

**TECHNICAL GUIDELINES FOR
A RESEARCH ACTIVITY TITLED:**

**Community Forestry and
Poverty Alleviation in
Cambodia, Lao-PDR, and Vietnam**

This is a part of an Asian Development Bank project (RETA 6115) titled:
“Poverty Reduction in Upland Communities in the Mekong Region through
Improved Community and Industrial Forestry”

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I. The purpose of this document

The purpose of this document is to serve as the main reference guide for members of the research team. It shall be used as the framework for orientation and instruction for the enumerators and data encoder. It shall be used by the enumerators as a source of information on the general aims of the project, and of this research activity in particular, so that this information can be conveyed (for example) to village respondents and to officials in the field. The document shall be used by enumerators as a means of resolving methodological issues that may arise in the field when they are out of contact with the field research supervisor. Among other purposes, the research team will use this document as a basis for knowing the exact meaning of all variables measured in the survey. The encoder will use this document, among other purposes, as a guide for interpreting the answers recorded in survey forms.

These technical guidelines are a “living document.” They will be modified and improved in the course of the orientation, instruction and pre-testing phases of the research activity.

Finally, an important purpose of this document is to serve as a reference for people who are not members of the research team. If needed, this document can serve as a means for others to evaluate the quality of our methodology, or to replicate our study.

II. Why is this research project (ADB RETA 6115) being conducted?

The Asian Development Bank project RETA 6115 is titled “Poverty Reduction in Upland Communities in the Mekong Region through Improved Community and Industrial Forestry.” The overall goal of this project is to increase the contribution of forest resources to poverty alleviation in Cambodia, Laos, and Vietnam. This will be achieved by first conducting research on various kinds of forest resources uses (e.g. community forestry, industrial forestry, trade), presenting the results of the research at stakeholder meetings, and then proposing ways to improve the policies and practices that influence forest resource use in the region.

The specific purposes of RETA 6115 are to:

- Assess poverty alleviation performance and potential of community and industrial forestry
- Assess the likely impacts forest industry investment structure & trade patterns
- Focus on provinces where the incidence of poverty is high and where the potential for forest-based poverty alleviation is high
- Reduce the vulnerability of forest-dependent communities, especially ethnic minorities and women

The specific outputs of RETA 6115 will be:

- Development of strategies for food and livelihood security
- Assessment of the potential for poverty alleviation through improved community forestry
- Assessment of the potential for poverty alleviation through improved industrial forestry
- Assessment of the livelihood effects of forest products trade
- Evaluate and propose ways to improve the integration of the forest sector into national poverty alleviation strategies
- Identification of enabling policy frameworks
- Involvement of key policymakers in a policy reform agenda

Please note that although the title of the project suggests a focus on the uplands, the project will in fact be carried out in whichever parts of the three case study countries (uplands or lowlands) where there is both a high incidence of poverty and also good potential for forest-based poverty alleviation.

III. Basic elements of the community forestry research activity

Our work will concern only one of several components in RETA 6115. We will focus specifically on community forestry. This section of the technical guidelines explains: (1) the problem that we are researching; (2) the questions and hypotheses that we are posing to address the research problem; (3) the approach of the research; (4) the procedure for selecting appropriate community forestry sites for the research; and (5) the schedule for implementation of the research.

1. The problems being investigated

Traditional models of community forestry have long existed in the Mekong Region. By “traditional models” is meant systems of local level forest management that were created in a community and that were not introduced from the outside.

Introduced models of community forestry are relatively recent and are growing rapidly. By “introduced” models of community forestry is meant a system of forest management presented from outside the community by the government, by an international agency, or by a local NGO, or some combination of the three. It might or might not be super-imposed on pre-existing traditional systems of community forest management.

In this research activity we will focus on introduced rather than traditional models of community forestry because introduced models present a good opportunity for improvement through policy reform, extension, and investment. Hereafter, the term “community forestry” shall refer only to “introduced community forestry,” except where otherwise noted. Moreover, the term “community forestry” shall also be synonymous with “village forestry” or “participatory sustainable forest management” – the terms used in Lao-PDR.

What has been the achievement of community forestry in alleviating poverty in Cambodia, Laos, and Vietnam? No one knows, because there has never been any systematic, empirical field research on this topic. That is one key problem being investigated in this research activity.

There are two additional key problems. First, although community forestry projects are frequently introduced to improve the livelihoods of participants, it is never specified whether the project intends to: permanently lift participants out of poverty (poverty elimination); enable participants to avoid falling into poverty if they are just above the poverty line (poverty avoidance); or merely make the participants’ poverty less bad than it is (poverty mitigation).

Second, community forestry projects often tend to have not just the goal of poverty alleviation, but also other goals such as improved forest management or resolution of land claims. Do these other goals tend to assist fulfillment of the poverty alleviation goal, or do they compete with this goal? No one knows, because there has been no empirical research on this issue.

2. Key and subordinate research questions

2.1 General questions:

There are four key research questions being posed in this field research activity on community forestry in the Mekong region:

- (1) Has community forestry been successful in alleviating poverty (in the sense of the poverty elimination, poverty avoidance, or poverty mitigation)?
- (2) If it has been successful, how has it achieved this success?
- (3) Is the goal of poverty alleviation compatible with the other goals of the community forestry project?
- (4) If there have been deficiencies in the design or implementation of community forestry, what are they, and how can such problems be overcome?

Related to these key questions, there are also many subordinate questions that will be addressed. Among them are the following:

- Did the project explicitly or implicitly aim to mitigate poverty, avoid poverty, or eliminate poverty, or all three?
- Was the forest resource base to which the project participants had access potentially sufficient in quantity and quality to help meet the project's poverty alleviation goals, and to do so in a lasting way?
- Was the non-forest income of the participants sufficiently large and stable to support the poverty alleviation goals of the project?
- Were the local forest resource access rules adequate and sufficient for the purpose of meeting poverty alleviation goals? (This can be very important from the standpoint that forestry rules and regulations often prohibit specific uses of forest resources.)

- In cases where project participants are being given access to timber rents, were the benefit sharing arrangements adequate and sufficient for the purpose of meeting the project's poverty alleviation goals?
- In cases where the project aimed to have participants market forest products, were the marketing arrangements adequate for the purpose of meeting the project's poverty alleviation goals? Specifically, were the participants in a position to get the best possible price for their products through having sufficient price information, access to a variety of buyers, and means of transportation to markets? Were the project participants sufficiently well organized among themselves so as not to be needlessly victimized in unfair marketing arrangements?
- Were the livelihoods of the participants sufficiently well endowed in terms of the "five capital assets" so that they had the best chance possible to take advantage of the opportunities offered through the community forestry project? Specifically, were the natural resources at their disposal sufficient (natural capital)? Were the local infrastructure and the participants' own tools and technology sufficient (physical capital)? Did they have a sufficient level of general education and were they well enough trained to take advantage of the project (human capital)? Were their monetary endowments (e.g. savings and access to credit) adequate? Were the participants' networks of relationships (e.g. ties with extended family member, local organizational capacity) sufficiently robust to support effective participation in the community forestry project (social capital)?
- Was the level of education and training of the project extension agents sufficient for the purpose of enabling the project to perform successfully?
- In cases where the community forestry project depended on outside funds or subsidies for its implementation, were those endowments sufficient to enable the project to perform successfully?
- Was the project carried out in a period of time that was free of calamities, for examples, droughts, floods, conflict and war, forest fires, etc.? If a given project failed to meet poverty alleviation objectives, is it possible this happened in large measure because of factors that had little to do with the design and implementation of the project?

2.2 Specific equity issues:

In addition to the above, there must also be questions posed with regard to specific equity concerns. These issues are: participant selection; "internal" equity problems, including possible misappropriation of benefits and gender discrimination; "external" equity threats; and standards of fairness among

neighboring communities and among ethnic groups. These equity-related questions are as follows:

Participant selection:

- At the time that a community forestry site was being established, was an effort made to prioritize participation of the “poorest of the poor”?
- If yes, were the poorest of the poor indeed prioritized successfully in the participant selection process?

Researchers must be aware that the relevance of this question is in proportion to the size of the forestry benefits to be expected from the project. The greater the benefits, the higher the degree of competition for entry, and the more likely it is that those who are weak and powerless will not get access to those benefits. Conversely, if the level of benefits in a given community forestry project is low, equity concerns of this type rarely materialize.

Internal equity:

- Are there ways in which project benefits have been inappropriately monopolized by members of the group, sometime to the disadvantage of the poor?

As above, the danger of this happening is directly proportional to the size of the available project benefits.

Gender issues:

- Have the interests of women been adequately taken into account in the planning and implementation of community forestry projects?

Women are sometimes victimized by discrimination in the planning and implementation of community forestry projects. One possible form of discrimination is that women might not be given any role in the planning and implementation of a given project, even if they might have a key role in managing forest resources, and even if they might be a major source of labor for carrying out the project. Another form of discrimination is economic. Women sometimes fail to reap the full economic benefit of their participation in a project, even if they have a substantial role in doing the work. Yet another form of discrimination is that which can befall female-headed households. The woman heading a household might not be included in the project because she is a woman (i.e. because there is no adult man in the household to serve in the project’s committee of participants), in spite of the fact that female-headed households are often poor. These forms of discrimination can be difficult to deal with under circumstances where the bias is legitimized by local culture and mores.

External threats:

- Have the potential benefits of a given community forestry site been forcibly appropriated or denied by a powerful outside agent?

Some of the greatest threats to the poverty alleviation potential of community forestry can come from outside of the community. This is particularly the case when the resources available to the community are abundant. There are many reported cases in Mekong countries (some related to community forestry and some not) where local forest resources are forcibly appropriated by powerful outsiders. These outsiders can be private timber concessionaires, members of the military, or other powerful individuals and organizations.

