# PEN Prototype Questionnaire

*The prototype questionnaire gathers the information required in the common data bank (CDB) of PEN. The questionnaire **must** be used together with the Technical Guidelines, which define key concepts, elaborate and explain the questions, and specify common codes to be used (those in the "code-xxx" format in the questionnaire).*

*The wording of the questions as specified here **must** be maintained, making allowances, of course, for translation into other languages. Some minor wording changes, necessary to account for local circumstances, might be allowed at the discretion of the PEN coordinator and the PEN advisor at CIFOR. An approval is required for such changes. The reason for this rule is that deviations from the wording of the questions may invalidate future pooling, comparison, and contrasts among the various case study data sets.*

*If the questions as currently worded do not adequately capture all the information the researchers seeks, it is recommended that one poses additional questions that are not part of this set of questions. Moreover, many researchers would like to add new sections reflecting the particular topic of their research.*

**Technical notes:**

- The numbers of the questions and lines and columns in the tables will be used to give each data cell a unique digital code, and should not be changed.
- A star (*) indicates that cell information may not be entered into the database, but is used for ease of recording.
- The following generic codes shall be used, although not being specified for each question:
    - **– 8 (minus eight)** is to be used to indicate that the question "does not apply" to the circumstances of the respondent(s).
    - **– 9 (minus nine)** is to be used for the alternative "I don't now" or '"The respondent doesn't know". Naturally, one should aim to minimize use of this response, but in some cases it's unavoidable.
- Each PEN survey shall make its own list of appropriate local units (weight and volume), with codes to be used in the survey. See the Technical Guidelines for details.
- The PEN Code List contains all the codes to be used, and must be used together with the questionnaire. The exception is the codes that apply only to single questions – these are included in the questionnaire itself.
- Several tables in the quarterly survey are "empty", which means you should fill in the locally most relevant products and use as many rows as needed (see instructions in section 5.1 of the guidelines).

# Country and Survey Information (C1)

*Note: One form should be filled out for each PEN study. (If a study covers more than one country, one should fill in one form per country.)*

1. Please provide the following information about the study area.

| | |
|---|---|
| 1. Name of the country | |
| 2. Name of region(s) (province, state, etc.) | |
| 3. Name of district(s) | |

*Note: More country information (economic data, poverty, land categories) will be added to the PEN CDB by the PEN coordinators in collaboration with the PEN partners.*

2. Please provide the following information about the timing of the surveys.

| **Survey** | **Date** *(yyyymmdd)* |
|---|---|
| 1. Start of surveys | |
| 2. Completion of all surveys | |
| 3. Start of V1 | |
| 4. Start of V2 | |
| 5. Start of A1 | |
| 6. Start of A2 | |
| 7. Start of Q1 | |
| 8. Start of Q2 | |
| 9. Start of Q3 | |
| 10. Start of Q4 | |

# Village Survey 1 (V1)

*Note: See the Technical Guidelines for the appropriate source of information and respondents for the various questions in the village surveys.*

### *Control information*

| Task | Date(s) | By who? | Status OK? If not, give comments |
|---|---|---|---|
| Meeting with officials | | | |
| Village/focus group meetings | | | |
| Other interviews | | | |
| Checking questionnaire | | | |
| Coding questionnaire | | | |
| Entering data | | | |
| Checking & approving data entry | | | |

### *A. Geographic and climate variables*

| | | |
|---|---|---|
| 1. What is the name of the village? | *1. (name)* | *2. (village code)* |
| 2. What are the GPS coordinates of the centre of the village? (UTM format) | | |
| 3. What is the latitude of the village? | | *degrees* |
| 4. What is the longitude of the village? | | *degrees* |
| 5. What is the altitude (masl) of the village? | | *masl* |
| 6. What has been the average annual rainfall (mm/year) in the district during the past 20 years (or less, see guidelines)? | | *mm/year* |
| 7. What is the coefficient of variation in rainfall for the past 20 years? *(Note: To be filled in if data are readily available.)* | | |

### *B. Demographics*

| | |
|---|---|
| 1. In what year was the village established? | |
| 2. What is the current population of the village? | *persons* |
| 3. How many households live currently in this village? | *households* |
| 4. What was the total population of the village 10 years ago? | *persons* |
| 5. How many households lived in the village 10 years ago? | *households* |
| 6. How many persons (approx.) living here now have moved to the village in the past 10 years (in-migration)? | *persons* |
| 7. How many persons (approx.) have left the village over the past 10 years (out-migration)? | *persons* |
| 8. How many different groups (ethnic groups, tribes or castes) are living in the village? | |

### *C. Infrastructure*

| | |
|---|---|
| 1. How many households (approx.) in the village have access to electricity (from public or private suppliers)? | *households* |
| 2. How many households (approx.) in the village have access to (= use) piped tap water? | *households* |
| 3. How many households (approx.) have access to formal credit (government or private bank operating in the village)? | *households* |
| 4. Are *informal* credit institutions such as savings clubs and money lenders present in the village? | *(1-0)* |
| 5. Is there any health centre in the village? | *(1-0)* |
| 6. Does the village have at least one road useable by cars during all seasons? *If 'yes', go to 8.* | *(1-0)* |
| 7. **If 'no':** what is the distance in kilometers to the nearest road usable during all seasons? | *km* |
| 8. Is there a river within the village boundaries that is navigable during all seasons? *If 'yes', go to 10.* | *(1-0)* |

| | | | | |
|---|---|---|---|---|
| 9. **If 'no'**: what is the distance to the nearest river that is navigable during all seasons? | | | | *km* |
| 10. What is the distance from the village centre to the nearest … (in *km* and in *minutes* by *most common means of transport*) | | **1. km** | **2. min** | ***3. code-transport*** |
| | 1. district market | | | |
| | 2. market for major consumption goods | | | |
| | 3. market where agric. products are sold | | | |
| | 4. market where forest products are sold | | | |

### *D. Forest and land cover/use*

1. Land categories in the village (approx. area in hectares).
*Note: See the Technical Guidelines for definition of land and ownership categories.*

| **1. Land category** *(code-land)* | **2. Total area** (ha) | **Ownership** (ha) | | | |
|---|---|---|---|---|---|
| | | **3. State** | **4. Community** | **5. Private** | **6. Open access** (*de facto*) |
| *Forest:* | | | | | |
| 1. Natural forest | | | | | |
| 2. Managed forests | | | | | |
| 3. Plantations | | | | | |
| *Agricultural land:* | | | | | |
| 4. Cropland | | | | | |
| 5. Pasture (natural or planted) | | | | | |
| 6. Agroforestry | | | | | |
| 7. Silvipasture | | | | | |
| 8. Fallow | | | | | |
| *Other land categories:* | | | | | |
| 9. Shrubs | | | | | |
| 10. Grassland | | | | | |
| 11. Residential areas, infrastructure | | | | | |
| 12. Wetland | | | | | |
| 13. Other, specify: | | | | | |
| *14. Total land* | | | | | |

2. What are the main forest types, users and products in the village?
*Note: The purpose is to link forest types, users and products. See the Technical Guidelines for further elaboration.*
*Note: The total forest area should be the same as in the above table.*

| **1.Type of forest** *(code- forest)* | **2.Ownership** *(code-tenure)* | **3.Approx. area** *(ha)* | **Main users[1)] (max. 3)** | | | **Main products (max. 3)** *(code-product)* | | |
|---|---|---|---|---|---|---|---|---|
| | | | **4.Rank 1** | **5.Rank2** | **6.Rank3** | **7.Rank1** | **8.Rank2** | **9.Rank3** |
| | | | | | | | | |
| | | | | | | | | |
| | | | | | | | | |
| | | | | | | | | |
| | | | | | | | | |
| | | | | | | | | |

