

Local Communities: First Line of Defence (FLoD) against Illegal Wildlife Trade

An Implementation Guide



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About Local Communities: First Line of Defence¹

Much of the global response to counter the perceived 'poaching crisis' between 2009 and 2019 has focused funding and implementation on law enforcement and reducing the demand for illegal wildlife products with lesser emphasis on the role of local communities in dealing with illegal wildlife trade. Local Communities: First Line of Defence (FLoD) is an approach for strengthening local community engagement in tackling high-value illegal wildlife trade in different settings. It helps to draw out the voice of local communities living with wildlife in discussions about illegal wildlife trade.

While the methodology as presented in this guide has so far only been tested on existing anti-illegal wildlife trade projects, it provides a powerful framework that extends beyond the illegal wildlife trade. With the use of a Theory of Change framework it can also be applied to the design of new projects and interventions to help improve broader community-based natural resource management and other community-based conservation initiatives. It literally depends on what the Theory of Change is and what level of impact is required.

As a multi-stakeholder action research approach designed by an independent team working with communities, local stakeholders and project designers or implementers (whether these are non-governmental organisations, government, community-based organisations or donors), FLoD provides an adaptive approach to help build community engagement in anti-illegal wildlife trade initiatives. The methodology can be used in existing and new projects, and it is well aligned to support policy makers, communities, donors, project designers, project implementers and development practitioners, amongst others with improving project design, outcomes and interventions to combat illegal wildlife trade.

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

- The logic, implicit and explicit assumptions, perceptions and beliefs of anti-illegal wildlife trade project implementers / designers and of communities who are targets, leaders or partners in those interventions; and
- Differences within communities, and between communities and project implementers / designers, in terms of their logic, assumptions and beliefs about how a project and its interventions will work (in other words, their respective theories of change).

As a result, the methodology may expose reasons for the success or failure of particular project components, thereby helping to enhance project planning and implementation towards better conservation and development outcomes. It can also effectively:

- Explore some of the site-specific drivers of illegal wildlife trade and shed light on which community-based strategies for addressing it are likely to be most effective;
- Enhance the achievement of outcomes or impacts;
- Help donors improve the effectiveness of investments in combatting illegal wildlife trade;
- Provide lessons for other existing and new projects currently being designed; and

Why FLoD, a new methodology and tools?

FLoD builds on an Action Research approach to engage both project implementers and communities

It interrogates the theories of change (ToCs) including key assumptions of designers and implementers of anti-IWT interventions and compares with those of communities

It highlights often flawed and sometimes naive ToCs by donors and intervention planners and divergence from reality on the ground

It empowers communities, strengthens community voice, enhances collaboration and builds trust between implementers and communities

It helps design more effective interventions to combat IWT with community engagement.

¹ Please see: FLoD Online Learning Series 2: [Introduction to FLoD on the IUCN website](#) and [Communities combating illegal wildlife trade: An online learning series for the East African Community region](#)

- Provide lessons to help enhance the response to illegal wildlife trade at local, national, regional and international levels.

FLoD is...

- ✓ A structured and iterative approach to articulate and test assumptions of communities and implementers on ways to combat illegal wildlife trade;
- ✓ A methodology to improve project outcomes and interventions;
- ✓ An open source methodology for practitioners;
- ✓ A tool to understand and articulate project logic and underlying assumptions;
- ✓ A tool to identify what is working in a project; and
- ✓ A tool to identify potential flaws in logic and project design.

FLoD is not...

- ✓ A blueprint for intervention or project design;
- ✓ As audit, assessment or evaluation of project performance or achievement;
- ✓ A project intervention checklist; nor
- ✓ A methodology for beginner practitioners.

The initial guidance for implementing the FLoD methodology (Skinner et al., 2018) has been developed to document the process that has been used by the FLoD partners to test the Theory of Change for engaging local communities in tackling high-value illegal wildlife trade in different settings and to serve as a guide to others who may wish to apply this methodology in other sites and different contexts.

This Implementation Guide is a revised and refined version of the aforementioned guidance (Skinner et al., 2018) for users of FLoD methodology. It provides a set of practical steps and tools to articulate and understand the logic in any initiative to engage communities to partner in combatting illegal wildlife trade.

The FLoD methodology can be applied to anti-illegal wildlife trade initiatives of any kind (both new and existing), as long as they recognise the importance of community engagement and have an explicit community component. To date, the FLoD initiative has focused on illegal trade that is focused on species (or their products) of very high value, bringing thousands of dollars for individual animals, plants or their parts and derivatives at all levels of the value chain and usually destined for international commercial markets. This has not included, for example, bushmeat destined for local markets or products used in subsistence trade even when such trade is illegal in nature, but there is enough experience and evidence now to suggest that the FLoD methodology could be used effectively to examine such trade.

The Guide is based on the piloting of the FLoD methodology in a limited number of communities and contexts in East Africa. As more experience is gained in their application and more lessons are learned from different contexts, the Guide will continually be updated and refined, simplifying it wherever possible. The FLoD partners are also interested to hear from users particularly in terms of where more detailed explanation is needed, where different steps have worked well or not and any other modifications that might be needed.

The Guide aims to provide an adaptive, iterative approach to help build community engagement in, and ownership of, anti-illegal wildlife trade projects through a deep interrogation of community logic, motivations and assumptions in each particular context. Following this Guide does not guarantee specific outcomes or impacts; users should note that results are specific to each community or context and the means through which interventions are implemented.

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Acronyms and abbreviations

BIOPAMA	Biodiversity and Protected Areas Management programme
CA	Conservation Area
CBC	Community-based Conservation
CBNRM	Community-based Natural Resource Management
CBO	Community-based Organisation
CEESP	IUCN Commission on Environmental, Economic and Social Policy
CITES	Convention on International Trade in Endangered Species of Wild Fauna and Flora
ESARO	IUCN Eastern and Southern Africa Regional Office
FLoD	Local Communities: First Line of Defence against Illegal Wildlife Trade
ICCCW	International Consortium on Combating Wildlife Crime
IIED	International Institute for Environment and Development
IPLC	Indigenous People and Local Communities
IUCN	International Union for Conservation of Nature
IWT	Illegal Wildlife Trade
MIKE	CITES Monitoring the Illegal Killing of Elephants programme
NGO	Non-governmental Organisation
PA	Protected Area
SSC	IUCN Species Survival Commission
SULI	IUCN CEESP SSC Sustainable Use and Livelihoods Specialist Group
ToC	Theory of Change
UN	United Nations
UNEA	United Nations Environment Assembly

Section A: Introducing FLoD

This implementation guide provides practical and detailed guidance, advice and signposts to those interested in engaging with local communities in anti-illegal wildlife trade (IWT) interventions or activities. The guide describes how to implement the step-by-step FLoD methodology in existing (and new) projects aimed at strengthening the involvement of local communities in tackling IWT, which is intended for use at local site level.

FLoD can be used in different settings and in conjunction with other approaches, such as Community-based Natural Resource Management (CBNRM), project design and management. It can be used by government agencies, donor agencies, local communities and the private sector, amongst others. FLoD can take place in the context of protected areas (PA), and conservation areas (CA) of any kind.

The goal of the FLoD approach is to strengthen and increase the voice of local communities in the design and implementation of anti-IWT projects. Our assumption in the development of this approach and methodology is that the local site-level actors will have a need for this methodology, whether in existing or new projects, with the intent to propose and plan the implementation of the FLoD process. This guide has been written for these users.

The FLoD methodology uses a combination of methods, namely i) scoping visits and key informant interviews, ii) Theory of Change (ToC) pathways and assumptions, iii) application of ToC development tools, iv) community focus groups and stakeholder meetings, and v) participatory rural appraisal methods. These methods are used to gather information and explore in depth the assumptions linked to IWT and the suggested solutions.

Using the FLoD Implementation Guide

The rest of Section A contains information on the context of IWT and provides the background and overview of the history of the FLoD initiative, with an introduction to the key concepts that underpin the FLoD approach.

Section B comprises an overview of the FLoD methodology and focuses on the approach, key principles and values, the outline of the methodology informed by the FLoD baseline Theory of Change (ToC) and assumptions, methods and tools, as well as the key roles / actors in the FLoD process.

Section C provides detailed step-by-step guidance on how to use the FLoD methodology in existing projects.

Section D provides detailed step-by-step guidance on how to use the FLoD methodology in new projects. The same generic outline from Section C can be used for new projects.

Section E presents insight into using the FLoD methodology for different challenges by focusing on the point of impact of projects and utilising the unpacking of assumptions of local communities and project implementers to influence the design of projects.

Section F presents the glossary of terms.

Section G presents a list of the FLoD tools in sequential order, as well as a list of the online learning series available on the [IUCN FLoD website](#); all the documents, tools and the online series can be downloaded.

Colour-coded outline of a steps in the FLoD methodology for existing projects as presented in Section C.

Step 1: Screening and scoping

- 1.1 Define the locality-specific 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 Identify key stakeholders and 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; and

3.3 Validate the Implementer / Designer ToC.

Step 4: Develop a Community ToC

4.1 Update the Community ToC development tool using the newly-validated implementer / designer ToC and assumptions;

4.2 Test the implementer / designer assumptions within the community, using focus groups;

4.3 Hold a whole-community meeting to present the consolidated results of focus group discussions; and

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 level and international levels. Produce and publish any guiding resources.

Step 7: Monitor and adapt

7.1 Locality-specific stakeholders continue to implement lessons learnt and monitor progress.

1. Background to FLoD

This section introduces the current context of illegal wildlife trade (IWT) and the rationale of the importance of involving local communities in combatting IWT. It provides the background and overview of the history of the FLoD initiative.

The alarming rise in IWT in the period 2009–2019 received growing international attention and increased funding to address this challenge (Challender & MacMillan, 2014; Wright et al., 2016). Globally, poaching and associated IWT are targeting high-value species, including pangolins, elephants, rhinos, a variety of big cats (e.g. the tiger), as well as many trees, medicinal, aromatic and ornamental plants (e.g. orchids), birds, reptiles and fish (Rosen & Smith, 2010). The global policy response has emphasised three broad strategies to counter the perceived 'poaching crisis,' namely, increase law enforcement, decrease demand of species, and engage local communities. Significant funding has been allocated in support of the strategy. According to an analysis by the World Bank, funding committed to combatting IWT between 2010 and 2016 amounted to \$1.3 billion, reaching a peak of \$316 million in 2014 (Wright et al., 2016).

Much of the focus of both national and international policy responses, the funding allocations as presented, and implementation has been on law enforcement focusing on protected area management to prevent poaching, and reducing the demand for illegal products (Wright et al., 2016), with lesser emphasis on the role of local communities in dealing with IWT. Although law enforcement is a critical ingredient of successful conservation, research evidence is increasingly recognising that the long-term survival of wildlife – and in particular the success of efforts to combat IWT in high-value species – depends to a large extent on the willing support of local communities living with and alongside wildlife (Roe et al., 2016). Illegal wildlife trade is recognised as a key current conservation and development challenge; not only does it threaten a wide range of wild species around the world, but it also jeopardises local security and economies, undermines livelihood assets, and destabilises governance regimes (Wright et al., 2016).

With strong recognition that the long-term survival of wildlife, and in particular the success of efforts to combat IWT, depends to a large extent on local communities that live with these species (Cooney et al., 2018), the key role that local communities must play is reflected in the many international intergovernmental statements and commitments made. Table 1 summarises the commitments undertaken in recent years, as presented in Cooney et al. (2018).

Table 1: International policy commitment on the role of local communities in combatting IWT

Commitment	Summary statement
African Elephant Summit (2013)	Engage communities living with elephants as active partners in their conservation.
London Declaration (2014)	Increase capacity of local communities to pursue sustainable livelihood opportunities and eradicate poverty. Work with, and include local communities in, establishing monitoring and law enforcement networks in areas surrounding wildlife.
Kasane Declaration (2015)	Promote the retention of benefits from wildlife resources by local people where they have traditional and/or legal rights over these resources. We will strengthen policy and legislative frameworks needed to achieve this, reinforce the voice of local people as key stakeholders and implement measures which balance the need to tackle the illegal wildlife trade with the needs of communities, including the sustainable use of wildlife.
Brazzaville Declaration (2015)	Recognise the rights and increase the participation of indigenous peoples and local communities in the planning, management and use of wildlife through sustainable use and alternative livelihoods and strengthen their ability to combat wildlife crime.
UN General Assembly adopted Resolution 69/134 on Tackling Illicit Trafficking in Wildlife (2015)	Strongly encourages Member States to support, including through bilateral cooperation, the development of sustainable and alternative livelihoods for communities affected by illicit trafficking in wildlife and its adverse impacts, with the full engagement of the communities in and adjacent to wildlife habitats as active partners in conservation and sustainable use, enhancing the rights and capacity of the members of such communities to manage and benefit from wildlife and wilderness.
Sustainable Development Goal 15 (2015)	...in Target 15.7 to end IWT and in Target 15.c, which emphasises the need to do this through "increasing the capacity of local communities to pursue sustainable livelihood opportunities."
Hanoi Statement on Illegal Wildlife Trade (2016)	Recognising the importance of supporting and engaging communities living with wildlife as active partners in conservation, through reducing human wildlife conflict and supporting community efforts to advance their rights and capacity to manage and benefit from wildlife and their habitats; and developing collaborative models of enforcement. The active participation of local people is critical to effective monitoring and law enforcement as well as sustainable socio economic development.

UN General Assembly adopted Resolution 71/326 on Tackling Illicit Trafficking In Wildlife (2017)	Encourages Member States to increase the capacity of local communities to pursue sustainable livelihood opportunities, including from their local wildlife resources. ... Strongly encourages Member States to enhance their support, including through transnational and regional cooperation, for the development of sustainable and, as appropriate, alternative livelihoods for communities affected by illicit trafficking in wildlife and its adverse impacts, with the full engagement of the communities in and adjacent to wildlife habitats as active partners in conservation and sustainable use, enhancing the rights and capacity of the members of such communities to manage and benefit from wildlife and wilderness.
London Declaration (2018)	Recognise the essential engagement role and rights of local communities and indigenous people to ensure a sustainable solution to addressing illegal wildlife trade.

The above international policy commitments focused on four key pillars to stop illegal wildlife trade, as follows:

- Eradicate market for illegal products.
- Build effective legal frameworks.
- Strengthen law enforcement.
- Support sustainable livelihoods.

These pillars supported the following community commitments made:

- Tackle negative impacts of IWT on people.
- Support sustainable livelihood opportunities.
- Support community-led conservation.
- Recognise community rights to benefit from wildlife.
- Involve local people as law enforcement partners.
- Reduce the costs of living with wildlife.
- Support information sharing about community-based approaches.

Countering illegal wildlife trade remains a global priority for conservation. The increasing international policy commitments (as seen above) support taking action at the local community level as part of effective responses to IWT. Cooney et al. (2016) maintain that there is scarce evidence that such interventions are being pursued in practice and there is scant understanding regarding how they can help set up a conceptual framework to guide efforts in effectively combatting IWT through actions at community level.

This framework is based on articulating the net costs and benefits involved in supporting conservation versus supporting IWT, and how these incentives are shaped by anti-IWT interventions. The Basic Equation set up in this framework concludes that the net benefits from conservation should outweigh the net benefits from poaching, as depicted in the diagram in Figure 1.



Figure 1: Basic Equation (Cooney, et.al., 2016)

The policy commitments above have created significant political momentum and established solid policy platforms for the engagement of indigenous people and local communities (IPLCs) in combatting IWT. Yet, this role has largely been overlooked in discussions of how to respond urgently to the perceived 'poaching crisis' and IWT.

Interventions in countries where wildlife is poached have, to date, placed far greater emphasis on intensified law enforcement (which have become increasingly militarised) rather than engaging directly and effectively with communities to address wildlife crime or increase the incentives for local people to steward and sustainably manage wildlife.

Even where community-based programmes have attracted support, they have mostly focused on developing alternative livelihoods and only in some cases reducing the cost of living with wildlife (Roe et al., 2015). A reason for this low level of implementation may be that there is no detailed and practical understanding of how to deliver engagement with local communities on the ground and a reluctance to embrace the change in approach and process.

1.1 From policy to practice

Recognising that considerably less emphasis has been placed on the role of the IPLCs who live with wildlife, and that despite the increased policy attention and commitment, there has been a lack of practical guidance on how to effectively partner with local communities, the International Institute for Environment and Development (IIED) and International Union for Conservation of Nature (IUCN), with a range of partners, identified this gap and set about addressing it (Skinner et al., 2019).

The Action Research approach that was followed helped to deeply interrogate the difference between conceptual strategies and the reality on the ground and identified possible design flaws in interventions that succeeded and those that failed. It articulated differences within communities and between communities and project designers / implementers and brought attention to uninformed, often flawed and sometimes naive Theories of Change by intervention planners and implementers.



Since 2013, the Beyond Enforcement initiative, led by IUCN Commission on Environmental, Economic and Social Policy (CEESP), Species Survival Commission (SSC), Sustainable Use and Livelihoods Specialist Group (SULI), TRAFFIC (the wildlife trade monitoring network), and the IIED have collaborated with a range of partners on initiatives² to highlight the importance of the role that IPLCs play in conserving wildlife, to combat IWT and to better understand the perspectives of local people who are engaged in counter-IWT projects.

The *Beyond Enforcement* initiative developed an initial Theory of Change (ToC) in 2015 that sought to better articulate the conditions and pathways for successful community-level action for tackling illegal killing and IWT of high-value species as well as the links between state-led and community-led enforcement efforts. In 2016, building on this initiative, IIED, IUCN Eastern and Southern Africa Regional Office (ESARO), IUCN SULI, and the IUCN African Elephant Specialist Groups (AfESG) secured funding from the United Kingdom Government's Illegal Wildlife Trade Challenge Fund to field test the initial ToC in the "Local Communities: First Line of Defence against Illegal Wildlife Trade" (FLoD) initiative (Skinner et al., 2019).

At an inception workshop in Nairobi in May 2016, Beyond Enforcement's initial ToC and associated assumptions were discussed with FLoD partners (IUCN SULI, IUCN ESARO and IIED) and feedback given. The ToC, including the overall pathway titles, interventions, results, outputs and outcomes, were revised and refined for the purpose of field testing in Kenya. The revised ToC, now called "Baseline ToC," along with a set of revised assumptions, was then used as the starting point of the testing process in a number of community conservancies and other contexts in Kenya³.

The Baseline 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:

- Pathway A: Strengthening disincentives for illegal behaviour;
- Pathway B: Increasing incentives for wildlife stewardship;
- Pathway C: Decreasing the costs of living with wildlife; and
- Pathway D: Increasing livelihoods that are not related to wildlife.

The ToC further identified a series of enabling conditions, including capacity building, fair and adequate legislation, strengthened governance, and recognition of the difference between community and individual costs and benefits.

The project focused on working with local communities to understand the context of wildlife crime in the area, and the success or failure of interventions in combatting it. While Beyond Enforcement's initial ToC was intentionally generic, the FLoD initiative sought to test the ToC's integrity in the field, refine it and develop methods by which the ToC could be used at project level to design improved interventions in engaging communities against IWT (Skinner et al., 2019).

What is a Theory of Change?

Put simply, a Theory of Change describes a sequence of events that is expected to lead to a particular desired outcome. It helps map out the 'missing middle' between what an activity or intervention does and how this leads to a desired outcome and impact.

(Centre for Theory of Change, 2013)

The project adopted a participatory action research approach – a research methodology that emphasises participation and action with target communities. This approach seeks to understand issues through a process of collaboration, reflection and stakeholder engagement involving local communities and project practitioners (Rowe et al., 2013).

