

# Cloudburst Consulting Group

## 2015 CFP Impact Evaluation Baseline Data collection

### CFP FOCUS GROUP DISCUSSION PROTOCOL

A. Focus Group Record			
	A1. Village/locality Name	(Text)	
	A2. Village ID	(Text)	
	A3. Date of Interview	(mm/dd/year)	
	A4. Name of Qualitative Researcher 1 (lead)	(Text)	
	A5. Name of Qualitative Researcher 2 (recorder)	(Text)	
	A6. Please indicate the category of respondents for this focus group.	1=Women 2= Youth 3= Landless households (less than 1 hectare)	
	A7. Start Time	(Numeric)	
	A8. End Time	(Numeric)	

### INTRODUCTION AND INDIVIDUAL CONSENT

*(Enumerator: Consent must be obtained individually. Please read the paper consent form carefully and word for word)*

### FOCUS GROUP DISCUSSION – 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 community. Your participation is entirely voluntary.

#### **What will I do if I choose to be in this focus group?**

If you agree to be part of the focus group, you will be asked to answer some survey questions about you and your community. We will ask you about your village, local livelihoods, your activities and opinions around land tenure and forest use, and forest conditions in your village. The focus group will last about 90 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?**

We emphasize to all participants that comments made during the focus group session should be kept confidential. However, it is possible that participants may repeat comments outside of the group at some time in the future. Therefore, we encourage you to be as honest and open as you can, but remain aware of our limits in protecting confidentiality. To protect your responses, we ask that you do not share the details of the discussion outside of the focus group session.

Focus groups will be recorded with a digital recorder, and stored on a password protected computer. After transcriptions and translations are complete, the recording will be deleted. Unless required by law, only the study leader, members of their staff, and the Clark University Institutional Review Board will be allowed to review the focus group 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. Results of this study may be used for research articles; however, we will not discuss your individual results. The responses from this focus group will be combined with those from other focus group discussions being held in approximately 40 other villages. Only general results will be reported, and no information will be reported which could be used to identify a particular individual or village.

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

If you have questions about this focus group discussion, 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 focus group?

\_\_\_\_\_ Yes

\_\_\_\_\_ No

Participant Signature:

Witness Signature:

\_\_\_\_\_

\_\_\_\_\_

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

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

# **ROSTER OF RESPONDENTS:**

*(Enumerator, complete this roster with each respondent in private)*

Resp. ID	Name  <i>Make a complete list of all individuals taking part in the focus group.</i>	Did the respondent consent?  <i>All respondents must consent</i>	Gender  <i>Observation Only 1=Male 2=Female 999=Prefer not to respond</i>	How old are you?  <i>number of years</i>	For how many years have you lived in this village?  <i>number of years</i>	What is the highest level of education you have received?  <i>1=None 2=Grade 1/Sub-standard A 3=Grade 1/Sub-standard B 4=Grade 2/Standard 1 5=Grade 3/Standard 2 6=Grade 4/Standard 3 7=Grade 5/Standard 4 8=Grade 6/Standard 5 9=Grade 7/Standard 6 10=Grade 8/Form 1 11=Grade 9/Form 2 12=Grade 10/Form 3 13=Grade 11/Form 4 14=Grade 12/Form 5 15=Post-secondary 888=Don't know 999=Preferred not to answer</i>	What is your tribe?  <i>1=Chewa 2=N'goni 3=Nsenga 4=Tonga 5=Tumbuka 6=Senga 7=Kunda 8=Biza 9=Lunda 10=Luvale 11=Kaonde 12=Lozi 13=Bemba 14=Zambian only 97=Other, please specify 999=Preferred not to answer</i>
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## Focus Group Discussion Protocol

### INTRODUCTORY SCRIPT

Hello, my name is \_\_\_\_ and this is \_\_\_\_\_. We are researchers working with Rural Net on a study of land tenure and forest conditions in Zambia's Eastern Province. Thank you so much for agreeing to be a part of our discussion and for taking the time to speak with us. As you know, your participation is voluntary and you will not receive anything for participating, so we appreciate your willingness to speak with us. We are here today to ask you some questions to better understand the issues surrounding forests and land in your village. Throughout our discussion, I will start by introducing a topic and then ask you a number of questions related to that topic. For example, I will ask about the types of rules and regulations governing forests in your village, and your use of forest resources. The objective of this group conversation is to gather your opinions and perspectives on the topics we discuss. When answering questions, you are all encouraged to say whatever you think is appropriate. There are not right or wrong answers, so please feel welcome to express yourself freely.

