

Banff 2007

Viability in
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Management

Héctor Ramírez

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viability issues

Monotonicity
properties

Viability kernel
properties

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management

Conclusions &
perspectives

Viability in Fishery Management

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Let us consider a nonlinear control system described in discrete time by the difference equation

$$\begin{cases} x_{t+1} = g(x_t, u_t), & \forall t \in \mathbb{N}, \\ x_0 \text{ given,} \end{cases}$$

where

- The state variable x_t belongs to the state space $X \subseteq \mathbb{R}^{n_x}$.
- The control variable u_t is an element of the control set $U \subseteq \mathbb{R}^{n_u}$.
- The dynamics g maps $X \times U$ into X .

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Desirable Configurations

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A decision maker describes “desirable configurations of the system” through a set $\mathbb{D} \subset \mathbb{X} \times \mathbb{U}$ termed the **desirable set**

$$(x_t, u_t) \in \mathbb{D}, \quad \forall t \in \mathbb{N},$$

where \mathbb{D} includes both system states and controls constraints.

Example

$$\bullet \mathbb{D}_{\text{ecol}} := \{(x, u) : x > 0\} \text{ or } \mathbb{D}_{\text{ecol}} := \{(x, u) : x \geq \bar{x}\}$$

$$\bullet \mathbb{D}_{\text{econ}} := \{(x, u) : Y(x, u) \geq y_{\text{min}}\}$$

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- $\mathbb{D}_{ICES} := \{(x, u) : SSB(x) \geq B_{ref}, F(u) \leq F_{ref}\}$

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- $\mathbb{V} \subset \mathbb{X}$ is a **Viability Domain** if for all $x \in \mathbb{V}$ there exists $u \in \mathbb{U}$ such that $(x, u) \in \mathbb{D}$ and $g(x, u) \in \mathbb{V}$.
- *Viability Kernel*

$$\mathbb{V}(g, \mathbb{D}) = \{x_0 \in \mathbb{X} : \text{there exist } u_0, u_1, u_2, \dots, x_1, x_2, \dots \\ \text{such that } x_{t+1} = g(x_t, u_t) \text{ and } (x_t, u_t) \in \mathbb{D}\}.$$

Goals

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Goals

- Determine or approximate the viability kernel $\mathbb{V}(g, \mathbb{D})$ for a given dynamics g and a given desirable set \mathbb{D} .

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Goals

- Determine or approximate the viability kernel $\mathbb{V}(g, \mathbb{D})$ for a given dynamics g and a given desirable set \mathbb{D} .
- Determine when a given set \mathbb{V} is a viability domain.

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- *Determine or approximate the viability kernel $\mathbb{V}(g, \mathbb{D})$ for a given dynamics g and a given desirable set \mathbb{D} .*
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The **state constraints set** associated with \mathbb{D} is obtained by projecting the desirable set \mathbb{D} onto the state space \mathbb{X} :

$$\mathbb{V}^0 := \text{Proj}_{\mathbb{X}}(\mathbb{D}) = \{x \in \mathbb{X} \mid \exists u \in \mathbb{U}, (x, u) \in \mathbb{D}\}.$$

By definition $\mathbb{V}(g, \mathbb{D}) \subset \mathbb{V}^0$.

Moreover, the viability kernel $\mathbb{V}(g, \mathbb{D})$ turns out to be the union of all viability domains, that is:

$$\mathbb{V}(g, \mathbb{D}) = \bigcup \left\{ \mathbb{V} : \mathbb{V} \subset \mathbb{V}^0, \mathbb{V} \text{ viability domain for } g \text{ in } \mathbb{D} \right\}.$$

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Monotonicity Properties on the Sets

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- We say that a set $S \subset \mathbb{X}$ is **increasing** if it satisfies:

$$\forall x \in S, \quad \forall x' \in \mathbb{X}, \quad x' \geq x \Rightarrow x' \in S.$$

That is $S + \mathbb{R}_+^{n_x} \subseteq S$.

- We say that a set $K \subset \mathbb{X} \times \mathbb{U}$ is increasing if it satisfies:

$$\forall (x, u) \in K, \quad \forall x' \in \mathbb{X}, \quad x' \geq x \Rightarrow (x', u) \in K.$$

That is $K + \mathbb{R}_+^{n_x} \times \{0_{\mathbb{R}^{n_u}}\} \subset K$.

