

1 **Linking indices for biodiversity monitoring to extinction risk**

2 **theory**

3 Michael A. McCarthy¹, Alana L. Moore¹, Jochen Krauss², John W. Morgan³,

4 Christopher F. Clements⁴

5 ¹*School of Botany, The University of Melbourne, Parkville, Victoria 3010, Australia*

6 ²*Department of Animal Ecology and Tropical Biology, University of Würzburg,*

7 *Biozentrum, Am Hubland, 97074 Würzburg, Germany*

8 ³*Department of Botany, La Trobe University, Bundoora, Victoria 3086, Australia*

9 ⁴*Department of Animal and Plant Sciences, University of Sheffield, Sheffield, S10*

10 *2TN, UK*

11

12 **Abstract**

13 Biodiversity indices often combine data from different species when used in
14 monitoring programs. Heuristic properties can suggest preferred indices, but we lack
15 objective ways to discriminate between indices with similar heuristics. Biodiversity
16 indices can be evaluated by determining how well they reflect management objectives
17 that a monitoring program aims to support. For example, the Convention on
18 Biological Diversity (CBD) requires reporting about extinction rates, so simple
19 indices that reflect extinction risk would be valuable. Here we develop three
20 biodiversity indices based on simple models of population viability that relate
21 extinction risk to abundance. The first index is based on the geometric mean
22 abundance of species. A second uses a more general power mean. A third integrates
23 both the geometric mean abundance and trend. These indices require the same data as
24 previous indices, but they also relate directly to extinction risk. Field data for
25 butterflies and woodland plants, and experimental studies of protozoan communities
26 show that the indices correlate with local extinction rates. Applying the index based
27 on the geometric mean to global data on changes in avian abundance suggests that the
28 average extinction probability of birds has increased approximately 1% from 1970 to
29 2009.

30

31 **Keywords:** biodiversity index, biodiversity measure, extinction risk, geometric mean.

32

33 **INTRODUCTION**

34 The importance of biodiversity for a healthy and equitable society has been
35 acknowledged by over 190 countries who ratified the Convention on Biological
36 Diversity (CBD). The convention has a specific target to reduce the extinction risk of
37 species (Secretariat of the CBD 2010), so monitoring of species extinction is
38 important. Reporting actual extinctions, while potentially informative, is
39 retrospective, whereas the convention and many other biodiversity programs seek to
40 reduce future extinctions. Further, retrospective assessments are subject to error
41 because the fate of species is known imprecisely (Collar 1998; Keith & Burgman
42 2004; Rout et al. 2010). Hence, biodiversity monitoring programs would be more
43 valuable if they can be interpreted in terms of extinction risk.

44 Changes in the assessed risk to species can contribute to biodiversity monitoring. For
45 example, the IUCN Red List is used to calculate the Red List Index (RLI, Butchart et
46 al. 2007), one of four global indicators of biodiversity status and trends approved by
47 the CBD (Jones et al. 2011). The relationships of the other three indicators (extent of
48 forest; protected-area coverage; and the Living Planet Index, LPI, Jones et al. 2011) to
49 extinction risk are not explicit.

50 Buckland et al. (2005) identified three aspects of species diversity that are of primary
51 interest when monitoring changes over time: number of species, overall abundance
52 and species evenness, from which they derived six desirable criteria for an index of
53 biodiversity based on abundance data. On evaluating several proposed indices against
54 these criteria, the geometric mean of relative abundances was one of only two that
55 met all six criteria. van Strien et al. (2012) lend further support to the geometric mean.

56 While we agree with the heuristic properties used to assess different indices of
57 biodiversity, a good index should also be clearly related to particular management
58 objectives or biodiversity outcomes. For example, where extinction risk is the
59 management concern, understanding how the index reflects changes in this risk would
60 be desirable. In the absence of a single measurable definition of biodiversity
61 (Secretariat of the Convention on Biological Diversity 2010; Jones et al. 2011), we
62 aim to examine how abundance data might be used to monitor extinction rates of
63 species for the purposes of reporting under the CBD and other biodiversity programs.

64 Here, we use simple models of population viability to develop three indices of
65 extinction risk based on abundance data. These indices are designed to have the same
66 data requirements as those considered by Buckland et al. (2005), but with the
67 additional benefit of being directly related to extinction risk. We evaluate the indices
68 using simulation, field data on local extinctions of butterflies and woodland plants,
69 and experimental data on protozoan communities. Finally, we interpret changes in the
70 LPI in terms of changes in the average probability of extinction of species.

71 **Methods**

72 The indices are derived from simple models of population viability, using clearly
73 articulated assumptions that can be tested. First, consider the case when the long-term
74 average population growth of each species is negative. If we assume that each species
75 is experiencing deterministic exponential decline, then

$$76 \quad x(t) = x(0)\lambda^t,$$

77 where $x(t)$ is population abundance at time t , and λ is the growth parameter ($\lambda < 1$ for
78 a declining population). It is then straightforward to calculate that extinction (such

79 that $x(t) = 1$ occurs at time $T = -\ln[x(0)]/\ln[\lambda]$. If the long-run growth rate is
80 negative, then for stochastic population models the mean extinction time is also
81 approximately logarithmically dependent on initial population size (Lande 1993).

