Rules of Procedure
IUCN Red List assessment process
2013-2016[1]

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The IUCN Red List of Threatened Species™ is produced and managed by the IUCN Species Survival Commission (SSC), the IUCN Global Species Programme and the IUCN Red List Partnership. In order to maintain the credibility and practicality of the IUCN Red List, the process by which species can be included on the Red List has been streamlined and formalized. In particular, this process includes required, discretionary and optional documentation requirements for assessments. It also includes procedures for the designation of Red List Authorities (RLAs) under the auspices of the SSC, the responsibilities of which are outlined in this document.

A. The IUCN Red List Assessment Process

The IUCN Red List Unit (RLU) is the gatekeeper to the Red List. All assessments that are published on the Red List must be submitted to the RLU. There are three general routes by which assessments reach the RLU:

1. **Red List Authorities (RLA).** The majority of RLAs are within IUCN SSC Specialist Groups, but they can also be independent networks, or Red List Partner institutions (e.g., BirdLife International, NatureServe).

2. **IUCN Global Species Programme and Red List Partner projects**. These include the global biodiversity assessments (e.g., of amphibians, mammals and marine species), and regional biodiversity assessment projects (e.g., Mediterranean biodiversity assessments, regional freshwater biodiversity assessments) and assessments for the Sampled Red List Index (SRLI) run by the Zoological Society of London and the Royal Botanic Gardens Kew.

[1] Previous versions of this document were called "Red List Authorities Terms of Reference". Where the Red List Partnership Agreement refers to the "Red List Authorities Terms of Reference", it actually refers to this retitled document "Rules of Procedure IUCN Red List Assessment Process 2013-2016".

3. **External projects**. Red List assessments resulting from projects carried out by individuals, academia, and organizations often outside of the IUCN SSC network (this includes national Red List initiatives).

All three routes use the same basic process for preparing and submitting assessments for publication: raw data are gathered and provided by “Contributors”; “Assessors” use the data and the IUCN Red List Categories and Criteria to assess the taxon, and to document the assessment (as outlined in Annex 1); the assessment is reviewed by at least one “Reviewer”; accepted reviewed assessments are submitted to the RLU for final checks; accepted assessments are published on the IUCN Red List. But, the specific activities involved in the process may differ depending on the route used.

The steps involved in the IUCN Red List Process are presented schematically in Figure 1, and these steps are described in more detail in Annex 2.

The Red List Process

From Raw Data to Red List

Red List Authority (RLA)

(SGs, Partner organizations, other institutions)

Pre-Assessment (see step 1.1)

RLA members review data sources and compile data appropriate for Red List assessments.

Assessment (see step 2.1)

Carried out by one RLA member working alone; or a small group of members working together; or a large group of members in a workshop; or contributions from the whole membership through a workshop or email/internet forum.

Assessments submitted directly to RLA

Assessment rejected by Reviewers

Review (see step 3.1)

RLA coordinator arranges review by at least one appropriate expert in Red List Assessments

RLA comments returned to Red List Unit

Reviewed assessment accepted by RLA

Global Species Programme & Partner Projects

(Includes Global Biodiversity Assessments and Regional Assessments; often involves RLAs & Partner organizations)

Pre-Assessment (see step 1.2)

Data source review and data compilation done by project staff, expert consultants, and project participants.

Assessment (see step 2.2)

Assessments prepared through workshops, review, consistency checks, etc.

Post workshop review and consistency checks carried out.

Assessment rejected by RLA

Review (see step 3.2)

Project coordinators contact appropriate RLAs to arrange assessment review.

Reviewed assessment accepted by RLA

Consistency Check (see step 4.2)

Project coordinators check criteria use, supporting documentation, consistency, proofreading and formatting before submission to the RLU

Problem detected

Red List Unit

Unreviewed assessment referred to RLA (see **step 3.1**)

Problem detected

Submission (see steps 4.1, 4.2, 4.3)

Red List Unit scans assessments submitted from above projects for obvious errors and checks consistency between projects.

Red List Unit checks criteria use, supporting documentation, consistency, proofreading and formatting for:

- Reviewed assessments from RLA.
- Unreviewed assessments from outside IUCN SSC network.

Problem detected by RLU / assessment rejected by RLA

Reviewed and checked assessments accepted for publication on Red List

Assessments submitted directly to Red List Unit

Assessment (see step 2.3)

Assessments from individuals working alone, academia, National Red List projects (endemic species), etc.

Pre-Assessment (see step 1.3)

Review of data sources and compilation of data appropriate for Red List assessment

Publication (see step 5)

Assessments added to SIS database and appear on appropriate IUCN Red List web site update.

External Assessors

(Assessors from outside the IUCN SSC networks and Global Species Programme activities)

Important Notes

1. Figure 1 depicts a clear separation between the *Red List Authority* process on the left and the *Global Species Programme & Partner* projects on the right. In reality, those two processes are usually very closely interlinked and often one could not happen without the other. It is also often difficult to distinguish between the two. For example, Global Species Programme staff members initiate and raise the funds for assessment projects and provide the central coordination for running the projects. Red List Authority members are also closely involved in assessment projects, helping to gather the information required for the assessments, facilitating and participating in the assessment workshops, and checking the consolidated assessments once they are completed. In general, the bulk of the assessments that come into the Red List are as a result of the joint initiatives between the Global Species Programme and the RLAs.
2. The Red List Unit staff work very closely with the Red List Authorities and are often requested to help facilitate assessment workshops arranged by the Red List Authority or to provide Red List training to their members. Likewise, the Red List Unit staff may be used as facilitators/trainers in many of the global species assessment projects run by Global Species Programme staff or by Red List Partners. Hence there is usually direct involvement of Global Species Programme Staff in many of the steps outlined in the Red List Assessment process.

The IUCN SSC Standards and Petitions Sub-Committee (SPSC) and the Red List Technical Working Group (RLTWG) also have the right to check assessments for accurate and consistent application of the Red List Categories and Criteria and to check on consistency of approach across taxonomic groups.

B. Appointment of Red List Authorities

The Chair of the IUCN Species Survival Commission (SSC) appoints Red List Authorities on the approval of the IUCN SSC Steering Committee and in discussion with the IUCN Global Species Programme, the IUCN SSC Red List Committee and, where applicable, the IUCN SSC Plant Conservation Sub-Committee (PCSC), the IUCN SSC Invertebrate Conservation Sub-Committee (ICSC), the IUCN SSC Freshwater Conservation Sub-Committee (FCSC) and the IUCN SSC Marine Conservation Sub-Committee (MCSC). Red List Authorities serve from the time of their appointment until the next meeting of the IUCN World Conservation Congress, after which they may be re-appointed. The Chair of the SSC may at any time revoke the appointment of a Red List Authority or RLA Coordinator.

C. Red List Authority Membership and Governance

Red List Authorities are not individual people, but are groups of people appointed by the Chair of the SSC to carry out the activities described in these terms of reference for a particular (global or regional) taxonomic grouping of species. Some Red List Authorities are established within specific SSC Specialist Groups (SGs), whereas others operate outside the SG network, though still within the SSC. All members of a Specialist Group do not have to be members of the RLA. A variety of governance structures are possible within a Red List Authority, ranging from consensus style decision-making involving all members to regional sub-groups. However, the RLA Coordinator (see below) [formerly referred to as the Red List Authority Focal Point, or Chair in the case of stand-alone RLAs] is ultimately responsible for the overall governance of the RLA. The RLA Coordinator will provide the SSC Chair's office with an outline of the chosen governance structure.

Red List Authorities are considered part of IUCN SSC, so RLA members are by definition IUCN SSC members. The names of all RLA members should be communicated to the Chair of the Specialist Group, who in turn will provide the names of all members to the SSC membership officer.

D. Overlapping Red List Authority Jurisdictions

Given the structure, taxonomic scope and geographic coverage of the SSC Specialist Groups and Red List Authorities, there is a degree of taxonomic overlap between some RLAs. When an assessment is received by the RLU for a species for which there is more than one RLA, the RLU shall swiftly decide which RLA will take the lead in completing the review, and will inform the other RLA(s). On request, the other RLA(s) can be included in the Review process. Only one RLA is needed to complete the assessment and review of a species assessment (see point 13 in Table 1 of Annex 1 for further details).

