

# Local communities: First Line of Defence against illegal wildlife trade (FLoD)

Guidance for implementing the FLoD methodology



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# Acronyms

<b>AfESG</b>	IUCN/SSC African Elephant Specialist Group
<b>CEESP</b>	Commission on Environmental, Economic and Social Policy
<b>FLoD</b>	Local communities: first line of defence against illegal wildlife trade
<b>IIED</b>	International Institute for Environment and Development
<b>IUCN</b>	International Union for Conservation of Nature
<b>HWC</b>	human-wildlife conflict
<b>IWT</b>	illegal wildlife trade
<b>NGO</b>	non-governmental organisation
<b>SSC</b>	Species Survival Commission
<b>SULi</b>	Sustainable Use and Livelihoods Specialist Group (CEESP/SSC)
<b>ToC</b>	theory of change

# Key terms

<b>Core team</b>	The independent team implementing the FLoD methodology as outlined in this guidance.
<b>Project implementer/ designer</b>	An agency or institution, apart from the community itself, that has conceptualised or designed and/or is implementing the interventions under consideration.
<b>Stakeholders</b>	Any organisations or individuals who have knowledge, authority or influence on any part of the work to implement anti-illegal wildlife trade interventions in partnership with the community.
<b>Community</b>	A defined social group of any size whose members have a shared specific interest in wildlife, the land it resides on, or in IWT. These could include members of a conservancy, a group that resides next to a protected area, a village or a unit of local administration.
<b>Local liaison</b>	Organisation on the ground that serves as main logistical liaison for the core team. They may be the project implementer/designer or another intermediary.

# Section A: Introduction

This manual provides detailed guidance for implementing the 'Local communities: First Line of Defence against illegal wildlife trade (FLoD)' methodology to articulate, contrast and compare the assumptions, perceptions, and logic flows of communities and project designers/implementers that are engaging in projects to combat illegal wildlife trade (IWT).

The FLoD methodology is a multi-stakeholder action research approach designed for use by an independent team working with communities, local stakeholders and project designers or implementers (whether these are NGOs, government, community-based organisations or donors). It provides an adaptive approach to help build community engagement in anti-IWT initiatives, through a deep interrogation of the logic of designers, implementers and communities, as well as their motivations and assumptions. The methodology aims to provide information to help better align interventions and strengthen community participation.

The methodology uses a step-wise process of i) scoping meetings to understand the background to anti-IWT initiatives and to identify relevant stakeholders ii) interviews and focus group discussions to develop theories of change within stakeholder groups, and iii) multi-stakeholder workshops to discuss differences in logic and assumptions, communicate lessons learnt and generate recommendations for action going forward.

Section A provides an overview of the history and background of the FLoD approach. This is followed by an overview of the FLoD methodology in Section B. Section C provides detailed step-by-step guidance on how to use the FLoD methodology for existing anti-IWT initiatives, and Section D explains how to use FLoD in designing new initiatives.

Additional tools to be used alongside this guidance can be found in Annex 1. These resources are available to download digitally at: [www.iucn.org/flod](http://www.iucn.org/flod)

## Background to FLoD

The long term survival of wildlife, and in particular the success of efforts to combat illegal wildlife trade (IWT) in high-value species such as elephant and rhino, depends to a large extent on local communities that live with wildlife. While there is a growing recognition among practitioners, donors and policymakers of the need to engage communities that neighbour or live with wildlife, there is a lack of practical guidance on how to most effectively partner with local communities.

The IUCN CEESP/SSC Sustainable Use and Livelihoods Specialist Group (SULi), the International Institute of Environment and Development (IIED) and partners identified this gap and set about addressing it, developing a theory of change (ToC) based on a thorough review of existing literature and as a foundation piece for their 'Beyond enforcement' workshop in South Africa in 2015 (IUCN *et al.* 2015; Roe, D *et al.* 2016; Biggs, D *et al.* 2017).

This ToC aimed to better articulate the conditions and pathways for successful community-level action to tackle the illegal killing and trade of high-value species and strengthen links between state- and community-led enforcement efforts. It identified four pathways for community-level action:

- Strengthening disincentives for illegal behaviour,
- Increasing incentives for wildlife stewardship,
- Decreasing the costs of living with wildlife, and
- Increasing livelihoods that are not related to wildlife.

To succeed in combating IWT through community engagement, the initial ToC posited the need to strengthen all four pathways, identifying a series of enabling conditions, including: capacity building; fair and adequate legislation; strengthened governance; and a recognition of the difference between community and individual costs and benefits.

This initial ToC was intentionally generic: its dynamic nature means it needs to be modified for specific circumstances. We launched the 'Local communities: First Line of Defence against illegal wildlife trade (FLoD)' initiative to begin to test, verify and modify the ToC based on realities on the ground.

In 2016, IUCN convened a stakeholder workshop in Kenya to discuss the initial ToC and modify it based on stakeholder experiences. IUCN, IIED and partners then began testing this revised baseline ToC in a number of community conservancies and other contexts in Kenya, using a dynamic, participatory action research methodology involving local communities and project practitioners.

This guidance outlines the methodology we piloted in Kenya. The FLoD initiative is now working to roll out the approach in a variety of contexts in southern Africa. FLoD is designed to enhance the effectiveness on the ground of people and organisations that are implementing anti-IWT projects, while also influencing national and international policy by sharing the lessons that come out of this work.

## About this guidance

The FLoD methodology aims to make explicit and enhance all stakeholders' understanding of:

- The logic, assumptions and beliefs (or implicit ToCs) of anti-IWT project implementers/designers and of communities who are targets, leaders or partners of those projects, and
- Differences within communities, and between communities and project implementers/designers, in terms of their logic, assumptions and beliefs about how a project will work (in other words, their respective ToCs).

As a result, the methodology may expose reasons for the success or failure of particular project components, thereby assisting project planning and implementation. It can also effectively:

- Explore some of the site-specific drivers of IWT and shed light on which community-based strategies for tackling it are likely to be most effective,
- Enhance the achievement of outcomes or impacts,
- Help donors improve the effectiveness of investments in combating IWT,
- Provide lessons for other existing and new projects, and
- Provide lessons to help enhance the response to IWT at local, national, regional and international levels.

We have developed this guidance to document the process that we used to test the ToC for engaging local communities in tackling high-value IWT in different settings, and to serve as a guide to others who wish to apply this methodology in other sites and contexts.

The FLoD methodology can be applied to anti-IWT initiatives of any kind (both new and existing), as long as they have an explicit community component. To date, the FLoD initiative has focused on the illegal trade of high-value species (or their products), which bring in thousands of dollars for individual animals, plants or their parts and derivatives at all levels of the value chain and are usually destined for international commercial markets. But we believe it could also be used to examine, for example, bushmeat or other products destined for commercial or subsistence trade.

We aim to provide an adaptive, iterative approach to help build community engagement in, and ownership of, anti-IWT projects through a deep interrogation of community logic, motivations and assumptions in a particular context. Following this guidance does not guarantee specific outcomes or impacts; users should note that results are specific to each community or context.

In particular, the FLoD baseline ToC is not a blueprint for intervention. Rather, it is a tool for underpinning a process to understand and articulate a project’s logic and assumptions, to help identify what is working and potential flaws in logic and design, hopefully leading to improved interventions and outcomes. Table 1 summarises who might find this guidance useful and for what purposes.

**Table 1: Potential users and applications of the FLoD guidance**

Users	Application
Project implementers or designers: NGOs, government agencies, donors, etc	Developing new projects or improving existing projects
Community associations	Developing new projects or improving existing projects
Researchers	Understanding and interrogating existing projects

This guidance is based on piloting the FLoD methodology in a limited number of communities and contexts in eastern and southern Africa. As we gain more experience in its application and learn lessons from different contexts, we will continue to update and refine the process, simplifying it where possible. To download the latest version of this guidance (and the tools in Annex 1) go to: [www.iucn.org/flod](http://www.iucn.org/flod)

We would welcome feedback from users of the guidance, particularly if you think we need to provide more detailed explanation, where different steps have worked well or worked badly and any other modifications you feel we need to make. Please send your feedback to the corresponding author, Leo Niskanen at: [leo.niskanen@iucn.org](mailto:leo.niskanen@iucn.org)

# Section B: FLoD methodology: an overview

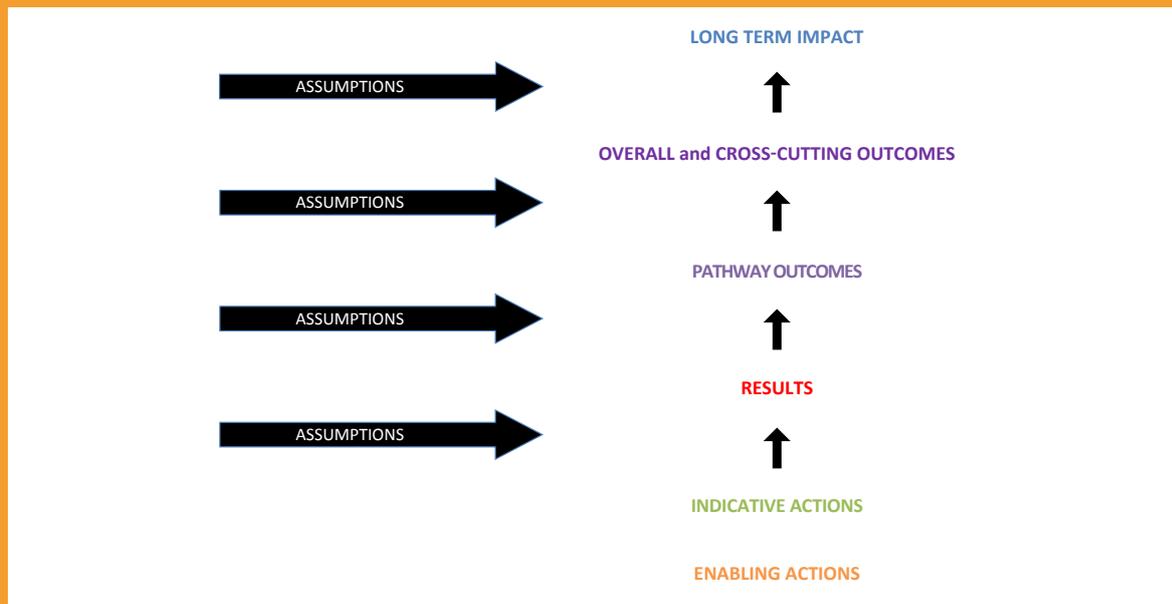
## What is a theory of change?

A ToC is a description of how and why we expect a desired change to happen in a particular context.<sup>1</sup> The ToC approach is a methodology or process most often used for planning and evaluation in the non-profit, philanthropic and government sectors. It is both rigorous and participatory, and allows stakeholders to identify and articulate the conditions that they believe have to unfold, in a series of cause-and-effect steps, to meet their long-term goals. A ToC lays out these identified conditions in a hierarchical and causal framework, not dissimilar to a logical framework.

A unique aspect of the ToC approach is the detailed articulation of assumptions that underpin each step along the causal pathways. Articulation of assumptions can often expose key differences in the logic, attitudes and beliefs of different stakeholder groups. This approach helps to: make those differences transparent; unpack the complex social, economic, political and institutional processes that underlie change; and identify shared solutions.

Figure 1 illustrates how a ToC has different levels that show the causal links between actions on the ground and their long-term impact, and how these are underpinned by a set of enabling actions.

Figure 1: Theory of change overview



## FLoD baseline ToC and assumptions

The FLoD baseline ToC is shown in Figure 2. The assumptions associated with each level of the ToC are listed in full in Table 2. The baseline ToC continues to be dynamic — for example, early experience from different contexts indicates that we may need to adjust Pathway C to include not only the costs of living with wildlife, but also the broader costs of conservation. We will continue to refine the baseline ToC and encourage users of this guidance to make any necessary refinements.

<sup>1</sup> For more detailed information on ToCs, see [www.theoryofchange.org](http://www.theoryofchange.org)



Table 2: FLoD baseline ToC assumptions

Code	Assumption
<b>Pathway A</b>	
A-I1	Local communities are willing to engage with formal law enforcement agencies on anti-IWT activities (eg as scouts and informants).
A-I2	Formal law enforcement agencies are willing to collaborate with communities on anti-IWT activities.
A-I3	Formal law enforcement agents are not involved in or linked to IWT.
A-I4	Better trained, better equipped community members do not use their more advanced equipment and training to engage in IWT.
A-I5	Community members are willing to enforce against IWT within their communities.
A-I6	Community members are willing to enforce against IWT outside their communities.
A-I7	Existing formal sanctions are fair.
A-I8	Existing formal sanctions are a deterrent.
A-I9	Social sanctions against IWT are in practice.
A-I10	Social sanctions against IWT can be revived.
A-R1	Formal sanctions and social sanctions are mutually reinforcing.
A-R2	Collaboration between communities and formal enforcement agencies leads to stronger action against IWT and not stronger collusion in IWT.
A-P1	Community members that are more engaged in combating IWT deter/discourage other community members from taking part in IWT.
A-P2	Intimidation by poachers/traffickers does not deter community action against IWT.
<b>Pathway B</b>	
B-I1	Communities have rights to benefit from managing and using wild plants and animals.
B-I2	Communities exercise their rights to benefit from managing and using wild plants and animals.
B-I3	The community rights that are exercised are enough to foster wildlife stewardship.
B-I4	The financial investment necessary to generate benefit is available.
B-I5	There are sustainable markets for products and services from wild plants and animals.
B-I6	Formal custodians of wild plants and animals are willing to share revenue with communities.
B-I7	Communities perceive some level of tangible benefit from wild plants and animals.
B-I8	Communities perceive some level of intangible benefit from wild plants and animals.
B-I9	There is a enough understanding of the link between the continued existence of wild plants and animals and the benefits they generate.
B-I10	Wildlife-based benefits are not inequitably distributed due to elite capture.
B-I11	Inequitable distribution of wildlife-based benefits does not undermine support for wildlife stewardship.

B-I12	Third party interference does not undermine community interests.
B-R1	Communities that have rights to own, manage and/or benefit from wild plants and animals value them more.
B-R2	Benefits are distributed widely enough to ensure that the wider community, rather than just a few individuals, values wild plants and animals.
B-P1	The full suite of benefits (tangible and intangible) from wild plants and animals are enough to deter poaching.
B-P2	The full suite of benefits (tangible and intangible) from wild plants and animals are sustainable.