- Have the potential benefits of a given community forestry site been forcibly appropriated or denied by one or more neighboring villages?

In some cases, the “external threat” is not a powerful individual or organization, but instead a neighboring village. There are many cases where a village involved in community forestry cannot take full advantage of the forest resources at its disposal because of competing claims to the same forest by neighboring people who are not participants in the community forestry project. Resolution of such problems can be exceedingly difficult for at least three reasons. First, the “intruders” may believe they have a rightful claim to the forest resources because of pre-existing, traditional land use rights that predate the introduction of the community forestry project. Second, there is inherent ambiguity concerning the issue of distance: Does a village necessarily have a better right of access because it is closer to a given forest? Third, and related to the second point, as forests become more and more degraded, people travel further and further away to get access to forest resources they depend on.

Discrimination against ethnic minorities:

- Have the interests of ethnic minorities been taken into account in the planning and implementation of the community forestry project?

Ethnic status, like gender, is an issue where power relations and longstanding prejudices and mores can undermine a fair outcome in the implementation of community forestry. Ethnic minorities in the Mekong region are often victimized by their inability to assert their resource management preferences. This is made all the more difficult by a tendency to look down on land use practices that are judged to be insufficiently modern and efficient. These issues can be particularly sensitive in cases where minority and majority ethnic groups lay claim to the same forest resources, or in cases where powerful outside actors lay claim to forest resources that are nominally under the control of a minority ethnic group.

Another possible flash point is when both majority and minority ethnic groups live in the same community and are involved in the same community forestry scheme.

3. Approach of the research: intensive and extensive

The first phase of the field research will be carried out at four community forestry sites. Enumerators working at these sites will conduct a census of all households in the project village or villages, a survey in a representative sample of the households through use of a questionnaire, a qualitative meeting with key informants, and an exercise to rank the wealth of all village households, also with key informants. (Qualitative interviews will be conducted separately by the ethnicity and gender consultants on their topics.) Each enumerator will spend from two weeks to a month at each site depending on the size of the community forestry project, the sampling intensity, and the possibility of interviewing non-participants. This phase of the research is called “intensive” because it involves getting a lot of in-depth information at relatively few sites.

The second phase of the field research will be carried out at 40 community forestry sites. At each of these 40 sites, enumerators will conduct one interview with key informants for the main purpose of knowing whether the findings at the four intensive sites also apply at a larger number of sites. This phase of the research is called “extensive” because it involves getting a relatively small amount of information (in comparison to what is gathered at the four intensive sites) at a large number of sites.

4. Selection of community forestry sites

All of the research sites will be chosen on the basis of two stratification variables. This means that the approach of the research will be to compare and contrast sites on the basis of four different qualities.

In each country, research sites will be selected from all national community forestry sites on the basis of stratification criteria that are most relevant to the main community forestry issues being faced in that country. In Cambodia, sites will be selected on the basis of distance to market (near/far) and forest land use (protection/production). In Lao-PDR, forest benefits (NTFP only/timber and NTFP) will be cross-classified with village relocation status (relocated/non-relocated). In Vietnam, sites will be selected on the basis of distance to market (<30km/>30km) and forest quality (poor/average-rich). These stratification criteria are shown in Figure 2.

CAMBODIA		FOREST LAND USE	
		PROTECTED	PRODUCTION
DISTANCE TO MARKET	NEAR		
	FAR		

LAO-PDR		VILLAGE RELOCATION STATUS	
		RELOCATED	NON-RELOCATED
FOREST BENEFITS	NTFP ONLY		
	TIMBER AND NTFP		

VIETNAM		FOREST QUALITY	
		POOR	AVERAGE-RICH
DISTANCE TO MARKET	< 30 KM		
	> 30 KM		

Figure 1 Stratification criteria for selection of case study sites in Cambodia, Lao-PDR, and Vietnam.

In the selection of the intensive research sites, one research site will be selected from each of the four cells, for a total of four sites. The sites will be chosen *deliberately*, not randomly.

In the selection of the extensive research sites, ten research sites will be selected from each of the four cells, for a total of 40 sites. The sites will be chosen *randomly* within each of the four cell groupings.

5. Schedule

	04	2005											
Tasks	D	J	F	M	A	M	J	J	A	S	O	N	D
Training and pretesting													
Research at 4 intensive sites													
Data entry for 4 sites													
Research at 40 extensive sites													
Data entry for 40 sites													
Data analysis & writing nat'l reports													
Writing of synthesis reports													
National and regional consultations													

IV. Field research philosophy and approaches

1. Explanation of the research objectives at the research site

In the course of identifying four community forestry sites that are appropriate for the intensive research, the enumerator will explain to a village leader or village leaders the purposes and scope of the research activity. *This is potentially the single most important and challenging step in the course of the research, in terms of assuring the success of data collection. For this reason, it is of the utmost importance that the enumerator perform this public relations activity with great care and thoroughness.*

The reason this step is crucial is that in conveying to village leaders the importance and integrity of the research activity, you lay the groundwork for interest and cooperation on the part of villagers. Conversely, if the enumerator fails to persuade prominent village people that the aims of the activity are important and sound, then the chances of noncooperation on the part of villagers are high.

In the course of explaining the purposes and scope of the research activity to village leaders, the enumerator will summarize succinctly most of the information presented in the technical guidelines up to this point -- which is to say: the goals of the ADB project; the research problem being investigated; the key research questions; the basis for the selection of the project and village (or villages); and the timetable of the research.

In addition, the enumerator will convey three of the eleven principles listed below in order to be sure we maximize community understanding of our aims and methods. The principles that must be explained at this stage are those concerning:

- the fact that this is a research project and not a development project (principle no. 2);
- the fact that confidentiality will be strictly maintained in the sense of not associating the names of respondents with our findings and reports (principle no. 3);
- the fact that the only legitimate respondents in the course of data collection are village inhabitants themselves (last part of principle no. 8).

If the village leaders wish to see or have a copy of the guidelines or the blank census or survey forms, this is acceptable. There is nothing about our aims and methods that is the least bit sensitive in terms of public disclosure.

2. Eleven key principles

The following eleven key principles will be followed faithfully in the course of the field research.

(1) Show courtesy and respect toward the respondents, as this is crucial to the success of the survey. In order to assure that the villagers are willing to participate openly and fully in our survey, we must show them the utmost courtesy and respect. Always interact with them in a friendly way. Be punctual if you have set a time for an interview. Do not interrupt them in the course of conversation. Always close the interview by thanking the respondents for allowing you to have some of their valuable time.

(2) Be clear about the objectives of the research project. Even though we will have preliminary meetings in each village to explain the objectives of the research, villagers will ask about the aims of the project. They may ask how they themselves, or their village, will benefit from the research. Carefully explain the objectives of the project (see above), and be sure they understand this is a *scientific* project and not a *development* project. This means the benefits to them -- if any -- will be indirect. The knowledge generated by the project will be used to improve national policies related to people and forests. The knowledge will also assist the process at the international level of understanding the relationship of people and forests.

(3) Assure all people interviewed that the information they supply us will be kept in the strictest confidence. Explain that when all the data have been collected from all the villages we are studying, the information will be analyzed, summarized, and written up in a way that is completely separated from the identity of the people who have supplied the information. Explain that the reason we are asking for the name of the head of household is so that we can link the census and survey information through the name of the head of household.

(4) The respondents in the census will be either the head of household or the spouse. The respondents in the household survey will ideally be both the head of household and the spouse. Other family members may participate in the interviews and contribute to the answers given. In cases where there is disagreement among family members on the right answer to a question, strive to seek consensus on the right answer. If there is an unresolvable disagreement between the head of household and the spouse with regard to a particular question, fill in RDNK ("respondent does not know").

(5) Make sure the respondent is prepared to be interviewed. Always be sure the respondent is ready, willing and able to spend time with you. There may be some cases where a respondent is unprepared for the interview. Some possible examples: the respondent is in the midst of doing farm work and is eager to return to the field; the family is about to have a meal; the respondent is in the

midst of a spat with someone in the household; the respondent is inebriated. In those cases, offer to come back at another time. It is *always* preferable to delay the interview and do it well, rather than to do the interview “on time” and get low quality answers.

You do not need to make an appointment in advance to do the census interview, because it takes little time and because the respondent can be either the head of household or the spouse. However, you should always make an appointment in advance for the questionnaire interview, both because it takes a long time (about an hour), and also because it requires *at least* the participation of the head of household. Ideally, the spouse would also participate in the questionnaire interview, but it is not absolutely necessary.

(6) Pose all questions in a clear and consistent manner. It is very important that the respondent interpret the question in exactly the way it is meant. In order to achieve clarity, it is vital that the enumerator understand the meaning and aim of all questions. If anything is unclear, do not hesitate to ask the field research supervisor for clarification.

(7) All answers must be clearly written in the form. All answers will be written in pencil. In the event of an error or correction, erase *completely* what must be changed and write over the erased area. If an answer is written unclearly by the enumerator, the enumerator may be required to return to the household to get a clear answer. *It is very important that we minimize return visits because they waste time and can put a strain on the good will of the respondents.* If you make an erasure and then write over it, be sure that the information can be interpreted in an unambiguous manner by the field research supervisor and encoder.