*1) By "main users" is meant those who have acquired the highest value of forest products (subsistence and cash) from a given forest type in the past 12 months.*

*Codes: Choose the most appropriate among the following groups (as some do overlap):*

*1 = villagers that are members of FUG;*
*2 = villagers not members of FUG;*
*3 = subsistence oriented users in the village;*
*4 = small-scale commercial users in the village;*
*5 = large-scale commercial users in the village;*
*6 = subsistence oriented users from outside the village;*

*7 = small-scale commercial users from outside the village;*
*8 = large-scale commercial users from outside the village;*
*9 = other, specify:*

3. Does the village practice any form of active and deliberate forest management?

| **Type of management** | **Code[1)]** |
|---|---|
| 1. Planting of trees | |
| 2. Cutting down undesired (competing) trees | |
| 3. Protecting certain desired (patches of) trees in the forest to promote the natural regeneration of these species | |
| 4. Protecting areas of forest for particular environmental services, like water catchment | |
| 5. Establishing clear use rights for a limited number of people to particular forest products (e.g., honey trees) | |
| 6. Extension/education about forest management | |
| 7. Enacted bylaw (e.g., no bush burning in or near forest) | |
| 8. Mapping/inventory forest resources (e.g. mapping Brazil nut stands) | |
| 9. Other, specify: | |

*1) Codes: 0=no, not at all; 1=yes, but only to a limited extent; 2=yes, they are common.*

### *E. Forest resource base*

*Note: The questions should be asked in a village meeting or focus group for each of the categories in turn (i.e. column by column, and not row by row).*

| | | **1. Fire-wood or charcoal** | **2. Timber or other wood** | **3. Food from the forest** | **4. Medicine from the forest** | **5. Forage from the forest** | **6. Other[1)]** |
|---|---|---|---|---|---|---|---|
| 1. What is the most important product (MIP) for the livelihood of the people in the village (in this category)? [2)] *(name)* | | | | | | | |
| 2. *(code-product)* | | | | | | | |
| 3. How has availability of the MIP changed over the past 5 years? *Codes: 1=declined; 2=about the same; 3=increased* | | | | | | | |
| 4. If the availability of the MIP in this category has **declined**, what are the reasons? *Please rank the most important reasons, max. 3 (leave rest blank).* | **Reason** | **Rank 1-3** | **Rank 1-3** | **Rank 1-3** | **Rank 1-3** | **Rank 1-3** | **Rank 1-3** |
| | 1. Reduced forest area due to small-scale clearing for agriculture | | | | | | |
| | 2. Reduced forest area due to large-scale projects (plantations, new settlements, etc.) | | | | | | |
| | 3. Reduced forest area due to people from outside buying land and restricting access | | | | | | |
| | 4. Increased use of MIP due to more local (village) people collecting more | | | | | | |
| | 5. Increased use of MIP due to more people from other villages collecting more | | | | | | |
| | 6. Restrictions on use by central or state government (e.g., for forest conservation) | | | | | | |
| | 7. Local restrictions on forest use (e.g., community rules) | | | | | | |

| | | | | | | | |
|---|---|---|---|---|---|---|---|
| | 8. Climatic changes, e.g., drought and less rainfall | | | | | | |
| | 9. Other, specify: | | | | | | |
| | 10. Timber harvesting | | | | | | |
| | 11. Charcoal burning | | | | | | |
| | 12. Brick burning | | | | | | |
| | 13. Poor harvesting practices | | | | | | |
| | 14. Product attacked/consumed by forest dwelling vermin | | | | | | |
| | 15. Bush burning | | | | | | |
| | 16. Increased marketing potential for product | | | | | | |
| | | | | | | | |
| 5. If the availability of the MIP in this category has **increased**, what are the reasons? *Please rank the most important reasons, max. 3.* | **Reason** | **Rank 1-3** | **Rank 1-3** | **Rank 1-3** | **Rank 1-3** | **Rank 1-3** | **Rank 1-3** |
| | 1. Less clearing of forests for agriculture (incl. pastoralism) | | | | | | |
| | 2. Fewer local (village) people collecting less | | | | | | |
| | 3. Fewer people from other villages collecting less | | | | | | |
| | 4. Reduced use from large-scale commercial users/projects | | | | | | |
| | 5. Changes in management of forests | | | | | | |
| | 6. Climatic changes, e.g., more rainfall | | | | | | |
| | 7. Forest clearing that increases supply of product (e.g. fuelwood) | | | | | | |
| | 8. Tree planting | | | | | | |
| | 9. Other, specify: | | | | | | |
| | 10. More illegal access of protected area | | | | | | |
| | 11. Improved access rights to product | | | | | | |
| | 12. More secondary forest (as people clear land and forest regenerates) | | | | | | |
| 6. What would be most important to increase the benefits (use or income) from the MIP? *Please rank the most important reasons, max. 3.* | **Action** | **Rank 1-3** | **Rank 1-3** | **Rank 1-3** | **Rank 1-3** | **Rank 1-3** | **Rank 1-3** |
| | 1. Better access to the forest/MIP, i.e., more use rights to village | | | | | | |
| | 2. Better protection of forest/MIP (avoid overuse) | | | | | | |
| | 3. Better skills and knowledge on how to collect/use it | | | | | | |
| | 4. Better access to credit/capital and equipment/technology | | | | | | |
| | 5. Better access to markets and reduced price risk | | | | | | |
| | 6. Invest in planting trees/forest product | | | | | | |
| | 7. Develop forest user groups/collective action in harvesting | | | | | | |
| | 8. Control fire | | | | | | |

| | | | | | | | |
|---|---|---|---|---|---|---|---|
| | | | | | | | |
| | 9. Other, specify: | | | | | | |

1) Select the most important product for the village that do not fall into any of the other five categories.
2) "Most important" is defined as the most important for the wellbeing of the village, whether it be through direct use in the home, or through sale for cash, or both.

### *F. Forest institutions*

*Note: The questions should be asked in a village meeting or focus group for each of the categories in turn (i.e., column by column, and not row by row).*
*Note: The MIP in each category should be identical to those in the table above.*

| | **1. Fire-wood or charcoal** | **2. Timber or other wood** | **3. Food from the forest** | **4. Medicine from the forest** | **5. Forage from the forest** | **6. Other[1)]** |
|---|---|---|---|---|---|---|
| 1. What is the most important product (MIP) for the livelihood of the people in the village (in this category)? *(name)* | | | | | | |
| 2. *(code-product)* | | | | | | |
| 3. In what type of forest do you get the MIP? *(code-forest)* | | | | | | |
| 4. What is the ownership status of this forest *(code-tenure)* | | | | | | |
| 5. Are there customary rules regulating the use of the MIP in the village? *Codes: 0=none/very few; 1=yes, but vague/unclear; 2=yes, clear rules exist* *If code '0', go to 7.* | | | | | | |
| *6.* **If 'yes'**: are the *customary* rules regarding forest use enforced /respected by the population of the village?[1)] | | | | | | |
| 7. Are there *government* rules that regulate forest use? *Codes: 0=none/very few; 1=yes, but vague/unclear; 2=yes, clear rules exist* *If code '0', go to 9.* | | | | | | |
| 8. **If 'yes' (code '1' or '2' above):** are the *government* rules enforced/respected by the members in the village?[1)] | | | | | | |
| 9. Do the villagers require any permission to harvest the MIP? *Codes: 0=no; 1=yes, users have to inform the authorities; 2=yes, written permission needed* *If code '0', go to next section.* | | | | | | |
| **10. If 'yes' (code '1' or '2' above):** does the user have to pay for the permission? | *(1-0)* | *(1-0)* | *(1-0)* | *(1-0)* | *(1-0)* | *(1-0)* |
| 11. **If 'yes'**: who issues this permit? *Codes: 1=village head; 2=FUG; 3=forest officer (forest departments); 4=other government official; 9=other, specify:* | | | | | | |