(state and control do not play the same role)

Monotonicity Properties on the Sets

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Monotonicity Properties on the Dynamics

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Definition

We say that the dynamics $g : \mathbb{X} \times \mathbb{U} \rightarrow \mathbb{X}$ is **increasing with respect to the state** if it satisfies

$$\forall (x, x', u) \in \mathbb{X} \times \mathbb{X} \times \mathbb{U}, \quad x' \geq x \Rightarrow g(x', u) \geq g(x, u),$$

and is decreasing with respect to the control if

$$\forall (x, u, u') \in \mathbb{X} \times \mathbb{U} \times \mathbb{U}, \quad u' \geq u \Rightarrow g(x, u') \leq g(x, u).$$

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We say that $g : \mathbb{X} \times \mathbb{U} \rightarrow \mathbb{X}$ is a **bioeconomics dynamics** if g is increasing w.r.t the state and decreasing w.r.t. the control.

Definition

We say that $g : \mathbb{X} \times \mathbb{U} \rightarrow \mathbb{X}$ is a bioeconomics quasi-linear dynamics if

$$g(x, u) = G(u)x + H(u),$$

where $G(u)$ is a $n_{\mathbb{X}} \times n_{\mathbb{X}}$ matrix and $H(u) \in \mathbb{R}^{n_{\mathbb{X}}}$ for all $u \in \mathbb{U}$.

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Production and Preservation Desirable sets

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Definition

A desirable set \mathbb{D} is said to be *a production desirable set* if \mathbb{D} is increasing w.r.t. both the state and to the control, that is

$$\forall u, u' \in \mathbb{U}, x, x' \in \mathbb{X} \text{ s.t. } x' \geq x, u' \geq u \\ \text{if } (x, u) \in \mathbb{D} \text{ then } (x', u') \in \mathbb{D}.$$

Example

$$\mathbb{D}_{\text{yield}} = \{(x, u) \mid Y(x, u) \geq y_{\min}\},$$

where $Y : \mathbb{X} \times \mathbb{U} \rightarrow \mathbb{R}$ is increasing w.r.t. both variables (state and control).

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Definition

A desirable set \mathbb{D} is said to be *a preservation desirable set* if \mathbb{D} is increasing w.r.t. the state and decreasing w.r.t. the control:

$$\forall u, u' \in \mathbb{U}, x, x' \in \mathbb{X} \text{ s.t. } x' \geq x, u' \leq u \\ \text{if } (x, u) \in \mathbb{D} \text{ then } (x', u') \in \mathbb{D}.$$

Example

$$\mathbb{D}_{\text{protect}} = \{(x, u) \in \mathbb{X} \times \mathbb{U} \mid D(x, u) \geq d^b\},$$

where $D : \mathbb{X} \times \mathbb{U} \rightarrow \mathbb{R}$ is increasing w.r.t. the state but decreasing w.r.t. the control.

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Viability Kernels Estimates

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Assuming they exist, denote \mathbb{U} , i.e. $u^b \leq u \leq u^\sharp$ for all $u \in \mathbb{U}$.

For every $t \geq 0$, define recursively the function $(g^b)^t : \mathbb{X} \rightarrow \mathbb{X}$ by

$$\begin{cases} (g^b)^0(x) & := x, \\ (g^b)^{t+1}(x) & := g((g^b)^t(x), u^b), \quad t \in \mathbb{N}. \end{cases}$$

Proposition

Suppose that g is a bioeconomics dynamics, and consider the desirable sets $\mathbb{D}_{\text{yield}}$ and $\mathbb{D}_{\text{protect}}$. Then we have:

- *If u^\sharp and u^b exist, then*

$$\mathbb{V}(g, \mathbb{D}_{\text{yield}}) \subseteq \bigcap_{t \geq 0} \{x \in \mathbb{X} : Y((g^b)^t(x), u^\sharp) \geq y_{\min}\}.$$

- *If u^b exists, then*

$$\mathbb{V}(g, \mathbb{D}_{\text{protect}}) = \bigcap_{t \geq 0} \{x \in \mathbb{X} : D((g^b)^t(x), u^b) \geq d^b\}.$$

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Proposition

Suppose that g is a bioeconomics dynamics, and consider the desirable sets $\mathbb{D}_{\text{yield}}$ and $\mathbb{D}_{\text{protect}}$. Then we have:

- *If u^\sharp and u^b exist, then*

$$\mathbb{V}(g, \mathbb{D}_{\text{yield}}) \subseteq \bigcap_{t \geq 0} \{x \in \mathbb{X} : Y((g^b)^t(x), u^\sharp) \geq y_{\min}\}.$$

- *If u^b exists, then*

$$\mathbb{V}(g, \mathbb{D}_{\text{protect}}) = \bigcap_{t \geq 0} \{x \in \mathbb{X} : D((g^b)^t(x), u^b) \geq d^b\}.$$

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Viability Kernels Estimates

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Assuming they exist, denote \mathbb{U} , i.e. $u^b \leq u \leq u^\sharp$ for all $u \in \mathbb{U}$.

