HANDBOOK ON CITES AND LIVELIHOODS

Part I

How to rapidly assess the effects of the application of CITES decisions on livelihoods in poor rural communities.

CITES

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HANDBOOK ON CITES AND LIVELIHOODS

PART I

How to rapidly assess the effects of the application of CITES decisions on livelihoods in poor rural communities

General Secretariat of the Organization of American States (GS/OAS)

Secretariat of the Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES)

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Part 1: Rapid Assessment Tools. Tools to assess the impact of the implementation of CITES listings on the livelihoods of the poor prepared by the CITES Secretariat and the Working Group on CITES and Livelihoods. Edited by Rodrigo Martinez consultant at the Department of Sustainable Development of the General Secretariat of the Organization of American States.

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How to rapidly assess the effects of the application of CITES decisions on livelihoods in poor rural communities.

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Acronyms

AWF: African Wildlife Foundation

CBA: Agency for the Promotion of Imports from the Netherlands

CIAT: International Center for Tropical Agriculture

CIFOR: Center for International Forestry Research

CITES: Convention on International Trade in Endangered Species of Wild Fauna and Flora

DFID: Department for International Development-UK

DICE: Durrell Institute of Conservation and Ecology

FAO: Food and Agriculture Organization

IFRC: International Federation of Red Cross Society and Red Crescent

ILO: International Labor Organization

ITC: International Trade Center

LOAM: Landscapes Outcome Assessment Methodology

NWTPR: Trade Policy National Wildlife - National Wildlife Trade Policy Review (by its acronym in English).

OECD: Organization for Economic Cooperation and Development

ODI: Overseas Development Institute

OAS: Organization of American States

ILO: International Labour Organization

WHO: World Health Organization

PA-BAT: Protected Area Benefits Assessment Tool

NTFP: Non-Timber Forest Products

UNEP-WCMC: United Nations Environment Program - National Center for Conservation Monitoring (UNEP-WCMC)

UNCTAD: United Nations Conference on Trade and Development

UNEP: United Nations Environment Program

WCS: Wildlife Conservation Society

WWF: World Wildlife Foundation

Prologue

CITES and the Organization of American States (OAS) share a vision: "to conserve biodiversity and contribute to its sustainable use by ensuring that no species of wild fauna or flora becomes or remains subject to unsustainable exploitation through international trade, contributing to the significant reduction in the rate of biodiversity loss and the achievement of the respective Aichi targets". Since the first Summit of the Americas in 1994, the Member States of the OAS - all Parties to CITES - have committed to this vision to benefit the peoples of the Americas.

The Conference of the Parties to CITES (COP) acknowledged in 2004 that the implementation of CITES listings should take into account its potential impacts on the livelihoods of poor rural communities. At the last meeting of the COP, held in Bangkok in 2013, the Parties took another important step, formally recognizing that the implementation of CITES is better achieved with the engagement of rural communities.

More specifically, the COP adopted two significant resolutions related to the livelihoods of poor rural communities: Resolution Conf. 8.3 (Rev. CoP13) on the recognition of the benefits of trade in wildlife, and Resolution Conf. 16.6 on CITES and livelihoods.

Also noteworthy for the purposes of this guide are CITES decisions 16.17 to 16.25 regarding CITES and livelihoods, adopted at COP16 in Bangkok. These decisions contain the roadmap on how to address issues related to CITES and livelihoods between COP16 and COP17, to be held in late 2016 in South Africa. The decisions essentially provided for the development of a toolkit to assess the impacts of CITES listings on livelihoods; the preparation of guidelines on preventing and mitigating any negative impacts on livelihoods; and conducting relevant case studies, both species-specific and from a thematic perspective.

In this regard, the General Secretariat of the OAS, through its Department of Sustainable Development (OAS/DSD), together with the CITES Secretariat, organized a workshop on "assessing and addressing the impacts of CITES decisions on subsistence livelihoods" in Cispatá, Colombia in February 2015. The purpose of this workshop was to present successful experiences and encourage the exchange of lessons learned on the links between livelihoods and CITES-listed species.

A dialogue was also held in Colombia in February 2015 in order to discuss a draft of this handbook based on the toolkit and guidelines developed by the Working Group on CITES and livelihoods. This handbook was jointly prepared by the OAS/DSD and the CITES Secretariat based on documents developed by the Working Group on CITES and livelihoods, and inputs received at the workshop in Cispatá, Colombia. All Member States and Organizations who attended the meeting were invited to provide inputs for the handbook.

It is in this context that we have the great pleasure to present this handbook on CITES and Livelihoods. The Handbook is meant to serve as a reference guide for the implementation by multiple stakeholders and beneficiaries of a rapid evaluation of the impact of CITES listings on the livelihoods of poor rural communities, while also providing a means to identify mitigation or adaptation strategies that address said impacts.

As stated in the aforementioned Resolution 16.6, the implementation of CITES is better achieved through the engagement of rural communities. By adapting and simplifying the CITES and livelihoods toolkit and guidelines submitted to CoP16 (CoP16 Inf. 21), this Handbook aims to support the effective implementation of the Convention by enabling countries to assess the impacts of the decision making process on the livelihoods of poor rural communities that are living alongside wild animals and plants protected by CITES.

It is our hope that this Handbook benefits a wide range of stakeholders, from the global to the national level, and that it may be used by both CITES management and scientific and administrative authorities, as well as local officials responsible for the implementation of other biodiversity related conventions, regional and international organizations, civil society organizations, local and municipal authorities, and research centers that work on topics related to the links between people and the environment.

While this handbook has a global reach, from the perspective of the OAS it is an essential tool for the Americas, one of the most biodiverse regions on the planet, but also the region with the most inequality and dependence on natural resources.

This handbook is dedicated to all poor rural communities that interact on a daily basis with the flora and fauna protected by CITES, including the communities of Lucanas in Peru and Cispatá, Colombia, who generously hosted and inspired the work of the Working Group on CITES and livelihoods.

Cletus Springer
Director, Department of
Sustainable Development
Organization of American States

John Scanlon
Secretary-General
CITES Secretariat

Acknowledgements

This Handbook is the result of a collaborative effort involving many people and institutions, all of which to whom the CITES Secretariat and the General Secretariat of the Organization of American States are deeply grateful.

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The financial support provided by the Government of Canada to this initiative through the Department of Foreign Affairs, Trade and Development (DFATD) is greatly appreciated.

In the event that we have involuntarily missed any individuals, we would like to express our gratitude to everyone who has contributed in any way to the publication of this handbook.

Introduction

The consequences resulting from the inclusion of species in the CITES convention for the livelihoods of the poorest rural communities, both in terms of the number of people affected and the degree of the impact, remain to have been studied in an extensive manner. There is thus a general lack of detailed information on the real positive or negative impacts on the livelihoods of rural communities.

Increasingly, however, it has become clear that regulating the international trade of an unsustainably managed species may impact, whether positively or negatively, the livelihoods of poor rural communities that form part of the chain of production and distribution of the species. The positive and/or negative consequences for each actor depend on several factors, including: the intended use of the species (i.e. for trade or personal consumption); the role of the actor in the value chain; the actor's financial capacity to invest in ex-situ management; and the actor's resilience to fluctuations in the price of the resource, among other variables. The impacts in turn determine the opinion of affected communities on the regulation adopted.

Given the variety of impacts affecting the poorest individuals, it is essential that impacts are measured systematically, not only in order to properly identify winners and losers, but also so that mitigation strategies may be developed accordingly for those that suffer negative impacts.

What is the purpose of this Handbook?

Members of the CITES Working Group on livelihoods, with the support of the CITES Secretariat and the General Secretariat of the OAS, have prepared this handbook on CITES and Livelihoods as a tool intended for those carrying out rapid rural appraisals of the positive and negative effects resulting from the implementation of the inclusions in the Appendices of CITES on the livelihoods of the poor. The Handbook has been developed in accordance with Resolution Conf. 16.6, which encourages the development of mitigation strategies (in the case of negative impacts) or improvement strategies (in the case of positive impacts), using contextually relevant methodologies.

What are livelihoods?

Livelihoods are the means that enable people to earn a living. This includes the capabilities, assets, income and activities people require in order to ensure that their basic needs are covered. A livelihood is sustainable when it allows people to cope with, and recover from, setbacks and stress (such as natural disasters and economic or social upheavals), and improve their welfare and that of future generations without degrading the environment or natural resources base (Chambers and Conway, 1991).

The information presented in this Handbook is linked to other relevant processes (both CITES and non-CITES) with the objective of avoiding the duplication of efforts, in particular with the National Wildlife Trade Policy Review (NWTPR).

Who can benefit from this guide?

The Handbook is designed as practical, quick-reference document for scientific and administration authorities responsible for CITES management and biodiversity-related conventions. It may also be of use to research centers studying topics related to the sustainable use of biodiversity and regional and international organizations, civil society, local and municipal authorities, and grassroots communities seeking to advance the understanding and implementation of impact evaluations and mitigation measures.

What information can be found in this Handbook?

The Handbook is divided into two parts. The first part describes the six general steps for rapid impact assessments based on participatory rural appraisal methodologies that have been developed by development and cooperation agencies. These steps function as a starting point for assessing the socio-economic effects of implementing CITES listings. The Sustainable Livelihoods Framework, which serves as a reference for understanding the basics of the methodologies presented, is detailed in Annex I of the document, Part II addresses the mitigation of negative impacts on livelihoods, as well as the enhancement of sustainable use initiatives of Appendices II and III species that meet the CITES requirements. In addition, this section outlines potential types of impacts and their corresponding mitigation strategies. Subsequently, eight key factors for ensuring the sustainable use of species are presented. Finally, Part II introduces six steps for addressing and mitigating a variety of impacts. Annex II presents 14 successful and unsuccessful case studies, each accompanied by their respective lessons learned. The studies are grouped into the following topics: ecotourism, hunting, the trade of live animals and plants, medicinal and aromatic products, wood products, and fiber products and textiles.