*1) Codes: 0=no/very little; 1=to a certain extent by some groups of villagers; 2=to a certain extent by everyone; 3=yes, but only by some groups of villagers; 4=yes, by everyone; 9=no particular rules exist.*

### *G. Forest User Groups (FUG)*

1. Existence of forest user groups (FUG).
*Note: See the Technical Guidelines for a definition.*

| 1. How many forest user groups (FUG) are there in the village? | |
|---|---|

2. Information about each FUG (use one column per FUG).

| | | *1. FUG1* | *2. FUG2* | *3. FUG3* |
|---|---|---|---|---|
| 1. When was the group formed? *(yyyy)* | | | | |
| 2. How was the group formed? *Codes: 1=local initiative; 2=initiative from NGO; 3=initiative from government, e.g., Forest Department; 4=other, specify:* | | | | |
| 3. Is the FUG's main purpose related to the management of a particular forest area or of particular forest product(s)? *Codes: 1=area; 2=product(s); 3=both* | | | | |
| 4. If for a product (code 2 or 3above), what is the (main) product? *(code-product)* | | | | |
| 5. How many members are there in the group? | | | | |
| 6. How many times per year does the FUG have meetings? | | | | |
| 7. Does the group have a written management plan? | | *(1-0)* | *(1-0)* | *(1-0)* |
| 8. What are the main tasks of the FUG? *Select as many as appropriate: 1-0 code* | 1. Setting rules for use | *(1-0)* | *(1-0)* | *(1-0)* |
| | 2. Monitoring and policing | *(1-0)* | *(1-0)* | *(1-0)* |
| | 3. Silviculture & management | *(1-0)* | *(1-0)* | *(1-0)* |
| | 4. Harvesting forest products | *(1-0)* | *(1-0)* | *(1-0)* |
| | 5. Selling forest products | *(1-0)* | *(1-0)* | *(1-0)* |
| | 6. Tree planting | *(1-0)* | *(1-0)* | *(1-0)* |
| | 7. Tourism (i.e. maintaining tourist infrastructure; guiding tourists etc.) | *(1-0)* | *(1-0)* | *(1-0)* |
| | 8. Education/extension support | *(1-0)* | *(1-0)* | *(1-0)* |
| | 9. Other, specify: | *(1-0)* | *(1-0)* | *(1-0)* |
| | 10. Savings and credit | *(1-0)* | *(1-0)* | *(1-0)* |
| 9. Has any development project been implemented in the village over the past 5 years using proceeds from the FUG? | | *(1-0)* | *(1-0)* | *(1-0)* |
| 10. Has anyone in the village been violating the rules of the FUG over the past 12 months? *If 'no', go to 14.* | | *(1-0)* | *(1-0)* | *(1-0)* |
| 11. **If 'yes'**: did the FUG impose any penalties on those violating the rules? *If 'no', go to 14* | | *(1-0)* | *(1-0)* | *(1-0)* |
| 12. **If 'yes'**: what type of penalties? *Codes: 1=fee (cash payment); 2=returning collected products; 3=labour (extra work); 4=exclusion from group; 5=warning; 9=other, specify:* | | | | |
| 13. Which group of forest users have most commonly violated the rules over the past 5 years? *Codes: 1=members of FUG; 2=non-FUG members in the village; 3=people from other villages; 9=other, specify:* | | | | |
| 14. Overall, on a scale from 1-5 (1 is highest, 5 is lowest) how effective would you say that the FUG is in ensuring sustainable and equitable forest use? | | | | |

*Note: Any FUGs in the village should be further discussed in the village narrative.*

# Village survey 2 (V2)

### *Control information*

| Task | Date(s) | By who? | Status OK? If not, give comments |
|---|---|---|---|
| Meeting with officials | | | |
| Village/focus group meetings | | | |
| Other interviews | | | |
| Checking questionnaire | | | |
| Coding questionnaire | | | |
| Entering data | | | |
| Checking & approving data entry | | | |

### *A. Geographic and climate variables*

| | | | |
|---|---|---|---|
| 1. | What is the name of the village? | **(name)* | *(village code)* |
| 2. | What was the total rainfall in the village for the past 12 months? | | mm/year |
| *3.* | If rainfall data not available (question 2): How was the rainfall past 12 months compared with a normal year (=average last 20 years)?<br>*Codes: 1=well below normal (< 50 %); 2=below normal (50-90%); 3=normal (90-110%); 4=above normal (110-150%); 5=well above normal (> 150%)* | | |

### *B. Risk*

| | | | |
|---|---|---|---|
| *1.* | Has the village faced any of the following crises over the past 12 months?<br>*Codes: 0=no; 1=yes, moderate crisis; 2=yes, severe crisis* | 1. | Flood and/or excess rain | |
| | | 2. | Drought | |
| | | 3. | Wild fire (in crops/ forest/grasslands etc) | |
| | | 4. | Widespread crop pest/disease and/or animal disease | |
| | | 5. | Human epidemics (disease) | |
| | | 6. | Political/civil unrest | |
| | | 7. | Macro-economic crisis | |
| | | 8. | Refugee or migration infusion | |
| | | 9. | Other, specify: | |
| | | 10. | Wildlife predation on livestock | |
| | | 11. | Conflicts over forest resources (theft) | |
| | | 12. | Land conflicts within village | |
| | | 13. | Bridge/road washed out | |
| | | 14. | Harassment from forest officials | |

### *C. Wages and prices*

| | | | | |
|---|---|---|---|---|
| 1. | What was the typical daily wage rate for unskilled agricultural/casual adult **male/female** labour during the **peak/slack** season in this village over the past 12 months? *(Lc$/day)* | | **Male** | **Female** |
| | | **Peak** | 1. | 2. |
| | | **Slack** | 3. | 4. |
| *2.* | What is the main staple food in the village?<br>*(code-product)* | | | |
| 3. | What was the price of a kg of the main staple food during the past 12 months **before** and **after** the main agricultural harvest? *(Lc$/kg)* | | **1. Before harvest** | **2. After harvest** |
| | | | | |
| 4. | What is the sales value of one hectare of good agricultural land in the village (i.e., not degraded, not too steep, and suitable for common crops, and within 1km of the main road or settlement) *(Lc$/hectare)* | | | |

### *D. Forest services*

| | | |
|---|---|---|
| *1.* | Has the village (as a community or individuals in the village) received any direct benefits (in kind or in cash) related to forest services over the past 12 months?<br>*Codes: 0=no; 1=yes, directly to households; 2=yes, directly to village (e.g., development project); 3=yes, both to household and village* | |

| | | |
|---|---|---|
| 2. If the village has received payment (code 2 or 3 above), please indicate the amount the village has received. | **Payments related to:** | **Amount** |
| | 1. Tourism | |
| | 2. Carbon sequestration | |
| | 3. Water catchment | |
| | 4. Biodiversity conservation | |
| | 5. Compensation from timber company | |
| | 6. Compensation from mining company | |
| | 7. Tree planting/afforestation | |
| | 9. Other, specify: | |
| *3.* Has the village received any forestry-related external support (technical assistance, free inputs, etc.) from government, donors, NGOs) over the past 12 months? | | *(1-0)* |

*Note: If any such payment or assistance has been received it should be elaborated in the village narrative.*

# Annual household survey 1 (A1)

### *Control information*

| Task | Date(s) | By who? | Status OK? If not, give comments |
|---|---|---|---|
| Interview | | | |
| Checking questionnaire | | | |
| Coding questionnaire | | | |
| Entering data | | | |
| Checking & approving data entry | | | |

