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1 **Using the R package *popharvest* to assess the sustainability of offtake in birds**

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13

14 **Abstract**

15 The R package *popharvest* was designed to help assess the sustainability of offtake in birds  
16 when only limited demographic information is available. In this article, we describe some basics  
17 of harvest theory and then discuss several considerations when using the different approaches  
18 in *popharvest* to assess whether observed harvests are unsustainable. Throughout, we  
19 emphasize the importance of distinguishing between the scientific and policy aspects of  
20 managing offtake. The principal product of *popharvest* is a sustainable harvest index (SHI),  
21 which can indicate whether harvest is unsustainable but not the converse. SHI is estimated  
22 based on a simple, scalar model of logistic population growth, whose parameters may be  
23 estimated using limited knowledge of demography. Uncertainty in demography leads to a  
24 distribution of SHI values and it is the purview of the decision maker to determine what  
25 amounts to an acceptable risk when failing to reject the null hypothesis of sustainability. The  
26 attitude toward risk, in turn, will likely depend on the decision maker's objective(s) in managing  
27 offtake. The management objective as specified in *popharvest* is a social construct, informed by  
28 biology, but ultimately it is an expression of social values that usually vary among stakeholders.

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29 We therefore suggest that any standardization of criteria for management objectives in  
30 *popharvest* will necessarily be subjective and, thus, hard to defend in diverse decision-making  
31 situations. Because of its ease of use, diverse functionalities, and a minimal requirement of  
32 demographic information, we expect the use of *popharvest* to become widespread.  
33 Nonetheless, we suggest that while *popharvest* provides a useful platform for rapid assessments  
34 of sustainability, it cannot substitute for sufficient expertise and experience in harvest theory  
35 and management.

36

### 37 **KEYWORDS**

38 birds, density dependence, harvest, logistic model, management, objectives, offtake,  
39 *popharvest*, risk, sustainability, uncertainty

40

## 41 **1 Introduction**

42 Exploitation of birds by humans has a long history, with untold millions of birds taken worldwide  
43 for a variety of reasons, including for food, recreation, the pet trade, pest control, and as  
44 incidental take due to unrelated human activities (Shrubb 2013). In many, if not most, cases the  
45 demography of exploited populations and the impacts of offtake are poorly understood. To help  
46 address this challenge, the R package *popharvest* was designed to help assess the sustainability  
47 of offtake in birds when only limited demographic information is available (Eraud et al. 2021).  
48 Because of its ease of use, diverse functionalities, and a minimal requirement of demographic  
49 information, we expect the use of *popharvest* to become widespread. In this article, we discuss  
50 what we believe to be important considerations when using *popharvest*, particularly for an  
51 audience who may not be well-versed in harvest theory or management.

52

53 We emphasize that *popharvest* is simply a tool that makes methods developed by other authors  
54 more accessible. In particular, it builds on early work by Robinson and Redford (1991) and Slade  
55 et al. (1998) for large mammals. At about the same time, Wade (1998) developed what he  
56 called the Potential Biological Removal (PBR) method to determine acceptable levels of  
57 incidental take of marine mammals:

58 
$$PBR = N_{min} \frac{R_{max}}{2} F_r$$

59 where  $N_{min}$  is a minimum population estimate,  $R_{max}$  (equivalently,  $r_{max}$ ) is the maximum (i.e.,  
60 intrinsic) rate of population growth, and  $F_r$  is a recovery factor between 0.1 and 1. The term  
61  $R_{max}/2$  is derived from the standard logistic model of population growth (i.e., assuming linear  
62 density dependence). It is the rate of offtake that maximizes the sustainable yield (MSY), while  
63 maintaining population size at half its carrying capacity. Thus,  $F_r = 1$  seeks to maintain a  
64 population at its level of maximum net productivity ( $K/2$ ). Niel and Lebreton (2005) used a  
65 variation of PBR, defining potential excess growth (PEG) as:

66 
$$PEG = N\beta(\lambda_{max} - 1)$$

67 where  $N$  is population size,  $(\lambda_{max} - 1) = R_{max}$ , and  $\beta$  is a safety factor with 0.5 being a strict  
68 maximum. The PEG approach is implemented in *popharvest* with the safety factor  $\beta$  designated  
69 as  $F_s$ .

