

Cloudburst Consulting Group

2015 CFP Impact Evaluation Baseline Data collection

District Key Informant-Interview Protocol

A. Interview Record		
A1. Date of Survey		<i>(mm/dd/yyyy)</i>
A2. Name of Enumerator	<i>(Text)</i>	
A3. Name of Supervisor	<i>(Text)</i>	
A4. District:	1=Mambwe 2=Lundazi 3=Nyimba	<i>(code)</i>
A5. Place of Interview: Village name	<i>(Text)</i>	
A5b. Space of Interview (For example, ZAWA office, DFO office, Chief's house, etc)	<i>(Text)</i>	
A6. Village ID	<i>(Integer)</i>	
A7. Start time	<i>(Numeric)</i>	
A8. End time	<i>(Numeric)</i>	
A9. Who is the respondent	1= Chief 2= Senior chief 3= Zambian Wildlife Authority representative 4= District Forest Official 97= Other, please specify	<i>(code)</i>
A10. Name of respondent	<i>(text)</i>	
A11. Sex of the respondent <i>Observation Only</i>	0=Male 1=Female 999=Prefer not to respond	<i>(code)</i>
A12. Age of the respondent	<i>(Integer)</i>	

DISTRICT KEY INFORMANT INTERVIEW – INFORMED CONSENT

Hello, my name is ____ I am a researcher working with Rural Net, the U.S. Agency for International Development, Cloudburst Group, and Clark University on a study of land tenure and forest conditions in Zambia's Eastern Province. I would like to ask you some questions to better understand these issues in your district. Your participation is entirely voluntary.

What will I do if I choose to be in this study?

If you agree to be part of the research study, you will be asked to answer some survey questions about your district and your leadership role. We will ask you about your district's activities and governance relating to land and forest use. The survey will last about 60 minutes. At any time in the study, you can decide to stop being part of this study. If you choose to stop being part of the study, we will not ask you any more questions. If you decide to stop being part of this study, I will ask if the study can still use information already collected from you.

What are the possible risks for discomforts?

Being part of this study does not involve any risks to you that are different than what you would experience day to day. Participation in this study will involve no cost to you.

What are the possible benefits for me or others?

You will probably not get any direct benefit from being in this research study. However, we hope that this study will help provide researchers and political leaders with a better understanding of the resources used and needed for livelihood development in Zambia.

What alternatives are available?

You can choose to not be part of this research study. You can also arrange to talk with me or one of my co-workers at a later time if you need more time to think about whether or not you would like to be part of the study.

What are my rights as a research participant?

We will respect any decision you make about answering our questions. You are free to stop being in the study at any time. Choosing not to be in this study or to stop being in this study will not have any bad consequences for you.

What about my confidentiality and privacy rights?

Being part of this research study could possibly result in a loss of privacy, since someone other than the investigator(s) might see your study records. Only the study leader, members of their staff, and the Clark University Institutional Review Board will be allowed to review your study records. All these people must always keep your personal information private and confidential. In other words, these people are not allowed to share your personal information with anyone else.

All personal information will be encrypted and stored electronically. No identifying information will be stored with your interview. As with all research projects, there is a small chance that someone outside the study could see this information, but we will take great care to prevent this from happening.

Results of this study may be used for research articles; however, we will not discuss your individual results.

Who should I call if I have questions or concerns about this research study?

If you have questions about this survey, you may contact the Project Manager in Lusaka, Steven Tembo. He can be reached by phone at +260 966743100. You may also contact the Cloudburst Country Coordinator at +260 971545041. This study has been approved by the Clark Committee for the Rights of Human Participants in Research and Training Programs (IRB). Any questions about human rights issues should be directed to the IRB Chair, Dr. James P. Elliott (508) 793-7152. We would be very thankful for your participation.

Consent

After being read the entire participant information sheet and asking any questions you may have, do you wish to participate in this survey?

_____ Yes

_____ No

Participant Signature:

Witness Signature:

Date: _____

Date: _____

BACKGROUND

Enumerator: I would like to start by getting some background information and asking you about your current position in your district and the work that you do.

1. For how long have you held your current position?
2. Prior to this position, what was your past experience with forest-related issues and management?
3. By what process did you become the _____?
PROBE: For example, were they selected, did they volunteer, or were they elected?
4. Please describe your role as _____ in issues related to forest land use and management
(E.g. activities related to the management of the forests)

PROBE using the following list of activities

- Protecting certain desired trees in the forest
 - Protecting certain areas of forest
 - Establishing rules around who can access and use specific forest products
 - Enforcing rules around who can access and use forests (e.g. no bush burning in the forest)
 - Training/education about forest management
 - Mapping/inventory of forest resources
 - Other activities?
5. Are there groups dedicated to forest management in this district. What are their names and structure?
 6. What is their role? What activities do they perform?

Probe using list of activities above

DRIVERS OF DEFORESTATION

Enumerator: Now I would like to ask you about the forests in your district and how they may be changing.

