Note: this is the pre-review version of this paper. Please email me for the final version. j.elith@unimelb.edu.au

How soon can the IUCN Red List criteria of Threatened Species detect risks posed by climate change?

DAVID A. KEITH[1,2], MICHAEL MAHONY[3], HARRY HINES[4], JANE ELITH[5], TRACEY J. REGAN[6], JOHN B. BAUMGARTNER[6], DAVID HUNTER[7], GEOFFREY W. HEARD[6], NICOLA J. MITCHELL[8], KIRSTEN M. PARRIS[6], TRENT PENMAN[9], BEN SCHEELE[10], CHRISTOPHER C. SIMPSON[2], REID TINGLEY[6], CHRISTOPHER R. TRACY[11], MATT WEST[5,6,12] AND H. RESIT AKÇAKAYA[13]

[1]Australian Rivers, Wetlands and Landscapes Centre, School of Biological, Earth and Environmental Sciences, University of New South Wales, Kensington NSW 2052, Australia.

[2]NSW Office of Environment and Heritage, PO Box 1967, Hurstville NSW 2220, Australia.

[3]University of Newcastle, Callaghan NSW 2308, Australia.

[4]Queensland Parks and Wildlife Service, Brisbane Qld 4000, Australia.

[5]ARC Centre of Excellence for BioSecurity Risk Analysis, School of Botany, University of Melbourne, Parkville, Victoria 3010, Australia.

[6]ARC Centre of Excellence for Environmental Decisions, School of Botany, University of Melbourne, Parkville, Victoria 3010, Australia.

[7]NSW Office of Environment and Heritage, PO Box 733, Queanbeyan NSW 2620, Australia.

[8]School of Animal Biology, University of Western Australia, Crawley, Western Australia 6009, Australia.

[9]Centre for Environmental Risk Management of Bushfires, School of Biological Sciences, University of Wollongong, NSW 2522, Australia.

[10]Fenner School of Environment and Society, Australian National University, Canberra, ACT 0200, Australia.

[11]Department of Zoology, University of Melbourne, Parkville, Victoria 3010, Australia. Present address: Department of Biological Science, California State University Fullerton, P.O. Box 34080. Fullerton, CA 92834, USA.

[12]Wildlife Conservation and Science, Zoos Victoria, Victoria 3052, Australia

[13]Department of Ecology and Evolution, Stony Brook University, Stony Brook, NY 11794, USA.

Abstract: *Anthropogenic climate change is a key threat to global biodiversity. To inform strategic actions aimed at conserving biodiversity as the climate changes, conservation planners need early warning about the relative risks faced by different species. The IUCN Red List criteria for Threatened Species is widely acknowledged as useful risk assessment tool for informing conservation under constraints imposed by limited data. However, doubts have been expressed about the ability of the Red List criteria to detect risks imposed by potentially slow-acting threats such as climate change, particularly because criteria addressing rates of population decline are assessed over time scales as short as 10 years. We used spatially explicit stochastic*

*population models coupled with dynamic species distribution models projected to future climates to ask how long before extinction a species would become eligible for listing as threatened based on the Red List criteria. In this study, we focussed on a short-lived frog species (*Assa darlingtoni*) chosen specifically to represent potential weaknesses in the criteria to allow detailed consideration of the analytical issues and to develop an approach for wider application. The results suggest that the criteria are more sensitive to climate change than previously anticipated, with lead times between initial listing in a threatened category and predicted extinction varying between 40 and 80 years, depending on data availability. We attribute this sensitivity primarily to the ensemble properties of the criteria, which assess contrasting symptoms of extinction risk. Nevertheless, we recommend that the robustness of the criteria warrants further investigation across species with contrasting life-histories and patterns of decline. The adequacy of these lead times for early warning depends on practicalities of environmental policy and management, bureaucratic or political inertia and the anticipated species response times to adaptation and mitigation actions.*

Key words: extinction risk, IUCN Red List, climate change, amphibian, frog, population model, species distribution model, risk assessment

Word count: 6208

Introduction

Anthropogenic climate change is one of the major global threats to biodiversity, with more than a million terrestrial species potentially 'committed to extinction' by mid-century (Thomas et al. 2004; Parry et al. 2007; Hannah 2012). Accurate predictions of the risks of such losses are vital to motivate and inform effective remedial actions at global and local scales, and to focus specific efforts on species and locations that would benefit most. For these reasons, species at significant risk of extinction as a result of climate change ought to be included on listings of threatened species (Westoby & Burgman 2006).

The IUCN Red List of Threatened Species (e.g. Vie et al. 2009) is widely recognised as an authoritative and reliable global listing in which species are assigned to categories representing different levels of extinction risk (IUCN 2001; Mace et al. 2008). The Red List is based on five quantitative assessment criteria, derived from population theory, that are used to assign species to any of three different threat categories (Critically Endangered, Endangered or Vulnerable) or else an appropriate category for taxa not identified as threatened (Extinct in the Wild, Near Threatened, Least Concern or Data Deficient) (IUCN 2001). Empirical evaluations have shown that the Red List protocol is consistent and predicts extinction risk accurately (e.g. Keith et al. 2004).

Climate change has been identified as a threat to a relatively small fraction of species currently listed as threatened in Australia (Westoby & Burgman 2006) and globally (Vie et al. 2009), yet distribution modelling (Thomas et al. 2004; Hof et al. 2011) and

trait analyses (Foden et al. 2013) suggest that more taxa are at risk. For example, one-quarter of the world's bird and amphibian taxa and half of all coral taxa were found to possess traits that make them susceptible to climate change, but these taxa are not currently listed as threatened (Foden et al. 2013). There could be several explanations for this discrepancy. Firstly, many taxa that are potentially susceptible to climate change may presently appear safe from extinction due to limited exposure to climate change or lagged responses (Foden et al. 2013). Secondly, assessors may be reluctant to consider climate change as a threat to specific taxa due to high levels of uncertainty about both the magnitude of future climate change and its ecological effects (Westoby & Burgman 2006). Thirdly, climate change may act in concert with other, more readily identified threats (Hof et a. 2012). Finally, the Red List criteria may not be well suited to detection of climate change threats (Hannah 2012).