The FLoD initiative is currently working on rolling out the approach in a variety of contexts in eastern and southern Africa.

1.2 Potential users and applications of FLoD methodology

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 2 summarises who might find the Guide useful and for what purpose.

Table 2: Potential users and applications of the FLoD methodology

Users	Application
Project implementers / designers	<ul style="list-style-type: none"> • Developing new projects or improving existing projects (NGOs, government agencies, etc.) • Interrogate the design of programmes and use the results from FLoD to decide on framework and design of projects
Donors	<ul style="list-style-type: none"> • Designing new programmes and funding strategies • Assessing the funding of new projects or improving existing projects • Interrogate the logic of programmes and use the results from FLoD to decide on funding projects
Policy and decision makers	<ul style="list-style-type: none"> • Developing new projects or improving existing projects • Development of new policies and revision of existing policies being informed by FLoD
Community associations	<ul style="list-style-type: none"> • Developing new projects or improving existing projects

The FLoD methodology has thus far only been trialled in existing projects and this is the process described in Section C. However, the methodology can also be applied to the design of new projects, as described in Section D.

2. FLoD and Theory of Change

This section responds to the question "What is a Theory of Change?" and briefly explains what it is, how it is structured and what the components are.

What is Theory of Change?

Rick Davies, an influential monitoring and evaluation specialist, defines a ToC simply as: "The description of a sequence of events that is expected to lead to a particular desired outcome" (Vogel, 2012). A ToC is essentially a comprehensive description and illustration of how and why a desired change is expected to happen in a particular context (Centre for Theory of Change).

² These early efforts included an international symposium with a focus on southern and eastern Africa (Muldersdrift, South Africa, February 2015), a workshop for West and Central Africa (Limbe, Cameroon, February 2016) and a workshop for South-East Asia, and in particular the Lower Mekong Basin (Hanoi, Vietnam, November 2016). See [Beyond Enforcement Symposium Report](#).

³ Three pilot sites in Kenya: Olderkesi Conservancy adjacent to the Masai Mara National Reserve, Shompole-Olkiramatian Group Ranches and the Kilitome Conservancy adjacent to Amboseli National Park.

ToC is not a new concept and although it has much in common with other approaches, the current interest and use of ToC as an outcomes-based approach emphasises the need for deeper analysis and evaluation of programmes intended to support change in different contexts. It is being increasingly used in international development and conservation by a wide range of governmental, bilateral and multilateral development agencies, civil society organisations, international NGOs and research programmes intended to support conservation and development outcomes. It is most often used for planning and evaluation in the non-profit, philanthropic and government sectors.

Why a Theory of Change?

FLoD is a rigorous and participatory process that helps stakeholders identify the conditions they believe must unfold for their long-term goals to be met. The process requires clarity on long-term goals, measurable indicators of success, and actions to achieve goals, through:

- Unpacking the flow of a causal pathway (taking the process from 'if this' to 'then that' throughout the development of the pathway) and specifying what is needed for goals to be achieved.
- Articulating underlying assumptions at each step in the pathway, which can then be tested and measured.

It opens a new way of thinking about initiatives from what is being done to what needs to be done by identifying and articulating the conditions that have to unfold, in a series of cause-and-effect steps, for long-term goals to be met. These identified conditions are laid out in a hierarchical, causal framework, not dissimilar to a 'logical framework'.

It is however important to recognise the distinct differences between a ToC and a logical framework, as shown in the diagrams in Figure 2. The differences can be summarised as follows:

Theory of Change	Logical framework
<ul style="list-style-type: none"> • Gives the big picture, and context that you can't control. • Shows all the different pathways that might lead to change, including feedback loops and non-linear relationships. • Describes <i>how</i> and <i>why</i> you think change happens – with explicit assumptions. • Is mainly used as a tool for participatory programme design. 	<ul style="list-style-type: none"> • Gives a detailed description of the programme or project. • Is linear – no feedback loops. • Includes risks and assumptions that are basic and implicit. • Is mainly used as a tool for planning activities and monitoring.

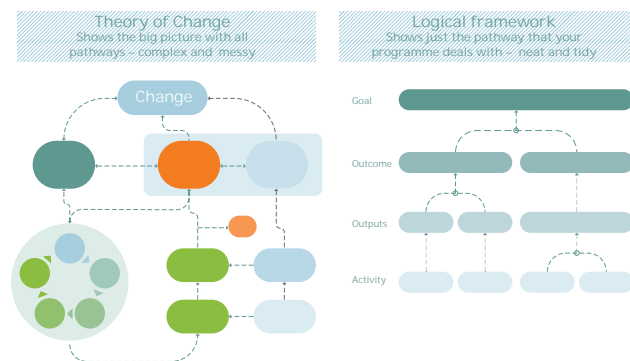


Figure 2: Diagrammatic difference between Theory of Change and Logical Framework (<https://www.slideshare.net/>)

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

Airing assumptions is one of the most valuable elements of ToC as a participatory process, as stakeholders get to hear and challenge one another's understanding of the goals, the challenges, and what must hold true in the environment for the initiative to succeed.

How does a Theory of Change work?

A ToC maps out the logical steps that are needed for an intervention to lead to a desired outcome and ultimately to a broader societal or ecological impact. In other words, a ToC describes a sequence of events that is expected to lead to a particular desired outcome. It helps map out the 'missing middle' between what an activity or intervention does and how this leads to desired outcomes and impacts (Centre for Theory of Change).

Figure 3 illustrates the basic elements of a ToC, with a logical flow from actions to long-term impact with associated assumptions.

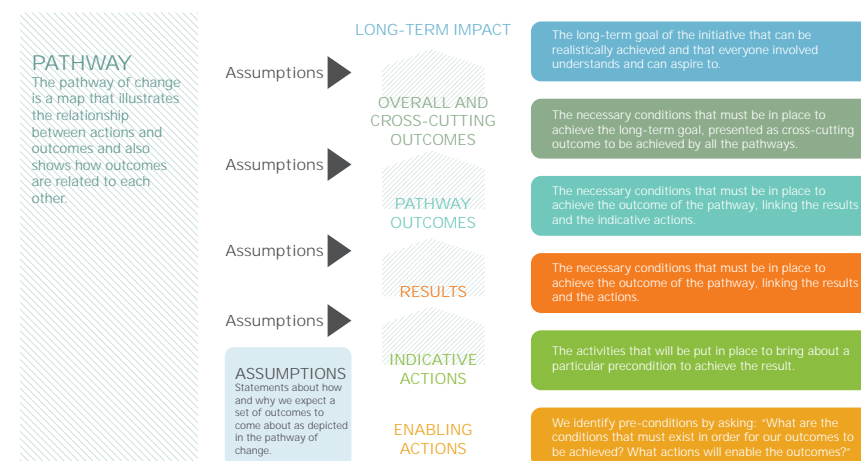


Figure 3: ToC outline and component description

Purpose of assumptions in a ToC

Assumptions make explicit the interpretations of how change might happen relevant to this context, hypothetical cause-effect links and the explanation of worldviews, beliefs, rationales, analytical perspectives and evidence that inform this analysis.

E.g. Focusing on a single activity, participants are encouraged to express statement of change as: "If we take X action, then Y change will result, because..."

(Vogel, 2012)

Section B:

FLoD Methodology

– an overview



This section provides an overview of the FLoD methodology and focuses on as the overall approach and then the outline of the methodology used in the field.

1. Approach

The FLoD approach to strengthening local community engagement in tackling high-value IWT based on Theory of Change is an iterative and adaptive process of action research and analysis aimed at providing in-depth understanding and information to better align interventions and increase community participation, thereby improving the success of anti-IWT initiatives. It draws from multi-stakeholder perspectives through a deep interrogation of the logic, assumptions and motivation of project designers, implementers and communities to bring out the voice of local communities living with and around wildlife in discussions about IWT.

As an adaptive approach, the process is designed to take place in different settings, and can be used in existing and new projects, and in conjunction with other approaches focusing on community involvement in wildlife management. It is well aligned to support policy makers, communities, donors, project designers and/or implementers and development practitioners, amongst others with improving project design, outcomes and interventions to combat IWT.

This structured and iterative approach to articulate and test assumptions of communities and implementers on ways to combat IWT underpins the FLoD methodology.

2. Outline of the FLoD methodology

The FLoD methodology is designed to articulate, contrast and compare assumptions, perceptions and logic flows of communities and project designers that are engaging with projects and interventions to combat IWT.

Using a Theory of Change framework, the FLoD methodology aims to make explicit and enhance all stakeholders' understanding of:

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

Informing the abovementioned, the following key aspects are relevant in outlining the FLoD methodology:

- Guiding principles
- FLoD baseline ToC and assumptions
- Outline of the FLoD process
- Potential users of FLoD
- Key roles in the FLoD process

In the sections to follow each of these aspects are discussed.

2.1 Guiding principles

The following guiding principles (broad statements that describe a desired way of working) informed by experience in implementing FLoD and international good governance and engagement practice (WPIC and CSSP, 2013) are at the core of the methodology:

- In order to ensure that communities are able to speak freely and the outcomes of the process are free from bias, it is important that the process is undertaken by a team that has broad subject expertise but is independent of both the designer and the community in the specific location.
- Strive to transfer ownership and accountability of the ToC to the players on the ground – both implementer / designer and the community.
- Encourage the use of adaptive management principles in the community's implementation of the subsequent interventions with their partners.
- Encourage broad involvement and seek representation from diverse stakeholder groups.
- Create relationships with stakeholders that are based on mutual learning, understanding, and desire to identify solutions that benefit all participants. Stakeholders must be treated with the deepest respect and consideration.
- Establish clear, transparent information and feedback processes. Transparency involves being candid and willing to acknowledge mistakes, misunderstandings and what is not known. Provide frequent feedback to stakeholders and iteratively validate and revalidate findings throughout the process.
- Create an environment where mutual respect is fostered and it is clearly communicated (verbally and non-verbally) that all participants' opinions matter.
- Create a relationship and environment with stakeholders where everyone can cooperatively share and learn from each other's experiences, expertise and information.
- For FLoD methodology to be successful, building strong collaborative relationships with stakeholders whose contributions are valued and respected must be at the centre of the work.

NOTE: The Guide is written with the assumption that an independent third party is leading the process. While it may not always be possible to have an independent team do so (as stated below), the methodology can still be applied, but it should be noted that an unknown bias may creep into the process, thereby making it difficult to have confidence that the true ToC at the community level has been articulated. Adhering to guiding principles could ensure that the integrity of the process is not compromised.

2.2 FLoD baseline ToC and assumptions

The FLoD baseline ToC is used as a starting point in the process to understand and articulate a project or intervention's logic and assumptions, helping to identify what is working as well as potential flaws in logic and design, hopefully leading to improved outcomes and impacts for people and wildlife.

The FLoD baseline ToC and assumptions provide the framework of the key concepts and their inter-relationship within the FLoD methodology. It shows the relationship between the desired outcome of decreased impact on species from illegal wildlife trade and the pathways informed by a set of assumptions.

Figure 4 illustrates the FLoD baseline ToC's different levels that show the sequencing of the components informed by the causal linkages between the actions on the ground and their long-term impact and how these are underpinned by enabling actions. It also provides a description of each of the components and the assumptions at each level.

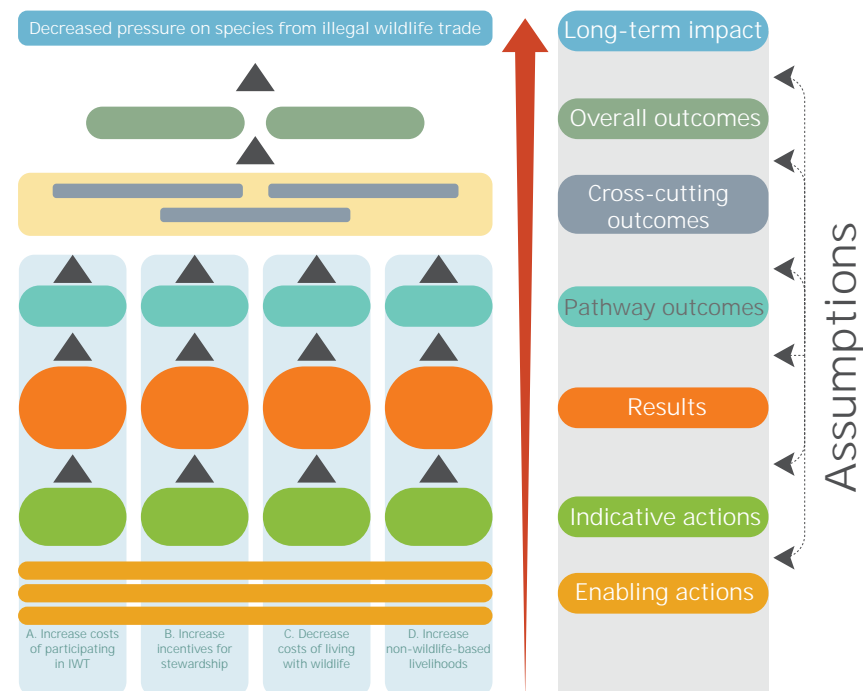


Figure 4: Diagram of the flow of the FLoD baseline ToC from level to level

The FLoD baseline ToC typically functions according to sequential logic (one delivering the next level – see red arrows) as seen in Figure 4:

Enabling Actions: These are identified by asking, “What actions will enable the outcomes?” For example, the FLoD baseline ToC identifies building community and institutional capacity to enable communities and institutions to participate in addressing IWT as one of the enabling actions.

Indicative Actions (*sometimes referred to as indicative interventions*): These are activities intended to achieve a specific result. For example, under Pathway C, an indicative activity could be to construct fencing to reduce incidents of human-wildlife conflict.

Results (*sometimes referred to as outputs*): The expected direct results of the indicative activities undertaken e.g. in the example above, reduced incidence of human-wildlife conflict.

Outcomes: These are generally measured through a change in behaviour. For example, there is decreased antagonism towards wildlife by community members.

The outcomes in the FLoD ToC, as presented in Figure 4, distinguish between different types of outcomes. These are:

- **Pathway outcomes** (*sometimes referred to as interim outcomes*): an interim outcome of the pathway, linking the results and the indicative actions; and
- **Primary outcomes** (*sometimes referred to as cross-cutting and overall outcomes*): presented as cross-cutting outcomes to be achieved collectively by all the pathways.

Impacts: Impacts are always about a change in state that can be measured, e.g. # animals, # of people no longer living in poverty. For example, reduced poaching by the community contributes to decreased IWT overall, which can be measured as the number of species “x” illegally killed declining.

Pathway: The FLoD ToC process⁴ hinges upon defining all of the necessary and sufficient conditions required to bring about a given long-term impact. ToC uses ‘backwards mapping’ requiring project designers to think in backwards steps from the desired long-term impact to the intermediate and then early-term changes that would be required to attain the desired change. This creates a set of connected outcomes known as a ‘pathway of change.’ A pathway of change graphically represents the change process as it is understood by the project designers and is the skeleton around which the other elements of the theory are developed.

Assumptions: During the process of creating the pathway of change, participants are required to articulate as many of their assumptions about the change process as they can so that they can be examined critically to determine if any key assumptions are not really supported or maybe even false.

IUCN SULI 2015 emphasises that the assumptions behind the logic of change are important in ToCs, and these assumptions should be made explicit (Vogel, 2012). Assumptions point to the circumstances under which an action may fail to lead to a desired outcome if the assumption does not hold up. For example, a project is initiated to allocate increased tourism revenue to local communities with the aim of reducing poaching and there is, among others, an implicit assumption that the increased revenue will reduce dependence on IWT as a source of income, and therefore reduce poaching. However, if this assumption does not hold, then poaching might continue e.g. because the revenue generating activity may not be sufficient to reduce dependence on IWT.

The FLoD baseline ToC shown in Figure 5 (also available in PowerPoint format from www.iucn.org/flod as Tool 1) is associated with a set of assumptions shown in Table 2, linked to each level of the baseline ToC (also available from www.iucn.org/flod as Tool 2).

How to interpret the FLoD baseline ToC (Figure 5)

- The flow of the diagram is from bottom to top – with Enabling Actions forming the foundation to allow for implementation of indicative actions, leading to results and pathway outcomes, and eventually the desired impact. This flow is underpinned by assumptions at each step, which are detailed in Table 2.
- Using Pathway A, for example, the assumptions are represented by little black arrows labelled A-I (assumptions for indicative actions), A-R (assumptions for results), A-P (assumptions for pathway outcomes).
- The flow diagram must be used in conjunction with the table outlining the assumptions.

The causal logic works as follows: If the Actions in the four green boxes are done, and the Assumptions behind A-I hold true, then the Results in the 2 orange boxes above it will be achieved – and so on.

In other words, if...., then.... as you move up the pathway from Actions to Outcomes and finally Long-Term Impact.

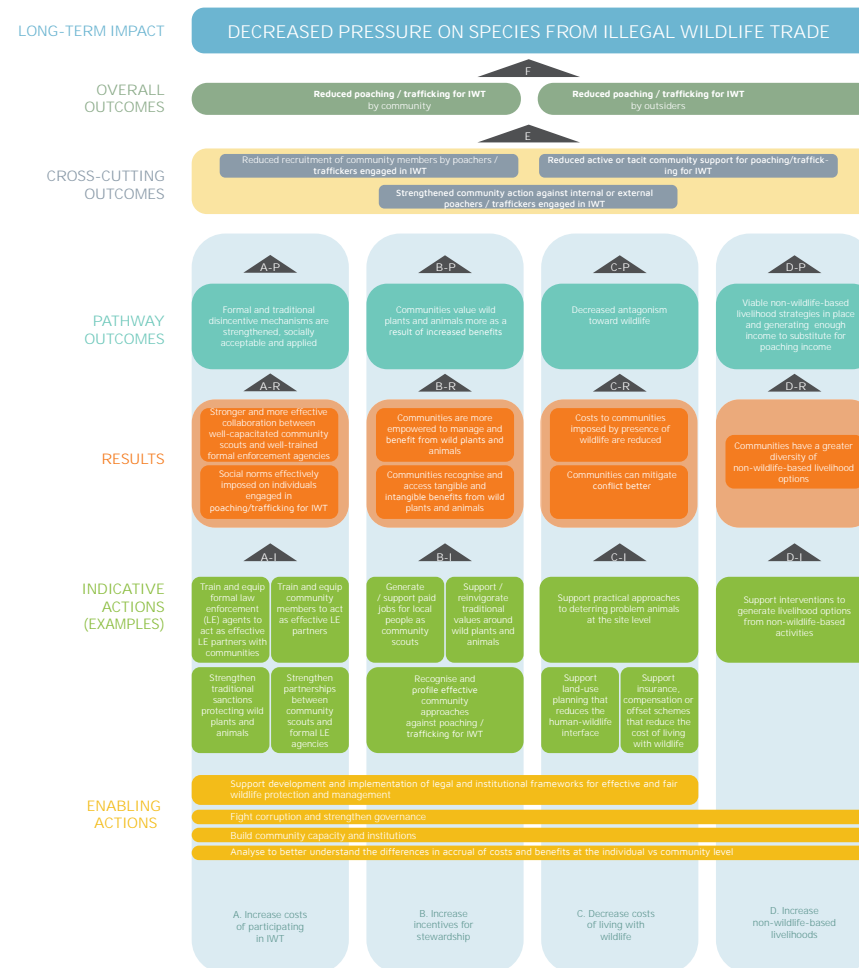


Figure 5: FLoD baseline ToC (Black arrows show assumptions at various levels – see Table 3 for details of assumptions)

⁴<https://www.theoryofchange.org/what-is-theory-of-change/how-does-theory-of-change-work/>

Table 3: FLoD baseline ToC assumptions (Code refers to Pathway (A-D) and level of assumption corresponding with Figure 5; colour-coding corresponds to previous Fig. 5)

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

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 underwrmrines 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.