E. Red List Authority Activities

The activities of the RLA include:

a) Establishing mechanisms for assessing and regularly re-assessing species within the RLA's remit and preparing Red List assessments following IUCN's Red List Categories and Criteria and guidelines, making use of the IUCN Species Information Service (SIS) as the means to compile and submit data (from 2013 assessments received in other formats will not be processed);
b) Working with the staff of the IUCN Global Species Programme to participate in relevant IUCN SSC global and regional biodiversity assessment processes and, as part of this, "populating" the SIS with the most up-to-date information available on the species within their remit.

F. The Red List Authority Coordinator

For those Specialist Groups appointed as a Red List Authority, the SG Chair must recommend to the SSC Chair one person to act as the RLA Coordinator who is then formally appointed to this role by the SSC Chair. The RLA Coordinator will not normally be the same person as the SG Chair. For all other RLAs, the Coordinator is directly appointed by the Chair of SSC. In addition to specific activities listed below, the general responsibilities of the RLA Coordinator include:

- Becoming familiar with these rules and working in accordance with them
- Overseeing and coordinating Red List activities within the RLA;
- Serving as the contact person between the RLA members and the various IUCN and SSC structures including the IUCN Global Species Programme staff, the SSC Red List Committee (that oversees the Red List process), and the office of the Chair of the SSC.
- Ensuring that assessments feed through to the IUCN Red List Unit in a timely manner, with all relevant documentation requirements fulfilled (Annex 1), and always at the earliest opportunity, and are not unnecessarily delayed for reasons not related to the assessment process.

G. Red List Authority Coordinator Responsibilities

a. Assessment

Each RLA Coordinator is responsible for establishing mechanisms for assessing and re-assessing the species within the RLAs remit through:

1. Working closely with the IUCN Global Species Programme staff and any global or regional species assessment projects being implemented by IUCN and SSC (the IUCN Global Species Programme will keep RLAs updated on such projects, including the development of funding proposals for them);
2. Ensuring that members of the RLA are familiar with and up-to date with the Red List Categories and Criteria, and their application, and arranging for training of members as may be required / necessary;
3. Requiring Assessors, as far as possible, to take full account of past and present literature (published and grey) and other reliable sources of information critical to the

assessment of the taxon, either relating directly to the taxon or providing relevant context (for example, information on threats, rates of habitat loss, etc, within the range of the taxon);
4. Assisting Assessors to seek and locate the best available background data relating to the threats likely to affect the taxon;
5. Requiring Assessors to consult internally within the Red List Authority, and externally with appropriate specialists and other interest groups;
6. Ensuring that for each assessment, the Assessors provide supporting information in line with the *Required and Recommended Supporting Information for IUCN Red List Assessments*, as set out in Annex 1 to these Terms of Reference;
7. Ensuring that Assessors adhere to the current version of the "Guidelines for Using the IUCN Red List Categories and Criteria", noting that these are regularly updated;
8. Ensuring that Assessors adhere to the current version of the "Documentation Standards and Consistency Checks for IUCN Red List Assessments and Species Accounts", noting that these are regularly updated;
9. Resources permitting, ensuring that all species are reassessed at least once every ten years, or preferably (again, resources permitting) once every five years;

b. Review

Each RLA Coordinator is responsible for verifying Red List assessments through:
1. Ensuring that at least one named independent Reviewer (be it a member of the RLA who was not directly involved with the assessment or an external party to the RLA) agrees with the status of each taxon based on the supporting documentation provided (in the case of commercially important or controversial species, there should be at least two reviewers);
2. Ensuring that Reviewers have access to all of the supporting documentation provided;
3. Ensuring that Reviewers have access to all relevant documents and training materials on the IUCN Red List process and making themselves available for any consultations on this process;
4. Ensuring that Reviewers are familiar with the current version of the IUCN Red List Categories and Criteria, and their application, and adhere to the current version of the "Guidelines for Using the IUCN Red List Categories and Criteria", noting that these are regularly updated;
5. Ensuring that Reviewers are provided with the latest version of the "Required and Recommended Supporting Information for IUCN Red List assessments";
6. Ensuring that, for any particular assessment, the Reviewers are not the same people as the Assessors or Contributors;
7. Acknowledging receipt of assessments sent to the RLA for review, and working together with assessment teams, including the Global Species Programme, to develop an acceptable schedule or time-table (where the default period, unless otherwise agreed, is three months) for reviewing assessments in a timely manner;
8. In the event that an RLA cannot perform the review, proposing an alternative solution for assessments to be reviewed, including the option to divest authority to the relevant unit in the Global Species Programme (for example, the Marine Biodiversity Unit for marine species) to identify an appropriate process to undertake the reviews;
9. Noting that failure to review external assessments within the prescribed time period or to reply within a timely manner to requests to review assessments, will result in responsibility automatically devolving to the Red List Unit to work with the assessors to identify an alternative strategy to have assessments reviewed, and will certainly result in delays to publication;
10. Submitting all reviewed assessments including changes in categorization and/or changes in supporting documentation to the IUCN Red List Unit in the format required using the Species Information Service and within schedules set for updates of the IUCN Red List.

c. Regional and National Red List processes

The RLA's primary responsibilities focus on assessments for publication on *The IUCN Red List of Threatened Species*^{TM} (i.e., global assessments and assessments for IUCN-led regional assessment processes, such as the European biodiversity assessments). Coordinators of regional and national Red List processes will sometimes approach the IUCN Global Species Programme, Red List Partners or RLAs directly for advice and assistance. Where it has been indicated that financial resources are available, appropriate RLA Coordinators may be approached by such parties to request RLA involvement in such projects.

Red List Authorities are not required (by IUCN) to participate in regional and national Red List assessment processes, but are encouraged to do so wherever time and financial resources make this possible, particularly in cases where high numbers of country endemic species are involved.

In such cases, the RLA Coordinator is responsible for:

1. Acknowledging receipt of the request to participate in a regional or national assessment project.
2. Circulating the request around RLA members with appropriate regional/national expertise as soon as possible after the initial contact has been made.
3. Providing a realistic estimate of time available for participating in the regional/national assessment project.
4. Providing a realistic estimate of financial costs required to cover involvement of RLA members in the regional/national assessment project.
5. Clearly explaining the process for publication of assessments arising from regional and national processes on the IUCN Red List.

d. Petitions Process

In the case of a petition against the listing of any taxon for which the RLA is responsible, the RLA Coordinator will:

1. Establish a process for handling the petition as set out in Annex 4 to these Terms of Reference;
2. Abide by any decisions of the arbitrating IUCN SSC Red List Standards and Petitions Sub-Committee.

H. Resources

A number of key documents provide essential reference and guidance for the Red List assessment process. All of these are available on the IUCN Red List and IUCN SSC websites (see Annex 3). These documents are supplemented by two overarching policies: one on pre-publication use of Red List data (Annex 5) and one on sensitive data (Annex 6).

ANNEX 1

Required and Recommended Supporting Information for IUCN Red List Assessments

An IUCN Red List assessment includes the Red List Category and Criteria, and a range of supporting information (documentation). The purpose of providing supporting information with the assessment is:

1. To support and justify adequately each Red List assessment.
2. To allow basic analysis of the Red List status across species, including calculating the Red List Index.
3. To allow the Red List website (www.iucnredlist.org) to function properly (i.e., to allow users to search and find information on the website).

The inclusion of relevant supporting information in an assessment increase the utility of that assessment for all three of the above purposes. Within the Species Information Service (SIS) there are many data fields available to record a whole suite of information. Some of these data fields are essential to support the Red List assessment, and some are there to capture additional information for analyses and communication purposes.

IUCN has developed the following three tiers to identify the appropriate level of supporting information to include in a Red List assessment.

1. Required Supporting Information

Supporting information required for **ALL** Red List assessments before they can be accepted for publication on the IUCN Red List. There are two subsets of information for required supporting information:

- Required supporting information under all conditions; see Table 1.
- Required supporting information under specific conditions; see Table 2.

2. Recommended Supporting information

Recommended supporting information is not essential for a Red List assessment to be accepted for publication on the IUCN Red List but is strongly encouraged for all assessments for taxa prioritized in the IUCN Red List Strategic Plan 2012-2020 and IUCN Species Strategic Plan 2013-2016. See Table 3. IUCN Global Species Programme and Red List Partner-led assessments always strive to achieve assessments according to the Recommended level.