One of the Red List's most important roles is as an 'early-warning' system that identifies species at most immediate risk to inform priorities for conservation action (Vie et al. 2009). To perform this role effectively, the Red List criteria should identify species at risk of extinction with some lead time in advance of the expected extinction event, irrespective of its cause. The Red List criteria assess declines over time horizons that are scaled by generation length to account for the fact that long-lived species are at greater risk of extinction when exposed to elevated annual mortality rates than short-lived species (Mace et al. 2008). Many vertebrate and invertebrate species that have generation lengths less than seven years are therefore assessed over time horizons of 10 - 20 years.

In contrast, the majority of studies assessing potential impacts of climate change on species are based on projections that range from 50 to 100 years into the future (Cameron 2012). This has led to concerns that the Red List criteria are 'poorly suited to assessing threats such as climate change, which happen now but have effects years or decades in the future' (Hannah 2012). Thomas et al. (2004) suggest that the Red List criteria assess declines using time scales that ‘are not suited to evaluate the consequences of slow-acting but persistent threats.’ In essence, for many taxa (especially those with short generation lengths), the assessment time frames within the Red List criteria may be too short for climate related declines to be apparent, even though past greenhouse gas emissions have already determined the fate of the species in the absence of timely remedial action (Akçakaya et al. 2006).

Several studies have used methods based on the IUCN Red List criteria to identify species threatened by climate change (reviewed by Akçakaya et al. 2006; also Levinsky et al. 2007; Thuiller et al. 2008). These studies apply only some of the Red List criteria (typically only criterion A, which addresses population reduction) and involve modifications to the time horizons and/or the thresholds of decline. As Akçakaya et al. (2006) point out, these arbitrary modifications make the criteria less consistent across different symptoms of extinction risk and across different taxonomic groups, and consequently make the criteria less capable of identifying the species at greatest risk of extinction.

Despite the concerns and speculations about the performance of the Red List criteria for assessing extinction risks under climate change, we could find no empirical risk assessments that directly address the issue. To inform the debate and demonstrate how

143 the problem may be investigated, we present a detailed assessment of extinction risk
144 using all five IUCN Red List criteria. Specifically, we ask how soon the Red List
145 criteria identify a species as threatened by climate change, and which criteria are
146 crucial for early detection of risk. We chose a short-lived amphibian species for which
147 climate change appears to be the major current threat. To carry out the risk
148 assessment, we used a coupled modelling approach capable of addressing species life
149 history and habitat responses to projected climate scenarios (Keith et al. 2008;
150 Fordham et al. 2012).

151 # Methods

152 ## Study species

153 Frogs are an extinction-prone group worldwide (Houlahan et al. 2000; Stuart et al.
154 2004) and thought to be particularly susceptible to future climatic changes (Pounds et
155 al. 2006). Our study species, *Assa darlingtoni* Loveridge 1933 (the hip-pocket frog),
156 family Myobatrachidae, occurs between the Conondale Range (26°42'S) and the
157 Dorrigo Plateau (30°20'S) in cool moist rainforest or eucalypt forest within several
158 disjunct montane areas of the coastal escarpment, mostly above 600 m, in central
159 eastern Australia. Its females lay 8 to 18 relatively large eggs in leaf litter, with the
160 tadpoles emerging after a short period of embryonic development and wriggling into
161 lateral pouches of the adult male which cares for them for about 40 days before
162 emergence as subadults (Tyler 1985, Ehmann and Swann 1985). Breeding occurs in
163 the spring and summer months, usually after moderate to heavy rainfall. Males call
164 from secreted positions under leaf litter. Dispersal appears to be very localised, with
165 few animals likely to move more than a few hundred metres through the leaf litter.
166

Climate change is the most serious plausible threat to the persistence of *A. darlingtoni,* given that it is restricted to cool moist montane habitats that are projected to warm over the coming decades. Although the species range may have previously been reduced by forest clearing and logging, almost all of its remaining distribution is protected from further habitat loss within conservation reserves. The species co-occurs with several stream-dependent frogs whose decline is attributed to disease caused by chytrid fungus. Few individuals of *A. darlingtoni* have been tested for susceptibility to the disease, but its populations are apparently not declining. Its limited reliance on water bodies may limit exposure to chytrid, although some species with similar life histories are known to be susceptible (Bell et al. 2004). In this study, we did not model the effects of chytrid on the persistence of *A. darlingtoni*. Other threats to the species are localised, including timber extraction, roading, weed invasion, grazing and frequent burning (http://www.environment.nsw.gov.au/threatenedSpeciesApp/profile.aspx?id=10070, downloaded 26/3/2013). *Assa darlingtoni* is currently classified as Least Concern on the global Red List (Table 1) 'in view of its wide distribution, presumed large population, and because it is unlikely to be declining fast enough to qualify for listing in a more threatened category' (Hero et al. 2004).