70

71 Runge et al. (2009) generalized the PBR approach to make it applicable to the full range of take  
72 scenarios and to better distinguish between scientific and policy elements of managing offtake.  
73 They called their approach Potential Take Level (PTL):

74 
$$PTL_t = F_o \frac{r_{max}}{2} N_t$$

75 where  $0 \leq F_o \leq 2$  is a factor that reflects management objectives; here  $F_o = 1$  represents the  
76 goal of MSY. Like PBR and PEG approaches, PTL is based on the standard logistic population  
77 model, but unlike the former approaches emphasizes that potential levels of take are  
78 dependent on population size  $N_t$  that can change over time,  $t$ . All three approaches assume  
79 that carrying capacity and intrinsic growth rate are temporally constant. And, importantly, all  
80 three approaches assume that the population size is derived from a pre-breeding survey or  
81 census and includes both breeders and non-breeders. See Koneff et al. (2017) for a formulation  
82 of PTL that applies to post-breeding populations.

83

84 An extended version of the PTL approach developed by Johnson et al. (2012) is available in  
85 *popharvest*. This approach accounts for various functional forms of density dependence:

86 
$$PTL_t = F_0 \frac{r_{max}\theta}{(\theta + 1)} N_t$$

87 where  $\theta > 0$  is the functional form of density dependence as either linear ( $\theta = 1$ ), concave  
 88 ( $\theta > 1$ ), or convex ( $\theta < 1$ ). It is this version of PTL that is available in *popharvest*, with  $F_0$   
 89 represented as  $F_{obj}$ .

90

91 The principal product of applications of *popharvest* is a sustainable harvest index (SHI), which is  
 92 used to assess whether current harvest levels are unsustainable. SHI is calculated as the ratio of  
 93 observed harvest to PEG or PTL, with values of  $SHI > 1$  indicating observed harvest is  
 94 unsustainable relative to management objectives and/or risk tolerance. We emphasize,  
 95 however, that the converse is not necessarily true. That is, values of  $SHI < 1$  are not conclusive of  
 96 sustainability, analogous to a failure to reject the null hypothesis (i.e., harvest is sustainable).  
 97 We are aware of only one published use of *popharvest*, in which Ellis and Cameron (2022)  
 98 assessed the sustainability of waterbird harvests in the United Kingdom. However, there have  
 99 been a number of applications that did not use *popharvest*, but did use PBR, PEG, or PTL  
 100 approaches, including Watts et al. (2015), Runge and Sauer (2017), Koneff et al. (2017), Lormée  
 101 et al. (2019), and Zimmerman et al. (2022).

102

103 In what follows we first describe some basics of harvest theory as background, and then discuss  
 104 several considerations when using the different approaches in *popharvest* to assess whether  
 105 observed harvests are unsustainable. Generally, these considerations fall into one of three  
 106 categories: (1) ecology, (2) management objectives, and (3) uncertainty and risk. Most of these  
 107 considerations are discussed in the article describing the *popharvest* package (Eraud et al.  
 108 2021), and our goal here is to simply emphasize and elaborate on them. Our motivation for  
 109 doing so was derived from several experiences we have had in assisting others use *popharvest*  
 110 (or its methods) and correctly interpret their results.

111

## 112 **2 BASICS OF HARVEST THEORY**

113 The harvest of wildlife is predicated on the notion of reproductive surplus, and ultimately on the  
 114 theory of density-dependent population growth (Hilborn et al. 1995). This theory predicts a

115 negative relationship between the rate of population growth and population density (i.e.,  
 116 number of individuals per unit of limiting resource) due to intraspecific competition for  
 117 resources. In a relatively stable environment, un-harvested populations tend to settle around  
 118 an equilibrium where births balance deaths. Populations respond to harvest losses by  
 119 increasing reproductive output or through decreases in natural mortality because more  
 120 resources are available per individual. Population size eventually settles around a new  
 121 equilibrium and the harvest, if not too heavy, can be sustained without destroying the breeding  
 122 stock. Managers of recreational harvest often attempt to maximize the sustainable harvest by  
 123 driving population density to a level that maximizes the reproductive surplus (Beddington and  
 124 May 1977).