### Pathway C

C-I1	The full costs of living with wildlife are known and can be quantified.
C-I2	Resources and tools are available to mitigate human-wildlife conflict (HWC)
C-I3	Approaches to mitigating HWC are effective.
C-I4	Official policies and strategies are effective in reducing the cost of living with wildlife.
C-R1	Communities with greater ability to mitigate HWC (resources, tools, policies) feel less antagonism towards wildlife.
C-R2	Reduced costs from HWC result in lower antagonism towards wildlife.
C-PK	Communities with decreased antagonism towards wildlife have a decreased incentive to directly or indirectly support IWT.

### Pathway D

D-I1	Adequate capacity exists to engage in non-wildlife-based livelihoods.
D-I2	Adequate support is available to develop and maintain non-wildlife-based livelihoods.
D-I3	People that are (or could be) involved in IWT can obtain benefits from non-wildlife-based livelihoods.
D-I4	Non-wildlife-based benefits are not inequitably distributed due to elite capture.
D-I5	Inequitable distribution of non-wildlife-based benefits does not undermine support for wildlife stewardship.
D-I6	Non-wildlife-based livelihood schemes do not generate perverse incentives — eg money earned is not reinvested in poaching or in other land uses that negatively affect conservation.
D-R1	Non-wildlife-based livelihoods have sustainable markets and supply chains.
D-P1	Non-wildlife-based livelihoods generate enough income to substitute or remove the incentive for engaging in IWT, rather than acting as additional income to IWT.
D-P2	Support for non-wildlife-based livelihood schemes are conditional on reduced IWT.

### OUTCOMES

E1	Community actions can make a contribution to reduced IWT.
E2	The relative value of illegal wildlife products is not so high that corruption undermines community action against IWT.
E3	The relative risk of being apprehended, arrested or prosecuted is not so low that it undermines community action against IWT.
F	Poaching/trafficking is reduced to within sustainable levels.

## Key principles

There are a number of key principles at the core of the FLoD methodology. These are that the core team undertaking the process should:

1. Be independent from the designer and the community, to ensure that communities can speak freely and the outcomes of the process are free from bias,
2. Provide frequent feedback to stakeholders and iteratively validate findings throughout the process,
3. Strive to transfer ownership and accountability of the ToC to all stakeholders at site level, including the implementer/designer and the community, and
4. Encourage the use of adaptive management principles in the community's implementation of subsequent interventions with their partners.

While we recognise that it may not always be possible for an independent core team to implement this methodology, we note that the absence of a core team could build immediate bias into the process, making it impossible to develop the true ToC at community level. This guidance assumes that an independent core team is leading the process.

## Outline of the FLoD methodology

This guidance explains how to use the FLoD methodology in two contexts: for existing anti-IWT initiatives (Section C) and when developing new ones (Section D).

The FLoD methodology uses the baseline ToC shown in Figure 2 as a starting point. The baseline ToC serves as a basic draft against which the implementer/designer can develop their own ToC. The community can then develop their ToC against the implementer/designer ToC. This step progression of comparison against the previous ToC is shown in Figure 3.

Figure 3 shows three ToCs:

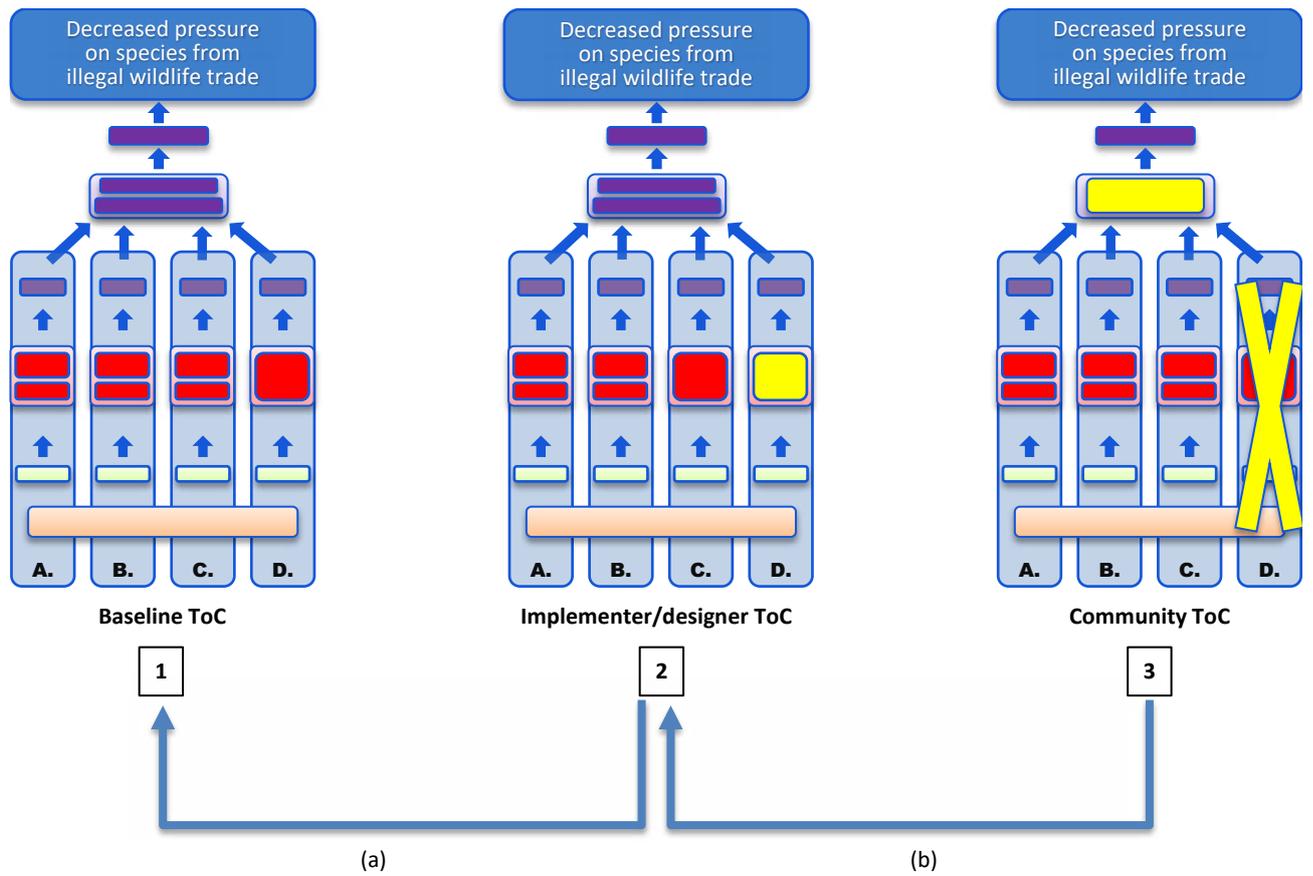
1. The baseline ToC,
2. The ToC of those designing or implementing interventions in each of the four pathways that are ultimately intended to reduce IWT, and
3. The ToC that describes the community's view of how interventions can reduce IWT.

The blue arrows show the step progression of how the comparisons take place. These are:

- a. Between the implementer/designer and baseline ToCs, and
- b. Between the implementer/designer and community ToCs.

Through this process, you ultimately derive a community ToC. The yellow shading illustrates how the ToC might change over time.

Figure 3: Broad outline of outputs of the FLoD methodology



The FLoD methodology follows a very clear process to develop these outputs and includes a number of practical and systematic tools. We outline these in Section C.

# Section C: Step by step guidance

This section outlines guidance for implementing the FLoD methodology in existing projects. It provides an overall summary of the steps, tools and requirements, with detailed guidance on each step of the process.

The FLoD methodology contains seven key steps, each containing certain activities. An outline of each step and the activities involved is shown below.

## Step 1: Preparation and scoping

- 1.1 Define the target community
- 1.2 Assess feasibility
- 1.3 Conduct site scoping visit

## Step 2: Inception workshop

- 2.1 Conduct inception workshop with all stakeholders

## Step 3: Develop an implementer/designer ToC

- 3.1 Conduct interviews with organisation(s) implementing the initiative, testing the assumptions in the baseline ToC by going through the questions in the implementer/designer ToC development tool.
- 3.2 Construct an implementer/designer ToC using the interview results
- 3.3 Validate the implementer/designer ToC

## Step 4: Develop a community ToC

- 4.1 Update the community ToC development tool using using the newly validated implementer/designer ToC and assumptions
- 4.2 Test the implementer/designer assumptions within the community, using focus group discussions
- 4.3 Hold a whole community meeting to present the consolidated results of focus group discussions
- 4.4 Construct a community ToC

## Step 5: Feedback workshop

- 5.1 Hold a feedback workshop with all stakeholders to validate the community ToC and compare it with the implementer/designer ToC, identify and discuss key differences

## Step 6: Communicate lessons learnt

- 6.1 Consolidate lessons learnt and develop recommendations for improved site-level interventions, as well as policy change at national and international levels. Produce and publish any guiding resources

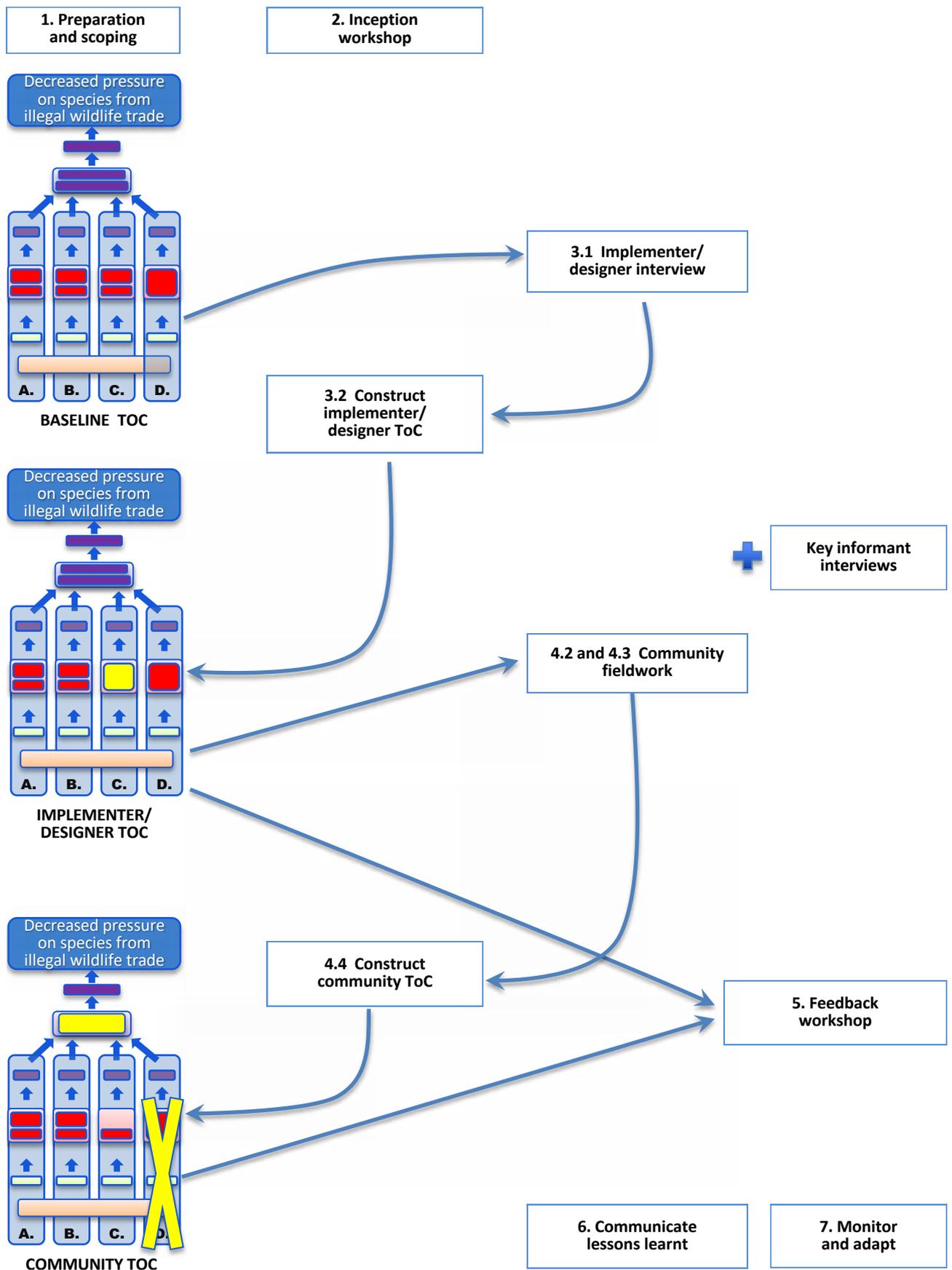
## Step 7: Monitor and adapt

- 7.1 Site-level stakeholders continue to implement lessons learnt and monitor progress

Please be sure to read the full guidance before embarking on implementing this methodology.

These steps are illustrated in Figure 4. Table 3 provides a more detailed summary of the objectives, outputs and tools associated with each step. Table 4 outlines the equipment, personnel and time requirements for each step, based on experience to date. The information in Table 3 and 4 should help to develop a full budget for implementing the FLoD methodology, once you have done your detailed planning in Steps 1 and 2.