PATHWAY C Decrease costs of living with wildlife		PATHWAY D Increase non-wildlife-based livelihoods	
Code	Assumptions	Code	Assumptions
C-I1	The full costs of living with wildlife are known and can be quantified.	D-I1	Adequate capacity exists to engage in non-wildlife-based livelihoods.
C-I2	Resources and tools are available to mitigate human-wildlife conflict (HWC).	D-I2	Adequate support is available to develop and maintain non-wildlife-based livelihoods.
C-I3	Approaches to mitigating HWC are effective.	D-I3	People that are (or could be) involved in IWT can obtain benefits from non-wildlife-based livelihoods.
C-I4	Official policies and strategies are effective in reducing the cost of living with wildlife.	D-I4	Non-wildlife-based benefits are not inequitably distributed due to elite capture.
C-R1	Communities with greater ability to mitigate HWC (resources, tools, policies) feel less antagonism towards wildlife.	D-I5	Inequitable distribution of non-wildlife-based benefits does not undermine support for wildlife stewardship.
C-R2	Reduced costs from HWC result in lower antagonism towards wildlife.	D-I6	Non-wildlife-based livelihood schemes do not generate perverse incentives — e.g. money earned is not reinvested in poaching or in other land uses that negatively affect conservation.
C-P1	Communities with decreased antagonism towards wildlife have a decreased incentive to directly or indirectly support IWT.	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.

Colour legend to be used with FLoD Baseline ToC

	Long-term impact (desired state)
	Overall and cross-cutting outcomes
	Pathway outcomes
	Pathway outcomes
	Examples of indicative actions informed by assumptions

2.3 Applying the FLoD methodology

It is often the case that the designer or implementer of a project may have a different mental model of how to best strengthen local community engagement to combat IWT than the community with whom they are engaging.

Using the baseline ToC as a starting point, the FLoD methodology allows for the articulation and interrogation of the project designers / implementers and the community's respective ToCs, and the comparing and contrasting of these to identify potential conflicts and areas for improvement.



In particular, the FLoD methodology allows the interrogation of the assumptions underpinning both the designer / implementer and community ToCs. This often provides key insights as to why a project may be failing or succeeding.

Figure 6 provides a diagram of how to apply the FLoD methodology.

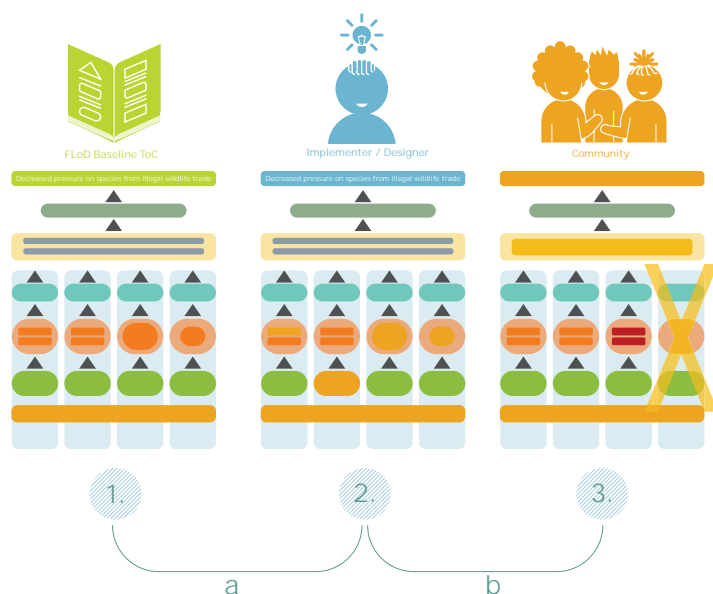


Figure 6: Broad outline of how the FLoD methodology is applied, showing how the respective ToCs are linked.

The FLoD methodology uses the baseline ToC (number 1), as a starting point. The baseline ToC provides a basis against which the implementer / designer can then develop their own ToC (number 2). The community ToC (number 3) is then developed by testing the community's own views and perceptions against those represented in the implementer / designer ToC.

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

- Between the implementer / designer and the baseline ToC; and
- Between the community ToC and the implementer / designer ToC.

The objective is to test the implementer / designer ToC against the community's own logic, assumptions and beliefs. The yellow shading illustrates how the ToC might change over time.

As Figure 7 demonstrates, at every step in each of the pathways, there is a series of assumptions (see Table 2). Yet project implementers / designers or communities rarely effectively query or articulate their assumptions about the project; in this sense they remain implicit rather than explicit.

The diagram shows where assumptions need to be questioned and understood – between each of the steps of the pathway. These pathways are used to interrogate the ideas and assumptions of both the implementer / designer and the community. Assumptions are at the foundation of why projects can go wrong and need to be consistently assessed as the respective ToCs are developed and implemented.

The FLoD methodology for existing projects follows a very clear process for testing assumptions and includes a number of practical and systematic tools for this. These are outlined in more detail in Section C.

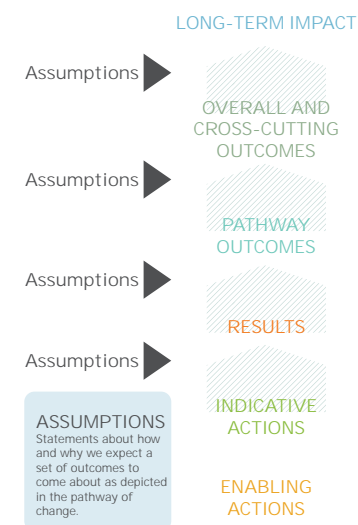


Figure 7: Assumptions between each step of the pathway

2.4 Key roles in the FLoD process

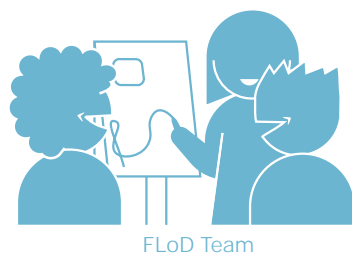
One of the factors that contributes to the success of any project is to have well-defined roles of each member or group of the project team, in order to clearly set expectations and understand responsibilities; FLoD is no exception. These roles may vary by project, but in general the roles will be very similar to those outlined in this section. Note that not all roles are used in all projects, and on some projects roles may be combined. The nature and extent of the key roles also inform costing when budgeting for the FLoD process.

In general, roles are the positions team members assume or are assigned – the part that each person / organisation / group plays in the process, while responsibilities are the specific tasks or duties that team members are expected to complete according to their roles.

FLoD facilitation team

The role of the facilitation team is to guide a multi-stakeholder action process. An independent facilitation team is unbiased and ensures that all perspectives are captured truthfully and correctly when working with communities, local stakeholders and project designers or implementers.

Gender balance: The facilitation team must have enough women to ensure a man and woman can work together conducting community meetings, as they will sometimes need to split the workshops into separate meetings for men and women.



For more information, see Tool 3: Facilitation guidance note – What is facilitation?

Who is on the facilitation team?

The FLoD facilitation team should consist of:

- FLoD lead facilitator
- FLoD facilitator who may also serve as a scribe
- Local liaison
- Local language interpreter

Every member should be:

- Willing and able to devote the necessary time
- Able to speak and read the language in which team meetings will be conducted, so there is no need for interpretation within the team; and
- Should be culturally sensitive and be able to function effectively in cultural- and language-diverse situations.

The team as a whole should have:

- At least one member who is experienced in FLoD or Theory of Change methodology linked to illegal wildlife trade using FLoD methods so that they can lead the facilitation and oversee the roll out of the FLoD methodology;
- Competency in dealing with conflict, with strong conceptual and evaluative abilities to guide a highly participatory process to resolution;
- Advanced community meeting facilitation skills;
- At least one team member with strong technical skills and experience in MS Excel, PowerPoint and Word or related computer programmes, to act as scribe in meetings; and
- A good knowledge of the illegal wildlife trade, conservation strategies and community activities linked to IWT.

Role Descriptions for facilitation team

FLoD lead facilitator

One of the facilitation team members should be designated as overall team leader (FLoD lead facilitator) who is responsible for the overall facilitation and efficient organisation of the FLoD process. If the team leader's

time availability is constrained, s/he can delegate some of his/her responsibilities to other team members.

This person should be highly competent in facilitation and experienced in a multi-stakeholder environment.

FLoD facilitator (multitasker)

One of the facilitation team members should be able to fulfil multiple roles, ranging from facilitator to scribe, particularly focusing on the use of the ToC tools. This person supports the lead facilitator and provides technical support in the process.

This person should have advanced computer skills (MS Word, Excel and PowerPoint) supported by strong facilitation skills.

Local liaison

This person fulfils the role of communicating and coordinating activities between the FLoD team and the local stakeholders, including the community that will be involved in developing the community ToC. It is recommended that this person come from the locality identified for the FLoD process, and is trusted and respected by the stakeholders.

This person should have significant local knowledge and understanding of the dynamics to enable the FLoD team to understand the context. This person can also support logistics and activities.

Local language interpreter

The context of FLoD happens in local communities where people speak an array of local languages. One of the key principles of success is the ability of all participants to participate freely and with ease in language that they understand. The role of the local language interpreter is critical in this process and needs to be oriented in the FLoD methodology to enable effective interpretation.

This person should be independent from the project implementer and the community, and be highly proficient in conveying information accurately from one language to another in the context of the FLoD process. S/he should also fully understand the FLoD methodology to ensure accurate translation throughout the process.

2.5 Methods and tools

The FLoD process uses a mixed-method approach, ranging from community fieldwork and meetings to focus groups, amongst others. It is supported by an array of tools, some of which have been customised for the FLoD process, i.e. the ToC development tools and participatory rural appraisal techniques used in the design of the community ToC. Details of these methods and tools are presented in Section C as part of the step-by-step implementation of the FLoD methodology.

Section C:

Step-by-step implementation guidance for existing projects



Undertaking a FLoD process for an existing project is usually the result of a need to address an issue, institute a change or an intervention to improve practices. This section provides step-by-step implementation guidance for the FLoD methodology in existing projects. Although presented as a sequential process, the practical situation may not always follow a strict sequence and may even require some of the described and planned activities to be carried out at the same time or to return to a previous step for reconsideration or clarification.

The section starts with an outline of the FLoD methodology for existing projects and presents a flow diagram depicting how the steps follow in sequence, with key activities in each step also presented. The outline is then presented in table format providing a summary of objectives, outputs, tasks and specific requirements associated with each step.

Following this, each step is presented in detail.

Please be sure to read the full guidance before embarking on implementing this methodology and refer to the glossary of key terms and concepts if needed.

Outline of the FLoD methodology for existing projects

The FLoD methodology contains seven steps, each containing certain activities, illustrated in Figure 8. An outline of each step and the activities involved is shown below.

Step 1: Screening and scoping

- 1.1 Define the locality-specific community;
- 1.2 Assess feasibility; and
- 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 Interview the implementers / designers;
- 3.2 Develop the Implementer / Designer ToC; and
- 3.3 Validate the Implementer / Designer ToC.

Step 4: Develop a Community ToC

- 4.1 Update the Community ToC development tool using the newly-validated Implementer / Designer ToC and assumptions;
- 4.2 Test the implementer / designer assumptions within the community, using focus groups;
- 4.3 Hold a whole-community meeting to present the consolidated results of focus group discussions; and
- 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 level and international levels. Produce and publish any guiding resources.

Step 7: Monitor and adapt

7.1 Locality-specific stakeholders continue to implement lessons learnt and monitor progress.

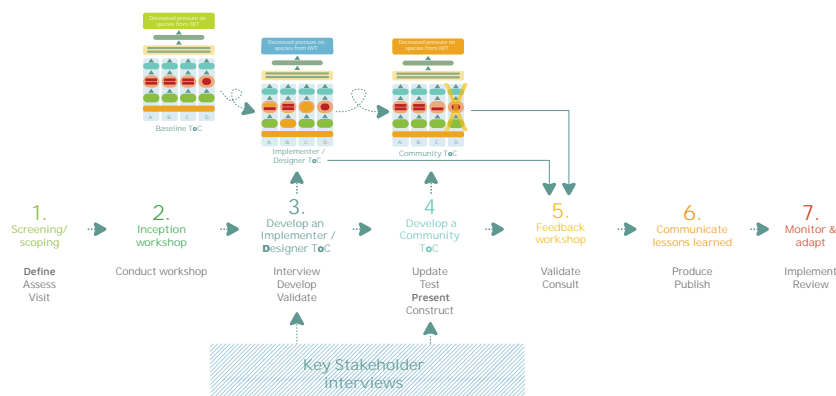


Figure 8: Steps and key activities in the FLoD methodology for existing projects

Table 4 provides an overview of the objectives, outputs, tools, equipment, personnel and time requirements for each step based on experience to date. The information in Table 4 should help to develop a full budget for implementing the FLoD methodology, once the detailed planning in Steps 1 and 2 are completed.

All the tools listed in Table 4 are shown in Annex 2 and can be downloaded digitally at www.iucn.org/flood



Table 4: Objectives, output and tools and the associated personnel, equipment and time required

Step	Objectives	Output	Tools ⁵
Step 1 Screening and scoping	<ul style="list-style-type: none"> 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 Agree on implementation details of rolling out FLoD methodology 	<ul style="list-style-type: none"> 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 FLoD implementation plan 	<ul style="list-style-type: none"> FLoD Tool 5 a/b Introductory Presentation (Long or Short) FLoD Tool 6 Workshop Agenda FLoD sampling approaches – Table 5 below FLoD Tool 4 feasibility assessment tool
Step 2 Inception workshop / meeting	<ul style="list-style-type: none"> Agree on implementation details of rolling out FLoD methodology Identify stakeholders for key informant interviews Agree on focus group breakdown 	<ul style="list-style-type: none"> FLoD implementation plan Stakeholder analysis Focus group breakdown 	<ul style="list-style-type: none"> FLoD Tool 5 a/b Introductory Presentation (Long or Short) FLoD Tool 6 Sample Agendas FLoD Tool 1 Baseline ToC FLoD Tool 7 Stakeholder analysis template
Step 3 Compare Implementer / Designer ToC with Baseline ToC	<ul style="list-style-type: none"> Construct validated Implementer / Designer ToC 	<ul style="list-style-type: none"> Validated Implementer / Designer ToC 	<ul style="list-style-type: none"> FLoD Tool 11a Interview Consent Form FLoD Tool 1 & 2 Baseline ToC & assumptions FLoD Tool 8 & 9 Implementer / Designer ToC Development Tool & Instruction FLoD Tool 5a/b Introductory Presentation

⁵Tools available here

Personal	Equipment	Time
<ul style="list-style-type: none"> At least two facilitation team members, one of whom should be an experienced facilitator Local language interpreter Local liaison 	<ul style="list-style-type: none"> Laptop, power, projector, flipcharts, markers, other facilitation materials 	<ul style="list-style-type: none"> Meetings with prospective implementers / designers: 1 day per implementer / designer Site visits: at least 1 day per site Travel time Follow-up time as needed to design project implementation
<ul style="list-style-type: none"> At least two core team members, one of whom should be an experienced facilitator 	<ul style="list-style-type: none"> Venue of suitable size Laptop, power, projector, flipcharts, markers, other facilitation materials 	<ul style="list-style-type: none"> Preparatory time as needed Workshop / meeting: 2 days
<ul style="list-style-type: none"> At least two core team members 	<ul style="list-style-type: none"> Laptop, power, quiet room without disturbances, projector, props as suggested 	<ul style="list-style-type: none"> Interview: 1 day per implementer / designer Construct Implementer / Designer ToC: 1 day per implementer / designer Validate Implementer / Designer ToC: 1 day per designer

Step	Objectives	Output	Tools ⁵
Step 4 Community fieldwork	<ul style="list-style-type: none"> Test Implementer / Designer ToC with the community Construct the Community ToC 	<ul style="list-style-type: none"> Community ToC 	<ul style="list-style-type: none"> FLoD Tool 5a/b Introductory Presentation Short FLoD Tool 11b Focus Group Consent Form FLoD Tool 1 & 2 Baseline ToC & assumptions Implementer / Designer ToC (from Step 3) FLoD Tool 10a & 10b Community ToC development tool & instruction FLoD Tool 6 Sample Agendas
Step 5 Feedback workshop	<ul style="list-style-type: none"> Validate Community ToC Compare Implementer / Designer and Community ToC and identify areas of divergence Collaborate on ways forward. 	<ul style="list-style-type: none"> Validated community ToC Identification of key areas of difference and similarity between Implementer / Designer and Community ToC 	<ul style="list-style-type: none"> FLoD Tool 6 Sample Agendas FLoD Tool 5a/b Introductory Presentation (Long or short) FLoD Tool 11a interview consent form FLoD Tool 1 & 2 Baseline ToC & assumptions FLoD Tool Implementer / Designer ToC (from step 3) FLoD Tool 10 Community ToC development tool
Step 6 Communicate lessons learned	<ul style="list-style-type: none"> Consolidating information around lessons learned Sharing recommendations for further action Communicating findings and needs to stakeholders at various scales Influence national policy Contribute to influencing international policy 	<ul style="list-style-type: none"> Provide a resource for the community and implementers / designers based on their communications objectives (various options) 	
Step 7 Monitor and adapt	<ul style="list-style-type: none"> Improve current interventions based on lessons learned Iterative learning process to adapt to changing circumstances over time 	<ul style="list-style-type: none"> Interventions are better aligned with community beliefs and perspectives Interventions enjoy stronger community support and participation 	

Personal	Equipment	Time
<ul style="list-style-type: none"> At least two core team members (at least one of which is a trained facilitator) Independent local language interpreter Second interpreter (to work alongside the record keeper) Local liaison 	<ul style="list-style-type: none"> Laptop, power, extension cables, printer, projector, room that can be made dark or dark cloth to cover windows, flipcharts and markers, props as suggested. 	<ul style="list-style-type: none"> Prepare tools and interpretation: 1-2 days Focus groups: 1 day per focus group (recommend a break day if more than 2 focus groups) Consolidation in advance of the whole-community meeting: 1 day Whole-community meeting: 1 day Travel time Construct Community ToC: 2 days
<ul style="list-style-type: none"> At least two core team members, although three is preferred. Local language interpreter 	<ul style="list-style-type: none"> Laptop, power, projector, facilitation material suggested. 	<ul style="list-style-type: none"> Preparation: 2 days Feedback meeting: 2 days Follow up: 1-2 days
<ul style="list-style-type: none"> Entire facilitation team should participate 	<ul style="list-style-type: none"> No equipment needed 	<ul style="list-style-type: none"> It will depend on the medium to be used to distribute the lessons
<ul style="list-style-type: none"> Implementers / designers and communities 	<ul style="list-style-type: none"> No equipment needed 	<ul style="list-style-type: none"> Ongoing

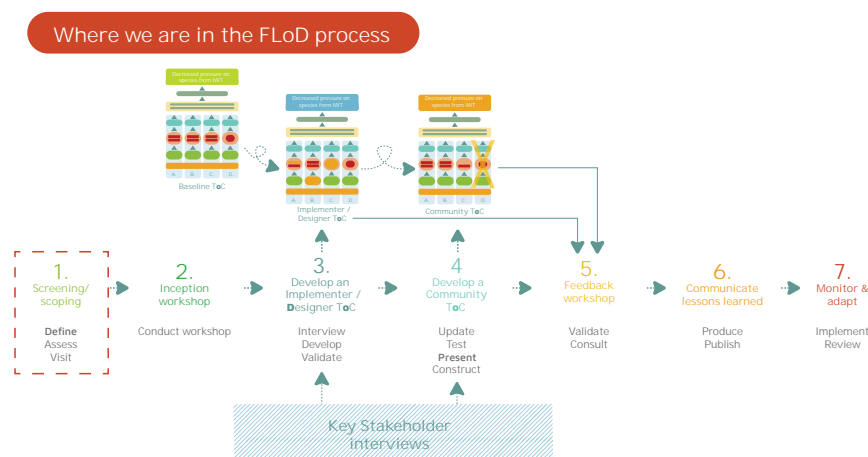
Step 1: Screening and scoping

Screening and scoping is undertaken to determine the nature and extent of the envisaged process and to confirm the feasibility of actually undertaking the process.