82 With the simplifying assumption that the rate of decline is the same for each species
83 (we address this particular assumption later), the mean expected time to extinction,
84 averaging over n species, is proportional to the mean of the logarithm of population
85 abundance. As we show below, the mean expected time to extinction is proportional
86 to the logarithm of the geometric mean of population abundances (M_0);

$$\begin{aligned} 87 \quad \bar{T} &\propto \overline{\ln(x)} = \frac{1}{n} \sum_{i=1}^n \ln(x_i) \\ 88 \quad &= \ln \left(\left[\prod_{i=1}^n x_i \right]^{1/n} \right) \\ 89 \quad &= \ln(M_0). \end{aligned} \tag{1}$$

90 Equation 1 relates the mean time to extinction to the geometric mean abundance.
91 However, it would be helpful to determine how this index might relate to the
92 proportion of species going extinct. We approximate this by assuming that times to
93 extinction have an exponential distribution. The proportion of species going extinct
94 within time t is then $1 - \exp(-t/\bar{T})$. When this proportion is ≤ 0.2 , it can be
95 approximated by t/\bar{T} , leading to:

$$96 \quad I_g = \frac{1}{\ln(M_0)}. \tag{2}$$

97 This index should correlate linearly with the proportion of species going extinct under
98 the assumptions stated above.

99 We develop a second index based on a different set of assumptions. We consider a
100 stochastic population model in which the logarithm of the population growth rate has
101 a normal distribution with a mean of zero and variance σ^2 . For this model, the risk of
102 extinction within a given time period t is (Ginzburg et al. 1982; Dennis et al. 1991;
103 McCarthy & Thompson 2001):

$$104 \quad q_i(x_0) = 2\phi(-v) .$$

105 where $\phi()$ is the standard normal cumulative distribution function, $v = -\ln(1/x_0)/(\sigma\sqrt{t})$
106 and x_0 is the initial population size. This functional form could be used as an index,
107 but it does not provide a simple numerical solution. Instead, we approximated this
108 equation by a function of the form, $A x^{-B/(\sigma\sqrt{t})}$, with the values of A and B depending on
109 the value of the extinction risk. For small extinction risks, $q_i < \approx 0.15$, $A = 2.2$ and $B =$
110 1.87 provide a good approximation. When the extinction risk is close to one, a better
111 approximation is $A = 1$ and $B = 0.798$. Regardless, the probability of extinction scales
112 approximately with abundance in proportion to x^{-b} , with $b = B/(\sigma\sqrt{t})$. Thus, averaged
113 across n species, we would expect the proportion of species going extinct to be

$$114 \quad L = \sum_{i=1}^n q_i / n = k \sum_{i=1}^n x_i^{-b} / n = k(M_{-b})^{-b}, \quad (3)$$

115 where k is a constant of proportionality and M_{-b} is a power mean of abundance with
116 power $p = -b$,

$$117 \quad M_{-b} = \left(\frac{1}{n} \sum_{i=1}^n x_i^{-b} \right)^{-1/b} .$$

118 Consequently, our second index is based on a power mean of abundance:

$$119 \quad I_b = (M_{-b})^{-b}. \quad (4)$$

120 The value of b depends on the time horizon over which risks are assessed. If we
121 consider a time horizon of $T=100$ years and a standard deviation of $\sigma=0.1$ (Dennis et
122 al. 1991), the extinction risk of each species is likely to be relatively small (recall,
123 zero mean growth rate), and b would be of the order $1.8 \approx 2$. The value of b will be
124 larger for shorter time horizons.

125 A third index can be derived from the deterministic model that accounts for the
126 population growth rate, in addition to population size. Noting again that the mean
127 time to extinction under deterministic decline is $-\ln[x(0)]/\ln[\lambda]$, then the proportion of
128 species going extinct can be approximated by $-\ln[\lambda]/\ln(M_0)$, allowing communities
129 with different population growth rates of species to be compared. Using the mean of
130 the logarithmic population growth rate of species within a community, μ_r , as the
131 estimate of $\ln[\lambda]$ leads to the index:

$$132 \quad I_t = \frac{-\mu_r}{\ln(M_0)}. \quad (5)$$

133 This index requires extra data, being the population growth rates of species within the
134 community. Such data might be uncommonly available, but are necessary to compare
135 risks among communities where the species are declining at different rates.

136 **Simulations for evaluating indices**

137 Stochastic simulations of species within communities were used to evaluate how well
138 the different indices correlated with the proportion of species going extinct. Each

139 community consisted of 500 species, and there were 100 different communities. For
140 each species j in community i , we simulated the population dynamics over 20 time
141 steps using the exponential growth model such that the population size in time $t+1$ is
142 given by:

$$143 \quad x_{ijt+1} = \lambda_{ijt} x_{ijt}.$$

144 Parameter values for the 100 different communities were chosen such that the
145 proportion of species going extinct spanned a wide range (in our case between 0.02
146 and 0.64). Within each community, the initial population size $\ln x_{ij0}$ was drawn from a
147 lognormal distribution with mean μ_N and coefficient of variation c_N , and the
148 logarithmic growth rate $\ln \lambda_{ijt}$ was drawn from a normal distribution with mean μ_r and
149 standard deviation σ_r . The proportion of 500 species that fell to or below one
150 individual measured the average extinction risk of the community.