### *A. Identification*

1. Identification and location of household.

| | | | |
|---|---|---|---|
| 1. | Household name and code | **(name)* | (HID) |
| 2. | Village name and code | **(name)* | *(VID)* |
| 3. | District name and code | **(name)* | *(DID)* |
| 4. | Name and PID (see B. below) of primary respondent | **(name)* | *(PID)* |
| 5. | Name and PID (see B. below) of secondary respondent | **(name)* | *(PID)* |
| 6. | GPS reference point of household (UTM format) | | |
| 7. | Distance of the household from the centre of village (in *minutes of walking* and in *km*) | *1.* *min* | *2.* *km* |

### *B. Household composition*

1. Who are the members of the household?
*Note: Recall the definition of households in the Technical Guidelines.*

| 1. Personal Identification number (PID) | * Name of household member | 2. Relation to household head[1)] | 3. Year born[2)] *(yyyy)* | 4. Sex *(0=male 1=female)* | 5. Education *(number of years completed)* |
|---|---|---|---|---|---|
| 1 | | Household head = code 0 | | | |
| 2 | | | | | |
| 3 | | | | | |
| 4 | | | | | |
| 5 | | | | | |
| 6 | | | | | |
| 7 | | | | | |
| 8 | | | | | |
| 9 | | | | | |
| 10 | | | | | |
| 11 | | | | | |
| 12 | | | | | |
| 13 | | | | | |
| 14 | | | | | |

*1) Codes: 1=spouse (legally married or cohabiting); 2=son/daughter; 3=son/daughter in law; 4=grandchild; 5=mother/father; 6=mother/father in law; 7=brother or sister; 8=brother/sister in law; 9=uncle/aunt; 10=nephew/niece; 11=step/foster child; 12=other family; 13=not related (e.g., servant).*
*2) One may ask about age, and the calculate 'year born' when entering data.*

2. We would like to ask some questions regarding the head of this household.

| | | |
|---|---|---|
| *1.* | What is the marital status of household head?<br>*Codes: 1=married and living together; 2=married but spouse working away;* | |

| | |
|---|---|
| *3=widow/widower; 4=divorced;; 5=never married; 9=other, specify:* | |
| 2. How long ago was this household formed (see definition of household) | *years* |
| *3.* Was the household head born in this village?<br>*If 'yes', go to 5.* | *(1-0)* |
| 4. **If 'no':** how long has the household head lived in the village? | *years* |
| 5. Does the household head belong to the largest ethnic group/caste in the village? | *(1-0)* |

### *C. Land*

1. Please indicate the amount of land (in hectares) that you currently own and have rented in/out.
*Note: See definitions of land categories in the Technical Guidelines.*

| **Category** | **1. Area** *(ha)* | **2. Ownership** *(code-tenure)* | **Main products grown/harvested in the past 12 months Max 3** *(code-product)* | | |
|---|---|---|---|---|---|
| | | | **3. Rank1** | **4. Rank2** | **5. Rank3** |
| *Forest:* | | | | | |
| 1. Natural forest | | | | | |
| 2. Managed forests | | | | | |
| 3. Plantations | | | | | |
| | | | | | |
| *Agricultural land:* | | | | | |
| 4. Cropland | | | | | |
| 5. Pasture (natural or planted) | | | | | |
| 6. Agroforestry | | | | | |
| 7. Silvipasture | | | | | |
| 8. Fallow | | | | | |
| | | | | | |
| 9. Other vegetation types/land uses (residential, bush, grassland, wetland, etc.) | | | | | |
| **10. Total land owned (1+2+3+…+9)** | | | | | |
| 11. Land rented out (**included** in 1-9) | | | | | |
| 12. Land rented in (**not included** in 1-9) | | | | | |

### *D. Assets and savings*

1. Please indicate the type of house you have?

| | |
|---|---|
| 1. Do you have your own house? [1)] | |
| 2. What is the type of material of (most of) the walls? [2)] | |
| 3. What is the type of material of (most of) the roof ? [3)] | |
| 4. How many $m^2$ approx. is the house? | $m^2$ |

*1) Codes: 0=no; 1=own the house on their own; 2=own the house together with other household(s); 3=renting the house alone; 4=renting the house with other household(s); 9=other, specify:*
*2) Codes: 1=mud/soil; 2=wooden (boards, trunks); 3=iron (or other metal) sheets; 4=bricks or concrete; 5=reeds/straw/grass/fibers/bamboo; 9=other, specify:*
*3) Codes: 1=thatch; 2=wooden (boards); 3=iron or other metal sheets; 4=tiles; 9=other, specify:*

2. Please indicate the number and value of implements and other large household items that are owned by the household.
*Note: see latest version of "PEN codes list" for a complete list of items and codes.*

| | **1. No. of units owned** | **2. Total value (current sales value of all units, not purchasing price)** |
|---|---|---|
| 1. Car/truck | | |
| 2. Tractor | | |
| 3. Motorcycle | | |
| 4. Bicycle | | |
| 5. Handphone/phone | | |
| 6. TV | | |

| | | |
|---|---|---|
| 7. Radio | | |
| 8. Cassette/CD/ VHS/VCD/DVD/ player | | |
| 9. Stove for cooking (gas or electric only) | | |
| 10. Refrigerator/freezer | | |
| 11. Fishing boat and boat engine | | |
| 12. Chainsaw | | |
| 13. Plough | | |
| 14. Scotch cart | | |
| 15. Shotgun/rifle | | |
| 16. Wooden cart or wheelbarrow | | |
| 17. Furniture | | |
| 18. Water pump | | |
| 19. Solar panel | | |
| | | |
| 99. Others (worth more than approx. 50 USD purchasing price ) | | |

3. Please indicate the savings and debt the household has.

| | |
|---|---|
| *1.* How much does the household have in savings in banks, credit associations or savings clubs? | *Lc$* |
| 2. How much does the household have in savings in non-productive assets such as gold and jewelry? | *Lc$* |
| 3. How much does the household have in outstanding debt? | *Lc$* |

### *E. Forest resource base*

| | | |
|---|---|---|
| 1. How far is it from the house/homestead to the edge of the nearest natural or managed forest that you have access to and can use? | 1. … measured in terms of distance (straight line)? | *km* |
| | 2. … measured in terms of time (in minutes of walking)? | *min* |
| 2. Does your household collect firewood? *If 'no', go to 8.* | | *(1-0)* |
| 3. **If 'yes'**: how many hours per week do the members of your household spend on collecting firewood for family use? (adult time should be reported; child time = 50 % of adult time) | | *(hours)* |
| 4. Does your household now spend more or less time on getting firewood than you did 5 years ago? *Codes: 1=more; 2=about the same; 3=less* | | |
| 5. How has availability of firewood changed over the past 5 years? *Codes: 1=declined; 2=about the same; 3=increased* *If code '2' or' 3', go to 7.* | | |

| 6. **If declined** (code '1' on the question above), how has the household responded to the decline in the availability of firewood? *Please rank the most important responses, max 3.* | **Response** | **Rank 1-3** |
|---|---|---|
| | 1. Increased collection time (e.g., from further away from house) | |
| | 2. Planting of trees on private land | |
| | 3. Increased use of agricultural residues as fuel | |
| | 4. Buying (more) fuelwood and/or charcoal | |
| | 5. Buying (more) commercial fuels (kerosene, gas or electricity) | |
| | 6. Reduced the need for use of fuels, such as using improved stove | |
| | 7. More conservative use of fuelwood for cooking and heating | |
| | 8. Reduced number of cooked meals | |
| | 10. Use of improved technology | |
| | 11. Increased use of non-wood wild products (ex. reeds) | |
| | 12. Restricting access/use to own forest | |
| | 13. Conserving standing trees for future | |
| | 14. Making charcoal | |
| | 9. Other, specify: | |

| | | |
|---|---|---|
| 7. Has your household planted any woodlots or trees on farm over the past 5 years?<br>*If 'no', go to next section.* | | *(1-0)* |
| 8. **If yes:** what are the main purpose(s) of the trees planted?<br>*Please rank the most important purposes, max 3.* | **Purpose** | **Rank 1-3** |
| | 1. Firewood for domestic use | |
| | 2. Firewood for sale | |
| | 3. Fodder for own use | |
| | 4. Fodder for sale | |
| | 5. Timber/poles for own use | |
| | 6. Timber/poles for sale | |
| | 7. Other domestic uses | |
| | 8. Other products for sale | |
| | 9. Carbon sequestration | |
| | 10. Other environmental services | |
| | 11. Land demarcation | |
| | 12. To increase the value of my land | |
| | 13. To allow my children and/or grandchildren to see these trees | |
| | 19. Other, specify: | |