(8) Every answer in the census and survey forms must be answered completely. In cases where the question does not apply, use the code DNA for “does not apply,” or the appropriate numeric code. If the respondent does not know the answer, use RDNK for “respondent does not know,” or the appropriate numeric code. If there is missing information, the enumerator will be asked to return to the respondent to complete the information. As above, note that *it is very important to minimize return visits because they waste time and can put a strain on the good will of the respondents.*

(9) Pose questions in a non-directive manner and avoid “leading questions.” When posing questions, always allow respondents to formulate their answers completely on their own, with no guidance or suggestion on the part of the enumerator. “Leading questions” are absolutely forbidden. Let us use an example to make this as clear as possible. Let us examine the following example:

Correct way to pose the question: “In the year prior to this interview what proportion of the land you cleared was cleared with the use of a chainsaw -- all the land, most of the land, half the land, a small portion of the land, or none of the land?”

Incorrect way to pose the question: “Am I correct in guessing that in the year prior to this interview, you cleared most of the land you have cleared with the use of a chainsaw?”

Note that a directive manner must be avoided not only by the enumerator, but also by all people present at the interview. If someone present at the interview who is not part of the household attempts to provide an answer or to influence the answer in any way, then that person should immediately be told or reminded that the people allowed to answer the questions are only the members of the household themselves. *Any answers supplied by people who are not members of the household are no valid answers.*

(10) All questions must be answered honestly. Falsification of answers will not be tolerated. If falsification of answers is discovered, it will lead to termination of the contract of the enumerator. There will be periodic and random re-interviews of past respondents to assure that forms have been filled honestly.

(11) All forms must be carefully reviewed and signed before being submitted to the field research supervisor. The enumerators must carefully review each survey form after it has been completed. This will be done on the day of the interview itself, for two reasons. First, the enumerator’s memory of the interview will be fresh so that unclear answers can be made clear correctly. Second, in the event the enumerator has to return to the respondent to clarify an answer, the context of the question will still be familiar and the enumerator will still be near to the house. When the enumerator is sure all questions have been answered completely and clearly, he or she must sign the front page of the form.

3. The recall approach

In the household survey we will be posing several questions using the “recall approach.” This means that we will be asking the respondents to remember information at some specified point in the past.

The success of this approach depends largely on three factors. First, the recall period has to be specified, well defined, and within the reach of the respondent’s power to remember. For example, it is reasonable to ask someone to recall how many times it has rained in the space of one day, whereas it makes no sense to ask them to recall how many times it has rained in the last year.

Second, the facts that we are asking the respondents to remember must be facts that we can reasonably expect someone to remember. The ability to remember has a lot to do with the relevance of the subject matter to the wellbeing and happiness of the respondent. For example, if we ask a rural farmer how many bananas he consumed in the year 2000, he is unlikely to remember because it is not important. However if we ask the same person the price of rice in the year two thousand, there is a good chance he will remember. The reason is that the price of rice often determines the level of consumption of a household in a given year, and for producers of rice, it determines their income as well. Of course, people will have varying capacities to answer a question based not only on the accuracy of their memory, and also on the varying relevance of a given question to their life circumstances.

This brings us to the third factor. Because of this variability of the power to remember and the variability of relevance, the enumerator must not hesitate to write down that the “respondent does not know” (RDNK) if this seems to be the case. We far prefer to state that the respondent does not know rather than record information that may not be trustworthy. There are three ways that we can conclude the respondent does not know. First, the respondent may state that she or he is unable to remember. Second, the respondent might provide an answer that simply seems unreliable. (For example, the respondent might say that in 1962 he used exactly 3.625 liters of pesticide on his rice crop.) Third, there might be a disagreement between husband and wife in the recollection of a fact. If the disagreement is not resolved, simply indicate “respondent does not know.”

12-month recall period

In Part 3 of the household survey, we will be asking respondents to recall their use of forest resources in the 12 month period prior to the date of the interview. Why do we ask the respondent about “the 12 month period prior to the date of the interview,” and not “the year prior to the date of the interview”? There is a good reason for this. We want to be sure the respondent understands we are talking about a *full* year, one that includes all possible harvest cycles, and not what remains of the calendar year. Let us say we are conducting the interview on July 31st. The full year prior to the interview is August 1st of last year until July 31st of the present day. It is *not* January 1st of this year until July 31st of the present day.

What do we do in cases where the respondent does not know what “12 months” means? There are rural places where people have never seen a calendar and do not know the concept of the month. In those cases, the enumerator must define the 12 months in terms of the biological cycles that are known to the respondent. For example, if the interview is in July, and if crop X is planted only in August, the enumerator can define the recall period by saying “Since the last time that crop X was planted...” There are many agronomic markers of this kind

that can be useful. It is the job of the enumerator to know these markers well. Knowledge of these markers will help assure that the respondents understand what you mean when you talk about a 12 month period.

Time 1 (T1) and Time 2 (T2)

In Parts 3 and 4 of the household survey, the enumerator will ask questions in a recall period that dates from the beginning of the community forestry project (Time 1 or “T1” for short) to the date of the household survey interview (Time 2 or “T2” for short).

This recall period will likely be longer than the 12 month recall period, which challenges the respondent’s power to recall. However the subject matter of the questions in these parts (the changing wellbeing of the respondent’s household and the reasons for it) is of the utmost relevance to the wellbeing and happiness of the respondent. This will minimize – even though it will not eliminate – problems of reliability.

V. Basic instructions for the census at four intensive sites

1. Aims of the census

The collection of data through the census will serve several functions in this research activity.

First, it will serve as a means to collect some very basic data on each and every household in each of the four study villages in each of the three countries. In this way we will have a broad base (much broader than the sample survey of households) from which to draw information. Among the kinds of information we will obtain in the village will be the total number of inhabitants, and we will know who is or is not participating in community forestry.

Second, the census will serve as the database from which we select the random sample of households in each village. In this respect, it will help us assure that we can identify households that are not only participants in the community forestry project, but also participants who have been involved in the project since it began. (This is important from the standpoint of assuring that the project can have had a measurable impact on wellbeing.) It will also enable us to identify non-participant households in the event we decide that it is useful to interview some of these households.

2. The rules of enumeration

Observe the following rules in filling out the census form. First, indicate the following information in the space provided on each census sheet: the name or code for the province, district, commune, village, and hamlet (if applicable); the name of the enumerator and the date of the interviews. Leave blank the location-related boxes that are not applicable. For example, in Laos, there are no communes. At most sites, we will be surveying the entire village, and not a hamlet within the village.

In order to simplify the process of filling in the forms, and of entering data in the computer, the national consultant may produce a list of codes for the province, district, commune, and village. In those cases, the enumerator must carefully enter the code number on the form.

The enumerator must be careful not to use the same sheet for more than one village or hamlet.

The process of filling in the census form will be done as indicated in the instructions below.

1. *Household (HH) code number*

Assign a code number to each household that you list in the census. The numerals should start with 1 and should go through to the number of the last household you visit in each village. So, for example, in village 1, there should be numerals from 1 (first household in village visited) to X (total number of households you have included in the census in that village). In village 2, there should be numerals from 1 (first household in village visited) to X (total number of households you have included in the census in that village) ... and so on through village 4. The numerals must be sequential and unique -- that is, there must be no gaps and no overlaps in the sequence of numerals from 1 to X.

2. *Name of the head of household*

List the name of the head of household. Write the name in sufficient detail so that we can be sure to find this same household if/when we make a return visit. (We want to be sure to avoid a situation where two households have the same name for the head of household, and we are not sure which one to visit when we do the household survey.) Each household will have exactly *one* head of household. The head of household can be either a man or a woman.

3. *Is the person interviewed the head of household?*

Recall that the respondent in the census will be *either* the head of household *or* the spouse. The reason for this flexibility is that the questions in the census are deliberately simple and do not necessarily draw on the knowledge of the head of household.

4. *What is the gender of the head of household?*

Indicate if the head of house is a male (= 1) or female (=2). Among other purposes, this variable will be used to identify female-headed households for key informant interviews conducted by the gender consultant.

5. *What is the ethnicity of the head of household?*

The reason for this question is to be able to stratify households by ethnicity in the selection of households for the survey questionnaire. It will also allow us to do some analysis on the basis of the census data. In communities where we know in advance that all households are from the same ethnicity, this question need not be asked. In those cases, the enumerator should nevertheless fill in the ethnicity information.

6. *What is the number of people living in this household?*

Insert the number of people living in the household at the time of the interview.

By “living” it is meant that the person in question habitually sleeps and eats in the household you are interviewing. We do not record as “living” in the household a person who may be a family member, but who happens to be visiting at the time of the interview. (That person is a member of another household.) Note the following potentially ambiguous cases. If, for example, a son has been living away from the household for more than six months, it is assumed he is *not* a member of the household, even if he intends to move back to live in the same household. Conversely, if someone has been living away from the household for less than six months, and that person left with the intention of staying away, then that person is *not* a member of the household. If the intentions of that person are ambiguous, assume he or she is a member of the household.

For the purposes of our census and survey, “household” is defined as a grouping of people who live in the same place and who share income. Generally, this grouping lives under the same roof and shares meals, though there may be some exceptions to this rule. Not all members of a household need necessarily be joined by marriage or blood kinship. For example, a household helper may be a member of a household, and yet is not related to other members of the household by marriage or blood kinship. By the same token, not all family members are necessarily members of the household you are recording in the census. For example, let’s say the daughter of the head of household you are interviewing lives with her husband in a separate house in the village. She is *not* part of her father’s household. She lives in a separate household.

Note the following unusual and ambiguous case. You visit a household and one of the elder sons sleeps in the house and takes part in household meals. However, he cultivates his land separately from the household and the yields and income are not shared and are not known to the head of household. In this case, it is best to consider the son as a member of a separate household.