125

126 One of the simplest and commonly used models to determine sustainable harvests for birds is  
 127 the theta-logistic model:

$$128 \quad N_{t+1} = N_t + N_t r_{max} \left[ 1 - \left( \frac{N_t}{K} \right)^\theta \right] - h_t N_t$$

129 where  $K$  is carrying capacity (i.e., the maximum number of animals the environment can  
 130 support),  $h_t$  is harvest rate, and other terms are as described previously. The theta-logistic lacks  
 131 age structure (i.e., a so-called scalar model) and so should be considered a first approximation if  
 132 reproductive or survival rates are likely to be strongly age specific. The harvest rate  $h$  and  
 133 harvest  $H$  for the maximum sustainable yield (MSY) are (Johnson et al. 2012):

$$134 \quad h_{MSY} = r_{max} \frac{\theta}{(\theta + 1)}$$

$$135 \quad H_{MSY} = r_{max} K \frac{\theta}{(\theta + 1)^{(\theta+1)/\theta}}$$

136 and the equilibrium population size  $N$  associated with MSY is:

$$137 \quad N_{MSY} = K(\theta + 1)^{-1/\theta}$$

138 For the standard logistic with linear density dependence (i.e.,  $\theta = 1$ ), the management  
 139 parameters simplify to:

$$140 \quad h_{MSY} = \frac{r_{max}}{2}$$

141

$$H_{MSY} = \frac{r_{max}K}{4}$$

142

$$N_{MSY} = \frac{K}{2}$$

143

144

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146

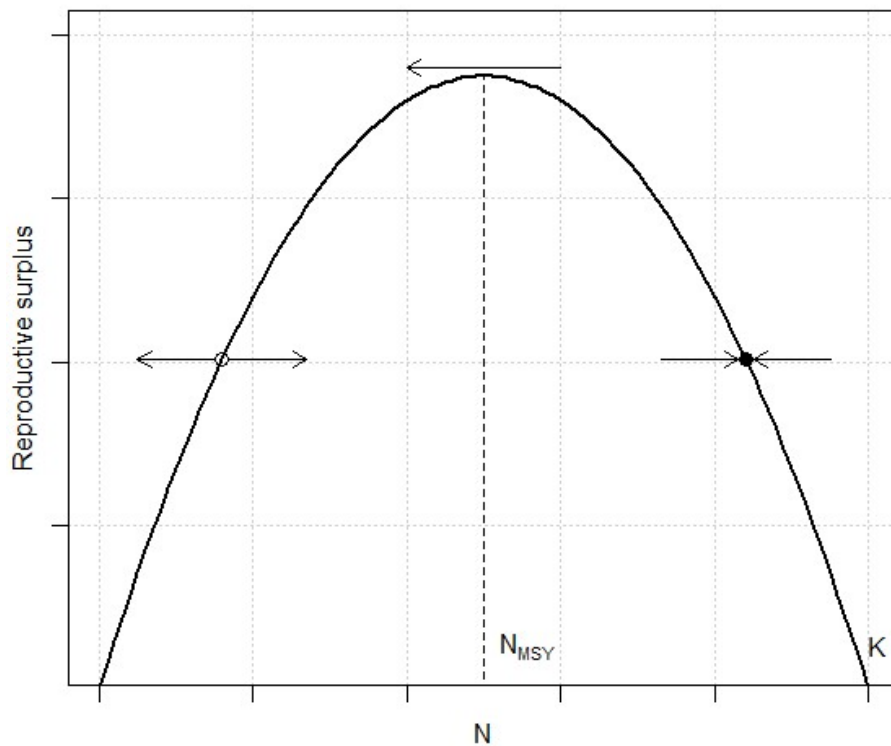
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Thus, in the standard logistic model, the maximum reproductive (i.e., harvestable) surplus is attained at a population level of one-half carrying capacity. The sizes of the reproductive surpluses are parabolic with respect to population size (Fig. 1). We note that equilibrium population sizes are stable for harvests below MSY; i.e., harvests below MSY will always lead to an equilibrium population size greater than one-half carrying capacity, irrespective of stochastic fluctuations in population size or harvest. However, equilibrium population sizes are unstable if population size falls below one-half carrying capacity due to stochastic events and in that event even harvests  $< MSY$  can be unsustainable.



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Fig. 1. Reproductive surpluses as a function of population size,  $N$ , from the standard logistic model (i.e., linear density dependence). Equilibrium population sizes to the right of  $N_{MSY}$  are stable (e.g., filled circle), while those to the left are unstable (e.g., open circle).