Objectives

The objectives of the screening and scoping are to:

- Identify and describe both 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 of rolling out FLoD methodology.



Methods and tools to be used

Methods	Tools
Meetings with the prospective implementers / designers;	<ul style="list-style-type: none"> • FLoD Introductory Presentation (Long or Short) (Tool 5a/b) • FLoD Workshop Agenda (Tool 6)
Sampling to define the locality	<ul style="list-style-type: none"> • FLoD sampling approaches (Table 5 in this document)
Feasibility analysis for the process and the locality	<ul style="list-style-type: none"> • FLoD feasibility assessment tool (Tool 4)
Scoping visit and community scoping meeting.	<ul style="list-style-type: none"> • FLoD Introductory Presentation (Long or Short) (Tool 5a/b) • FLoD workshop agenda – scoping meeting (Tool 6) • FLoD assessment tool (Tool 4)

Outputs

At the end of Step 1, you will have the following outputs:

- Understanding of the 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 outlining the main stakeholders and steps in the process.

Resources required

Resource	Required
Personnel	<ul style="list-style-type: none"> • At least two facilitation team members, one of whom should be an experienced facilitator • Local language interpreter • Local liaison
Materials	<ul style="list-style-type: none"> • Laptop, power, projector, flipcharts, markers, other facilitation materials
Time	<ul style="list-style-type: none"> • Meetings with prospective implementers / designers: 1 day per implementer / designer • Site visits: at least 1 day per site • Travel time • Follow-up time as needed to design project implementation

Tasks

Step 1 is based on three linked tasks with the purpose of developing an understanding of the context and the parameters of the process. These tasks are:

Task 1: Define the locality for implementation;

Task 2: Assess feasibility; and

Task 3: Undertake a scoping visit.

These tasks are closely interlinked and may happen in parallel and feed back into each other, depending on the specific situation.

1.1 Task 1: Define the locality for implementation

Defining the target community or the locality for implementation is a critical first step. The definition you use will depend on how 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, and be realistic and pragmatic.

It is important to be able to screen the area, not only geographically or topographically, but also administratively, institutionally, culturally and socially. Some communities will be self-defined and at a minimum, a community map should show the lowest level of local administrative / community unit. This will enable the use of sampling as a method to achieve representation in more complex situations. Initial mapping of the locality could also include mapping known IWT features within the context of implementing

the FLoD methodology. Outputs from this process can also be utilised during the scoping visit and confirmed at the inception meeting.

Objective: Familiarise partners with the methodology and identify the locality for implementing the FLoD methodology.

Time: At least a day – to be guided by available information.

Who facilitates? FLoD lead facilitator or the implementer / designer.

Who participates? FLoD facilitation team, ensuring one of the facilitation team members can be the scribe at meetings. Key local and/or regional stakeholders who may have existing information and maps of the prospective area to be used.

Activities:

1. Set up meeting/s with the implementer / designer to explain the FLoD methodology and start identifying and gathering contextual information about the potential locality in which the FLoD methodology could be implemented. In the meeting/s with the implementer / designer, discuss the following:
 - Their expectations of the FLoD process;
 - Existing information and data regarding wildlife issues linked to the potential locality;
 - Use any existing maps in understanding the landscape and the sampling to be done.
2. If maps do not exist, producing one should be an extra activity, and cost implications should be considered. This map could be generated throughout the process using Participatory Rural Appraisal (PRA) techniques, such as social mapping if GPS-based maps are not available.
3. In instances where the community is large and dispersed you may have to use sampling techniques to try and get a representative information from stakeholders, even during this first screening and scoping step. The same sampling methods may then be applied in later steps during the implementation of the FLoD methodology. Table 5 outlines sampling approaches and practical steps to take that may be useful. Consider the parameters in which you are working. This could be:
 - An existing management unit, such as a conservancy;
 - A set of villages with specific shared characteristics and in a specific location;
 - The local community for a project being designed; and
 - A conservancy being established.

This Guide is based on experiences in relatively small, homogenous and well-defined communities. Testing is being undertaken in other contexts.

Table 5: Sampling approaches⁴ (Source: Franks & Small, 2016)

Sampling approaches	Strengths / limitations
<p>Method 1: Cluster sampling – random</p> <p>Divide the overall area into 2–6 zones (e.g. based on the selection of the communities for the community workshop).</p> <p>Within each zone, randomly select X communities. Then, within each community randomly select 5 households.</p> <p>X will be determined by the number of zones and the total sample size that you want. For example, with 3 zones and a total sample of 180 households (60 households per zone) you would select 12 communities and interview 5 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, use methods 3 or 4.</p>
<p>Method 2: Cluster sampling – semi-random</p> <p>As #1 above, but if household lists are not available, choose the households to be interviewed within the selected communities while you are doing the survey.</p> <p>You must try to ensure a representative sample, especially with respect to household wellbeing — in other words, interview a mix of wealthier people with better quality houses and poorer people with poorer quality houses.</p>	<p>This approach will probably 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 villages.</p>
<p>Method 3: Cluster sampling – non-random</p> <p>As #2 above, but the X communities to be surveyed are deliberately selected taking account of ease of access but at the same time trying to avoid bias by ensuring that sampled villages provide a representative picture of the situation in the zone.</p> <p>Within each community, if a household list exists, randomly select 5 households. If not, as in #2, enumerators must select households trying to ensure a representative sample.</p>	<p>This approach has even more risk of bias but can still be acceptable providing the target communities are carefully selected to capture, as well as possible, the full range of situations across the area with respect to PA/CA-related social impacts — in other words, taking account of different types of social impact and distance from the PA/CA boundary, which may determine the extent to which people experience these impacts.</p>

⁴See Newing, et al (2011) for further explanation

Method 4: Quadrat sampling

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 that is located within the quadrat using a GPS to find the boundaries of the quadrat on the ground.

Where there are no household lists, this method can be a very practical alternative but is only suitable in relatively flat land where you know in advance that all communities and households are easily accessible.

This method requires that you have a good community map showing PA/CA boundaries, the boundaries of any communities within the PA/CA and the boundaries of all communities around the PA/CA that are to be included in the assessment.

Method 5: 100% sample

In cases where there are fewer than 100 households living within the community / communities that are to be included in the assessment, the survey should aim to include every household.

1.2 Task 2 – Assess feasibility

Before you start implementing the FLoD methodology – and after identifying both the implementer / designer and the community – it is critical to assess whether the FLoD methodology will be appropriate and practical in that particular setting and context. This is discussed here as Task 2.

FLoD as a multi-stakeholder process requires certain conditions to allow for the process to be effective, fair and constructive. After identifying a prospective locality and the relevant key stakeholders as in Task 1 (Section C 1.1), it is important to assess whether it is feasible and appropriate to use the FLoD methodology within the prospective locality. This is done as an internal FLoD process where the facilitation team meets with the implementer / designer.

Experience has shown that you will need to meet a number of site- and process-based criteria for FLoD to be both feasible and useful. It is important to carefully assess these criteria before undertaking a scoping visit. The FLoD methodology is designed to be applicable in many different contexts. However, the feasibility assessment criteria are very specific and focus on the prospective site or locality and the process.

Objective: To determine whether FLoD is an appropriate methodology by assessing specific site-based and process-based criteria.

Time: At least half a day – to be guided by the information available.

Who facilitates? FLoD lead facilitator and/or the implementer / designer.

Who participates? FLoD team, implementer / designer and certain key stakeholders if required.

Output: Completed feasibility assessment.

Activities: Assess the feasibility of undertaking FLoD using the site-based and process-based criteria summarised in Table 7. More explanatory details regarding the criteria are included in the FLoD feasibility assessment tool (FLoD Tool 4).

Table 6: Summary of criteria for FLoD feasibility assessment

Site-based criteria	
✓	Site is clearly defined (area, community, implementer / designer)
✓	The community has a role in facilitating or combatting IWT
✓	The site is secure enough to undertake fieldwork
✓	It is logistically possible for the core team to move around and for key stakeholder group representatives to come together
✓	The 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
Process-based criteria	
✓	Conditions allow the introduction of an impartial individual, team or institution to implement the FLoD methodology
✓	Implementers / designers, key stakeholders, and community members are willing to engage with the core team to participate in the FLoD methodology
✓	Implementers / designers and communities are willing to articulate ToCs
✓	Implementers / designers are willing to adapt interventions based on lessons emerging from the process
✓	The potential risk of creating conflict with and/or between stakeholders by implementing the methodology is manageable
✓	A skilled local language interpreter is available, independent from the community, local partners or project designers
✓	A long-term partner is in place that is willing and able to implement any findings and recommendations from the full FLoD process
✓	There are adequate financial resources to implement the full methodology

1.3 Task 3 – Undertake scoping visit

Once you have screened a site or sites using the criteria outlined above and implementation of the FLoD methodology is considered feasible, it is important to conduct a scoping visit to the site and the community to further confirm the feasibility of implementing the FLoD methodology. This will help you to verify that the FLoD methodology is indeed appropriate for the specific site/s. The implementer / designer may participate in an initial visit by the facilitation team to the locality for implementation (handling logistics, making introductions, helping identify representatives in the communities being visited and met with) but should not participate in the scoping meetings with the communities.

The facilitation team should be accompanied during the scoping visit by a person with a deep local knowledge and ability to answer questions around the community, the area and the poaching challenges.

Objective: To obtain contextual information about the community and any wildlife-livelihoods issues, and to determine whether the community is willing to engage in the FLoD methodology.

Time: The length of your visit will depend on the number of communities you are scoping. You will need a minimum of one full day in each community you visit. Travel time is additional to these allocations.

Who facilitates? FLoD lead facilitator, an experienced, highly-adaptive and time-sensitive facilitator.

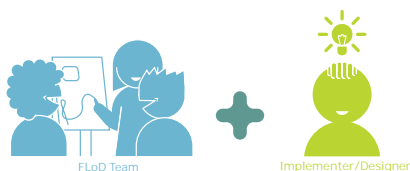
Who participates?

- One of the core FLoD team members to record the discussions.
- The local liaison to coordinate the scoping meeting/s.
- You may also need a local language interpreter.

Activities:

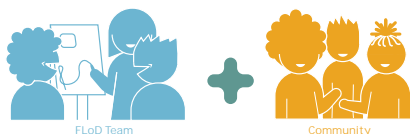
Community scoping meeting

The purpose of the community scoping meeting extends beyond the FLoD team gaining contextual understanding of the community. It is also about determining whether the community is willing to engage with the FLoD process. This is done by gently introducing the community to the FLoD ToC throughout the scoping meeting. While the implementer / designer may help to arrange the community scoping meetings, they would not participate in the meeting itself. The community scoping visit can be arranged through and with the local liaison as the person with local knowledge and access to community representatives. One full day will be required for the scoping meeting, or split over two days, if possible.



You may use the FLoD sample workshop agenda (see FLoD Tool 6) and focus the community scoping meeting on:

- Explaining the FLoD methodology and purpose of scoping mission: Use the FLoD Introductory Presentation Long (see FLoD tool 5a) or a modified version, if needed, to assist with an open facilitated session with the help of the local liaison;



- Initiating an informal but structured interactive discussion with the assembled community group on species in trade or use, listing the characteristics of natural resource products (both plants and animals) that are traded in the area on a flipchart (this could also be a useful ice-breaker). As every locality is different it is important to learn what species are in trade or in use in the context of the area where the process will take place. Table 7 provides a sample outline that could be used to obtain the intended output as an initial assessment. The exercise helps to ease the group into open discussions about the situation of use, and potentially illegal wildlife trade, in their area.

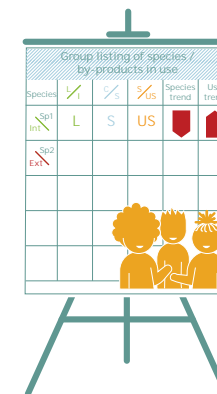


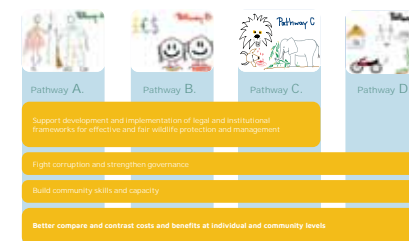
Table 7: Example outline for interactive session on species in use

Natural resource in use	Increasing / Decreasing	Legal / Illegal	Commercial / Subsistence	Sustainable / Unsustainable	Internal use / External use
Elephant ivory					
Rhino horn					
Pangolin scales					
Sandalwood					
Shark fins					
Devil's claw					

- Introducing and exploring the four pathways of ToC

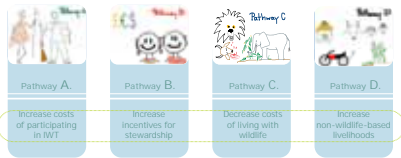
Please refer to the FLoD online learning series #3⁷ for more in-depth understanding of the relevance of discussing the enabling actions and pathways as part of the community scoping visit.

The introduction to the FLoD ToC starts by a brief *exploration of the enabling actions*, as these actions are not particular to one pathway but rather underpin the whole ToC. Discuss each enabling action by framing it as an open question for discussion with the group to gain understanding of their context. Example: The first enabling action focuses on the legal and institutional framework for effective wildlife protection and management. It is important to discuss and ascertain whether appropriate institutions and legal frameworks are in place. This understanding and context of the enabling actions will influence the development of the pathways.



⁷FLoD online learning series available at www.iucn.org/flod

The process continues by *introducing the four pathways*. The FLoD facilitation team will introduce and ‘walk’ the community through each of the pathways and then facilitate a discussion around types of intervention for each pathway in the project area. The actual situation in the locality could be used to inform the discussions.



- Undertaking a simple pathway weighting exercise to assess the community's initial perceptions of the relative importance of each pathway:

Informally Ranking the Four Pathways

Group	A	B	C	D
1	3	4	2	1
2	1	5	1	3
3				
4				
Total				

- Set up breakaway groups to discuss the question: “What do we think are the most important pathway/s to reduce IWT?” Ask the group to ‘vote’ on the most important pathway(s) in their view.
- Use simple ranking techniques appropriate to the community context, for example by giving them 10 points to divide amongst the pathways.
- Allow sufficient time for discussion and debate as the aim of the exercise is to generate discussion and exploration of each of the pathways.
- Breakaway groups provide their allocation and feedback into the larger group.

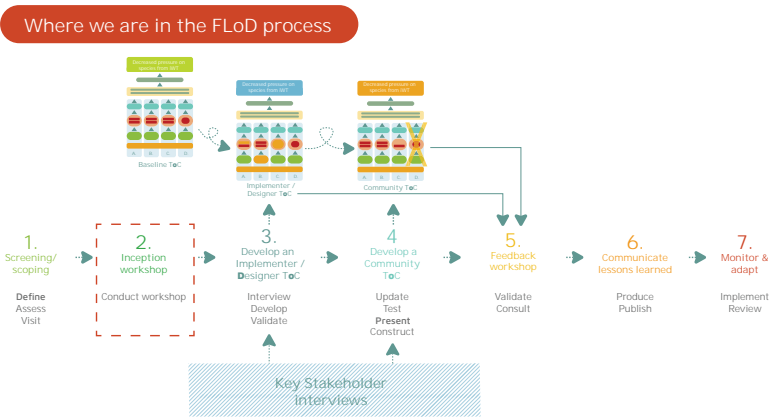
It might be useful to revisit this initial exercise later, to compare participants’ initial thoughts with later results.

Outcomes and outputs from the community scoping meeting

- Documentation and reporting: Write up the proceedings from Step 1 in a basic Screening and Scoping report that documents the discussions and captures the lessons learned. This report could also serve as a repository for information collected in discussion and meetings.
- The outcomes from the scoping meeting with the community will lead to a ‘go/no go’ decision to continue with the FLoD roll out, influenced by the receptiveness of the community to the FLoD process.
- Information from the scoping meeting can also further inform the feasibility assessment and then the inception meeting.
- Use the scoping meeting to identify community representatives to attend the inception workshop. While entirely dependent on the context and objectives of the project, you should at least endeavour to establish representation from both genders and across age groups. Potentially also consider diversity in terms of tribal affiliation and economic/livelihood activities.

Step 2: Inception workshop

Once you have determined it is appropriate and feasible to undertake the FLoD methodology in the proposed local area, you should conduct the inception workshop with relevant partners. The purpose of the inception workshop is to ensure that all the role players and participants in the implementation of the FLoD methodology have a mutual understanding of not only the methodology but also the way forward.



Objectives

The objective of the inception workshop is to:

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

Methods and tools to be used

Methods	Tools	Annex
Inception workshop	<ul style="list-style-type: none">• FLoD Introductory Presentation (Long or Short)• FLoD workshop agenda – inception	
Group work	<ul style="list-style-type: none">• FLoD baseline ToC• FLoD stakeholder analysis template	

Resources required

Resource	Required
Personnel	<ul style="list-style-type: none">• At least two core team members, one of whom should be an experienced facilitator• Local language interpreter• Local liaison
Materials	<ul style="list-style-type: none">• Laptop, power, projector, flipcharts, markers, other facilitation materials• Venue of suitable size
Time	<ul style="list-style-type: none">• Workshop: two days, plus preparatory time as needed

Tasks

Step 2 consists of just one task:

Task 1: Conduct an inception workshop.

2.1 Task 1 – Conduct an inception workshop

The inception workshop is a very important part of the process. It provides opportunity to share information, obtain mutual understanding and reach agreement on how the process should be conducted.

Objective of the workshop: To agree on the FLoD implementation plan, including logistical details, the identification of key stakeholders and the breakdown of the focus groups.

Time: Two full days, with preparation time before and reporting and documentation time after the workshop.

Who facilitates? FLoD lead facilitator, an experienced, highly-adaptive and time-sensitive facilitator.

Who participates?

- Facilitation team members
- Implementers / designers
- Local liaison person(s)
- Community representatives
- Any other stakeholders that may be relevant for other components of the project (e.g. policy influencing).

Activities:

Conducting the inception workshop

The purpose of the inception workshop is to agree on the implementation plan for the FLoD methodology in this locality. Although mainly a critical logistical exercise, it is important to be sensitive to local cultural and social protocols.



The workshop can be arranged through and with the local liaison as the person with local knowledge and access to community representatives. At least one full day will be required for the inception workshop.

