The designation of geographical entities in this book, and the presentation of the material, do not imply the expression of any opinion whatsoever on the part of IUCN concerning the legal status of any country, territory, or area, or of its authorities, or concerning the delimitation of its frontiers or boundaries.

The views expressed in this publication do not necessarily reflect those of IUCN.

Published by: IUCN, Gland, Switzerland and Cambridge, UK

Copyright: © 2001 International Union for Conservation of Nature and Natural

Resources

Reproduction of this publication for educational or other non-commercial purposes is authorised without prior written permission from the  $\,$ 

copyright holder provided the source is fully acknowledged.

Reproduction of this publication for resale or other commercial purposes is prohibited without prior written permission of the copyright holder.

Citation: IUCN. (2001). IUCN Red List Categories and Criteria: Version 3.1. IUCN

Species Survival Commission. IUCN, Gland, Switzerland and Cambridge,

UK. ii + 30 pp.

ISBN: 2-8317-0633-5

Illustration: The diversity of life by Frederico Gemma

Produced by: The NatureBureau, Newbury, UK

Printed by: Information Press, Oxford, UK

Available from: IUCN Publications Services Unit

219c Huntingdon Road, Cambridge CB3 0DL, United Kingdom

Tel: +44 1223 277894. Fax: +44 1223 277175

E-mail: info@books.iucn.org

http://www.iucn.org

A catalogue of IUCN publications is also available.

The text of this book is printed on Zone Silk 115 gsm made from 100% sustainable fibre sources using chlorine-free processes.

# IUCN Red List Categories and Criteria Version 3.1

Prepared by the IUCN Species Survival Commission

As approved by the 51st meeting of the IUCN Council Gland, Switzerland

9 February 2000

IUCN – The World Conservation Union 2001

## **Acknowledgements**

IUCN gratefully acknowledges the dedication and efforts of the Red List Criteria Review Working Group (CRWG) in attending numerous workshops to discuss and debate the merits and demerits of the Red List Criteria. The members of the CRWG were: Resit Akçakaya, Jonathan Baillie, William Bond, Nigel Collar, Ulf Gärdenfors, Kevin Gaston, Craig Hilton-Taylor, Elodie Hudson, Bob Irvin, David Keith, Russell Lande, Charlotte Lusty, Nigel Leader-Williams, Georgina Mace, Michael Maunder, Larry Master, E.J. Milner-Gulland, Sanjay Molur, Howard Powles, André Punt, Jon Paul Rodríguez, Mary Seddon, Alison Stattersfield, Simon

## I. INTRODUCTION

1. The IUCN Red List Categories and Criteria are intended to be an easily and

the 1996 World Conservation Congress (WCC Res. 1.4) to conduct a review of the system (IUCN 1996). This document presents the revisions accepted by the IUCN Council.

The proposals presented in this document result from a continuing process of drafting, consultation and validation. The production of a large number of draft proposals has led to some confusion, especievy the dra7roposalclassifyofWpured conTrev ofify matters,ion.048 Tcı~-[(dr537stem (o openns ac

#### Version 3.0: IUCN/SSC Criteria Review Working Group (1999)

Following comments received, a series of workshops were convened to look at the IUCN Red List Criteria following which, changes were proposed affecting the criteria, the definitions of some key terms and the handling of uncertainty.

#### Version 3.1: IUCN (2001)

The IUCN Council adopted this latest version, which incorporated changes as a result of comments from the IUCN and SSC memberships and from a final meeting of the Criteria Review Working Group, in February 2000.

All new assessments from January 2001 should use the latest adopted version and cite the year of publication and version number.

4. In the rest of this document, the proposed system is outlined in several sections. Section II, the Preamble, presents basic information about the context and structure of the system, and the procedures that are to be followed in applying the criteria to species. Section III provides definitions of key terms used. 4.guidaint vehoweciedetinwioc ainty.Followsugi"Ttsultste par wedr abwedr cihe crite

## II. PREAMBLE

The information in this section is intended to direct and facilitate the use and interpretation of the categories (Critically Endangered, Endangered, etc.), criteria (A to E), and subcriteria (1, 2, etc.; a, b, etc.; i, ii, etc.).