156 The scalar theta-logistic model underlies computations of PTL in *popharvest* and setting  $F_{obj} =$   
 157 1 implies MSY. In the PEG approach, if one is willing to assume linear density dependence, MSY  
 158 is implied by setting  $F_s = 0.5$

159

### 160 **3 ECOLOGICAL CONSIDERATIONS**

161 For both the PEG and PTL approaches, it is necessary to have an estimate of  $\lambda_{max} = (r_{max} + 1)$   
 162 or  $r_{max}$ , the intrinsic finite and net rates of annual population growth, respectively. That is:

$$163 \quad N_{t+1} = N_t \lambda_{max} \text{ or } N_{t+1} = N_t + N_t r_{max}$$

164 These parameters will be unknown for most populations as they represent the rate of increase  
 165 for populations under optimal conditions, absent any harvest or density-dependent effects. An  
 166 advantage of *popharvest* is that it allows these rates to be estimated using only knowledge of  
 167 maximum adult survival and age at first reproduction using the allometric relationships  
 168 formulated by Niel and Lebreton (2005). Estimating the intrinsic adult survival may be as  
 169 challenging as estimating  $r_{max}$ , however. An approach implemented in *popharvest* is to use the  
 170 method of Johnson et al. (2012), who demonstrated how intrinsic adult survival could be  
 171 estimated using body mass and age at first breeding by relying on complete survival histories of  
 172 birds in captivity (which was thought to mimic optimal conditions).

173

174 When using the method of Johnson et al. (2012) to estimate intrinsic adult survival, bird mass  
 175 must be specified as a fixed value or a lognormal distribution in *popharvest*, for example by  
 176 using the compendium by Dunning (2008). But a question arises as to whether one should use  
 177 the mass of males or females because sexual dimorphism will induce different values of  $r_{max}$ .  
 178 Johnson et al. (2012) are silent on this question, but we suggest using both male and female  
 179 body masses and calculating the mean mass as:

$$180 \quad \mu = \frac{\mu_M + \mu_F}{2}$$

181 and its variance as:

$$182 \quad \sigma^2 = \frac{\sigma_M^2 + \sigma_F^2}{2} + \frac{(\mu_M - \mu)^2 + (\mu_F - \mu)^2}{2}$$

183 Although we have no empirical support for this recommendation, it may be better than  
184 arbitrarily picking a single sex for the analysis.

185

186 Users of *popharvest* should be mindful, however, that the allometric approaches for estimating  
187  $r_{max}$  are derived in an evolutionary context and, thus, it is a maximum that may not be  
188 attainable under contemporary ecological conditions. Moreover, one cannot rule out the  
189 possibility that  $r_{max}$  or carrying capacity are changing over time due to large-scale  
190 environmental forces such as climate change or ongoing habitat destruction. There is not likely  
191 anything one can do to account for this, other than to recognize that the use of  $r_{max}$  based on  
192 allometric relationships may overestimate a sustainable harvest level and therefore to manage  
193 risk accordingly.

194

195 In using the allometric approach of Niel and Lebreton (2005), one must decide if a species is  
196 “short-lived” or “long-lived,” and this can affect the magnitude of the estimate of  $r_{max}$ .  
197 Unfortunately, Niel and Lebreton (2005) don’t provide explicit guidance about how to make the  
198 distinction, although they only considered bird species that breed at age one year as “short-  
199 lived.” In any case, users of *popharvest* should be aware that designation of a species as “short-  
200 lived” will produce a higher value of  $r_{max}$  and, thus, suggest a higher level of sustainable  
201 harvest. For birds that breed at age one year, the difference in  $r_{max}$  from the “short-lived” and  
202 “long-lived” approaches can be substantial. For birds that breed at age two years, the  
203 difference in the two approaches yield differences in  $r_{max}$  less than 0.1. The differences in the  
204 two approaches for birds that breed at  $\geq 3$  years are generally negligible ( $<0.05$ ). In keeping with  
205 Niel and Lebreton (2005), we suggest the “short-lived” approach only be used for birds that  
206 breed at age one year.