PICTURE: FREDY A. OCHOA

Background

CITES resolutions

Since 2004, the Conference of the Parties to CITES (CoP) has recognized that the implementation of CITES should take into account its potential impact on the livelihoods of the poor. At the sixteenth session of the CoP, held in Bangkok in 2013, the parties recognized that the Convention could be better implemented if it incorporated the participation of poor rural communities, particularly those whose livelihoods traditionally depend on species that are included in the Appendices of CITES.

To date, there are two CoP Resolutions that address this issue: Resolution Conf. 8.3 (Rev. CoP13) recognizes the potential benefits of trade in wildlife, and Resolution Conf. 16.6 highlights the link between CITES listings and livelihoods. At CoP16, the Conference of the Parties also adopted Decisions 16.17 to 16.25 on livelihoods, which may be found at http://www.cites.org/sites/default/files/esp/com/sc/65/ S-SC65-19.pdf.

Of particular relevance to this guide are Decisions 16.17 to 16.19, targeted to the Parties:

16.17

Exporting and importing countries are invited to carry out voluntary rapid assessments of the impact of implementation of CITES-listing decisions on the livelihoods of rural communities and to mitigate negative impacts.

Parties are encouraged to develop case studies and facilitate exchange visits between relevant stakeholders from the different ongoing conservation and sustainable use programmes which address issues related to CITES and livelihoods in order to stimulate the exchange of lessons learned regarding CITES-listed species living in similar environments and/or social conditions.

16.19

Parties, intergovernmental and non-governmental organizations and public and private donors and investors are encouraged to support rapid assessments of the impact of the implementation of CITES-listing decisions on the livelihoods of rural communities, the implementation of activities which mitigate any negative impacts, and cooperation agreements between relevant national government agencies and rural communities.

To date, the Working Group of CITES and livelihoods has prepared a document - CITES CoP16 Inf 21 – in which tools for the assessment of impacts of CITES listings on livelihoods are identified. Furthermore, the Working Group has undertaken initiatives and workshops aimed at improving these tools in order to prepare both case studies and guidelines on the prevention and mitigation of negative impacts.

Criteria for choosing Participatory Rural Appraisals

This Handbook does not attempt to present an exhaustive account of the methodologies available, but instead seeks to highlight those that are particularly relevant to assessing the impacts on livelihoods of CITES listings. The selection of the most appropriate methodology will depend on a number of characteristics and singularities pertaining to each situation, location and context of the assessment in question. Generally, when confronted with several options Parties should consider the following in selecting the most appropriate methodology:

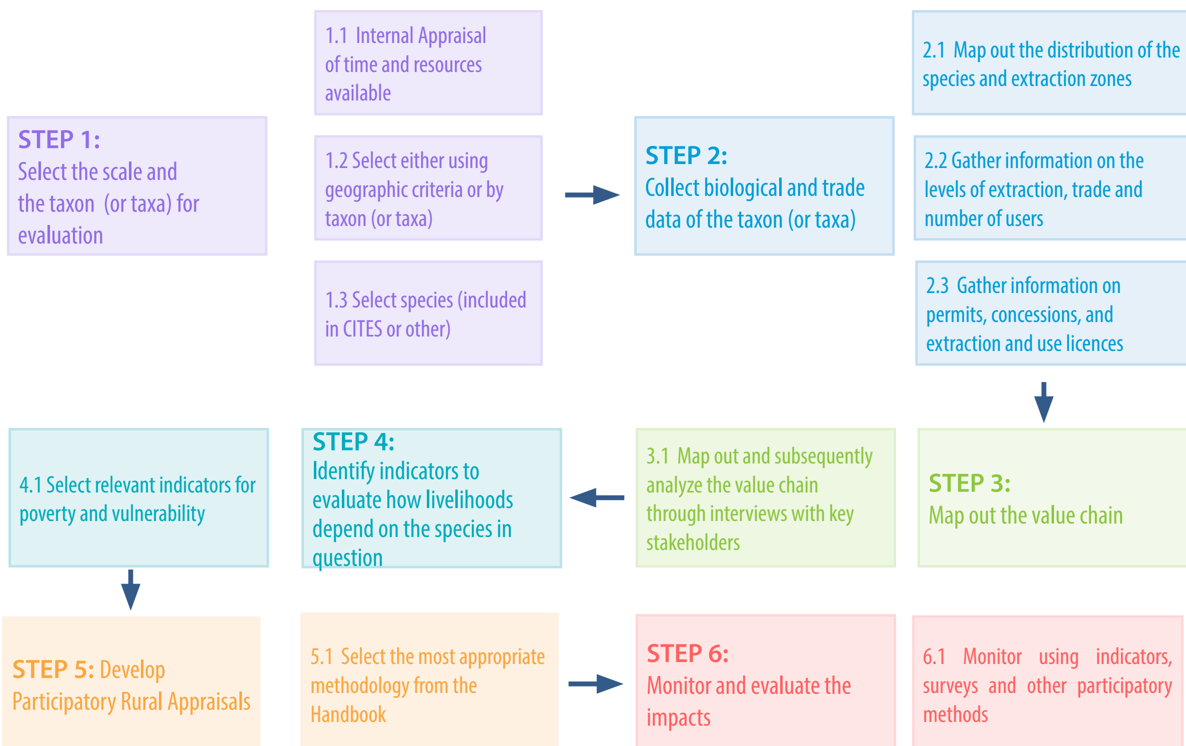
- **Scale and scope of the evaluation**: Parties must decide the scale of assessment. The larger the scale of the assessment (e.g. the higher the number of taxa and the greater the geographical areas to be covered), the less detailed the evaluation will be. This will influence the type of methodology selected.
- **Availability of time, resources and technical capacity:** The human and financial resources available at the beginning of the assessment will define the depth of the study, as will the time spent conducting social surveys and field research. The larger the expected impacts of an intervention, the greater the need for information and resources will be. In addition, the reliability of a participatory rural appraisal will depend partly on the time spent conducting surveys. The accuracy of the information collected will be greater the more time the interviewer spends conducting each survey, as well as the more questions the interviewer asks. The methodologies themselves do not decide the cost of the evaluation; rather the depth and time spent implementing the evaluation will determine its cost. With this in mind, some Parties may choose to use all or just part of a given methodology.
- **Availability and relevance of data:** Before considering the selection of a methodology, the availability of data from secondary sources should be reviewed, starting with a desk-based analysis. If there is no information available or the information at hand is not reliable, it is advisable that Parties search local and international organizations that have developed relevant baselines. Furthermore, Participatory Rural Appraisals are usually carried out by multidisciplinary teams. In this regard, it can be helpful to approach other organizations involved in poverty reduction and conservation projects, which may encourage multidisciplinary teamwork with the added benefit of sharing evaluation experience amongst team members.
- **Degree of participation**: The methodologies included in each step may be carried out with varying degrees of participation. A Rapid Rural Appraisal with a high level of participation will seek to empower the communities and usually implies a more open and time-consuming design, compared to an appraisal with a low level of participation (Bergeron, 1999). It should be noted that poor rural communities often describe their livelihoods and the impacts of CITES listings in a vastly different manner than researchers. With this in mind, it is recommended that evaluations be as participatory as possible.
- **Degree of vulnerability and risk / perceived benefit on livelihoods:** Data collection should be proportional to risk. If it is estimated that livelihoods face a high level of risk, it is important to identify a methodology that allows for the collection of ample information, including an analysis of the five 'capitals' belonging to the Sustainable Livelihoods Framework: physical, human, natural, financial, and social.
- **Size of the potentially affected population:** Detailed studies involving extensive surveys are not recommended when larger populations are being assessed.

Steps of a Participatory Rural Appraisal of the impacts of the application of CITES decisions on livelihoods in poor rural communities.

When interested parties decide to carry out a rapid assessment, they may consider the steps outlined below:

- **STEP 1** SELECT THE SCALE AND THE TAXON (OR TAXA) FOR EVALUATION.
- **STEP 2** COLLECT BIOLOGICAL AND TRADE INFORMATION ON THE TAXON (OR TAXA)
- **STEP 3** MAP OUT THE VALUE CHAIN
- **STEP 4** IDENTIFY INDICATORS TO ASSESS LIVELIHOODS
- **STEP 5** DEVELOP PARTICIPATORY RURAL APPRAISALS IN MAJOR TOWNS
- **STEP 6** MONITOR AND EVALUATE THE IMPACTS

FIGURE 1 STEPS OF A PARTICIPATORY RURAL APPRAISAL OF THE IMPACT OF CITES ON LIVELIHOODS



STEP 1.SELECT THE SCALE AND THE TAXON (OR TAXA) FOR EVALUATION

1.1 First, carry out an internal review of the time, resources and personnel capacity available to conduct a social impact assessment, as this will define how the next points are to be addressed.

1.2 Decide if the selection will be made with a view to geographical criteria or taxon (or taxa):

1.2.1 If you seek to carry out a large scale assessment using geographical criteria, you may choose to draw a national or jurisdictional map of the areas of extraction intended for export, and within this area select the taxon (or taxa). National or regional level authorities would make this decision.

1.2.2 Alternatively, you may wish to determine the assessment based on the taxon (or taxa) in question, and from there decide whether to perform a generic assessment or one based on a particular taxon. A generic assessment would study the potential impacts of all decisions of listed species for all taxa in the country at hand. This would lead to the development of a national mitigation strategy, or the inclusion of the findings of the assessment in the framework of the country's National Wildlife Trade Policy, or other policies affecting the livelihoods of poor rural communities.

1.3 Decide whether or not to select CITES-listed species.

1.3.1 For CITES-listed species, you may wish to select those known to have an impact in the value chain, or that have the potential to do so, particularly for the poorest rural communities.