3. Discretionary (Optional) Supporting Information

Supporting information that is not essential for a Red List assessment to be accepted for publication on the IUCN Red List, but specific projects or Assessors may wish to record this for their own information or analysis purposes. Assessment project managers should clearly identify which of these additional fields to include in assessments and inform Assessors contributing to the project of this at the start of the project.

All other fields in SIS that are not mentioned in Tables 1, 2 or 3 are considered discretionary (i.e., optional) fields.

Table 1: Required supporting information for all assessments submitted to the IUCN Red List (in all conditions). Any assessments that do not include all of the information listed in this table will be swiftly returned to Assessors.

Required Information	Purpose	Guidance Notes
1. Scientific name[2]	• To identify which taxon is being assessed • To support Red List website functionality	If the taxon is already in SIS, this information requires no additional effort from the Assessors. If the taxon is not yet recorded in SIS, Assessors must provide this information to the Red List Unit.
2. Higher taxonomy details (Kingdom, Phylum, Class, Order, Family)	• To identify which taxon is being assessed • To support Red List website functionality	If the taxon is already in SIS, this requires no additional effort from the Assessors. If the taxon is not yet recorded in SIS, Assessors must provide this information to the Red List Unit.
3. Taxonomic authorities for all specific and infra-specific names used, following the appropriate nomenclatural rules[3]	• To identify which taxon is being assessed	If the taxon is already in SIS, this information requires no additional effort from the Assessors. If the taxon is not yet recorded in SIS, Assessors must provide this information to the Red List Unit.
4. IUCN Red List Category and Criteria (including sub-criteria) met at the highest category of threat	• To identify the current status of the taxon • To support Red List website functionality • To allow basic analyses	The Red List Category and Criteria represent the most fundamental elements of a Red List assessment. Application of the categories and criteria must be in accordance with the *IUCN Red List Categories and Criteria. Version 3.1* and the current version of the *Guidelines for Using the IUCN Red List Categories and Criteria*.
5. A rationale for the Red List assessment	• To justify the Red List Category and Criteria selected	Include any inferences or uncertainty that relate to the interpretation of the data and information in relation to the criteria and their thresholds. The rational can be brief and succinct.

[2] Note that all taxa assessed must be validly published in accordance with the appropriate international nomenclatural codes and should be currently accepted names. Standard taxonomic checklists should be used wherever possible for names. The standard lists adopted by IUCN are periodically reviewed and listed on the Red List website: http://www.iucnredlist.org/info/info_sources_quality.html . For many groups no standards are available, or there may be a valid reason for adopting another treatment. In such cases, the taxonomic treatment followed should be indicated and if not one of the standards followed by IUCN, the reference should be cited in full and a reason for the deviation given

[3] [2]This should include the date of publication, except in the case of plant names. The abbreviations used for author names of plants should follow Brummitt and Powell (1992) and subsequent updates on the International Plant Names Index website (http://www.ipni.org/index.html)

Required Information	Purpose	Guidance Notes
6. Data for parameters triggering the Red List Criteria met at the highest Category level	• To underpin and justify the Red List Category and Criteria used	Enter these data either into the relevant coded/numerical fields or in the relevant narrative (text) fields in SIS. If data are entered into the data fields, this allows the Red List Criteria calculator to be used in SIS, which automatically checks for errors, omissions and inconsistencies, reducing the burden of manual checking by Assessors, RLA Coordinators and project coordinators. If data are included within the narrative (text) fields, the text must clearly indicate *all* of the relevant subcriteria parameters and qualifiers (observed, estimated, inferred, projected or suspected) used.
7. Countries of occurrence (for native and reintroduced taxa), including Presence and Origin coding	• To support Red List website functionality (especially country searches) • To allow basic analyses	SIS automatically records Presence = Extant and Origin = Native by default as countries are selected. A tool will be made available to determine countries of occurrence automatically from GIS maps. Countries of occurrence are not strictly required for vagrant and introduced ranges.

Required Information	Purpose	Guidance Notes
8. Geo-referenced distribution data for all taxa with a known distribution	• To support Red List website functionality • To allow basic analyses • Spatial distribution data are essential for supporting assessments under criteria B and D2 (and arguably also for demonstrating that these thresholds are not met)	Spatial distribution data are not required for taxa of unknown provenance (e.g. taxa assessed as Data Deficient because their range is not known). Spatial data may be geo-referenced polygons or point localities, and may be provided in any format, including as a paper map, text file of coordinates, pdf, graphics file or GIS shapefile. A GIS shapefile is preferred (but is not strictly required), given their value for conducting spatial analyses, visual displays on the Red List website, and future functionality on the Red List website that will allow spatial searches. Although additional distributional documentation is desirable for taxa qualifying under criterion B (e.g., 2x2 km grids showing occupancy), this is not Required. Note that any distributional data can be coded as sensitive to avoid this being distributed or displayed on the Red List website (see Annex 5).
9. Direction of current population trend (stable, increasing, decreasing, unknown)	• To support Red List website functionality • To allow basic analyses	
10. Coding for occurrence in freshwater (= inland waters), terrestrial, and marine ecosystems (i.e., “System” in SIS)	• To support Red List website functionality • To allow basic analyses	
11. Suitable habitats utilized (coded to lowest level in Habitats Classification Scheme)	• To support the assessment • To support Red List website functionality • To allow basic analyses	To speed up entering such coding in SIS, habitat importance is set to 'suitable' by default for any habitat selected.
12. Bibliography (cited in full; including unpublished data sources but not personal communications)	• To underpin the assessment and provide all sources of data and information used to support the Red List assessment	In SIS, references are recorded in the Reference Manager.

Required Information	Purpose	Guidance Notes
13. Names and contact details of the Assessor(s) and at least one Reviewer	• To demonstrate that the appropriate assessment and review process has been undertaken • To acknowledge those involved in the assessment. • To allow Assessors and Reviewers to be contacted easily in the case of the assessment content being questioned	Note that Contributor(s), Compiler(s), and Facilitator(s) may also be recorded but are not strictly required. However, recording them in the assessment does allow these people to be acknowledged on the Red List website. All contact details are stored within SIS; only names (e.g., surname and initials) are displayed on the Red List website. More than one Reviewer is encouraged for commercially significant species or those species for which assessments may be contentious.

Table 2: Required supporting information for Red List assessments under specific conditions. The list of required supporting information (under specific conditions) is essential for all assessments that meet the conditions outlined below. Any assessments for taxa meeting these conditions that do not include all of the information listed below will be returned to Assessors.

Required Information (under specific conditions)	Specific Condition	Purpose	Guidance Notes
1. Name of subpopulation	For subpopulation level assessment	• To identify what is being assessed below the species level	
2. Major Synonyms	For taxa with commonly used synonyms or that have been treated taxonomically differently in the past on the Red List	• To support Red List website functionality • To identify which taxon is being assessed	
3. Plant growth forms	For plants	• To support Red List website functionality. • To allow basic analyses	
4. Information on the reason for change in Red List Category of the taxon	For taxa being reassessed	• To distinguish up- or down-listings resulting from genuine improvement or deterioration, from those resulting from revised taxonomy, improved knowledge, etc	This should be coded regardless of whether a species qualifies in the same or for a different Red List Category .
5. Date last recorded (in the wild, if taxon survives in captivity) and details of surveys which have been conducted to search for the taxon	For Extinct and Extinct in the Wild taxa, and for Critically Endangered taxa tagged as Possibly Extinct or Possibly Extinct in the Wild,	• To justify use of the Extinct or Extinct in the Wild Category (to underpin assessments in which extinction is confirmed or thought highly likely) • To allow basic analyses	
6. Possibly Extinct or Possibly Extinct in the Wild tag	For Critically Endangered taxa that are considered highly likely to be Extinct or Extinct in the Wild but for which confirmation is required	• To underpin assessments in which extinction is thought highly likely but which requires confirmation. • To allow basic analyses • To support Red List website functionality.	See section 11.2 in the current version of the *Guidelines for Using the IUCN Red List Categories and Criteria* for further information on this.