207

208 We also note that survival estimates used to estimate  $r_{max}$  must be those attained under  
209 optimum ecological conditions (e.g., no density dependence and no harvest). Thus, empirical  
210 estimates of survival from the field may generate estimates of  $r_{max}$  (and sustainable harvests)  
211 that will be biased high. Finally, it’s also important to recognize that the default procedure in



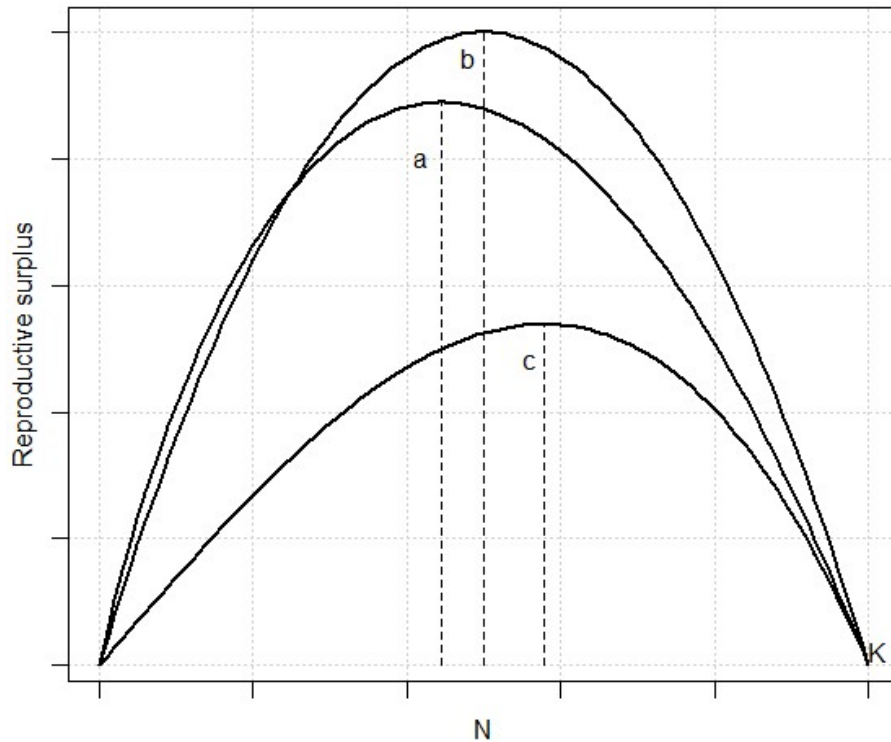
212 *popharvest* is to assume the survival of juveniles is less than adults only for the first year of life.  
213 If that is not the case, the user must supply a mean value for juvenile survival for birds between  
214 age one year and breeding age ( $\alpha$ ), but here one must assume that survival is constant for all  
215 birds aged 1 to  $\alpha-1$  years.

216

217 The PTL approach assumes that density dependence operates to reduce the realized growth  
218 rate as population size approaches carrying capacity. The approach relies on logistic growth of a  
219 scalar population and posits that populations can “compensate” to some extent for harvest by  
220 increasing reproduction and/or decreasing natural mortality. The compensation effect as  
221 incorporated in the logistic model is phenomenological, in the sense that no specific  
222 mechanisms are postulated (e.g., “compensatory” hunting mortality or heterogeneity in  
223 survival). The original PTL approach assumed linear density dependence ( $\theta = 1$ ) (Runge et al.  
224 2009), but Johnson et al. (2012) extended the approach to account for non-linear density  
225 dependence. In these cases,  $\theta > 1$  produces a concave population response (when viewed  
226 from below), where density dependence is strongest nearest carrying capacity (Fig. 2). When  
227  $\theta < 1$ , the population response is convex, where density dependence is strongest far away from  
228 carrying capacity. Users of *popharvest* should be aware that the functional form of density  
229 dependence (i.e., how growth rate declines as a function of increasing population size) can have  
230 a substantial effect on conclusions regarding sustainability. This can be problematic because the  
231 form of density dependence is typically the least understood and most difficult to estimate of all  
232 demographic parameters (Clark et al. 2010). In *popharvest* one can chose to estimate  $\theta$  based  
233 on its apparent relationship with  $r_{max}$  (Johnson et al. 2012), but application of the method adds  
234 a great deal of uncertainty to conclusions regarding sustainability. It may be wise to examine  
235 both linear and nonlinear forms of density dependence to determine the sensitivity of SHI  
236 (Koneff et al. 2017). We end the ecological discussion of PTL by noting that while it explicitly  
237 recognizes a form of “compensation” to exploitation, other forms of population response are  
238 overlooked. For example, it does not account for potential “depensation” (or the so-called Allee  
239 effect; Stephens et al. 1999) where population growth rate can be low even when populations

240 are far below carrying capacity (but see Haider et al. 2017). The Allee effect is most likely to  
 241 manifest itself in severely depleted populations.