151 To ensure that each community had different initial population sizes and different
152 trends in abundance (and hence different average extinction risks), the mean and
153 coefficient of variation of the population size (μ_N and c_N) and the mean and standard
154 deviation of population growth rate (μ_r and σ_r) of each was varied among
155 communities. The coefficient of variation c_N was drawn from a uniform distribution
156 on the interval [0.5, 3.0]. The mean population size was equal to $1.2^d 100$, where d was
157 drawn from a uniform distribution on the interval [0, 20], so mean population size
158 varied among communities over the interval [100, 3834]. The mean population
159 growth rate (μ_r) was drawn from a uniform distribution on the interval [-0.3, -0.1],
160 and the standard deviation (σ_r) was drawn from a uniform distribution on the interval
161 [0.05, 0.4]. To test how differences in abundance, rather than population trend,

162 influence the performance of the indices, data were also simulated with μ_r set to -0.2
163 for all communities.

164 The three indices of extinction risk (I_g , I_b and I_t) were calculated for the simulated
165 communities and the correlations between these and the proportion of species going
166 extinct was examined. The performance of the arithmetic mean abundance and the
167 modified Shannon diversity index of Buckland et al. (2005), other putative
168 biodiversity measures, were also examined for the simulated data. For these two
169 cases, we multiplied the indices by -1 so that the indices would be expected to be
170 positively correlated with extinction risk.

171 **Data for evaluating indices**

172 The correlation between the indices and local extinction risk was evaluated using field
173 data on Lepidoptera (Krauss et al. 2003) and woodland plants (Sutton and Morgan
174 2009). Because data on differences in population trend among sites and species were
175 unavailable, only eqns 2 and 4 were evaluated. We evaluated all three indices with
176 data from experimental protozoa communities (Clements et al. 2013). The original
177 publications detail the data and its collection; some information is provided here for
178 context.

179 The abundances of butterfly species in 31 patches of habitat were estimated in both
180 1996 and 2000 (Krauss et al. 2003). Data were restricted to those species present in at
181 least 24 of the 31 patches so that extinction risk was assessed for a pool of species that
182 were relatively similar at all sites. Thus, differences among sites tended to reflect
183 differences in abundance rather than inherent differences among species. For all these
184 species, probabilities of detection given presence, based on occupancy/detection

185 models (Stauffer et al. 2002) using data on detections in sets of 5-minute intervals,
186 were estimated to be >95% in the surveys. In each patch, between 13 and 16 of the
187 species being considered were observed in the first instance. For each index, we
188 plotted the mean extinction risk (calculated as the proportion of species that went
189 extinct) against the index. For this case study, the time horizon is relatively short, $T =$
190 8 (assuming two generations per year). For the second index, this results in $b \approx 6.6$
191 assuming $\sigma = 0.1$. Greater variability in the population dynamics (i.e., $\sigma > 0.1$) would
192 lead to smaller values for b . The data were also analysed when the data were restricted
193 to species that were genuine grassland specialists, but as the results were qualitatively
194 the same, only results with the larger number of species are reported.

195 The composition and abundance of all native plant species of ten grassy woodland
196 patches in western Victoria, Australia were surveyed in 2006 (Sutton and Morgan
197 2009). These data were compared to the species composition and population
198 abundance of the same patches observed in 1975 to determine patch extinction rates.
199 To reduce false absences, sites were surveyed on three occasions, with the time spent
200 searching being proportional to each site's size and heterogeneity. To further
201 minimize chances of missed detections, we restricted our analyses to perennial
202 species. Finally, we limit variation in extinction risk due to idiosyncratic differences
203 among species by considering only species that were present in at least eight of the
204 ten patches in the analysis.

205 Abundances of the plants was estimated in 1975 using a four-point scale: "Very Rare"
206 (less than two dozen individuals seen across the site), "Rare" (appearing in dozens),
207 "Common" (appearing in hundreds), "Very Common" (appearing in thousands). The
208 discretised and censored data meant we were unable to calculate the indices directly.

209 Instead, we fitted a Pareto distribution to the abundance data, using maximum
210 likelihood methods, and calculated the indices from the parameters of the estimated
211 distribution. To fit the Pareto distribution, we assumed that the four abundance class
212 were distinguished by threshold values of 24, 100 and 1000 (*i.e.*, “Very Rare” was
213 assumed to be <24 individuals, “Rare” was 24-100, etc).

