

Questionnaire- Community Forest/ Woodlot

Part I: Institutional Characteristics and Governance System

To be filled out based on discussion with relevant individuals/key informants (and secondary data). These should include individuals in the community who are expected to know well about the issues to be raised and should also represent different groups/sections of the community. Thus, the relevant individuals/key informants should include representatives from elders, community leaders/executives, women, youth, and relatively better educated or knowledgeable members of the community.

Interviewer and supervisor

Name of interviewer _____

Date (period) of interview _____ (Eth Cal)

Name and signature of supervisor _____

Community identification

Region _____

Code _____

Zone _____

Code _____

Woreda _____

Code _____

Peasant association (PA) _____

Code _____

Forest/Woodlot Name: _____

Code _____

Section A: History (Establishment) of the Community Forest/Woodlot.

A1. When was this community forest/woodlot established? _____year (in Ethiopian calendar)

A2. Who initiated the establishment of the community forest/woodlot? _____

(1) Government (2) External organization/NGOs (3) the community (4) others (specify) _____

A3. What was the previous use before the community forest/woodlot established? _____ (multiple answers possible)

(1) Ecological rehabilitation (2) Firewood (3) Fodder/Grazing (4) Agriculture (5) Others (specify) _____

A4. What was the primary reason (purpose) for establishing the community forest/woodlot? _____

(1) Ecological rehabilitation (2) Firewood (3) Fodder/Grazing (4) Income generating (5) Others (specify) _____

	Very high(5)	High(4)	Average (3)	Low (2)	Very low (1)
A5. How do you explain the participation of the community during the establishment of the community forest/ woodlot?					

A6. Were there people who live outside this community participating in the process of establishing the community forest/woodlot? _____

(1) Yes (2) No

A7. If the establishment of the community forest/woodlot was a recent one (at least to the memory of the respondents), what system existed before the establishment? _____

(1) Was controlled state/government forest (2) Was uncontrolled/ free collection (3) Others (specify) _____

A7a. What was the situation of the forest before the establishment of the community forest/woodlot in this community? _____.

(1) Was better (2) the same as the current status (3) worse (4) do not know

A8. If recently established, how do you compare the benefits you get from the forest/woodlot before and /after establishment? _____
 (Refer to Q A1)

- 1) It is worse now than before (2) Is same as before (3) It is better now (4) do not know

	Very high(5)	High(4)	Average (3)	Low (2)	Very low (1)	None (0)
A9. How do you explain the participation of women during the establishment of the community forest/ woodlot?						

A10. If there were problems related to the establishment of the community forest, please describe.

Section B: Clearly Defined Boundaries

B1. What is the total number of households of the community around (or Kebele of) the forest? _____

B2. What is the number of households (in the community of users) that are beneficiary from the resource? _____

B2a. What are the criteria to be a beneficiary? _____ (Multiple answers possible)

- (1) Membership (2) Residence in the village (3) Input contribution (4) Others (specify) _____

B2b. How many households (in the community of users) that are beneficiary from the resource are female-headed households? _____

B2c. How many households (in the community of users/ beneficiaries) depend significantly on this resource/forest for own consumption? __-

B2d. How many households (in the community of users/ beneficiaries) depend significantly on this resource/forest for their family income arising from commercial activities? _____

B2e. Can members (in the community of users/ beneficiaries) inter and exit freely (voluntarily)? _____ (1) Yes (2) No

	Very highly (5)	Highly(4)	Averagely (3)	Less (2)	Very Less (1)
B3. How heterogeneous are the members (in the community of users/ beneficiaries) in terms of wealth/asset?					

	Strongly agree(5)	Agree(4)	Neutral (3)	Disagree (2)	Strongly disagree (1)
B4. The community has clear boundaries between legitimate users and nonusers that are defined clearly and nonusers are effectively excluded.					

	Strongly agree(5)	Agree(4)	Neutral (3)	Disagree (2)	Strongly disagree (1)
B5. The community has clear boundaries that clearly define their resource, i.e., forest/woodlot, (resource system) and separate it from the large biophysical environment and that of other adjacent community forests/woodlots.					