7. *Is this household participating in the community forestry project?*

This question (and number 8) will allow us to identify the population of households from which our sample of households will be drawn for the questionnaire interview. List the code 1 (= yes) if and only if the household is a *current* participant in the community forestry project. We do not want to list as participants those households that may have been members at some point in the past, but for some reason are no longer participating. Clarity on this question is important, so please try to avoid “respondent does not know” (RDNK) answers.

8. *If the household is participating in the community forestry project, since what year?*

The reason this question is important is because it allows us to identify households for the household survey that are not only currently participants, but that have also been participants long enough so that there might be some measurable income from community forestry. In other words, this will help us avoid interviewing households which might have joined the project in the last few months, and who might not have had a chance to obtain any income from the project. If the answer to question 7 is 2 (the household is not participating in community forestry), then automatically the answer to 8 is 1 (does not apply).

9. *What has been the main source of cash income for this household in the last 12 months?*

The possible answers to this question are: 1 (= agriculture); 2 (= animal husbandry); 3 (= forest); 4 (= other); or 99 (= respondent does not know). The answers to this question will help us characterize the main sources of income for the village as a whole, among other uses.

10. *Since **** [the year of establishment of the community forestry project], is the wellbeing of this household better, the same, or worse?*

Answers to this question will allow us to understand wellbeing change for the village as a whole. In association with question 7, it will enable a statistical comparison of the trajectory of wellbeing of participants and of non-participants, and in association with question 9, it will enable a comparison of the trajectory of wellbeing for those whose main income is agriculture and forestry.

In phrasing this question, the enumerator must state the year of the establishment of the community forestry project, and must not say "Since the year of the establishment of the community forestry project..." The reason is that we want the respondent to formulate the answer in general terms, and not specifically in relation to the performance of the community forestry project.

Note that some households interviewed might have been formed after the founding year of the community forestry project. In those cases, enter the code 98 (= does not apply).

The enumerator must be sure to conclude the interview by thanking the respondent(s).

VI. Basic instructions for the household questionnaire survey at four intensive sites

1. Aims of the household survey

The purpose of the household survey is to gather in-depth information on a variety of topics from a sample of households in each of the four study villages. Among the topics that will be investigated are:

- Basic household information
- Measurement of household wellbeing in terms of assets
- Use of forest resources by household
- Contribution of community forestry to household wellbeing
- Wellbeing change since T1 and the reasons for it
- The role of community forestry in household wellbeing, and the possibilities for improvement

2. The rules of enumeration

Below, the procedures for filling the survey form are specified. Enumerators must follow these guidelines precisely and are expected to consult these guidelines in cases where the method of enumeration is unclear. If after reading these guidelines you are still unclear, do not hesitate to contact the Field Research Supervisor (national consultant). Note that not all questions in the survey form are commented on in the technical guidelines. We provide information only on those questions that require some kind of explanation beyond what is obvious.

Communication with respondent in scheduling the interview

At the time you are making the appointment for the survey interview, do the following things:

- Verify that the household to be interviewed is in fact participating in the community forestry project being researched, and that it has been participating since the project began. If both of these assumptions have been verified, proceed with the following points. If either of these is a false assumption, then do not schedule the interview. Apologize, and explain the error to the respondent.
- Tell the respondent the interview will be with the head of household and the spouse (assuming there is a spouse).
- Say that only members of the household will be asked to participate in the interview.

- Remind the respondent briefly of the purpose of the research (basic aims of the ADB project; the activity is scientific and is not a development project; key questions of the research).
- Assure the respondent that confidentiality will be assured.
- Tell the respondent the survey interview will take about an hour.
- Be prepared to explain why some village households have been included and some not included in the household survey. (That is, be prepared to explain in very simple terms the logic of a sample survey.)

Beginning the survey interview

Upon arrival at the place where the interview will be conducted (ideally the house of the respondent), go over the same points listed above that were mentioned when setting up the interview. Do this even if you arranged the interview the day before. It is important that both respondents and all household members taking part be aware of the purpose of the interview.

PART 1. BASIC HOUSEHOLD INFORMATION

The aim of this part is to obtain general information concerning gender, ethnicity, numbers of household members by age, education, and sources of income.

1.1 What is the gender of the head of household?

There is no need to pose this question. Simply circle the appropriate choice: 1 = male; 2 = female. You may fill in this information in advance of the interview on the basis of the census information.

1.2 What is the ethnicity of the head of household?

If this is known from the census, list here, in advance. If it is not known, ask.

1.3 What is the ethnicity of the spouse of the head of household?

List the name of the ethnic group of the spouse. This information (together with information from 1.2) will enable us to identify households of mixed ethnic origin. If the head of household has no spouse, write 98 for “does not apply.”

1.4 *What is the total number of people currently living in this household?*

Recall that this question was already posed in the household census. The reason it is being posed again is to verify it, and also to serve as the basis for calculating the number of adults in the household (question 1.5), and by inference, the number of children.

1.5 *What is the number of people aged 18 and older living in this household?*

List the number. You may want to ask if there are “X” number of children in the household, based on subtracting the answer to this question from the answer to question 1.4. This will help verify their assumptions and their arithmetic.

1.6 *What is the age of the head of household?*

List the age. If the respondent does not know, write “999” for “respondent does not know.” We are using the code “999” instead of “99” so that it will not be mistaken for someone’s age. Please take great care in using this code!

1.7 *What is the highest level of education achieved by the head of household?*

List the highest grade level of the head of household. In some cases, the respondent may not remember. In those cases, enter 99 for “Respondent does not know” (RDNK).

1.8 *What is the highest level of education achieved by the spouse?*

List the highest grade level of the spouse. If there is not spouse, enter “98” for “does not apply.” In some cases, the spouse will not be present and the respondent may not remember. In those cases, enter 99 for “respondent does not know.”

1.9 *What has been the main source of income for this household in the past 12 months?*

The intention of this question is to know the main source of income in the last 12 months for the household as a whole, and not for just the head of household or any particular member of the household.

What we mean by “main” is that source of income which, from the point of view of the respondents, contributes most to the overall wellbeing of the household in terms of either home consumption (i.e., crops harvested and then consumed at home) or production for the market (i.e. crops harvested and then sold for cash). In most cases, households have both sources of income, though some households will be wholly reliant on one or the other.

The reason we specify “in the last 12 months” is that we want to account for the various contributions to household income in the course of a whole year. We want to know which is the most important among all of them. In other words, we don’t want to be biased by simply recording the source of income that happens to be important on the day of the interview.

Enter the one code from Appendix 1 (list of income codes and crop codes) that best matches the response of the respondents. You may have to probe for additional information to get the best response.

1.10 If the household gets cash income from agriculture or forestry, what is the one crop that has produced the most cash income for this household in the last 12 months?

Enter the one code from Appendix 1 (list of income codes and crop codes) that best matches the response of the respondents.

PART 2. MEASUREMENT OF HOUSEHOLD WELLBEING IN TERMS OF ASSETS

The objective of this part of the survey is to understand the wellbeing of the household at the time of the interview (T2) in a relational sense (that is, in comparison to other community participants, and in comparison to non-participants) and in an absolute sense (that is, are the members of the household poor or not when measured against a national scale?).

Often, measurements of wellbeing and poverty are done through a more elaborate survey, lasting two hours or more, that poses detailed questions about household income, or about household expenditures, or both. Because of our time constraints, we are using a method that is perhaps less precise than the conventional method, yet which should produce some useful approximate answers. The main reason we are using this simplified approach is to make sure that we have sufficient time in the household interview to pose questions on themes other than those concerning measurement of household wellbeing.

The questions in this section of the interview should be posed according to the instructions below.

2.1 What is the type of surface of most of the floor area of your house?

Choose only one. The possible answers are: 1 = dirt; 2 = bamboo; 3 = wooden boards; 4 = concrete; and 5 = ceramic tiles or linoleum. Note that the numeric value of the code ascends with the value of the material. This is intentional and

will allow us to positively associate values with assumed wealth. If the material is something other than these three, use the code 9 (= other) and list the material used.

2.2 What is the type of material of most of the wall area of your house?

Choose only one. The possible answers are: 1 = leaves (including palm fronds or banana leaves or rattan) or bamboo; 2 = raw boards (raw in the sense of unpainted); 3 = painted boards; 4 = masonry (including cinder blocks or bricks); and 9 = other (Specify).

2.3 What is the type of material of most of the roof of your house?

Choose only one. The possible answers are: 1 = thatch (including palm fronds or banana leaves or other roofing material from the branches or leaves of trees, or wild grasses); 2 = wooden boards; 3 = metal (including zinc or tin plating); 4 = ceramic tiles; 5 = flat concrete roof; and 9 = other (specify).

2.4 What is main source of water for this household?

Choose only one. If there are two judged to be the main source, list the one with the highest numeric value. The choices are: 1 = a stream, river, or pond; 2 = a common, public faucet or a well or reservoir used by more than one household in the community; 3 = a well or reservoir owned by the household; 4 = water piped into the household; or 9 = other (specify).

2.5 What is the main type of toilet facility used by this household?

Choose only one. If there are two judged to be the main source, list the one with the highest numeric value. The choices are: 1 = a stream, river, pond, field, or forest; 2 = the household's own dry latrine, built over a pit (it is not flushed with water); 3 = the household's own latrine, using water (it is flushed with water); 4 = the household's own flush toilet (that is, it uses piped water); or 9 = other (specify).

2.6 Does this household have access to electricity?

Choose only one. If there are two possible choices (e.g. 2 and 3), select the choice with the highest numeric value. The choices are: 1 = no; 2 = yes, through village mini-generator or mini-hydro, or other village-based source; or 3 = yes, through any private source (e.g. own generator or battery) or through private paid connection to the electrical grid.