Figure 4: Summary of steps in the FLoD methodology



All of the tools listed in Table 3 are shown in Annex 1 and can be downloaded digitally at: [www.iucn.org/flod](http://www.iucn.org/flod)

**Table 3: Objectives, outputs and tools**

Step	Objectives	Outputs	Tools
1. Preparation and scoping	<p>Identify and describe implementers/designers and focal communities</p> <p>Determine their willingness to engage with the FLoD approach</p> <p>Gain familiarity with the project area and begin to gather contextual information</p> <p>Ensure implementers/designers are well briefed on FLoD methodology</p> <p>Agree implementation details of rolling out FLoD methodology</p>	<p>Understanding of landscape and context</p> <p>Implementer/designer(s) identified, fully briefed on FLoD methodology and willing to engage with FLoD</p> <p>Community identified, fully briefed on FLoD methodology and willing to engage with FLoD</p> <p>FLoD implementation plan</p>	<p>FLoD sample workshop agendas</p>
2. Inception workshop	<p>Agree implementation details for rolling out FLoD methodology</p> <p>Identify stakeholders for key informant interviews</p> <p>Agree on focus group breakdown</p>	<p>FLoD implementation plan</p> <p>Stakeholder analysis</p> <p>Focus group breakdown</p>	<p>FLoD stakeholder analysis template</p> <p>FLoD sample workshop agendas</p> <p>FLoD introductory presentation long</p>
3. Compare implementer/designer ToC with baseline ToC	<p>Construct validated implementer/designer ToC</p>	<p>Validated implementer/designer ToC</p>	<p>FLoD interview consent form</p> <p>FLoD baseline ToC</p> <p>FLoD baseline ToC assumptions</p> <p>FLoD implementer/designer ToC development tool</p> <p>FLoD introductory presentation long</p>
4. Community fieldwork	<p>Test implementer/designer ToC with the community</p> <p>Construct community ToC</p>	<p>Community ToC</p>	<p>FLoD introductory presentation short</p> <p>FLoD focus group consent form</p> <p>FLoD sample workshop agendas</p>
5. Feedback workshop	<p>Validate community ToC</p> <p>Compare designer and community ToC and identify areas of divergence</p>	<p>Validated community ToC</p> <p>Key areas of difference and similarity between implementer/designer and community ToCs identified</p>	<p>FLoD sample workshop agendas</p>
6. Communicate lessons learnt	<p>Consolidate information</p> <p>Influence national policy</p> <p>Contribute to influencing international policy</p>	<p>Provide a resource for the community and implementers/designers</p>	
7. Monitor and adapt	<p>Improve current interventions based on lessons learnt</p> <p>Iterative learning process to adapt to changing circumstances over time</p>	<p>Interventions are better aligned with community beliefs and perspectives</p> <p>Interventions enjoy stronger community support and participation</p>	

**Table 4: Personnel, time and equipment requirements**

Step	Personnel	Equipment	Time
1. Preparation and scoping	At least two core team members, one of whom should be an experienced facilitator Local language interpreter Local liaison	Laptop, power, projector, flipcharts, markers, other facilitation materials	Meetings with prospective implementers/designers: one day per implementer/designer Site visits: at least one day per site Travel time Follow-up time as needed to design project implementation
2. Inception workshop	At least two core team members, one of whom should be an experienced facilitator	Venue of suitable size, laptop, power, projector, facilitation materials	Preparatory time as needed Workshop/meeting: two days
3. Compare implementer/designer ToC with baseline ToC	At least two core team members	Laptop, power, quiet room without disturbances, projector, props as suggested	Interview: one day per implementer/designer Construct implementer/designer ToC: one day per implementer/designer Validate implementer/designer ToC: one day per designer
4. Community fieldwork	At least two core team members (with at least one trained facilitator) Independent local language interpreter Second interpreter (to work alongside the record keeper) Local liaison	Laptop, power, extension cables, printer, projector, room that can be made dark or dark cloth to cover windows, flipcharts and markers, props as suggested.	Prepare tools and interpretation: one to two days Focus groups: one day per focus group (recommend a break day if more than two focus groups) Consolidation in advance of the whole-community meeting: one day Whole-community meeting: one day Travel time Construct community ToC: two days
5. Feedback workshop	At least two, preferably three, core team members Local language interpreter	Laptop, power, projector, facilitation materials	Preparation: two days Feedback meeting: two days Follow up: one to two days
6. Communicate lessons learnt	Entire core team	No equipment needed	It will depend on the medium used to distribute the lessons
7. Monitor and adapt	Implementers/designers and communities	No equipment needed	

## Step 1: Preparation and scoping

**Table 5: Resources needed for a preparation and scoping workshop**

Resource	Minimum requirements
Personnel	At least two core team members, one of whom should be an experienced facilitator Local language interpreter Local liaison
Materials	Laptop, power, projector, flipcharts, markers, other facilitation materials
Time	Meetings with prospective implementers/designers: one day per implementer/designer Site visits: at least one day per site, plus travel time Follow-up time as needed to design project implementation

### Objectives and outputs

The objectives of Step 1 are to:

- Identify and describe implementers/designers and focal communities,
- Determine their willingness to engage with the FLoD approach,
- Gain familiarity with the project area and begin to gather contextual information,
- Ensure implementers/designers are well briefed on FLoD methodology, and
- Agree implementation details for rolling out FLoD methodology.

By the end of Step 1, you should have the following outputs:

- Understanding of landscape and context,
- Implementer/designer(s) identified, fully briefed on FLoD methodology and willing to engage with FLoD,
- Community identified, fully briefed on FLoD methodology and willing to engage with FLoD, and
- FLoD implementation plan.

#### 1.1 Define the target community

Defining the target community is a critical first step. Because we based this guidance on experience in relatively small, homogenous and well-defined communities, it is relevant for such communities. We are testing FLoD in other contexts and welcome feedback from anyone applying the methodology in other scenarios.<sup>2</sup>

You may have to use a sampling approach to achieve representation in more complex situations. Table 6 outlines sampling approaches that may be useful. We are particularly interested in hearing lessons from anyone using a sampling approach within the FLoD methodology.

<sup>2</sup> For detailed guidance on defining communities, see Section 2 of the Cambridge Conservation Initiative's INTRINSIC training guide: [www.cambridgeconservation.org/resource/toolkits/intrinsic-integrating-rights-and-social-issues-conservation-trainers-guide](http://www.cambridgeconservation.org/resource/toolkits/intrinsic-integrating-rights-and-social-issues-conservation-trainers-guide)

Table 6: Sampling approaches<sup>3</sup>

Approach	Strengths/limitations
<p><b>Method 1: Random cluster sampling</b></p> <p>Divide the overall area into two to six zones (eg, based on the selection of communities for the community workshops)</p> <p>Within each zone, randomly select X communities Within each community, randomly select five households</p> <p>X will be determined by the number of zones and the total sample size that you want (eg, with three zones and a total sample of 180 (60 per zone) you would select 12 communities and interview five households in each community)</p>	<p>This is the best approach from a statistical perspective, but the method requires lists of all households in the selected communities</p> <p>If there are no such lists and you have the time and resources, you can ask the leaders of the selected communities to make household lists</p> <p>Since the communities are selected randomly, it is not very practical in places where some communities are extremely inaccessible</p> <p>If you need to avoid such communities because of logistical constraints, then use Methods 3 or 4</p>
<p><b>Method 2: Semi-random cluster sampling</b></p> <p>As Method 1, but if household lists are not available, enumerators should choose the households to be interviewed within the selected communities while they are doing the survey</p> <p>They must try to ensure a representative sample, especially with respect to household wellbeing. So they should interview a mix of wealthier people with better-quality houses and poorer people with poorer-quality houses</p>	<p>This approach will be the most widely used, since it is relatively easy to obtain lists of all communities within an area but more difficult to obtain reliable lists of households in each community</p> <p>The major limitation of this approach is the risk of introducing bias when selecting the households to interview within the target communities</p>
<p><b>Method 3: Non-random cluster sampling</b></p> <p>As Method 2, but you should deliberately select the X communities to be surveyed taking ease of access into account while also trying to avoid bias by ensuring that sampled communities provide a representative picture of the situation in the zone. Within each community, randomly select five households if a household lists exists</p> <p>If there is no list, enumerators should select the households, trying to ensure a representative sample</p>	<p>This approach has even more risk of bias, but can be acceptable if the target communities are carefully selected to capture, as well as possible, the full range of different situations across the area with respect to PA -related social impacts, taking account of different types of social impacts and distance from the PA boundary, which may determine the extent to which people experience these impacts</p>
<p><b>Method 4: Quadrat sampling</b></p> <p>As with ecological sampling, you can randomly place quadrats of a certain size (we used 800x800m in Kenya) across the communities that are included in the assessment and note the GPS coordinates for the four corners of each quadrat. Enumerators should then visit each quadrat and interview every household within the quadrat using a GPS to find the quadrat boundaries on the ground</p>	<p>Where there are no household lists, this method is a practical alternative but is only suitable in relatively flat land where you know in advance that all communities and households are easily accessible</p> <p>This method requires a good community map with PA boundaries, the boundaries of any communities within the PA, and the boundaries of all communities around the PA that are to be included in the assessment (to be sure the quadrats lie within these communities)</p>
<p><b>Method 5: 100% sample</b></p> <p>In cases where fewer than 100 households live within the community/communities that are to be included in the assessment, the survey should aim to include every household</p>	

Source: Franks, P and Small, R (2016)

<sup>3</sup> See Newing, H *et al.* (2011) for further explanation.

Consider the parameters in which you are working. This could be:

- An existing management unit, such as a conservancy,
- A set of villages with shared characteristics and in a specific location,
- The target community for a project being designed, or
- A conservancy that is being established.

The definition you use will depend on how the communities and any key implementers/designers in the area identify themselves. You will have to balance this against the scale at which the team feels it is possible to implement the FLoD methodology.

Once you have defined the parameters, it is critical to also identify the relevant implementer/designer. There may be more than one organisation working in an area and it is critical to determine which of these have designed or are implementing interventions around the role of communities in combating IWT. There may be more than one.

Before you start implementing the FLoD methodology — and after identifying the implementer/designer and the community — you need to establish whether the FLoD methodology will be appropriate and practical in that particular setting and context.

## 1.2 Assess feasibility

Experience has shown that you will need to meet a number of site and process-based criteria for FLoD to be feasible and useful. So it is important to carefully assess these before you undertake a scoping visit.

**Table 7: Criteria for FLoD feasibility assessment**

Criteria	Y/N	Comment: if not...
<b>Site-based criteria</b>		
Site is clearly defined (area, community, implementer/designer)		Do not use FLoD methodology
There is a threat to wildlife from high-value IWT		Do not use FLoD methodology
The community has a role in facilitating or combating IWT		Do not use FLoD methodology
The site is secure enough to undertake fieldwork		Do not use FLoD methodology
It is logistically possible for the core team to move around and for key stakeholder group representatives to come together		Do not use FLoD methodology
The necessary resources and infrastructure are present for fieldwork, including access to electricity, a room that can be made dark for projection, accommodation and other working conditions for the team		Do not use FLoD methodology

Criteria	Y/N	Comment: if not...
<b>Process-based criteria</b>		
Conditions allow the introduction of a neutral individual or institution to undertake FLoD methodology		The process will include in-built bias and may not uncover the true community-level ToC
Implementers/designers, key stakeholders and community members are willing to engage with the core team to participate in the FLoD methodology		Do not use FLoD methodology
Implementers/designers and communities are willing to articulate ToCs		Do not use FLoD methodology
Implementers/designers are willing to adapt interventions based on lessons emerging from the process		Do not use FLoD methodology
There is not a potentially unmanageable risk that by implementing the methodology, you will create conflict with and between stakeholders		Do not use FLoD methodology
A skilled local language interpreter is available, independent from the community, local partners or project designers		Do not use FLoD methodology
A long-term partner is in place that is willing and able to implement any findings and recommendations from the full FLoD process, even when they are contrary to their own approach/ToC		Do not use FLoD methodology
There are adequate financial resources to implement the full methodology.		Do not use FLoD methodology

### 1.3 Scoping visit

Once you have screened a site or sites using the criteria above, it is important to conduct a short scoping visit to the site and community. This will help you verify that the FLoD methodology is appropriate for the area and design a detailed implementation of the methodology (Steps 2 to 7 of this guidance) with the implementers/designers.

**Who needs to go:** You will need two core team members for the scoping visit — one to facilitate and one to record the discussions. You may also need a local language interpreter. At least one of your core team should be an experienced, highly adaptive and time-sensitive facilitator.

**How long will you need?** The length of your visit will depend on the number of communities you are scoping. You will need a minimum of one full day with the implementer/designer to familiarise them with the approach and one full day in each community you visit. Travel time is additional to these allocations.

**Briefing meetings:** Both the core team and the implementers/designers need to be well briefed and to share a common understanding of the methodology, community context, institutional matters and the goals of the visit. So you will need to schedule at least one day of meetings between the core team and the implementers/designers to:

- Establish a shared understanding of institutional relationships, funding and the aim of the trip,
- Ensure local partners have a comprehensive understanding of a ToC approach and the more detailed FLoD methodology (you can use the presentation ‘FLoD introductory presentation long’ for this),
- Brief the core team on the specifics of each area to be visited — for example, the IWT situation; community attitudes; institutional arrangements; conservation activities; partners; and maps of the area,
- Review logistical arrangements, and
- Review the community visit plan, including plans for community scoping meetings.

**Site visits:** To familiarise yourselves with the target area, the core team should conduct an on-the-ground visit with a person who has deep local knowledge and can answer questions about the community, the area and the poaching challenges. A community scoping meeting is an opportunity to get more contextual information about the situation in the area and to determine whether the community is willing to engage in the FLoD methodology. We have learnt that it is important not to raise community expectations with regards to future project work and to prepare the methodology for this meeting with the local partner in advance.

### Suggestions for opening a community scoping meeting

While every community is different and requires different facilitation techniques, we suggest starting out with some simple exercises to ease interactions and allow you to make progress towards the topic under discussion.

**Ice breaker:** You could start by initiating an informal but structured discussion with the assembled community group on the characteristics of natural resource products (both plant and animal) that are traded in the area, listing them on a flipchart. You can then use this information as a basis for your analysis (see Table 8).

**Table 8: Gathering information during community scoping meetings**

Natural resource in high-value trade	Increasing/decreasing	Legal/illegal	Commercial/subsistence	Sustainable/unsustainable	Internal/external use
Elephant ivory					
Rhino horn					
Pangolin scales					
Sandalwood					
Shark fins					
Devil's claw					

Following the ice-breaker, you could introduce the four ToC pathways, facilitating a discussion around the types of intervention for each pathway in the project area and undertaking a simple pathway weighting exercise to assess the community's initial perception of the relative importance of each pathway. It might be useful to revisit this list later, to compare participants' initial thoughts with later results, discussing any major changes in the pathway weightings at the whole-community workshop (see Step 4).

Note, the natural resource products shown are examples. The product list should be generated by the community.