1.3.2 For species not included in CITES, the value of undertaking an evaluation lies in that it may contribute to the development of a proposal for inclusion of a species in CITES. This would provide valuable information on the impact on existing management systems, and would serve as a comparison for subsequent evaluations should the species be listed in CITES.

1.3.3 Review or consider the processes of national and international management of species currently in place, particularly with regards to potentially stricter domestic measures, and the results of the National Wildlife Trade Policy Review (NWTPR), if one has been carried out.

1.4 When choosing a CITES-listed species, the following characteristics should be prioritized (in this order):

1.4.1 Included in Appendix I, and:

- Associated with no mitigation strategies after experiencing a period of intense trade, or;
- Linked to mitigation strategies such as ex situ artificial propagation or captive breeding and trophy hunting quotas. In this case the objective would be to evaluate the effectiveness of such strategies.

1.4.2 Included in Appendix II, and:

- Subject to the recommendations of a CITES Significant Trade Review. Information available at: http://sigtrade.cites.org/

- Subject to regular or high levels of documented trade. Information available at: http://www.unep-wcmc.org/citestrade/trade.cfm
- With scarce evidence of having been traded in the past.

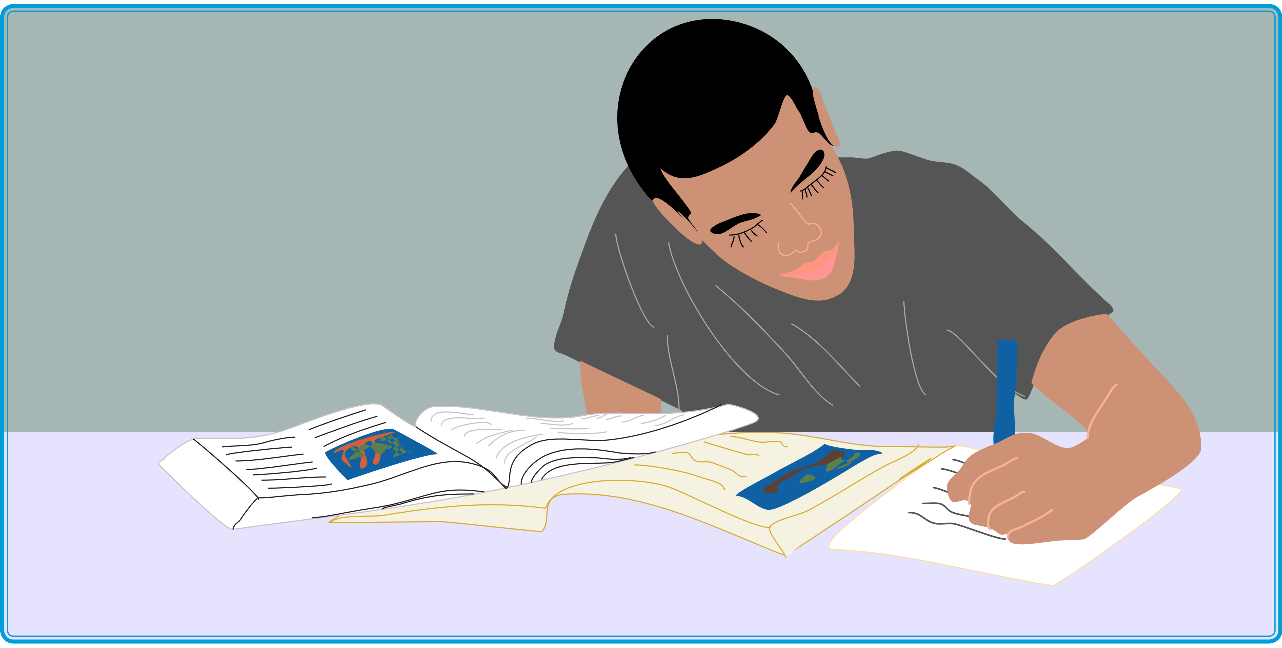
1.4.3 Included in Appendix III.

1.5 Parties may also wish to consider selecting species listed in Appendices I, II and III if:

- Its inclusion in CITES has changed over the last ten years;
- Its wild harvest is the most important resource for the livelihoods of poor rural communities;
- It is estimated that trade of the species now generates less income for the community, either due to a reduction in volume or price.

Notes

STEP 2. COLLECT BIOLOGICAL AND TRADE DATA ON THE TAXON (OR TAXA)



22.1 Map out the distribution of species and extraction areas.

2.2 Gather information on the levels of extraction, trade of target species, and number of people involved (as part of a non detriment findings review (NDF);

- A collection of secondary information on the selected species may be found in chambers of commerce and organizations supporting small and medium enterprises, research centers, universities, administrative and environmental authorities, and international entities such as ITC (International Trade Center), CBA (Agency for Promotion of Imports from the Netherlands), UNCTAD Stat, or FAO.

- If secondary information is not available, it may be obtained by carrying out surveys and market studies on the species. For example, by collecting preliminary information on the value harvesters and processors assign to their use of the species.

2.3 Gather information on permits, licensing, and enforcement methods in relation to illicit trade. This will contribute to a better understanding of the potential impact on certain groups that make up the value chain.

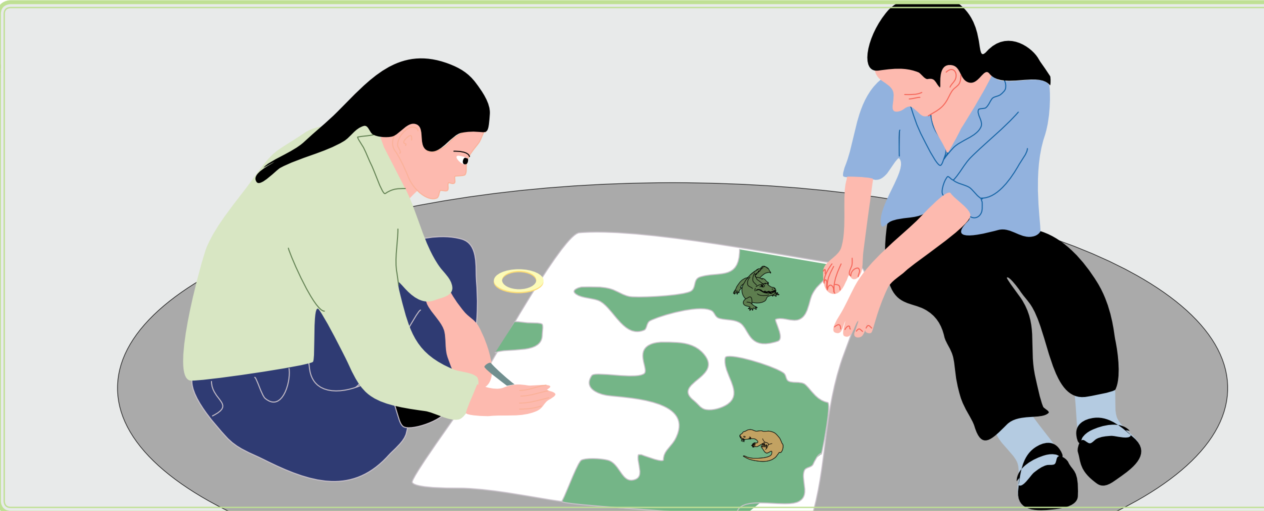
Methodologies that can be used to collect trade information include:

- Cruciano, A. 2007. The Livelihood Assessment Toolkit: a comprehensive rapid assessment of the impact of disasters on livelihoods. FAO - ILO. http://www.fao.org/fileadmin/user_upload/emergencies/docs/LAT_Brochure_LoRes.pdf

- Lundy & Gottret. 2004. Design of Strategies to Increase the Competitiveness of smallholder chains: Field Manual. CIAT. http://ciat-library.ciat.cgiar.org:8080/jspui/handle/123456789/1098

Notes

STEP 3. MAP OUT THE VALUE CHAIN



3.1 Draw a map and carry out a subsequent analysis of the value chain from the harvester/ hunter to the merchant, in order to identify the most vulnerable stakeholders involved at each juncture, focusing first on poor rural communities and those at the beginning of the value chain. This can be achieved through stakeholder interviews and focus groups.

Value chains are not necessarily linear, and consist of different activities that determine the various links and actors involved, including:

- Collection/harvesting of the wild resource;
- Wild resource management;
- Cultivation of the resource;
- Processing - either cleaning or drying that requires special expertise (e.g. natural fiber weaving), the purchase of inputs (e.g. dyes) or technologies;
- Storage - including the accumulation of raw materials and/or finished product at different points in the value chain;
- Transport - from the collection site and at other points along the value chain;
- Commercialization - the identification and development of market segments and niches;
- Sale - often between various groups of actors in the value chain.

When mapping out the value chain, the following literature may be consulted:

a. Chapter 9: Marshall et al. 2006. Commercialization of Non Timber Forest Products: Factors Influencing Success. Lessons Learned from Mexico and Bolivia and Policy Implications for Decision-makers. UNEP World Conservation Monitoring Centre, Cambridge, UK. http://www.odi.org/sites/odi.org.uk/files/odi-assets/publications-opinion-files/3769.pdf

b. The steps to map the value chain portrayed in chapter 7 of: Lundy, & Gottret. 2004. Design of Strategies to Increase the Competitiveness of smallholder chains: Field Manual. CIAT. http://ciat-library.ciat.cgiar.org:8080/jspui/handle/123456789/1098. The Spanish version may downloaded at: http://ciat-library.ciat.cgiar.org:8080/jspui/handle/123456789/1093

c. Appendix C: Supplementary market guidance, guide 6 - Mapping Markets and Commodity Flow in: Boudrea, T. 2007. (Ed). The Practitioners' Guide to the Household Economy Approach. The Household Economy Approach: A Programme guide for planners and policy-makers and The Household Economy Approach Facilitator's Resource Pack: Guidance materials for trainers http://www.savethechildren.org.uk/resources/online-library/practitioners%E2%80%99-guide-household-economy-approach

Notes

STEP 4. IDENTIFY INDICATORS TO EVALUATE HOW LIVELIHOODS DEPEND ON THE SPECIES IN QUESTION

4.1 Having identified the most vulnerable groups, people or communities, relevant poverty indicators must then be selected. These indicators will measure the impacts and changes. Gender equality indicators should also be included here.