For every $t \geq 0$, define recursively the function $(g^b)^t : \mathbb{X} \rightarrow \mathbb{X}$ by

$$\begin{cases} (g^b)^0(x) & := x, \\ (g^b)^{t+1}(x) & := g((g^b)^t(x), u^b), \quad t \in \mathbb{N}. \end{cases}$$

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Proposition

*If the dynamics g is bioeconomic quasi-linear and if \mathbb{D} is a preservation desirable set which is **convex w.r.t. the state**, that is*

*for all $u \in \mathbb{U}$, $x, x' \in \mathbb{X}$ such that $(x, u), (x', u) \in \mathbb{D}$,
it holds that $(\alpha x + (1 - \alpha)x', u) \in \mathbb{D}$ for all $\alpha \in [0, 1]$.*

then the viability kernel $\mathbb{V}(g, \mathbb{D})$ is convex.

Polyhedral Viability Domains

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Let g be a bioeconomic quasi-linear dynamics.

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Let \mathbb{D}_{poly} be a preservation desirable set given by

$$\mathbb{D}_{\text{poly}} = \{(x, u) \in \mathbb{X} \times \mathbb{U} : D(u)x \geq d^p\}.$$

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Let \tilde{P} be the polyhedron defined by

$$\tilde{P} = \{x \in \mathbb{X} : (I - O(u^*))x \leq H(u^*) \text{ and } D(u^*)x \geq d^p\}.$$

Then, the set $\{x \geq \bar{x}\} = \bar{x} + \mathbb{R}_+^n$ is a viability domain iff $\bar{x} \in \tilde{P}$.

If \bar{x} is a sustainable equilibrium for D , then $\bar{x} \in \tilde{P}$ and $\{x \geq \bar{x}\}$ is a viability domain (Gauthier et al. 2007).

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If \bar{x} is a desirable equilibrium for \mathbb{D}_{poly} , then $\bar{x} \in \tilde{P}$ and consequently $\{x \geq \bar{x}\}$ is a viability domain (Quilbanaud et al'06).

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Then, the set $\{x \geq \bar{x}\} = \bar{x} + \mathbb{R}_+^{n_x}$ is a viability domain iff $\bar{x} \in \tilde{\mathcal{P}}$.

Corollary

If \bar{x} is a desirable equilibrium for \mathbb{D}_{poly} , then $\bar{x} \in \tilde{\mathcal{P}}$ and consequently $\{x \geq \bar{x}\}$ is a viability domain (Guilbaud et al.'06).

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- 3 Viability kernel properties
- 4 Application to fishery management**
- 5 Conclusions & perspectives

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$$\begin{cases} N_{t+1}^1 &= \varphi(\text{SSB}(N_t)), \\ N_{t+1}^a &= e^{-(M+\lambda F^{a-1})} N_t^{a-1}, \quad a \in \{2, \dots, A-1\} \\ N_{t+1}^A &= e^{-(M+\lambda F^{A-1})} N_t^{A-1} + \pi \times e^{-(M+\lambda F^A)} N_t^A \end{cases}$$

- **Time index** t in years.
- State variable: $N = (N^a)_{a=1, \dots, A} \in \mathbb{X} = \mathbb{R}_+^A$, denotes the vector of abundances (biomass) at ages a .
- Control variable: $\lambda \in \mathbb{U} = \mathbb{R}_+$, fishing effort or exploitation pattern multiplier.
- φ describes the stock-recruitment relationship.
- The spanning stock biomass function is defined as

$$\text{SSB}(N) = \sum_{a=1}^A p_a w_a N_a.$$

- $\pi = 0 \text{ ó } 1$ indicates if $a = A$ is a plus-group.

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Example

Possible stock-recruitment relationships:

- *Constant:* $\varphi(B) = \alpha$.
- *Linear:* $\varphi(B) = \alpha B$.
- *Beverton-Holt:* $\varphi(B) = \frac{B}{\alpha + \beta B}$.
- *Ricker:* $\varphi(B) = \alpha B e^{-\beta B}$.