## Step 2: Inception workshop

**Table 9: Resources needed for an inception workshop**

Resource	Minimum requirement
Personnel	At least two core team members, one of whom should be an experienced facilitator
Materials	Venue of suitable size, laptop, power, projector, facilitation materials
Time	Workshop: two days, plus preparatory time as needed

### Objectives and outputs

The objectives of Step 2 are to:

- Agree implementation details for rolling out FLoD methodology,
- Identify stakeholders for key informant interviews, and
- Agree on focus group breakdown.

By the end of Step 2, you should have the following outputs:

- FLoD implementation plan
- Stakeholder analysis, and
- Focus group breakdown.

### 2.1 Conduct an inception workshop

Once you have determined it is appropriate and feasible to undertake the FLoD methodology in the proposed site, you should conduct the inception workshop with relevant partners. The key participants to include in the workshop are:

- Core team members,
- Implementers/designers,
- Local liaison person(s),
- Community representatives, and
- Any other stakeholders who may be relevant for other components of the project — for example, for influencing policy.

Over the course of the workshop/meeting you should:

- Introduce the FLoD methodology (using the presentation 'FLoD introductory presentation long').
- Introduce the sites and communities and collect basic contextual information, such as: existing management plans or strategies, baseline information on human population demographics, target species, poaching levels, human wildlife conflict, wildlife and non-based livelihood activities, community-private sector revenue-sharing agreements, and recent wildlife surveys.
- Ensure everyone has a common understanding of each step of the FLoD methodology — including personnel, time and resource requirements.
- Agree a fieldwork approach, making necessary adjustments to the methodology.

- Agree on the breakdown of community focus groups — these are entirely dependent on the context and objectives of your project, but should at least differentiate between genders and age groups.
- Identify language needs and possible interpreters.
- Undertake a stakeholder analysis to identify key informants and the ToC pathway(s) they can best inform in their interviews (using the stakeholder analysis template in Annex 1).
- Agree on logistics and timing for implementing each step of the methodology.

Note that, at this inception stage, you may have to make adjustments to the baseline ToC to fit the context — for example, it may be immediately apparent that a certain pathway is inappropriate or needs to be significantly adjusted. You should make any changes to the baseline ToC in the implementer/designer ToC development tool before application.

## Step 3: Develop an implementer/designer ToC

Table 10: Resources needed to develop an implementer/designer ToC

Resource	Minimum requirement
Personnel	Two core team members
Materials	Laptop, power, quiet room without disturbances, projector, props as suggested
Time	Interview: one day per implementer/designer Construct implementer/designer ToC: one day per implementer/designer Validate implementer/designer ToC: one day per designer

### Objective and output

The objective of Step 3 is to construct a validated implementer/designer ToC.

By the end of Step 3, your output should be a validated implementer/designer ToC.

### Introduction

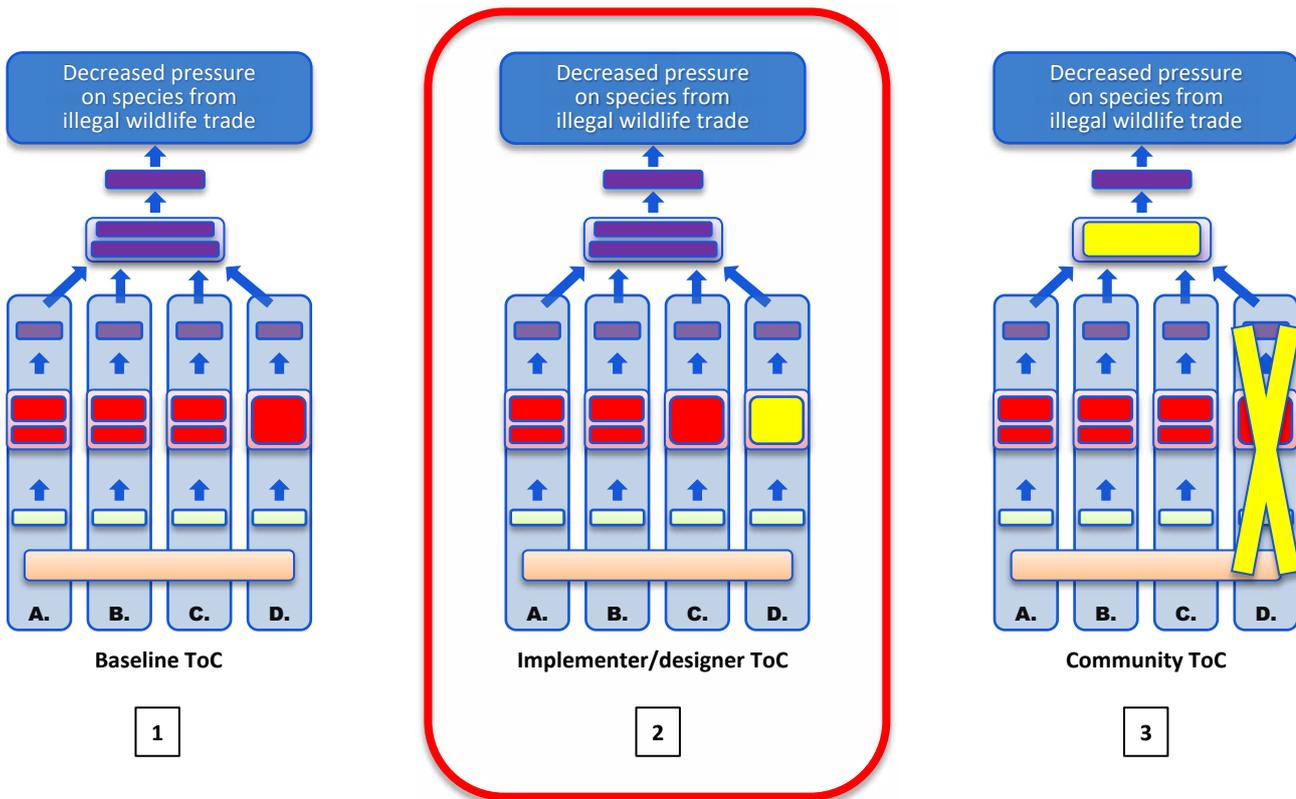
Step 3 outlines the process for constructing a ToC for the project implementer or designer, referred to throughout this document as the implementer/designer ToC. In most projects that are focused on combating IWT in partnership with communities, there is usually an institution or individual who could be considered the project implementer/designer. If there is not — and the project has been conceived and implemented entirely by the community with no third party involvement — you can move directly to Step 4.

It is important to understand and articulate the underlying assumptions and logic that the project implementer/designer has used to make decisions around project design and is using to make decisions around project interventions and implementation. This allows comparison between the FLoD baseline ToC and assumptions and the implementer/designer ToC (as shown in Figure 5), and then between the implementer/designer ToC and the community ToCs. This comparison is critical and should expose any major contradictions or killer assumptions that could hamper the success of the project.

### Who needs to be involved?

You will need two core team members — one to ask the questions and facilitate the conversation, the other to record the answers to each question. After the interview, they will need to work together to construct and validate the implementer/designer ToC.

Figure 5: Developing the implementer/designer ToC



Step 3: Develop an implementer/designer ToC

**Who should you interview?**

It is critical to interview the organisation or institution involved in the design and implementation of the project. In some cases, a small team of individuals may be involved. If so, you should interview them together. In other cases, there may be more than one institution involved. If you can classify multiple institutions as implementers or designers, rather than key stakeholders who you should interview for validation and triangulation purposes, the process is more complex. You will have to conduct a separate interview with each implementer/designer, creating a ToC for each and then feed the various ToCs back to all implementers/designers. The goal here is not to produce a single, unified ToC, but to find and articulate any key differences.

**Using the implementer/designer ToC development tool**

Download the latest digital version of the FLoD implementer/designer development tool from: [www.iucn.org/flod](http://www.iucn.org/flod)  
 When opening excel spreadsheet containing the tool, you will see several tabs. The first tab contains detailed instructions on how to use the tool. Before you start, make sure you have updated the implementer/designer ToC development tool to match any adjustments you made to the baseline ToC. Figure 6 shows a detailed example of what a completed implementer/designer development tool looks like. Then you need to decide who to interview.

Figure 6: Example of a completed implementer/designer ToC development tool

A	C	D	E	F	G	H	J	K
BASELINE TOC		Score		POSITIVE →		IMPLEMENTER / DESIGNER TOC	IMPLEMENTER / DESIGNER TOC	
TOC CATEGORY	INTERVIEW QUESTION	Strongly Disagree	Partially Disagree	Partially Agree	Strongly Agree	NOTES / EVIDENCE / INFORMATION / DOCUMENTATION	REVISED TOC TEXT	
IMPACT & OUTCOMES	IMPACT & OUTCOMES					IMPACT & OUTCOMES	IMPACT & OUTCOMES	
Long-term impact	A key objective of your work is to decrease pressure on species from illegal wildlife trade	0	0	4	1	0	Yes, although we also work on other conservation issues, such as rangeland management	
Assumption: F	Assumption: Poaching / trafficking can be reduced to within sustainable levels	1	1	1	0	0	No - the pressure is too high	
Assumption: F-Other	(if the interviewee / focus group has other assumptions relevant at this level, record them)	0	0	3	0	0		
Overall outcomes	Your primary focus for this work is on reducing poaching / trafficking for IWT by outsiders	0	0	4	1	0	Yes, agree, although have other work areas	
Overall outcomes	Your primary focus for this work is on reducing poaching / trafficking for IWT by community members	0	0	5	1	1	Yes, agree, although have other work areas	
Assumption: E1	Assumption: Community actions can make a contribution to reduced IWT	0	0	5	1	1	Community action is critical to reducing IWT and will make a large difference in this area	
Assumption: E2	Assumption: The relative value of illegal wildlife products is not so high that corruption undermines community action against IWT	0	1	2	0	0	Value of product is high enough that there will still be corrupt elements	
Assumption: E3	Assumption: The relative risk of being apprehended, arrested or prosecuted is not so low that it undermines community action against IWT.	0	0	4	1	0	Risk is high and supports community action	

### 3.1 Interview implementers/designers

Always ensure your interviewee has read and signed the interview consent form (shown in Annex 1) before you begin the interview and that they are comfortable with the key terms you will use in the interview process.

Interviewees should be familiar with the FLoD methodology from the inception workshop. If they are not, please give a presentation (using the template presentation slides ‘FLoD introductory presentation long’) to familiarise them with the approach.

As interviewer, you should have contextual information on the community and project — such as existing management plans or strategies, information on human population demographics, poaching, human wildlife conflict, wildlife and non-wildlife-based livelihood activities, revenue-sharing agreements and recent wildlife surveys — from the inception workshop. If you do not, please ask opening questions about their programmes, levels of IWT and local dynamics to familiarise yourself with the context.

Once you are familiar with the context, work methodically through the spreadsheet tool from top to bottom. It is designed to work systematically through the baseline ToC, querying both the overall intended impact and outcomes and understanding the types of interventions that are being undertaken. Importantly, it queries the assumptions that underpin the ToC's logic.

The tool consists of a series of statements. You should ask interviewees how much they agree with each on a scale of one to five, where strongly disagree = 1 and strongly agree = 5. If you are interviewing a group rather than an individual, you may find it useful to use props (see the box in Step 4).

If interviewees are confused by the scoring system, a general rule of thumb is that the score should be positive (4 or 5) if the answer upholds the logic of the ToC and negative (1 or 2) if the answer breaks down the logic of the ToC. In other words, the scores are against the ToC statement and not about the individual questions.

Work through the spreadsheet systematically, recording any further information in Column J and alternative ToC statements in Column K.

### 3.2 Construct an implementer/designer ToC

Columns J and K should provide enough information for you to construct the implementer/designer ToC. Table 11 outlines the action you should take for each component of the ToC.

Step 3: Develop an implementer/designer ToC

**Table 11: Actions for constructing an implementer/designer ToC**

Level of ToC	Action to be taken
Assumptions	Note which assumptions are not valid Add any new assumptions
Impact	Note any changes in overall impact
Outcomes (overall and cross-cutting)	Note which outcomes are not valid Add any new outcomes
Pathway outcomes	Note which outcomes are not valid Add any new outcomes
Results	Remove any results that are not valid Add any new results
Indicative interventions	Remove any interventions that are not valid Add any new interventions
Enabling actions	Note which enabling actions are not valid Add any new enabling actions

Make sure you keep all versions of documents as you go through this process to ensure you do not lose any information.

Using the information you get from this process, modify the FLoD baseline ToC diagram and accompanying assumptions to reflect the input from implementers/designers. We advise caution before making changes or removing these assumptions, as they have been developed from a wide range of contexts. Update the illustrative actions under each pathway as well as the anticipated outputs, outcomes and impacts of the project, change the relative size (width) of each pathway to reflect the ones the project emphasises the most and least and update the assumptions list. The result is your draft implementer/designer ToC.

### 3.3 Validate the implementer/designer ToC

Once you have developed the draft implementer/designer ToC, it is important to validate it with the implementers/designers through a short discussion. Use the PowerPoint slide and new list of assumptions you drew up during the process as the basis for discussion. Make any necessary final changes to the implementer/designer ToC diagram and table of assumptions.

## Step 4: Develop a community ToC

Table 12: Resources needed to develop a community ToC

Resource	Minimum requirement
Personnel	<p>Two core team members, one of whom should be a trained facilitator with experience of working at community level on these types of issues</p> <p>Independent local language interpreter</p> <p>Second interpreter (to work alongside the record keeper)</p> <p>Local liaison</p>
Materials	Laptop, power, extension cables, printer, projector, room that can be made dark or dark cloth to cover windows, flipcharts and markers, props as suggested
Time	<p>Prepare tools and interpretation: one to two days</p> <p>Focus groups: one day per focus group (recommend a break day if there are more than two focus groups)</p> <p>Consolidation before whole-community meeting: one day</p> <p>Whole-community meeting: one day</p> <p>Travel time</p> <p>Construct community ToC: two days</p>

### Objectives and output

The objectives of Step 4 are to:

- Test the implementer/designer ToC with the community, and
- Construct the community ToC.