Assessment

We assessed the status of *A. darlingtoni* using IUCN Red List categories and criteria (IUCN 2001). The five criteria assess: A) population reductions over 10 years or three generations, whichever is longer; B) geographic range size in combination with severe fragmentation, number of locations, continuing declines and extreme fluctuations; C) population size in combination with continuing declines, population structure and extreme fluctuations; D) population size and range size in isolation of other factors;

192 and E) quantitative estimates of extinction risk. The criteria were interpreted in
193 accordance with IUCN guidelines (IUCN 2011).
194
195 Although the available data permit a limited assessment of current status, they were
196 insufficient for comprehensive assessments of the criteria at multiple temporal
197 reference points. We therefore used a population model to estimate all the variables
198 required for Red List assessment. The model was constructed and parameterised from
199 available data and expert knowledge (see below). We incorporated uncertainty by
200 constructing fuzzy estimates of population variables comprising best estimates (mean
201 of all simulations) with plausible upper and lower bounds drawn from the 5th and
202 95th percentiles of the model output (Akçakaya et al. 2000). We used RAMAS Red
203 List (Akçakaya et al. 2007) to calculate the risk categories from the fuzzy estimates.
204 To examine the robustness of assessment outcomes to missing data, we re-assessed
205 the overall status after excluding the criterion that returned the highest category of risk
206 (Keith et al. 2000).
207
208 In implementing Red List assessments, RAMAS Red List allows users to specify their
209 attitude to risk and uncertainty by setting values to represent their risk tolerance and
210 dispute tolerance (Akçakaya et al. 2000). Values of risk tolerance range from 0 (an
211 extremely risk-averse precautionary attitude to risk and uncertainty), to a 1 (an
212 extremely risk-prone evidentiary attitude). For all assessments, we set risk tolerance to
213 0.45, representing a slightly more precautionary attitude than the balance of evidence,
214 consistent with IUCN's (2001) recommendation that assessors take a 'precautionary
215 but realistic' attitude to risk and uncertainty. Values of dispute tolerance range from 0
216 for inclusion of all estimates to 1 for inclusion of only the consensus estimates (in this

case the best estimate). For all assessments, we set dispute tolerance at 0.5, excluding the most extreme estimates of each variable (Akçakaya et al. 2000, 2007).

Predictive modelling

Species distribution model

Locality data were assembled from survey records and specimens held by the NSW Office of Environment and Heritage, the Queensland Environmental Protection Authority, and the Australian and Queensland Museums. All records were checked by experts (HH, MM) to remove erroneous and unreliable records. The 758 reliable records were then randomly thinned so that each location was separated by a minimum distance of 1.5 km to reduce spatial dependence and survey bias. A further seven records were discarded because they were located at sites outside the mapped area of native forest, on which this species is wholly dependent. This is likely to have resulted from small positional inaccuracies rather than forest loss after the species was recorded. Remaining records were transposed onto a 9 arc-second (approximately 285 m) grid, producing a final data set for modelling that included 127 presence records. A set of 9100 background sample points (Phillips et al. 2006) was generated on the same 285 m grid from within a region defined by four bioregions (South Eastern Queensland, NSW North Coast, New England, and Nandewar), and two subregions (the Banana-Auburn Ranges and Eastern Darling Downs) within the Brigalow Belt South bioregion (IBRA7, http://www.environment.gov.au/parks/nrs/science/bioregion-framework/ibra/index.html#ibra). Background sites were only taken from sites with native vegetation. The use of bioregions was intended to constrain the absence records

241 to ecologically plausible regions of species occurrence under present day or future
242 climatic conditions, thereby sharpening the predictions of suitable habitat.
243
244 A set of environmental data layers (9 arc-second grid cells) was selected by experts
245 (HH, MM) as potential predictors of suitable habitat for *A. darlingtoni* (Table 2). A
246 series of alternative Species Distribution Models (SDMs) with different subsets of
247 predictors was fitted using a Maximum Entropy algorithm, MAXENT (Phillips et al.
248 2006), which performed well in comparative tests with other methods (Elith et al.
249 2006). The models were constructed using hinge features with a regularisation
250 multiplier of 1.5 to create reasonably smooth responses that would extrapolate in a
251 biologically realistic manner (Elith et al. 2010). Model outputs were evaluated using
252 the Area Under the Receiver Operating Characteristic Curve (AUC) for the training
253 points used in model fitting and subjective review by experts familiar with the species
254 habitat and distribution (HH, MM). The most suitable model included seven
255 predictors (Table 2) and was masked to exclude cleared land.

256 *Future projections*

257 The predicted distribution of *A. darlingtoni* was projected into the future using
258 changes in the climatic variables included in the SDM (Table 2). Changes in climatic
259 variables were projected using four Global Circulation Models (GCMs; IPCC 2007)
260 found to perform well for temperature and rainfall anomalies in eastern Australia
261 (Suppiah et al. 2007): CSIRO-Mk3; GDFL-CM2; MPMP-ECHAM5; and UKMO-
262 HADCM3. Two greenhouse gas emission scenarios were used from each model
263 (A1FI and A2), of which A1FI has a larger temperature increase that most closely
264 resembles the realised trajectory (Peters et al. 2013). In addition to projecting models
265 to baseline (1990) conditions, projections were generated for years 2030, 2050, 2070

and 2100. Projected distributions were then generated for each year between 2000 and 2099 by linear interpolation (Keith et al. 2008).

Demographic model

A spatially explicit, stochastic matrix population model based on annual time steps was constructed in RAMAS Metapop v5 (Akçakaya & Root 2005). Three life history stages were recognised in the model: tadpoles; juveniles; and adults. Only females were modelled, because we assumed that the availability of males (which can care for multiple clutches) did not limit population growth. Mean rates of survival and fecundity were estimated from literature (Ehmann and Swann 1985) and the authors' unpublished data and expert knowledge on small terrestrial ectothermic vertebrates (Table 3). Mean observed clutch sizes (range 8 to 18, mean = 13 eggs) were doubled to estimate annual fecundity because females are capable of depositing two clutches in a season.

In the absence of a population census time series, the mean rates were assumed to vary year to year due to environmental stochasticity, with small coefficients of variation (Table 3) reflecting the relatively stable conditions on the rainforest floor and assuming that adult survival was less sensitive to environmental stochasticity than other life history processes. The environmental stochasticity of all vital rates was modelled using a lognormal distribution. Variation in survival and fecundity were assumed to be correlated within populations acccording to a distance function derived from annual rainfall data from stations in the region (Fordham et al. 2012). Demographic stochasticity was incorporated using a binomial distribution for survival and a Poisson distribution for fecundity (see Akcakaya & Root 2005).