Our discussion today will last about 90 minutes to 2 hours. I will conduct the discussion and \_\_\_\_\_ will take notes and tape record our conversation. Remember that the tape recording is only for the purpose of the research, and it will be kept confidential. Also, we will not use your names in preparing any notes or reports and we will make sure that no one can identify who made specific remarks.

Before we get started, I would like to go over a few ground rules for our discussion. These guidelines will help our discussion run smoothly, and help ensure that you all feel comfortable and respected as participants.

Please respect the following ground rules:

1. We want you to do the talking: As the facilitator, my role here is to ask questions and listen. I won't be participating in the conversation, but I want you to feel free to talk with one another. We would like everyone here today to participate in our discussion.
2. Your opinions are important: Your knowledge and opinions are important to our research, and we are here to learn from you. We expect that you will have different points of view and we are interested in hearing from each of you. All your opinions are important to us.
3. There is no such thing as a wrong answer: Please know that there are no right or wrong answers to our questions– just your ideas, experiences and opinions, which are all valuable. Again, you are encouraged to say whatever you think is appropriate to answer the questions. We want to hear a wide range of opinions.
4. One person speaks at a time: Please speak one at a time, and avoid talking over and interrupting one another. This will help to make sure everyone is heard and give everyone the chance to express their thoughts and ideas.
5. What is shared in the room stays in the room: We want you all to feel comfortable sharing your knowledge and opinions with us. To protect your privacy, we ask that all comments made during our discussion be kept confidential. Please do not repeat comments or share the details of our discussion outside of this focus group session.

Any questions or comments before we get started?

*(Answer any questions as appropriate)*

Okay, now let's start by introducing ourselves so we can know each other better. Please describe who you are and any other information you want to share.

*(Facilitate introductions and then proceed)*

### **FOREST ACCESS:**

*Enumerator: I would like to start by asking you about your access to forests and wooded areas.*

1. Do you have access to forest or wooded areas for harvesting or collecting wood and/or non-timber- forest products?
2. Please describe how your village uses forest and wooded areas. For example, what wood and/or non-timber forest products do you collect?
3. In general, has your access to forest/wooded land improved or deteriorated during the last 3 years? Please indicate and describe further what led to the change.

*PROBE the answer to Question 3 using the list below.*

- *If they answer that their access to forests has IMPROVED, probe using the following list of possible reasons for improved access. Remember to ask participants to expand on and explain any reasons they give in detail.*
  - reduced use from large-scale commercial users (For example, less clearing for agriculture, less clearing for mining, or decreased charcoal production from large-scale commercial users)
  - reduced local / small scale commercial use
  - increased roads/transport to the area
  - Improved rights to the forest area
  - less unauthorized/illegal access to the forest area
  - Improved road / transport to the area
  - Same forest area but less competition from villagers, government or companies
  - Other reason for improved access, please specify
- *If they answer that their access to forests has REDUCED/ DETERIORATED, probe using the following list of possible reasons for decreased access. Remember to ask participants to expand on and explain any reasons they give in detail.*
  - Reduced access due to reduced forest/wooded land area
  - People from outside buying land/being granted concessions or permits and restricting access
  - State or local authorities restricting access
  - Customary or village restrictions on access
  - Creation or enlargement of a Protected Area (public or private)
  - Some other restriction in access
  - Deteriorated transport / road conditions
  - Other reason for reduced access

4. What groups within your village DO NOT HAVE access to forest or wooded areas for harvesting or collecting wood and/or non-timber- forest products? Why do they not have access? (PROBE i.e., they are women, they belong to an ethnic minority, they are not the same tribe as the headman , they are migrants and/or new to the village, they are landless, they are poor)

### **FOREST CONDITIONS**

*Enumerator: Now I would like to ask you some questions about the condition of the forests in your village.*

5. How has the condition of your forests/wooded area changed in the past 3 years? How and why has it improved? How and why has it worsened? Please describe.