242



243

244 Fig. 2. Reproductive surpluses in the theta-logistic population model when density dependence  
 245 is (a) convex ( $\theta = 0.5, r_{max} = 1.5$ ), (b) linear ( $\theta = 1.0, r_{max} = 1.0$ ), or (c) concave  $\theta =$   
 246  $2, r_{max} = 0.35$ . The vertical dashed lines indicate the equilibrium population sizes (N) for  
 247 maximizing sustainable harvests.

248

249 There are several ecological considerations common to both PEG and PTL approaches. Both  
 250 approaches rely on scalar models that do not account for any age structure in population  
 251 demography nor in harvests. Significant age structure has important implications in terms of  
 252 transient dynamics and population momentum (Koons et al. 2006). A failure to account for it  
 253 can lead to spurious conclusions regarding the sustainability of harvest (Niel and Lebreton 2005,  
 254 Hauser et al. 2006). Significant age structure is typically associated with longer-lived species.  
 255 We note, however, that while geese are relatively long lived, there is at least one example

256 demonstrating that scalar models may be adequate for assessing the consequences of harvest  
257 (Johnson et al. 2018).

258

259 Clearly defining a target population could help reduce the potential of unexpected  
260 consequences of applying PEG and PTL in local areas or for certain subpopulations. However,  
261 defining populations can be difficult due to course monitoring efforts or mixing of  
262 subpopulations when harvest occurs. Therefore, it is imperative that estimates of population  
263 size and harvest used to assess sustainability are both reliable and carefully aligned in time and  
264 space. This is especially critical in a European context because monitoring programs are  
265 extremely fragmented and sometimes produce biased estimates of population size or offtake  
266 (Elmberg et al. 2006, Aubry et al. 2020, Johnson and Koffijberg 2021) and because flyways and  
267 populations are not always well defined (Davidson and Stroud 2006). In North America,  
268 monitoring programs for game birds are quite advanced, but use of PTL and *popharvest* for  
269 permitting the take of non-game birds is increasing. In these cases, estimates of population size  
270 and offtake are tenuous at best. One must also be mindful that rapid assessments of  
271 sustainability are typically a “snapshot” in time and, thus, may not be reflective of sustainability  
272 over a longer period. Thus, we encourage users to estimate sustainable harvest for a range of  
273 population sizes. Finally, users of *popharvest* should be mindful that estimates of offtake must  
274 also include crippling loss, and this is problematic because crippling rates are only rarely  
275 monitored (Clausen et al. 2017). For ducks in North America, harvest estimates are often  
276 inflated by 20% to account for unretrieved harvests (Johnson et al. 1993). Ellis et al. (2022)  
277 reported a crippling rate of 22% for ducks in Illinois, USA.

278

#### 279 **4 MANAGEMENT OBJECTIVES**

280 Perhaps the most challenging application of the methods used in *popharvest* involves  
281 specification of the safety factor  $F_s$  in PEG or the management objective  $F_{obj}$  in PTL. We cannot  
282 stress strongly enough that these  $F$  values are a social construct, informed by biology, but  
283 ultimately they are an expression of social values that usually vary among stakeholders. One of  
284 the difficulties users may have with the safety factor in PEG is that it confounds ecological

285 understanding (e.g., presence of density dependence) and management objectives (e.g., risk  
 286 tolerance) (Runge et al. 2009). Assessment of risk is the purview of decision makers and  
 287 involves two components: (1) the probability of an undesirable outcome (e.g., unsustainable  
 288 harvest) and (2) the perceived consequences (i.e., value) of that outcome. We may generally  
 289 assume the conservationists are averse to risk, but the degree of risk aversion is a choice for  
 290 decision makers and is likely to be heavily context dependent. Dillingham and Fletcher (2008)  
 291 suggest using criteria from the International Union for the Conservation of Nature and Natural  
 292 Resources (IUCN) to set  $F_S = 0.5$  for ‘least concern’ species,  $F_S = 0.3$  for ‘near threatened’,  $F_S =$   
 293  $0.1$  for threatened species. However, these values are completely arbitrary and, more  
 294 importantly, have not been sufficiently vetted among a large community of diverse decision  
 295 makers. Moreover, categorization of species as, for example, “least concern,” also involves  
 296 somewhat arbitrary criteria. The IUCN criteria may exclude some specific life history  
 297 information which could lead to spurious conclusions regarding sustainability. We therefore  
 298 suggest that any standardization of criteria for  $F_S$  will necessarily be subjective and, thus, hard  
 299 to defend in diverse decision-making situations. Close coordination with the decision maker(s)  
 300 is thus essential in defining appropriate  $F$  values.