291 Density dependence in *A. darlingtoni* was represented by a ceiling model (Akçakaya
292 & Root 2005) because the species has a short generation length and lacks territorial
293 behaviour and strong aggressive interactions between individuals. Thus, if the
294 carrying capacity was exceeded, the size of a population was adjusted to the carrying
295 capacity, in the subsequent year. The carrying capacity of each population was
296 estimated from the habitat suitability values predicted by the SDM (Keith et al. 2008).
297
298 Populations were defined spatially as 10 × 10 km grid cells to enable computationally
299 practical modelling of dispersal between adjacent cells in the landscape and to
300 average local variations in habitat suitability. Dispersal rates were estimated by
301 experts familiar with movement of *A. darlingtoni* in the field (MM, HH), assuming
302 that only juveniles move, and only between adjacent cells, mostly over distances less
303 than 100 m. Based on the geometry of the grid, we estimated that the annual
304 probability of a juvenile dispersing to a neighbouring cell was 0.002.

305 *Model integration*

306 The SDM and population model were coupled using the procedure described by Keith
307 et al. (2008). Modelled 285 m cells with habitat suitability values less than the fifth
308 percentile of values at training points (0.082) were assumed to be unsuitable and set to
309 zero. These 285 m cells were then aggregated into a 9975 m (c. 10 km) grid, in which
310 each cell was defined as a population unit for modelling purposes. Based on call data
311 for males recorded in the field, and field sampling of leaf litter indicating a 1:1 sex
312 ratio (M. Mahony, unpubl. data), optimal habitat was estimated to be capable of
313 supporting 160 adult female frogs per hectare (1300 per 285 m cell, aggregating to
314 1,592,500 per 9975 m cell). The carrying capacity of each population was therefore
315 estimated as *ths**1300, where *ths* is the sum of habitat suitability values within

316 respective 9975 m cells. A second threshold based on the first percentile of summed
317 habitat suitability (29.7) was applied to exclude 9975 m cells with a very small and
318 potentially diffuse area of suitable habitat. The remaining 9975 m cells were
319 designated as individual 'populations'.
320
321 For each population we calculated trends in carrying capacity under climate change
322 using the projections of the SDM from each combination of GCM and emission
323 scenario. These trends were incorporated into the model simulations. Nine model
324 scenarios were run, including the eight GCM-emission combinations and a stable
325 climate scenario, in which carrying capacities of all populations were held constant.
326 The simulations were run over 1000 replicates of 100 annual time steps (2000 –
327 2099). Mean estimates of extinction risk and population size (the number of adult
328 females) and their standard deviations, and the spatial configuration of populations for
329 each time step were extracted from the model output to calculate the variables
330 required for assessing the IUCN Red List criteria. Assessments were made every 20
331 years from 2010 to 2090.

332 ## Results

333 The current total population of *A. darlingtoni* was estimated to include approximately
334 1.7 million mature females. The population remained stable for 100 years when
335 modelled under a stable climate (Fig. 1). Under all modelled future climate change
336 scenarios, however, the population remained stable only until about 2040-2050, with
337 subsequent declines projected to occur at different rates for different combinations of
338 GCM and emission scenario. Under the most severe projection (CSIRO-Mk3 A1FI),
339 the species had become Extinct in the Wild by 2095 (Fig. 1). In other projections, the

340 species remained extant, but total population size had been reduced by between 39%
341 (GDFL-CM2 A2 scenario) and 96% (CSIRO-Mk3 A2 scenario) over the 100-year
342 period (Fig. 1).
343
344 According to the Red List criteria, *A. darlingtoni* would become eligible for listing as
345 a threatened species as early as 2010 or as late as 2050, depending on the pattern of
346 decline in the population and distribution projected under different GCMs and
347 emission scenarios (Table 4). In contrast, under a stable climate scenario, the status of
348 the species remained as Least Concern throughout the twenty-first century. The
349 species qualified for listing in 2010 in only one projection (CSIRO-Mk3 A1FI). In all
350 eight combinations of GCM and emission scenario, early eligibility for listing was
351 dependent on criterion E and/or B, with both criteria supporting the first listing in two
352 of the eight cases (Table 4). The estimates of extinction risk over 100 years (required
353 to assess the Vulnerable category under criterion E) were uncertain in the assessments
354 carried out for years later than 2010 because projections were only available to 2100.
355 Hence we used the shape of the population trajectory to estimate whether extinction
356 was a plausible outcome over 100-year time frames ending in 2110, 2130, 2150, 2170
357 and 2190. The plausible bounds of these assessment outcomes always included the
358 Least Concern category, recognising the uncertainty of an extinction outcome.
359 Criterion B and, to a lesser extent criterion A, had an influence on the overall status of
360 the species in the second half of the century, and often over-rode criterion E by 2070
361 or 2090 (Table 4). Criteria C and D did not determine the overall status of *A.*
362 *darlingtonii* in any of the assessments (Table 4).
363

In later years, the Red List assessments became more robust because the overall status was generally supported by more criteria and more subcriteria than in early years (Table 4). Consequently, the overall status always remained threatened when data for the highest-risk criterion were omitted from assessments carried out in 2070 and 2090, but was reduced to Least Concern for some combinations of GCM and emission scenario when data for the highest-risk criterion were omitted from assessments carried out in 2030 and 2050.