*PROBE the answer to Question 5 using the list below.*

- *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 WORSENERED, 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

### **FOREST LAND: GOVERNANCE**

*Enumerator: Now I am going to ask you some questions about the rules and groups that regulate forest land in your village.*

6. I'd like to discuss the rules that regulate how men and women in this village use the forests and wooded areas. Please tell me about the types of rules that allow or restrict the following activities in forest/wooded areas?

For each activity, please describe the rules.

- a. Clearing forest and/or wooded areas for fields
  - b. Hunting wildlife (including bush meat) *Please ask if there is a difference between pursuing subsistence versus income-generating hunting*
  - c. Gathering non-timber forest products (e.g., fruit, nuts, seeds, roots, berries, etc., mushrooms, rattan, plant medicines, herbs and spices, etc.)
  - d. Logging
  - e. Collecting wood for fuel
  - f. Collecting water for household use
  - g. Any other activities that are restricted? Please describe the rules.
7. Can you please describe how the rules that you just described are made in this village? Who makes the rules?
  8. How have these rules changes over the past 3 years?
  9. Does the village monitor for rule breaking? Who enforces the rules related to forest/wooded land? How are these rules enforced?
  10. To what extent are the rules regarding forest use respected by the village members?
  11. To what extents are these rules are fair? For example, do the rules apply equally to everyone in the village, or only select groups? Please explain.
  12. What is the typical penalty for breaking the rules? Do you think the penalties are fair?
  13. Are the penalties enforced equally across everyone in the village, or are certain groups punished more or less than others? For example, are men and women punished equally?
  14. Are there groups dedicated to forest management in this village (e.g., a group that organizes activities related to the management of the forest such as firefighting, patrolling, tourism, tree planting, etc.)? What are their names and structure?
  15. What is their role? What activities do they perform?

*PROBE using the following list of activities*

- Planting trees
- Cutting down undesired/competing trees
- Protecting certain desired trees in the forest to promote the natural regeneration of the species
- Protecting areas of forest
- Establishing rules around who can access and use specific forest products (e.g. honey, trees)
- Training/education about forest management
- Enforcing laws (e.g. no bush burning in the forest)
- Mapping/inventory of forest resources

- Patrolling the forest
- Fighting forest fires
- Engaging in forest-based income or tourism activities

16. How often does the group meet?

17. How are members and leaders selected?

### **FOREST LAND: DECISION MAKING**

*Enumerator: Now I would like to ask you some questions about how decisions are made in your village related to forest land.*

18. Can you please describe how decisions related to forest land and access to forest land are made in this village?

19. How is the village consulted in the decision-making process?

- If they are not consulted, why do you think that is?
- If they are consulted, who in the village (e.g., which groups: women, youth, strangers, etc.) is consulted?
- 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?

20. How do women participate in the decision-making process? At what point of the decision-making process they come in?

*PROBE: Do they have the right to present their views? When are they consulted? Do they attend village meetings about forest use? Do they have the right to vote?*

21. How do youth participate in the decision-making processes (e.g., entitled to present their views, right to vote)? At what point of the decision-making process they come in?

*PROBE: Do they have the right to present their views? When are they consulted? Do they attend village meetings about forest use? Do they have the right to vote?*

22. How do minority groups (i.e., groups that are a different tribe than the headman) participate in decision-making processes? At what point of the decision-making process they come in?

*PROBE: Do they have the right to present their views? When are they consulted? Do they attend village meetings about forest use? Do they have the right to vote?*

23. What are some possible disagreements within the village that could prevent or delay consensus/agreement regarding forest land decisions?

24. To what extent are forest land decisions in this village transparent?

25. To what extent are forest land decisions in this village fair? Are they fair to all groups (e.g., which groups: women, youth, strangers, etc.)? Why or why not?

26. If people in this village are unhappy with a decision made regarding forest land in this village, what could they do to try and change it? Who would they talk to?



## **PERCEPTIONS OF DEFORESTATION AND CLIMATE CHANGE**

*Enumerator: Now I would like to ask about your village's resources, and how and why they may or may not be changing.*

27. What are the three most important natural resources to your village's economy and livelihood?  
Why are these most the valuable?