B6. Is there a coincidence (overlap) between the boundary of legitimate users and the resource boundary? _____

(1) Yes (2) No

Section C: Proportional Equivalence between Benefits and Costs

C1. What are the products or benefits you accrue or obtain from the community forest/ woodlot? (Please indicate 1=Yes , 2=No)

The product	Trees (pole)	Grasses (fodder)	Grasses (thatching)	Grass (handicraft)	Branches/leaves/ twigs (on ground)	Fuelwood	Honey	Beeswax	Fruits/berries (Coffee)	Fruits/berries (Others)	Others (specify)		
(i) is harvested or obtained and user (member) has a right to harvest													
(ii) is <i>not</i> harvested or obtained and user (member) has a right to harvest or obtained													
(iii) is <i>not</i> harvested or obtained and user (member) does not have a right to harvest or obtained													
(iv) is harvested or obtained and user (member) does not have a right to harvest or obtain													

C2. What are the factors (parameters) that are considered when allocating or distributing benefits? _____ (Multiple answers possible)

(1) Family size (2) Labor contributions (3) Money contributions (4) Equally per household for all members (5) Used for community purposes

(6) Others (specify) _____

C2a. If the factors (parameters) considered when allocating or distributing benefits differ by product, please indicate the major product(s) for which the factors (parameters) specified in Q C2 applies? 1. _____ 2. _____ 3. _____

(1) Grass (thatch), (2) Grass (fodder), (3) Timber, (4) Fuelwood, (5) Coffee, (6) Honey, (7) Beeswax, (7) Fruits, (8) Gum, (9) Resins, (10) Medicines, (11) Others (specify) _____

C2b. Has/ve there been any change over time in the factors (parameters) considered in allocating or distributing benefits? _____

(1) Yes

(2) No

C2c. If yes to Q C2b, what was/re the reason(s) for the change in the factors (parameters) considered in allocating or distributing benefits? _____

	Strongly agree(5)	Agree(4)	Neutral (3)	Disagree (2)	Strongly disagree (1)
C3. Rules specifying the amount of forest product(s) that a user or member is allocated are related to rules requiring labor, materials and/or money inputs.					
C4. Those (members) who receive the highest proportion of the resource are required to pay the highest proportion of the costs.					
C5. Rules to apportion benefits and costs take into account unique features of the community forest (local conditions).					
C6. The system for deciding who has access to the forest resources is a fair one.					
C7. Benefits are distributed fairly, i.e., the existing benefit distribution process/mechanism is fair and acceptable.					

C7a. What mechanisms do you use to distribute the benefit of the community forest/woodlot? _____

- (1) Harvest in group, divide harvest into equal lots and distribute by lottery
- (2) Individually harvest product or graze animals
- (3) Harvest in group, divide harvest into _____ lots based on parameters & distribute accordingly
- (4) Others (describe) _____

C7b. Has/ve there been any change(s) over time in the mechanism used to distribute benefits of the community forest/woodlot? _____

- (1) Yes
- (2) No

C7c. If yes to Q C7b, what was/were the reason(s) for the change in the mechanism used in allocating or distributing benefits? _____

C8. Are there problems (complaints) related to the distribution of benefits of the community forest woodlot? _____

- (1) Yes
- (2) No

C8a. If yes, to Q C8, then what are the problems related to the distribution of benefits? _____

C9. What are the input contributions or associated costs that are expected of members? _____ (Multiple answers possible)

- (1) Labor
- (2) Money
- (3) Others (specify) _____

D. Collective-Choice Arrangements and Constitutional-Choice Process

D1. Does the community have rules and regulations (by-laws) that govern the access, use (harvesting), and maintenance (management) of the forest resource/ woodlot? _____

- (1) Yes (2) No

D1a. If yes, are these rules and regulations (by-laws) written, do these rules and regulation exist in writing? _____

- (1) Yes, they are in written form. (2) No, they are oral ones

D1b. If yes, are any individuals in this community of users (user group) responsible for making the rules about the forest/woodlot? _____

- (1) Yes (2) No

D2. Describe the process involved in the formation (preparation) of the by-laws and regulations of the community?

D3. Are there any individuals in this user group who do not participate in rule making for the forest? _____

- (1) Yes (2) No

D3a. If yes to D3, how would you describe these individuals who do not involve in rule making?