2.7 What is to total area of land that is owned by this household?

List the area in hectares. If the respondent does not know list "RDNK."

2.8 *What is the total area of land farmed by this household in the course of the last 12 months, including land that is owned, rented, borrowed, share-cropped, or open access?*

List the area in hectares. If the respondent does not know list "RDNK."

2.9 *What is the total area of paddy rice land owned by this household?*

List the area in hectares. A way to approximate the area is to calculate that six basket seeds are equivalent to one hectare. If the respondent does not know list "RDNK."

2.10 *Please tell me if anyone living in your household owns the following land transportation vehicles, and the numbers owned:*

The enumerator should read out the choices, beginning with number two, and circle all the choices that apply, and fill in the numbers owned. The choices are: 2 = bicycle; 3 = motorcycle; 4 = automobile; 5 = a van, truck, or tractor.

2.11 *Please tell me if anyone living in your household owns the following water transportation vehicles, and the numbers owned.*

The enumerator should read out the choices, beginning with number two, and circle all that apply. The choices are: 2 = row boat or pole boat (that is, unmotorized); and 3 = motor boat.

2.12 *Please tell me if anyone living in your household owns the following kinds of animals, and the numbers owned:*

Read out the choices, beginning with number two, circle all that apply, and fill in the numbers owned. The choices are: 2 = fish; 3 = chicken, duck, goose, or other fowl; 4 = goat or sheep; 5 = pigs; 6 = horses; 7 = beef cattle, dairy cows, or buffalos; and 8 = elephants.

2.13 *Please tell me if anyone in your household owns the following household assets, and the numbers owned:*

Read out the choices, beginning with number two, circle all that apply, and fill in the numbers owned. The choices are: 2 = radio; 3 = television.

PART 3. USE OF FOREST RESOURCES BY HOUSEHOLD

The purpose of this part of the survey is to achieve a full understanding of how the household uses area forests, and to what extent the household relies on forests for its wellbeing.

The information will be obtained through filling out tables corresponding to questions 3.1, 3.2, 3.3, and 3.4 which concern themselves with forest resource use by source, type, purpose, and gender division of labor in last 12 months.

Before beginning to pose any of the questions in this section, the enumerator must be very careful to begin this section by explaining the following four points to the respondents, using the exact wording below:

- (1) “The questions in this section concern *all household uses of area forests*. In other words, this section asks about household forest resource uses that are *outside* of the community forestry project, as well as those which are *inside* the community forestry project.
- (2) The questions in this section concern use of forest resources only in the last 12 months.
- (3) The questions in this section will ask about various types of forest resource use in terms of four sources: forest resources that are gotten from land owned or controlled by the household; forest resources that are gotten from open-access forests; forest resources that are gotten from the community forestry project; and forest resources bought on the open market.
- (4) We define “own land,” “open access land,” and “community forestry land” in the following way:

By **own land**, we mean land under the exclusive control of your household, but *not* land in the community forestry project to which you might have individual access rights.

By **open access or traditional community forestry land**, we mean land used by any member of the village, but not land in the “introduced” community forestry project in which you are participating.

By **introduced community forestry land**, we mean land made available for village use by the “introduced” community forestry project we are researching.”

The enumerator will ask: “Are these definitions clear?” If the respondent(s) require clarification, do so, and then ask again: “Are these definitions clear?”

When the respondent says yes, proceed to 3.1.

NOTE TO THE ENUMERATOR. IN MANY CASES, OPEN-ACCESS and TRADITIONAL COMMUNITY FORESTRY LANDS (3.2) AND “INTRODUCED” COMMUNITY FORESTRY LANDS (3.3) WILL BE SEPARATE LANDS AND THERE WILL BE NO AMBIGUITY. BUT IN SOME CASES, “INTRODUCED” COMMUNITY FORESTRY WILL BE SUPER-IMPOSED ON LANDS HISTORICALLY (AND MAYBE EVEN CURRENTLY) USED AS OPEN-ACCESS OR TRADITIONAL COMMUNITY FORESTRY. IN THOSE CASES, THE RESPONDENT WILL LOGICALLY ASSUME THAT OUR TWO CATEGORIES ARE THE SAME – AND CONFUSION WILL RESULT. IN THOSE CASES, RECORD YOUR ANSWERS IN THE COMMUNITY FORESTRY TABLE (3.3). IN THIS RESEARCH PROJECT, WE WANT TO DRAW A CLEAR LINE BETWEEN INCOME THAT IS AVAILABLE TO THE RESPONDENTS THROUGH THE *INTRODUCED* COMMUNITY FORESTRY PROJECT, AND ALL OTHER SOURCES OF INCOME.

3.1 *Has your household gotten forest resources from forests or trees **on your own land** in the last 12 months?*

Here “own land” is defined as any household land that is either owned or under the control of the household – other than individual parcels in the introduced community forestry project. Land is under the control of the household if it is able to exclude others in the community from using this land. So “owned land” includes not just land to which the household may have title, but also rented or borrowed land.

If the respondent say “yes” in answer to the question above, then the enumerator must ask the respondent about each and every type of forest resource listed in the table, one by one. If the enumerator fails to ask about each and every forest resource source, and each and every forest resource type, then we risk missing valuable information.

When you get to a resource item labelled “other,” ask (for example): “Has your household used any other type of forest resource on your own land, in the last 12 months, other than those that I have just mentioned?” If the respondent says “yes” to this question, then write the forest type in the space provided. Ask the question again to be sure that all possible types of forest use on the respondent’s own land have been identified.

If the respondent says (for example) “yes, we have collected firewood from our own land in the last 12 months,” the enumerator must get information under each

of the column headings marked : “purpose” (home use or for sale on the market); and “gender division of labor” (concerned with the particular forest resource use (by men or boys, or by women or girls, or by both). If there is not at least one check mark under each of these headings, then the enumerator will be sent back to the household to get the missing information. It is possible for there to be more than one check under each of these headings. For example, it is possible for the household to collect firewood both for use in the home and also for sale in the market.

The question about “gender division of labor” seeks to know which genders are involved in obtaining the particular type of forest resource concerned. If the respondent says, for example: “Women do almost all the firewood collection, but men participate occasionally,” mark “both.” We are not concerned here about the *amount* of work done according to gender, but whether they do or do not participate. The gender consultant will get more precise information on how much work is done by each gender.

If the answer to question 3.1 is “no,” then the enumerator may proceed to question 3.2.

3.2 *Has your household gotten forest resources from forests or trees **on open access or traditional community forestry land in the last 12 months?***

Here the term “open access land” is defined as any land not owned or under the control of the respondent’s household – other than land in the introduced community forestry project. This land might or might not be subject to traditional (village-created) rules and regulations governing resources use. Typically, on this type of land, it is not possible to exclude members of the community from use of forest resources on this land. (Use of forest resources on open access land might be forbidden by law, but villagers might ignore the law and make use of these resources anyway.)

There may be some ambiguous exceptions. For example, there may be some types of traditional community forestry where the open access land is reserved for use only by members of the village. In these cases, the land should still be classified in this category. The enumerator should note in the margin of the survey form that the land is reserved for specific villagers.

There may also be ambiguous cases where (for example), firewood is gotten from the land of a neighbor. In this case, the land is neither owned or controlled by the respondent, and it is not “open access” in the sense defined above. In these exceptional cases, the enumerator should classify the use in the “open access / traditional community forestry” category, but should write a note to the data encoder in the margin of the survey form explaining the ambiguity.

If the respondent answers “yes” to question 3.2, the rules of enumeration are the same as those for question 3.1, as explained above.

If the respondent answers “no” to question 3.2, proceed to question 3.3.

3.3 *Has your household gotten forest resources from forests or trees **on the introduced community forestry land** in the last 12 months?*

Here, “introduced” community forestry land refers to the lands and resources that we are researching in this project. They are the lands and resources that are subject to the government-led or donor agency-led community forestry project. In most cases resource access rights are for all participating households in the village, without any individual use boundaries within the forest. In some cases, there are individual use boundaries within the introduced community forestry lands. Both types of land use are to be recorded in this table.

If the respondent answers “yes” to question 3.3, the rules of enumeration are the same as those for question 3.1, as explained above.

If the respondent answers “no” to question 3.3, proceed to question 3.4.

3.4 *Has your household gotten forest resources **by buying them** in the last 12 months?*

Here, “buying” is defined as paying cash for forest resources or exchanging them for goods or services (barter).

There may be some ambiguous cases, as follows. The respondent explains (for example) that she bought firewood from someone who collected it from open access land. In this case, the household’s use of firewood would be classified under 3.3. (the firewood has been bought) and not under 3.2 (the firewood came from open access land). The principle observed in our study is that forest resources are gotten from open access resources if they are gathered (free of charge) and not bought.

If the respondent answers “yes” to question 3.4, the rules of enumeration are the same as those for question 3.1, as explained above.

If the respondent answers “no” to question 3.4, proceed to question 3.5.

In order to resolve possibly ambiguous cases in advance, several types of forest resources in the tables corresponding to questions 3.1, 3.2, 3.3, and 3.4 are defined as follows:

Timber or wood

“Timber or wood” are defined not just as a raw material that might have been gathered or bought, but also as the finished product. Let us say (for example) that in answer to question 3.4, the respondent explains: “I bought some logs from a woodcutter in the village. I then cut the logs and made chairs from them.” In this case, “chairs” should be listed on the same row as the “timber or wood” item. If that row has already been filled (for example the same household also got logs to build and extension on the house), then it can be classified in “other.”