4.2 The following resources may be consulted prior to the identification of indicators:

a. Wilkie, D., Wieland, M. and Detoeuf, D. 2015. A guide to the modified Basic Necessities Survey: Why and how to conduct BNS in conservation landscapes. WCS, New York, USA. http://globalinitiatives.wcs.org/DesktopModules/Bring2mind/DMX/Download.aspx?EntryId=28192&PortalId=97&DownloadMethod=attachment.

b. Leishner et al. 2007. Nature's investment bank. How marine protected areas contribute to poverty reduction. The Nature Conservancy, Washington, USA. http://www.nature.org/media/science/mpa_report.pdf.

c. Kusters et al. 2005. A method to assess the outcomes of forest product trade on livelihoods and the environment. CIFOR Working Paper no. 32. www.cifor.cgiar.org/publications/pdf_files/WPapers/WP32Kusters.pdf

d. Aldrich & Sayer, 2007 Landscape Outcomes Assessment Methodology (LOAM) In Practice. WWF, Gland, Switzerland. http://ciifad.cornell.edu/downloads/ME_LOAM_In_PracticeMay07.pdf. Annexes 2 and 3.

Notes

STEP 5. DEVELOP PARTICIPATORY RURAL APPRAISALS IN MAJOR TOWNS

5.1 Select the most appropriate methodology according to the time and human and financial resources available.

Most participatory rural appraisal methodologies recommend following the steps:

- Define the problem to be evaluated;
- Compile secondary information ;
- Identify areas or main communities in which information about livelihoods can be collected using a map or list of key sites;
- Conduct a stakeholder and institutional analysis to identify those that are key in the management of resources;
- In order to identify how livelihoods are affected, individuals must be interviewed, first to ascertain their livelihood strategies, and, second, to examine how these strategies might vary by gender or income level. This process may take the form of stakeholder interviews, focus groups or household surveys. Under the CITES framework, one key method for identifying stakeholders is the study of the production chain.

5.2 It is advisable to review the following methodologies, which may be adapted for use in a variety of contexts:

a. Sheil & Rajindar et.al. 2002. Exploring biological diversity, environment and the local people's perspectives in forest landscapes: Methods for a multidisciplinary landscape assessment http://www.cifor.org/mla/download/publication/exploring_bio.pdf

b. Kusters et al. 2005. "CIFOR: Method to evaluate the results of trade in forest products for livelihoods and the environment (http://www.cifor.org/ntfpcd/pdf/OWP7._pdf). This method contains many useful elements included in the CITES framework. In particular, the questions in Annex III used for the evaluation of sustainable livelihoods can be easily adapted to CITES, and Annex IV for the environmental assessment of the use of species. For example:

- Has physical access to the resource by producers become a lot worse (-2) worse (-1) better (+1) or much better (+2) as a result of the implementation of the CITES listing?
- Has there been a large reduction (-2), reduction (-1), increase (+1), or large increase (+2) in cash income for farming families as a result of the implementation of inclusion in CITES, or there has been no impact (0)?
- Has the health and nutritional condition of the community become much worse (-2), worse (-1), better (+1), or much better (+2) due to the implementation of the CITES listing, or was thereno impact (0)?

c. Marshall et al. 2006. Commercialization of Non Timber Forest Products: Factors Influencing Success. Lessons Learned from Mexico and Bolivia and Policy Implications for Decision-makers. UNEP World Conservation Monitoring Centre, Cambridge, UK. http://www.odi.org/sites/odi.org.uk/files/odi-assets/publications-opinion-files/3769.pdf

d. Cruciano, A. 2007. The FAO - ILO Livelihood Assessment Toolkit: a comprehensive rapid assessment of the impact of disasters on livelihoods, atthe following link: http://www.fao.org/fileadmin/user_upload/emergencies/docs/LAT_Brochure_LoRes.pdf. Volume 4 of Cruciano's 2007 publication demonstrates in detail how to perform an assessment of livelihoods, and explains how to deepen the analysis of evaluations.

e. Wilder & Walpole. 2008. Measuring Social Impacts in conservation: experience of using the Most Significant Change Method. Oryx, Volume 42, 529-538. http://www.mande.co.uk/blog/wp-content/uploads/2010/08/2008-Measuring-social-impacts-in-conservation-Wilder-Walpole.pdf

f. IFRC 2007 VCA toolbox with reference sheets. International Federation of Red Cross and Red Crescent Societies. Geneva, Switzerland. http://www.ifrc.org/Global/Publications/disasters/vca/vca-toolbox-en.pdf

g. Ashley & Hussein. 2000. Developing Methodologies for Livelihood Impact Assessment: Experience of the African Wildlife Foundation in East Africa. ODI / AWF. http://www.odi.org.uk/resources/download/2032.pdf

h. Dudley & Stolton. 2008 (revised 2009). The Protected Area Benefits Assessment Tool: A methodology. WWF, Gland, Switzerland. Download: http://wwf.panda.org/?174401/PABAT

i. Boudrea, T. 2007. (Ed). The Practitioners' Guide to the Household Economy Approach (HEA). The Household Economy Approach: A guide for programme planners and policy-makers and The Household Economy Approach Facilitator's Resource Pack: Guidance materials for trainers. http://www.savethechildren.org.uk/resources/online-library/practitioners%E2%80%99-guide-household-economy-approach

Notes

STEP 6. MONITOR AND EVALUATE THE IMPACTS

6.1 This step focuses on monitoring and evaluating the impacts. Monitoring will take place based on the chosen indicators and will involve stakeholders through surveys, meetings and other participatory methods where appropriate. If there is a possibility that a species could potentially be listed under CITES in the future, it would be useful to develop a baseline survey that would compare the social and environmental indicators both before and after the entry into force of the regulation.

It is recommended that the following specific actions be undertaken when monitoring and evaluating impacts:

- Define the instances and those responsible for the monitoring and evaluation.
- Define how often the selected poverty indicators are to be monitored and the resources needed to do so. The frequency of monitoring will depend on several factors including resource availability, in addition to the dynamics of use and extraction of the species as well as reproduction rates. For example, the frequency will differ if the use of the resource is seasonal or year round.
- Define how the indicators will lead to a decision. In other words, a plan must be established together with stakeholders to take action once the poverty indicator is measured. This plan would lead to the establishment of mitigation measures and the promotion of the sustainable use of the species. Mitigation measures are covered in Part II of this Handbook.
- Set a date for the review of assessments and indicators, in order to make adjustments and modifications if necessary.

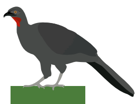
6.2 It is recommended that Parties review the following documents for further details on the monitoring and evaluation of impacts:

a. The Most Significant Stories of Change method, when applied to certain stakeholders, can be a means to identify the changes that occur as a result of the inclusion of a species in CITES: Wilder & Walpole. 2008. Measuring Social Impacts conservation: experience of using the Most Significant Change method. Oryx, Volume 42, 529-538, at the following link: http://www.mande.co.uk/blog/wp-content/uploads/2010/08/2008-Measuring-social-impacts-in-conservation-Wilder-Walpole.pdf

b. The step by step Most Significant Stories of Change method can be accessed in: Davies & Dart 2005. The 'Most Significant Change' (MSC) Technique: A Guide to Its Use. http://www.mande.co.uk/docs/MSCGuide.pdf

c. The Cambridge Conservation Forum prepared a useful, questionnaire-based spreadsheet for evaluating and measuring results and impacts. It serves as a point of departure for outcome evaluations at the policy, livelihood and ecological levels. Harmonizing Conservation Measures of Success (2012) http://www.cambridgeconservationforum.org.uk/initiative/harmonising-measures-conservation-success

Notes



Synthesis of recommended Participatory Rural Appraisal methodologies for measuring the social impacts of CITES

An abundance of methodologies for analyzing the impacts of conservation and development projects on the livelihoods of individuals and communities have been developed. This section summarizes 14 relevant methodologies that may be applied either partially or wholly, depending on the circumstances of each country, region and species. While many of these tools focus on local impacts or are project based, others include complex methods whose application requires a considerable amount of time. Evaluators may extract appropriate methods or questionnaires as needed, taking into consideration their specific resources and context.

