt survival (Zeug et al. 2014), although evidence for improved yearling  
516 survival is not as clear (Giorgi et al. 1997; Young et al. 2011). The efficacy of reservoir release  
517 will depend on the degree to which survival benefits of migrating during freshets are due to  
518 decreased travel time versus higher turbidity, which may not be easily manipulated through  
519 reservoir operations.

520 Our study has demonstrated remarkably low survival rates for late-fall run Chinook  
521 salmon smolts in the Sacramento River. The Sacramento River is also home to three other runs  
522 of Chinook salmon that migrate at smaller sizes and later in the season (Fisher 1994), when  
523 water temperatures are higher and predators may be more active. These other runs may therefore  
524 be experiencing even lower survival. Furthermore, most mortality in this study occurred in a 1-2  
525 week period for hatchery fish. This has disconcerting implications for wild fish that must spend  
526 several months to a year rearing in the watershed. As tags become smaller, the study design  
527 utilized here can be applied to document spatial and temporal patterns of survival in these other  
528 runs that are of significant conservation and fishery concerns, providing resource managers with  
529 valuable information on where and when survival problems are occurring - information  
530 necessary to effective mitigation of survival problems.

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718

**Table 1.** Means and standard deviations for weight and fork length of acoustically-tagged smolts by year and for all years combined

<b>Year</b>	<b>Sample size</b>	<b>Fork length <math>\pm</math> SD (mm)</b>	<b>Weight <math>\pm</math> SD (g)</b>
<i>ALL</i>	1350	158.8 $\pm$ 12.4	43.9 $\pm$ 11.2
2007	200	164.6 $\pm$ 10.7 <sup>a</sup>	46.6 $\pm$ 9.8 <sup>a</sup>
2008	304	168.7 $\pm$ 13.3 <sup>b</sup>	52.6 $\pm$ 13.8 <sup>b</sup>
2009	300	152.1 $\pm$ 8.5 <sup>c</sup>	38.9 $\pm$ 7.9 <sup>c</sup>
2010	306	152.5 $\pm$ 10.2 <sup>c</sup>	39.3 $\pm$ 8.8 <sup>c</sup>
2011	240	158.1 $\pm$ 7.8 <sup>d</sup>	42.9 $\pm$ 6.8 <sup>d</sup>

<sup>abcd</sup> Size distributions with different superscripts are significantly different ( $P < 0.05$ )

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**Table 2.** Locations of acoustic receivers and tagged smolt release locations. Positive river km values indicate distance upstream from the Golden Gate Bridge, negative values indicate distance seaward from the Golden Gate Bridge.

<b>Location</b>	<b>River km</b>	<b>Description</b>
Battle Creek	534	Release site 2007
Jelly's Ferry	518	Receiver location & release site 2008-2011
Bend Bridge	504	Receiver location
China Rapids	492	Receiver location
Above Thomes	456	Receiver location
Below GCID	421	Receiver location
Irvine Finch	412	Receiver location & release site 2008-2010
Above Ord	389	Receiver location
Butte City Bridge	363	Receiver location & release site 2008-2010
Above Colusa Bridge	325	Receiver location
Meridian Bridge	309	Receiver location
Above Feather River	226	Receiver location
City of Sacramento	189	Receiver location
Freeport	169	Receiver location
Chippis Island	70	Receiver location
Benicia Bridge	52	Receiver location
Carquinez Bridge	41	Receiver location
Richmond Bridge	15	Receiver location
Golden Gate East	2	Receiver location
Golden Gate West	1	Receiver location
Point Reyes	-58	Receiver location

**Table 3.** Survival models for different spatial and temporal factors, as well as individual covariates, ordered from lowest to highest QAICc, omitting 2011 data. The  $\Delta$ QAICc statistic represents the QAICc distance from the most parsimonious model. The number of parameters includes the parameters for estimation of detection probabilities (reach and year-specific).

Survival ( $\phi$ ) treatment	$\Delta$ QAICc	# Parameters
(River survival * year) * reach	0.0	126
(Delta survival * year) * reach	25.3	93
<i>BASE MODEL</i> (Reach)	26.6	90
Reach + length	26.6	91
Reach * year	27.9	144
Reach * length	40.0	108
(Bays survival * year) * reach	49.0	105
Reach * weight	50.0	108
Reach * release	53.8	126
Reach * year * release	270.8	288
<i>NULL MODEL</i> (constant survival)	308.4	73

**Table 4.** Percent overall survival to Golden Gate East receiver line (rkm 2) per year, including standard error (SE), and mean successful migration movement rate (MSMMR) with standard error.

Release Group	% Survival	SE	MSMMR (km/day) $\pm$ SE
<b>2007-ALL</b>	<b>2.8</b>	<b>1.4</b>	<b>23.5 <math>\pm</math> 3.6</b>
2007-River	15.5	3.6	
2007-Delta	63.0	14.5	
2007-Bays	28.3	12.4	
<b>2008-ALL</b>	<b>3.8</b>	<b>0.9</b>	<b>17.5 <math>\pm</math> 1.5</b>
2008-River	24.5	3.0	
2008-Delta	59.1	4.4	
2008-Bays	26.1	4.9	
<b>2009-ALL</b>	<b>5.9</b>	<b>1.2</b>	<b>17.5 <math>\pm</math> 1.1</b>
2009-River	31.9	3.2	
2009-Delta	43.1	4.3	
2009-Bays	43.0	6.5	
<b>2010-ALL</b>	<b>3.4</b>	<b>0.9</b>	<b>21.9 <math>\pm</math> 2.1</b>
2010-River	22.7	2.5	
2010-Delta	53.6	5.6	
2010-Bays	28.1	6.4	
<b>2011-ALL</b>	<b>15.7</b>	<b>2.5</b>	<b>36.0 <math>\pm</math> 3.0</b>
2011-River*	63.2*	8.5*	
2011-Delta	70.6	4.8	
2011-Bays	33.1	4.7	

\*Estimated from post-hoc survival model

## Figure Captions

Fig. 1. Study area map including the Sacramento River, Sacramento – San Joaquin River Delta, Suisun/San Pablo/San Francisco Bays and Pacific Ocean. Bull's-eye icons signify a release location, star symbolizes a major city, and black dot symbolizes a receiver location.

Fig. 2. Percent survival per 10 km per reach for the 2007-2010 study years combined. Figure and map are delimited based on the regions (from upstream to downstream): upper Sacramento River, lower Sacramento River, Sacramento – San Joaquin River Delta, and Suisun/San Pablo/San Francisco Bays. The Sacramento River was delimited into an upper and lower section to highlight the shift in survival rates. Error bars represent 95% confidence intervals. 2011 data was omitted due to poor detection probabilities.

Fig. 3. Hydrograph at the Bend Bridge gauging station, 14 rkm downstream from furthest upstream release site (Jelly's Ferry), for each of the five years of the study. The median daily flow values over a 43 year period (including the study years) are represented with a dotted line. Black dots represent release date for tagged smolts in relation to the respective year's hydrograph. Hydrographs are only depicted as long as 90% of released smolts are still actively migrating in the river region; in some years December released fish have all died or outmigrated before January release, and therefore some yearly hydrographs are not continuous.

Fig. 4. Percent survival per major region for all five study years. Regions include river, delta, bays, and the percent survival for the entire watershed "All". Error bars represent 95% confidence intervals.