Required Information (under specific conditions)	Specific Condition	Purpose	Guidance Notes
7. Documentation of available data, sources of uncertainty and justification for why the criteria cannot be applied; including, where appropriate, one or both of the Data Deficient tags *Unknown provenance* and *Uncertain taxonomic status explains lack of data*	For Data Deficient taxa	• To justify use of the Data Deficient Category	
8. Coding as Severely Fragmented, or the number of locations	Taxa listed as threatened using criteria B1a or B2a	• To justify the Red List Category and Criteria used	For definitions of severely fragmented and locations refer to the current version of the *Guidelines for Using the IUCN Red List Categories and Criteria*.
9. Generation length	For taxa listed as threatened under criteria A and C1	• To justify the Red List Category and Criteria used	For definition of generation length refer to the current version of the *Guidelines for Using the IUCN Red List Categories and Criteria*.
10. Time period over which 3-generation decline is measured around the present	For taxa listed as threatened under criterion A4	• To justify the Red List Category and Criteria used	Record this in SIS as the start year for the 3-generation time period.
11. The data, assumptions, structural equations, and Population Viability Analysis model if used	For taxa listed under Criterion E	• To justify the Red List Category and Criteria used	
12. Coding and justification of the criteria that are nearly met or the reasons for the classification (e.g., dependence on ongoing conservation measures)	For taxa listed as Near Threatened	• To justify the Red List Category and Criteria used	

Required Information (under specific conditions)	Specific Condition	Purpose	Guidance Notes
13. Taxonomic notes	• For taxa previously treated as a different taxonomic concept (e.g., “split” or “lumped”) on the IUCN Red List • For taxa for which there is widespread taxonomic ambiguity or uncertainty in the literature • For species that may represent a species complex • For taxa assessed as Data Deficient because of Taxonomic uncertainty	• To identify which taxon is being assessed • To allow comparison of taxa previously assessed on the Red List • To justify use of the Data Deficient Category	
14. Major threats to the taxon (coded to lowest level in Threats Classification Scheme)	For taxa listed as Extinct, Extinct in the Wild, Critically Endangered, Endangered, Vulnerable, and Near Threatened	• To justify the Red List Category and Criteria used • To support Red List website functionality • To allow basic analyses	Only **major threats** to the species are required. Coding of timing and stresses not strictly required for the Red List assessment, but are recommended. Coding of scope and severity are discretionary (i.e., optional). If Assessors decide to also record minor threats, then ***Scope and Severity must be recorded for all threat records for the taxon*** (to allow major and minor threats to be clearly identified). Major threats are not required for Least Concern or Data Deficient taxa, but may be recorded if relevant (but with appropriate Timing, Scope and Severity codes)

Required Information (under specific conditions)	Specific Condition	Purpose	Guidance Notes
15. Narrative text about the geographic range, population, habitat and ecology, and threats	For taxa listed as Extinct, Extinct in the Wild, Critically Endangered, Endangered, Vulnerable, Near Threatened, and Data Deficient	• To justify the Red List Category and Criteria used	Required for supporting the assessment with contextual and explanatory information covering, among other things, the relevant data sources, uncertainties, subtleties and interpretations of data made by Assessors. Although general text would also be helpful for Least Concern taxa, this is not required.
16. Additional supporting information as detailed in section 2.6 of the *Documentation Standards and Consistency Checks for IUCN Red List Assessments and Species Accounts*	If the RAMAS® Red List software is used for an assessment	• To justify the Red List Category and Criteria assigned using RAMAS	

Table 3: Recommended Supporting Information. While the list of recommended supporting information is desirable, and strongly encouraged for all assessments for taxa prioritized in the IUCN Red List Strategic Plan 2012-2020 and IUCN Species Strategic Plan 2013-2016, it is not essential for other assessments being submitted to the IUCN Red List. Assessments that do not include any of the information listed below are still acceptable for submission to the Red List.

Recommended Supporting Information	Specific Condition	Purpose	Guidance Notes
1. GIS distribution map using IUCN's *Standard Polygon* and/or *Point Attributes*		• Facilitates spatial analyses • Allows visualization on the Red List website (and possible spatial queries)	Although provision of spatial distribution data is required in any form (see #8 in Table 1), a GIS map is recommended if possible.
2. Qualifiers (estimated, suspected, etc.) for direction of current population trend		• Useful for documenting uncertainty over the population trend code selected	
3. Occurrence in specified sub-country units for large countries and islands far from mainland countries		• Useful for searching by sub-country on the Red List website	If a GIS map has been prepared, a list can be pre-populated by GIS overlay.
4. Occurrence in terrestrial and freshwater biogeographic realms	For terrestrial and freshwater taxa	• Useful for searching on the Red List website, and for analyses	A GIS tool will soon be available to facilitate automatic coding of this from distribution maps. Note that currently there is no widely accepted equivalent system for the marine realm.
5. Elevation or depth limits		• Useful for supporting Assessments, describing the distribution, and particularly for considering impacts of climate change	
6. Coding of Stresses and Timing for Threats		• Useful for demonstrating the means by which threats impact taxa, and for distinguishing past, present and future threats	These are added to each threat after the relevant threats have been selected. Timing, Scope and Severity are drop down lists where only one option can be selected whereas for Stresses multiple options can be selected.
7. Narrative text about the important conservation measures in place and needed	For taxa listed as Extinct in the Wild, Critically Endangered, Vulnerable, Near Threatened, and where appropriate, Data Deficient	• Useful to support and provide explanation and context for coding of conservation actions	

Recommended Supporting Information	Specific Condition	Purpose	Guidance Notes
8. Coding of important conservation actions in place and needed	For taxa listed as Extinct in the Wild, Critically Endangered, Endangered, Vulnerable, Near threatened, and where appropriate, Data Deficient	• Useful for providing a high-level indication of the most important actions in place and likely to be required, both for individual species and in multi-species analyses	These codes complement rather than pre-empt or replace more detailed Action Planning or Systematic Conservation Planning. Coding up conservation actions is not Required for Data Deficient taxa, but if possible these taxa should be coded where appropriate.
9. Narrative text on the utilization of the taxon	For utilized taxa	• Useful to support and provide explanation and context for coding of utilization	
10. Coding of the end use (purpose) and scale of utilization of the taxon	For utilized taxa	• Useful for providing a high-level indication of the most important ways in which species are utilized, both for individual species and in multi-species analyses	

ANNEX 2

Details of the steps involved in the IUCN Red List process, including work involved in pre-assessment, assessment, review, submission to the IUCN Red List Unit (RLU), and publication on the IUCN Red List.

Step 1: Pre-assessment

In all cases, the starting point is raw data. Data and information may be held in published papers, articles, books and reports, unpublished documents and reports, unpublished data, databases (including the IUCN Red List itself), GIS data, satellite imagery, etc. Prior to the assessment phase, raw data are gathered from across the entire global ranges for the taxa being assessed. Data must be recorded in a format compatible with the standards of the IUCN Red List Categories and Criteria and with appropriate supporting information (as specified in Annex 1). The IUCN Species Information Service (SIS) is the database used to hold all assessments published on the IUCN Red List. Global Assessment teams and Red List Authorities are required to use SIS to compile and manage Red List assessment information (see section E in these Terms of Reference). Red List Partners and other external organizations wanting to submit large numbers of assessments to the IUCN Red List are encouraged to use SIS. If that is not feasible, the data format and transfer mechanism needs to be discussed and agreed with the Red List Unit at the start of any such project, to ensure compatibility with SIS. Individuals who provide data through the pre-assessment phase are termed "Contributors".