Wild food (flora or fauna)

“Wild food (flora or fauna)” refers to any food gotten from the forest, whether it is an animal (deer or other game) or plant (bamboo shoots, mushrooms, bee honey, herbs and spices, etc.).

Wildlife

“Wildlife” refers to animals that have been captured in order to be sold live in the wildlife trade. Example are birds and monkeys to be sold as pets. In some areas, the respondent will be very reluctant to reveal this information because the activity may be forbidden.

Forest cleared for agriculture

If *any* number of trees have been cut in the course of the last 12 months for the purpose of establishing agriculture, either on a temporary basis (swidden agriculture) or on a permanent basis, then this will be considered a use of forest resources. Note that we are not interested in knowing if anything was actually planted on this land, but instead whether the forest land was cleared.

In order to resolve possibly ambiguous cases in advance, the column headings will be defined more precisely as follows:

Purpose: Home use or for sale

In most cases, the distinction will be obvious, but in some cases, it will not be so obvious. Let’s say (for example) that the respondent has collected bamboo shoots and then given it to a neighbor in exchange for a bag of rice. In this case it should be classified as use of a forest resource “for sale.” Recall that we are defining “for sale” broadly and including all kinds of barter.

Gender division of labor: male, female, both

In our definition of gender, “male” includes both men and boys, and “female” includes both women and girls. Under these columns we want to mark a check if

there has been *any* involvement by a specific gender in producing use or cash income from the particular forest resource use.

Let's say that honey is collected in hives in the forest by men and boys who climb the trees in the forest, and then the honey is packaged and then sold in the market by women. In this case "both" should be checked.

3.5 *What is the importance of forests to the wellbeing of your household? I will read the following four possibilities and you tell me which is most appropriate:*

The enumerator should read out the choices. Ask respondent to select just one of the four possible choices. The choices are: 1 = Not at all important; 2 = Somewhat important; 3 = Moderately important; or 4 = Very important. Let's say the respondent answers: "Somewhere between 'moderately important' and 'very important.'" In such cases, always select the answer with the highest numeric value. In this case, you would circle "4."

PART 4. CONTRIBUTION OF COMMUNITY FORESTRY TO HOUSEHOLD WELLBEING

The purpose of this section, as the title implies, is to understand how much participation in the introduced community forestry project has improved the wellbeing of the household.

As you will see, we are relying on the respondent's own assessment of the contribution of community forestry, rather than calculating this contribution ourselves. Our trust in the answer will depend on the skill of the enumerator to get answers that make sense.

4.1 *Since the beginning of the community forestry project until today, what proportion of your total household income (cash and also non-cash) has been gotten from participation in community forestry? Please listen to the following seven choices and tell me which one applies to your household.*

The enumerators will read the following choices and will circle only one:

- | | | |
|---|---|--|
| 1 | = | none [If this answer is selected, skip to section 5] |
| 2 | = | almost none |
| 3 | = | less than half |
| 4 | = | half |
| 5 | = | more than half |
| 6 | = | almost all |
| 7 | = | all |
| 9 | = | respondent does not know |

It is the responsibility of the enumerator to make sure that the respondent has thought carefully about this question and has given the best possible answer. The enumerator is encouraged to challenge any answers that do not make complete sense.

For example, if the respondent says that there has been no income from community forestry since the beginning of the project, yet the same respondent indicates that there has been income from community forestry in the last 12 months in Part 3, then there is clearly a contradiction.

Conversely, if the respondent says that the household has gotten all of its income from community forestry since the beginning of the project, yet in the answers to Part 3 there has been a stated contribution of community forestry to household income, then there is clearly a contradiction.

But there can be cases of *apparent* contradiction that are not really contradictions. Observe the following example. In answer to question 4.1, the respondent says the household got almost half of its income from community forestry since the beginning of the project. Yet in Part 3, the respondent says that there has been no contribution from community forestry to household wellbeing in the last 12 months. The explanation for this apparent contradiction might be as follows. The household got some income from community forestry in 2002 and 2003, but none in 2004 (in the last 12 months).

The enumerator must be careful to assure that the answers in Part 3 and in Part 4 all make sense in relation to each other. If there are any contradictions that cannot be resolved, the enumerator will be asked to return to the respondent to get additional information.

4.2 *Has there been any variation in community forestry income for your household from year to year?*

Circle one of the three choices, as appropriate:

- 1 = yes [proceed to question 4.3 & 4.4]
- 2 = no [proceed to section 5]
- 8 = DNA [CF site only in existence a year. Proceed to 5]

There are several reasons for this question and the related questions that follow. First, they will give us valuable information on the steadiness and reliability of community forestry income over time. Second, in the event that community forestry income is not stable, they will give us some insights on why this is so. Third, they will help resolve any apparent or real contradictions that surface in the answers in Parts 3 and 4.

If the answer to question 4.2 is either 2 (“no”) or 8 (question does not apply because the community forestry site has been in existence for only a year), make sure to stop here and proceed to Part 5.

4.3 In what ways has income from community forestry varied from year to year for your household?

Note that the key word in this question is “what.” The enumerators’ written answer should be like the following:

- In 2001 there was no community forestry income.
- In 2002 there was no community forestry income.
- In 2003 there was a very small amount of income from the sale of poles.
- In 2004 there was a substantial amount of income from the sale of medicinal plants, but none from poles.

4.4 Why has there been variation in community forestry income from year to year?

Note that the key word in this question is “why.” The enumerators’ written answers should be like the following:

- In 2001 and 2002, there was no income for participants because, although we had planted poles, they had not yet grown to a harvestable size.
- In 2003, we got a small income from poles in spite of the fact that the harvest was large. The reason is that the income was divided among household according to the amount of participation in planting. Our household only planted part of one day, so our income was small.
- In 2004 we got a substantial income from collecting medicinal plants that we had planted when the project opened. Although these plants were already mature in 2002, we harvested them in 2004 because the price was very high.

PART 5. WELLBEING CHANGE SINCE T1 AND THE REASONS FOR IT

Through the questions in this part of the survey we seek to know if the wellbeing of the respondent household has improved or gotten worse since the beginning of the community forestry project.

Note that we are seeking to understand how household wellbeing has changed in relation to *all* reasons, and not just because of community forestry. It is very important that we get a complete and reliable picture of the scope of wellbeing change, and of all possible reasons for it.

Note also that we are *only* interested in getting information from respondents who have experienced improvement or a worsening of their situation. If the respondent indicates that there has been no change in their wellbeing, go on to Part 6.

5.1 Since _____ [state the first year of operation of the project], has the overall wellbeing of your household improved, stayed the same, or gotten worse?

- | | | |
|---|---|--|
| 1 | = | improved [proceed to 5.2 and 5.3] |
| 2 | = | stayed the same [proceed to section 6] |
| 3 | = | gotten worse [proceed to 5.4 and 5.5] |

The enumerator must circle only one of these three choices.

We know that in some cases, the respondent will want to have two (or more) choices. For example, a respondent might say: “Our situation has improved because we now have twice as much cash income, but we are also worse off because my eldest son died and because my goats all died during the last typhoon.” In such cases, you must ask the respondent what is the *overall* change in the wellbeing of the household, when all the positives and negatives are added together. We know that this intentionally ignores some of the interesting complexity of the situation of the household. (In fact, it is likely that almost all households experience some combination of improvement and deterioration.) Nevertheless, our task would be too large if we had to examine all of these tendencies.

5.2 Please tell me the main ways in which the wellbeing of your household has improved. [List all the stated reasons.]

Note that, as in question 4.3, this is a “what” question. So the answers should be of the following type:

- We are able to meet all of our nutritional needs.
- The children are able to go to school.
- We are able to cope with medical problems without exhausting our savings.

5.3 Please tell me the main reasons for these positive changes in the wellbeing of your household. [List the stated reasons.]

Note that, as in question 4.4, this is a “why” question. So the answers should be of the following type:

- The new road that was built allows us to sell of our rice at a much higher price in the city.

- The wage rate for casual labor has doubled, so we don't have to require the children to participate in all the harvests.
- We now get remittances from a relative who lives in Singapore, so we don't have to spend all our savings in cases of emergency.

5.4 *Please tell me the main ways in which the wellbeing of your household has gotten worse. [List all the stated reasons.]*

Note that, as in question 4.3, this is a "what" question. So the answers should be of the following type:

- We now earn less than half the cash that we did five years ago.
- It has been three years since the children last attended school.
- We had two motorcycles and now we have none.

5.5 *Please tell me the main reasons for these negative changes in the wellbeing of your household. [List the stated reasons.]*

Note that, as in question 4.4, this is a "why" question. So the answers should be of the following type:

- There is now a prohibition against clearing forest land for agriculture. Our agricultural yields have declined because we are overusing the same plot of land.
- Last year's drought made us spend all our savings, so we have no choice but to put the children to work.
- We had to sell both motorcycles to cope with high medical costs when our son fell ill. In years past, we would have sold some logs, but now the forest is almost gone.

PART 6. THE ROLE OF COMMUNITY FORESTRY IN HOUSEHOLD WELLBEING, AND THE POSSIBILITIES FOR IMPROVEMENT

The purpose of this final part of the survey is to understand to what extent community forestry has or has not supported the wellbeing of the household. We also want to learn from the respondents how the community forestry project can be improved so that it will better serve the needs of its participants in the future.