You may use the FLoD sample inception workshop agenda (see FLoD tool 6) and adapt for local context. This will guide you to facilitate and discuss the following:

- Purpose of the meeting: Explain that the output is a jointly agreed implementation plan for the application of the FLoD methodology and the various agenda items for the meeting aim to ensure that everybody has a clear and common understanding of what is expected in rolling out the FLoD methodology.
- Brief overview of the FLoD methodology: Give a brief overview of the FLoD methodology (use FLoD Introductory Presentation Long or Short and adapt for audience – FLoD tool 5a or 5b). Respond to lingering questions and capture new thoughts or important aspects of the local context.
- Introduction of the locality for implementation and its current context: Allow local partners and participants to introduce the local context. Listen 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-wildlife-based livelihood

activities, community-private sector revenue-sharing agreements, recent wildlife surveys. Use available maps to enrich the process.

- Breakdown of the focus groups: Agree on the breakdown of the community focus groups – these are entirely dependent on the context and objectives of the project, but should at least differentiate between genders and age groups. This feeds into Step 4, Task 2.
- Fieldwork approach and logistical requirements:
 - Ensure everyone has a common understanding of each step of the FLoD methodology and agree on the fieldwork approach – including personnel, time and resource requirements. Adjust the methodology if needed.
 - Identify language needs and possible interpreters.
 - Agree on logistics and timing for implementing each step of the methodology.
- Stakeholder analysis: The purpose for the stakeholder analysis is to identify additional key stakeholders (beyond the implementer / designer and the already present community members) that should be interviewed *during the FLoD roll out* (on-the-ground implementation of the FLoD methodology).
 - Identify key people who have knowledge of, authority in or influence over the IWT context and situation as linked to the process.
 - The people identified as additional key stakeholders may come from different geographical areas or spheres that could be local, regional and/or national.
 - The FLoD stakeholder analysis characterises the knowledge, authority and influence of each stakeholder (individual / group / organisation) in four categories – which are the pathways of the FLoD baseline ToC.
 - Use the Stakeholder Analysis Tool presented in Table 8 (see also FLoD Tool 7) to identify key stakeholders and capture their practical information as well as their particular potential contribution and insights linked to the ToC pathways as marked..
 - The FLoD team may interview these additional key stakeholders at appropriate and relevant times throughout the duration of the FLoD roll out, to triangulate and cross-check information.
- Documentation and reporting: Write up the proceedings from Step 2 in a basic inception workshop report that documents the discussions and captures the lessons learned. This report could also serve as a repository for information collected in discussion and meetings.

Table 8: Stakeholder Analysis Tool

Scale	Stakeholder information				For each stakeholder, mark whether they have knowledge (K), authority (A) or influence (I) on each category				
	Notes	Contact name	Email/phone	Interview location	Background, context, data	Pathway A	Pathway B	Pathway C	Pathway D
National									
Regional									
Local									

Key stakeholder interviews

Key stakeholder 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 stakeholder interviews should focus on the assumptions that underlie the logic of each pathway. It is not a linear process (i.e. a sequential step at the end of a particular step), rather an iterative process to cross-check issues that stand out or come to light during the implementer / designer ToC or the community ToC, to allow for more textured understanding of the context.

The key stakeholder interviews support the in-depth interrogation of assumptions and provides additional information on contextual issues. They also help to build confidence in the process and provide insight to the FLoD team, i.e. that either they have it right, or wrong and how to navigate the differences in perspective that have surfaced along the way.

What do you need?

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

Who should you interview?

The stakeholder analysis carried out during the inception workshop should provide you with as comprehensive a list of key interviewees as possible; i.e. individuals with knowledge, influence and/or authority over any or all of the four pathways of the ToC. Depending on the time you have available for fieldwork, you may have to prioritise the stakeholders to be interviewed. Work with the local liaison and community members to understand which pathway(s) key stakeholders 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. The team should revisit and reflect on the outcomes of these interviews in a regular, planned manner.

How to undertake the interview?

Use the FLoD baseline ToC and assumptions as a basis for the interview – the format will be a semi-structured interview, guided by the type of stakeholder (knowledge, influence and/or authority) being interviewed. You should adapt this process and use the Implementer / Designer ToC and assumption and/or the Community ToC, depending on where you are in the roll out process. At the beginning of the interview, present the interview consent form to the interviewee and request their permission to be interviewed; you may use FLoD tool 11a: Interview consent form.

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 their familiarity 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 on to the detailed pathway-level questions, turning the assumption and outcomes statements in Table 2 into questions for the interview. Focus on the pathways that reflect the key informant's particular area of knowledge, influence or authority. In practical terms, not all assumption and outcome statements need to be asked. The interview process can be guided by issues that stand out, e.g. differences with

regard to statements of Implementer / Designer or the Community, differences between community focus groups and information discussed.

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 (disincentive activities contributing to IWT).

Many key stakeholders 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.

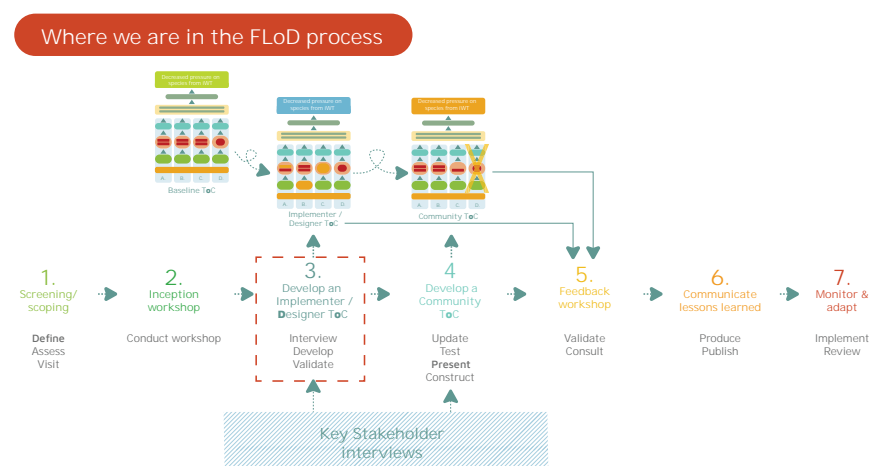


Step 3: Develop Implementer / Designer ToC

Step 3 outlines the process to develop the ToC of the project implementer or designer, referred to throughout this document as the Implementer / Designer ToC. In most projects that are focused on combatting IWT in partnership with communities, there is usually an institution or an individual who could be considered the project implementer / designer.

If the project has been conceived and implemented entirely by the community, without third party involvement, then it is possible to move directly to Step 4.

The FLoD methodology uses the baseline ToC (#1), as a starting point. The baseline ToC provides a basis against which the implementer / designer can then develop their own ToC (#2) – Step 3 – guided by the FLoD facilitation team.



Throughout Step 3 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 around project interventions and implementation.

This allows the FLoD facilitation team to compare between the FLoD baseline ToC and assumptions and the Implementer / Designer ToC (as shown in Figure 9). This comparison is critical and should expose any major contradictions or killer assumptions that may be hampering the success of the project.

Objective

The objective of Step 3 is to construct a validated Implementer / Designer ToC.

Methods and tools to be used

Methods	Tools
Key informant interview	<ul style="list-style-type: none"> FLoD Introductory Presentation (Long or Short) (Tool 5a/b) FLoD interviewee consent form (Tool 11a)
Developing the Implementer / Designer ToC	<ul style="list-style-type: none"> FLoD baseline ToC and assumptions (Tool 1 & 2) FLoD Implementer / Designer ToC development tool (Tool 8) FLoD Implementer / Designer ToC development tool – instruction sheet (Tool 9)
Meeting to validate ToC	

Output

At the end of Step 3, your output should be a validated Implementer / Designer ToC.

Resources required

Resource	Required
Personnel	<ul style="list-style-type: none"> Two facilitation team members
Materials	<ul style="list-style-type: none"> Laptop, power, quiet room without disturbances, projector, props as suggested
Time	<ul style="list-style-type: none"> Interview: one day per implementer / designer Construct Implementer / Designer ToC: one day per implementer / designer Validate Implementer / Designer ToC: one day per implementer / designer

Who needs to be involved?

You will need two facilitation team members – one to ask the questions and facilitate the conversation, the other to record the answers in an Excel spreadsheet. After the interview, they need to work together to construct and validate the Implementer / Designer ToC.

Who should you interview?

The first step is to conduct an interview with the project designer, using the Implementer / Designer ToC development tool. 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 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 the implementers / designers. The goal here is not to produce a single, unified ToC, but to find and articulate any key differences.

Documentation

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

Key stakeholder interviews

During the inception workshop, key stakeholder identification and analysis took place; these key stakeholder interviews are part of the overall roll out process to be undertaken to inform the outcome of each step. Please refer to Step 2 for details regarding the key stakeholder interviews.

How to use the Implementer / Designer ToC development tool

This section provides a step-by-step process on how to use the Implementer / Designer ToC development tool – FLoD Tool 8.

1. Download the latest digital version of the FLoD Implementer / Designer ToC development tool (FLoD Tool 8) from www.iucn.org.flood (see screenshot in Figure 10). The foundation of this document is the FLoD baseline ToC against which you are going to develop the Implementer / Designer ToC.

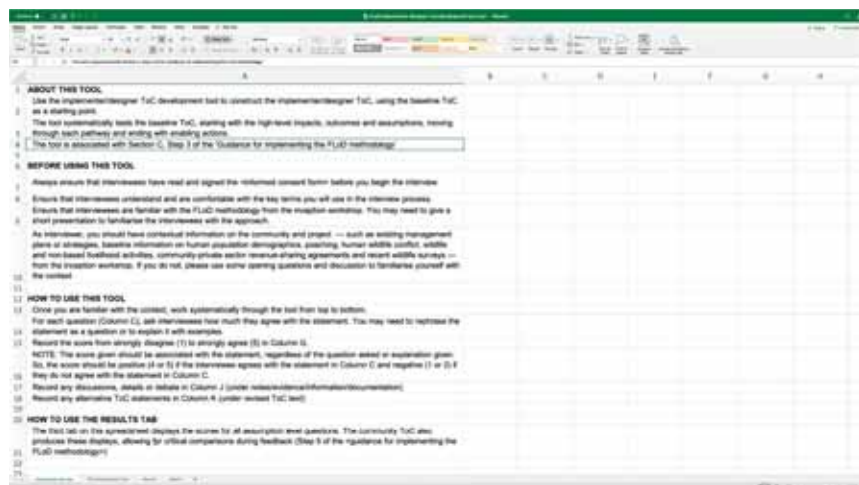


Figure 9: Screenshot of the FLoD Implementer / Designer ToC development tool

2. When opening the Excel spreadsheet, you will see several tabs. The first tab (see red arrow in Figure 10) 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 FLoD baseline ToC based on the inception workshop discussions.

3. For easier reference, this instruction sheet has been copied into Microsoft Word (FLoD tool 9) and can be printed out as a reference document when interviewing the implementer / designer.

4. You are now ready to interview the implementer / designer. This process is explained in the Tasks – Sections 3.1, 3.2 and 3.3 to follow.

Tasks

Step 3 has three tasks as shown in the illustrative process diagram in Figure 11:

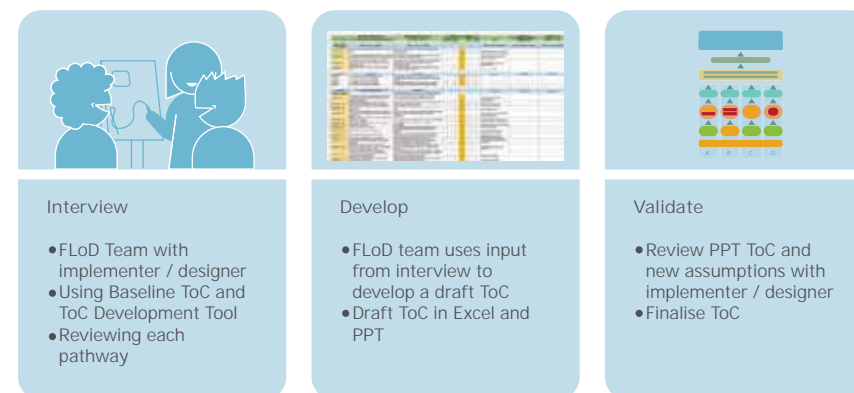


Figure 10: Illustrative diagram of the Implementer / Designer ToC development process

Task 1: Interview implementers / designers

Task 2: Develop the Implementer / Designer ToC

Task 3: Validate the Implementer / Designer ToC

3.1 Task 1 – Interview implementers / designers

The facilitation team will conduct the interview process, one leading the interview and the other to capture the responses. The interview would be outlined as follows:

1. Consent: Always ensure the interviewee has read and signed the FLoD Interview Consent Form (FLoD Tool 11a) before you begin.
2. Introduction: Introduce the FLoD facilitation team and explain the function of each team member. Be as transparent as possible – you may even show the interviewee the spreadsheet and how the responses will be captured.
3. Concepts and terms: Before commencing with the interview, ensure that the interviewee/s is/are familiar with key terms being used based on the glossary in Section F of this Guide. You may even have a print out of the glossary that could be handed to the interviewee for discussion and referencing.
4. FLoD methodology: Interviewees should be familiar with the FLoD methodology from the inception workshop. If not, a presentation (using the FLoD Introductory Presentation Long – FLoD tool 5a) should be given. (If it is a group of people being interviewed, ensure that you have support such as a data projector available.)
5. Context: As interviewer, you should have contextual information on the community and project 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.
6. The FLoD baseline ToC: Once you are familiar with the context, work methodically through the spreadsheet tool from top to bottom. The tool is designed to work systematically through the baseline ToC, querying both the overall intended impact and outcomes, as well as understanding the types of interventions that are being undertaken. Importantly it queries the assumptions that underpin the ToC's logic.

6.1 The tool consists of a series of statements. You should ask interviewees how much they agree with each statement on a scale of one to five, where:

Strongly disagree = 1

Strongly agree = 5

Note: If you are interviewing a group rather than an individual, you may find it useful to use props (see box in Step 4).

6.2 If interviewees are confused by the scoring system, a general rule of thumb is that the score should be positive (score 4 or 5 on the scale) if the answer upholds the logic of the ToC. The score should be negative (score 1 or 2 on the scale) if the answer breaks down the logic of the ToC.

6.3 Work through the spreadsheet systematically, obtaining an answer for each statement/question and recording any further information in Column J and alternative statements in Column K – see completed example in Figure 12.

TOC CATEGORY	STATEMENT (BASELINE TOC)	STATEMENT (DESIGNER TOC)	Results (Baseline)	Results (Designer)	Pathways (Baseline)	Pathways (Designer)	Outcomes (Baseline)	Outcomes (Designer)
IMPACT AND OUTCOMES								
Long-term impact	Increased pressure on species from illegal wildlife trade	Is a key objective of your work to decrease pressure on species from illegal wildlife trade?	5	5	5	5	5	5
Intermediate 1	Reduced poaching/harvesting to reduce or offset sustainable levels	Can poaching/harvesting be reduced to offset sustainable levels?	5	5	5	5	5	5
Intermediate 2	Other	Other	5	5	5	5	5	5
Overall outcomes	Reduced poaching/harvesting for ivory to sustainable levels	Is your primary focus for this work on reducing poaching/harvesting for ivory to sustainable levels?	5	5	5	5	5	5
Overall outcomes	Reduced poaching/harvesting for ivory to sustainable levels	Is your primary focus for this work on reducing poaching/harvesting for ivory to sustainable levels?	5	5	5	5	5	5
Intermediate 3	Community actions can make a contribution to reduce WIT	Can community actions contribute to reduce WIT?	5	5	5	5	5	5
Intermediate 4	Other	Other	5	5	5	5	5	5
Intermediate 5	The relative value of illegal wildlife products is not so high that corruption undermines community action against WIT	Is the relative value of illegal wildlife products not so high that corruption undermines community action against WIT?	5	5	5	5	5	5
Intermediate 6	Other	Other	5	5	5	5	5	5
Intermediate 7	The relative risk of being apprehended, arrested or prosecuted is not so low that it undermines community action against WIT	Is the relative risk of being apprehended, arrested or prosecuted not so low that it undermines community action against WIT?	5	5	5	5	5	5
Intermediate 8	Other	Other	5	5	5	5	5	5
Overall outcomes	Reduced recruitment of community members to poaching/harvesting engaged in WIT	Does your work aim to reduce recruitment of community members to poaching/harvesting engaged in WIT?	5	5	5	5	5	5
Overall outcomes	Strengthened community action against illegal or unsustainable poaching/harvesting engaged in WIT	Does your work aim to strengthen community action against illegal or unsustainable poaching/harvesting engaged in WIT?	5	5	5	5	5	5
Overall outcomes	Reduced active or legal community support for poaching/harvesting engaged in WIT	Does your work aim to reduce active or legal community support for poaching/harvesting engaged in WIT?	5	5	5	5	5	5
Pathways								
Pathways	1. Increase the cost of participating in WIT	Is it important to increase the cost of participating in WIT?	5	5	5	5	5	5
Pathways	2. Increase the cost of participating in WIT	Does your work focus on increasing the cost of participating in WIT?	5	5	5	5	5	5
Pathways	3. Increase the cost of participating in WIT	Is it important to increase the cost of participating in WIT?	5	5	5	5	5	5
Pathways	4. Increase the cost of participating in WIT	Does your work focus on increasing the cost of participating in WIT?	5	5	5	5	5	5
Pathways	5. Increase the cost of participating in WIT	Is it important to increase the cost of participating in WIT?	5	5	5	5	5	5
Pathways	6. Increase the cost of participating in WIT	Does your work focus on increasing the cost of participating in WIT?	5	5	5	5	5	5
Pathways	7. Increase the cost of participating in WIT	Is it important to increase the cost of participating in WIT?	5	5	5	5	5	5
Pathways	8. Increase the cost of participating in WIT	Does your work focus on increasing the cost of participating in WIT?	5	5	5	5	5	5
Pathways	9. Increase the cost of participating in WIT	Is it important to increase the cost of participating in WIT?	5	5	5	5	5	5
Pathways	10. Increase the cost of participating in WIT	Does your work focus on increasing the cost of participating in WIT?	5	5	5	5	5	5

Figure 11: Example of a completed Implementer / Designer ToC development tool

6.4 The Excel spreadsheet is set up to visually present the results in a spider diagram, which is particularly effective when dealing with a group.

6.5 After the interview, allow the interviewee to ask questions or make comments (to be captured too). Explain that this is not the end of the process and indicate the steps to follow, which are:

- The FLoD facilitation team to construct the Implementer / Designer ToC, which will be
- Validated during a follow up discussion, and
- Step 4, the development of the Community ToC, to follow.

3.2 Task 2 – Develop an Implementer / Designer ToC

1. To construct the Implementer / Designer ToC the FLoD facilitation team will use two documents, namely:

- The FLoD baseline ToC; and
- The FLoD Implementer / Designer ToC development tool (spreadsheet and notes you generated from the interview).

2. Columns J and K from the completed spreadsheet of the FLoD Implementer / Designer ToC development tool should provide sufficient information to construct the Implementer / Designer ToC. Table 10 outlines

the action to be taken for each component of the ToC. Systematically go through the each action outlined in Table 9 and take detailed notes for each action.

Table 9: Constructing the Implementer / Designer ToC

Level of ToC	Action to be taken
Assumptions	<ul style="list-style-type: none">Note which assumptions are not validAdd any new assumptions
Impact	<ul style="list-style-type: none">Note any changes in overall impact
Outcomes (Overall and cross-cutting)	<ul style="list-style-type: none">Note which outcomes are not validAdd any new outcomes
Pathway outcomes	<ul style="list-style-type: none">Note which outcomes are not validAdd any new outcomes
Results	<ul style="list-style-type: none">Remove any results that are not validAdd any new results
Indicative actions (also referred to as interventions)	<ul style="list-style-type: none">Remove any interventions that are not validAdd any new interventions
Enabling actions	<ul style="list-style-type: none">Note which are not validAdd any new enabling actions

3. Using this information, modify the FLoD baseline ToC diagram and accompanying assumptions to reflect the input from the implementers / designers (see Figure 12).