Discussion

Early detection of extinction risks under climate change

Despite short time frames for assessing population declines, our results for *A. darlingtoni* suggest that, for some species with short life cycles, the IUCN Red List criteria may be more sensitive to extinction risks posed by climate change than anticipated. Under the most extreme modelled scenario in which extinction occurred in 100% of simulations by 2095, *A. darlingtoni* first qualified under criterion A (population decline) for listing as threatened (Vulnerable category) in 2050. Under the four least severe scenarios, *A. darlingtoni* did not qualify for listing as threatened under criterion A at any time during the twenty-first century and the risk of extinction by 2100 was estimated to be zero. Risks could not be quantified beyond 2100, the shapes of population trajectories suggest that species persistence could be certain for several decades into the twenty-second century.

More importantly, criterion A was not the only criterion that identified when *A. darlingtoni* was at appreciable risk of extinction. In most cases, *A. darlingtoni* qualified for threatened status under criteria B (distribution size) and/or E

388 (quantitative estimates of extinction risk) before it met criterion A, and the overall
389 outcome of assessments never relied upon criterion A alone. Under the most severe
390 scenario, the species was assessed as Vulnerable under criterion E as early as 2010
391 and, by the time it qualified as Vulnerable under criterion A in 2050, it also qualified
392 at that level under criterion B. Hence the Red List criteria identified the species as
393 being at risk of extinction 85 years before it actually went extinct and 40 years before
394 it met criterion A. Under criterion A alone, the species qualified for listing 45 years
395 before its modelled extinction. For all other modelled climate change scenarios, *A.*
396 *darlingtoni* qualified for threatened listing at least 80 years prior to its inferred date of
397 extinction based on the shape of its population trajectory in the late twenty-first
398 century.
399
400 It is noteworthy that the time frames for assessing criterion E (10 years or 3
401 generations, 20 years or five generations and 100 years, respectively for CR, EN and
402 VU) are longer than those for criterion A (10 years or 3 generations for all threat
403 categories), and that criterion B does not specify explicit time frames (only qualitative
404 evidence of a continuing decline). These differences between individual criteria
405 underpin their ensemble properties and buffer against extreme sensitivity of risk
406 assessment outcomes to short generation lengths.
407
408 By indicating that *A. darlingtoni* is likely to qualify for threatened status 40-80 years
409 before it goes extinct (depending on which criteria are assessable), our results suggest
410 that that the Red List criteria perform reasonably well as an early-warning system for
411 conservation planners and managers. How much lead time an 'early-warning' system
412 should give depends on the practicalities of environmental policy and management,

413 bureaucratic or political inertia and the anticipated species response times to various
414 actions. This mix of factors suggests a need for a minimum of several decades
415 warning between initial listing and extinction with longer lead times required if a
416 desire for greater certainty or socio-economic costs motivated a delay in action until
417 Endangered or Critically Endangered listing. The long lags associated with climate
418 change mitigation and some adaptation measures underscores the need for early
419 action..

420 **Limitations of analysis**

421 In this paper we examined only a single species chosen specifically to represent an
422 identified potential weakness in the Red List criteria, namely the short time frame for
423 assessing future declines relative to the expected time scale of climate change
424 impacts. Our focus on *A. darlingtoni*, with contrasting population trajectories under
425 different future climates, permitted a detailed examination of the assessment processes
426 and development of an analytical approach. This approach will be useful for
427 evaluating the sensitivity of the Red List criteria to climate change impacts on a larger
428 group of species with more diverse life histories. Additional studies of short-lived
429 species with different temporal patterns of decline, and of longer-lived species with
430 different climate-life history dependencies would further advance understanding of
431 how the Red List criteria perform as an early warning system for climate change
432 impacts.
433
434 We assumed that our study species would not show any appreciable evolutionary
435 response to climate change that may influence its future persistence. This assumption
436 warrants further exploration because species with short generation lengths, such as *A.*
437 *darlingtonii*, might experience mutation and natural selection at rates that are rapid

438 enough to enhance fitness under changing climates (Hoffmann and Sgro 2011).
439 Phenotypic or behavioural plasticity may also influence *in situ* persistence of
440 populations under a changing climate. Although our capacity to predict which short-
441 lived species might undergo evolutionary responses to climate change is currently
442 limited, such effects have been demonstrated in a range of short-lived species (Skelley
443 et al. 2007; Franks and Hoffmann 2012). We expect evolutionary responses to delay
444 the time at which listing in a threatened category is triggered, as well as the time to
445 eventual extinction. This is unlikely to result in shorter warning times, and hence our
446 conclusions should be conservative whether not evolutionary responses occur. Species
447 with long generation times, however, may be more sensitive to climate change
448 because genomic change is less likely to keep pace with climate change.
449
450 For analytical economy, we used averaged estimates of population size and
451 distribution (with confidence intervals) across 1000 simulations for the variables
452 addressed by the criteria. In reality, each of the 1000 replicates represents an
453 alternative future scenario that could be assessed individually against the criteria.
454 Averaging may have under-estimated the trends in some scenarios. The risk
455 assessment outcomes from averaged estimates may approximate modal or median
456 assessments based on individual trajectories, but this remains to be tested.
457
458 Although we incorporated uncertainty into our analysis by implementing fuzzy
459 calculations on best estimates with upper and lower bounds for all input variables
460 (Akçakaya et al. 2000), our assessments are likely to have underestimated the
461 uncertainty relative to real-world assessments. This is because our simulated
462 population trajectories did not incorporate observer error, which is likely to be a

significant source of uncertainty in real-world estimates of population sizes based on field surveys (Burgman et al. 1999; Regan et al. 2002). Furthermore, although we incorporated model uncertainty by using projections based on multiple GCMs, we ignored other components of model uncertainty, such as in the demographic model and SDM. For example, biophysical models may project different distributions to those produced by correlative SDMs (Kearney & Porter 2009). More realistic levels of uncertainty could be achieved by i) using simulations based on several plausible demographic models and SDMs; and ii) adding a random error to modelled estimates to simulate field sampling (Zurell et a. 2010).