*PROBE: If timber is given as one of the three valuable resources, probe for species.*

28. Are any of these resources getting scarce? Are you at all worried about the resources becoming scarce? Is there competition over any of these resources? If yes, has your village done anything to improve the resources? Please explain.

29. Do you think it is important to protect the forests in your village? Why or why not?

30. In the past 3 years, have you observed any of the following events related to the forests in your local area? If yes, please explain.

- a. Decline in abundance of game and non-timber forest products
- b. Change in seasons of flowering or fruiting
- c. Decline in crops/harvest cycles
- d. Change in availability of non-timber energy options
- e. Thickness of trees/forest cover
- f. Any other events you have observed?

31. What do you think is causing the changes you just described?

32. In the past 3 years, have you observed any of the following events related to climate in your local area? If yes, please explain.

- a. Reduced rainfall
- b. Increased rainfall
- c. Changes in seasonal patterns (when rainy and dry seasons occur)
- d. Drought
- e. Flooding/landslides
- f. Any other events you have observed?

33. What do you think is causing the changes you just described?

34. Please provide an example of the most common practice in your village that you believe contributes to forest loss.

35. Below is a list of 10 potential benefits. Which of the following benefits do you believe would make people in your village willing to change this practice? In other words, what would they want to receive in order to change the practice you just mentioned? As a group, choose 3 benefits from the following list and rank them from 1 to 3, with 1 being the most important, 2 being the second most important, and 3 being the third most important.

- a. New or improved health clinics

- b. New or improved schools
  - c. New or improved village roads
  - d. Salary jobs
  - e. Clearer forest land rights
  - f. Village level financial benefits (monetary or in-kind)
  - g. Household level financial benefits (monetary or in-kind)
  - h. Training/education about conservation farming techniques (such as fruit orchards, crop diversification, wood lots, etc.) and eco-charcoaling practices that protect the environment
  - i. Inputs for new or improved farming techniques (such as seeds, fertilizer, etc.)
  - j. Increased access to non-timber sources of energy (such as kerosene, electricity)
36. What is climate change? Do you believe climate change exists in this area? How would you know if climate change was occurring in your village?
37. Do you believe climate change is or will become a problem in your village? What effects might changes in climate have on your lives and well-being?

### **BENEFIT SHARING MECHANISMS**

*Enumerator: Now I would like to ask about any benefits your village has received related to forest resources and services.*

38. To the best of your knowledge, over the past 12 months has your village 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.*

39. If yes, who provides these benefits? Please describe the project and the benefits your village has received.
40. Are the benefits provided directly to households, to villages collectively, or both?

41. Are you satisfied with the benefit arrangements? Why or why not? In what ways do you think they are or are fair and transparent?
42. Did you participant in the development of this arrangement? Do you participate in the oversight?
43. What improvements or changes, if any, would you like to see in these benefit arrangements?

### **PERCEPTIONS OF EMPOWERMENT**

*Enumerator: Lastly, I am going to describe a couple of imaginary scenarios about a company interacting with a village in another country, and I am going to ask you some questions about each one. Again, these are not actual scenarios that have happened in real life, but I would like for you to pretend/imagine that they are real and put yourself in the shoes of the members of such a village. Any questions before we get started?*

44. In one village, a logging company wants to log timber on many hectares of the village's land, and the company has just signed a 99 year LEASE WITH THE STATE/PROVINCIAL GOVERNMENT to log timber on the village's land.
  - In specific terms, what kinds of consultation should take place with the village to ensure their rights are protected?
  - The company said that it will provide three benefits for the village in exchange for using the land. What three benefits do you think the village should ask for? Why do you suggest these benefits?
45. In another village, a mining company and a village signed a COMMUNITY AGREEMENT (i.e. with the chief or other traditional village authorities) about using village land for mining. The village was supposed to get a road and health clinic built as part of the agreement, but it has been five years since the agreement was signed, and the company still has not built what they promised.
  - If it was your village what would you do to address this violation of the agreement? Who would you go to? What actions would you take? (And if that didn't work, what would you do next?)
  - What kinds of rights do the village members have?