TABLE 1. MAIN CHARACTERISTICS OF METHODOLOGIES TO EVALUATE SUSTAINABLE LIVELIHOODS

Organization	Objetive	Conceptual Framework	Method	Results	Time of executions	Author
1. Method to evaluate the results of trade in forest products for livelihoods and the environment	Results of the commercialization of forest products	Five capitals: list of assets and income with the Likert scale	Homes, community and national level	Report	Variable	CIFOR: Kusters, et.al., 2005
2. Criterion of the household economy	Vulnerability / drought, price, etc.	Framework of household economy and livelihoods, with market analysis. Baseline + risk + defense mechanism= result	Desk, Household participatory	Quantitative results and maps, Spreadsheet	Update of baseline 3 to 10 years	Save the Children: Boudrea, T. 2007
3. Outcomes Assessment Methodology for Landscape level -LOAM-	The landscape for project formulations	Risks, taboos, vegetation types, prices, natural products	Desk, Participatory	Spreadsheet, Report	Variable	WWF. Aldrich, & Saber. 2007
4. Multidisciplinary landscape assessment	The landscape for project formulation	Risks, taboos, vegetation types, prices, natural products	Desk, Participatory	Spreadsheet, Report	Variable	CIFOR: Sheil & Rajindar 2002
5. Report on the marketing of non-timber forest products	Research on the marketing of non-timber forest products	Five capitals + trade analysis: business budgets, market and value chain analysis	Desk, Participatory, Market Tool	Spreadsheet, Report	Variable 2 weeks initially	UNEP-WCMC:Marshal, et al., 2006

Organization	Objetive	Conceptual Framework	Method	Results	Time of executions	Author
6. Methodologies for Assessing Livelihoods	Disaster and risk assessment	Framework of sustainable livelihoods, capabilities, assets, activities	?	?	? baseline	FAO/OIT: Cruciano, A. 2007
7. The Most Significant Change Method	Project impacts	Open	Desk, Participatory	Report	Variable	Fauna y Flora Internacional: Wilder, & Walpole. 2008
8. Vulnerability and capacity assessment	Vulnerability and risk assessment	Analysis of vulnerability, capacity and risks	Desk, Participatory Homes	Report	Línea de base	Cruz Roja Internacional: IFRC 2007
9. Nature's Investment Bank	Benefits of protected areas	Opportunities, empowerment, security	Desk, Participatory Homes	Report	Variable	The Nature Conservancy :Leishneret al., 2007
10. Development of methodologies for the Evaluation of Impacts on Livelihoods:	Impacts and contribution of the projects	Five capitals	Desk, Participatory Homes	Report and method	Variable	ODI/AWF: Ashley, & Hussein. 2000
11.Tool for the Evaluation of Protected Areas Benefits PA-BAT	Benefits of protected areas	Five capitals – subsistence, economy, culture, ecosystem services, policy	Desk, Participatory	Spreadsheet, Report	Variable	WWF: Dudley, & Stolton. 2008
12. Cambridge Conservation Measures Partnership	Impact of projects	Five capitals	Desk, Participatory	Spreadsheet, Report	Variable	Cambridge Conservation Forum. 2012
13. Designing strategies to enhance the competitiveness of value chains with smallholders	Strengthening value chains and production initiatives	Analysis of the value chain	Desk, Participatory	Report and flow process	Variable according to the size and number of links	CIAT: Lundy & Gottret. 2004
14. Assessing the impact of conservation and development in rural livelihoods: Using a modified Basic Needs Survey for rural communities	Evaluation of livelihoods and poverty indicators	Unmet Basic Needs	Desk, Participatory	Report	Variable, depending on the size of the population to be interviewed	WCS, 2012

1 Method to Assess the Outcomes of Forest Product Trade on Livelihoods and the Environment: CIFOR

This methodology is a good example of a Rapid Rural Appraisal. It is used to evaluate the impacts of trade in non-timber forest products (NTFP) on livelihoods and the environment. The Sustainable Livelihoods Framework, covered in Annex I of this Handbook, can be used in conjunction with this methodology, which, contains a number of indicators that assess changes in the financial, physical, natural, human and social capitals, at the household and community level. The methodology includes a series of questions organized in a table that demonstrate the results of the evaluation.

The indicators used span four different levels: 1) species population, 2) ecosystem where species use takes place, 3) landscape 4) global. The questions that are presented in the study can be directly applied to the context of CITES. Question 1.1. for instance, asks:

Has commercial production of the NTFP target species led to much worse, worse, better, or much better physical access by producer households to the target resource?

- This methodology is found in Kusters, K. Belcher, B, Ruiz-Perez, M and Achdiawan, R. 2005. A method to assess the outcomes of forest product trade on livelihoods and the environment. CIFOR Working Paper no. 32. www.cifor.cgiar.org/publications/pdf_files/WPapers/WP32Kusters.pdf

2 Criterion of the Household Economy Approach: Save the Children

Save the Children presents a framework for analyzing how people obtain food and other goods and services, and how they might respond to changes in their external environment, such as a drought or a rise in food prices. This guide introduces material on how to use market assessments to help determine an appropriate response to acute food insecurity. It is complemented by "The Household Economy Approach: A guide for program planners and policy-makers" and "The Household Economy Approach Facilitator's Resource Pack: Guidance materials for trainers." The guide is very detailed and, as with some of the other tools, the results are displayed in checklists and spreadsheets that enable quantitative analysis. Save the Children uses rapid appraisal methods such as focus groups as the primary means to collect data, but random sampling and surveying may supplement this. Its analysis is based on the idea that geography, production systems, markets and trade determine both vulnerabilities and coping strategies. By assessing the baseline, hazards, and coping strategies, it is possible to predict the potential outcomes. This framework is especially beneficial in the context of CITES, as livelihood zoning maps have been developed by Save the Children and its partners in a number of countries. In Table 2 below, some of the methods discussed in the guide are presented.

TABLE 2. DIFFERENT PHASES OF THE METHODS FOR COLLECTING INFORMATION

Baseline	
Livelihood	Semi-structured interviews per area; participatory workshops; secondary data review
Wealth Breakdowns	Semi structured interviews; proportional piling; census data review (to cross check household composition)
Analysis of Livelihood Strategies	Semi-structured interviews; secondary data review (to cross-check yields, production, livestock numbers, etc.); proportional piling; participatory seasonal calendars and community mapping
Outcome Analysis	
Problem Specification	Household surveys (to gather monitoring data such as crop production and prices); Semi-structured interviews; review of secondary information, especially time series data
Analysis of Coping Capacity	Semi-structured interviews; review of secondary data (on labor markets, herd composition, viable off-take rates, etc.)
Projected Outcomes	No additional information goes into this step; this step comprises an analysis and processing of the data and information gathered in the previous steps

- The Save the Children framework is available in: Boudrea, T. 2007. (Ed). The Practitioners' Guide to the Household Economy Approach (HEA). The Household Economy Approach: A guide for programme planners and policy-makers and The Household Economy Approach Facilitator's Resource Pack: Guidance materials for trainers: http://www.savethechildren.org.uk/resources/online-library/practitioners%E2%80%99-guide-household-economy-approach

3 Landscape Outcomes Assessment Methodology (LOAM): WWF

The WWF, together with its partners, has developed another tool for use at the landscape level: the Landscape Outcome Assessment Methodology (LOAM) (Aldrich and Sayer, 2007). This tool aims to measure how a landscape changes over time by assessing the progress in delivering agreed upon, predefined conservation and livelihood outcomes. The LOAM also encourages the development of a participatory process and a common understanding amongst stakeholders.

The LOAM applies the Capital Assets/Sustainable Rural Livelihoods Framework (Carney et al., 1998). A stakeholder process is used to develop a small, illustrative set of locally appropriate indicators grouped under each of the five capitals of the Livelihoods Framework. A scoring system is then applied to measure, monitor and demonstrate the changes in the landscape over time. The results can be illustrated graphically. This process begins with initial desk-based studies and is followed by stakeholder analyses and the development of a participatory process, which examines possible scenarios for change and leads to the development of indicators.

- A detailed account of the LOAM methodology may be found in Annexes 2 and 3 of Aldrich, M. and Sayer, J. 2007. Landscape Outcomes Assessment Methodology (LOAM) In Practice. WWF, Gland, Switzerland. http://ciifad.cornell.edu/downloads/ME_LOAM_In_PracticeMay07.pdf

4 Multidisciplinary Landscape Assessment: CIFOR

CIFOR has also developed a comprehensive Landscape Level assessment approach. Their approach combines both traditional, scientific recording and participatory recording of site characteristics including soil types and transects, through village surveys. The document uses an explanatory case study from East Kalimantan, Indonesia, to demonstrate the steps taken to advance participatory biodiversity surveys, including: the definition and mapping of the area; interview design; holding focus groups; and conducting surveys. In addition, the method outlines scoring criteria for interviews, and contains forms intended for the collection of biological, social and economic data within the household, the community and the value chain. Many of these data sheets provide useful examples of questions that CITES Parties may adapt according to their needs.

- This methodology can be found in: Sheil D, Rajindar K. et.al. 2002. Exploring biological diversity, environment and the local people's perspectives in forest landscapes: Methods for a multidisciplinary landscape assessment. http://www.cifor.org/mla/download/publication/exploring_bio.pdf

5 Commercialization of NTFP Report: UNEP-WCMC

This report summarizes the results of a multidisciplinary project, implemented in Bolivia and Mexico, which analyzed the structure and function of ten non-timber forest product (NTFP) value chains in eighteen communities. It contains a valuable collection of lessons learned on the commercialization of NTFP and livelihoods. Chapter 9 of the report is particularly relevant, as it focuses on mapping and understanding the existing dynamics of a value chain.

- This UNEP Report may be consulted in: Marshall, E., Schreckenberg, K. and Newton, A.C. (Eds) 2006. Commercialization of Non Timber Forest Products: Factors Influencing Success. Lessons Learned from Mexico and Bolivia and Policy Implications for Decision-makers. UNEP World Conservation Monitoring Centre, Cambridge, UK. http://www.odi.org/sites/odi.org.uk/files/odi-assets/publications-opinion-files/3769.pdf

6 Methodologies for Assessing Livelihoods: FAO / ILO

While this instrument is intended for planning and recovery in the case of a disaster, the tools for developing the baseline and the Participatory Rural Appraisal can be easily adapted for the purposes of CITES evaluations. This instrument recognizes the importance of livelihoods strategies that are not agricultural in nature. The authors prepared a common framework, the Integrated Post-Disaster Livelihood Assessment and Planning System (LAPS), which consists of three phases.