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

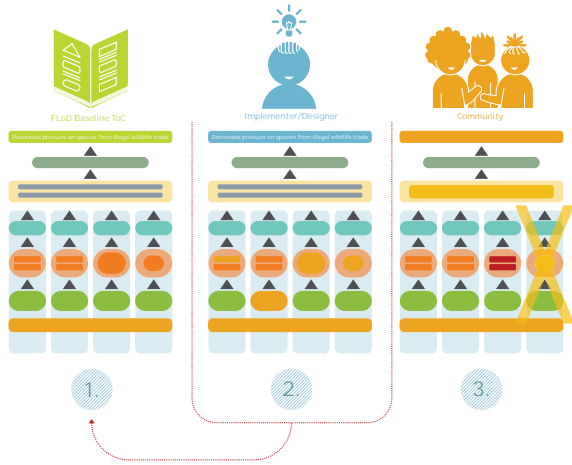


Figure 12: Step 3 Constructing the Implementer / Designer ToC

- We advise caution before making or removing assumptions, as they have been developed from a wide range of contexts.
- A challenge in updating the illustrative part of the Implementer / Designer ToC is the link between the Excel spreadsheet (the ToC development tool) and presenting it in the Implementer / Designer ToC as a PowerPoint slide. This is manually done between the Excel and PowerPoint documents and takes a lot of time.
- The FLoD baseline ToC in PowerPoint format can be downloaded from www.iucn.org/flod - FLoD Tool 1.
- Guidance notes on how to embed the FLoD baseline ToC in an Excel spreadsheet to allow for easier illustrative changes to the PowerPoint slide are in the box below.
- Note, this does not replace the development tool, it just helps with formatting the Implementer / Designer ToC as a PowerPoint slide for presentation during the validation discussion.

Guidance notes on how to format the Implementer / Designer ToC as a PowerPoint slide.

- Open FLoD baseline ToC.pptx
- Open a blank Excel spreadsheet
- Highlight the complete diagram
- Copy the highlighted diagram using Ctrl+C
- Paste into the open excel spreadsheet using Ctrl+V
- Do editing in diagram as needed and save the Excel spreadsheet in a relevant folder to be retrieved later and keep open – you may minimise the screen
- Return to the PowerPoint document
- Open a new slide and place cursor on slide
- Find Insert in the Ribbon and click on Object
- In the window click the 'create from file' option and go to browse to find the Excel spreadsheet saved in Step 6
- In the browse window, click 'OK'
- Tick the link box in the next window
- Return to PowerPoint and click – edited and open spreadsheet will be displayed
- To continue editing the object in Excel from PowerPoint, click on the object, and you will be taken directly to the object in the excel spreadsheet.
- After making changes to the object in Excel, right click on the object in PowerPoint, and click Update Links. Changes made in Excel will then reflect in PowerPoint

IF - You receive a PowerPoint message window requesting link update, 'accept'.

IF - You need to repeat the process, to insert the linked object multiple times, you have to close both the Excel spreadsheet and the PowerPoint document before you repeat the attempt. This allows the linkages to take place.

3.3 Task 3 – Validate Implementer / Designer ToC

Once the Implementer / Designer ToC has been developed, it is important to validate this with the implementer / designer through a short discussion.

- Use the PowerPoint slide and new list of assumptions as the basis for discussion.
- Make any final changes to the Implementer / Designer ToC diagram and table of assumptions that are necessary following this validation process.
- You are now ready to move on to Step 4.

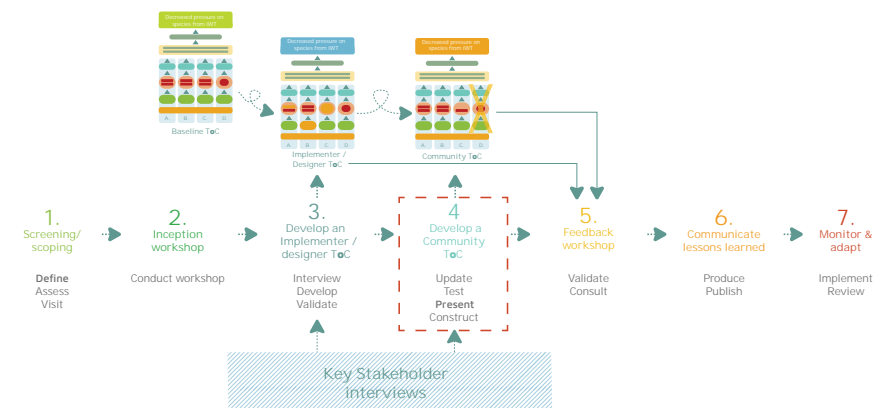
Step 4: Develop Community ToC

Step 4 outlines the process to develop the Community ToC. This process ensures that the community voice and perspectives are clearly reflected – arguably the most important part of the entire FLoD process.

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.

In Step 4, the Implementer / Designer ToC (Figure 13, #2) provides the basis against which the community can test and develop its own ToC (Figure 13, #3). This is because there is an existing project that has already been designed and implemented, so the community ToC compares and contrasts against this existing project. If a new project is being designed, both designer / implementer and communities may start with the Baseline ToC.

Where we are in the FLoD process



Step 4 involves extensive community involvement through focus group discussion as well as plenary discussions referred to as whole-community meetings. Throughout Step 4 it is necessary to have understood and articulated the underlying assumptions and logic that the project implementer/ designer has used to make decisions around project design, including project interventions and implementation.

This allows comparison between the Implementer / Designer ToC and assumptions and those of the community (as shown in Figure 14). This comparison is a critical part of the FLoD methodology and should be used to expose any major contradictions or killer assumptions that may be hampering the success of the project.

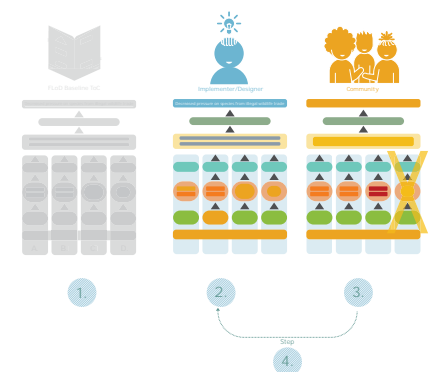


Figure 13: Developing the Community ToC

Objectives

The objectives of Step 4 are to:

- Test Implementer / Designer ToC with the community; and
- Construct the Community ToC.

Methods and tools to be used

Methods	Tools
Key stakeholder interview	<ul style="list-style-type: none"> • FLoD Introductory Presentation (Long or Short) (Tool 5a/b) • FLoD focus group consent form (Tool 11b)
Focus Groups	<ul style="list-style-type: none"> • FLoD Baseline ToC and assumptions (Tool 1 & 2) • FLoD Implementer / Designer ToC (output from Step 3)
Workshops	<ul style="list-style-type: none"> • FLoD Community ToC development tool and instruction (Tool 10 a & b)

Output

At the end of Step 4, your output should be the Community ToC.

Resource	Required
Personnel	<ul style="list-style-type: none"> • At least two facilitation team members. At least one should be a trained and experienced facilitator with experience working at the community level on these types of issues. • Independent local language interpreter • Second interpreter (to work alongside the record keeper) • Local liaison
Materials	<ul style="list-style-type: none"> • 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	<ul style="list-style-type: none"> • 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 before whole-community meeting: one day • Whole-community meeting: one day • Travel time • Construct Community ToC: two days

Key stakeholder interviews

During the inception workshop key stakeholder identification and analysis took place and as indicated in Step 2, these key stakeholder interviews are part of the overall process and should be considered at each step and undertaken to inform the outcome of each step. Please refer to Step 2: section 2.1 for details and conduct interviews as needed in this step.

Documentation

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

Tasks

There are four interlinked tasks to be discussed in detail in this section, namely:

- Task 1 – Create the Community ToC development tool using the newly validated Implementer / Designer ToC and assumptions.
- Task 2 – Test the implementer / designer assumptions within the community, using focus groups (as needed, refer to sampling methodology in Step 1).
- Task 3 – Hold a whole-community meeting to present the consolidated results of focus group discussions and explore the similarities and differences between the focus groups.
- Task 4 – Construct a Community ToC.

Recommended

Please view the FLoD Online Learning series (session 5) for detailed information on the practical use of the FLoD Community ToC Development Tool. FLoD practitioners discuss and present the tool in detail.

Available from www.iucn.org/flod

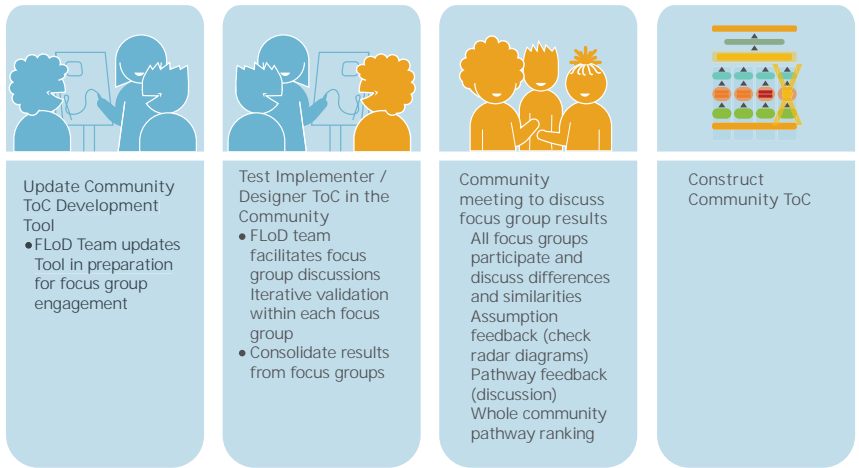


Figure 14: Illustrative diagram of the Community ToC development process

4.1 Task 1 – Create the Community ToC development tool

The objective of the FLoD Community ToC development tool (FLoD tool 10) is to test the Implementer / Designer ToC against the community's own logic, assumptions and beliefs (i.e. the community's inherent ToC). In order to get best use of it, you must first update it to reflect the Implementer / Designer ToC.

1. Download the latest digital version of the FLoD Community ToC development tool from: www.iucn.org/flod. See screenshot of this tool in Figure 15.
2. When opening the FLoD community ToC development tool in Excel, you will see several tabs. The first tab (see red arrow in Figure 15) contains detailed instructions on how to use the tool.



Figure 15: Screenshot of the FLoD Community ToC development tool

- For easier reference, we have developed the FLoD Community ToC development tool – instruction sheet (FLoD Tool 10b) that can be printed out as a reference document when capturing the responses on the Excel spreadsheet.
- You are now ready for to test the Implementer / Designer ToC within the community.

4.2 Task 2 – Test the implementer / designer assumptions with the community

Testing of the Implementer / Designer ToC with the community will take place through focus groups. Please ensure that the attendees give consent for the focus group – use FLoD tool 11b: Focus group consent form.

There are some key aspects to consider.

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 focus group is fifteen. 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 of the focus group are available to attend the whole-community meeting and the 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 will determine the length of the fieldwork.
- Experience has proven that it is helpful to include a break day if there are more than two consecutive focus groups.

Who else needs to be involved?

- You will need two facilitation team members – one to facilitate and one to record discussions and scores. At least one of these team members should be an experienced facilitator, with the ability to be highly adaptive and time sensitive.
- If you have a larger and more experienced team of facilitators, consideration could be given to running the focus groups in parallel, to save time. The same applies for the other team members, i.e. the language interpreter.
- 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 both the community and the implementer / designer. He or she should be familiar with the material, having 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 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.

A two-person FLoD team will be facilitating the focus group process. One will facilitate the focus group and the other will scribe and capture the responses on the spreadsheet: FLoD Community ToC development tool. Using the FLoD community focus group agenda (FLoD Tool 6), the focus group could be outlined as follows:

- Introduction:** The local liaison should guide you on the appropriate opening formalities in 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.
- Consent:** Now the interpreter reads aloud the FLoD focus group consent form (available as FLoD tool 11) and asks for consent from participants.
- Summary of the project and the process:** A brief summary of the project and the process is presented (using the presentation slides in the FLoD Introductory Presentation Short – FLoD tool 5b).
- Community ToC development tool:** Go through the FLoD community ToC development tool methodically:

4.1 At the beginning of each pathway, use a flipchart to record a list of relevant activities under that pathway in that community. For example, under Pathway B – ‘increase incentives for stewardship’ – ask the focus group to list all the different tangible and non-tangible benefits they get from wildlife, either communally or individually. This could include tourism, crafts, pride, etc.

4.2 The tool consists of a number of statements, this time with a focus on the implementer / designer's assumptions. Ask the focus group participants how much they agree with each statement, on a scale of one to five, where:

Strongly disagree = 1

Strongly agree = 5

The group must come to a consensus score for each statement.

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

4.4 Using props to negotiate answers: Props such as wooden animals (shown in the example in Figure 18 below) can be very useful. The number of props should be uneven. The number shown here is an example.

4.5 There will likely be lively discussion as the focus group discusses each statement. Take careful notes of these discussions, as they can often expose underlying issues. Information can be recorded in Column L, with alternative ToC statements recorded in Column M.

4.6 The Community ToC development tool will automatically generate the results from the focus groups discussion and present it as radar diagrams to be presented during feedback and initial validation. An example of a completed Community ToC development tool for Pathway A is shown in Figure 19.

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, two elephants and two lions can be used, with elephants representing a 'positive' answer and lions representing a 'negative' answer. Ask participants to use the elephants and lions to negotiate and present their answer to each question.



Figure 16: 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)

TOC CATEGORY		BASELINE TOC	INTERVIEW QUESTION	AGREEMENT SCORE				IMPLEMENTATION NOTES
		TOC STATEMENT (BASELINE TOC)	INTERVIEW QUESTION	Strongly disagree	Partially disagree	Partially agree	Strongly agree	
IMPACT AND OUTCOMES		IMPACT AND OUTCOMES	IMPACT AND OUTCOMES					IMPACT
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?	-2	-1	1	2	
Assumption: F		Poaching/trafficking is reduced to within sustainable levels	Can poaching/trafficking be reduced to within sustainable levels?	-2	-1	1	2	
Assumption: F-Other		Other	If the interviewee/focus group has other assumptions relevant at this level, record them	-2	-1	1	2	
Overall outcomes		Reduced poaching/trafficking for WTT by outsiders	Is your primary focus for this work on reducing poaching/trafficking for WTT by outsiders?	-2	-1	1	2	
Overall outcomes		Reduced poaching/trafficking for WTT by community	Is your primary focus for this work on reducing poaching/trafficking for WTT by community members?	-2	-1	1	2	
Assumption: E1		Community actions can make a contribution to reduced WTT	Can community actions contribute to reduced WTT?	-2	-1	1	2	
Assumption: E2		The relative value of illegal wildlife products is not so high that corruption undermines community action against WTT	Is the relative value of illegal wildlife products not so high that corruption undermines community action against WTT?	-2	-1	1	2	
Assumption: E3		The relative risk of being apprehended, arrested or prosecuted is not so low that it undermines community action against WTT	Is the relative risk of being apprehended, arrested or prosecuted not so low that it undermines community action against WTT?	-2	-1	1	2	
Assumption: E-Other		Other	If the interviewee has other assumptions relevant at this level, record them, adding more rows if necessary	-2	-1	1	2	
Cross-cutting outcomes		Reduced recruitment of community members by poachers/traffickers engaged in WTT	Does your work aim to reduce recruitment of community members by poachers/traffickers engaged in WTT?	-2	-1	1	2	
Cross-cutting outcomes		Strengthened community action against internal or external poachers/traffickers engaged in WTT	Does your work aim to strengthen community action against internal or external poachers/traffickers engaged in WTT?	-2	-1	1	2	
Cross-cutting outcomes		Reduced active or tacit community support for poaching/trafficking for WTT	Does your work aim to reduce active or tacit community support for poaching/trafficking for WTT?	-2	-1	1	2	

Figure 17: Example of completed Community ToC development tool showing Pathway A

Feedback and initial validation

A very important principle of the FLoD methodology is frequent and iterative feedback and validation (Figure 20). Before you conduct the final exercise with the community focus group, we strongly recommend you go through each excel spreadsheet with the group to demonstrate that they have been heard and to ensure that you have captured the scores correctly.



Figure 18: Focus group discussion participants receiving feedback on the results of the discussions held (Photo credit: IUCN; Location: Lalenok Resource Centre, Olkiramatian, Kenya)

This can be done as follows:

1. Project the record keeper's screen and briefly demonstrate how the scores have been recorded in the excel spreadsheet (Community ToC development tool) and that notes have been kept on all the discussions.
2. In the Results tab (green arrow in Fig. 19) of the Community ToC development tool, radar diagrams will be automatically formed for each set of assumptions.
 - The filled Excel sheets show scores from 1 to 5 for each question.
 - Figure 19 shows an example radar diagram of the results from a community focus group under Pathway B. The areas in blue (filled areas) suggest that the assumption has been validated, areas in white where assumptions are not being met.
3. Show each pathway excel spreadsheet to the focus group and open for comments and discussion.
4. It is likely that there will be lively discussion. Take careful notes of these discussions, as they can expose underlying issues. You could record this in columns L and M.

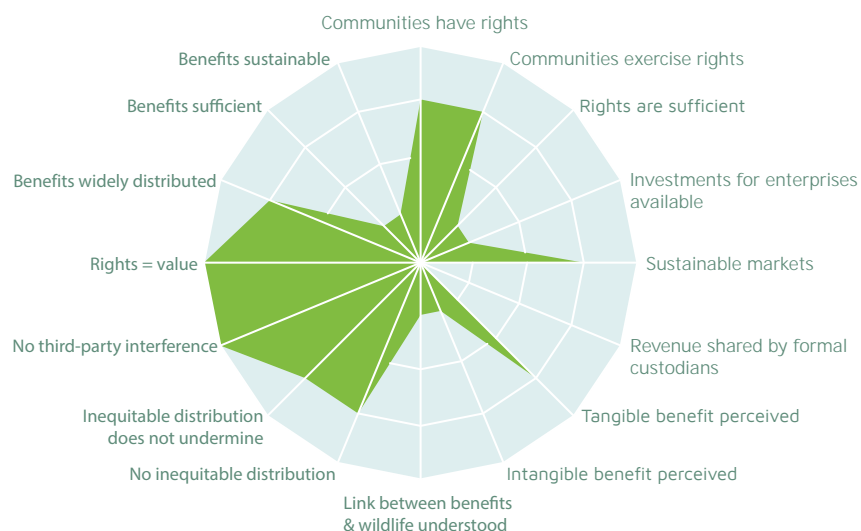


Figure 19: Radar diagram⁸ showing Pathway B results from a community focus group. The diagram just graphically illustrates the responses that are noted in table format in the ToC tool (centre of circle = strongly disagree; outer most circle = strongly agree)

⁸For more information on how radar charts are constructed and interpreted, see <https://www.youtube.com/watch?v=Fy-sru6q4GU>



Figure 20: 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

With the scores and the results available, at the end of each community focus group, perform a simple pathway weighting exercise. This will enable the focus groups to interrogate their priorities better and then discuss and agree on which pathway has what importance in their context. The following technique can be used:

1. 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 (the number of pathways that are under discussion). In previous experience, 30 has proven to be a good number.
2. The group must now come to a consensus as to how to distribute the beads to answer the question: *"Where should we place our efforts to reduce the pressure on species from IWT?"*
3. 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. See Figure 23 for an example of a pathway weighting exercise.
4. There should be no input from the facilitation team, except to clarify and answer questions.
5. Once the group has reached consensus, ask the selected representative(s) to provide a summary of the discussion. Ensure that the scribe takes notes of the summary discussion.