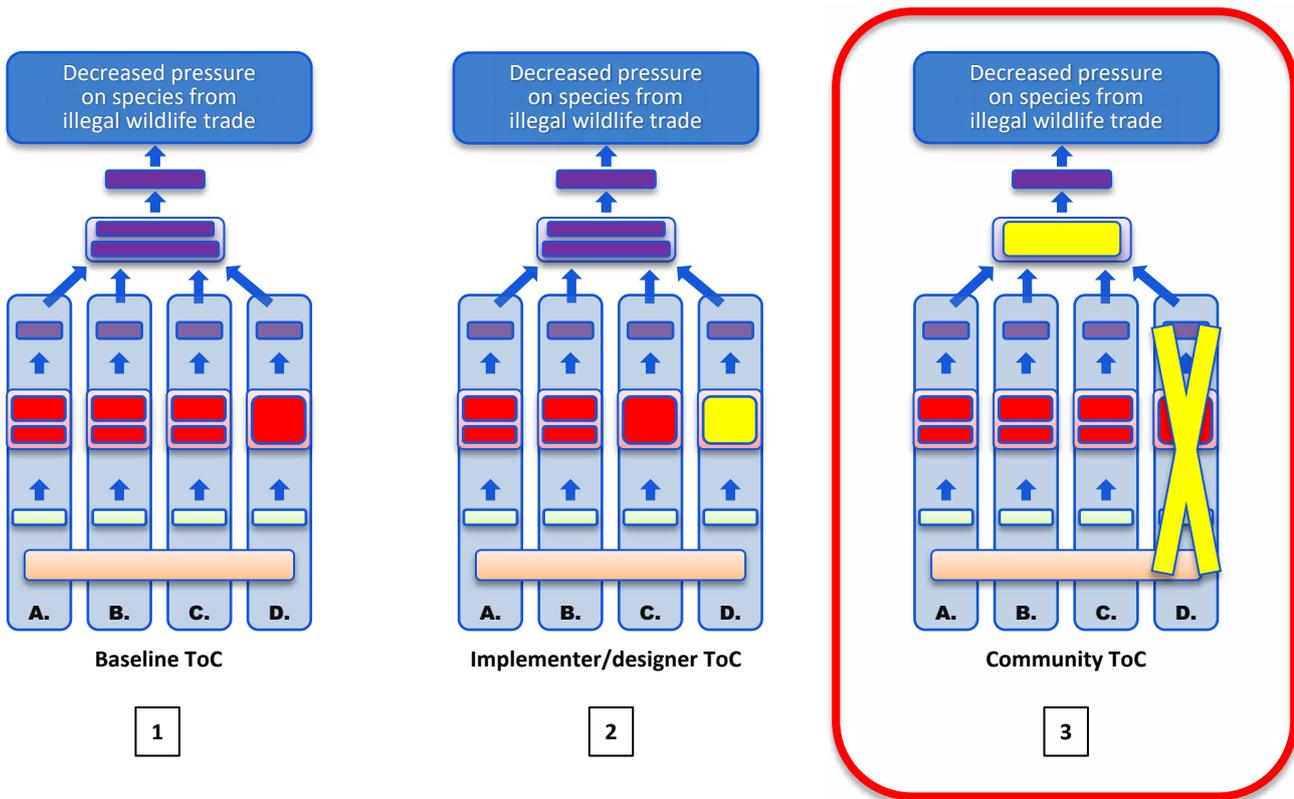
By the end of Step 4 your output should be a community ToC.

### Introduction

This step outlines the process for constructing a community ToC, using the implementer/designer ToC as a starting point (as shown in Figure 7). It is important to understand and articulate the underlying assumptions and logic that the community is using to make decisions around IWT and to determine how closely aligned these are with the logic of the implementer/designer. This comparison is critical and should expose any major contradictions or killer assumptions that could hamper the success of the project.

There are four stages to constructing a community ToC, as shown on page 12 and outlined in the sections below.

Figure 7: Developing a community ToC



Step 4: Develop a community ToC

#### 4.1 Update the community ToC development tool

The objective of the community ToC development tool is to test the implementer/designer ToC against the community's own logic, assumptions and beliefs — in other words, the community's inherent ToC. Although this basic tool helps you with this, you must first update it to reflect the ToC developed during Step 3. When opening excel spreadsheet containing the community ToC development tool, you will see several tabs. The first tab contains detailed instructions on how to use the tool.

#### 4.2 Test the implementer/designer assumptions within the community using focus group discussions

##### Who should be in the focus groups?

You will have decided the number and makeup of community focus groups — for example, women, men, young women, young men — during the inception workshop. We recommend that the maximum number of participants in each community focus group is 15. Anything beyond that proves difficult to facilitate.

You should ensure that each focus group has adequate representation across the defined community and that some members are available to attend the whole-community meeting and feedback workshop. It is critical to have some consistency in attendees across these three steps.

##### How long will it take?

Past experience indicates that each focus group takes about six hours, so you should allocate a full day to each one. The number of focus groups you consult will determine the length of your fieldwork. Experience has proven that it is helpful to include a break day if there are more than two consecutive groups.

## Who else needs to be involved?

You will need two core team members — one to facilitate and one to record discussions and scores. At least one of them should be an experienced facilitator, with the ability to be highly adaptive and time sensitive. You will also need a local language interpreter, as it is critical to conduct the focus groups in the local language to ensure that all members can participate fully. The interpreter should be independent from the community and the implementer/designer. He or she should be familiar with the material and have spent some time going through the statements and ensuring that they can be sensibly translated into the local language. A second interpreter, to work alongside the team member recording the answers, can be very helpful. If not available, then the main interpreter will need to constantly translate back, which will take more time.

## Using the community ToC development tool

You should apply the following steps to each focus group. If time is available, it may be helpful to do a test run with the facilitation team before moving into the focus groups.

The local liaison should guide you on appropriate opening formalities for the community and introduce the team or organisation implementing FLoD to each focus group. You (or the facilitator) should then invite all participants to introduce themselves.

Once introductions are complete, provide a brief summary of the project and process (using the presentation slides in 'FLoD introductory presentation short'). The interpreter should read out the focus group consent form (see Annex 1) and ensure that all participants are happy to participate.

Then go through the tool methodically. At the beginning of each pathway, use a flipchart to record a list of relevant activities under that pathway in the community. For example, under Pathway B — 'increase incentives for stewardship' — ask the group to list all the tangible and non-tangible benefits they get from wildlife, either as a community or individually. This could include tourism, crafts, pride and so on.

The tool consists of a number of statements, this time with a focus on the implementer/designer's assumptions. Ask focus group participants how much they agree with each statement, from strongly disagree (1) to strongly agree (5). They must come to a consensus score for each statement.

## Using props to negotiate answers

Props such as wooden or beaded animals can be very useful when the focus group is negotiating their answer. For example, you can use two elephants and two lions, with elephants representing a positive answer and lions representing a negative one. Ask participants to use the elephants and lions to negotiate and present their answer for each question.

**Figure 8: Focus group discussion participants use elephant and lion props to negotiate and agree the group's answer to questions asked during discussions.**



Photo credit: IUCN  
Location: Lalenok Resource Centre, Olkiramatian, Kenya.

If participants are confused by the scoring system, a general rule of thumb is that the score should be positive (4 or 5) if the answer upholds the logic of the ToC and negative (1 or 2) if the answer breaks down the logic of the ToC. In other words, the scoring is against the ToC statement and not about the actual questions.

There will probably be lively discussion as the group discusses each statement. Take careful notes of these discussions, as they can often expose underlying issues. Record this information in Column J and alternative ToC statements in Column K. An example of a completed community ToC development tool for Pathway B is shown in Figure 9.

Figure 9: Example of a completed community ToC development tool showing Pathway B

A	C	D				E		F		G		H	I	J		K
		IMPLEMETER/DESIGNER TOC		NEGATIVE		Score		POSITIVE		Score				COMMUNITY TOC	COMMUNITY TOC	
TOC CATEGORY	INTERVIEW QUESTION	Strongly disagree	Partially disagree	Partially agree	Strongly agree	Strongly disagree	Partially disagree	Partially agree	Strongly agree	Strongly disagree	Partially disagree	Partially agree	Strongly agree	LABEL	NOTES/EVIDENCE/INFORMATION/ DOCUMENTATION	REVISED TOC TEXT
PATHWAY B	PATHWAY B. INCREASE INCENTIVES FOR STEWARDSHIP													PATHWAY B	PATHWAY B	PATHWAY B
Introductory question	List all the tangible and intangible benefits that the community (or individuals) get from wildlife															
Assumption: B-11	Your community has rights to benefit from managing and using wild plants and animals	0	0	4	1	0							Communities have rights			
Assumption: B-12	Your community exercises these rights	0	0	4	1	0							Communities exercise rights			
Assumption: B-13	These rights are enough to encourage protection of wildlife	0	1	2	0	0							Rights are enough			
Assumption: B-14	There are funds available to invest in wildlife enterprises (eg. crafts, tourism )	0	1	2	0	0							Investments for enterprises available			
Assumption: B-15	There are sustainable markets for products and services from wild plants and animals	0	0	4	1	0							Sustainable markets			
Assumption: B-16	Formal custodians of wild plants and animals (eg. the protected area authority) are willing to share revenue with communities	0	1	1	0	0							Revenue shared by formal custodians			
Assumption: B-17	Do you get some kind of tangible benefit from wild plants and animals?	0	0	4	1	0							Tangible benefit perceived			
Assumption: B-18	Do you get some kind of intangible benefit from wild plants and animals?	0	0	5	1	1							Intangible benefit perceived			
Assumption: B-19	People in the community understand that these benefits come from the wildlife continuing to exist on their land	0	0	5	1	1							Link between benefits and wildlife understood			
Assumption: B-10	Wildlife-based benefits are not inequitably distributed due to elite capture by those with positions of power	0	0	4	1	0							No inequitable distribution			
Assumption: B-11	Inequitable distribution of wildlife-based benefits does not undermine support for wildlife stewardship	0	1	2	0	0							Inequitable distribution does not undermine support			
Assumption: B-12	External players do not undermine community voice and interests	0	1	2	0	0							No third-party interference			
Assumption: B-R-1	Communities that have rights to own, manage and/or benefit from wild plants and animals value them more	0	0	5	1	1							Rights = value			
Assumption: B-R-2	Benefits are distributed widely enough to ensure that the wider community, rather than just a few individuals, values wild plants and animals	0	0	4	1	0							Benefits widely distributed			
Assumption: B-P-1	The current benefits from wildlife are enough to stop poaching in the community	0	1	2	0	0							Benefits enough			
Assumption: B-P-2	The benefits from wild plants and animals will continue forever	0	0	5	1	1							Benefits sustainable			

Step 4: Develop a community ToC

### Feedback and initial validation

A very important principle of the FLoD methodology is frequent and iterative feedback and validation. Before moving to the final community focus group exercise, take time to go back through the results of the tool with the group.

First, project the record keeper's screen to briefly demonstrate how you have recorded the scores and that you have taken notes on all the discussions.

Figure 10: Focus group discussion participants receiving feedback on the results of the discussions held with the group.

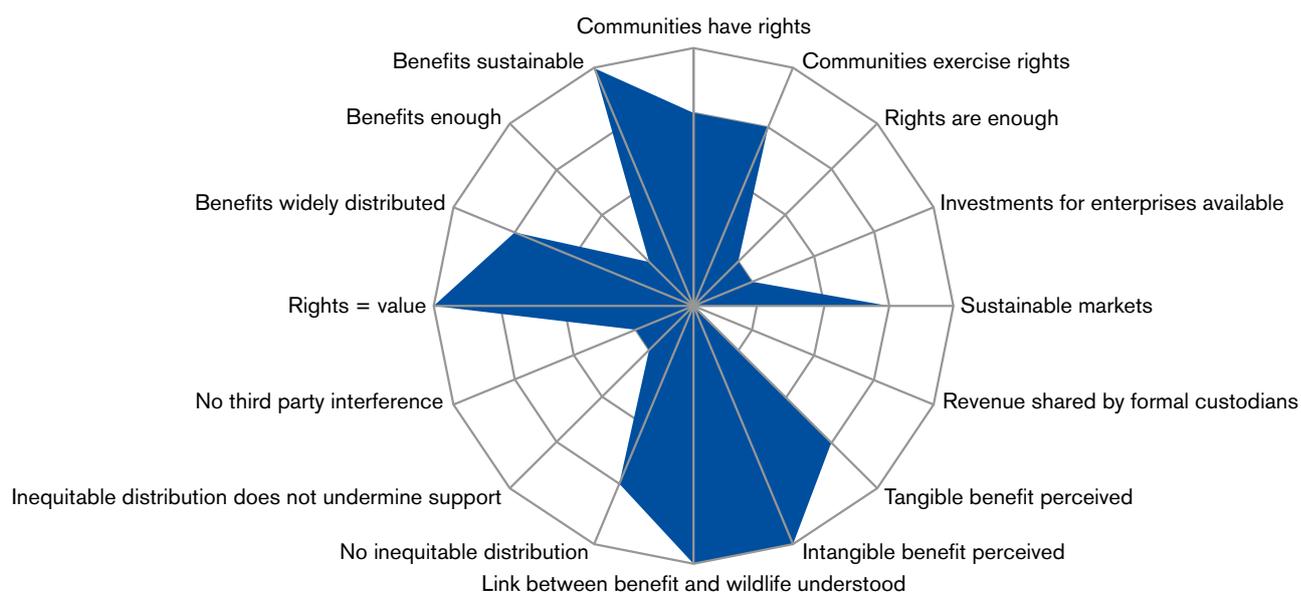


Photo credit: IUCN  
Location: Lalenok Resource Centre, Olkiramatian, Kenya.

The community ToC development tool will automatically form charts for each set of assumptions in the 'results' tab of the excel spreadsheet. These are filled radar diagrams with scores from 1 to 5 for each question. Figure 11 shows an example of the results from a community focus group under Pathway B. The areas in blue suggest that the assumptions have been validated; areas in white show where assumptions are not being met.

Before you conduct the final exercise with the community focus group, we strongly recommend you go through each chart with the group to demonstrate that you have heard their views and to check that you have captured the scores correctly.

**Figure 11: Chart showing Pathway B results from a community focus group**



**Figure 12: Focus group discussion participants receiving feedback and validating the scores and results from their discussion on one of the pathways.**



Photo credit: IUCN  
Location: Lalenok Resource Centre, Olkiramatian, Kenya.