This part is the culmination of all earlier parts of the survey. It synthesizes the information that we are most interested in obtaining. Specifically, it builds on the information we have compiled in Parts 4 and 5. For this reason, before posing the questions in this part, it is necessary for the enumerator to first circle the information below:

This household was not helped by community forestry [answer to 4.1 = 1]

This household was helped by community forestry
[answer to 4.1 = 2, 3, 4, 5, 6, or 7]

The wellbeing of this household improved since T1
[answer to 5.1 = 1]

The wellbeing of this household stayed the same since T1
[answer to 5.1 = 2]

The wellbeing of this household got worse since T1
[answer to 5.1 = 3]

As the enumerator poses the question in this part, she or he should be mindful of the facts above. This will help you ask follow-up questions appropriately. It will also help you detect any apparent or real contradictions in the answers given.

6.1 What, if any, are the problems that you have seen in the community forestry project, in terms of its ability to improve the wellbeing of your household? Please describe all of the relevant problems to me.

The enumerator must record the essence of the response in detail. Capture the main arguments. Do not write down information that seems superfluous. If the respondent provides lots of useful information and you run out of space, do not hesitate to continue on the back of the sheet. Make sure to use an arrow (→) to indicate clearly to the encoder that there is additional information on the back of the sheet.

6.2 What, if any, are the ways that the community forestry project should be changed so that it does all it can to improve the wellbeing of your household? Please describe all of your ideas to me.

The enumerator must record the essence of the response in detail. Capture the main arguments. Do not write down information that seems superfluous. If the respondent provides lots of useful information and you run out of space, do not hesitate to continue beyond the lines made available on the survey form.

Bringing the survey interview to a close

At the end of the survey interview, the enumerator will thank the respondents for their generosity and their good will in allowing us to interview them.

VII. Qualitative village surveys at four intensive sites

1. Aims of the qualitative village surveys

The aim of the qualitative village surveys will be to supplement information obtained through the sample household survey. Through three semi-structured interviews with key village informants, we aim to gain a deeper understanding of research questions that have been specified in these technical guidelines in section III, part 2. We will also be posing location-specific questions that will be formulated in the course of editing and entering the household survey data.

The first of the three surveys will be conducted by the enumerator(s) and/or by the national consultant. The respondents will be key informants in the village – that is, people who have good knowledge about the history and implementation of the community forestry project, and who also know about the livelihoods of people in the village. This survey will be conducted through two different interviews, on sequential days. The first interview will be called the “qualitative village interview.” The second part will be called the “wealth ranking exercise.” These two interviews will be conducted after all of the household survey interviews have been concluded.

The second of the three surveys will be conducted by Vuong Xuan Tinh, the ethnicity consultant. The respondents will be members of ethnic minority groups that may be participants in the community forestry project. “Ethnic minorities” are defined as people who not part of the dominant ethnic group (e.g. Khmer in Cambodia or Kinh in Vietnam). If there are no ethnic minorities present at an intensive research site, then this interview will not be conducted at that site. Ideally, this interview should be conducted when the enumerator(s) and/or the national consultant are still present at the site so that Tinh’s work is legitimized, and also so that the enumerator(s) and/or the national consultant can serve as interpreters. If the interview is conducted when the enumerator(s) and/or the consultant are not at the site, then Tinh will use a hired interpreter.

The third of the three surveys will be conducted by Hoang Lan Anh (the gender consultant) and/or by Zishan Karim. The respondents will be women and they might or might not be participants in the community forestry project. (This is up to Anh and Zishan to decide.) As above, ideally this interview will be conducted while the enumerator(s) and/or the national consultant are still working at the site. If it is done afterwards, then an interpreter will be hired.

2. Methodology for the qualitative village interview

The following guidelines on methodology are meant for the first, “general” village interview to be conducted by the enumerator(s) and/or the national consultant. This is because the ethnicity and gender researchers will have their own

methods. However the ethnicity and gender consultants should feel free to “borrow” ideas explained here.

The interviewers should select a group of at least five and at most ten respondents from among participants in the villages community forestry project. It is important to exclude from the interview any people whose presence is not necessary and who might negatively affect the quality of the answers of the respondents.

These interviews are called “semi-structured” because they are just that. They are “structured” in the sense that we will be systematically posing all questions on a qualitative survey interview form. The interviews are also “un-structured” in the sense that free discussion will lead to the discovery of interesting information that lies outside of the bounds of the question posed. The interviewer will have to artfully alternate between maintaining the line of questioning and keeping with time boundaries, on the one hand, and letting the discussion wander to uncover interesting new information, on the other hand.

It is important that there be one person conducting the interview while another person takes notes.

One of the advantages of a group interview is that it produces more information than we could obtain as compared to interviewing just one or two people. Furthermore, the interplay of different points of view produces insights that do not necessarily surface when interviews are conducted individually. Differences of opinion, and the reasons for them, can be some of the most valuable findings in a research project.

But there are also two important challenges presented in the course of doing group interviews that we have to cope with constructively. The first of these challenges is how to record multiple points of view. The interviewer must seek out these differences in points of view by repeatedly asking questions like “Are there any other points of view on this topic?” This, of course, multiplies the work of the notetaker, and can also produce debate, but this is the “cost” of doing good qualitative research. Especially if the topic being discussed is controversial, the interviewer must avoid the mistake of assuming that one answer speaks for all respondents present at the interview.

And this leads us to the second challenge. There are sometimes power dynamics in group meetings that make it difficult, if not impossible, for someone with a different point of view to voice her or his opinion. As researchers, we are not always in a position to create interview conditions where those who feel intimidated are free to speak. But sometimes we can control these conditions. This is why (for example), women will be interviewed separately from men, and ethnic minorities will be interviewed separately from people of dominant ethnic origin.

Our highest priority as researchers is to enable people to voice opinions on topics that they might find it difficult to talk about. If they have a negative view of the community forestry project, the last thing we want is for participants to feel compelled to lie and tell us that it is a great success.

For this reason, the most important and first step in all qualitative interviews is to begin the meeting by explaining that we want people to be as honest and open about all the problems they see in the project. Assure them that there will be no negative repercussions from their criticisms. If conditions allow, offer them the opportunity to speak with you privately, after the meeting, so that they can voice their views more freely.

If there are qualitative interviews where you believe answers were either distorted or withheld because of the presence of a feared government official or other person, the interviewer must record this information in the interview form.

3. Questions posed in the qualitative village interview

These questions pertain to the village interview conducted by the enumerator(s) and or by the national consultant. The questions are divided into three parts: (1) the village and the wellbeing of its people; (2) the performance of the community forestry project; and (3) location-specific questions about the community forestry project.

(1) Questions about the village and the wellbeing of its people

One aim of this set of questions is to know about any historical factors, including mass migrations or natural calamities, that might have affected the village's socio-economic development in specific ways. Another aim of this set of questions is to get the respondents' views on the general direction of wellbeing changes since the founding of the project (better, same, worse) and the reasons for change.

(2) Questions on the performance of the community forestry project

These are questions that will be asked at all four intensive research sites, and also at all 40 extensive research sites. Notice that most of these questions are based on our project's research questions as listed in Section III, part 2 of this guide. If additional detail is needed on these questions, consult that part of the guidelines.

Notice that the last two questions in this section concern ethnic minorities and gender. These questions are not meant to substitute for questions posed in the special interviews on these topics.

(3) Location-specific questions about the community forestry project

These questions will be formulated by the enumerators working closely with the national consultant. (This will be done either through a visit by the national consultant to the site, or over the telephone.) The questions will be formulated on the basis of information that surfaces in the course of the household surveys. The intent here is to discover specific information about the project's poverty alleviation performance and equity issues that are not covered in the "standard" questions in the first part of this survey.

4. Methodology of the wealth ranking exercise

The enumerators will conduct this interview on the day after the qualitative village interview described above. The respondents will be the same group of five to ten people that was interviewed the day before in the village interview.

Before the interview, the enumerator(s) will in the "Form for conducting the wealth ranking interview." The enumerator(s) must fill in the household code number, and the name of the head of household for all households in the village. This can be transferred directly from the census forms to the wealth ranking interview form. Make sure that all the code numbers and names are copied *exactly* in the census form so that there will be no missing information and no confusion. This task must be done early on during the enumerators' stay at the site. The reason is that the filled census forms will likely be taken from the research site, early in the research process, so that the encoder can use them.

To conduct the interview, the enumerator(s) must follow the instructions written by Christina Geish Shakya. These are "Appendix 2" in the technical guidelines.

It is important that the enumerator(s) manage their time well in conducting the qualitative interviews. It is estimated that the qualitative village interview will take two hours, and that the wealth ranking exercise will take three hours. We want to be sure that the respondents are not frustrated on the first day by a meeting that is too long and not properly managed. If they experience frustration in the first meeting, they are unlikely to attend the wealth ranking exercise on the following day.

VIII. Qualitative village survey at 40 extensive sites

1. Aims of the qualitative village survey

The aim of the qualitative village survey at the 40 extensive sites is to get nationally-representative information about community forestry and poverty alleviation. Because these sites will have been chosen randomly from a list of all existing community forestry sites in the country, they have power for explaining the situation country-wide. But what we gain in breadth (large number of sites), we lose in depth (inability to get information at the household level). Nevertheless, if carried out properly, this component of the research will produce exceedingly valuable information.

As in the qualitative village survey at the four intensive sites, the respondents will be five to ten key informants who have good knowledge about the community forestry project and about the village as a whole.

The specific aims of the survey will be to: gather basic information about the community forestry site; to know about the village economy and changes in wellbeing; to assess the livelihoods performance of the community forestry site; and to pose “new questions” that have been generated by the prior research at the four intensive sites.

2. Methodology

The methodology for this phase of the research will be very similar to the approach in the qualitative village interview at the four intensive sites. (See Part VII, Section 2.) Nevertheless, there are methodological steps that are also different.

One important difference is that the people conducting the research (the enumerator(s) and/or the national consultant) will be strangers at the 40 extensive sites. There will be little opportunity to get acquainted with the respondents in advance. This means that some respondents may be hesitant or shy.