## 1. Taxonomic level and scope of the categorization process

The criteria can be applied to any taxonomic unit at or below the species level. In the following information, definitions and criteria the term 'taxon' is used for convenience, and may represent species or lower taxonomic levels, including forms that are not yet formally described. There is sufficient range among the different criteria to enable the appropriate listing of taxa from the complete taxonomic spectrum, with the exception of micro-organisms. The criteria may also be applied within any specified geographical or political

#### 3. Role of the different criteria

For listing as Critically Endangered, Endangered or Vulnerable there is a range of quantitative criteria; meeting any one of these criteria qualifies a taxon for listing at that level of threat. Each taxon should be evaluated against all the criteria. Even though some criteria will be inappropriate for certain taxa (some taxa will never qualify under these however close to extinction they come), there should be criteria appropriate for assessing threat levels for any taxon. The relevant factor is whether *any one* criterion is met, not whether all are appropriate or all are met. Because it will never be clear in advance which criteria are appropriate for a particular taxon, each taxon should be evaluated against all the criteria, and *all* criteria met at the highest threat category must be listed.

## 4. Derivation of quantitative criteria

The different criteria (A–E) are derived from a wide review aimed at detecting risk factors across the broad range of organisms and the diverse life histories they exhibit. The quantitative values presented in the various criteria associated with threatened categories were developed through wide consultation, and they are set at what are generally judged to be appropriate levels, even if no formal justification for these values exists. The levels for different criteria within categories were set independently but against a common standard. Broad consistency between them was sought.

### 5. Conservation actions in the listing process

The criteria for the threatened categories are to be applied to a taxon whatever the level of conservation action affecting it. It is important to emphasise here that a taxon may require conservation action even if it is not listed as threatened. Conservation actions which may benefit the taxon are included as part of the documentation requirements (see Annex 3).

### 6. Data quality and the importance of inference and projection

The criteria are clearly quantitative in nature. However, the absence of high-quality data should not deter attempts at applying the criteria, as methods involving estimation, inference and projection are emphasised as being acceptable throughout. Inference and projection may be based on extrapolation of current or potential threats into the future (including their rate of change), or of factors related to population abundance or distribution (including dependence on other taxa), so long as these can reasonably be supported. Suspected or inferred patterns in the recent past, present or near future can be based on any of a series of related factors, and these factors should be specified as part of the documentation.

Taxa at risk from threats posed by future events of low probability but with severe consequences (catastrophes) should be identified by the criteria (e.g. small distributions, few locations). Some threats need to be identified particularly early, and appropriate actions taken, because their effects are irreversible or nearly so (e.g., pathogens, invasive organisms, hybridization).

#### 7. Problems of scale

Classification based on the sizes of geographic ranges or the patterns of habitat occupancy is complicated by problems of spatial scale. The finer the scale at which the distributions or habitats of taxa are mapped, the smaller the area will be that they are found to occupy, and the less likely it will be that range estimates (at least for 'area of occupancy': see Definitions, point 10) exceed the thresholds specified in the criteria. Mapping at finer scales reveals more areas in which the taxon is unrecorded. Conversely, coarse-scale mapping reveals fewer unoccupied areas, resulting in range estimates that are more likely to exceed the thresholds for the threatened categories. The choice of scale at which range is estimated may thus, itself, influence the outcome of Red List assessments and could be a source of inconsistency and bias. It is impossible to provide any strict but general rules for mapping taxa or habitats; the most appropriate scale will depend on the taxon in question, and the origin and comprehensiveness of the distribution data.

### 8. Uncertainty

The data used to evaluate taxa against the criteria are often estimated with considerable uncertainty. Such uncertainty can arise from any one or all of the following three factors: natural variation, vagueness in the terms and definitions used, and measurement error. The way in which this uncertainty is handled can have a strong influence on the results of an evaluation. Details of methods recommended for handling uncertainty are included in Annex 1, and assessors are encouraged to read and follow these principles.

In general, when uncertainty leads to wide variation in the results of assessments, the range of possible outcomes should be specified. A single category must be chosen and the basis for the decision should be documented; it should be both precautionary and credible.