## Pathway weighting

At the end of each community focus group, undertake a simple pathway weighting exercise. To do this, give the group a set of beads, stones, seeds or anything small that can be easily handled and will not roll off the table. The number of beads should not be divisible by four (or the number of pathways that are under discussion). In previous experience, 30 has proven to be a good number.

The group must now come to a consensus on how to distribute the beads to answer the question 'Where should we place our efforts to reduce the pressure on species from IWT?' Ask or assign one or two people to feed back to the facilitation team after the exercise and then leave the group to discuss and negotiate the distribution of the beads across the pathways in response to the question. There should be no input from the facilitation team, except to clarify and answer questions. Once the group has reached consensus, ask the selected representative(s) to provide a summary of the discussion.

**Figure 13: Pathway weighting exercise being conducted (left) and the final result (right).**



Photo credit: IUCN  
Location: Lalenok Resource Centre, Olkiramatian, Kenya.

## Consolidating information

At the end of each community focus group, the facilitation team and the local language interpreter should sit together and ensure that they have captured all the relevant information.

Set aside a full day after all the focus groups are complete to pull together information in preparation for the whole-community meeting. Consolidate the following information:

- Lists of pathway-specific activities for each focus group,
- Any assumptions where the answers are significantly different between the focus groups, and
- Pathway weighting for each focus group.

Prepare a PowerPoint presentation containing all of this consolidated information, to use at the whole-community meeting. Also prepare a large sheet where you can represent all four pathways for a community-wide pathway weighting exercise.

### 4.3 Facilitate whole-community meeting

#### Who should attend?

A maximum of 30 participants should attend the whole-community meeting. Any number greater than this will prove difficult to facilitate. The local liaison needs to work with the community to explain the process, particularly why only a limited number of people can attend the gathering, and ensure that they are selected in a transparent and representative manner. You should draw participants from the community focus groups, to ensure continuity, with an equal balance between the different groups. The implementer/designer can attend this meeting as an observer.

## Who else should be involved and how long will it take?

The same team that undertook the community focus groups should run the whole-community meeting. You will need a full day for the whole-community meeting.

## Reviewing results

Use the consolidated information to provide feedback to the whole-community meeting on the focus group results, drawing particular attention to areas where there were major differences or striking similarities between groups.

You can use different facilitation techniques to help initiate group discussion around areas of major difference. Mix up representatives from the focus groups and ask them to discuss why they think the observed differences exist, reporting back to the whole group. It is best to take one issue at a time. Community facilitation is a complex task and it is not within the scope of this manual to provide detailed facilitation guidance. It is important to ensure that an experienced facilitator is on the team. A number of documents are available with useful additional facilitation techniques.<sup>4</sup>

Finally, share the results of the pathway weighting exercises from each focus group, pointing out any major differences. Then, using more beads or counters (again indivisible by four), ask the whole-community meeting group to negotiate and agree on how to distribute the beads to answer the question 'Where should we place our efforts to reduce the pressure on species from IWT?'

**Figure 14: Steps in a whole-community meeting: Presentation of general feedback to the whole group (top left). A community member provides feedback on some of the key learnings from the focus group discussions (top right). A break-out group discussing some of the results (bottom left). The whole group participating in a pathway weighting exercise (bottom right).**



Photo credit: IUCN  
Location: Lalenok Resource Centre, Olkiramatian, Kenya.

<sup>4</sup> For example, Pretty, J *et al.* (1995) Participatory learning and action: a trainer's guide. IIED. See: <http://pubs.iied.org/6021IIED/>. Seeds for Change (2010) Facilitation tools for meetings and workshops. See: <https://seedsforchange.org.uk/tools.pdf>

## 4.4 Construct the community ToC

In this section, we present one way to construct a community ToC. We would welcome feedback from practitioners who use a different approach.

Set aside two days as soon as possible after the fieldwork to construct the community ToC. Use the implementer/designer ToC as your starting point, in the same way as you used the baseline ToC to construct the implementer/designer ToC. Make any necessary changes to the pathways, outcomes, impacts and assumptions where the community did not agree with the implementer/designer.

Combine all the scores and comments from the community focus groups into a single document and highlight the assumptions where there is a significant difference in scoring. For example, if three community focus groups scored one statement as 5,4,5, you can take this as a general agreement across the groups. But 5,1,5 would show a significant difference between groups.

Take the list of assumptions from the implementer/designer ToC and highlight the assumptions where there was a difference in scoring between the implementers/designers and the community. Using the scoring and the notes, check whether the assumptions and pathway logic held true.

Based on the above, make changes to the FLoD baseline ToC diagram to create the community ToC diagram. Remember to alter the size/width of the pathways based on the weighting exercise you conducted at the community feedback meeting.

### Key informant interviews

Key informant interviews are an essential component of the FLoD methodology, offering an opportunity to test, validate and triangulate information gathered during Steps 3 and 4. Key informant interviews should focus on the assumptions that underlie the logic of each pathway.

#### What do you need?

- At least two core team members for each interview,
- A local language interpreter (if necessary),
- Laptop, power, and
- Two to three hours per interview.

#### Who should you interview?

The stakeholder analysis carried out during the inception meeting/workshop should provide you with a basic list of interview targets. These are the people you identified at that meeting/workshop as individuals with either knowledge, influence and/or authority over any of the four pathways of the ToC.

Depending on the time you have available for fieldwork, you may have to prioritise stakeholders for interview. Work with local partners to understand which pathway(s) key informants are likely to know most about, confirm key people and gather contact information. The list will probably be quite dynamic; you can add or remove people as the team gains a greater understanding of the context.

#### How to undertake the interview

Use the community ToC development tool as a basis for the interview. Give the interviewee a short summary of the project and the FLoD methodology.

Ask some opening questions around the interviewee's role, their history or length of stay in the area and their relationship with the community and/or the implementer/designer. It may also be helpful to ask about their perspectives on poaching levels, other known illicit trades, levels of corruption and so on.

Move onto the detailed pathway-level questions, turning the ToC statements into questions for the interview. Focus on the pathways that reflect the key informant's particular area of knowledge, influence or authority. For example, if you are interviewing someone from a tourism facility, focus on Pathway B (increasing incentives for stewardship); if you are interviewing someone from the law enforcement arm of the relevant protected area authority, focus on Pathway A (disincentivise activities contributing to IWT). Many key informants will have useful insights and information on other pathways, so if time allows, go through other pathways with them.

Close the interview with questions around enabling actions.

## Step 5: Feedback workshop

**Table 13: Resources needed for a feedback workshop**

Resource	Minimum requirement
Personnel	Two core team members, three if possible Local language interpreter
Materials	Laptop, power, projector, facilitation materials
Time	Preparation: two days Workshop: two days Follow up: one to two days

The objectives of Step 5 are to:

- Validate the community ToC, and
- Compare the implementer/designer and community ToCs, identifying areas of divergence.

By the end of Step 5, you should have the following outputs:

- A validated community ToC, and
- Key areas of difference and similarity identified between the implementer/designer and community ToCs.

### Introduction

It is critical to validate the community ToC and feed back the results of the process to the implementer/designer and the community. So holding a feedback workshop is an important part of the FLoD methodology.

### Who should take part?

The key participants to include in the workshop are:

- Core team members who were involved in implementing the methodology in that site,
- Project designers,
- Community members, with equal representatives from each focus group — for consistency, these should be the same people who participated in the focus groups and the whole-community meeting,
- Other relevant stakeholders for other project components, such as policy influencing, and
- Other relevant stakeholders in the project area, such as tourism operators or owners.

The key objectives of a feedback workshop are to:

- Summarise process to date.
- Present, validate and if necessary revise the implementer/designer ToC.
- Present, validate and if necessary revise the community ToC.
- Identify and discuss key differences and similarities between the implementer/designer and community ToCs and between different community focus groups. It can be helpful to mix up the discussion groups: start with discussions within individual focus groups and then mix the groups up to discuss differences and similarities. Each discussion group should provide a short summary back to the entire assembled group.
- Develop shared recommendations for improved site-level interventions and policy change at relevant levels.

## Step 6: Communicate lessons learnt

Depending on the scope of a particular FLoD project, you will probably need to communicate lessons learnt to a variety of audiences. These could be about the implementation of the methodology or the successes and challenges experienced in community partnerships to combat IWT.

### Objectives and outputs

The objectives of Step 6 could include:

- Consolidating information,
- Influencing national policy, and/or
- Contributing to influencing international policy.

By the end of Step 6, an important output could be a resource for the community and implementers/designers as they move forward with activities on the ground. These could include: detailed or simplified case studies, policy briefs or journal articles.

The FLoD steering committee is always interested to hear about your experiences in implementing FLoD and any lessons learnt about the role of communities in combating IWT. We encourage all users to submit brief case studies to Leo Niskanen at: [leo.niskanen@iucn.org](mailto:leo.niskanen@iucn.org)

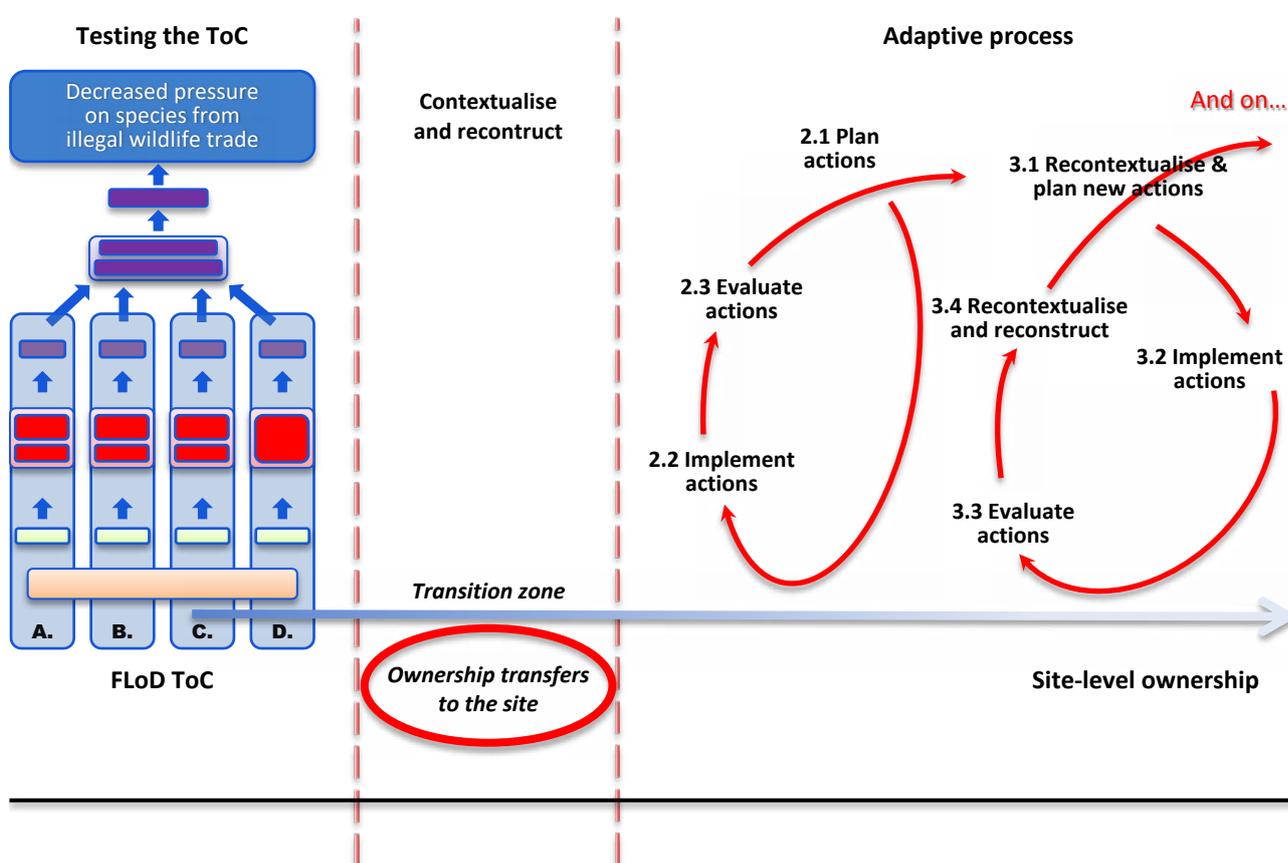
## Step 7: Monitor and adapt

Implementing the FLoD methodology can help improve and align interventions with community beliefs and perspectives.

After the feedback workshop, project implementers should adjust interventions to match the community and implementer/designer ToCs more closely. It is important to monitor these changes and any impact on poaching or IWT levels using an adaptive management cycle (see Figure 15). A joint iterative learning process between the community and the implementer/designer helps the project and any interventions adapt to changing circumstances over time.

Ultimately, we hope that the final ToC will become a mechanism that is jointly owned by the implementer/designer and the community and that, as such, it will enjoy better support and participation at the local level.

Figure 15: The adaptive management cycle

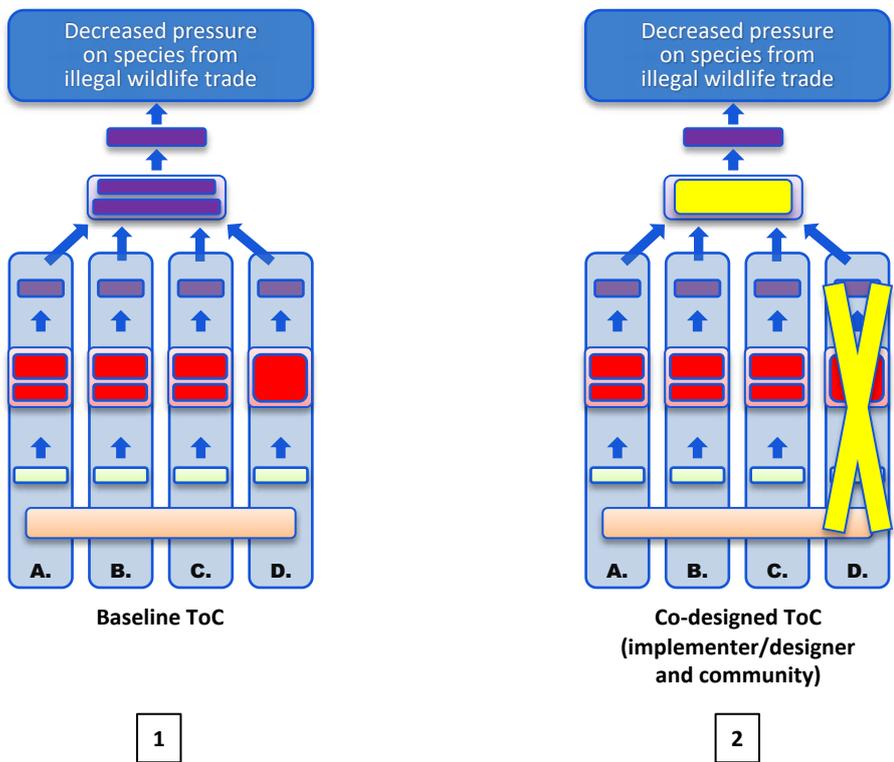


Source: Modified from Rowe (2016)

# Section D: Using FLoD in new projects

While the guidance in Section C outlines the process for implementing the FLoD methodology on existing projects, we believe it is possible to use the same action research approach to help design new projects. In this case, we would use the baseline ToC as a starting point to jointly develop a shared ToC between the target community and an implementer/designer (see Figure 16).