Factors influencing performance of Red List criteria under climate change

Several factors potentially influence the performance of the Red List criteria for species threatened by climate change. Firstly, in our analysis the earliest detection of threat was reliant upon a single criterion. Often this was criterion E, which is more likely to detect extinction risks than are other criteria (McLean & Wilson 2011), but is typically more data-demanding and time-consuming to assess. When criterion E was not evaluated, several simulations showed that a taxon could remain listed as Least Concern for several decades despite being at appreciable (>10%) risk of extinction within a century. This could be problematic when data are insufficient to support a quantitative analysis of extinction risk. Indeed, few of the currently Red-Listed taxa have been assessed for criterion E (IUCN 2011). This may sometimes be due to limited expertise or time to construct appropriate models, rather than a lack of data. *Assa darlingtoni*, for example, had not previously been assessed under criterion E, even though sufficient data were available.

Risk assessments for later in the twenty-first century were shown to be robust to missing data. Nevertheless, our results reinforce IUCN's recommendation that 'each taxon should be evaluated against all the criteria' (IUCN 2001, p5). In some cases this may require engaging additional expertise or resources to support assessments. Our study showed that the models necessary to assess criterion E also have the capacity to produce bounded estimates of population size, distribution area and their trends, enabling more comprehensive assessments of criteria A - D than otherwise possible.

Secondly, optimal performance of the Red List categories and criteria relies on correct interpretation of the criteria and supporting concepts. Our risk assessments closely followed the current guidelines to derive quantitative estimates of the required variables over the appropriate time frames and spatial scales (IUCN 2011). We also incorporated uncertainty into the calculations to determine the range of plausible risk assessment outcomes. Akçakaya et al. (2006) noted that several assessments of extinction risk under climate change used modified or incomplete versions of the criteria. This may affect the performance and consistency of the criteria and their ability to estimate relative risks.

Thirdly, to inform proactive policy and management as climate change and its impacts unfold, an early warning system relies upon monitoring of species populations and distributions to support regular risk assessments (Butchart et al. 2010). Responsive management would likely require more frequent assessments than are currently implemented. The most recent global Red List assessment for *A. darlingtoni* was conducted a decade ago (Hero et al. 2004).

Acknowledgements

This research was funded by a Linkage grant from the Australian Research Council (LP0989537). The work was designed and models were constructed at two workshops funded by the Australian Centre for Ecological Analysis and Synthesis (ACEAS), within the Terrestrial Ecosystem Research Network. We thank Mike Kearney for discussions on design of the models.

Literature Cited

Akçakaya H.R., and W. R. Root. 2005. RAMAS Metapop. Version 5.0. Applied Biomathematics, Setauket.

Akçakaya, H. R., S. Ferson, M. A. Burgman, D. A. Keith, G. M. Mace, and C. R. Todd. 2000. Making consistent IUCN classifications under uncertainty. Conservation Biology **14**:1001-1013.

Akçakaya, H. R., S. Ferson, and W. R. Root. 2007. RAMAS Redlist. Version 3.0. Applied Biomathematics, Setauket.

Akçakaya, H. R., S. H. M. Butchart, G. M. Mace, S. N. Stuart, and C. Hilton-Taylor. 2006. Use and misuse of the IUCN Red List criteria in projecting climate change impacts on biodiversity. Global Change Biology **12**:2037-2043.

Bell, B. D., S. Carver, N. J. Mitchell, and S. Pledger. 2004. The recent decline of a New Zealand endemic: how and why did populations of Archey's frog *Leiopelma archeyi* crash over 1996-2001? Biological Conservation **120**:193-203.

Burgman, M. A., H. R., Akçakaya, and S. Ferson. 1993. Risk assessment for conservation biology. Chapman and Hall, London.

Burgman, M. A., D. A. Keith, and T. V. Walshe. 1999. Uncertainty in comparative risk analysis for threatened Australian plant species. Risk Assessment **1**:585-598.

535 Butchart, S. H. M., M. Walpole, B. Collen, A. van Strien, J. P. W. Scharlemann, et al.
536 2010. Global biodiversity: indicators of recent declines. Science 328:1164-
537 1168.
538 Cameron, A. (2012). Refining extinction risk using models. Pages 41-71 in L.
539 Hannah, editor. Saving a million species: extinction risk from climate change.
540 Island Press, Washington DC.
541 Ehmann, H. and G. Swan. 1985. Reproduction and development in the Marsupial
542 Frog, Assa darlingtoni (Myobatrachidae, Anura). Pages 279-285 in: G. Grigg, R.
543 Shine, and H. Ehmann, editors, Biology of Australasian Frogs and Reptiles. Royal
544 Zoological Society of New South Wales, Sydney.
545 Elith, J., C. H. Graham, R. P. Anderson, M.Dudík, S. Ferrier, et al. 2006. Novel
546 methods improve prediction of species' distributions from occurrence data.
547 Ecography **29**: 129-151.
548 Elith, J., M. Kearney, and S.J. Phillips. 2010. The art of modelling range-shifting
549 species. Methods in Ecology and Evolution **1:**330-342.
550 Foden, W. B., S. H. M. Butchart, S. N. Stuart, J-C Vie, H. R. Akçakaya, et al. 2013.
551 Identifying the world's most climate change vulnerable species: A systematic trait-
552 based assessment of all birds, amphibians and corals. PLOS ONE **8**(6): e65427.
553 Fordham, D.A., H.R. Akçakaya, M.B. Araújo, J.Elith, D. Keith, et al. 2012. Plant
554 extinction risk under climate change: are forecast range shifts alone a good
555 indicator of species vulnerability to global warming? Global Change Biology
556 **18**:1357-1371.
557 Franks, S. J. and A. A. Hoffmann. 2012. Genetics of Climate Change Adaptation.
558 Annual Review of Genetics **46**:185-20