When data are very uncertain, the category of 'Data Deficient' may be assigned. However, in this case the assessor must provide documentation showing that this category has been assigned because data are inadequate to determine a threat category. It is important to recognize that taxa that are poorly known can often be assigned a threat category on the basis of background information concerning the deterioration of their habitat and/or other causal factors; therefore the liberal use of 'Data Deficient' is discouraged.

## 9. Implications of listing

Listing in the categories of Not Evaluated and Data Deficient indicates that no assessment of extinction risk has been made, though for different reasons. Until such time as an assessment is made, taxa listed in these categories should not be treated as if they were non-threatened. It may be appropriate (especially for Data Deficient forms) to give them the same degree of attention as threatened taxa, at least until their status can be assessed

#### 10. Documentation

All assessments should be documented. Threatened classifications should state the criteria and subcriteria that were met. No assessment can be accepted for the IUCN Red List as valid unless at least one criterion is given. If more than one criterion or subcriterion is met, then each should be listed. If a re-evaluation indicates that the documented criterion is no longer met, this should not result in automatic reassignment to a lower category of threat (downlisting). Instead, the taxon should be re-evaluated against all the criteria to clarify its status. The factors responsible for qualifying the taxon against the criteria, especially where inference and projection are used, should be documented

(see Annexes 2 and 3). The documentation requirements for other categories are also specified in Annex 3.

### 11. Threats and priorities

The category of threat is not necessarily sufficient to determine priorities for conservation action. The category of threat simply provides an assessment of the extinction risk under current circumstances, whereas a system for assessing priorities for action will include numerous other factors concerning conservation action such as costs, logistics, chances of success, and other biological characteristics of the subject.

#### 12. Re-evaluation

Re-evaluation of taxa against the criteria should be carried out at appropriate intervals. This is especially important for taxa listed under Near Threatened, Data Deficient and for threatened taxa whose status is known or suspected to be deteriorating.

#### 13. Transfer between categories

The following rules govern the movement of taxa between categories:

- A. A taxon may be moved from a category of higher threat to a category of lower threat if none of the criteria of the higher category has been met for five years or more.
- B. If the original classification is found to have been erroneous, the taxon may be transferred to the appropriate category or removed from the threatened categories altogether, without delay (but see Point 10 above).
- C. Transfer from categories of lower to higher risk should be made without delay.

## 14. Use at regional level

The IUCN Red List Categories and Criteria were designed for global taxon assessments. However, many people are interested in applying them to subsets of global data, especially at regional, national or local levels. To do this it is important to refer to guidelines prepared by the IUCN/SSC Regional Applications Working Group (e.g., Gärdenfors *et al.* 2001). When applied at national or regional levels it must be recognized that a global category may not be the same as a national or regional category for a particular taxon. For example, taxa classified as Least Concern globally might be Critically Endangered within a particular region where numbers are very small or declining, perhaps only because they are at the margins of their global range. Conversely, taxa classified as Vulnerable on the basis of their global declines in numbers or range might be

Least Concern within a particular region where their populations are stable. It is also important to note that taxa endemic to regions or nations will be assessed globally in any regional or national applications of the criteria, and in these cases great care must be taken to check that an assessment has not already been undertaken by a Red List Authority (RLA), and that the categorization is agreed with the relevant RLA (e.g., an SSC Specialist Group known to cover the taxon).

## III. DEFINITIONS

## 1. Population and Population Size (Criteria A, C and D)

The term 'population' is used in a specific sense in the Red List Criteria that is different to its common biological usage. Population is here defined as the total number of individuals of the taxon. For functional reasons, primarily owing to differences between life forms, population size is measured as numbers of mature individuals only. In the case of taxa obligately dependent on other taxa for all or part of their life cycles, biologically appropriate values for the host taxon should be used.

## 2. Subpopulations (Criteria B and C)

Subpopulations are defined as geographically or otherwise distinct groups in the population between which there is little demographic or genetic

age at first breeding and less than the age of the oldest breeding individual, except in taxa that breed only once. Where generation length varies under threat, the more natural, i.e. pre-disturbance, generation length should be used.

#### 5. Reduction (Criterion A)

A reduction is a decline in the number of mature individuals of at least the amount (%) stated under the criterion over the time period (years) specified, although the decline need not be continuing. A reduction should not be interpreted as part of a fluctuation unless there is good evidence for this. The downward phase of a fluctuation will not normally count as a reduction.