214 We chose to fit a Pareto distribution since, for the deterministic model with negative
215 growth rate, if the mean time to extinction (T) is exponentially distributed with
216 parameter θ , abundance ($x = \exp[T/k]$) is a Pareto random variable with scale
217 parameter $x_m = 1$, and shape parameter $\alpha = k\theta$ (Krishnamoorthy 2006). We also fitted a
218 log-normal distribution instead of a Pareto distribution. The results obtained were
219 very similar in both cases, so we only present results for the Pareto. Assuming $\sigma=0.1$
220 and $T=30$ leads to $b = 3.4$ in the power mean index I_b .

221 Experimental protozoan communities were assembled with 4 ciliate species, at 2
222 temperatures (15 °C and 20 °C), and sampled for abundance data 3 times a week for
223 163 days (Clements et al. 2013). Four 3-species communities and one 4-species
224 community were replicated at each temperature giving a total of 10 communities (a
225 “community” in this case being a particular combination of species and temperatures).
226 Extinction events were driven by either competitive exclusion or starvation.

227 Population trends between days 5 and 9, abundance at day 9, and the proportion of
228 species extinct by day 163, were calculated and averaged across replicates. Day 9 was
229 chosen as the initial date because this day occurred prior to all but one extinction
230 event, and effects of initial conditions on the community dynamics had attenuated.

231 Each community was replicated 5 times each, except for one community in which a
232 replicate was excluded when a species went extinct prior to day 9. The indices for

233 each of the 10 communities were then compared to the proportion of species extinct
234 by day 163. Given the ecological time frame of this experiment (≈ 200 protozoan
235 generations; Clements et al. 2013), the extinctions observed indicate possible long-
236 term extinction trends. The parameter b in the index based on the power mean was
237 approximately 1.3, assuming $\sigma = 0.1$.

238 **Relating I_g to the Living Planet Index**

239 The LPI is the geometric mean abundance of vertebrate species in a particular year
240 divided by the geometric mean in 1970 (Loh et al. 2005, Collen et al. 2009).
241 Therefore, the index based on the geometric mean can be related to the LPI simply as
242 $I_g = 1/\ln(c \text{ LPI})$, where c is the geometric mean abundance in 1970. If I_g is
243 proportional to the probability of extinction, as assumed in its derivation, LPI values
244 can be converted to proportional changes in the probability of extinction of species,
245 which will equal $-\ln(\text{LPI}) / [\ln(c) + \ln(\text{LPI})]$. We calculated this quantity for the
246 world's birds based on published avian LPI values (Baille et al. 2010).

247 These proportional changes depend on c , which is not well known. The arithmetic
248 mean abundance of birds is thought to be approximately 10 million individuals per
249 species but, because species abundance distributions are heavily right-skewed, the
250 geometric mean will be substantially less (Gaston and Blackburn 2003). We estimated
251 the global species abundance distribution of birds, and hence the geometric mean, by
252 fitting a log-normal distribution to data on reported population size for the global list
253 of 1253 threatened species on BirdLife International's website
254 (<http://www.birdlife.org/datazone/species/search>; accessed 20 December 2011) and
255 assuming an arithmetic mean of 10 million birds per species. We assumed that
256 abundances of the remaining 8663 non-threatened species were greater than 1000. In

257 this case, and in cases where the data on threatened species were provided as ranges,
258 we fitted the model assuming censored data. When an upper limit was not provided,
259 we set the upper limit of 10 billion individuals for each species, which is greater than
260 the reported abundance of passenger pigeons, the world's most abundant bird prior to
261 its extinction. The geometric mean of the resulting log-normal probability distribution
262 was then calculated. The sensitivity of the results to the calculated value of c was
263 examine by varying c by one order of magnitude and re-calculating the proportional
264 changes in the probability of extinction.

265 **Results**

266 For the simulated communities with variation in mean growth rate among
267 communities, the index based on the power mean (I_b) and the index based on the
268 geometric mean (I_g) were positively correlated with the proportion of species going
269 extinct (Pearson product moment correlations $r = 0.39$ and $r = 0.50$, respectively).
270 Spearman rank correlations were similar ($r_s = 0.34$ and 0.49 respectively). Variation
271 in mean growth rates among communities explained much of the imperfect
272 correlations; correlations for the index that is based on population trend were high ($r =$
273 0.96 ; $r_s = 0.99$ for I_t), and were similarly high for the geometric mean index (I_g) when
274 all communities had the same mean rate of decline ($r = 0.97$ when $\mu_r = -0.2$ for all
275 communities).

276 The index based on the geometric mean (I_g) and the index that considers population
277 trend (I_t) were more strongly correlated with the proportion of species going extinct
278 than either index based on the arithmetic mean or the Shannon diversity ($r = 0.44$ in
279 both cases when μ_r varied on the interval $[-0.3, -0.1]$, and $r = 0.94$ and 0.91
280 respectively when μ_r was -0.2). The index based on the power mean (I_b) was the least

281 strongly correlated with the proportion of species going extinct ($r = 0.39$ when the
282 mean population growth rate varied among communities, $r = 0.66$ when it was
283 consistent); this might be expected given the strong influence of the population trend
284 on the simulated extinction risks, whereas the index I_b assumed no trend.