7. Compared to 3 years ago, how have the forests in your district changed?

PROBE using list below

- Size/area of forest land
- Tree cover and density
- Availability of key tree species,
- Abundance of game and non-timber forest products,
- Change in the water quality of rivers and streams,
- Change in seasons of flowering or fruiting, crops/harvest cycles, etc.
- Other changes?

8. In general, do you think forest conditions in this district are better or worse than they were 3 years ago? Why do you think they are better or worse?
- *If they answer that their forest conditions have IMPROVED, probe using the following list of possible reasons for improvement. Remember to ask participants to expand on and explain any reasons they give in detail.*
 - Planting trees
 - Cutting down undesired/competing trees
 - Protecting certain species of trees in the forest
 - Protecting specific areas of the forest
 - New rules around who can access and use specific forest products (e.g. honey, trees)
 - Extension/education/training about forest management
 - Fighting forest fires
 - Engaging in forest-based income or tourism activities, such as a beekeeping group, or guiding
 - *If they answer that their forest conditions have WORSENEDED, probe using the following list of possible reasons. Remember to ask participants to expand on and explain any reasons they give in detail.*
 - Reduced forest area due to small-scale clearing for agriculture
 - Reduced forest area due to small-scale mining activities
 - Reduced forest area due to large-scale projects (plantations, new settlements, mining activities etc.)
 - Charcoal production
 - Timber harvesting
 - Brick burning
 - Poor harvesting practices
 - Bush burning / fire
 - Natural disasters or pests
9. On a scale of 1-5, with 1 meaning no problem and 5 meaning a severe problem, how much of a problem would you say deforestation is in your district? Please describe the problems surrounding deforestation in your district in greater detail.

PROBE: THE ANSWER TO THIS QUESTION SHOULD NOT ONLY BE A NUMBER!

PROBE their answer using examples of problems surrounding deforestation such as logging, burning, less forest land, less thickness of trees/forest cover, less access to and availability of key tree species, soil erosion, etc.

10. On a scale of 1-5, with 1 meaning no contribution to deforestation and 5 meaning a large contribution to deforestation, how much would you say the following factors contribute to deforestation in your district?
- a. Charcoal production
 - b. Agricultural expansion
 - c. Wood extraction

- d. Burning
- e. Infrastructure development

PROBE: THE ANSWERS TO A-E OF THIS QUESTION SHOULD NOT BE ONLY A NUMBER!

PROBE their answers, asking them to expand on each number given, and using clarifying questions such as Who..., What..., When..., Where..., Why..., How...

11. How have these factors/drivers changed over the past 3 years? In other words, do they contribute more or less to deforestation than they did 3 years ago? Why do you think that is?
12. In the next 3 years, how do you expect the condition of forests in your district to change? How do you expect the quality and availability of forest resources to change over the next 3 years? Please explain your answer.

PROBE using list below

- Size/area of forest land
- Tree cover and density
- Availability of key tree species,
- Abundance of game and non-timber forest products,
- Change in the water quality of rivers and streams,
- Change in seasons of flowering or fruiting, crops/harvest cycles, etc.
- Other changes?

13. In your opinion, do you think that the state/provincial government supports sustainable forest management initiatives, including actions taken to prevent deforestation? Please explain why or why not.

Enumerator Note: Examples of sustainable forest management initiatives and actions taken to prevent deforestation may include any actions taken to conserve and protect forests.

14. Are you aware of any current programs/initiatives surrounding forest conservation or management in your district? If yes, for each program, please provide the name of the program, the implementing agency, the year the project started, and describe the program activities.

PROBE about each program using clarifying questions such as Who..., What..., When..., Where..., Why..., How...

FOREST POLICIES AND REGULATION

Enumerator: Now I would like to ask you about the rules and regulations that govern forest land in your district.

15. What are the main government policies and legislation that regulate forest use in your district? Are there specific regulations on village forestry at the national/district level?
16. How have these policies changed over the past 3 years?

17. What are the main laws in this district that regulate or restrict activities in forest/wooded areas?

More specifically are there any laws that regulate.... (activity)?

Enumerator ask about each of the activities listed below

- Agriculture
- Hunting, Gathering
- Collecting wood for fuel for personal use
- Collecting wood for fuel for sale
- Timber extraction
- Charcoaling
- Collecting water
- Mining
- Any other laws you wish to share?

PROBE: Ask the respondent to explain each law in detail

18. Who is responsible for enforcing these laws? What sort of monitoring programs are in place to catch violators?

19. Are violators punished?

PROBE: If yes, how are they punished? If no, why are they not punished?

20. What is the process that outsiders/strangers must follow for using the forests in your district?

21. Are there rules that are different for locals versus outsiders? Please describe.

22. Do you think there is more or less unauthorized/illegal access to forests than there was 3 years ago? Please explain why.

VILLAGE LEVEL PARTICIPATION

Enumerator: Now I would like to ask you about how villages in your district are involved in forest management.

23. Can you please describe how laws and policies related to forest land and access to forest land are made in this district? Who decides on the laws and policies?

24. Do village members or village-level groups participate when forest regulations and policies are being designed at the district or state level?