## 6. Continuing decline (Criteria B and C)

A continuing decline is a recent, current or projected future decline (which may be smooth, irregular or sporadic) which is liable to continue unless remedial measures are taken. Fluctuations will not normally count as continuing declines, but an observed decline should not be considered as a fluctuation unless there is evidence for this.

## 7. Extreme fluctuations (Criteria B and C)

Extreme fluctuations can be said to occur in a number of taxa when population size or distribution area varies widely, rapidly and frequently, typically with a variation greater than one order of magnitude (i.e. a tenfold increase or decrease).

## 8. Severely fragmented (Criterion B)

The phrase 'severely fragmented' refers to the situation in which increased extinction risk to the taxon results from the fact that most of its individuals are found in small and relatively isolated subpopulations (in certain circumstances this may be inferred from habitat information). These small subpopulations may go extinct, with a reduced probability of recolonization.

## 9. Extent of occurrence (Criteria A and B)

Extent of occurrence is defined as the area contained within the shortest continuous imaginary boundary which can be drawn to encompass all the known, inferred or projected sites of present occurrence of a taxon, excluding cases of vagrancy (see Figure 2). This measure may exclude discontinuities or disjunctions within the overall distributions of taxa (e.g. large areas of obviously unsuitable habitat) (but see 'area of occupancy', point 10 below). Extent of occurrence can often be measured by a minimum convex polygon (the smallest polygon in which no internal angle exceeds 180 degrees and which contains all the sites of occurrence).

threats and the available data (see point 7 in the Preamble). To avoid inconsistencies and bias in assessments caused by estimating area of occupancy at different scales, it may be necessary to standardize estimates by applying a scale-correction factor. It is difficult to give strict guidance on how standardization should be done because different types of taxa have different scale-area relationships.

#### 11. Location (Criteria B and D)

The term 'location' defines a geographically or ecologically distinct area in which a single threatening event can rapidly affect all individuals of the taxon present. The size of the location depends on the area covered by the threatening event and may include part of one or many subpopulations. Where a taxon is affected by more than one threatening event, location should be defined by considering the most serious plausible threat.

#### 12. Quantitative analysis (Criterion E)

A quantitative analysis is defined here as any form of analysis which estimates the extinction probability of a taxon based on known life history, habitat requirements, threats and any specified management options. Population viability analysis (PVA) is one such technique. Quantitative analyses should make full use of all relevant available data. In a situation in which there is limited information, such data as are available can be used to provide an estimate of extinction risk (for instance, estimating the impact of stochastic events on habitat). In presenting the results of quantitative analyses, the assumptions (which must be appropriate and defensible), the data used and the uncertainty in the data or quantitative model must be documented.

## IV. THE CATEGORIES 1

A representation of the relationships between the categories is shown in Figure 1.

## **EXTINCT (EX)**

A taxon is Extinct when there is no reasonable doubt that the last individual has died. A taxon is presumed Extinct when exhaustive surveys in known and/or

## **NEAR THREATENED (NT)**

A taxon is Near Threatened when it has been evaluated against the criteria but does not qualify for Critically Endangered, Endangered or Vulnerable now, but is close to qualifying for or is likely to qualify for a threatened category in the near future.

#### LEAST CONCERN (LC)

A taxon is Least Concern when it has been evaluated against the criteria and does not qualify for Critically Endangered, Endangered, Vulnerable or Near Threatened. Widespread and abundant taxa are included in this category.

#### **DATA DEFICIENT (DD)**

A taxon is Data Deficient when there is inadequate information to make a direct, or indirect, assessment of its risk of extinction based on its distribution and/or population status. A taxon in this category may be well studied, and its biology well known, but appropriate data on abundance and/or distribution are lacking. Data Deficient is therefore not a category of threat. Listing of taxa in this category indicates that more information is required and acknowledges the possibility that future research will show that threatened classification is appropriate. It is important to make positive use of whatever data are available. In many cases great care should be exercised in choosing between DD and a threatened status. If the range of a taxon is suspected to be relatively circumscribed, and a considerable period of time has elapsed since the last record of the taxon, threatened status may well be justified.