Figure 21: Pathway weighting exercise being conducted (left) and the final result (right)
(Photo credit: IUCN, Location: Lalenok Resource Centre, Olkirimatian, Kenya)

Consolidating information

Collating and consolidating all the information generated throughout the focus groups is a critical part of the validation and feedback process as well as in preparation for the whole-community meetings. It is important that at the end of each community focus group, the facilitation team, including 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, obtained from the responses to the Community ToC development tool:

1. Lists of pathway-specific activities for each focus group
2. Any assumptions where the answers are significantly different between any of the focus groups
3. Pathway weighting for each focus group.

Prepare a PowerPoint presentation containing all consolidated information to use at the whole-community meeting. Also prepare a large sheet where all four pathways can be represented for a community-wide pathway weighting exercise – see example of large sheet use in Figure 24 Picture at bottom right, when used in the whole-community meeting.

4.3 Task 3 – Hold a whole-community meeting

Feedback from all the focus groups will take place in a whole-community meeting, as soon as possible after the focus group engagements.

Who should attend?

- You should draw participants from the community focus group participants, to ensure continuity, with an equal balance between the different community focus groups. The focus groups could select individuals to represent them in this whole community meeting, in case this is a large community.
- 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 and why only a limited number of people can attend the gathering and ensure that they are selected in a transparent and representative manner (see above – this could be part of the closing during the focus group sessions: selection of representatives for the whole community meeting).
- 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

A two-person FLoD team will facilitate the whole-community meeting process. One will facilitate the meeting and, the other will scribe and capture the responses. Using the FLoD whole-community agenda (Annex 13), the whole-community meeting could be outlined as follows:

1. Introduction: The local liaison should guide you on the appropriate opening formalities in the community and introduce the team or organisation implementing FLoD. You (or the facilitator) should then invite all participants to introduce themselves.
2. Update on progress: Give a short summary of progress (overview of the exercises to date) and the purpose of the meeting as reviewing results from all the focus groups.
3. Overview on results: Using the PowerPoint presentation, present the results from each focus group on the Community ToC development tool.
 - Use the consolidated information to provide feedback to the whole-community meeting on the focus groups results, drawing particular attention to areas where there were major differences or striking similarities between groups. An example of what this consolidated feedback can look like can be found on www.iucn.org/flod.

4. Discussion on similarities and differences: You can use different facilitation techniques to help initiate discussion around those 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 Guide to provide detailed facilitation guidance. It is important to ensure that an experienced facilitator is on the team. Additional facilitation techniques can be found in a number of useful documents*. Also see Annex 3 for general guidance on facilitation.

5. Pathway weighting: Share the results of the pathway weighting exercises from each focus group, pointing out any major differences.

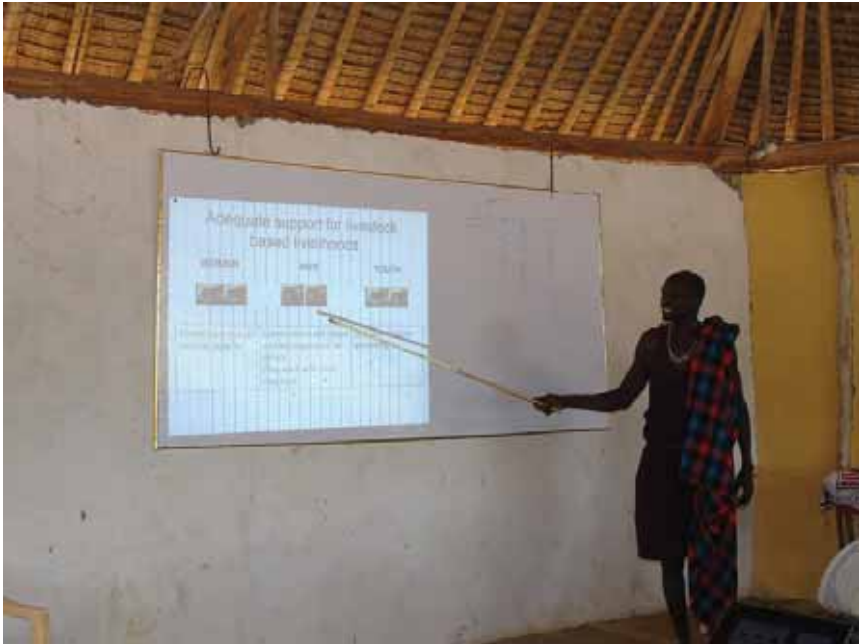
- Using the same techniques as with the focus group, using beads or counters (again indivisible by four), ask the whole-community meeting group to negotiate and agree on how to distribute the beads to answer the question: *"Where should we place our efforts to reduce the pressure on species from IWT?"* See example in Figure 24 – Picture at bottom right.

6. Closure: At the end of the meeting, thank everybody for their participation and confirm follow-up activities as:

- Developing the Community ToC based on all the information received in the process thus far; and
- The feedback workshop as part of Step 5.



Presentation of general feedback to the whole group



A community member provides feedback on some of the key learnings from the focus group discussions



A break-out group discussing some of the results

*Participatory Learning and Action: A trainer's guide (<http://pubs.iied.org/6021IIED/>); Facilitation Tools for Meetings and Workshops (<https://seedsforchange.org.uk/tools.pdf>)



The whole group participating in the pathway weighting exercise
Figure 22: Steps in a whole-community meeting in pictures

4.4 Task 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.

- Two documents are used, namely:
 - The FLoD Implementer / Designer ToC; and
 - The FLoD Community ToC development tool (as generated during the focus groups and the whole community meeting).
- 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. Refer to Table 12.

4. 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.

5. 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.

6. Based on the above, make changes to the Implementer / Designer ToC diagram to create the Community ToC diagram.

- Make sure you keep all versions of documents as you go through this process to ensure you don't lose any information.
- We advise caution before making or removing assumptions, as they have been developed from a wide range of contexts.
- A challenge in updating the illustrative part of the Community ToC is the link between the Excel spreadsheet (the development tool) and presenting it in the Community ToC as a PowerPoint slide.
- See guidance notes in box below on how to embed the FLoD Community ToC in an Excel spreadsheet to allow for easier illustrative changes to the PowerPoint slide.
- Note, this does not replace the development tool, it just helps with formatting the Community ToC as a PowerPoint slide for presentation during the validation discussion.

Once the Community ToC has been developed, you are ready to move to Step 5: Feedback workshop.

Guidance notes on how to format the community ToC as a PowerPoint slide.

- Open FLoD baseline TOC.pptx
- Open a blank Excel spreadsheet
- Highlight the complete diagram
- Copy the highlighted diagram using Ctrl+C
- Paste into the open excel spreadsheet using Ctrl+V
- Do editing in diagram as needed and save the Excel spreadsheet in a relevant folder to be retrieved later and keep open – you may minimise the screen
- Return to the PowerPoint document
- Open a new slide and place cursor on slide
- Find Insert in the Ribbon and click on Object
- In the window click the "create from file" option and go to browse to find the Excel spreadsheet saved in Step 6
- In the browse window, click "OK"
- Tick the link box in the next window
- Return to PowerPoint and click – edited and open spreadsheet will be displayed
- To continue editing the object in Excel from PowerPoint, click on the object, and you will be taken directly to the object in the Excel spreadsheet.
- After making changes to the object in Excel, right click on the object in PowerPoint, and click Update Links. Changes made in Excel will then reflect in PowerPoint.

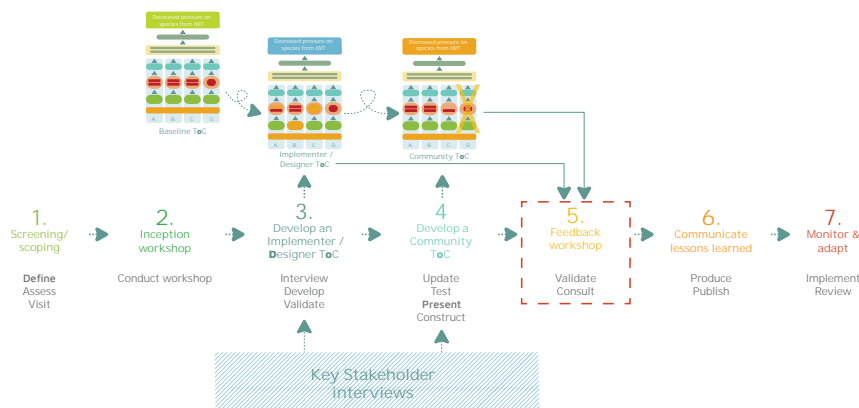
IF - You receive a PowerPoint message window requesting link update, 'accept'.

IF - You need to repeat the process, to insert the linked object multiple times, you have to close both the Excel spreadsheet and the PowerPoint document before you repeat the attempt. This allows the linkages to take place.

Step 5: Feedback workshop

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

Where we are in the FLoD process



Objectives

The objective of Step 5 is to conduct a feedback workshop, with the following sub-objectives to:

- Validate the Community ToC;
- Compare the Implementer / Designer and the Community ToC;
- Identify areas of agreement and divergence; and
- Collaborate on ways forward.

Methods and tools to be used

Methods	Tools
Meeting	<ul style="list-style-type: none"> • FLoD Introductory Presentation (Long or short) (Tool 5a/b) • FLoD participant consent form (Tool 10b) • FLoD baseline ToC and assumptions Tools 1 & 2) • FLoD Implementer / Designer ToC (output from Step 3) • FLoD Community ToC (output from Step 4)

Outputs

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

- Validated Community ToC;
- Key areas of difference and similarity between Implementer / Designer and Community ToCs; and
- Ideas and recommendations for the ways forward.

Resources needed

Resource	Needed
Personnel	<ul style="list-style-type: none"> • At least two core team members, although three is preferred • Local language interpreter
Materials	<ul style="list-style-type: none"> • Laptop, power, projector, facilitation materials
Time	<ul style="list-style-type: none"> • Preparation: Two days • Feedback workshop: Two days • Follow up: One to two days

Tasks

The five sequential tasks take place within the Feedback workshop and are presented as such in section 5.1 to follow.

- Task 1 – Validate the Community ToC;
- Task 2 – Overview of the Community ToC;
- Task 3 – Overview of the Implementer / Designer ToC;
- Task 4 – Identify and discuss key differences and similarities; and
- Task 5 – Explore and recommend the ways forward.

Recommended

Please view the FLoD Online Learning #5 for detailed information and discussion of the feedback session by FLoD Practitioners.

Available from www.iucn.org/flod

5.1 Conduct the feedback workshop

The workshop is a critical part of the process. It offers an opportunity to provide feedback to both the implementer / designer and community with the objective to discuss similarities and differences in order to develop shared recommendations for improved site-level interventions and policy change at relevant levels. The first part of the workshop should take place with only the community (validation of community ToC) and then the other workshop participants can join for Task 2-5 above.

Time: Two full days, with preparation time before the workshop and reporting and documentation time afterward.

Who facilitates? FLoD lead facilitator, an experienced, highly adaptive and time-sensitive facilitator.

Who participates?

The key participants to include in the inception workshop are:

- Facilitation team members who were involved in implementing the methodology in that site;
- Community members, with equal representation from each focus group — for consistency, these should be the same people who participated in the focus groups and the whole-community meeting;
- Implementers / designers are not invited to attend Task 1. However, they should be invited to attend

from Task 2 onward. The feedback workshop should be arranged such that they only join after the validation of the Community ToC;

- 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.

Conducting the feedback workshop

Using the FLoD feedback workshop agenda (see FLoD tool 6), focus on the following activities and tasks:

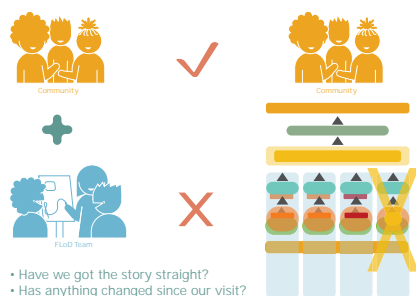
1. Opening: Follow normal procedures for opening and introductions at the meeting, being sensitive to cultural and social protocols. Utilise the local liaison to guide the process. Be sure to make the role of the language interpreter clear during the opening, if required.

2. Purpose of the meeting: Explain that the FLoD facilitation team are here to provide progress and results of the process undertaken.

3. Task 1 – Validate the Community ToC

- A core principle of this process is iterative validation. After the community focus groups were held, the FLoD facilitation team will have developed an initial Community ToC and this is presented (in PowerPoint) to the community participants in the feedback workshop to discuss.
- It is important for this validation process that the same people who participated in the focus groups in Step 4 are also present in this session. This should be taken into consideration during the planning process.
- Two key questions will guide the validation process:
 - Have we got the story right?
 - Has anything changed since our visit?
- Depending on the time lapse between the focus group meetings and the feedback workshop, responses may differ and adequate time needs to be allowed for discussion and validation by the community participants. Differences should be recognised, discussed and resolved to the extent possible.
- Take time with the discussions to ensure that this ToC represents the community and revise the ToC where necessary.
- Once validated, this ToC will be taken into the next steps of the workshop.

Validating the Community ToC



4. Tasks 2 & 3 – Overview of the Community ToC and Overview of the Implementer / Designer ToC:

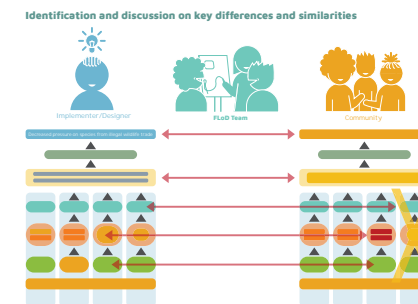
- This is the first time the community and the implementer / designer will be together and the FLoD team will present their respective ToCs to the participants.
- Questions of clarification can be asked and observations shared to stimulate an initial exchange among participants.
- These discussions will lead into the facilitated plenary discussion to follow.

Overview of Community & Implementer / Designer ToC's



5. Task 4 – Identify and discuss similarities and differences – facilitated discussion:

- The FLoD team facilitates an exercise where those present share their observations on the differences and similarities observed between the two respective ToCs.
- This session serves to identify and discuss key differences and similarities between the Implementer / Designer and Community ToCs through a series of breakout groups. These are important discussions and should be given as much time as possible.
 - It can be helpful to mix up the discussion groups; for example, start with discussions within individual focus groups and then mix the groups up to discuss differences and similarities – first within the community and then between the community and the implementer / designer.
 - Each discussion group should provide feedback to the whole assembled group.
- These exchanges often represent a very important step in the FLoD process. Given that this discussion is likely to be about an existing project, the sharing of different observations and perspectives of the project ToC can have a significant impact on the subsequent implementation of the project.



Recommended

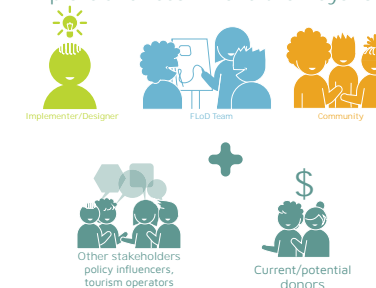
Recommend viewing of the FLoD online learning series #6 where FLoD practitioners discuss case studies where critical differences between the Community and the Implementer / Designer ToCs required courageous conversations.

Available from www.iucn.org/flod

6. Task 5 – Way forward – shared recommendations:

- At this point, the FLoD team facilitates a group discussion, to help identify aspects that can be taken forward to develop shared recommendations, for example, to improve site-level interventions and important policy changes required at relevant levels, amongst others.
- The team may also make use of breakout groups as in Task 4 if the situation requires deeper engagement and negotiation to be fed back to the whole group.
- It is important to consolidate the shared recommendations in a way that outlines agreed actions as well as key roles and responsibilities.
- Additional meetings may be needed to take the process forward.
- The possibility of bringing in other stakeholders (potentially identified during this process) could be considered as they may have an interest in the project and may want to collaborate or support negotiated and agreed corrective actions. For example, this may include the project donor or technical partners.
- However, there are no hard and fast rules; it is about what the community and implementer / designer see as their way forward and whom they may agree to bring into the process.

Explore and recommend the ways forward



7. Closure: Close out the meeting and thank everybody for their participation. Inform participants that they will receive the proceedings, should any have been prepared.

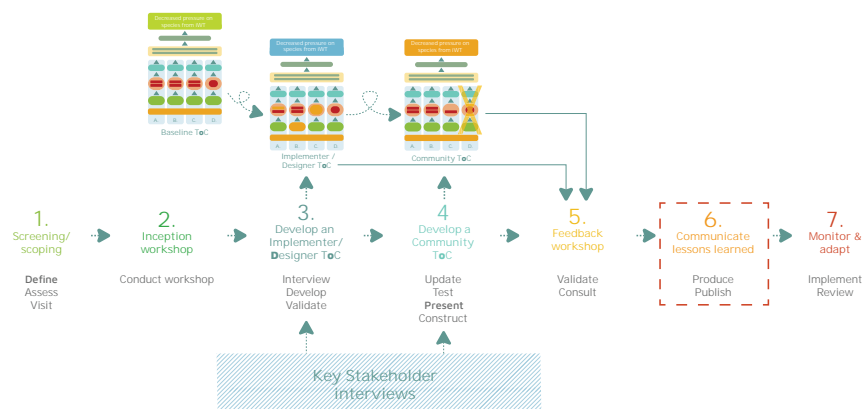
8. Documentation and reporting: Write up the proceedings from Step 5 in a basic Feedback workshop report that documents the discussions and captures the lessons learned. This report could also serve as a repository for information collected in discussion and meetings. As the FLoD methodology makes no attempt to reconcile the differences amongst community focus groups or between communities and implementer / designers, these differences should clearly be highlighted in any documentation and, where possible, suggestions made about ways to reconcile them – even if it is just the establishment of a targeted reconciliation process.

Step 6: Communicate lessons learned

The objectives of this step may vary, depending on the context and the needs, the implementer designers or the communities.

It is important that communication objectives and outputs are identified and included in the process as early on as the inception workshop, as this will help to determine the information to be collected during the roll-out process, ensuring that communication objectives are achieved.

Where we are in the FLoD process



The objectives of Step 6 can include:

- Consolidating information around lessons learned
- Sharing recommendations for further action
- Communicating findings and needs to stakeholders at various scales:
 - Community
 - Implementer / designer
 - Donors
 - Government agencies
 - Partners and other stakeholders
 - Others, as identified by the project.
- Influencing national policy
- Contributing to influencing international policy

All of the communication objectives depend on the objectives of *your* implementation of FLoD

The communication objective(s) will influence the outputs – meaning that your outputs must be “fit for purpose” in addressing these objectives. For example, the outputs of Step 6 could include:

- A resource for the community and implementers / designers as they move forward with activities on the ground, e.g. posters;
- Fact sheets – one/two-page summary of project and lessons learned available on website or in print;
- Case studies – comprehensive write ups of experiences in project implementation and learnings that took place that could be published;
- Policy briefs – written submissions on learnings that could influence policy;
- Case study on People Not Poaching website;
- Social media messaging to bring attention to important findings;
- Journal articles – written articles, peer reviewed and published or in popular media; and
- Revised project implementation plans – for example as an output from the project team as part of a formal review process.