25. If so, please explain how villages participate.

- a. If they are consulted, who in the village (e.g., which groups: women, youth, strangers, etc.) is consulted?
- b. At what point in the decision-making process are they are consulted?
- c. Is there anyone you think that they could do a better job of consulting?

26. If villages do not participate, why do you think that is? In your opinion should they be included in the process?
27. Are traditional rights and village-level decision-making structures recognized in forest regulations and policies made at the district or state level? How are traditional decision-making structures taken into account?
28. At the district or state level, what types of rights are recognized for communities in your district? For example, what are their rights surrounding... *(Enumerator: ask about each of the rights listed below.)*
- right use of forests,
 - right to use forest resources,
 - right to restrict others from their village forests/lands,
 - right to sell or rent forests
29. To your knowledge, do government laws conflict with the traditional laws governing forests in your district? Please explain how.
30. Are people in your district aware of the government laws? If they are, do you believe they respect and follow these restrictions?
31. Are village leaders aware of the government laws? Do they enforce them effectively? Please explain why or why not.
32. In your opinion, do village leaders have the capacity to manage forests sustainably (in terms of knowledge, resources available to them, etc.)?
33. Are there any other problems or challenges surrounding these laws or policies that you wish to share?

FOREST MANAGEMENT AND CONSERVATION PROGRAMS/ACTIVITIES

Enumerator: Now I would like to ask you about current programs about forest use and deforestation in your district.

34. Has your district entered any formal agreements with government organizations, programs, NGOs, etc. in the area of forest management in the past 3 years? What type of agreements? Please describe the parties involved, and the year the agreement began.
35. Has your district received any forestry related external support from government, donors, NGOs, etc. over the past 12 months? For example, technical assistance, or free inputs? Please provide the name of the agency, and the external support received.

36. To the best of your knowledge, over the past 12 months has your district received any direct benefits (in kind or in cash) from a private company, the government, or an NGO in return for forest resources or services? For example, how about any resources or services related to the list below? In other words, has your district received any monetary flows or benefits created/generated by any projects relevant to the list below?

PROBE using the list below.

- a. Tourism
- b. Carbon sequestration
- c. Water catchment
- d. Biodiversity conservation
- e. Compensation from timber company
- f. Compensation from mining company
- g. Tree planting/afforestation
- h. Other forest services, specify

Enumerator: If respondents are not aware of any benefits, please proceed to next section.

37. If yes, who provides these benefits? Please describe the project and the benefits your district has received.
38. Are the benefits provided directly to households, to villages collectively, or at the district level? Please explain
39. Who participated in the development of the benefit sharing mechanism? Who participates in the oversight?
40. Are you satisfied with the benefit arrangements? Why or why not? In what ways do you think they are or are fair and transparent?
41. What improvements, if any, would you like to see in these benefit sharing arrangements?

ACCESS TO INFORMATION: FOREST CONCESSIONS AND PERMIT

Enumerator: Next, I would like to talk about the decision-making process for granting forest concessions and permits in your district.

42. Do villages or village-level groups participate in the decision-making process for granting forest concessions or permits over forests in your district? If so, please explain how and at what stage of the process?
43. If they are consulted who is chosen to participate and why (e.g., which groups: women, youth, strangers, etc.)? How do they participate?

PROBE: Do they have the right to present their views? Do they attend meetings? Do they have the right to vote? Do their views have any impact in the final decision? Are they traditional authorities or representatives of village civil organizations? Are they mostly men or women?

44. At what point in the decision-making process are they are consulted? Is there anyone you think that they could do a better job of consulting?
45. Are villages in your district informed and provide with information when natural resource use concessions or permits for forests are granted in your district? If so, does this happen before or after the permit or concession has been granted?
46. Is the information provided complete? Is this information available in the languages spoken by impacted communities? Is information provided promptly?

GRIEVANCE MECHANISMS

Enumerator: Lastly, I would like to ask you about how people in your district express grievances related to forest access and forest use.

47. If communities in this district want information related to forest access/use, or have a concern over a formal agreement, or a certain project or a concession, is there a government agency in your district that communities can go to and get information or to express their concerns?
48. Is there a special process to provide feedback and express grievances? What is the nature of the procedure (administrative/judicial)? Please explain.
49. What particular types of disputes tend to be resolved using this procedure?
50. Would you please describe as best as you can a dispute that you are familiar with and how the process worked in that case?
 - a. What organ/entity was responsible for processing complaints? Where was it located? How close to the village was the project management or government agency?
 - b. What kinds of evidence did the parties of the dispute need to present? Did they need legal or technical support in order to be accepted for processing?
 - c. Do you believe that the decisions of the mechanism were fair?
 - d. Were the decisions of the mechanism executed?
 - e. Was the process perceived to be effective? Did it bring lasting peace.
51. Are you aware of any INFORMAL/traditional dispute resolution processes carried out by village members/traditional authorities to resolve grievances/conflicts from communities arising from natural resource management and land and resource rights?
 - a. What is the nature of the resolution process? Please explain.
 - b. Is this process of resolving conflicts perceived to be fair? Is this process perceived to be effective or to bring lasting peace? Please explain.
52. What particular types of disputes are resolved using the INFORMAL/traditional dispute resolution process?