1.1 Red List Authorities (RLAs)	1.2 Global Species Programme and Red List Partner projects	1.3 External projects
Pre-assessment work may be done by one RLA member working alone; or a small group of RLA members working together; or through contributions from many/all RLA members and additional experts via a large workshop, e-mail correspondence, an internet-based discussion forum (e.g., discussion fora run by BirdLife International), or via the online SIS. The method used will depend on the number of species being assessed, the number of parties involved, the range of data sources being checked, and the amount of funding available for the project or ongoing updates. The RLA is responsible for deciding which approach to take for data compilation. • The RLA Coordinator prepares the list of taxa to be assessed and checks this against what is already in SIS. If taxonomy needs to be added to or modified in SIS, contact the RLU. • Available data sources are reviewed and current data are compiled in SIS. • Draft range maps are prepared.	**a)** Projects involving data compilation and assessment only: • Project staff members prepare the list of taxa to be assessed and check this against what is already in SIS. If taxonomy needs to be added to or modified in SIS, contact the RLU. • Data sources (from RLAs, other institutions, and literature) are reviewed and current data are compiled in SIS by project staff or expert consultants; • Draft range maps are prepared by project staff or expert consultants. **b)** Projects involving regional capacity-building: • Project staff members prepare the list of taxa to be assessed and check this against what is already in SIS. If taxonomy needs to be added to or modified in SIS, contact the RLU. • A Red List Assessor Training Workshop is held for project participants (experts from specific regions or with particular taxonomic expertise). • Project participants review available data sources, compile current data in a database (e.g., SIS), and prepare draft range maps. Data collection and draft range maps may sometimes be	As for RLAs, the individual or organization involved is responsible for deciding how they will approach data compilation (see step 1.1).

	initiated by project staff, then project participants add to this.	

Step 2: Assessment

All assessments are based on data currently available for taxa across their entire global ranges compiled in step 1. In all cases, assessments must follow the IUCN Red List Categories and Criteria and the guidelines for applying these; both documents are available on the IUCN Red List and IUCN SSC websites). Each assessment must also include appropriate supporting information, as specified in Annex 1.

2.1 Red List Authorities (RLA)	2.2 Global Species Programme and Red List Partner projects	2.3 External projects
Assessments, based on data and range maps compiled in step 1.1, may be carried out by one RLA member working alone; a small group of members working together; or by consensus agreement of a large group of members in a workshop, via e-mail, through an internet-based discussion forum (see step 1.1), or via the online SIS. External experts may also contribute to assessment. RLA members may also be involved in one or more of the Species Programme or Red List Partner projects (see step 2.2).	**a)** Projects involving data compilation and assessment only. If sufficient funds are in place, an assessment workshop can be held: *Assessment workshop*: • At a workshop, experts review data and draft range maps compiled in step 1.2 and provide additional information as necessary. • Project staff members adjust species accounts and maps accordingly. • Experts assess each taxon, often with the guidance of one or more facilitators. *No assessment workshop*: • Project staff and/or species-experts use data and range maps compiled in step 1.2 to prepare draft assessments. • Additional experts invited to comment on draft assessments via email or SIS. *Post workshop/draft assessment preparation*: • Project staff tidy up the species accounts and range maps and invite final comments by experts (via SIS or PDF species accounts posted on secure ftp site). • Experts check assessments, and staff members adjust information, assessments and maps where necessary. • Project staff members carry out checks on assessments to ensure IUCN Red List Categories and Criteria are being applied consistently and that all assessments are appropriately documented.	As for the RLA (see step 2.1), the individual or organization involved is responsible for deciding how they will carry out the assessment. Individuals and organizations may also be involved in one or more of the Species Programme or Red List Partner projects (see step 2.2).

	b) Projects involving regional capacity-building: *Draft assessment preparation:* • Experts trained in step 1.2 prepare draft assessments based on the data and range maps compiled in step 1.2. *Assessment Review Workshop*: • At a workshop, experts review data and range maps compiled in step 1.2, and provide additional information as necessary. • Project staff members adjust species accounts and range maps accordingly. • Experts discuss draft assessments and project staff members adjust assessments if necessary. *Post-assessment review workshop:* • Project staff members tidy the species accounts and range maps and invite final comments by experts (via SIS or email and PDF species accounts posted on secure ftp site). • Experts check assessments and staff members adjust species accounts and maps accordingly. • Project staff members carry out checks on assessments to ensure IUCN Red List Categories and Criteria are being applied consistently and that all assessments are appropriately documented.	
Step 3: Review		
All assessments must go through a review process before they can be accepted for publication on the IUCN Red List. This involves at least one expert on the IUCN assessment process reviewing the assessment and agreeing that the data used have been interpreted correctly and consistently, and that uncertainty has been handled appropriately. In addition, for assessments that have not been carried out using the 'criteria calculator' option in SIS (which automatically assigns the criteria triggered from the underlying parameter estimates), the review process checks whether the IUCN Red List Categories and Criteria have been correctly applied and that the parameter estimates and supporting documentation are consistent with the Category and Criteria assigned.		
3.1 Red List Authorities (RLA)	**3.2 Global Species Programme and Red List Partner projects**	**3.3 External projects**

Each RLA has a Coordinator (formerly referred to as the Focal Point, or Chair in the case of stand-alone RLAs) who is responsible for ensuring that each assessment is reviewed by at least one person (but also see recommendations in Annex 1). • A Reviewer **cannot** also be an Assessor or Contributor for an assessment they are reviewing (but can play the role of a Facilitator). The review process may be carried out through: • The RLA Coordinator contacting appropriate RLA members who are experts on the IUCN assessment process; or • The RLA Coordinator contacting appropriate experts on the IUCN assessment process from outside the immediate RLA (e.g., Global Species Programme staff, or members of another taxonomic or geographic RLA); or • An Assessment Review Workshop involving a small group of RLA members or other experts on the IUCN assessment process; or • In an Assessment Workshop, an individual expert or small group of experts on the IUCN assessment process do independent reviews of assessments carried out by Assessors at the same workshop. For any assessment, review and assessment may not be entirely sequential, as guidance on appropriate interpretation of data and consistent approaches to handling uncertainty may be provided by Reviewers throughout the assessment process.	All global Red List assessments must be reviewed by at least one person (but also see recommendations in Annex 1). • All reviews must involve appropriate RLAs; the RLA may defer the review to the project coordinators. • Project coordinators are responsible for ensuring each assessment is reviewed appropriately. As in step 3.1, assessment and review may be carried out at the same workshop, where an individual or a small group prepares an assessment, and then review is carried out by independent experts on the IUCN assessment process who are also at the workshop. In cases where a new taxonomic group is being assessed, there may not yet be an appointed RLA for that group. In such cases project coordinators may act as Reviewers, provided they have not been involved with the individual assessments in question as either contributors or assessors.	Global assessments resulting from external projects **do not** need to be reviewed before reaching the RLU. RLU staff members will arrange the appropriate review (see step 4.3).

Reassessments

The process for reassessing taxa may differ from steps 1-3 above. Assuming that SIS is being used, the process will typically involve:

- Checking that the taxon to be assessed is the same taxonomic concept previously assessed; if not, appropriate taxonomic changes will need to be made in SIS and the new concept is then assessed for the first time as outlined above;
- Starting with a copy of the previously published assessment as a new draft assessment;
- Collating any new published or unpublished information available (either relevant to the species in question or relevant contextual information), and soliciting additional relevant data and information;
- Editing the data and text fields based on the new and updated information now available;
- Note that any PDF with additional supporting documentation attached to the previous published assessment needs to be reviewed and updated as required and attached to the new draft assessment.
- If new parameter estimates trigger higher, lower or different criteria thresholds, the Red List Category and Criteria are revised either manually or by use of the criteria calculator in SIS;
- The updated and revised information may then be reviewed by species experts (within or beyond the RLA);
- The revised assessments and accounts are reviewed by Red List assessment experts for appropriate and consistent interpretation of data and handling of uncertainty, before submission to the Red List Unit.

Step 4: Submission

All completed assessments are submitted to the IUCN Red List Unit.