1 Livelihoods Baseline:

   I. Use the manual for livelihood evaluation to design baseline surveys

2 Initial Impact Analysis - Assess initial livelihood impacts:

   I. Assess impacts within 10 days of the disaster

   II. Follow-up with another assessment three months after the disaster

3 Livelihoods Rapid Assessment:

Desk-work:

   I. Pre-disaster livelihood baseline

   II. Updating labor market information

   III. Severity of disaster exposure

   IV. Organizations' capacity for relief and recovery

Quick field visits:

   I. Impact of disaster on local livelihoods

   II. Initial coping strategies

   III. Suggested livelihood recovery responses

   IV. Employment-intensive investment opportunities for recovery

Volume 4 of the document provides a step-by-step explanation of how to conduct a detailed assessment of livelihoods.

- This instrument may be found in: Cruciano, A. 2007. The FAO - ILO Livelihood Assessment Toolkit: a comprehensive rapid assessment of the impact of disasters on livelihoods. http://www.fao.org/fileadmin/user_upload/emergencies/docs/LAT_Brochure_LoRes.pdf

7 Most Significant Change Method: Fauna Flora International

The most significant change method is a simple, qualitative and participatory approach that seeks to determine the impact of a program by collecting stories of people affected by the most significant changes experienced during the implementation of a program. The method seeks to ascertain changes in the general standard of living, and people's participation in development and social capital, among other things. The stories are collected during interviews either carried out on an individual basis or in a group setting. As such, this method is a systematic way to collect anecdotal information about changes that cannot be obtained through traditional quantitative methods, and does not use predefined evaluation indicators.

Fauna & Flora International (FFI) has tested the most significant change method for use in a conservation context (Wilder and Walpole, 2008). It can be used as a complement to an impact assessment, and as a means of gathering information about how livelihoods have changed as a result of decisions on the inclusion of species in CITES. Authors note that it is most appropriate for projects that are complex, have diverse outcomes, include many sites, and/or are participatory and focused on social change. In other words, it is a participatory monitoring and evaluation method that requires advance planning and design as well as investments, participation, and regular contact between communities and field teams in order to generate the types of data/accounts needed. (M. Walpole, personal communication.). It is important to note that the analysis indicates that the most significant change method is not suitable for rapid assessments, but may be useful in long-term studies.

- A case study using this tool may be found in: Wilder, L and Walpole, M 2008. Measuring Social Impacts in conservation: experience of using the Most Significant Change method. Oryx, Volume 42, 529-538, at the following link: http://www.mande.co.uk/blog/wp-content/uploads/2010/08/2008-Measuring-social-impacts-in-conservation-Wilder-Walpole.pdf

- A step by step explanation for the application of the most significant change method can be consulted in: Davies, R. and J. Dart 2005. The 'Most Significant Change' (MSC) Technique A Guide to Its Use. http://www.mande.co.uk/docs/MSCGuide.pdf

8 Vulnerability and Capacity Assessment: International Red Cross

The Red Cross, like many disaster relief organizations, is increasingly working with communities to help them develop their resilience to disasters. As part of this program, the Red Cross has updated their Vulnerability and Capacity Assessment tool kit (VCA) (IFRC, 2007). This is a community-based tool that enables communities to first identify vulnerabilities and subsequently develop an action plan to increase their own capacity to address many of the issues. As such, this is not conceived as a rapid assessment tool, but nonetheless contains a series of relevant points for a CITES approach.

This tool describes in detail how to make a social impact assessment. It stresses the importance of the choice of methods depending on the situation, highlighting that some methodologies may be more appropriate than others in different settings and, lastly, emphasizes the importance of triangulation to verify the results. The manual presents a format for collecting data on the assets and resources associated with livelihoods and household level activities, and a matrix that summarizes the results.

More information on this tool may be found in: IFRC 2007. VCA toolbox with reference sheets. International Federation of Red Cross and Red crescent societies. International Federation of Red Cross and Red Crescent Societies, Geneva, Switzerland http://www.ifrc.org/Global/Publications/disasters/vca/vca-toolbox-en.pdf

TABLE 3. IFRC MATRIX FOR DATA COLLECTION ON LIVELIHOODS, HOUSEHOLD ASSETS, AND RESOURCES

Naturals	Physical	Financial	Human	Social
Land	Tools and equipment	Savings	Education	Community groups
Water supply	Transport links	Access to credit	Training	Kin that resides elsewhere
Forest resources	Water supply/ taps		Skills	Religious groups
Fishing resources				Political groups
Wild plants				Social networks

9 Nature's Investment Bank: The Nature Conservancy

The Nature Conservancy's Nature's Investment Bank report compares the livelihoods of people living in areas containing a Marine Protected Area (MPA) with those living in areas without MPAs in order to assess the potential benefits of protected areas (Leisher et al., 2007). Researchers used a conceptual framework of opportunities, empowerment and security developed by the World Bank. They measured aspects of this framework using focus group discussions, stakeholder interviews, and small group household surveys. Over 1000 people in four areas of the Pacific were interviewed, and the researchers spent approximately 30 days at each site. The household surveys included qualitative data collection using indicators of improvement such as "fish catches have increased" with possible responses including "strongly agree, agree, don't know, disagree, and strongly disagree". Finally, opportunity or welfare indicators were plotted on radar plots for a graphic comparison of measures associated with marine protected areas and those not associated with MPAs. Researchers concluded that marine protected areas were associated with improved fish catches; new jobs, mostly in tourism; stronger local governance; benefits to health; and benefits to women. It should be noted that this study was site based. The table below lists the areas of activity analyzed, adapted by Leisher et al. (2007)

- The Nature Conservancy tool may be found in: Leisher, C, van Beukering, P. and Scherl, L.M. 2007. *Nature's investment bank. How marine protected areas contribute to poverty reduction. The Nature Conservancy*, Washington, USA. http://www.nature.org/media/science/mpa_report.pdf

10 Formulation of methodologies for the Evaluation of Impacts on Livelihoods: ODI / AWF

The ODI/AWF (Overseas Development Institute/African Wildlife Foundation) tool was designed to assess how conservation projects are impacting livelihoods. The approach employs a multi-disciplinary team but is somewhat time consuming – both for the assessors and for the local participants - as the main visit to each project lasts between 7-10 days. The report does, however, provide a useful summary of a variety of assessment tools and presents examples of a framework for data collection and analysis (Figure 1). It also provides examples of topics that could be covered in the assessment (Table 4).

Although the ODI tool is site-based and very labor intensive, it could potentially be modified for a more overarching process, if such simplification does not go against the livelihoods ethos. Concerns have also been voiced over the usability of indicators derived in a participatory manner and over the difficulty of integrating participatory data with other data. In addition, there have been questions raised over the separation of results by gender, as well as over Sustainable Livelihoods Approach's (SLA) failure to consider issues such as empowerment, politics and power.

TABLE 4. FOCAL AREAS OF LIVELIHOODS AS ANALYZED BY LEISHER ET AL (2007)

OPPORTUNITES	EMPOWERMENT	SECURITY
Income	Governance Mechanisms	Health
Housing	Community Participation	Social Cohesion
Luxury Goods	Benefits to Women	Cultural Traditions
Fish Catch	Access and rights	
Education		
Alternative Livelihoods		

FIGURE 2. LIVELIHOODS ASSESSMENT USINGTHE METHODOLOGY OF THE OVERSEAS DEVELOPMENT INSTITUTE AND THE AFRICAN FOUNDATION FOR WILDLIFE (IN ASHLEY AND HUSSEIN, 2000).

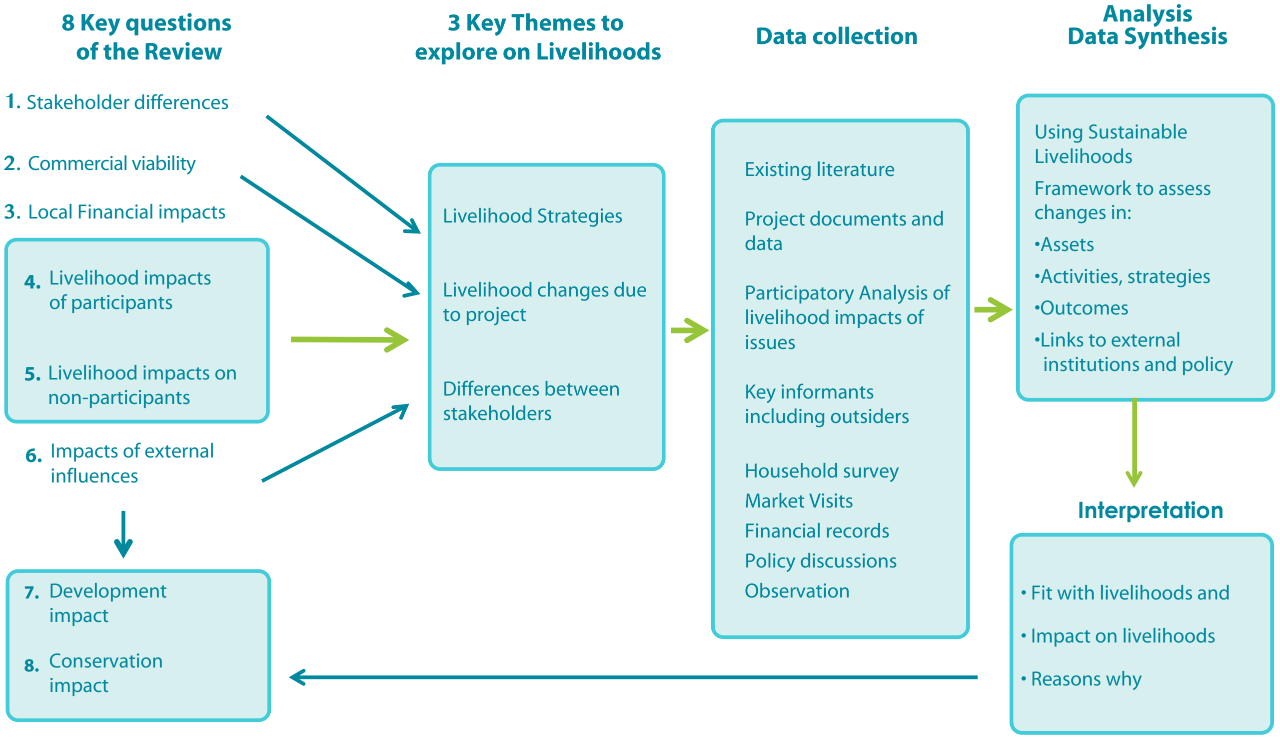


TABLE 5. ODI/AWF. TOPICS FOR A PARTICIPATORY ASSESSMENT OF LIVELIHOODS IMPACT (PALI) PROCESS (ASHLEY AND HUSSEIN 2000)