301

302 The PTL approach provides a better distinction between ecological understanding and  
 303 management objectives (i.e., between the scientific and policy aspects of managing offtake).  
 304 Rather than ask “is harvest unsustainable?” the PTL approach asks whether a given level of  
 305 harvest is likely to meet management objectives for hunting opportunity and equilibrium  
 306 population size. In the PTL approach,  $0 < F_{obj} < (\theta + 1)/\theta$  where  $F_{obj} = 1$  represents a  
 307 desire to attain the maximum sustainable harvest (MSY). It is well known, however, that  
 308 application of MSY in a variable environment is likely to be unsustainable (Ludwig 2001). To  
 309 extract only a specified proportion  $p_{obj}$  of the MSY, one can specify as an objective:

$$310 \quad p_{obj} = \frac{H < MSY}{MSY}$$

311 and solve for  $F_{obj}$  using:

$$312 \quad p_{obj} = F_{obj} \left( 1 + \theta(1 - F_{obj}) \right)^{1/\theta}$$

313 The associated equilibrium size of the harvested population as a portion of carrying capacity,  $K$ ,  
 314 is:

$$315 \quad \frac{N}{K} = \left(1 - F_{obj} \frac{\theta}{(\theta + 1)}\right)^{1/\theta}$$

316 As with  $F_s$ , we believe it would be difficult to standardize a protocol for specification of  $F_{obj}$  as it  
 317 is the purview of the decision maker and likely to be context dependent. Specifying an  
 318 acceptable  $F$  value for both the PEG and PTL approaches should always explicitly consider  
 319 current and desired population sizes, intrinsic and observed population growth rates, the time  
 320 required to meet management objectives, demographic uncertainty and risk tolerance, and  
 321 possibly other considerations. Generally, however,  $F_{obj} = 1$  might be considered for robust  
 322 populations subject to recreational harvest, while  $F_{obj} < 1$  might be appropriate for more  
 323 vulnerable populations. Finally,  $F_{obj} > 1$  might be appropriate for invasive populations or for  
 324 those causing significant socio-economic conflicts.

325

## 326 **5 UNCERTAINTY AND RISK**

327 There are always uncertain demographic aspects in assessing harvest sustainability.  
 328 Fortunately, *popharvest* provides tools to account for sources of uncertainty in estimates of  
 329 intrinsic growth rate, population size, and harvest (e.g. Watts et al. 2015). We advise users of  
 330 *popharvest* to take full advantage of these tools rather than specifying deterministic values,  
 331 even if they are relatively well known. The admission of uncertainty in all aspects of applying  
 332 *popharvest* will necessarily lead to relatively large uncertainty in the determination of  
 333 sustainability, and any determination will likely be less conclusive than decision makers would  
 334 prefer. However, explicit recognition of ecological uncertainty is essential to an honest and  
 335 transparent appraisal of sustainability. Therefore, in confronting this uncertainty the decision  
 336 maker must take responsibility for explicitly stating their risk tolerance.

337

338 To use *popharvest* to determine whether offtake may be unsustainable, we can define risk as  
 339 the probability that a particular level of harvest exceeds the Sustainable Harvest Index (SHI),  
 340 where values of  $SHI > 1$  are to be avoided. But what makes for an unacceptable probability

341  $P(SHI > 1)$ ? We can likely assume the decision maker will accept a lower probability (i.e. risk)  
342 if the population is small and/or declining rapidly. But, like other policy aspects of management  
343 decisions, an acceptable  $P(SHI > 1)$  is the purview of the decision maker and will likely be  
344 context dependent.

345

346 One possible approach to standardizing the degree of risk acceptance is to rely on the concept  
347 of stochastic dominance (Levy 2016, Canessa et al. 2016). The idea is that the decision maker  
348 should be able to describe their subjective attitude toward risk as being risk averse, risk neutral,  
349 or risk seeking. If we generally believe conservation decision makers will be risk averse, then  
350 the decision maker would like to avoid both a large variance and negative skewness in the  
351 distribution of possible outcomes. To apply this concept using the output of *popharvest*, one  
352 would have to posit varying potential levels of harvest (including the observed harvest) and  
353 then compare the cumulative distribution functions of the stochastic outcomes of SHI for each.  
354 If, based on the concepts of stochastic dominance, the preferred choice of harvest is below that  
355 observed, a risk-averse decision maker could conclude that the observed harvest is inconsistent  
356 with the management objective  $F_{obj}$  specified in the PTL (for a risk-averse decision maker).  
357 Unfortunately, the ability to examine stochastic dominance does not exist in *popharvest* and  
358 would require ancillary programming. This feature may be included in subsequent updates of  
359 *popharvest*.