285 The index based on the geometric mean abundance was positively correlated with the
286 proportion of Lepidoptera and woodland plant species that went extinct ($r = 0.67$ and
287 0.66 respectively; fig. 1a,b). The correlation was -0.32 for the protozoan community
288 (fig. 1c), although abundances were similar for most communities, so the index
289 spanned a narrow range. Thus, the data had little power to indentify a relationship.
290 The correlation was positive when differences in population trends in the protozoan
291 community were accommodated by using the index I_t ($r=0.33$; fig. 2).

292 The correlations between the proportion of species going extinct and the index based
293 on the power mean were $r = 0.25$ for the butterfly data, $r = 0.40$ for the woodland
294 plants, and $r = -0.20$ for the protozoan community (fig. 3). Again, the narrow range of
295 abundances for the protozoan community limited the ability of this dataset to reveal
296 the nature of the relationship between the index and the proportion of species going
297 extinct, especially given the large influence of population trends on extinction in these
298 data.

299 The geometric mean abundance (c) of birds was estimated to be approximately
300 100,000 individuals per species. Assuming that the index based on the geometric
301 mean is proportional to the extinction risk of species at the global scale, the reported
302 decline in the LPI for birds from 1970 to 2009 of 13% (Baille et al. 2010) reflects a
303 proportional increase in the probability of extinction of approximately 1% for values
304 of c between 10,000 and 1,000,000 (Fig. 4). Smaller values of c imply larger changes

305 in the risk of extinction for a given change in LPI, although the results are relatively
306 insensitive to the choice of c (Fig. 4).

307 **Discussion**

308 We derived indices that can be interpreted in terms of changes in extinction risk. By
309 deriving the indices from theoretical population models, the merits of possible
310 alternative indices can be assessed to determine which indices are best supported by
311 data. Our analysis shows that the indices are positively correlated with the proportion
312 of species going extinct in small patches, despite highly simplified assumptions used
313 to build the indices.

314 In addition to the heuristic properties that Buckland et al. (2005) and van Strien et al.
315 (2012) used to assess different indices of biodiversity, a good index should also be
316 clearly related to particular management objectives. For example, we have shown that
317 the geometric mean abundance of species, which has good heuristic properties
318 (Buckland et al. 2005; van Strien et al. 2012), can be related to the proportion of
319 species within an area that are likely to become extinct. This lends much greater
320 support to this index as a biodiversity metric.

321 The geometric mean abundance of species is used increasingly, including in North
322 American and European bird monitoring (Gregory and van Strien 2010; Butchart et
323 al. 2010) and for planning fire management (Di Stefano et al. 2013). The LPI for
324 reporting the state of species is the geometric mean abundance in each period, divided
325 by the geometric mean abundance in the first time period (Loh et al. 2005; Collen et
326 al. 2009). The LPI is based on the notion that changes in species abundance are
327 important, but was not derived directly from ecological theory. We do not intend this
328 as a particular criticism of the LPI, which has more support than some alternative

329 indices, but we argue that ecological indices should have sound theoretical
330 foundations. A theoretical foundation helps make the meaning and scope of the index
331 clearer and more easily justified. For example, the derivation of the index based on
332 the geometric mean implies that reductions in the LPI can be interpreted in terms of
333 an increased average probability of extinction of the species. We estimate that the
334 reduction of the global avian LPI of approximately 13% between 1970 and 2009
335 corresponds to approximately a 1% increase in the probability of extinction (Fig. 6).
336 This is less than the increased risk of 7% implied by the Red List Index (RLI) of birds
337 for the period 1988 to 2004 (Butchart et al. 2004), which is the only CBD index that is
338 related directly to extinction. The larger increase in extinction risk implied by the RLI
339 compared with I_g might be expected given the RLI's focus on threatened species.

340 Using a theoretical foundation to develop indices suggests ways in which the indices
341 can be evaluated and improved, and assumptions underlying the indices are clear. The
342 clear assumptions can be tested individually to determine whether they are violated in
343 particular circumstances and the consequences of those errors. Further, the overall
344 properties of an index can be assessed against data if it approximates an explicit
345 quantity. In our case, we sought an index that would be linearly correlated with the
346 proportion of species becoming extinct such that a change in the index would reflect a
347 particular change in the proportion of species going extinct. The clear assumptions
348 help highlight how the indices could be modified.

349 As an example of modification, trends in population size are likely to influence
350 extinction risks. The index that incorporates trend (I_t) shows how abundance and trend
351 might be incorporated into a single index if the assumption of a consistent trend
352 among communities is not supported. In the case of the experimental protozoan

353 community, an assumption of an equal trend is clearly not supported. Of the four
354 protozoan species, one went extinct in all 40 experimental replicates, and one
355 persisted in all replicates. Thus, the proportion of species in each community that
356 went extinct was influenced substantially by the identity of the species, which had
357 different trends not just different population sizes.

358 Biodiversity indices, such as those developed here, will be sensitive to the choice of
359 species that are included. For example, species included in the LPI calculations are
360 not a random sample of all possible species, with biases likely. Unless the scheme
361 used to select the sample of species used in the index is considered carefully, it will be
362 unclear how the selected species will represent the broader suite of biodiversity.