Topic	Activity	What can be learned
Current livelihood activities	List pros and cons	Livelihood strategies. Criteria for judging them.
	• Rank according to: • Contribution to income • Preference • Importance to HH. Discuss	Key activities and assets. Ball park figures for income from different activities. Values other than cash income. Criteria can then be discussed/ expanded/ ranked.
	Generate criteria for scoring activities and construct matrix.	As above, but more complex. Focus on locally generated criteria (which can then be ranked). Scoring against criteria is easier to visualize for consensus building and comparing across SH groups.
	Incorporate the wildlife enterprise in the above.	How wildlife enterprise fits into strategies, how it meets livelihood criteria.
	Construct matrix of activities and needs	What needs are, which activities are pursued and why. Which activities have multiple functions
	Construct matrix of positive and negative impacts of WE on other activities	Impacts of PROJECT on other livelihood activities
	Carryout any of the above in stakeholder groups	Differences between SHs in terms of activities, strategies, and impacts.

Topic	Activity	What can be learned
Seasonality	Construct matrix or discussion of seasonality of income, work, food availability.	Livelihood strategies. Main needs. Human Capital availability.
Wealth ranking	Carry out wealth ranking of participants and explanation of criteria.	Stakeholder identification. Local criteria for livelihood security.
	Compare with previous wealth ranking.	How people move in and out of poverty and why?
Scenario-building (positive and negative)	Paint picture (verbally or literally) of positive and negative future – in general or resulting from this enterprise.	Long-term trends. Long-term impacts of project. Useful if going on to joint planning.
Current assets and resources	Discuss what are the assets and resources you currently rely on to support the family (building blocks). How?	Should identify livelihood assets, and relative importance.
Constraints	Discuss: What are the constraints that prevent livelihood improvement?	Encourages focus on external influences.
Pros and Cons of WE	List pros and cons	Direct and indirect impacts of project.
	Rank pros and cons	Priority concerns, significance of impacts
	Identify who bears and receives benefits	Distribution of impacts between stakeholders
Participation in the project	Discuss who does and who does not participate. Why?	Stakeholder roles. Impacts as perceived by each.
	Discuss how participants are selected.	Barriers to participation (external or internal).
Expenditure of earnings	Rank/ matrix of items of expenditure. Who decides?	Impact of earnings (e.g. on needs, HH assets). Who benefits
Time-line and trends	Construct time line. Discussion of key events and gradual trends. How have people coped or adapted? How are they preparing for the next change? Household action, community action.	Adaptive livelihood strategies and coping strategies. Influence of external policies and organizations. Dynamic processes. Role of internal organization.
Changes and causes	Construct matrix of recent major changes and their causes, then rank the most influential causes of each.	Changes in livelihoods over time. Role of external influences. Significance or not of the project as a major influence.

The authors stress the importance of involving participants for a full understanding of impacts and how to address them as well as recognizing that different wealth and gender groups will be impacted differently.

This tool is available at:

- Ashley, C. & Hussein, K. 2000. Developing Methodologies for Livelihood Impact Assessment: Experience of the African Wildlife Foundation in East Africa. ODI/ AWF. http://www.odi.org.uk/resources/download/2032.pdf

11 Tool for the Protected Areas Benefits Assessment (PA-BAT): WWF

The WWF Protected Areas Benefits Assessment Tool (PA-BAT) was originally designed to assess the benefits of protected areas for a specific study, but it has since been developed as a more general tool and may be applicable to areas other than protected areas (Dudley & Stolton, 2008). The tool is based on the conceptual framework of the Sustainable Livelihoods approach developed by DfID (1999) and OECD (2001).

The WWF tool is an assessment tool; it was not designed as a monitoring tool. It does not record illegal use and or specific quantitative economic values, but rather it assesses qualitative values. The Tool consists of two sections to be completed at each site:

I. The first section collects specific information on the site name etc. and the team makes a qualitative evaluation of overall contributions to well-being.

II. The second section collects information on the benefits to protected area stakeholders such as: the types of benefits; who they are important to; qualitative information about their level of importance; their relationship to the protected area, and; the times of year during which they are important. For example, an assessment of the benefits of hunting includes the questions listed below:

Is hunting/plant collection/ medicinal use:

- o Of minor importance to subsistence?
- o Of major importance to subsistence?
- o Of minor importance as a source of revenue?
- o Of major importance as a source of revenue?
- o Of sacred value to identified stakeholders?

The guide recommends that "a broad range of stakeholders should be involved in carrying out the assessment, for example in a workshop involving park staff, local communities and others with an interest in the site. In this case there may be competing views about various benefits and it is possible that alternative views may have to be represented – for instance positive benefits for some stakeholders may be matched by negative impacts on others which will need to be recorded in the comments section of the report".

Some examples of stakeholders included in the WWF PA-BAT assessment are: indigenous peoples in protected areas; other inhabitants of protected areas; national population; government, and; the global community.

Additional information about the tool may be found in:

- Dudley, N and Stolton, S. 2008 (revised 2009). The Protected Areas Benefits Assessment Tool: A methodology. WWF, Gland, Switzerland. Download: http://wwf.panda.org/?174401/PABAT

12 Cambridge Conservation Measures Partnershipn

In an effort to respond to a call from the scientific community for more empirical data on the success of conservation interventions, a Cambridge based consortium has developed a spreadsheet to guide organizations in assessing project success (Kapos et al., 2008). This tool includes a series of questions aimed at measuring aspects related to livelihoods that may be relevant in a CITES context. The tool is particularly useful for the establishment of a monitoring and evaluation scheme as per Step No. 6 of this Guide.
The spreadsheet is available at:

- Cambridge Conservation Forum. Harmonising Conservation Measures of Success (2012). Online: http://www.cambridgeconservationforum.org.uk/initiative/harmonising-measures-conservation-success

13 Design of Strategies to Increase the Competitiveness of Smallholder Production Chains: CIAT

This field manual, prepared by the International Center for Tropical Agriculture (CIAT), is organized into 10 modules that take the user through a series of steps in order to select the value chain, identify the actors, design market intelligence reports, and negotiate competitive strategies as well as monitor and evaluate them. This process of strengthening rural value chains is of special importance to CITES. First, because it demonstrates how to map out the value chain (module 7), but also because it establishes measures that promote the sustainable use of resources and strengthened entrepreneurship in poor rural communities. When mapping out the value chain, it is crucial to ask questions regarding the makeup of the actors that it comprises, namely:

- Who are they?
- Where are they located?
- What are their roles in the value chain?
- How do they relate to and work with each other? Are the relationships good, fair or poor? Why?
- What are their characteristics? (Gender, age, education, skills, know-how, etc.)

The CIAT field manual is available online at:

- Lundy & Gottret. 2004. Design of Strategies to Increase the Competitiveness of smallholder chains: Field Manual. CIAT http://ciat-library.ciat.cgiar.org:8080/jspui/handle/123456789/1098. La versión en español en:http://ciat-library.ciat.cgiar.org:8080/jspui/handle/123456789/1093

14 Assessing the impact of conservation and development on rural livelihoods: Using a modified Basic Needs Survey in rural communities: WCS

This methodology, developed by the Wildlife Conservation Society (WCS), is built on a modification to the Basic Needs Survey developed by Rich Davies for Action Aid in 1998. It focuses on evaluating whether the conservation of biodiversity and mitigation of impacts on local families have a positive or negative influence on poverty and livelihoods. The methodology presents several concepts and activities that measure local livelihoods. It also provides a framework that examines how one might attribute positive or negative changes to livelihoods to conservation, regulatory and/or development activities and policies.

The WCS methodology contains a series of simple steps that gives the reader an understanding of how to 1) prepare a list of assets and services that cover basic needs; 2) obtain data from the Basic Needs Survey, and; 3) analyze said data. It also explains how to set indicators at both the municipal and household level, which is later exemplified by a case study. This methodology may prove to be beneficial to those facing time constraints, given that it is both relatively short, yet specific and to the point.

This methodology is available online at:

- Wilkie, D., Wieland, M. and Detoeuf, D. 2015. A guide to the modified Basic Necessities Survey: Why and how to conduct BNS in conservation landscapes. WCS, New York, USA. http://globalinitiatives.wcs.org/DesktopModules/Bring2mind/DMX/Downloadaspx?EntryId=28192&PortalId=97&DownloadMethod=attachment.

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Annex I: Conceptual Framework on Sustainable Livelihoods (Sustainable Livelihoods Framework)

Before undertaking a Rapid Rural Assessment of impacts resulting from the inclusion of species in CITES on livelihoods, it is useful to contemplate the conceptual framework out of which the array of tools presented in this guide originate.

Livelihoods are increasingly recognized as involving more than just economic factors, i.e. they are multidimensional (World Bank 2000; Kusters et al., 2005), and a number of conceptual frameworks have been developed to guide livelihood assessment given this characterization. The most encompassing and basic framework accepted by the international community is the Sustainable Livelihoods Approach or Framework (SLA or SLF), developed by DFID (1999) and OECD (2001), which is used to gain a better understanding of livelihoods, especially those belonging to the most disadvantaged populations.