4.1 Red List Authorities (RLA)	4.2 Global Species Programme and Red List Partner projects	4.3 External projects
Assessments that are included within a global or regional assessment project are submitted by the RLA coordinator to the project coordinator (see step 4.2) who, in turn, submits completed assessments to the IUCN Red List Unit (RLU) on behalf of the RLA through SIS or via an agreed process. Assessments that **are not** included within a Global Species Programme or Red List Partner assessment project are submitted by the RLA coordinator directly to the RLU. • Additional supporting information, such as tables and figures, which need to be transformed into formatted attachments to the assessments (for an example, see the assessments for *Diceros bicornis* or *Ceratotherium simum*), also need to be submitted to the RLU. RLU staff members will then: • Acknowledge receipt of the assessments. • Conduct a random check of assessments to ensure the Red List Criteria have been applied appropriately. • Conduct a random check to ensure that the appropriate supporting information has been included (see Annex 1) • Transfer long sections of documentation, tables, graphs, etc. to PDF documents to be published alongside the appropriate species account with a direct link to these • Proof-read assessments and correct grammar and spelling where necessary • Contact the RLA Coordinator if any errors or omissions are detected or edits/changes required.	Project coordinators are responsible for: • Checking the Red List Criteria have been applied appropriately for each assessment; • Checking that the appropriate supporting information has been provided for each assessment; • Proof-reading, spell-checks and formatting checks for each assessment; • Checking assessments for overall consistency in application of the Red List Criteria; • Submission of completed assessments to the RLU via SIS including any additional supporting documentation, tables and/or figures. RLU staff members will then: • Carry out final checks (see step 4.1), but to a much lesser extent (since project staff should already have completed these checks). The RLU staff will focus on looking for overlooked errors, and problems in overall consistency between assessment projects. • Notify project coordinators of any errors or issues.	Unreviewed global assessments (including any additional supporting documentation, table and/or figures) resulting from external projects are submitted directly to the RLU via an agreed process. RLU staff will then: • Add the assessments to SIS (if they are not already in the system). • Check the assessments for quality (see step 4.1); • Return poor-quality assessments to those who submitted them with reasons why they are unacceptable for publication on the IUCN Red List. • Refer good-quality assessments to the appropriate RLA or other experts (in cases where no RLA has been appointed to cover the taxon) for review (see step 3.1). • Inform those who submitted the assessments of the outcome of the review, and return any assessments that were not accepted by the Reviewer(s).
Step 5: Publication		
All assessments that have been reviewed, submitted, checked and accepted are entered into SIS (if they are not already in the system) and are published in the appropriate update of the IUCN Red List website (dependent on the date of submission, the quality of the assessments, the number of assessments to be processed and the number of submissions received overall).		

ANNEX 3

Red List Assessment Resources

The following documents are essential reference and guidance documents required for the Red List assessment process. All of these are available on the IUCN Red List and IUCN SSC websites:

1. *IUCN Red List Categories and Criteria. Version 3.1*

This is the central rule-book for IUCN Red List assessments and must be followed for all assessments being submitted for publication on the IUCN Red List. It is available in the three official IUCN languages (English, French and Spanish) from the IUCN Red List and the IUCN SSC websites.

Full or partial translations of this document are available in some other languages and these are also available on the IUCN Red list website. IUCN cannot guarantee the accuracy of these unofficial translations, which have been carried out by a wide range of sources.

2. *Guidelines for Using the IUCN Red List Categories and Criteria*

This guidance document is prepared by the IUCN Standards and Petitions Sub-Committee of the IUCN Red list Committee and is available to download from the IUCN Red List and IUCN SSC websites. The document provides guidelines to the application of version 3.1 of the IUCN Red List Categories and Criteria, including detailed explanations of the definitions of the many terms used in the Red List Criteria. This document is updated regularly. The IUCN Global Species Programme will inform the RLA network via email when updated versions of this document are available online.

3. *IUCN Documentation Standards and Consistency Checks for IUCN Red List Assessments and Species Accounts*

This guidance document is prepared by the IUCN Red List Unit and is available to download from the IUCN Red List website. This document provides guidance on:

- The required and recommended supporting information for IUCN Red List assessments;
- Details on what information should be recorded in text and data fields in SIS to support Red List assessments;
- General publication style and formatting guidelines (based on the IUCN style guidelines for publications);

This document is updated regularly. The IUCN Global Species Programme will inform the RLA network via email when updated versions are available online. A separate document providing guidelines on mapping is in preparation.

4. Guidance on the IUCN Red List Classification Schemes

To ensure uniformity when describing and recording the habitat a taxon occurs in, the threats to a taxon, what conservation actions are in place or are needed, and whether or not a taxon is utilized, a set of standard terms (referred to as Classification Schemes) have been developed. These schemes are used in SIS for recording these different parameters. Documents have been prepared on each of the schemes showing the structure of each, providing definitions of the terms, examples and guidance notes on their use. These documents are available for download from the IUCN Red List website.

5. *Guidelines for Appropriate Use of Red List Data*

Although the IUCN Red List can be used in numerous ways, it is easy for those unfamiliar with the data to draw incorrect conclusions. These guidelines are provided to give advice on both appropriate and inappropriate uses of the IUCN Red List. They are available for download from the website. These guidelines currently include two important Annexes: 1. Guidelines for Reporting on Proportion Threatened; and 2. Guidelines on the Implementation of the "IUCN Policy Statement on Research Involving Species at Risk of Extinction", with special reference to Scientific Collecting of Threatened Species. A third Annex on the use of the Red List in making decisions relating to the harvesting of species is in preparation and will be incorporated into this document when available.

6. Technical Support from the IUCN Red List Unit

The IUCN Red List Unit (RLU) is based in Cambridge, United Kingdom and is responsible for managing the IUCN Red List and for providing technical support to those involved in the Red List assessment process. The RLU can provide advice and guidance on a range of topics, including:

- IUCN Species Information Service (SIS). For requests for new SIS user accounts, access to SIS training tools, and advice on exporting and analysing data from SIS, contact the RLU.
- Red List Training. The RLU develops and maintains a range of Red List training materials and tools, including standard curricula for Red List Assessor and Red List Trainer training workshops, and online Red List Training courses. Contact the RLU for guidance on Red List training resources and opportunities, and advice on how to become a Red List Trainer.
- Contact the RLU for technical advice on applying the IUCN Red List Categories and Criteria (at both global and regional levels), where to find the various guidance documents and assessment tools, and how to use these.
- RAMAS Red List software. The RLU can provide some technical advice to anyone who has purchased this software, but as this is 3rd Party software, the RLU is unable to provide the software to anyone. The algorithm used by RAMAS Red List to obtain the Red List assessment is, however, incorporated into SIS.
- GIS software and tools for creating species range maps. The RLU is unable to provide GIS training, but Esri ArcGIS software licenses are freely available to eligible RLAs. A range of ArcGIS scripts and tools and other mapping resources useful for creating species range maps are also available. Contact the RLU for access to these tools and for any further guidance or advice on mapping.
- IUCN Red List website. For any questions or comments on the IUCN Red List website, contact the RLU.

Direct contact details for RLU staff can be found on the IUCN Species website (http://www.iucn.org/about/work/programmes/species/contacts_/#Technical). Or the RLU can be contacted via the general RLU email address (redlist@iucn.org) or telephone number (+44 (0)1223 277966).

ANNEX 4

Procedure for Handling of Petitions against Current Listings on the *IUCN Red List of Threatened Species*™

Introduction

Status assessments presented in *The IUCN Red List of Threatened Species*™ are open to challenge. Petitions may be made against current listings of species, subspecies or geographic subpopulations (hereinafter referred to as species). Petitions against historical listings (i.e., those that have since been updated with a new listing for the taxon in question) are not considered. Petitions may only be made on the basis of the IUCN Red List Categories and Criteria (version 3.1 – http://www.iucnredlist.org/info/categories_criteria2001.html) and in reference to any supporting documentation accompanying the listing. It is not possible to change listings for political, emotional, economic, or other reasons not based on the Categories and Criteria.

Disagreements with Current Listings

Any party may contact the IUCN Red List Unit (RLU) at any time to express disagreement with any current listing. If this disagreement is based on scientific or technical grounds, the RLU will put this party in contact with the relevant Red List Authority (RLA) or Assessor (in the absence of an RLA) with intention of resolving the disagreement without entering a formal petition process. In the event of a disagreement concerning the listing of a species that is in the process of being reassessed, the RLA will seek to involve the party expressing disagreement in the reassessment process, with the objective of reaching consensus on the new listing.

The Formal Petitions Process

If the above process is not successful in resolving the disagreement, a formal petition may be submitted. The attached flow diagram presents a summary of the formal petitions process; the process is described in greater detail below.

A formal petition should be very brief, and just summarizing the points of disagreement, with explicit reference to the criteria under which the species is listed (2 pages maximum). The steps to follow for filing petitions are outlined below:

Petition Submission and Validation

1. Petitions can be submitted to the RLU at any time. The RLU will acknowledge receipt of the petition, and will inform the petitioner of the date on which the petition was received.
2. The RLU will consult with the IUCN SSC Standards and Petitions Sub-Committee (SPSC) to determine whether or not the petition has been filed on the basis of the IUCN Red List Categories and Criteria. If the petition has not been made on the basis of the IUCN Red List Categories and Criteria, it will be returned to the petitioner by the RLU with an explanation as to why the petition cannot be considered. This response will be sent to the petitioner within one month of the original receipt of the petition by the RLU.