363 Factors other than those included in the indices are likely to influence extinction. The
364 Lepidoptera species will be differentially susceptible to apparent local extinction
365 because of different dispersal and abilities to persist outside the focal habitat patches.
366 Other species will occur only ephemerally in the patches, reducing the influence of
367 abundance on local extinction. However, the results were qualitatively identical when
368 analysing only strict grassland specialists, so we reported only the results for the
369 larger collection of species.

370 Our indices were based on models of exponential decline of single populations,
371 thereby ignoring spatial aspects and density-dependence. Other indices based on
372 metapopulation dynamics, for example, could be developed to account for spatial
373 effects. Indeed, metapopulation capacity, which is a function of colonisation and extinction
374 dynamics of habitat patches (Day and Possingham 1995; Hanski & Ovaskainen 2000),
375 can be viewed as an index of metapopulation persistence (Moilanen and Nieminen
376 2002). Density-dependence might be less important for populations that are declining

377 deterministically, although accounting for non-exponential decline might be important
378 because temporal patterns of decline influence risk (Di Fonzo et al. 2013).

379 Imprecise estimation of abundance (particularly in the woodland case study), some
380 residual uncertainty about the local extinction of species due to imperfect detection,
381 and the false assumption of equivalent dynamics of all species would all weaken the
382 correlation between the indices and the observed extinction rate. Despite this, the
383 predicted and observed extinction risks were correlated (Figures 1-3). This implies
384 that using the indices to aggregate data across species is reasonable. However, further
385 tests of the indices to predict local extinction would be valuable, as would evaluating
386 extinction risk over regions larger than just single patches (e.g., based on spatial
387 population dynamics).

388 The index based on the power mean is sensitive to the choice of the parameter b , and
389 estimating it via estimates the standard deviation of the population growth rate (σ)
390 might be difficult. Thus, the indices based on the geometric mean (I_g and I_t) might be
391 more appealing because a freely-varying parameter does not require estimation.
392 Further, extinctions might be dominated by deterministic declines rather than random
393 fluctuation around a zero mean growth rate. If true, the indices based on the geometric
394 mean might be preferred over that based on the power mean.

395 The SAFE index (Clement et al 2011; see also Akçakaya et al. 2011, Beissinger et al.
396 2011 and McCarthy et al. 2011) is essentially equal to the logarithm of population
397 size. Our analysis shows, therefore, that the SAFE index will be proportional to the
398 expected time to quasi-extinction (time to reaching a given threshold). But it also
399 shows that the SAFE index will be comparable among species as a measure of threat
400 only if trends in population size of those species are similar. Where trends differ

401 among species, an index based on $-\ln[x(0)]/\ln[\lambda]$ is likely to better reflect threat.
402 Further, prioritization of management, which apparently motivated the SAFE index,
403 should not be based on extinction risk, but on the ability to change risks (McCarthy et
404 al. 2011). This might be assessed, for example, by the relative cost of changing $x(0)$ or
405 λ and their influence on $-\ln[\lambda]/\ln[x(0)]$ (Baxter et al. 2006).

406 An index developed without theory does not mean it will have poor properties. As we
407 have seen, the geometric mean was developed without theory but appears to have
408 useful properties (Buckland et al. 2005; van Strien et al. 2012). The demonstrated
409 relationship to extinction risk lends further support to the geometric mean. Our
410 analysis also indicates how the geometric mean might incorporate population trends.
411 We suggest that biodiversity indices should be developed more frequently from
412 theoretical foundations to provide more explicit links between the index, the data
413 underlying the index, and the meaning of changes in the index. Such indices will
414 inevitably exclude factors that might be important; this is a feature of any model.
415 However, stronger theoretical foundations for biodiversity indices would clarify the
416 features that are considered and those that are ignored, and would allow the indices to
417 be more easily evaluated and improved.

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424 manuscript.

425 **Literature Cited**

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531 Figure 1. Relationship between the index based the geometric mean, I_g , and the
532 proportion of species going locally extinct for the three case studies: a, Lepidoptera
533 ($r = 0.67$); b, woodland plants ($r = 0.66$); and c, protozoan communities ($r = -0.32$).
534 Each point represents a patch for the field studies (a, b) or the average of each type of
535 community for the protozoans (c). The lines are linear regressions.

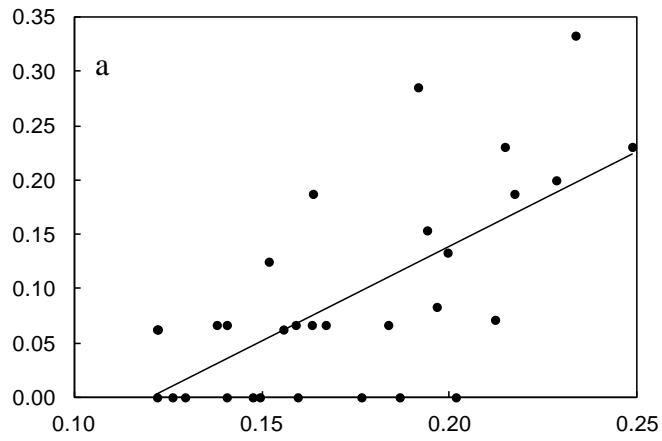
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537 Figure 2. Relationship between the index based the population trend, I_t , and the
538 proportion of species in protozoan communities going locally extinct ($r = 0.43$). Each
539 point represents the average of each type of community for the protozoans. The line is
540 a linear regression.