## **NOT EVALUATED (NE)**

A taxon is Not Evaluated when it is has not yet been evaluated against the criteria.

- B. Geographic range in the form of either B1 (extent of occurrence) OR B2 (area of occupancy) OR both:
  - 1. Extent of occurrence estimated to be less than 100 km², and estimates indicating at least two of a-c:
    - a. Severely fragmented or known to exist at only a single location.
    - b. Continuing decline, observed, inferred or projected, in any of the following:
      - (i) extent of occurrence
      - (ii) area of occupancy
      - (iii) area, extent and/or quality of habitat
      - (iv) number of locations or subpopulations
      - (v) number of mature individuals.
    - c. Extreme fluctuations in any of the following:
      - (i) extent of occurrence
      - (ii) area of occupancy
      - (iii) number of locations or subpopulations
      - (iv) number of mature individuals.
  - 2. Area of occupancy estimated to be less than 10 km<sup>2</sup>, and estimates indicating at least two of a-c:
    - a. Severely fragmented or known to exist at only a single location.
    - b. Continuing decline, observed, inferred or projected, in any of the following:
      - (i) extent of occurrence
      - (ii) area of occupancy
      - (iii) area, extent and/or quality of habitat
      - (iv) number of locations or subpopulations
      - (v) number of mature individuals.
    - c. Extreme fluctuations in any of the following:
      - (i) extent of occurrence
      - (ii) area of occupancy
      - (iii) number of locations or subpopulations
      - (iv) number of mature individuals.

- C. Population size estimated to number fewer than 250 mature individuals and either:
  - 1. An estimated continuing decline of at least 25% within three years or one generation, whichever is longer, (up to a maximum of 100 years in the future) OR
  - 2. A continuing decline, observed, projected, or inferred, in numbers of mature individuals AND at least one of the following (a–b):
    - a. Population structure in the form of one of the following:
      - (i) no subpopulation estimated to contain more than 50 mature individuals, OR
      - (ii) at least 90% of mature individuals in one subpopulation.
    - b. Extreme fluctuations in number of mature individuals.
- D. Population size estimated to number fewer than 50 mature individuals.
- E. Quantitative analysis showing the probability of extinction in the wild is at least 50% within 10 years or three generations, whichever is the longer (up to a maximum of 100 years).

#### **ENDANGERED (EN)**

A taxon is Endangered when the best available evidence indicates that it meets any of the following criteria (A to E), and it is therefore considered to be facing a very high risk of extinction in the wild:

- A. Reduction in population size based on any of the following:
  - 1. An observed, estimated, inferred or suspected population size reduction of ≥fathuafbekænfævtslyo Tllosi2va meets 6

- 2. Area of occupancy estimated to be less than 500 km², and estimates indicating at least two of a-c:
  - a. Severely fragmented or known to exist at no more than five locations.
  - b. Continuing decline, observed, inferred or projected, in any of the following:
    - (i) extent of occurrence
    - (ii) area of occupancy
    - (iii) area, extent and/or quality of habitat
    - (iv) number of locations or subpopulations
    - (v) number of mature individuals.
  - c. Extreme fluctuations in any of the following:
    - (i) extent of occurrence
    - (ii) area of occupancy
    - (iii) number of locations or subpopulations
    - (iv) number of mature individuals.
- C. Population size estimated to number fewer than 2500 mature individuals and either:
  - 1. An estimated continuing decline of at least 20% within five years or two generations, whichever is longer, (up to a maximum of 100 years in the future) OR
  - 2. A continuing decline, observed, projected, or inferred, in numbers of mature individuals AND at least one of the following (a–b):
    - a. Population structure in the form of one of the following:
      - (i) no subpopulation estimated to contain more than 250 mature individuals, OR
      - (ii) at least 95% of mature individuals in one subpopulation.
    - b. Extreme fluctuations in number of mature individuals.
- D. Population size estimated to number fewer than 250 mature individuals.
- E. Quantitative analysis showing the probability of extinction in the wild is at least 20% within 20 years or five generations, whichever is the longer (up to a maximum of 100 years).