### *F. Forest User Groups (FUG)*

*Note: The enumerator should first explain what is meant by a FUG, cf. the Technical Guidelines.*

| | | |
|---|---|---|
| 1. Are you or any member of your household a member of a Forest User Group (FUG)?<br>*If 'no', go to 11.* | | *(1-0)* |
| 2. Does someone in your household normally/regularly attend the FUG meetings?<br>*If 'no', go to 5.* | | *(1-0)* |
| 3. **If 'yes'**: in your household, who normally attends FUG meetings and participates in other FUG activities?<br>*Codes: 1=only the wife; 2=both, but mainly the wife; 3=both participate about equally; 4=both, but mainly the husband; 5=only the husband; 6=mainly son(s); 7=mainly daughter(s); 8=mainly husband & son(s); 10=mainly wife & daughter(s); 9=other arrangements not described above.* | | |
| 4. How many person days (= full working days) did the household members spend in total on FUG activities (meetings, policing, joint work, etc) over the past 12 months? | | *days* |
| 5. Does your household make any cash payments/contributions to the FUG?<br>*If 'no', go to 7.* | | *(1-0)* |
| 6. **If 'yes':** how much did you pay in the past 12 months? *(Lc$)* | | |
| 7. Did your household receive any cash payments from the FUG (e.g., share of sales) in the past 12 months?<br>*If 'no', go to 9.* | | *(1-0)* |
| 8. **If 'yes':** how much did you receive in the past 12 months? *(Lc$)* | | |
| 9. What are your reasons for joining the FUG?<br>*Please rank the most important reasons, max 3.* | **Reason** | **Rank 1-3** |
| | 1. Increased access to forest products | |
| | 2. Better forest management and more benefits in future | |
| | 3. Access to other benefits, e.g., government support or donor programmes | |
| | 4. My duty to protect the forest for the community and the future | |
| | 5. Being respected and regarded as a responsible person in village | |
| | 6. Social aspect (meeting people, working together, fear of exclusion, etc.)\| | |
| | 7. Forced by Government/chiefs/neighbours | |
| | 8. Higher price for forest product | |
| | 10. Better quality of forest product | |
| | 11. Receipt of direct payments | |
| | 12. Makes harvest of forest products more efficient | |
| | 13. Know forest resource better (e.g # Brazil nut trees) | |
| | 14. Learn new skills/information | |
| | 15. Reduce conflicts over resource | |

| | | |
|---|---|---|
| | 16. More secure land title | |
| | 9. Other, specify: | |
| 10. Overall, how would you say the existence of the FUG has affected the benefits that the household gets from the forest?<br>*Codes: 1=large negative effect; 2=small negative effect; 3=no effect; 4=small positive effect; 5=large positive effect.* | | |
| 11. **If you don't participate in FUG,** why?<br>*Please rank the most important reasons, max 3* | **Reason** | **Rank 1-3** |
| | 1. No FUG exists in the village | |
| | 2. I'm new in the village | |
| | 3. FUG members generally belong to other group(s) (ethnic, political party, religion, age, etc.) than I do | |
| | 4. Cannot afford to contribute the time | |
| | 5. Cannot afford to contribute the required cash payment | |
| | 6. FUG membership will restrict my use of the forest, and I want to use the forest as I need it | |
| | 7. I don't believe FUG is very effective in managing the forest | |
| | 8. Lack of forest products | |
| | 10. Not interested in the activities undertaken by existing FUGs | |
| | 11. Corruption in FUG | |
| | 12. Interested in joining but needs more information | |
| | 13. FUG exists in village, but household is unaware of its presence | |
| | 14. Forest authorities | |
| | 9. Other, specify: | |

# Annual household survey 2 (A2)

### *Control information*

| Task | Date(s) | By who? | Status OK? If not, give comments |
|---|---|---|---|
| Interview | | | |
| Checking questionnaire | | | |
| Coding questionnaire | | | |
| Entering data | | | |
| Checking & approving data entry | | | |

### *A. Identification*

1. Identification of the household.

| | | |
|---|---|---|
| 1. Household name and code | **(name)* | *(HID)* |
| 2. Village name and code | **(name)* | *(VID)* |
| 3. District name and code | **(name)* | *(DID)* |
| 4. Name and PID of primary respondent | **(name)* | *(PID)* |
| 5. Name and PID of secondary respondent | **(name)* | *(PID)* |

### *B. Crisis and unexpected expenditures*

1. Has the household faced any major income shortfalls or unexpectedly large expenditures during the past 12 months?

| Event | 1. How severe?[1)] | How did you cope with the income loss or costs? *Rank max. 3*[2)] | | |
|---|---|---|---|---|
| | | 2. Rank1 | 3. Rank2 | 4. Rank3 |
| 1. Serious crop failure | | | | |
| 2. Serious illness in family (productive age-group adult unable to work for more than one month during past 12 months, due to illness, or to taking care of ill person; or high medical costs) | | | | |
| 3. Death of productive age-group adult | | | | |
| 4. Land loss (expropriation, etc.) | | | | |
| 5. Major livestock loss (theft, drought, etc.) | | | | |
| 6. Other major asset loss (fire, theft, flood, etc.) | | | | |
| 7. Lost wage employment | | | | |
| 8. Wedding or other costly social events | | | | |
| 9. Other, specify: | | | | |
| 10. Payment for sale of hh products arrive later than expected | | | | |
| 11. Delayed income from forest products | | | | |
| 12. Fine from environmental regulation agency | | | | |

*1) Codes severity: 0=no crisis; 1=yes, moderate crisis; 2=yes, severe crisis. See Technical Guidelines for definitions.*

*2) Codes coping:*

1. *Harvest more forest products*
2. *Harvest more wild products not in the forest*
3. *Harvest more agricultural products*
4. *Spend cash savings*
5. *Sell assets (land, livestock, etc.)*
6. *Do extra casual labour work*
7. *Assistance from friends and relatives*
8. *Assistance from NGO, community org., religious org. or similar*
9. *Get loan from money lender, credit association, bank etc.*
10. *Tried to reduce household spending*
11. *Did nothing in particular*
12. *Spent savings / retirement money*
13. *Reduced number of meals taken*
14. *Borrowed against future earnings*

15. *Sold food that would otherwise be used for household consumption*
16. *Rented out land*
17. *Started new business*
18. *Changed to different type of livestock*
19. *Other, specify:*
20. *Harvested premature crops.*
21. *Changed cropping patterns or types of crops planted*
22.