We need to compensate for this deficiency as much as possible through three steps. First, the village head must be notified in advance about the planned interview. The national consultant must work with the forestry department or other authorizing agency to get permission for the visit, to explain the purpose of the interview, and to ask the village chief to nominate ten villagers who will be respondents in the interview. Second, the interviewer and notetaker must meet privately with the village chief upon arrival at the village so that the chief has an opportunity to ask questions and clarify any issues. This will enable the village chief to better introduce you to the respondents. Third, the interviewers must again explain the purpose of the research before the beginning of the interview.

Make sure to ask the respondents if they have any questions of clarification. Ask them to be completely open about their criticisms of the project, if they have any. Assure them that all information provided is anonymous. We do not associate particular answers with particular people.

3. Questions posed in the village interview

On the front page of the interview form, notice that there is a part (second item down from the top on the front page) asking the interviewer to specify which of the four cells in the stratification table this site belongs to. Recall that there will be ten sites chosen randomly from each of the four cells. Fill in the two variables concerned. For example, using the Cambodia table, the site visited might be: first variable = distance from market, far; and second variable = forest land use, production. It is very important that this be filled in accurately.

The questions are divided into four parts: (1) questions on village livelihoods and changes in wellbeing; (2) background questions on the community forestry project; (3) questions on the performance of the community forestry project; and (4) new questions produced from research at four intensive sites.

(2) Questions on village livelihoods and changes in wellbeing

The aim of this section is to get a broad view of the village economy and of the success or failure of the village economy to support the livelihoods of its inhabitants in recent years. This is (more or less) the equivalent of some questions we pose in the census and the first part of the household survey at the intensive sites.

Another important aim of this set of questions is to *indirectly* find out if community forestry has any significant role in the changing fortunes of the village's inhabitants. Our approach is *indirect* in the sense that we ask the respondents about all possible reasons for change in village-wide wellbeing since the time the community forestry site was founded. We do not ask the respondents specifically if community forestry had a role in those changes.

The reason this indirect approach is important is because we want to know if community forestry is important enough to surface spontaneously in a discussion about general village welfare.

It is very important in this indirect approach to phrase the question properly. The interviewer must be careful to say (for example): "Since 1998, what has been the general direction of change of wellbeing in this village?" Do not say: "Since the year of establishment of the community forestry project in this village, what has been the general direction of change of wellbeing in this village?" The second approach might wrongly encourage the respondents to only think about

community forestry, and to avoid thinking about all possible reasons for changes in wellbeing.

(2) Background questions on the community forestry project

The aim of this set of questions should be obvious. We want to get basic information on the community forestry site that may not be available from national data bases on community forestry. If you have the information in advance, please fill it in. But even if you do fill in this information in advance, you should *always* ask the question in the interview. This will serve to double-check the accuracy of, and to update, the information.

With regard to questions 7 and 8, all interviewers should know in advance the national definition of a city. (Usually, cities are defined as having a certain minimum number of households or inhabitants.) We want to be sure that this definition is applied consistently.

(3) Questions on the performance of the community forestry project

This is exactly the same set of questions as those posed in section II of the qualitative interview at the four intensive sites.

(4) New questions produced from research at four intensive sites

These three questions will be composed by the national consultant, in consultation with the enumerators. These three questions will surface from a discovery of important new issues in the course of field research at the four intensive sites.

If the national consultant believes that these new questions are best posed as a rephrasing of questions in section 3, rather than as a new question in section 4, they must first consult with William Sunderlin.

Be sure that the village interview does not exceed two hours and 15 minutes. The time apportionment should be: village and wellbeing, 45 minutes; background on community forestry, 15 minutes; the performance of the community forestry project, 60 minutes; and "new questions," 15 minutes.

APPENDIX 1 CODES FOR INCOMES AND FOR CROPS

	INCOMES			Crops/Animals
	<i>Agriculture</i>			<i>Agriculture</i>
1	Farming own land		1	Wet rice
2	Farming rented land		2	Dry rice
3	Farming borrowed land		3	Cassava
4	Farming sharecropped land		4	Corn
5	Farming open access land		5	Vegetables (incl. soy, peanuts)
6	Agricultural labor		6	Fruits
7	Renting out agric. machinery		7	Coffee, tea
8			8	Tobacco
9			9	Sugarcane
10	Other (specify)		10	Other (specify)
	<i>Animal husbandry (AH)</i>			<i>Animal husbandry</i>
11	AH on own land		11	Chickens, ducks, geese, etc.
12	AH on rented land		12	Goats or sheep
13	AH on borrowed land		13	Pigs
14	AH on sharecropped land		14	Horses
15	AH on open access land		15	Beef, dairy cows, buffalos
16	Herding animals of others (%)		16	Fish
17	Herding as labor (cash or kind)		17	
18			18	
19			19	
20	Other (specify)		20	Other (specify)
	<i>Forestry</i>			<i>Forestry</i>
21	Harvesting on owned land		21	Firewood or charcoal
22	Harvesting on rented land		22	Timber
23	Harvesting on borrowed land		23	Wild food (flora or fauna)
24	Harvesting on sharecrop land		24	Wildlife (nonfood)
25	Harvesting open access land		25	Medicinal plants
26	Harvesting on community land		26	Forage
27	Forestry labor		27	Thatch
28	Forest protection fee		28	Bamboo
29			29	Rattan
30	Other (specify)		30	Other (specify)
	<i>Other</i>			
31	Merchant / trader / store clerk			
32	Teacher			
33	Other government employee			
34	Employee of religious institution			
35	Transportation service provider			
36	Receive remittances			
37	Receive pension			
38	Employee (NGO or private)			
39				
40	Other (specify)		40	Other (specify)
			98	Does not apply
99	Respondent does not know		99	Respondent does not know

Notes concerning Appendix 1 :

NOTE: THE FOLLOWING DEFINITIONS OF LAND TYPES ARE TO BE USED ONLY FOR ANSWERING QUESTIONS 1.9 AND 1.10 IN THE HOUSEHOLD SURVEY. THEY ARE NOT TO BE USED IN PART 3 OF THE HOUSEHOLD SURVEY, BECAUSE THEY ARE SOMEWHAT DIFFERENT THAN THE DEFINITIONS USED IN THAT SECTION.

In Vietnam :

- « Own land » means land for which the household has a green or red book or is in the process of getting it.

In Laos :

- « Own land » means private land. Private land consists of :
 - o private field ;
 - o private garden ;
 - o private pasture ;
 - o shifting cultivation land during the cultivation time;
 - o private trees inside the community forest.
- « Community land » consists of:
 - o community forest
 - o shifting cultivation land when it isn't cultivated
 - o river
- « Open access land » consists of pastures and forests which are not private or community lands

In Cambodia:

- “Own land” means own agricultural land. It does not include the garden.
- “Rented land” can be either against cash payment or payment in kind. However the price is fixed and independent of the yield.
- “Sharecropped land” is when the owner gets a percentage of the yield. Even if the farmer keeps the whole yield, but has to buy off a certain percentage of the yield to the owner.

INCOME:

- 16: “Herding the animals of others” is when a farmer is keeping the animals of another person (for example for a rich person in the city). The owner and the farmer will share the animal products. For example: the farmer gets the first calf and the owner the next.
- 17: “Herding as labor” is when the farmer is keeping the animals of another person for a cash payment or for payment in kind.
- 33: “Other government employee” refers to a government employees other than a teacher (code 32)

APPENDIX 2 INSTRUCTIONS FOR THE WEALTH RANKING EXERCISE

Wealth ranking tool

- Materials :** A4 paper
List of households
- Time :** 1/2 day or one evening
- Participants :** Key informants who know the village (village head, people's committee, village development committee) and 1-2 facilitators
- Objective:** Classify the households of a village into 3 wealth categories: poor, average, and rich.
- Expected result:** A list with the names of households classified according to their wealth category

Poor	Average	Rich
Nguyen Van Tam	Van Ba Luong	Nguyen Kim Phuong
Van Pham Thuan Dinh Tuc Dang ...	Nguyen Thi Yen ...	Dinh Van Thu Nguyen Thi Huyen ...

Method :

1. In a preparatory meeting, explain to the village head the purpose of the exercise (relate to your work and see also objective above). Ask him to gather five to ten key informants to a meeting.
2. At the meeting, greet everyone and thank them for coming. Explain them the purpose of the meeting: explain what a wealth ranking exercise is and why you need this information.
3. Draw a table on a A0 (or A4) sheet with 3 columns. Write on top of each column the wealth category : poor-average-rich.
4. Ask the farmers to describe each category: what makes a family "rich"? What kind of assets does this family have?

First, allow the farmers start the description. If the description doesn't get on easily, you might use this list to help you guide the discussion (pick those who are relevant in your situation):

- type and amount of land
 - number of labor force
 - type of house: mud, wood, masonry...
 - vehicles: bicycle, motorbike, tractor...
 - animal husbandry: type of animals, number...
 - food security: how many months per year is the household "hungry"?
 - Commodities: water source (stream/well/ piped water), type of toilet, electricity....
 - Other assets: radio, TV...
5. Once you have finished the description of one category, you continue describing the next until all categories are described. Hang the A0 sheet with the description on one wall (or place the A4 sheet) so that everyone can see it.
 6. Then you take the list with the names of households (the one based on the census forms). You go through the list of names one by one. Ask the key informants, to which wealth category , the household belongs (refer to the descriptions). Write the wealth category next to the name of the household or in the corresponding column of the census form. Proceed until you have attributed all the households to one or the other category.
 7. Thank the key informants for their participation.