Discussion Between Parties

3. If the petition is made on the basis of the IUCN Red List Categories and Criteria, it will be referred by the RLU to the RLA or particular Assessor/s (if there is no RLA) responsible for the taxon assessment in question (the RLA or Assessor/s are hereafter just termed the RLA). Within one month of the original receipt of the petition, the RLU will request the RLA and the petitioner to discuss the petition with the objective of

reaching an agreement between them. The RLA and the petitioner will be given four months to reach agreement from the date that the RLU refers the petition to them. In seeking to reach agreement, the RLA and the petitioner should determine whether or not they are using the same underlying data. They should clarify whether or not the disagreements are due to factual discrepancies, as opposed to differences of either interpretation or application of the IUCN Red List Categories and Criteria.

4. If the RLA agrees with the petition, or if the petitioner and the Red List Authority come to agreement, then any changes to the listing will be accepted. The change will appear in the following update of the IUCN Red List.
5. If the petitioner and the RLA are unable to agree within the time period set in no. 3 above, the petition will then enter the next stage in the process.

Justification Preparation and Submission

6. Within one week of the expiration of the time period set in no. 3 above, the RLU will notify both the petitioner and the RLA that each of them should submit justifications for their case to the SPSC via the RLU. The justifications should reach the RLU within four months from the date that the RLU issues this notification. These justifications should not be longer than 8 sides of A4 (excluding the list of references), 12-point print, and should provide the data to support their position. The justifications should include a synopsis of the failed negotiations, a brief statement of the reasons for the dispute, and a clarification of any factual discrepancies (e.g., different sources of data or information used). All data used in these justifications must either be referenced to publications that are available in the public domain, or else be made available to the SPSC. The data provided should be clearly linked to the use of the IUCN Red List Categories and Criteria. If the petitioner fails to submit a justification within the set time period and in the required format, the petition will be dropped, and the RLU will inform the SPSC of this. If the RLA fails to submit a justification within the set time period and in the required format, the petition will go forward. Requests for an extension to the deadline for submitting justifications will not normally be considered, unless there are exceptional circumstances. Any request for such an extension should be submitted to the RLU at least two weeks before the deadline, who will refer it to the Chair of the IUCN SSC Red List Committee. Generally, the maximum time limit to any requested delay is one month, with only one such request being considered from each party. However, in unusual circumstances, such as multiple petitions directed to the same RLA, a longer extension may be granted, at the discretion of the Chair.
7. The RLU will send the justifications of each party to the other within one week of the time period set in no. 6 above, or within one week of both justifications having been received. Both parties have three weeks in which to provide a 1-page addendum to their justifications, should they choose to do so. Any addendums received after the three-week period will not be considered. The parties may not make any changes to the original justifications.
8. At the end of this three-week period, whether or not an addendum is received, the RLU will send the justifications to all members of the SPSC for review and confidential comment. The SPSC may choose to circulate the justifications to other independent expert reviewers for confidential comments. The Chair of the SPSC should if at all possible receive these comments within two months of the date of receipt of the justifications. If needed, the SPSC may seek clarification of particular issues from the RLA and the petitioner. In instances in which the RLA failed to submit a justification, the SPSC will make every effort to obtain a balanced set of confidential comments from reviewers.

Deliberation and Ruling

9. The SPSC will consider the justifications and the confidential reviews. It will make a ruling on each petition within four months from the time that the petitions were circulated to the SPSC members by the RLU. In the case of multiple petitions, a longer period may be granted, at the discretion of the Chair of the IUCN SSC Red List Committee. The SPSC will issue a notification that will include a full rationale and explanation of each ruling, but will not include a record of the deliberations that the SPSC made to reach its decision, and the names of any reviewers will be kept confidential. The SPSC will send this notification to the RLU.

Notification and Publication of Final Ruling

10. The RLU will send the SPSC's notification to the petitioner and to the RLA. Any changes will appear in the next update of *The IUCN Red List of Threatened Species*^{TM}. The notification of the ruling on any petition, and any resulting change in listing, will be placed on the IUCN SSC website.

Petitions Against Listings Based on an Old Version of the IUCN Red List Categories and Criteria

If a petition is made against a listing based on an old version of the IUCN Red List Categories and Criteria, and the petition is based on the Categories and Criteria, then the RLA in question will first be requested to update the listing so that it is based on the version of the Categories and Criteria currently in force. The RLA will be given six months to do this from the original receipt of the petition by the RLU. The RLA should consider the additional information provided by the petitioner. Once the RLA has updated the listing, the petitioner will be so informed and asked whether or not they wish to proceed with the petition against the new listing. If the RLA fails to meet this deadline for updating the listing, the petition will proceed according to the process outlined in paragraphs 5-9 above, and the final ruling of the SPSC will provide an updated listing for the taxon in question, using the version of the Categories and Criteria currently in force.

General Principles

Acknowledging Communications. During the formal petitions process, the petitioner, the RLA, the SPSC, and the RLU should acknowledge the receipt of all correspondence among them as soon as possible after arrival, so that any failure in delivery is detected as early as possible.

Confidentiality. While a petition is being considered, the associated documents (including justifications made by the petitioner and the RLA) are confidential documents that are not made available to third parties. The SPSC will circulate the justifications only to independent expert reviewers who agree to adhere to the confidentiality of the process and accept that their reviews will eventually be made public, but not attributed. Final rulings on petitions made by the SPSC will include both justifications, and the reviews (without the names of the reviewers), in the documentation placed on the IUCN SSC website.

Repeated Petitions. In order to prevent continuing petitions on the same species, the SPSC will not accept a petition, subsequent to the first petition, if it is not based on new information.

Reassessment of Species Following a Petition. The first time that a species is reassessed following a petition, the reassessment will be reviewed by the SPSC.

Impartiality. The IUCN SSC Red List Committee and the RLU are responsible for ensuring that the process for handling petitions is adhered to, and that evaluations of petitions are carried out professionally and impartially. Prior to publishing the ruling on a petition, the Chair of the SPSC will send a brief report to the Chair of the IUCN SSC Red List Committee confirming that the above process was followed to reach the decision, or outlining any deviations from the process that had to be made. The IUCN SSC Red List Committee (excluding the SPSC), the SSC Steering Committee, the SSC Chair, and the IUCN Secretariat (including the staff of the IUCN Red List Unit), have no rights to intervene in the petitions process, or to involve themselves in the substance of any petition.