### *C. Forest services*

1. Has the household over the past 12 months received any cash or in kind payments related to the following forest services?

| **Principal purpose** | **1. Have received?** *(1-0)* | **2. If yes, amounts (values) received** *(Lc$) (if nothing, put '0')* |
|---|---|---|
| 1. Tourism | | |
| 2. Carbon projects | | |
| 3. Water catchments projects | | |
| 4. Biodiversity conservation | | |
| 5. Others, specify: | | |
| 6. Tree planting | | |
| 7. Timber concessions | | |

### *D. Forest clearing*

| | | | | |
|---|---|---|---|---|
| 1. Did the household clear any forest during the past 12 months? *If 'no', go to 9.* | | | | *(1-0)* |
| **If YES:** | 2. How much forest was cleared? | | | *ha* |
| | 3. What was the cleared forest (land) used for? *Codes: 1=cropping; 2=tree plantation; 3=pasture; 4=non-agric uses (Rank max 3)* | 1.Rank1 | 2.Rank2 | 3.Rank3 |
| | 4. If used for crops (code '1' in question above), which principal crop was grown? *(code-product) Rank max 3* | 1.Rank1 | 2.Rank2 | 3.Rank3 |
| | 5. What type of forest did you clear? *(code-forest)* | | | |
| | 6. If secondary forest, what was the age of the forest? | | | *years* |
| | 7. What was the ownership status of the forest cleared? *(code tenure)* | | | |
| | 8. How far from the house was the forest cleared located? | | | *km* |
| 9. Has the household over the last *5* years cleared forest? *If 'no', go to 11.* | | | | *1-0* |
| 10. **If 'yes':** how much forest (approx.) has been cleared over the last 5 years? *Note: This should include the area reported in question 2.* | | | | *ha* |
| 11. How much land used by the household has over the last 5 years been abandoned (left to convert to natural re-vegetation)? | | | | *ha* |

### *E. Welfare perceptions and social capital*

| | |
|---|---|
| 1. All things considered, how satisfied are you with your life over the past 12 months? *Codes: 1=very unsatisfied; 2=unsatisfied; 3=neither unsatisfied or satisfied; 4=satisfied; 5=very satisfied* | |
| 2. Has the household's food production and income over the past 12 months been sufficient to cover the what you consider to be the needs of the household? *Codes: 1=no; 2=reasonable (just about sufficient); 3=yes* | |
| 3. Compared with other households in the village (or community), how well-off is your household? *Codes: 1=worse-off; 2=about average; 3=better-off* | |

| | | |
|---|---|---|
| 4. How well-off is your household today compared with the situation **5 years ago?**<br>*Codes: 1=less well-off now; 2=about the same; 3=better off now*<br>*If 1 or 3, go to 5. If 2, go to 6.* | | |
| 5. **If worse- *or* better-off:** what is the main reason for the change?<br>*Please rank the most important responses, max 3.* | **Reason: Change in …** | **Rank 1-3** |
| | 1. off farm employment | |
| | 2. land holding (e.g., bought/sold land, eviction) | |
| | 3. forest resources | |
| | 4. output prices (forest, agric,…) | |
| | 5. outside support (govt., NGO,..) | |
| | 6. remittances | |
| | 7. cost of living (e.g., high inflation) | |
| | 8. war, civil strife, unrest | |
| | 9. conflicts in village (non-violent) | |
| | 10. change in family situation (e.g. loss of family member/a major bread-winner) | |
| | 11. illness | |
| | 12. access (e.g. new road,…) | |
| | 13. increased/reduced land area for agric. production | |
| | 14. religious awakening (i.e., found religion, converted to a new religion, born again or saved) | |
| | 15. started a new business/lost or less business | |
| | 16. livestock (gain or loss) | |
| | 17. material assets, incl. house (gain or loss) | |
| | 18. increased regulations | |
| | 20. education / increased knowledge | |
| | 21. more engaged in marketing/trade | |
| | 22. political stability | |
| | 23. crop failure/raiding | |
| | 24. changed drinking habits (started/stopped drinking alcohol) | |
| | 25. changes in natural resources (fish, etc.) | |
| | 26. working for themselves (no longer under a *patron*) | |
| | 27. more time to work | |
| | 28. Joined cooperative | |
| | 29. Forced to travel for family matters | |
| | 30. Fire destroyed everything | |
| | 31. Change in job | |
| | 19. other (specify): | |
| 6. Do you consider your village (community) to be a good place to live?<br>*Codes: 1=no; 2=partly; 3=yes* | | |
| 7. Do you **in general** trust people in the village (community)?<br>*Codes: 1=no; 2=partly, trust some and not others; 3=yes* | | |
| 8. Can you get help from other people in the village (community) if you are in need, for example, if you need extra money because someone in your family is sick?<br>*Codes: 1=no; 2= can sometimes get help, but not always; 3=yes* | | |

### *F. Enumerator/researcher assessment of the household*

*Note: This is to be completed by the enumerator and/or the PEN partner. If the enumerator doing the A2 (and Q4) is **not** the one who has been doing previous quarterly surveys, those who have had the most exposure to the household should fill in questions 2-5.*

| | |
|---|---|
| 1. During the last interview, did the respondent smile or laugh?<br>*Codes: (1) neither laughed nor smiled (somber); (2) only smiled; (3) smiled and laughed; (4) laughed openly and frequently.* | |
| 2. Based on your impression and what you have seen (house, assets, etc.), how well-off do you consider this household to be compared with other households in the village?<br>*Codes: 1=worse-off; 2=about average; 3=better-off* | |
| 3. How reliable is the information **generally** provided by this household? | |

| | | |
|---|---|---|
| | *Codes: 1=poor; 2=reasonably reliable; 3=very reliable* | |
| 4. | How reliable is the information on **forest collection/use** provided by this household?<br>*Codes: 1=poor; 2=reasonably reliable; 3=very reliable* | |
| 5. | If the forest information is not so reliable (code 1 above), do you think the information provided overestimate or underestimate the actual forest use?<br>*Codes: 1=underestimate; 2=overestimate; 3= no systematic over- or underestimation; 4=don't know.* | |

# Quarterly household surveys (Q1-Q4)

*Note: All incomes are asked for the past month (past 30 days), except for the last sections on crops, livestock and other income sources where the recall period is 3 months.*
*Note: The researcher should list the most common products in the various tables, based on RRAs and pre-testing of the questionnaire. After asking about these pre-listed products, the enumerator should ask if there are any other products not mentioned that the household has harvested/collected over the past 1 (3) month(s).*

### *Control information*

| Task | Date(s) | By who? | Status OK? If not, give comments |
|---|---|---|---|
| Interview | | | |
| Checking questionnaire | | | |
| Coding questionnaire | | | |
| Entering data | | | |
| Checking & approving data entry | | | |

### *A. Identification*

1. Identification of the household.

| | | |
|---|---|---|
| 1. Household name and code | **(name)* | *(HID)* |
| 2. Village name and code | **(name)* | *(VID)* |
| 3. District name and code | **(name)* | *(DID)* |
| 4. Name and PID of primary respondent | **(name)* | *(PID)* |
| 5. Name and PID of secondary respondent | **(name)* | *(PID)* |

### *B. Direct forest income (income from unprocessed forest products)*

1. What are the quantities and values of raw-material forest products the members of your household collected for both own use and sale over **the past month**?
*Note: Income from plantations is defined as forest income, while agroforestry income is categorized as agric. income (H).*
*Note: The quantities of unprocessed forest products used as inputs in making processed forest products should only be reported in section C, table 2, and not in the table below.*

| **1. Forest product** *(code-product)* | **2. Collected by whom?** [1] | **Collected where?** | | **5. Quantity collec-ted (7+8)** | **6. Unit** | **7. Own use (incl. gifts)** | **8. Sold (incl. barter)** | **9. Price per unit** | **10. Type of market** *(code-market)* | **11. Gross value (5*9)** | **12. Tran-sport/ marketing costs (total)** | **13. Purch. inputs & hired labour** | **14. Net income (11-12-13)** |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | **3. Land type** *(code-land)* | **4. Ownership** *(code-tenure)* | | | | | | | | | | |
| | | | | | | | | | | | | | |
| | | | | | | | | | | | | | |
| | | | | | | | | | | | | | |
| | | | | | | | | | | | | | |
| | | | | | | | | | | | | | |