#### **VULNERABLE (VU)**

A taxon is Vulnerable when the best available evidence indicates that it meets any of the following criteria (A to E), and it is therefore considered to be facing a high risk of extinction in the wild:

## A. Reduction in population size based on any of the following:

- An observed, estimated, inferred or suspected population size reduction of ≥50% over the last 10 years or three generations, whichever is the longer, where the causes of the reduction are: clearly reversible AND understood AND ceased, based on (and specifying) any of the following:
  - (a) direct observation
  - (b) an index of abundance appropriate to the taxon
  - (c) a decline in area of occupancy, extent of occurrence and/or quality of habitat
  - (d) actual or potential levels of exploitation
  - (e) the effects of introduced taxa, hybridization, pathogens, pollutants, competitors or parasites.
- An observed, estimated, inferred or suspected population size reduction of ≥30% over the last 10 years or three generations, whichever is the longer, where the reduction or its causes may not have ceased OR may not be understood OR may not be reversible, based on (and specifying) any of (a) to (e) under A1.
- 3. A population size reduction of ≥30%, projected or suspected to be met within the next 10 years or three generations, whichever is the longer (up to a maximum of 100 years), based on (and specifying) any of (b) to (e) under A1.
- 4. An observed, estimated, inferred, projected or suspected population size reduction of ≥30% over any 10 year or three generation period, whichever is longer (up to a maximum of 100 years in the future), where the time period must include both the past and the future, and where the reduction or its causes may not have ceased OR may not be understood OR may not be reversible, based on (and specifying) any of (a) to (e) under A1.
- B. Geographic range in the form of either B1 (extent of occurrence) OR B2 (area of occupancy) OR both:
  - 1. Extent of occurrence estimated to be less than 20,000 km², and estimates indicating at least two of a-c:

- a. Severely fragmented or known to exist at no more than 10 locations.
- b. Continuing decline, observed, inferred or projected, in any of the following:
  - (i) extent of occurrence
  - (ii) area of occupancy
  - (iii) area, extent and/or quality of habitat
  - (iv) number of locations or subpopulations
  - (v) number of mature individuals.
- c. Extreme fluctuations in any of the following:
  - (i) extent of occurrence
  - (ii) area of occupancy
  - (iii) number of locations or subpopulations
  - (iv) number of mature individuals.
- 2. Area of occupancy estimated to be less than 2000 km<sup>2</sup>, and estimates

## **Annex 1: Uncertainty**

The Red List Criteria should be applied to a taxon based on the available evidence concerning its numbers, trend and distribution. In cases where there are evident threats to a taxon through, for example, deterioration of its only known habitat, a threatened listing may be justified, even though there may be little direct information on the biological status of the taxon itself. In all these instances there are uncertainties associated with the available information and how it was obtained. These uncertainties may be categorized as natural variability, semantic uncertainty and measurement error (Akçakaya et al. 2000). This section provides guidance on how to recognize and deal with these uncertainties when using the criteria.

Natural variability results from the fact that species' life histories and the environments in which they live change over time and space. The effect of this variation on the criteria is limited, because each parameter refers to a specific time or spatial scale. Semantic uncertainty arises from vagueness in the definition of terms or lack of consistency in different assessors' usage of them. Despite attempts to make the definitions of the terms used in the criteria exact, in some cases this is not possible without the loss of generality. Measurement error is often the largest source of uncertainty; it arises from the lack of precise information about the parameters used in the criteria. This may be due to inaccuracies in N.1 T54 Tc1-0.12BurgfinTw1"(et al)Tj1"/F9.63671"1.702 0 TD1"-0.1000). This sectionast tan

(known as dispute tolerance). An assessor with a low dispute tolerance would include all values, thereby increasing the uncertainty, whereas an assessor with a high dispute tolerance would exclude extremes, reducing the uncertainty. Second, assessors need to consider whether they have a precautionary or evidentiary attitude to risk (known as risk tolerance). A precautionary attitude will classify a taxon as threatened unless it is certain that it is not threatened, whereas an evidentiary attitude will classify a taxon as threatened only when there is strong evidence to support a threatened classification. Assessors should resist an evidentiary attitude and adopt a precautionary but realistic attitude to uncertainty when applying the criteria, for example, by using plausible lower bounds, rather than best estimates, in determining population size, especially if it is fluctuating. All attitudes should be explicitly documented.