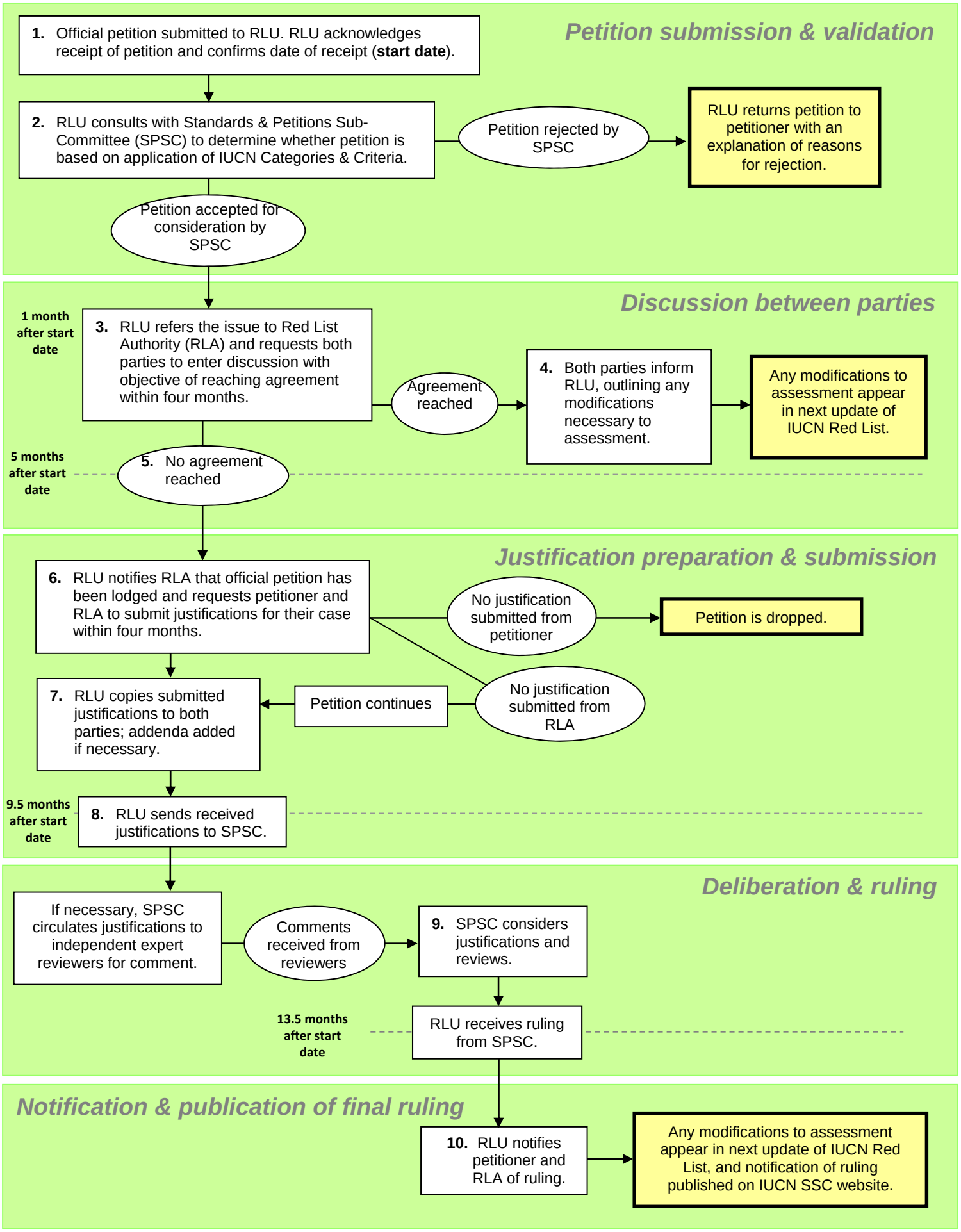
Special Cases

Deviations from the Process. Every effort will be made to avoid deviations from the process as laid out, above. However, any petitions requiring such deviations should be approved in advance by the Chair of the IUCN SSC Red List Committee.

Complaints about the Petitions Process. If there is an assertion that the above procedure has been violated, then a formal and documented complaint may be submitted to the SSC Chair.

Flow Diagram of Formal Red List Petitions Process

- All timelines noted in the diagram below are based on the deadlines outlined in the petitions process. The actual timeline for a petition will depend on response times and requests for deadline extensions. Please refer to the petitions process document for details.
- Figures noted within the diagram refer to the steps outlined in the petitions process document (see *The Formal Petitions Process*).



ANNEX 5

Policy on Use of Pre-Publication Red List Data

The use of pre-publication data is a potentially sensitive issue. Two key contextual points should first be noted. First, much of the species-related data generated by IUCN involves the participation of both SSC scientists and a number of (formal and informal) partner organizations. Second, IUCN as the driving force behind the Conservation Commons promotes open access (with a non-commercial restriction) for the data it holds.

IUCN recognizes that the rights of the data-providers must be respected, and this is indeed one of the principles of the Conservation Commons. In the past, there generally has been an unwritten understanding between IUCN and the data providers.

The general process that IUCN uses is to gather data through a formalized process, to undertake quality control, and to brand these data (i.e., acceptance of the data through publication on the IUCN Red List). Two additional steps sometimes undertaken are data analyses, and publication of products. The main issue is what happens between the data being checked by reviewers and being published on the Red List website – who gets to see and use data before they are made publicly accessible?

Data will always be gathered, with or without IUCN. For example, NatureServe collects data for its own purposes and as a by-product, guided by the Red List Partnership agreement, some of these data go onto the IUCN Red List. In the example of BirdLife International, a major (>20 year) data compilation process has been structured wholly to meet the needs of a process to assess the Red List status of the world's bird species. Sometimes, donors that pay for the costs of generating the data (e.g., through workshops), request permission to access data pre-publication for use in the donor's own planning.

A new policy was needed to clarify the following points:

1. What information/data should be made available, and to whom, prior to publication on the IUCN Red List and in what form?
2. How do we address the rights of SSC data providers in making data available pre-publication?

One major issue is the time lag between data being provided and the data appearing on the Red List. The longer this is, the more pressure there is for pre-publication data releases, especially as the need for information to inform conservation decision-making grows. Both the initial Global Amphibian Assessment and Global Mammal Assessment took several years between data being compiled and eventually being published on the IUCN Red List. More recent similar-sized projects have taken a different track, publishing data as the assessment process proceeds. BirdLife International and the projects to assess reptiles, and marine and freshwater species all post new data on the Red List website at each Red List update, and do not wait for these projects to be globally or even regionally complete. Amphibian assessment updates now proceed on this basis, and the mammal assessments moved to this model in 2008.

With this in mind, the IUCN Red List Committee formalized a clear policy on the pre-publication use of data to help bring clarity to this issue:

General Rules

1. Requests for pre-publication data should be discouraged at the outset of projects, on the basis that these can delay completion of the project.

2. Data providers (including Red List Authorities) should be informed of IUCN's policy on pre-publication release of data prior to the provision of data to IUCN, so that the data providers in question have the option of insisting that there be no pre-publication release of data.
3. IUCN's policy on pre-publication release of data should be included as an Annex to the RLA terms of reference.
4. Pre-consistency checked data will not be released to anyone (with exception of data providers and data managers directly involved in the project, who will have full access even to pre-consistency checked data, with caveats attached such as internal use only).
5. Any pre-publication data provided by IUCN to anyone must not be released to third parties.
6. Requests for data pre-publication should include an indication of how the data will be used.
7. Pre-publication data will be provided only if time and resources permit this.

The following table shows how pre-publication data could or could not be made available to different types of user. In this table, the data are divided into two categories: pre-consistency checked; and post consistency checked.

Type of User	Pre-consistency checked	Post-consistency checked	Data Access rights
Data Providers (individuals, institutions, Red List Authorities, etc.) and Reviewers	Yes	Yes	Full access to data.
Data Managers (mainly in Global Species Programme, sometimes in Red List Partners)	Yes	Yes	Full access to data for management purposes.
Project Partners (sometimes, but not always, Red List Partners)	No	Yes	Identified project partners have the right to: 1. Produce publications timed to be released synchronously or immediately prior to public release of the data on the IUCN Red List. 2. Use the data for internal conservation purposes (planning, fundraising, etc.)
Donors	No	Yes	Data will be provided (on request) only under specific conditions of contract/agreement. [Minimize these conditions]
Red List Partners (not directly involved in the project)	No	Yes	Only post-consistency checked data will be released (on request).
Other IUCN assessment projects	No	Yes	Data may be shared between IUCN projects (on request), if necessary.

(e.g., SRLI)			
Media	No	No (exception: immediately prior to a launch, with an embargo attached)	Only a summary of provisional results can be released (on request) for purposes of press releases, **provided it is made clear that the results are provisional**.
Third-party scientists (including students)	No	No	No pre-publication data will be released.
Third-party bodies – (commercial and non-commercial)	No	No	No pre-publication data will be released.

ANNEX 6

Sensitive Data Access Restrictions Policy for the IUCN Red List

1. Under normal circumstances, all data will be displayed on the web site.

For species that are sensitive to location data being displayed:

2. The burden of proof to justify the case for withholding data from the site lies with the IUCN SSC Red List Authority.

3. In general, the withholding of data policy should apply to Endangered (EN) and Critically Endangered (CR) species that:
(a) are listed under criteria C and D (but species assessed as CR under criteria A or B, but qualifying for EN under criteria C or D should also be highlighted);
(b) have high economic value;
(c) are threatened by trade; and
(d) have important sites that are generally not well known (i.e., an internet search engine such as Google cannot find these sites).

4. For species with sensitive sites (e.g., fish, migratory turtles, etc.), maps should be prepared at a minimum size appropriate to that species.