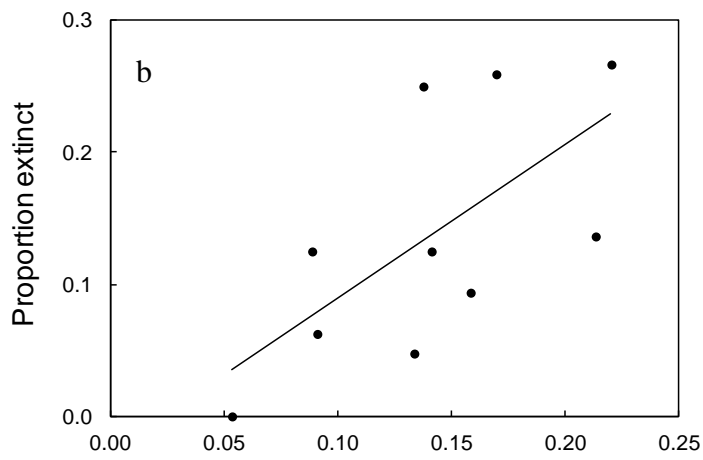
541 Figure 3. Relationship between the index based the power mean, I_b , and the
542 proportion of species going locally extinct for the three case studies: a, Lepidoptera
543 ($r = 0.40$); b, woodland plants ($r = 0.66$); and c, protozoan communities ($r = -0.20$).
544 Each point represents a patch for the field studies (a, b) or the average of each type of
545 community for the protozoans (c). In (a) there are multiple data points near the origin,
546 and in (c) there are three data points at the coordinate (0.33, 0.67). The lines are linear
547 regressions.

548 Figure 4. Proportional changes in the probability of extinction from levels in 1970
549 based on changes in the Living Planet Index for birds (Baille et al. 2010) assuming
550 values for the geometric mean abundance in 1970 of 10,000, 100,000 or 1,000,000
551 individuals.

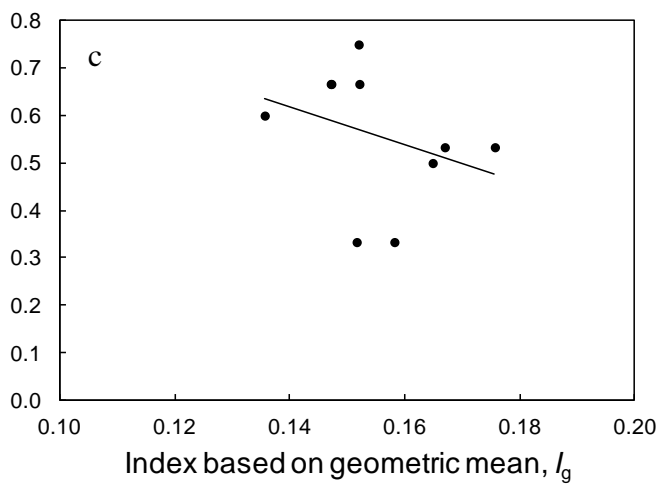
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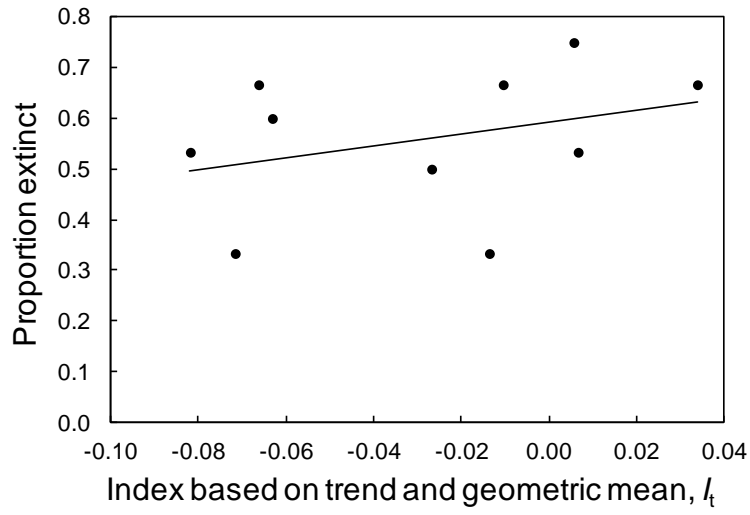
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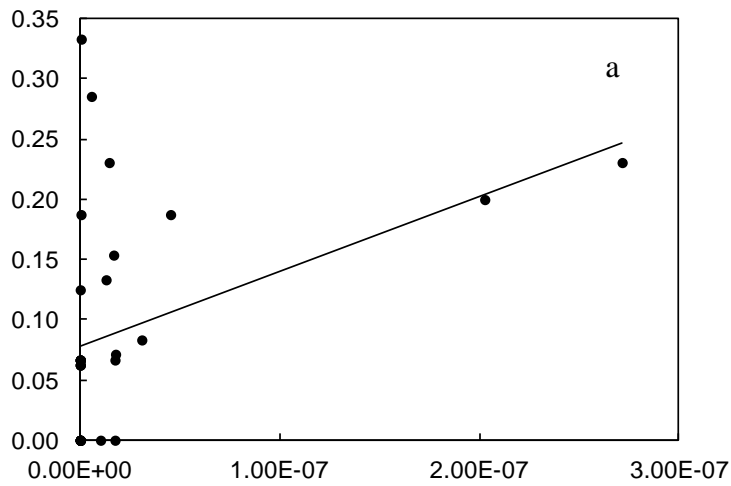