*1) Codes: 1=only/mainly by wife and adult female household members; 2=both adult males and adult females participate about equally; 3=only/mainly by the husband and adult male household members; 4=only/mainly by girls (<15 years); 5=only/mainly by boys (<15 years); 6=only/mainly by children (<15 years), and boys and girls participate about equally; 7=all members of household participate equally; 8=none of the above alternatives; 9=person employed by and living with the household.*
*Note: Answers in columns 3 and 4 should be consistent with land categories reported in village questionnaire (V1D01) and in the annual household questionnaire (A1C).*

### *C. Forest-derived income (income from processed forest products)*

1. What are the quantities and values of processed forest products that the members of your household produced during **the past month?**

| **1. Product** *(code-product)* | **2. Who in the household did the work?[1)]** | **3. Quantity produced (5+6)** | **4. Unit** | **5. Own use (incl. gifts)** | **6. Sold (incl. barter)** | **7. Price per unit** | **8. Type of market** *(code-market* | **9. Gross value (3*7)** | **10. Purchased inputs & hired labour** | **11. Transport/ marketing costs** | **12. Net income excl. costs of forest inputs (9-10-11)** |
|---|---|---|---|---|---|---|---|---|---|---|---|
| | | | | | | | | | | | |
| | | | | | | | | | | | |
| | | | | | | | | | | | |
| | | | | | | | | | | | |
| | | | | | | | | | | | |

*1) Codes: 1=only/mainly by wife and adult female household members; 2=both adult males and adult females participate about equally; 3=only/mainly by the husband and adult male household members; 4=only/mainly by girls (<15 years); 5=only/mainly by boys (<15 years); 6=only/mainly by children (<15 years), and boys and girls participate about equally; 7=all members of household participate equally; 8=none of the above alternatives.*

2. What are the quantities and values of *unprocessed* forest products used as inputs (raw material) to produce the *processed* forest products in the table above?

*Note: Avoid double counting with section B: only products used an inputs are recorded in the table below, and these quantities should **not** be included in what is recorded in section B.*

| **1. Processed (final) products** *(code-product)* | **2. Unprocessed forest product used as input** *(code-product)* | **3. Quantity used (5+6)** | **4. Unit** | **5. Quantity purchased** | **6. Quantity collected by household** | **Collected where?** | | **9. Who in the household collected the forest product?[1)]** | **10. Price per unit** | **11. Value (3*10)** |
|---|---|---|---|---|---|---|---|---|---|---|
| | | | | | | **7. Land type** *(code-land)* | **8. Ownership** *(code-tenure)* | | | |
| | | | | | | | | | | |
| | | | | | | | | | | |
| | | | | | | | | | | |
| | | | | | | | | | | |
| | | | | | | | | | | |

*1) Codes as in the table above.*

*Note: The products in column 1 should be exactly the same as those in column 1 in the table above.*

*Note: Columns 7,8,9 should be left blank if no collection by household. Column 10 (price) should be asked even if only from collection, but if not available, see the Technical Guidelines on valuation.*

*Note: Answers in columns 7 and 8 should be consistent with land categories reported in village questionnaire (V1D01) and in the annual household questionnaire (A1C).*

### *D. Fishing and aquaculture*

1. How much fish did your household catch **exclusively from the wild** (rivers, lake, sea) during **the past month**?

| **1.Type of fish (list local names)*** | **Collected where?** | | **4. Total catch (kg) (5+6)** | **5. Own use (incl. gifts)** | **6. Sold (incl. barter)** | **7. Price per kg** | **8. Gross value (4*7)** | **9. Costs (inputs, hired labour, marketing)** | **10. Net income (8-9)** |
|---|---|---|---|---|---|---|---|---|---|
| | **2. Land type** *(code-land)* | **3. Ownership** *(code-tenure)* | | | | | | | |
| | | | | | | | | | |

| | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|
| | | | | | | | | | |
| | | | | | | | | | |
| | | | | | | | | | |

*Note: Answers in columns 2 and 3 should be consistent with land categories reported in the village questionnaire (V1D01) and in the annual household questionnaire (A1C).*

2. How much fish did your household catch **from ponds (aquaculture)** in **the past month**?

| **1. Type of fish (list local names)*** | **2. From where? [1)]** | **3. Total catch (kg) (4+5)** | **4. Own use (incl. gifts)** | **5. Sold (incl. barter)** | **6. Price per kg** | **7. Gross value (3*6)** | **8. Costs (inputs, hired labour, marketing, etc.)** | **9. Net income (7-8)** |
|---|---|---|---|---|---|---|---|---|
| | | | | | | | | |
| | | | | | | | | |
| | | | | | | | | |
| | | | | | | | | |

*1) Codes: 1=Pond owned by households; 2=Pond owned by group of which household is a member; 3=Pond owned by community/village; 4=Pond owned by others and persons can buy fishing rights (include costs in column 7); 9=Other, specify:*

### *E. Non-forest environmental income*

1. In addition to forest products and fish included in the previous tables, how much of **other wild products** (e.g., from grasslands, fallows, etc.) did your household collect **in the past month**?

| **1. Type of product** *(code-product)* | **Collected where?** | | **4. Quantity collected (6+7)** | **5. Unit** | **6. Own use (incl. gifts)** | **7. Sold (incl. barter)** | **8. Price per unit** | **9. Gross value (4*8)** | **10. Costs (inputs, hired labour, marketing, etc.)** | **11. Net income (9-10)** |
|---|---|---|---|---|---|---|---|---|---|---|
| | **2. Land type** *(code-land)* | **3. Owner-ship** *(code-tenure)* | | | | | | | | |
| | | | | | | | | | | |
| | | | | | | | | | | |
| | | | | | | | | | | |
| | | | | | | | | | | |
| | | | | | | | | | | |

*Note: Answers in columns 2 and 3 should be consistent with land categories reported in the village questionnaire (V1D01) and in the annual household questionnaire (A1C).*

### *F. Wage income*

1. Has any member of the household had paid work over **the past month**?

*Note: One person can be listed more than once for different jobs.*

| **1. Household member (PID)** | **2. Type of work** *(code-work)* | **3. Days worked past month** | **4. Daily wage rate** | **5. Total wage income (3*4)** |
|---|---|---|---|---|
| | | | | |
| | | | | |
| | | | | |
| | | | | |

### *G. Income from own business (not forest or agriculture)*

1. Are you involved in any types of business, and if so, what are the gross income and costs related to that business over **the past month?**

*Note: If the household is involved in several different types of business, you should fill in one column for each business.*

| | 1. Business 1 | 2. Business 2 | 3. Business 3 |
|---|---|---|---|
| 1. What is your type of business?[1)] | | | |
| **2. Gross income (sales)** | | | |
| **Costs:** | | | |
| 3. Purchased inputs | | | |
| 4. Own non-labour inputs (equivalent market value) | | | |
| 5. Hired labour | | | |
| 6. Transport and marketing cost | | | |
| 7. Capital costs (repair, maintenance, etc.) | | | |
| 8. Other costs | | | |
| **9. Net income (2 - items 3-8)** | | | |
| | | | |
| 10. Current value of capital stock | | | |

*1) Codes: 1=shop/trade; 2=agric. processing; 3=handicraft; 4=carpentry; 5=other forest based; 6=other skilled labour; 7=transport (car, boat,...); 8=lodging/restaurant; 9=brewing; 10=brick making; 11=landlord/real estate; 12=herbalist/traditional healer/witch doctor; 13=quarrying; 14= contracted work (cleaning/maintenance); 15=renting out equipment; 19=other, specify:*

### *H. Income from agriculture – crops*

1. What are the quantities and values of crops that household has harvested during **the past 3 months**?

| **1. Crops** *(code-product)* | **2. Area of production** ($m^2$) | **3. Total production (5+6)** | **4. Unit (for production)** | **5.Own use (incl. gifts)** | **6. Sold (incl. barter)** | **7. Price per unit** | **8.Total value (3*7)** |
|---|---|---|---|---|---|---|---|
| | | | | | | | |
| | | | | | | | |
| | | | | | | | |
| | | | | | | | |