559 Hannah, L. 2012. Are a million species at risk? Pages 3-9 in: L Hannah, editor.
560 Saving a million species: extinction risk from climate change. Island Press,
561 Washington DC.
562 Hero J-M, J. Clarke, and E. Meyer 2004. Assa darlingtoni. In: IUCN 2012. IUCN Red
563 List of Threatened Species. Version 2012.2. <www.iucnredlist.org>. Downloaded
564 on 17 January 2013.
565 Hof, C., M. B. Araújo, W. Jetz, and C. Rahbek. 2011. Additive threats from
566 pathogens, climate and land-use change for global amphibian diversity. Nature
567 **480**:516-519.
568 Hoffmann, A. A. and C. M. Sgrò. 2011. Climate change and evolutionary adaptation.
569 Nature **470**:479 -85.
570 Houlahan, J. E., C. S. Findlay, B. R. Schmidt, A. H. Meyer, and S. Kuzmin. 2000.
571 Quantitative evidence for global amphibian population declines. Nature **404**:752-
572 755.
573 IPCC 2007. Climate Change 2007: Synthesis Report. Contribution of Working
574 Groups I, II and III to the Fourth Assessment Report of the Intergovernmental
575 Panel on Climate Change. IPCC, Geneva.
576 IUCN. 2001. IUCN Red List categories and criteria. Version 3.1. IUCN, Gland.
577 IUCN. 2011. Guidelines for Application of IUCN Red List Criteria. Version 9. IUCN
578 Species Survival Commission. IUCN, Gland & Cambridge.
579 Kearney, M., and W. Porter. 2009. Mechanistic niche modelling: combining
580 physiological and spatial data to predict species' ranges. Ecology Letters **12**:334-
581 350.

582 Keith, D. A., H. R. Akçakaya, W. Thuiller, G. F. Midgley, R. G. Pearson, et al. 2008.
583 Predicting extinction risks under climate change: coupling stochastic population
584 models with dynamic bioclimatic habitat models. Biology Letters **4**:560-563.
585 Keith, D. A., T. D. Auld, M. K. J. Ooi, and B. D. E. Mackenzie 2000. Sensitivity
586 analyses of decision rules in World Conservation Union (IUCN) Red List criteria
587 using Australian plants. Biological Conservation **94**:311-319.
588 Keith, D. A., M. A. McCarthy, H. Regan, T. Regan, C. Bowles et al. 2004. Protocols
589 for listing threatened species can forecast extinction. Ecology Letters **7**:1101-1108.
590 Keith, D. A. 2011. Relationships between geodiversity and vegetation in south-eastern
591 Australia. Proceedings of the Linnean Society of New South Wales **132**:5-26.
592 Levinsky, I., F. Skov, J. C. Svenning, and C. Rahbek. 2007. Potential impacts of
593 climate change and land-use change on the distribution and diversity patterns of
594 European mammals. Biodiversity and Conservation **16**:3803-3816.
595 Mace, G. M., N. Collar K. J. Gaston, C. Hilton-Taylor, H. R. Akçakaya, et al. 2008.
596 Quantification of extinction risk: IUCN's system for classifying threatened species.
597 Conservation Biology **22**:1424-1442.
598 McLean, I. M. D. and R. J. Wilson. 2011. Recent ecological responses to climate
599 change support predictions of high extinction risk. Proceedings of the National
600 Academy of Science **108**:12337-12342.
601 Parry, M. L., O. F. Canziani, J. P. Palutikof, P. J. van der Linden, and C. E. Hanson.
602 2007. Climate Change 2007: Impacts, Adaptation and Vulnerability. Contribution
603 of Working Group II to the Fourth Assessment Report of the Intergovernmental
604 Panel on Climate Change. Cambridge University Press, Cambridge.
605 Peters, G. P., R. M. Andrew, T. Boden, J. G. Canadell, P. Ciais, et al. 2013. The
606 challenge to keep global warming below 2 °C. Nature Climate Change **3**: 4-5.

607 Phillips, S. J., R. P. Anderson, and R. E. Schapire. 2006. Maximum entropy modelling
608 of species geographic distributions. Ecological Modelling 190:231-259.
609 Pounds, J. A., M. R. Bustamante, L. A. Coloma, J. A. Consuegra, M. P. L. Fogden, et
610 al. 2006. Widespread amphibian extinctions from epidemic disease driven by
611 global warming. Nature **439**:161–167.
612 Regan, H. M.. M. Colyvan, and M. A. Burgman. 2002. A taxonomy of and treatment
613 of uncertainty for ecology and conservation biology. Ecological Applications
614 **12**:618-628.
615 Skelley, D.K., L.N. Joseph, H.P. Possingham, L. Kealoha-Freidenburg, T.S. Farrugia,
616 et al. 2007. Evolutionary Responses to Climate Change. Conservation Biology
617 **21**:1353-1355.
618 Stuart, S. N., J. S. Chanson, N. A. Cox, B. E. Young, A. S. L. Rodrigues, et al. 2004.
619 Status and Trends of Amphibian Declines and Extinctions Worldwide. Science
620 **306**:1783-1786.
621 Suppiah, R., K. J. Hennessy, P.H. Whetton, K. McInnes, I. Macadam, et al. 2007.
622 Australian climate change projections derived from simulations performed for the
623 IPCC 4th Assessment Report. Australian Meteorological Magazine **56**:1312-152.
624 Thomas, C. D., A. Cameron, , R. E. Green, M. Bakkenes L. J. Beaumont et al. 2004.
625 Extinction risk from climate change. Nature **427**:145-148.
626 Thuiller, W., C Albert, M. B. Araujo, P. M. Berry, M. Cabeza, et al. 2008. Predicting
627 global change impacts on plant species' distributions: Future challenges.
628 Perspectives in Plant Ecology Evolution and Systematics **9**:137-152.
629 Tyler, M.J. 1985. Reproductive modes in Australian Amphibia. Pages 265-67 in G.
630 Grigg, R. Shine and H. Ehmann, editors. Biology of Australasian Frogs and
631 Reptiles, Royal Zoological Society of New South Wales, Sydney.