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Definition

- The *catch* at age a over the period $[t - 1, t)$ is:

$$C_{t,a} = \frac{\lambda_t F_a}{\lambda_t F_a + M} \left(1 - e^{-(M + \lambda_t F_a)} \right) N_{t,a}.$$

- The *yield* (in terms of biomass) at time t is:

$$Y_t = \sum_{a=1}^A w_a C_{t,a}.$$

- The *mean fishing mortality function* is defined to be:

$$F(\lambda) = \frac{\lambda}{A_r - a_r + 1} \sum_{a=a_r}^{A_r} F^a.$$

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Current ICES Advices for Fisheries Management

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- Indicators and their associated reference points are key elements of current fisheries management advice of the **International Council for the Exploration of the Sea (ICES)**:
 - *Keeping spawning stock biomass SSB above a threshold reference value B_{ref} .*
 - *Restricting mean fishing mortality F below a threshold reference value F_{ref} .*
- At the same time, ICES uses this first condition as a policy to be checked each year.

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Are the ICES recommendations “sustainable”?

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$$\begin{cases} N_{t+1} = g(N_t, \lambda_t), & t \geq 0 \\ N_0 \text{ given} \end{cases}$$

ICES Recommendation: Given a stock N such that $SSB(N) \geq B_{ref}$, use the maximal fishing effort λ such that

$SSB(f(N, \lambda)) \geq B_{ref}$ and $F(\lambda) \leq F_{ref}$

- $\mathbb{D}_{ICES} = \{(N, \lambda) : SSB(N) \geq B_{ref}, F(\lambda) \leq F_{ref}\}$
- $\mathbb{V}_{ICES} = \{N : SSB(N) \geq B_{ref}\}$

Proposition (Guilbaud et al. 2006)

\mathbb{V}_{ICES} is not always a viability domain for \mathbb{D}_{ICES}

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Obtention of Bioeconomics Indicators

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- If the recruitment function φ is increasing, then g is a bioeconomics dynamics.

- Since $g(N, \lambda) = G(\lambda)N + \begin{pmatrix} \varphi(SSB(N)) \\ \vec{0} \end{pmatrix}$, if φ is constant or lineal, then g is also quasi-linear.
- If $\mathbb{D} = \mathbb{D}_{\text{poly}}$ then $\mathbb{V}(g, \mathbb{D})$ is convex.

Proposition (De Lara, Gajardo & Ramirez 2007)

Consider $\mathbb{D}_{\text{yield}} = \{(N, \lambda) : Y(N, \lambda) \geq y_{\text{min}}\}$, and suppose that φ is increasing and $\varphi \leq R$. If N belongs to the associated viability kernel, then $SSB(N) \geq B_{\text{ref}}$ for some reference value $B_{\text{ref}} > 0$.

That is

$$N \in \mathbb{V}(g, \mathbb{D}_{\text{yield}}) \Rightarrow SSB(N) \geq B_{\text{ref}}.$$

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Proposition (De Lara, Gajardo & Ramírez 2007)

Consider $\mathbb{D}_{\text{yield}} = \{(N, \lambda) : Y(N, \lambda) \geq y_{\text{min}}\}$, and suppose that φ is increasing and $\varphi \leq R$. If N belongs to the associated viability kernel, then $\text{SSB}(N) \geq B_{\text{ref}}$ for some reference value $B_{\text{ref}} > 0$.

That is

$$N \in \mathbb{V}(g, \mathbb{D}_{\text{yield}}) \Rightarrow \text{SSB}(N) \geq B_{\text{ref}}.$$

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- If the recruitment function φ is increasing, then g is a bioeconomics dynamics.
- Since $g(N, \lambda) = G(\lambda)N + \begin{pmatrix} \varphi(\text{SSB}(N)) \\ \vec{0} \end{pmatrix}$, if φ is constant or lineal, then g is also quasi-linear.
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- Some theoretical properties (such as convexity) and some estimations or approximations of the viability kernel have been proved for particular cases.
- This has led to new viability indicators in the fishery management problem.

Perspectives:

- We expect to exploit more some properties of the viability kernel (such as convexity, polyhedral).
- We expect to obtain new indicators for viability in the fishery management problem.
- We would like to extend this approach to models with “two zones” or two interacting species.

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