D4. Can the community change the by-laws and regulations, i.e., the operational rules that govern the access, use, and maintenance (management) of the forest resource/ woodlot whenever the need arises? _____

- (1) Yes (2) No

D4a. If yes to Q D4, what is the procedure/mechanism involved to change these rules (by-laws)?

	Strongly agree(5)	Agree(4)	Neutral (3)	Disagree (2)	Strongly disagree (1)
D5. Most individuals (members) affected by the operational rules of the community are included in the group that can modify these rules					

D6. Can forest users remove the leaders (decision makers) when necessary? _____

- (1) No (2) Yes, in elections that are held regularly (3) Yes, in election that are held irregularly
 (4) Yes, through *gimgemma* or in arenas where criticisms are voiced (5) Others (describe) _____

D7. Indicate how members of the community of users (user group) express their needs and concerns about the forest/woodlot (or any complaints) to officials of the community. _____

- (1) Formal petition (2) Formal hearings (3) General meetings (4) Informal exchanges with officials
 (5) Others (describe) _____

D8. Has the decision process been always the same since the establishment of the community forest? _____

(1) Yes

(2) No

D8a. If no to Q D8, what are the change(s) made through time in the decision process? _____

Section E: Monitoring and Enforcement

E1. Who enforces the rules and regulations (by-laws) that are created by the community? _____

(1) By members of the community itself.

(2) By officials (guards) selected by the community

(3) By community and local officials.

(4) Others ways (describe) _____

E2. If enforced by officials selected by the community, how does the community select officials (guards) for protection of the community forest/woodlot? _____.

(1) Decided in a meeting by the users

(2) anybody interested can be a member of the officials (voluntary)

(3) Other (describe) _____

E2a. What are the criteria to be selected? _____

	Strongly agree(5)	Agree(4)	Neutral (3)	Disagree (2)	Strongly disagree (1)
E3. Monitors, who actively audit physical conditions and user behavior, are accountable to the users.					
E3a. Monitors are the users themselves.					

E4. On whom does the community enforce the rules and regulations (by-laws)? _____ (multiple answers possible)

- (1) On outsiders (non-beneficiaries) (2) Members of community (beneficiaries) (3) Others (specify) _____

E5. Why do you need to enforce the rules and regulations (by-laws)? _____

E6. How are the rules and regulations (by-laws) enforced? _____

- (1) Through patrolling (of the entire resource) (2) Others (specify) _____

E6a. If through patrolling, explain what the mechanism of patrolling? _____

E6a. If through patrolling such as by officials or guards, how often do you do the patrolling? _____

- (1) Twice a day (2) Once a day (3) Every other day (4) Weekly (5) Whole day (6) Others (specify) _____

E6b. If through patrolling such as by officials or guards, what is the timing of the patrolling? _____

- (1) Morning and evening (2) Every morning (3) Every evening (4) Whole day (5) Others (specify) _____

E6c. If through patrolling such as by member, how is the reward or incentive mechanism? _____

E7. How has this been organized in the past since establishment? _____

- (1) It was the same (2) It was different

E7a. If it was differently organized, explain how has it been organized in the past? _____

E8. Do you believe that people/members in the community are trustworthy? _____ (1) Yes (2) No.

	Strongly agree(5)	Agree(4)	Neutral (3)	Disagree (2)	Strongly disagree (1)
E9. Trustworthiness of people/members in the community is related with enforcement of rules.					

Section F: Graduated Sanctions

F1. In your observation, do individuals in the community (user group) follow the rules and regulations (by-laws) for accessing, harvesting, etc products from the forest/woodlot or using the forest for this non-consumptive purpose? _____

- (1) Rarely or never (2) Sometimes (3) About half the time (4) Most of the time. (5) Yes, almost always

F2. If there are infractions (breaking of rule/law), what are the infractions, when do infractions take place, and what are the reasons?

Please list the different kinds of infractions that have occurred with respect to harvesting or accessing the forest/ woodlot during the last two years.

Infraction (Code A)	Time [(1) day, (2) dawn (3) dusk, (4) night]	Season [(1)summer (June to August), (2) winter (December to February), (3) autumn (September to November), (4) spring (March to May)]	Identify if most frequent infraction (1=Yes, 2=No)	How many infractions out of the most frequent?	How was the infraction detected?	Major reason why this type of infraction likely occurs.