632 Vié, J-C., C. Hilton-Taylor and S. N. Stuart. 2009. Wildlife in a Changing World –
633 An Analysis of the 2008 IUCN Red List of Threatened Species. IUCN, Gland.
634 Westoby, M. and M. A. Burgman. 2006. Climate change as a threatening process.
635 Austral Ecology **31**:549–550.
636 Zurell, D., U. Berger, J. S. Cabral, F. Jeltsch, C. N. Meynard, et al. 2010. The virtual
637 ecologist approach: simulating data and observers. Oikos **119**:622-635.
638

639 **Table 1.** Current status of *Assa darlingtoni* in different geographic domains.

Domain	List	Status	Source
Global	IUCN Red List of threatened species	Least Concern	http://www.iucnredlist.org/details/full/41130/0, downloaded 14/1/2013
National	Australian *Environment Protection and Biodiversity Conservation Act 1992*	Not listed	http://www.environment.gov.au/cgi-bin/sprat/public/publicthreatenedlist.pl?wanted=fauna, downloaded 14/1/2013
State	Queensland *Nature Conservation Act 1992*	Near Threatened	http://www.ehp.qld.gov.au/wildlife/threatened-species/near-threatened/near_threatened_animals.html, downloaded 14/1/2013
State	NSW *Threatened Species Conservation Act 1995*	Vulnerable	http://www.environment.nsw.gov.au/threatenedspeciesapp/profile.aspx?id=10070, downloaded 14/1/2013

640
641

Table 2. Environmental variables used as predictors of suitable habitat for *Assa darlingtoni*. Six (x) of the predictors were included in the best model, while a substrate mask (+) was applied to exclude predicted suitable habitat from coastal sands.

Predictor layer	Source	Best model
Annual mean temperature	BioClim v6.0	x
Mean diurnal temperature range	BioClim v6.0	x
Temperature seasonality	BioClim v6.0	
Annual mean moisture index	BioClim v6.0	
Mean moisture index of the lowest quarter	BioClim v6.0	x
Maximum topographic wetness index		x
Slope		x
Substrate mask (excluding coastal sands)	Keith (2011) with additions for SE Qld	+
Native vegetation (present/absent)	Keith (2011) with additions for SE Qld	x

Table 3. Estimated vital rates (and coefficients of variation) for the matrix population model for *A. darlingtoni*.

	Tadpole	Juvenile	Adult
Tadpole	0	0	5(2%)
Juvenile	0.6(2%)	0	0
Adult	0	0.2(2%)	0.4(1%)

Table 4. IUCN Red List status of *Assa darlingtoni* assessed for present day (2010) and four future dates under a stable climate and using projections from four different Global Circulation Models (bold) and two emission scenarios. Status is based on best estimate with plausible bounds in parentheses. The criteria determining the overall status are listed (in parentheses if the best estimate matches overall status, but plausible bounds span lower categories of risk). Omission shows the overall status if data were omitted for the criterion supporting the highest status.

	A1FI scenario			A2 scenario		
Year	Status	Criteria	Omission	Status	Criteria	Omission
Stable climate						
2010	LC(LC-LC)	-	LC			
2030	LC(LC-LC)	-	LC			
2050	LC(LC-LC)	-	LC			
2070	LC(LC-LC)	-	LC			
2090	LC(LC-LC)	-	LC			
CSIRO-Mk3						
2010	VU(VU-VU)	E	LC	LC(LC-LC)	-	LC
2030	VU(VU-VU)	E	LC	VU(VU-VU)	B1,B2,E	VU
2050	VU(VU-EN)	(A2),B2,E	VU	EN(EN-EN)	B1	VU
2070	EN(EN-EN)	B1,B2	VU	EN(EN-EN)	B1,B2	VU
2090	CR(CR-CR)	A3,A4,B1,B2,E	CR	CR(CR-CR)	A3,A4	EN
GDFL-CM2						
2010	LC(LC-LC)	-	LC	LC(LC-LC)	-	LC
2030	LC(LC-LC)	-	LC	LC(LC-LC)	-	LC
2050	VU(VU-VU)	B1	LC	VU(VU-VU)	B1	LC
2070	EN(VU-EN)	B1	VU	VU(VU-VU)	B1,B2,E	VU
2090	EN(EN-EN)	B1	VU	EN(EN-EN)	B1	VU
MPMP-ECHAM5						
2010	LC(LC-LC)	-	LC	LC(LC-LC)	-	LC
2030	VU(LC-VU)	E	LC	VU(LC-VU)	E	LC
2050	EN(EN-EN)	B1	VU	VU(VU-EN)	B1,B2,E	VU
2070	EN(EN-EN)	B1,B2	VU	EN(EN-EN)	B1	VU
2090	EN(EN-EN)	A2,A3,B1,B2,E	EN	EN(EN-EN)	B1,B2	EN
UKMO-HADCM3						
2010	LC(LC-LC)	-	LC	LC(LC-LC)	-	LC
2030	VU(LC-VU)	B1,E	VU	VU(LC-VU)	E	LC
2050	EN(VU-EN)	B1	VU	VU(VU-VU)	B1,B2,E	VU
2070	EN(EN-EN)	B1,B2	EN	EN(EN-EN)	B1	VU
2090	EN(EN-EN)	B1,B2,E	EN	EN(EN-VU)	B1,B2	EN

678 **Figure 1**. Population trajectories- of *Assa darlingtoni* under alternative future climate
679 projections: (a) stable climate and CSIRO Mk3; (b) MPMP-ECHAM5; (c) UKMO-
680 HADCM3; and (d) GDFL-CM2. Population size expressed as percentage of initial
681 number of mature females.
682
683
684