**Figure 16: Developing new IWT interventions using the FLoD methodology**



Many of the methods outlined in Section C would be useful to identify communities and implementers/designers and determine whether it is appropriate to implement the FLoD methodology in certain contexts.

A more complete situation analysis would be necessary, both to understand the poaching context and to identify possible interventions that might work — in other words, which of the four baseline ToC pathways is likely to be the most important/effective.

Depending on the context, you may be able to move directly into developing a joint community–implementer/designer ToC. Or you may have to work with each separately, bringing them together with the more explicit goal of reconciling differences and jointly building a ToC as a base for project interventions.

To date, we have not used the FLoD methodology to develop new projects and would welcome advice or feedback from anyone who uses it for this purpose.

# References

Biggs, D *et al.* (2017) Developing a theory of change for a community-based response to illegal wildlife trade. *Conservation Biology* 31 (1), 5-12.

Franks, P and Small, R (2016) *Social Assessment for Protected Areas (SAPA) Methodology Manual for SAPA Facilitators*. IIED, London.

IUCN SULi, IIED, CEED, Austrian Ministry of Environment and TRAFFIC (2015) Symposium Report, 'Beyond enforcement: communities, governance, incentives and sustainable use in combating wildlife crime', 26-28 February 2015, Glenburn Lodge, Muldersdrift, South Africa. See: <http://pubs.iied.org/G03903>

Newing, H *et al.* (2011) *Conducting research in conservation: social science methods and practice*. Routledge, London.

Roe, D *et al.* (2016) *Engaging communities to combat illegal wildlife trade: a theory of change*. IIED Briefing, London. See: <http://pubs.iied.org/17348IIED>

Rowe, W (2016) *Applying action research processes to a community-based IWT initiative*.

# Annex 1: Tools

## FLoD sample workshop agendas

These sample agendas can be used to structure meetings during Steps 1, 2, 4 and 5 of the FLoD methodology, as outlined in Section C of this guidance.

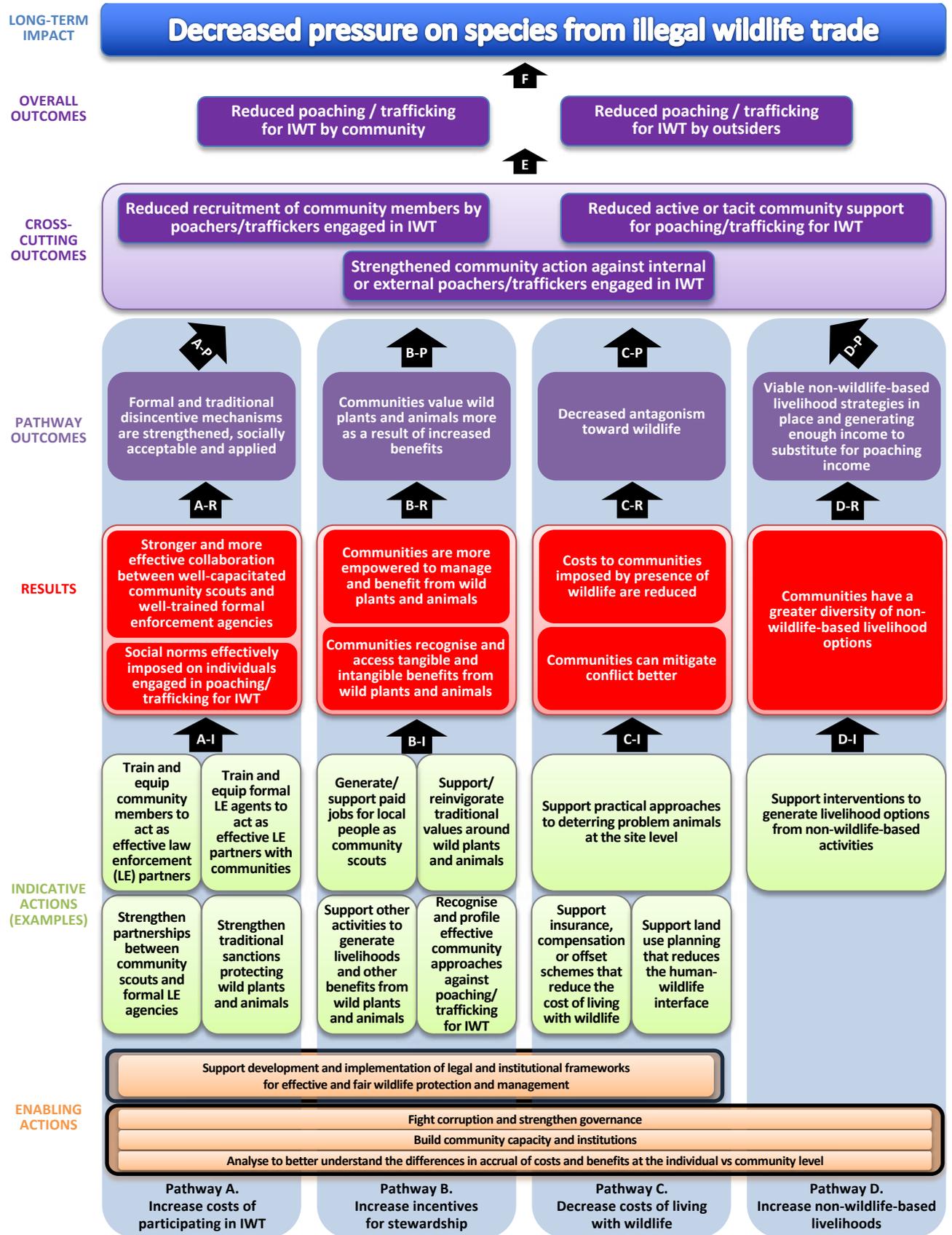
<p><b>Step 1: Preparation and scoping</b></p>
<p>Time requirement: One full day, split over a two-day period For example, you could start in the afternoon of the first day and finish with lunch on the second day. It can be useful to have an overnight break to consolidate information and decide on strategies for the following session.</p>
<p>Day 1 agenda:</p> <ul style="list-style-type: none"> <li>• Local liaison to introduce the FLoD team to assembled community representatives</li> <li>• Self-introductions: community representatives and FLoD team members</li> <li>• Explanation of the FLoD methodology and purpose of scoping mission</li> <li>• Interactive session on species, parts and derivatives in trade</li> <li>• Possible work in smaller groups to get more detail</li> </ul> <p>Day 2 agenda:</p> <ul style="list-style-type: none"> <li>• Consolidation and feedback to the community representatives</li> <li>• Explanation of the four pathways</li> <li>• Interactive session on four pathways, with sample interventions</li> <li>• Possible work in smaller groups to get more detail</li> <li>• Light pathway weighting exercise</li> <li>• Close of scoping mission</li> </ul>
<p><b>Step 2: Inception workshop</b></p>
<p>Time requirement: Two full days</p>
<p>Day 1 agenda:</p> <ul style="list-style-type: none"> <li>• Brief welcome and introductions</li> <li>• Presentation given using 'FLoD introductory presentation long' template</li> <li>• Introduce the target community and its current context — for example, you could collect and use information on existing management plans or strategies, baseline information on human population demographics, target species, poaching levels, human wildlife conflict, wildlife and non-wildlife-based livelihood activities, community-private sector revenue-sharing agreements and recent wildlife surveys</li> <li>• Review of baseline ToC, pathways and assumptions</li> <li>• Group work on ToC to deepen familiarity and understanding</li> </ul> <p>Day 2 agenda:</p> <ul style="list-style-type: none"> <li>• Review of steps in the methodology, personnel, time, logistics and resource requirements</li> <li>• Identify community focus groups</li> <li>• Identify language needs and interpreters</li> <li>• Develop the stakeholder analysis for key informant interviews</li> <li>• Set timelines for next steps</li> <li>• Close</li> </ul>

<b>Step 4: Community focus groups</b>
Time requirement: One full day For example, begin around 9.00, have a short break at 13.00, and close at 15.00, with lunch provided.
Agenda: <ul style="list-style-type: none"> <li>• Local liaison to introduce the FLoD team</li> <li>• Self-introductions: participants and FLoD team members</li> <li>• Presentation given using 'FLoD introductory presentation short' template</li> <li>• Implement community ToC development tool</li> <li>• Feedback on results of community ToC development tool</li> <li>• Pathway weighting exercise</li> <li>• Close</li> </ul>
<b>Step 4: Whole community meeting</b>
Time requirement: One full day
Agenda: <ul style="list-style-type: none"> <li>• Self-introductions: participants and FLoD team members</li> <li>• Overview of exercises taken to date</li> <li>• Overview of results from each focus group on the community ToC development tool</li> <li>• Facilitated discussion of differences and similarities</li> <li>• Overview of results from each focus group (pathway weighting)</li> <li>• Full group pathway weighting exercise</li> <li>• Close</li> </ul>
<b>Step 5: Feedback workshop</b>
Time requirement: One to two days If you only need one day, spread it over two, starting in the afternoon of Day 1 and finishing off the following morning to allow time for consolidation and any adjustments in facilitation strategy. The overnight break allows participants to discuss lessons emerging from the process.
Agenda: <ul style="list-style-type: none"> <li>• Self-introductions</li> <li>• Review of process</li> <li>• Overview of results for the implementer/designer ToC</li> <li>• Overview of results for the community ToC</li> <li>• Facilitated discussion of similarities and differences in mixed focus groups, first within the community and then between the community and implementer/designer</li> <li>• Facilitated process to identify possible solutions or ways to reconcile the two ToCs</li> <li>• Close</li> </ul>

## FLoD stakeholder analysis template

Stakeholder information						For each stakeholder, mark whether they have knowledge (K), authority (A) or influence (I) on each category				
Level	Notes	Contact name	Email/phone	Interview location	Background, context, data	Increasing the cost of participating in IWT	Increasing incentives for wildlife stewardship	Decreasing the cost of living with wildlife	Increasing non-wildlife-based livelihoods	
<b>National</b>										
<b>Regional</b>										
<b>Local</b>										

## FLoD baseline ToC



## FLoD baseline ToC assumptions

The assumptions listed below are associated with each level of the FLoD baseline ToC, as outlined in Section B of this guidance.

Code	Assumption
<b>Pathway A</b>	
A-I1	Local communities are willing to engage with formal law enforcement agencies on anti-IWT activities (eg, as scouts and informants).
A-I2	Formal law enforcement agencies are willing to collaborate with communities on anti-IWT activities.
A-I3	Formal law enforcement agents are not involved in or linked to IWT.
A-I4	Better trained, better equipped community members do not use their more advanced equipment and training to engage in IWT.
A-I5	Community members are willing to enforce against IWT within their communities.
A-I6	Community members are willing to enforce against IWT outside their communities.
A-I7	Existing formal sanctions are fair.
A-I8	Existing formal sanctions are a deterrent.
A-I9	Social sanctions against IWT are in practice.
A-I10	Social sanctions against IWT can be revived.
A-R1	Formal sanctions and social sanctions are mutually reinforcing.
A-R2	Collaboration between communities and formal enforcement agencies leads to stronger action against IWT and not stronger collusion in IWT.
A-P1	Community members that are more engaged in combating IWT deter/discourage other community members from taking part in IWT.
A-P2	Intimidation by poachers/traffickers does not deter community action against IWT.
<b>Pathway B</b>	
B-I1	Communities have rights to benefit from managing and using wild plants and animals.
B-I2	Communities exercise their rights to benefit from managing and using wild plants and animals.
B-I3	The community rights that are exercised are enough to foster wildlife stewardship.
B-I4	There is enough financial investment to generate benefits.
B-I5	There are sustainable markets for products and services from wild plants and animals.
B-I6	Formal custodians of wild plants and animals are willing to share revenue with communities.
B-I7	Communities perceive some level of tangible benefit from wild plants and animals.
B-I8	Communities perceive some level of intangible benefit from wild plants and animals.
B-I9	There is enough understanding of the link between the continued existence of wild plants and animals and the benefits they generate.
B-I10	Wildlife-based benefits are not inequitably distributed due to elite capture.
B-I11	Inequitable distribution of wildlife-based benefits does not undermine support for wildlife stewardship.
B-I12	Third party interference does not undermine community interests.
B-R1	Communities that have rights to own, manage and/or benefit from wild plants and animals value them more.
B-R2	Benefits are distributed widely enough to ensure that the wider community, rather than just a few individuals, values wild plants and animals.
B-P1	The full suite of benefits (tangible and intangible) from wild plants and animals are enough to deter poaching.
B-P2	The full suite of benefits (tangible and intangible) from wild plants and animals are sustainable.