Code A

Type of Infraction

(1) Violation of membership obligations (2) Harvest rule violations (3) Letting cattle graze (4) Others (specify) _____

F2a. What is the fraction or proportion (in %) of people involved in infraction? _____

F2b. If by outsiders, what is the fraction or proportion (in %) of people involved in infraction? _____

F2c. What do you think/suggest can be done to reduce the infractions by outsiders? _____

F2c. How often do you think these people are caught from that infraction activity? _____

(1) Once in two times (2) two in five times (3) three in ten times (4) Others (specify) _____

F2d. What do you think can be done to reduce the infraction/crime rate (or increase catch rate)?

Type of infraction (code)	Type of measures to be taken

F3. Do you have any penalty system that still exists? _____ (1) Yes (2) No

F3a. If yes, please indicate the type of penalties likely to be imposed on users if they are breaking rules related to the specific forest/woodlot product.

Product type (Code B)	Harvesting rule violations			Input rule violations			Other (specify)		
	First time	Second time	Many times	First time	Second time	Many times	First time	Second time	Many times

Product type (Code B):

- (1) Grass (thatch), (2) Grass (fodder), (3) Timber, (4) Fuelwood, (5) Coffee, (6) Honey, (7) Beeswax, (7) Fruits, (8) Gum, (9) Resins, (10) Medicines, (11) Others (specify)

Type of penalties (Code C):

- (1) Warning (2) A fine less than the equivalent of one day's work (3) A fine equal to one day's work (4) A fine greater than one day's work but not more than one week's work (5) A fine greater than one week's work (6) Temporary restriction on harvesting rights for this product (7) Temporary restriction on harvesting rights for this forest(s) (8) Required labor input (9) Public apologies
 (10) Permanent suspension of harvesting rights for this product (10) Permanent suspension of harvesting rights for this forest (11) Monetary fine=5Birr (12) Monetary fine=10Birr (13) Monetary fine=15Birr (14) Others (specify) _____

F3b. Is there or do you have any type of measures not currently been done or used but could be done or used?

Product type (Code B)	Harvesting rule violations			Input rule violations			Other (specify)		
	First time	Second time	Many times	First time	Second time	Many times	First time	Second time	Many times

F4. Who decides what kind of penalty is appropriate when rule is observed to be violated or broken? _____

- (1) The guard patrolling the community forest/woodlot
- (2) A vote of individuals is the user group at a meeting
- (3) A vote of an executive committee of the user group/community
- (4) A vote of individuals in the user group/community and other authorized users of the forest/woodlot
- (5) Others (describe) _____

F4a. If voting, what kind of voting rules do you have or use? _____

- (1) Majority vote
- (2) Others (describe) _____

F5. Is a fine imposed? _____(cash/kind) (1) Yes (2) No

F5a. If yes, who collects the fines? _____

- (1) The guard who apprehends a rule breaker
- (2) An officials of the user group or community forest/woodlot
- (3) The PA association/local government
- (4) Others (describe) _____

F5b. How is this fine used? _____

- (1) A general source of revenue for the community/members
- (2) A general source of revenue for local government
- (3) A general source of revenue for forestry department
- (4) Others (describe) _____

F6. To what extent are these penalties complied with if imposed? _____

- (1) No one complies with the penalties imposed on them
- (2) Few users comply with the penalties imposed on them
- (3) About half the users comply with the penalties imposed on them
- (4) Most users comply with the penalties imposed on them
- (5) Penalties are fully complied with when imposed
- (6) others (specify) _____

F7. If the users do not pay fines, what alternatives are open to the authority that imposes the fines? _____

- (1) Private reprimand and request to fully comply with penalty
- (2) Public reprimand and request to fully comply with penalty
- (3) Confinement in local jail
- (4) Taking user to court
- (5) Others (describe) _____

F7a. If there was a case where a user (rule violator) was taken to court, please describe the court case and actions taken.