360

361 We offer a last brief comment about the fact that the PEG approach confounds ecological  
362 understanding and management objectives, or risk tolerance in this case. It has been suggested  
363 that the population size  $N$  used in the calculation of PEG should represent a minimum estimate  
364 to hedge against falsely concluding a harvest is sustainable (Wade 1998). Thus, it potentially  
365 passes a decision about risk attitude to the ecologist responsible for estimating population size.  
366 Overall, we prefer the PTL approach to PEG, bearing in mind the need to carefully distinguish  
367 between scientific and policy aspects of decision making.

368

369 **6 CONCLUSIONS**

370 We expect that the R package *popharvest* will encourage broader use of established methods  
371 for assessing the sustainability of offtake in birds, especially among conservationists and  
372 managers who may have limited expertise in harvest theory, decision analysis, and computer  
373 programming. However, its ease of use is also a disadvantage if the nuances of its application  
374 are not fully appreciated. In particular, we are concerned about the confounding of science and  
375 values that is all too common in conservation decision making (Pielke 2007). All conservation  
376 decisions involve both predicting and valuing outcomes. The first part is the (objective) role of  
377 scientists and the second part is the (subjective) role of society (or the decision maker as their  
378 representative). Thus, we urge caution in the use of the PEG method in which the distinction  
379 between these components is not as transparent as we believe it should be. The PTL approach,  
380 while better at separating ecological understanding and management objectives, nonetheless  
381 presents its own challenges in application. In particular, we believe it may be unrealistic to  
382 develop a standardized protocol for establishing  $F_{obj}$  values that are universally accepted within  
383 the ornithological community. An alternative for a rapid assessment of sustainability would be  
384 to set  $F_{obj} = 1$  (i.e., MSY) and then flag those species with an unacceptably high  $P(SHI \geq 1)$  as  
385 warranting a fuller consideration of relevant social values among the decision makers  
386 responsible for regulating the offtake of that species.

387  
388 The presence of uncertainty in demographic parameters, extant population sizes, and harvest  
389 should be fully acknowledged in applications of *popharvest*. Where estimates of sampling  
390 variation are unavailable, the ecologist might seek expert opinion to help characterize the  
391 uncertainty (see e.g., Johnson et al. 2017). Here, as in other aspects of stock assessments, the  
392 expert elicitation procedure should be completely transparent and follow acceptable protocols  
393 (Morgan 2014, Hemming et al. 2018). Regardless of how it is specified, uncertainty in  
394 demography induces a distribution of SHI indices, which in turn characterize the risk of  
395 undesirable outcomes (i.e., a failure to meet management objectives). We may perhaps assume  
396 reliably that conservation decision makers are risk averse, but we should guard against risk  
397 aversion becoming an absolute expression of the precautionary principle, which elevates  
398 concern for a species status above all considerations. Indeed, if the precautionary principle

399 were applied unthinkingly in harvest management, no level of harvest would be acceptable.  
400 Obviously, there is the need to carefully consider the risk attendant to a broader range of  
401 relevant social values (e.g., the potential for socio-economic conflict) when assessing a decision  
402 maker's risk tolerance.

403

#### 404 **DATA ACCESSIBILITY STATEMENT**

405 No data were used in production of this manuscript.

406

#### 407 **COMPETING INTERESTS STATEMENT**

408 None declared.

409

#### 410 **AUTHOR CONTRIBUTIONS**

411 **Fred A. Johnson:** Conceptualization (lead); investigation (lead); writing – original draft (lead);  
412 writing – review and editing (lead). **Cyril Eraud:** Conceptualization (equal); investigation (equal);  
413 writing – review and editing (equal). **Charlotte Francesiaz:** Conceptualization (equal);  
414 investigation (equal); writing – review and editing (equal). **Guthrie S. Zimmerman:**  
415 Conceptualization (equal); investigation (equal); writing – review and editing (equal). **Mark D.**  
416 **Koneff:** Conceptualization (equal); investigation (equal); writing – review and editing (equal).

417

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