<b>Pathway C</b>	
C-I1	The full costs of living with wildlife are known and can be quantified.
C-I2	Resources and tools are available to mitigate human-wildlife conflict (HWC).
C-I3	Approaches to mitigating HWC are effective.
C-I4	Official policies and strategies are effective in reducing the cost of living with wildlife.
C-R1	Communities with greater ability to mitigate HWC (resources, tools, policies) feel less antagonism towards wildlife.
C-R2	Reduced costs from HWC result in lower antagonism towards wildlife.
C-PK	Communities with decreased antagonism towards wildlife have a decreased incentive to directly or indirectly support IWT.
<b>Pathway D</b>	
D-I1	Adequate capacity exists to engage in non-wildlife-based livelihoods.
D-I2	Adequate support is available to develop and maintain non-wildlife-based livelihoods.
D-I3	People that are (or could be) involved in IWT can obtain benefits from non-wildlife based livelihoods.
D-I4	Non-wildlife-based benefits are not inequitably distributed due to elite capture.
D-I5	Inequitable distribution of non-wildlife-based benefits does not undermine support for wildlife stewardship.
D-I6	Non-wildlife-based livelihood schemes do not generate perverse incentives — eg, money earned is not reinvested in poaching or in other land uses that negatively affect conservation.
D-R1	Non-wildlife-based livelihoods have sustainable markets and supply chains.
D-P1	Non-wildlife-based livelihoods generate enough income to substitute or remove the incentive for engaging in IWT, rather than acting as additional income to IWT.
D-P2	Support for non-wildlife-based livelihood schemes are conditional on reduced IWT.
<b>OUTCOMES</b>	
E1	Community actions can make a contribution to reduced IWT.
E2	The relative value of illegal wildlife products is not so high that corruption undermines community action against IWT.
E3	The relative risk of being apprehended, arrested or prosecuted is not so low that it undermines community action against IWT.
F	Poaching/trafficking is reduced to within sustainable levels.

Note, when carrying out the FLoD methodology, any changes made to these baseline ToC assumptions should be carried forward into the implementer/designer ToC development tool. We advise caution before making changes or removing these assumptions, as they have been developed from a wide range of contexts.

## FLoD implementer/designer ToC development tool

Extract shown below, full version of the tool available to download at: [www.iucn.org/flod](http://www.iucn.org/flod)

TOC CATEGORY	BASELINE TOC		<-----NEGATIVE		Score	POSITIVE----->	
	TOC STATEMENT (BASELINE TOC)	INTERVIEW QUESTION	Strongly disagree	Partially disagree		Partially agree	Strongly agree
<b>IMPACT AND OUTCOMES</b>	<b>IMPACT AND OUTCOMES</b>	<b>IMPACT AND OUTCOMES</b>					
Long-term impact	Decreased pressure on species from illegal wildlife trade	Is a key objective of your work to decrease pressure on species from illegal wildlife trade?	0	0	3	0	0
<b>PATHWAYS</b>	<b>PATHWAYS</b>	<b>PATHWAYS</b>					
Pathways	A. Increase the cost of participating in IWT	Is it important to increase the cost of participating in IWT?	0	0	3	0	0
<b>PATHWAY A</b>	<b>PATHWAY A: DISINCENTIVISE ACTIVITIES CONTRIBUTING TO IWT</b>	<b>PATHWAY A</b>					
Indicative actions	Train and equip community members to act as effective law enforcement partners	Does your work focus on training and equipping community members to act as effective law enforcement partners?	0	0	3	0	0
<b>PATHWAY B</b>	<b>PATHWAY B: INCREASE INCENTIVES FOR STEWARDSHIP</b>	<b>PATHWAY B</b>					
Indicative actions	Generate or support paid jobs for local people (eg. as community scouts)	Does your work focus on supporting paid jobs for local people (eg. as community scouts)?	0	0	3	0	0
<b>PATHWAY C</b>	<b>PATHWAY C: DECREASE COSTS OF LIVING WITH WILDLIFE</b>	<b>PATHWAY C</b>					
Indicative actions	Support insurance, compensation or offset schemes that reduce the cost of living with wildlife	Does your work focus on supporting insurance, compensation or offset schemes that reduce the cost of living with wildlife?	0	0	3	0	0
<b>PATHWAY D</b>	<b>PATHWAY D: INCREASE NON-WILDLIFE-BASED LIVELIHOODS</b>	<b>PATHWAY D</b>					
Indicative actions	Support interventions to generate livelihood options from non-wildlife-based activities	Does your work focus on supporting interventions to generate livelihood options from non-wildlife-based activities (eg. livestock, agriculture, industry, micro-enterprise)?	0	0	3	0	0
<b>ENABLING ACTIONS</b>	<b>ENABLING ACTIONS</b>	<b>ENABLING ACTIONS</b>					
Enabling actions	Build community capacity and institutions	Is it necessary to build community capacity and institutions in order to reduce IWT?	0	0	3	0	0

## FLoD community ToC development tool

Extract shown below, full version of the tool available to download at: [www.iucn.org/flod](http://www.iucn.org/flod)

TOC CATEGORY	IMPLEMENTER/DESIGNER TOC		<-----NEGATIVE		Score	POSITIVE----->	
	TOC STATEMENT (IMPLEMENTER/DESIGNER TOC)	INTERVIEW QUESTION	Strongly disagree	Partially disagree		Partially agree	Strongly agree
<b>IMPACT AND OUTCOMES</b>	<b>IMPACT AND OUTCOMES</b>	<b>IMPACT AND OUTCOMES</b>					
Assumption: E-1	Community actions can make a contribution to reduced IWT	Does your community have the ability to prevent poaching and/or trafficking?	0	0	3	0	0
<b>PATHWAYS</b>	<b>PATHWAYS</b>	<b>PATHWAYS</b>					
Pathways	A. Increase the cost of participating in IWT	Is it important to increase the cost of participating in IWT?	0	0	3	0	0
<b>PATHWAY A</b>	<b>PATHWAY A: INCREASE THE COST OF PARTICIPATING IN IWT</b>	<b>PATHWAY A</b>					
Assumption: A-11	Local communities are willing to engage with formal law enforcement agencies on anti-IWT activities (eg. as scouts and informants)	Are local communities willing to engage with formal law enforcement agencies as scouts and informants?	0	0	3	0	0
<b>PATHWAY B</b>	<b>PATHWAY B: INCREASE INCENTIVES FOR STEWARDSHIP</b>	<b>PATHWAY B: INCREASE INCENTIVES FOR STEWARDSHIP</b>					
Assumption: B-11	Communities have rights to benefit from managing and using wild plants and animals	Does your community have rights to benefit from managing and using wild plants and animals?	0	0	3	0	0
<b>PATHWAY C</b>	<b>PATHWAY C: DECREASE COSTS OF LIVING WITH WILDLIFE</b>	<b>PATHWAY C</b>					
Assumption: C-11	The full costs of living with wildlife are known and can be quantified	Are the full costs of living with wildlife known and can these be quantified?	0	0	3	0	0
<b>PATHWAY D</b>	<b>PATHWAY D: INCREASE NON-WILDLIFE-BASED LIVELIHOODS</b>	<b>PATHWAY D</b>					
Assumption: D-11	Adequate capacity exists to engage in non-wildlife-based livelihoods	Is there adequate capacity to engage in non-wildlife-based livelihoods?	0	0	3	0	0

## Presentation templates

We have pre-prepared two introductory presentation templates containing suggested slides, as shown below. These can be downloaded directly from [www.iucn.org/flod](http://www.iucn.org/flod) and each template adjusted and updated to the specific context of use. Additional slides can be added to these presentations from the FLoD additional presentation slides.

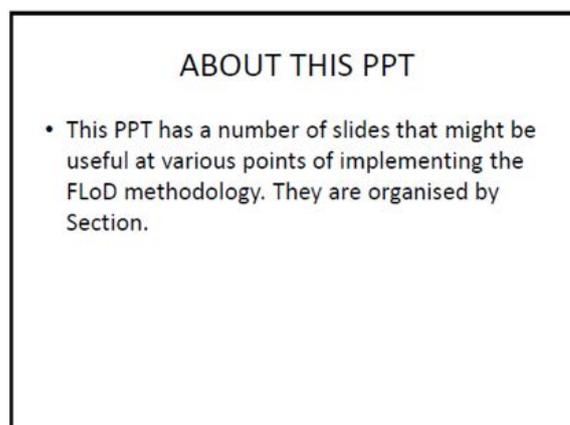
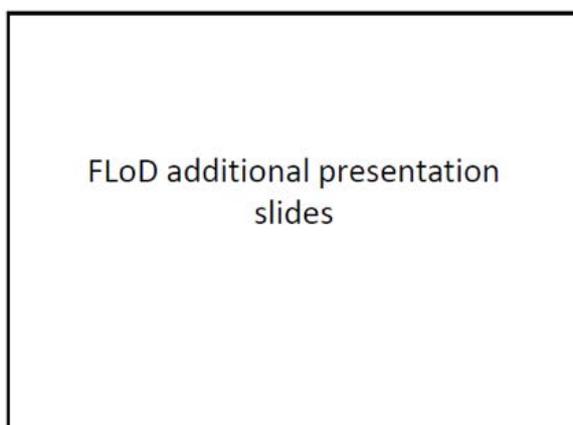
### FLoD introductory presentation long



### FLoD introductory presentation short



### FLoD additional presentation slides



## Interview consent form

This consent form and information sheet should be used within Step 3 of the FLoD methodology, as outlined in Section C of this guidance.

### Participant informed consent – [insert project name]

Please provide your consent to participate in this research by filling out the boxes in the tables below, along with your personal details.

<b>Research consent</b>	<b>Yes</b>	<b>No</b>
I confirm that I am 16 years of age or over.		
I confirm that I have been well briefed on [project name], been given the opportunity to ask questions and had these answered satisfactorily.		
I consent to participate in a face-to-face/virtual interview and understand that my participation in this study is voluntary and that I am free to withdraw at any time, without giving a reason.		
I consent to my interview being audio recorded and then transcribed.		
I understand that any personal data that could be used to identify me will be removed from the transcript, so only members of the research team can link the transcript to me.		
I consent to the transcribed data being used for analysis at the group level, and for group level findings to be published by the research team in future publications, reports or presentations.		
I consent to non-identifiable quotes from my transcript being used by the research team in future publications, report or presentations.		
I consent to identifiable quotes (containing my name) being used by the research team in future publications, reports and presentations.		
I understand that my personal details — such as my name, phone number and email address — will not be revealed to people outside the project.		
<b>Photo consent</b>		
I consent to photos being taken of me in the following situations:	<b>Yes</b>	<b>No</b>
Individual pictures where my face is identifiable.		
Group pictures where my face is identifiable.		
Group pictures where I am in the background or only partially visible.		
I consent to the use of these photos by the research team in future publications, reports and presentations.		

**Or, if you DO NOT consent to photo permissions, please tick this box:**

I do NOT consent to ANY photos being taken of me, including any photos where I am in the background or foreground.	
--	--

**Personal details** (Please print in BLOCK CAPITALS)

Name: \_\_\_\_\_

Organisation: \_\_\_\_\_

Email: \_\_\_\_\_

Signed: \_\_\_\_\_ Date: \_\_\_\_\_

**Participant interview information sheet - [insert project name]**

You have been given this information sheet because you are being invited to take part in a research study. The researcher who will interview you will explain more about the study and you will be given the opportunity to ask questions. This information sheet is for you to keep for your records.

**What is the purpose of this study?**

[insert details here]

**Who is conducting the study?**

[insert details here]

**What will participating in this project involve?**

[insert details here]

**Do I have to take part?**

No, it's completely up to you whether or not you take part in the study. If you agree to take part, you are free to change your mind at any time without giving a reason.

**What will happen to any information I give?**

Any information I have about you and everything you say during the discussion will be kept confidential. A transcript of the discussion will be produced by [insert details here].

Your name and contact details will be kept separately from the transcript and any details that could be used to identify you will be removed from the transcript. Any extracts from what you say that are quoted in written work will be anonymous unless you consent otherwise.

All electronic data will be stored on a password-protected computer. All digital recordings will be destroyed after completion of the project. Other data from the study will be retained, in a secure location.

**What will happen to the results of the project?**

The results of this study will be used in [insert details here].

**Contact details**

If you have any questions about the project please contact:  
[Name, email, phone number if appropriate].

## Focus group consent form

This consent form should be used within Step 4 of the FLoD methodology, as outlined in Section C of this guidance.

### Participant informed consent - [insert project name]

Please provide your consent to participate in this research by filling out the boxes in the tables below along with your personal details.

Research consent	Yes	No
I confirm that I am 16 years of age or over.		
I confirm that I have been well briefed on [project name], been given the opportunity to ask questions and had these answered satisfactorily.		
I consent to participate in a focus group discussion and understand that my participation in this study is voluntary and that I am free to withdraw at any time, without giving a reason.		
I consent to notes being taken by the research team/researcher during the focus group discussion.		
I understand that no personal data that identifies me will be recorded in the notes taken on the focus group discussion.		
I consent to the information collected during the focus group being used for analysis and for findings to be published by the research team in future publications, reports or presentations.		
I consent to anonymous quotes from the focus group being used by the research team in future publications, reports and presentations.		
I understand that my personal details — such as my name, phone number and email address — will not be revealed to people outside the project.		

Photo consent	Yes	No
I consent to photos being taken of me in the following situations:		
Individual pictures where my face is identifiable		
Group pictures where my face is identifiable		
Group pictures where I am in the background or only partially visible		
I consent to the use of these photos by the research team in future publications, reports and presentations.		

#### Or, if you DO NOT consent to photo permissions, please tick this box:

I do NOT consent to ANY photos being taken of me, including any photos where I am in the background or foreground	
---	--

#### Personal details (Please print in BLOCK CAPITALS)

Name: \_\_\_\_\_

Organisation: \_\_\_\_\_

Email: \_\_\_\_\_

Signed: \_\_\_\_\_ Date: \_\_\_\_\_







This manual provides detailed guidance for implementing the 'Local communities: First Line of Defence against illegal wildlife trade (FLoD)' methodology to articulate, contrast and compare the assumptions, perceptions, and logic flows of communities and project designers/implementers that are engaging in projects to combat illegal wildlife trade (IWT).

The FLoD methodology is a multi-stakeholder action research approach designed for use by an independent team working with communities, local stakeholders and project designers or implementers (whether these are NGOs, government, community-based organisations or donors). It provides an adaptive approach to help build community engagement in anti-IWT initiatives, through a deep interrogation of the logic of designers, implementers and communities, as well as their motivations and assumptions. The methodology aims to provide information to help better align interventions and strengthen community participation.



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Knowledge  
Products

## Toolkit

March 2018

### Biodiversity

*Keywords:*

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