	Strongly agree(5)	Agree(4)	Neutral (3)	Disagree (2)	Strongly disagree (1)
F8. In general, users who violate operational rules are likely to receive graduated sanctions (depending on the seriousness and context of the offense) from other users, from officials accountable to these users, or both. The term 'graduated implies' that sanctions or penalties for delinquent activity should move from less serious to more serious or stringent (i.e., graduated) penalties according to the severity and nature of the rule violation.					

Section G: Conflict Resolution Mechanism

G1. Has there been any internal conflict within the community? _____ (1) Yes (2) No

G2. Are there any mechanisms available for resolving internal conflicts? _____ (1) Yes (2) No

G2a. If yes to G2, how do internal conflicts in the community get resolved or what is the conflict resolution mechanism available? Could you please also give example? _____

G2b. If no to G2, how do you think it will (can) be solved? _____

	Strongly agree(5)	Agree(4)	Neutral (3)	Disagree (2)	Strongly disagree (1)
G3. Users and their officials have access to local arenas to resolve conflict between users or between users and officials.					
G3. The conflict resolution mechanism that users and their officials have access to resolve conflict between users or between users and officials are rapid.					
G3. The conflict resolution mechanism that users and their officials have access to resolve conflict between users or between users and officials are low-cost.					

G4. Were there conflicts with neighboring communities in the past such due to poachers or intruders? _____ (1) Yes (2) No

	Very serious(5)	Serious(4)	Average (3)	Low (2)	Very low (1)
G4a. If Yes to Q G4, what is the extent of such problem?					

G4b. How are these problems solved? _____

Section H: Minimum Recognition of Rights

H1. Was there any incident of an external government agency impose its own rules on the community managing the forest/woodlot? _____

(1) Yes (2) No

H2. Does (or was there an incident of) an external government agent in one way or another use their authority to support those who refuse to follow the rules (by-laws) of the community managing or protecting the forest/woodlot? _____ (1) Yes (2) No

	Strongly agree(5)	Agree(4)	Neutral (3)	Disagree (2)	Strongly disagree (1)
H3. In general, the rights of users to devise their own institutions are not challenged by external governmental authorities.					

Section I: Nested Enterprises

11. How does the community perceive itself in terms of relating to other forest-governing structures? _____

- (1) Not cooperating
- (2) Cooperating, but independent of other organizations rules and regulations
- (3) Cooperating jointly in determining rules and regulations (4) Others (specify) _____

12. To what extent do you agree that appropriation, provision, monitoring, enforcement, conflict resolution, and governance activities of the community recognize or are organized in light of multiple layers of nested enterprises.

Please mark only one answer in response to above statement, i.e., Q 12.

	Strongly agree(5)	Agree(4)	Neutral (3)	Disagree (2)	Strongly disagree (1)
Appropriating(
Provision					
Monitoring					
Enforcement,					
Conflict resolution					
Governance activities					

Section J: Governance System

Part I: Governance structure

J1. A community forest might have some form of leadership, i.e., an executive committee (a formal committee) or a general representative body (not a formal committee) or traditional leaders that represents members. So please indicate or check how the community forest in question is led, whether it is by? _____,

- (1) General Representative body (2) Executive Committee (3) Traditional leaders
 (4) Other (describe) _____

J1a. How many members comprise this executive committee or general representative body or traditional leaders?

Total number of members (female +male)	Female members	Male members

J1b. Has a woman ever been members of the executive committee or general representative body? _____

- (1) Yes (2) No

J1c. Has a woman ever been the leader of the executive committee or general representative body? _____

- (1) Yes (2) No

J2. How are the members of the executive committee or general representative body or traditional leaders selected? _____

- (1) Elected by members in elections held regularly.
 (2) Elected by members in elections held irregularly (including consensual mechanisms).
 (3) Inherited (e.g., from father to son, mother to daughter, etc) (4) Appointed by a local village head or chief or village elders.
 (5) Appointed by local government. (6) Appointed by national or regional government. (7) Others (specify) _____

J3. If, elected by members, what are the criteria to be elected as a member of the executive committee or general representative body? _____
 (Multiple answers possible) (1) Membership (2) Being a resident in the village (3) Age (4) Education

(5) Others (describe) _____

J4. How often does the executive committee or general representative body meet? _____

- (1) Once a week (2) Twice a month (3) Once a month (4) Once every three months
 (5) Once every six months (6) Once a year (7) Every other year (8) Not regularly scheduled

J5. What are the main responsibilities of the executive committee or general representative body?