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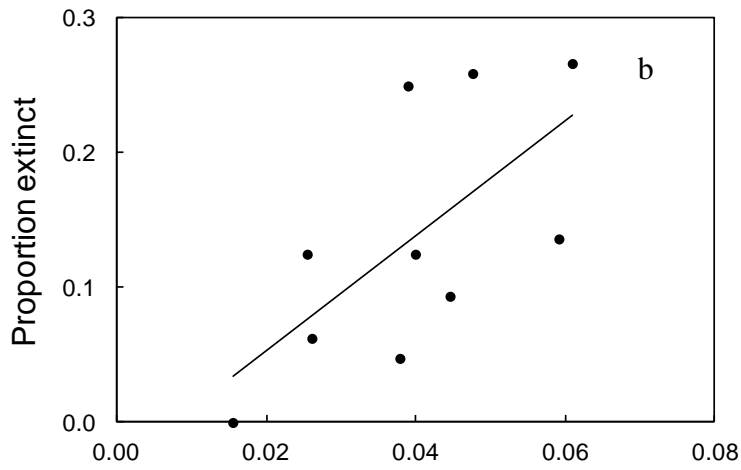


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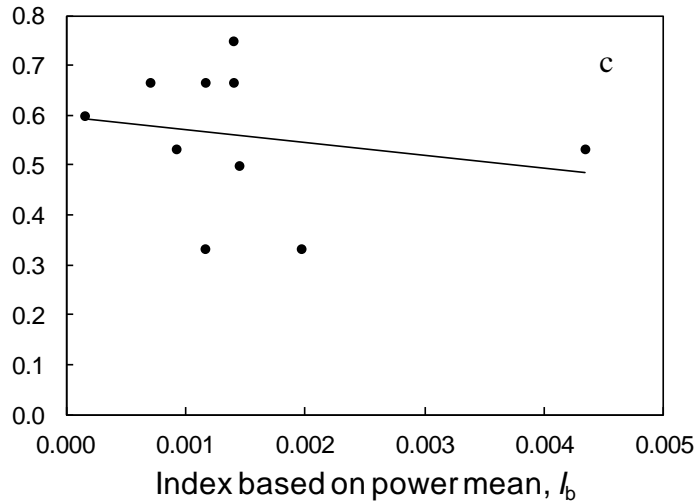
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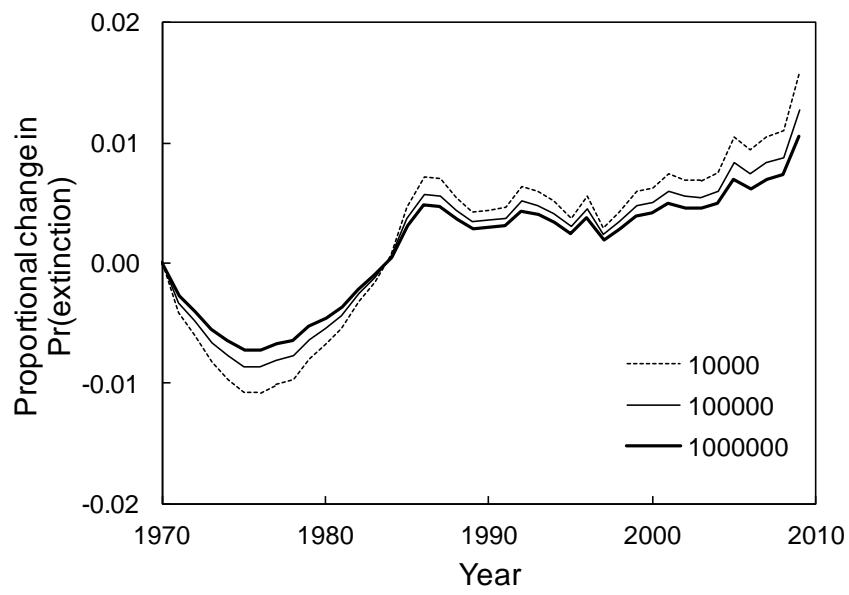


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