The SLF examines the main factors impacting peoples' livelihoods, as well as the most common relationships among them. It may be used both to plan new development activities and to assess how existing activities might contribute to the sustainability of livelihoods, in this case playing an important part in assessments of the impact of the implementation of CITES-listings. The SLF does not claim to be an exact representation of reality. Its objective is to offer a variety of perspectives to stakeholders, thus fostering a coherent and structured dialogue on the different factors impacting livelihoods, their relative importance, and how they might interact. To that end, it assists in identifying appropriate starting points for supporting livelihoods.

The SLF is primarily people-centered. It is based on the idea that rural communities require a wide variety of assets in order to better their livelihoods. There is no one category of assets that may alone achieve the multiple and varied objectives these communities pursue.

The SLF employs the "Five Capitals" approach (Green, 2008):

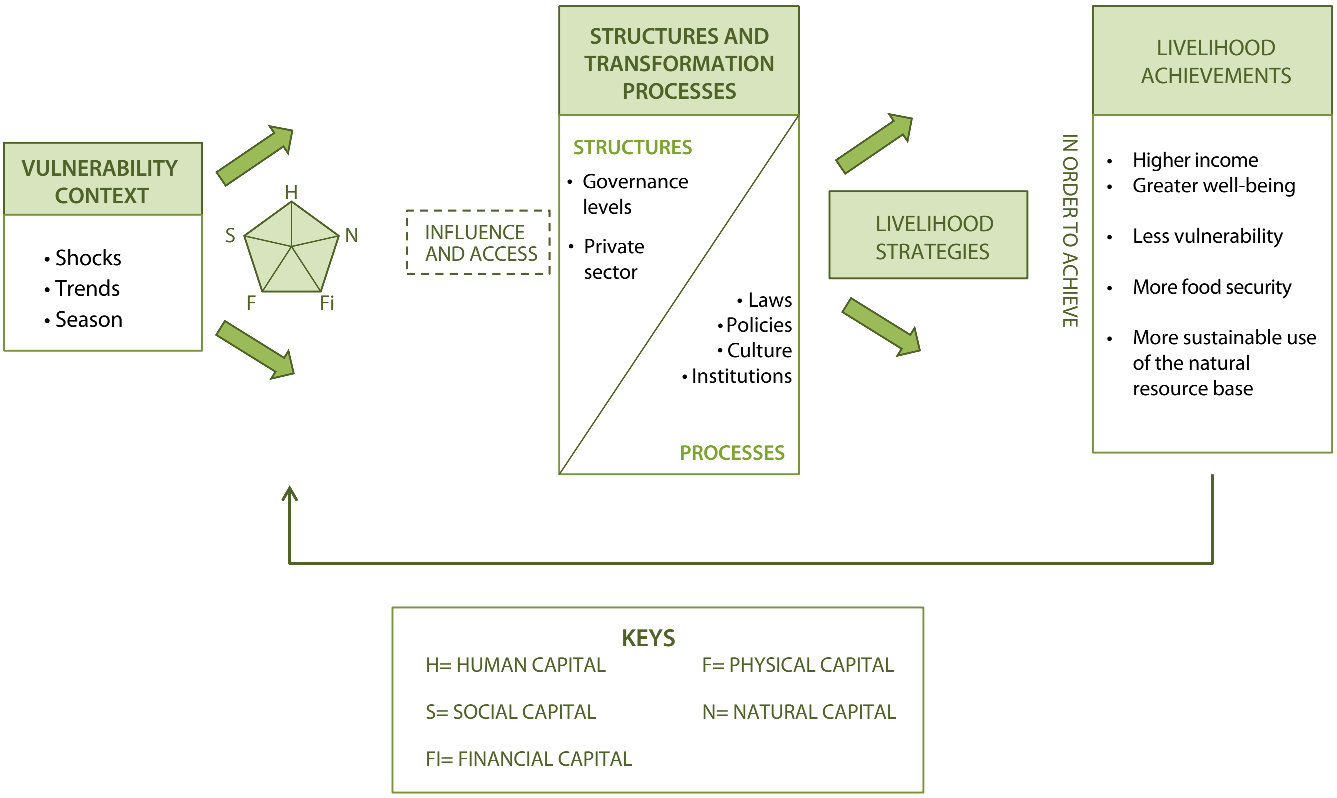
1. Human: skills, knowledge, ability to work, and good health
2. Social: The social resources upon which people rely, including informal networks with individuals or institutions such as political or civic bodies; memberships to more formal groups such as churches; and relationships of trust, reciprocity and exchange.
3. Natural: Stocks of natural resources upon which people depend, including common resources, land, water etc.
4. Physical: The basic physical infrastructure (shelter, transportation, irrigation, energy etc.) and processed goods required for livelihoods.
5. Finance: savings, wages, remittances and government transfers such as pensions.

This approach recognizes that rural communities' livelihoods and well-being are dependent on a complex array of issues (DFID, 1999; OECD, 2001; Carney et al 1998). The SLF is widely used in the development context and the approach, with appropriate modifications, has been used by organizations such as DFID, Save the Children, OXFAM GB and Oxfam South Africa, among others. Using the DFID's five capitals as a starting point, some organizations have modified the approach to include issues such as empowerment and politics. In contrast, others have reduced the framework to a more manageable triumvirate of assets, capacities and activities (de Stage, 2002).

As approaches evolve, focusing increasingly on rights, different emphasis is placed on concepts such as empowerment, governance, security, the health of the poor, hunger, assets, capabilities, and activities, depending on the objective of the organization carrying out the assessment. The World Bank, for instance, maintains that opportunities, empowerment and security are key issues. Consequently, both development and conservation agencies often use their own variations on the SLA theme.

Kusters et al. (2005) describe their use of the five capitals approach and the indicators they developed for use at the household, community and national levels in their CIFOR report, "*A method to assess the outcomes of forest product trade on livelihoods and the environments*". This approach provides a simple starting point for Parties that wish to to initiate and develop their own methods, particularly with regards to the national level indicators.

FIGURE 3. SUSTAINABLE LIVELIHOODS FRAMEWORK



Source: DFID, 1999

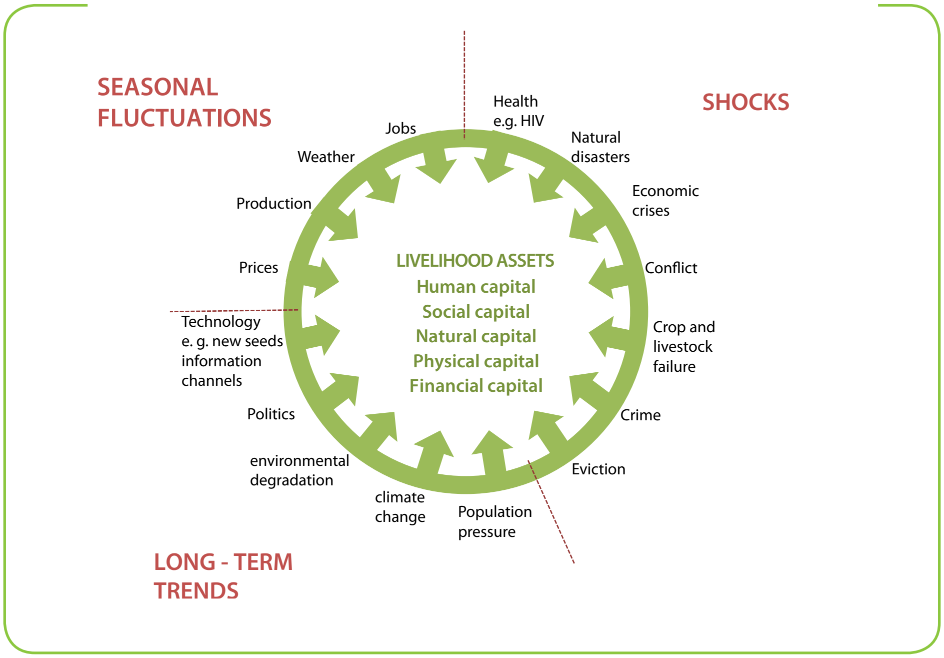
Annex II. Definition of poor rural communities for the purposes of CITES

Traditionally, "the poor" have been characterized in development literature as those who earn less than US $ 1-2 per day (World Bank, 2001), in other words by their purchasing power. According to this characterization of the poor, it is generally recognized that the poor have less access to: resources (adjusted for purchasing power parity), opportunities, power, low infant mortality rates and literacy. Of those living on less than US $ 2 a day, about 70% live in rural areas (IFAD, 2001) in which chronic poverty is associated with isolation and a lack of integration into society (Sunderlin et al, 2005; Woodhouse, 2002). Among the rural poor are those who are landless, those with a low revenue base, smallholders, pastoralists, rural women, ethnic minorities and indigenous populations (World Bank, 2003).

For the purposes of CITES, "the poor" can be considered as the rural poor or poor communities directly involved in the collection of specimens from the wild as part of their livelihoods. These are the people with the fewest alternatives to harvesting or processing wild products, or that are otherwise dependent on the ecosystems necessary to support the species that supply such products, and those who use wildlife as part of their adaptation strategies.

The concept of vulnerability adopted by this Handbook, is understood by Green (2008) as "that which describes the reduced ability of some communities or households to cope with events and stressors to which they are exposed." These stressors may be disasters, the death of a family member, illness, theft, eviction, loss of employment or a harvest, or drought or conflict affecting the entire community. Such events can lead poor families into a spiral of increased vulnerability and poverty. Although the concept of vulnerability is conceptually similar to poverty, it focuses on power relations, connections and exclusions that exist in society. The most vulnerable are thus marginalized groups with weak networks and connections that further impoverish their resilience.

FIGURE 4. HOW VULNERABILITY AFFECTS LIVELIHOODS



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