The FLoD partners are always interested to hear about your experiences in implementing FLoD and any lessons learnt about the role of communities in combatting IWT. We encourage all users to submit brief case studies to www.peoplenotpoaching.org

We'd like to hear from you!

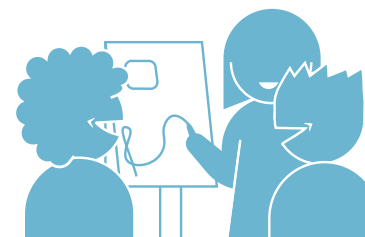
Please share with us your experiences implementing FLoD

holly.dublin@gmail.com

leo.niskanen@iucn.org

skinner.diane@gmail.com

dilys.roe@iied.org



Submit case study to

www.peoplenotpoaching.org

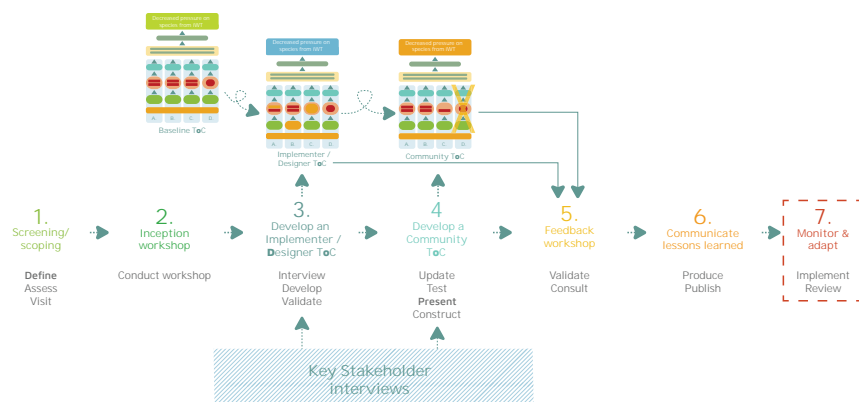


Step 7: Monitor and adapt

Most project implementation processes are iterative and require adaptive response to change. This process of change is based on intentional monitoring to ensure that project implementation is effective in delivering the outcomes and impacts it has set out to achieve.

The joint iterative learning process that takes place through the FLoD methodology is intentional, working through a process of transition with both the implementer / designer and the community as they conceptually and practically move through the design of their ToCs as the basis for their interventions.

Where we are in the FLoD process



The FLoD team facilitates this process as depicted in Figure 25 where the FLoD baseline ToC transforms into an Implementer / Designer ToC and a Community ToC and the transfer of ownership of the process takes place from the FLoD team to the community and the implementer / designer. FLoD does not guarantee a mutually agreed ToC, but allows space to discuss divergences and differences and possibly find solutions. This is the 'transition zone' where the implementer / designer and the community contextualise and reconstruct the baseline ToC to one that they can take joint responsibility for progressing forward through the adaptive management cycle to a space of collective ownership, responsibility and accountability.

It is important to monitor these changes and any impact on poaching or IWT levels using an iterative, adaptive process (see Figure 25). 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, mutually-agreed ToC will become a mechanism that is collectively owned by the implementer / designer and the community and that, as such, it will enjoy better support and participation at the local level as well as the ability to achieve its aims more effectively.

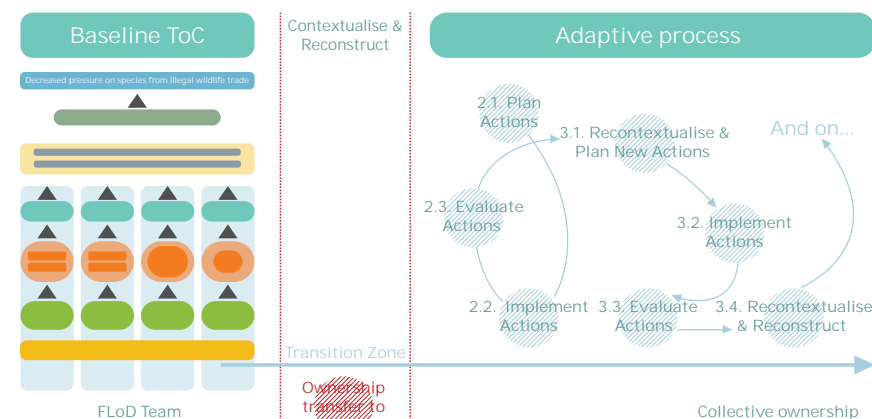


Figure 23: The adaptive management cycle

What lessons have been learned to date?

The FLoD partners are committed to continuous improvement and, as such, endeavour to accept any and all feedback that might help to achieve this. To this end, communities and implementers / designers that have been involved in implementing the FLoD methodology to date have been helpful in providing the following feedback.

FLoD helped practitioners to:

- Learn how they needed more women and youth represented on the committees, at meetings, and in employment
- Understand that they had been talking to a very narrow group of leaders and that there was a lot of resistance in the population to carrying out the intended interventions
- Build a common Theory of Change that involves the community from the start
- Understand the importance of politics in achieving conservation outcomes
- Understand that they did not have sustainable funding for achieving their conservation objectives
- Demystify the "expert" mentality (building a common ground for wildlife protection)
- Develop a framework for all planning and implementation purposes

The FLoD approach helped...

- Enhance their understanding of:
 - The specific context, design, structure and implementation approach of a project.
- Enhance the understanding of the project implementers and the communities in terms of:
 - The implicit ToCs of both communities and implementers (and important differences between them); and
 - The reasons for success and failure of any particular project undertaking.
- Facilitate communication amongst community members and between the community and project implementers, providing a forum for the community to be heard and to hear one another.

The FLoD approach can...

- Improve project implementation
- Enhance achievement of outcomes / impacts
- Provide lessons for:
 - Other projects
 - Local, national, regional and international policy makers
- Enhance the impact of the global wildlife crime response.



Section D: New projects – step-by-step implementation guidance



While the guidance in Section C outlines the process for implementing the FLoD methodology on existing projects, the FLoD partners believe that the approach can be effective in helping design new projects using the same action research approach. In this case, the baseline ToC would be used as a starting point to have the community and the implementer / designer develop their ToCs in parallel (see Figure 26). This is necessary to ensure that all voices in the communities regardless of gender or age are heard in the project design phase and not only those who are more often invited to the table.

A critical principle that should guide the use of the FLoD methodology for new projects is how the ToC design process addresses independence of the community and potential bias (e.g. the advantage that implementers / designers may have through capacity or funding over communities and therefore more power over the process). Social equity in aspects such as gender and age disparity, amongst others are also important considerations.

Therefore, in the design process for new projects each group should be worked with separately, then brought together with the more explicit goal of reconciling any differences and jointly building a ToC as a base for project interventions.

Many of the same methods outlined in Section C, although not tested yet, should be useful in identifying communities and implementers / designers, and determining whether it would be appropriate to implement the FLoD methodology in developing new projects. 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 pathways in the ToC or in what combination, are likely to be the most important and effective.

To date, the FLoD partners have not used this methodology for the development of new projects as a part of the FLoD initiative but would welcome receiving advice or feedback from anyone who does so, and encourage discussion and developing practice on how to apply FLoD methodology in the context of new projects. Please share your lessons learned on www.peoplenotpoaching.org

Scenario: Parallel design

Figure 24 presents the outline of a parallel design by the communities and the implementer / designer leading to the development of a Joint ToC.

Recommended

Please view the FLoD Online Learning series (session 7) for more information and discussion of how to apply FLoD methodology in new projects.

Available from www.iucn.org/flod

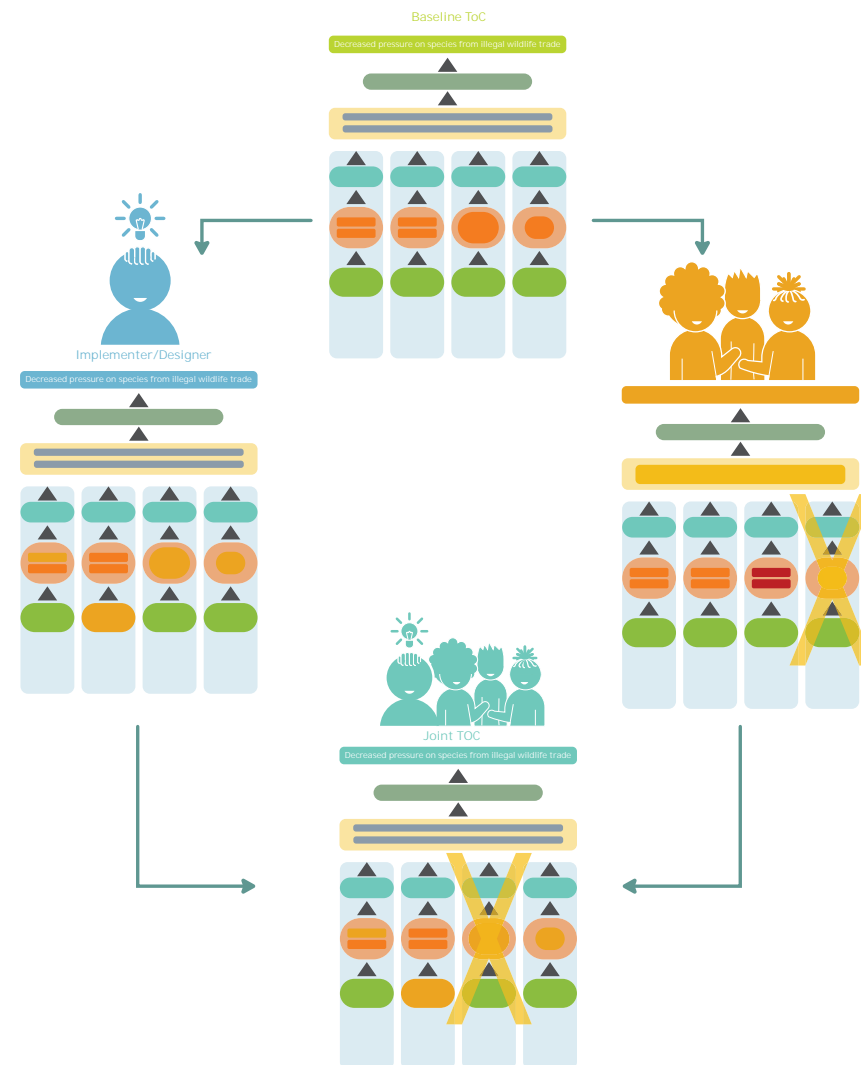


Figure 24: Developing new IWT interventions using the FLoD methodology in a parallel design

Section E:

Using the FLoD ToC for other challenges

This section is included in the Guide document to stimulate thought about the use of the FLoD methodology to address other challenges and to encourage experimentation around the application of the methodology to a broader set of challenges that go beyond IWT. The FLoD partners believe there is much to be gained from wider application of the methodology, as many of the principles and tools are likely to be valuable for dealing with other types of challenges.

During the FLoD online learning series in 2020, when asked what other challenges the FLoD ToC methodology could be used for, the following responses, amongst others, were received:

- Climate change adaptation
- Natural resource management
- Project design even at concept level
- More consistency in project process – alignment from concept to monitoring and evaluation

Recommended

Please view the FLoD Online Learning series (session 7) section for the use of FLoD methodology for other challenges and please participate in the continued growth of the practice.

Available from www.iucn.org/flod

With the lessons learned from application of the FLoD ToC methodology on IWT, the FLoD partners have learned the following with a view to extending the methodology beyond IWT:

- The power of the FLoD methodology lies in critically examining the assumptions of all role players in the project, i.e. designer / implementer, community, governments and other partners.
- The paradigm in conservation and development related projects is shifting significantly towards ensuring the inclusion of the community from project design phase onward, thus building more effective projects.
- The observation that one of the critical reasons community projects fail is that communities, who are the most knowledgeable and important players at the point of impact of projects, are generally absent from project design. Indeed, the voice of the community hardly ever features early enough in the project design process to be able to ensure that disconnected assumptions (between implementer and community) are identified and rectified in the final project design.

The FLoD partners welcome any and all thoughts and reactions from active practitioners in the spirit of adapting the methodology towards the achievement of greater outcomes and impacts for people and wildlife.



Section F: Glossary



Activities / Interventions*	The verbs or activities that will be put in place to bring about a particular precondition (or a group of these). Interventions can be programmes or community-wide change initiatives that implement several programmes. This term is also used to describe changes to public policy or institutional practice that need to be in place for an outcome to occur.
Anti-IWT interventions	State-led and/or multi-stakeholder collaboration interventions that reduce IWT and poaching and improve wildlife management. Activities focus on strengthening and/or improving engagement with communities (livelihood initiatives and behaviour change), establishing effective anti-poaching operations. (Case study: Combatting Wildlife Crime in the Malawi-Zambia Landscape, www.peoplenotpoaching.org)
Assumptions*	<p>Statements about how and why we expect a set of outcomes to come about as depicted in the pathway of change.</p> <p>These statements can reflect understandings of the change process taken from research, or they can be taken from practical experience.</p> <p>They should also reflect an understanding of the context within which a programme operates.</p> <p>Often assumptions raise questions about the extent to which we can bring about the change we expect, given what we have to work with.</p>
Backwards mapping*	<p>The process of working from the long-term goals backwards towards the early stages of the change process.</p> <p>In many ways, this is the opposite of how most people think about planning.</p> <p>Backwards mapping focuses on the question, "What must occur before our outcome can be achieved?" instead of asking "What can be done to bring the outcome about?"</p> <p>It brings to the surface the needed preconditions for reaching the outcome of interest.</p>
Community	A defined social group of any size whose members have a shared specific interest in wildlife, the land it resides on, or illegal wildlife trade. These could be members of a conservancy, a group that resides next to a protected area, a village or a unit of local administration.
Core team	The independent team implementing the FLoD methodology as outline in this Implementation Guide.
FLoD roll out	The on-the-ground implementation of the FLoD methodology as presented in Section C.
Illegal Wildlife Trade (IWT)	<p>Unlawful harvest of and trade in live animals and plants or parts and products derived from these.</p> <p>'Wildlife Crime', as far as ICCWC is concerned, refers to acts committed contrary to national laws and regulations intended to protect natural resources and to administer their management and use (https://www.cites.org/prog/iccwc.php/Wildlife-Crime).</p>

Implementer	An organisation implementing an anti-IWT project or programme.
Implementer / Designer Theory of Change	This is the ToC developed by the implementer / designer in comparison to the Baseline ToC.
Indicators*	Concepts that can be used to access the extent to which outcomes are achieved. Often, indicators are simple ideas that can be counted, but sometimes they reflect more complex ideas that must be observed qualitatively.
Local communities	<p>A community is a human group sharing a territory and involved in different but related aspects of livelihoods – such as managing natural resources, producing knowledge and culture, and developing productive technologies and practices (Borrini-Feyerabend et al., 1992).</p> <p>In the GRI Standards, local communities are defined as persons or groups of persons living and/or working in any areas that are economically, socially or environmentally impacted (positively or negatively) by an organisation's operations (Local Communities, 2016).</p>
Local liaison	Organisation or individual on the ground that serves as main logistical liaison for the core team. They may be the project implementer / designer or another intermediary.
Outcomes*	The building blocks of the change process. These are the conditions that must be in place in the early and intermediate stages of the change process in order for long-term goals to be reached.
Pathway*	<p>The map that explains how long-term outcomes are brought about by depicting the preconditions of change at each task.</p> <p>Long-term changes are brought about by reaching intermediate preconditions; intermediate changes are brought about by reaching early preconditions.</p> <p>The pathway is the skeleton on which all of the other details are added. It summarises the Theory of Change but does not (and cannot) tell the whole story.</p>
Precondition / Requirement*	<p>Everything on a pathway of change can be understood as a precondition (precursor or requirement) for the next outcome above it on the map.</p> <p>Preconditions must be achieved in order for the next logical task in the sequence to be achieved.</p> <p>We identify preconditions by asking, "What are the conditions that must exist in order for our outcomes to be achieved?"</p> <p>This question is posed for long-term and intermediate outcomes on the map during the process of backwards mapping.</p>
Project implementer / designer	An agency or institution, apart from the community itself, that has conceptualised or designed and/or is implementing the interventions under consideration.

Stakeholders	Any organisation 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.
Theory of Change*	<p>A method that a group (community or implementer) can use to critically think about what is required to bring about a desired social [or ecological] change.</p> <p>It is a process designed to depict how a complex change initiative will happen over time.</p> <p>It illustrates all the various moving parts that must operate together to bring about the desired change.</p>

* Anderson, 2009.



Section G:

FLoD tools and online learning series

FLoD Guide – Tools

The FLoD Implementation Guide tools are presented in sequential order and are available on www.iucn.org/flood

FLoD Tools		
Tool #	Description	Format
1	FLoD Baseline ToC	PPT
2	FLoD Baseline Assumptions	MS Word A3
3	Facilitation Guidance Notes	MS Word
5	FLoD Feasibility Assessment Tool	MS Word
5a	FLoD Intro Presentation – Long	PPT
5b	FLoD Intro Presentation – Short	PPT
6	FLoD Sample Agendas: <ul style="list-style-type: none"> Inception Meeting Focus Group Whole-Community Meeting Feedback Workshop 	MS Word
7	FLoD Stakeholder Analysis Tool	MS Word
8	<ul style="list-style-type: none"> FLoD Implementer / Designer ToC Development Tool 	Excel
9	<ul style="list-style-type: none"> FLoD Implementer / Designer ToC Development Tool – Instructions Printable 	MS Word
10a	<ul style="list-style-type: none"> FLoD Community ToC Development Tool 	Excel
10b	<ul style="list-style-type: none"> FLoD Community ToC Development Tool – Instructions Printable 	
11a	<ul style="list-style-type: none"> FLoD Interview Consent Form 	MS Word
11b	<ul style="list-style-type: none"> FLoD Focus Group Consent Form 	MS Word

FLoD Online Learning Series

The FLoD online series as referenced in the FLoD Implementation Guide is available on www.iucn.org/flood

FLoD online learning series		
Session #	Content of online session	Link to FLoD Training Programme
1	Communities and IWT focusing on: <ul style="list-style-type: none"> Policy context for FLoD FLoD from policy to practice 	Section A: Introducing FLoD
2	Overview of FLoD methodology <ul style="list-style-type: none"> Theory of Change Introduction to the FLoD methodology 	Section B: Overview of FLoD Methodology
3	FLoD methodology: Screening, Scoping and Inception <ul style="list-style-type: none"> Step 1 – Screening and scoping Step 2 – Inception workshop 	Section C: Step-by-step implementation guidance <ul style="list-style-type: none"> Step 1 Step 2
4	FLoD methodology – Implementer / Designer ToC <ul style="list-style-type: none"> Step 3 – Developing the Implementer / Designer ToC 	Section C: Step-by-step implementation guidance <ul style="list-style-type: none"> Step 3
5	FLoD methodology – Community ToC <ul style="list-style-type: none"> Step 4 – Developing the Community ToC 	Section C: Step-by-step implementation guidance <ul style="list-style-type: none"> Step 4
6	FLoD methodology – Feedback and lessons communicated <ul style="list-style-type: none"> Step 5 – Feedback workshop Step 6 – Communicating lesson learned Step 7 – Monitor and adapt 	Section C: Step-by-step implementation guidance: <ul style="list-style-type: none"> Step 5 Step 6 Step 7
7	FLoD implementation guidance for <ul style="list-style-type: none"> New projects Other challenges 	Section D: Implementation guidance for new projects Section E: Using the FLoD ToC for other challenges

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