J6. How long a period, term, or mandate can the executive committee (EC) or general representative (GR) body of the community serve?

Official	(1) Life	(2) Fixed term, elected (No of years)	(3) Fixed term, not elected (No of years)	(4) Variable, subject to vote
Chairperson (or equivalent title)				
V/Chairperson				
Secretary (and Treasurer)				
Treasurer				
Most members of the EC or GR body				

J7. How many different individuals have led the community forest since its establishment? _____

J8. Has any member (user) of the community forest /woodlot held a position on the executive committee or general representative body? _____

- (1) No, never (2) Yes, always (3) Yes, sometimes.

J8. Can an external or higher level authority remove the members of the executive committee or general representative body? _____

- (1) No (2) Yes, with complaints from other members (3) Yes, at the discretion of the external or higher level authority (4) Yes, but only with substantial evidence about wrongdoing.

Part II General Membership of the community

J9. Are meetings held in which all members (users) of the community forest/ woodlot are eligible to participate? _____

- (1) Yes (2) No

J9a. How frequently are these meetings organized? _____

- (1) Once a week (2) Twice a month (3) Once a month (4) Once every three months (5) Once every six months
(6) Once a year (7) Every other year (8) Irregular interval (9) Others (specify) _____

J9b. Are these meetings very well attended, what proportion of the members attend these meetings? _____

- (1) Few members attend (<25%) (2) About half the member attend (25to50%) (3) More than half (50to75%) (4) Almost all members (>75%)

J9c. Describe the kind of issues raised and decisions made in general membership meetings (assembly) of the community.

(i) Kinds of issues raised:

(ii) Decisions made:

J10. Can members of the community call a general meeting when they want to discuss a special problem such as violations (breaking) of community rules (by-laws) by members of the executive committee or general representative body? _____

(1) Yes (2) No

J10a. If yes, has a special meeting been called during the last five years? _____ The last ten years? _____

(1) Yes (2) No

J11. Has the executive committee or general representative body changed the rules (by-laws) of the community forest/woodlot as a result of suggestions made by members? _____ (1) Yes (2) No

J11a. If yes, describe an example of such a change in the rules. _____

Part III. Involvement of external organizations

J13. Are there external organizations who are involved in the provision of training and technical assistance for community forest/ woodlot beneficiary farmers? _____ (1) Yes (2) No

J13a. If yes, please describe the external organizations that are involved in such activities.

J14. Are there local organizations who are involved in the provision of training and technical assistance for woodlot beneficiary farmers? _____

(1) Yes (2) No

J14a. If yes, please describe the local organizations that are involved in such activities.

J15. Is there any external organization involved in management of the resource, i.e., in management of the community forest/woodlot? _____

(1) Yes (2) No

J15a. If yes, please describe external organization involved in management of the resource. _____

J16. Is there any local organization involved in management of the resource, i.e., in management of the community forest/woodlot? _____

(1) Yes (2) No

J16a. If yes, please describe local organization involved in management of the resource. _____

Section K: Performance (Outcome)

	(1) Decrease	(2) No change	(3) Increase
K1. In your opinion, how has the size (biomass) of the forest/ woodlot changed compared to the last five years?			
K2. In your opinion, how has the diversity of tree species that exist in the forest/woodlot changed compared to the previous years?			
K3. In your opinion, how has the community forest/woodlot contributed to the livelihood of individual members or users?			

K3a. If yes to Q K3, please describe in how and to what extent it contributed to improvement in livelihoods of members?

Section L: Other CPRs

L1. Does any other CPR(s) forest or other exist in your community (or Kebele)? _____

- (1) Yes (2) No

L2. If yes to Q L1, are similar rules, regulations, monitoring and sanctioning, etc used or applied for them too? _____

- (1) Yes (2) No (3) Do not know

L3, If no to Q L2, in what way are the rules, regulations, monitoring and sanctioning, etc used or applied to these other CPR (s) different?

Section M: Any General Comments:

M1. Please indicate general comments, if any? _____