2. What are the quantities and values of inputs used in crop production over **the past 3 months** (this refers to agricultural cash expenditures)?
*Note: Take into account all the crops in the previous table.*
*Note: See codes-list (section 3.2) for additional codes.*

| **1. Inputs** | **2. Quantity** | **3. Unit** | **4. Price per unit** | **5. Total costs (2*4)** |
|---|---|---|---|---|
| 1. Seeds | | | | |
| 2. Fertilizers | | | | |
| 3. Pesticides/herbicides | | | | |
| 4. Manure | | | | |
| 5. Draught power | | | | |
| 6. Hired labour | | | | |
| 7. Hired machinery | | | | |
| 8. Transport/marketing | | | | |
| 19. Other, specify: | | | | |
| | | | | |
| 20. Payment for land rental | | | | |

### *I. Income from livestock*

1. What is the number of ADULT animals your household has now, and how many have you sold, bought, slaughtered or lost during **the past 3 months**?
*Note: See codes-list (section 3.3) for additional codes.*

| **1. Livestock** | **2. Beginning number (3 months ago)** | **3.Sold (incl. barter), live or slaught-ered** | **4.Slaught-ered for own use (or gift given)** | **5. Lost (theft, died,..)** | **6. Bought or gift received** | **7. New from own stock** | **8. End number (now) (2-3-4-5+6+7)** | **9. Price per adult animal** | **10. Total end value (8*9)** |
|---|---|---|---|---|---|---|---|---|---|

| | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|
| 1. Cattle | | | | | | | | | |
| 2. Buffalos | | | | | | | | | |
| 3. Goats | | | | | | | | | |
| 4. Sheep | | | | | | | | | |
| 5. Pigs | | | | | | | | | |
| 6. Donkeys | | | | | | | | | |
| 7. Ducks | | | | | | | | | |
| 8. Chicken | | | | | | | | | |
| 9. Horses | | | | | | | | | |
| 10. Guinea pigs | | | | | | | | | |
| 11. Rabbit | | | | | | | | | |
| 12. Turkey | | | | | | | | | |
| 13. Guinea fowl | | | | | | | | | |
| 19. Other, specify: | | | | | | | | | |

2. What are the quantities and values of animal products and services that you have produced during **the past 3 months**?

| **1. Product/service** | **2. Production (4+5)** | **3. Unit** | **4. Own use (incl. gifts)** | **5. Sold (incl. barter)** | **6. Price per unit** | **7. Total value (2*6)** |
|---|---|---|---|---|---|---|
| 1. Meat [1)] | | | | | | |
| 2. Milk [2)] | | | | | | |
| 3. Butter | | | | | | |
| 4. Cheese | | | | | | |
| 5. Ghee | | | | | | |
| 6. Eggs | | | | | | |
| 7. Hides and skin | | | | | | |
| 8. Wool | | | | | | |
| 9. Manure | | | | | | |
| 10. Draught power | | | | | | |
| 11. Bee hives | | | | | | |
| 12. Honey | | | | | | |
| 13. Curdled milk | | | | | | |
| 14. Soap | | | | | | |
| 19. Other, specify | | | | | | |

*1) Make sure this corresponds with the above table on sale and consumption of animals.*
*2) Only milk consumed or sold should be included. If used for making, for example, cheese it should not be reported (only the amount and value of cheese).*

3. What are the quantities and values of inputs used in livestock production during **the past 3 months** (cash expenditures)?
*Note: The key is to get total costs, rather than input units.*

| **1. Inputs** | **2. Unit** | **3. Quantity** | **4. Price per unit** | **5. Total costs (3*4)** |
|---|---|---|---|---|
| 1. Feed/fodder | | | | |
| 2. Rental of grazing land | | | | |
| 3. Medicines, vaccination and other veterinary services | | | | |
| 4. Costs of maintaining barns, enclosures, pens, etc. | | | | |
| 5. Hired labour | | | | |
| 6. Inputs from own farm | | | | |
| 9. Other, specify: | | | | |

4. Please indicate approx. share of fodder, either grazed by your animals or brought to the farm by household members.

| **Type of grazing land or source of fodder** | **3. Approx. share** (%) |
|---|---|

| **1. Land type** *(code-land)* | **2. Ownership** *(code-tenure)* | |
|---|---|---|
| | | |
| | | |
| | | |
| | | |
| Total | | 100% |

### *J. Other income sources*

1. Please list any other income that the household has received during **the past 3 months**.

| **1. Type of income** | **2. Total amount received past 3 months** |
|---|---|
| 1. Remittances | |
| 2. Support from government, NGO, organization or similar | |
| 3. Gifts/support from friends and relatives | |
| 4. Pension | |
| 5. Payment for forest services | |
| 6. Payment for renting out land (if in kind, state the equivalent in cash) | |
| 7. Compensation from logging or mining company (or similar) | |
| 8. Payments from FUG | |
| 9. Other, specify: | |

# Attrition (drop out) and temporary absence survey (ATA)

### *Control information*

| Task | Date(s) | By whom? | Status OK? If not, give comments |
|---|---|---|---|
| Interview | | | |
| Checking questionnaire | | | |
| Coding questionnaire | | | |
| Entering data | | | |
| Checking & approving data entry | | | |

### *A. Identification*

1. Identification and location of household.

| | | |
|---|---|---|
| 1. Household name and code | **(name)* | (HID) |
| 2. Village name and code | **(name)* | *(VID)* |
| 3. District name and code | **(name)* | *(DID)* |
| 4. Who did you interview[1)] | | |
| 5. Has the household left the PEN survey temporary (one quarterly survey only) or permanently (remaining surveys)? | *(1=temporary; 2=permanently; 3=don't know yet)*[2)] | |

*1) Codes: 1 = member(s) of the household; 2 = neighbours; 3 = relatives; 4 = village headman/leader/officials; 5 = workers; 9=others, specify: _____*

*2) Code 3 should only be used temporary; use 1 or 2 in final dataset.*

### *B. Reasons for dropping out*

| 1. What is the reason for the household to drop out of the PEN survey this quarter? | **Reason** | **0-1 (quest. 1) or code** |
|---|---|---|
| | 1. Moved/migrated permanently | |
| | 2. Temporarily away from village (work, visit, …) | |
| | 3. Divorce | |
| | 4. (Re) married | |
| | 5. Death | |
| | 6. Illness | |
| | 7. Child birth | |
| | 8. Refuse because too busy | |
| | 9. Refuse because don't want to reveal household information | |
| | 10. Refuse because tired of answering the questionnaire | |
| | 11. Could not locate the household | |
| | 12. Religious reasons | |
| | 13. Impersonated another community member in previous survey | |
| | 19. Other | |
| 2. If moved/migrated (response 1), to where?<br>*Codes: 1=within village; 2=neighbouring village; 3=to village further away (another rural area); 4=to nearest town; 5=to major town further away; 9=other:_____* | | |
| 3. If moved/migrated from village, what was the reason for leaving?<br>*Codes: 1=work or look for work; 2= (government) service, incl. army; 3=study; 4=follow or move (closer) to spouse/family; 5=marriage; 6=separation/divorce; 7= utilize inheritance; 8= seek medical treatment; 9=conflicts in present village; 10=land shortage; 11=forest authority harassment; 12=bought/own land elsewhere; 13=running from debts; 19=other, _____* | | |
| 4. If the respondent died (response 5), give PID number: | | |
| 5. If the respondent died, what was the reason?<br>*Codes: 1=illness; 2=old age; 3=accident; 4=violence; 5=suicide; 9=other:_____* | | |