An assessment using a point estimate (i.e. single numerical value) will lead to a single Red List Category. However, when a plausible range for each parameter is used to evaluate the criteria, a range of categories may be obtained, reflecting the uncertainties in the data. A single category, based on a specific attitude to uncertainty, should always be listed along with the criteria met, while the range of plausible categories should be indicated in the documentation (see Annex 3).

Where data are so uncertain that any category is plausible, the category of 'Data Deficient' should be assigned. However, it is important to recognize that this category indicates that the data are inadequate to determine the degree of threat faced by a taxon, not necessarily that the taxon is poorly known or indeed not threatened. Although Data Deficient is not a threatened category, it indicates a need to obtain more information on a taxon to determine the appropriate listing; moreover, it requires documentation with whatever available information there is.

# Annex 2: Citation of the IUCN Red List Categories and Criteria

In order to promote the use of a standard format for citing the Red List Categories and Criteria the following forms of citation are recommended:

# Annex 3: Documentation Requirements for Taxa Included on the IUCN Red List

The following is the **minimum** set of information, which should accompany every assessment submitted for incorporation into the *IUCN Red List of Threatened Species*<sup>TM</sup>:

at least two members of a Red List Authority. The Red List Authority is appointed by the Chair of the IUCN Species Survival Commission and is usually a sub-group of a Specialist Group. The names of the evaluators will appear with each assessment.

In addition to the minimum documentation, the following information should also be supplied where appropriate:

- If a quantitative analysis is used for the assessment (i.e. Criterion E), the data, assumptions and structural equations (e.g., in the case of a Population Viability Analysis) should be included as part of the documentation.
- For Extinct or Extinct in the Wild taxa, extra documentation is required indicating the effective date of extinction, possible causes of the extinction and the details of surveys which have been conducted to search for the taxon.
- For taxa listed as Near Threatened, the rationale for listing should include a discussion of the criteria that are nearly met or the reasons for highlighting the taxon (e.g., they are dependent on ongoing conservation measures).
- For taxa listed as Data Deficient, the documentation should include what little information is available.

Assessments may be made using version 2.0 of the software package RAMAS® Red List (Akçakaya and Ferson 2001). This program assigns taxa to Red List Categories according to the rules of the IUCN Red List Criteria and has the advantage of being able to explicitly handle uncertainty in the data. The software captures most of the information required for the documentation above, but in some cases the information will be reported differently. The following points should be noted:

- If RAMAS® Red List is used to obtain a listing, this should be stated.
- Uncertain values should be entered into the program as a best estimate and a plausible range, or as an interval (see the RAMAS® Red List manual or help files for further details).
- The settings for attitude towards risk and uncertainty (i.e. dispute tolerance, risk tolerance and burden of proof) are all pre-set at a mid-point. If any of these settings are changed this should be documented and fully justified, especially if a less precautionary position is adopted.
- Depending on the uncertainties, the resulting classification can be a single category and/or a range of plausible categories. In such instances, the following approach should be adopted (the program will usually indicate this automatically in the Results window):
  - If the range of plausible categories extends across two or more of the threatened categories (e.g. Critically Endangered to Vulnerable) and no

## References

Akçakaya, H.R. and Ferson, S. 2001. RAMAS® Red List: Threatened Species

#### **IUCN SSC Publications**

#### Action Plans

Action Plans assess the conservation status of species and their habitats, and specify conservation priorities. The series (over 60 published to date) is one of the world's most authoritative sources of species conservation information available to natural resource managers, conservationists and government officials around the world.

The *IUCN Red List of Threatened Species* (of animals and plants)
The IUCN Red List includes species that have been assessed according to the IUCN Red List Categories and Criteria. For each species, the category of threat and relevant criteria are shown, together with other documentation about distribution range, habitats, threats, conservation measures, etc.

#### **IUCN Policies and Guidelines**

## **IUCN Species Survival Commission**

The Species Survival Commission (SSC) is one of six volunteer commissions of IUCN – The World Conservation Union, a union of sovereign states, government agencies and non-governmental