





CIFOR *Pen*
Poverty and Environment Network



Outline:

1. What are the stories of PEN?
2. What's so special?
3. Why successful (so far)?
4. Where are we now?
5. Where are we heading?
6. And what are we doing in Barcelona?

1. What are the PEN family stories?

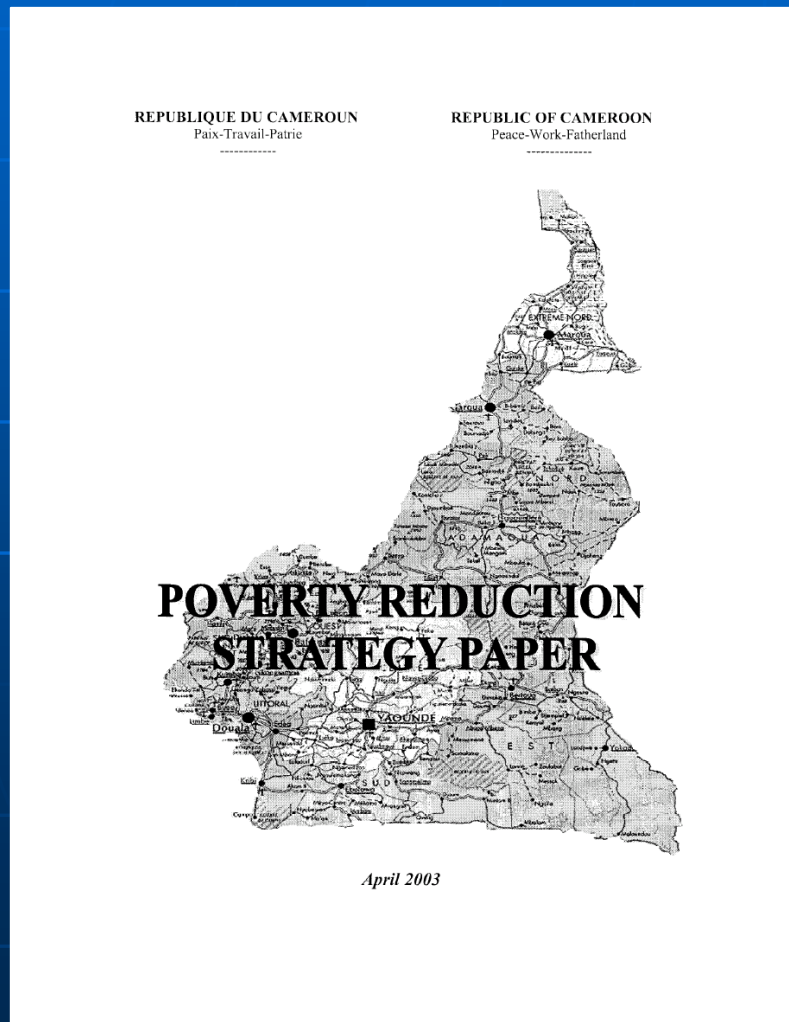


Story 1: Forests are important to the poor!



- *“Some 350 million people who live within or adjacent to dense forests depend on them to a high degree for subsistence and income”* (World Bank 2001)
- Typically 1/5 of the income from forests, and the dependency 2x higher for the poor

Story 2: The forest-poverty link is not being properly included in policies like the PRSPs



“The analysis of the cause-effect linkages between the forest sector and poverty and the treatment of forest related issues were generally weak.”

(Oksanen & Mersmann, 2003, on forestry in PRSP)

Lack of knowledge is one reason for this omission.

Story 3: There are very few comprehensive quantitative studies of environmental incomes to the poor



Pergamon

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Empirical Regularities in the Poverty-Environment Relationship of Rural Households: Evidence from Zimbabwe

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Summary. — Analysis of rural households and environmental resources is beset by inadequate data, especially in Africa. Using purpose-collected panel data from Zimbabwe, we demonstrate seven empirical regularities in the rural poverty-environment relationship. Most important, environmental resources make a significant contribution to average rural incomes. Poorer households also depend heavily on these resources, which contribute c.40% to their incomes. Richer households, however, use greater quantities of environmental resources in total. Finally, considerable differentiation exists in the economic characteristics of environmental goods. These results demonstrate the considerable economic significance of environmental resources to rural households. Surveys which ignore them miscalculate rural incomes and welfare. © 2000 Elsevier Science Ltd. All rights reserved.

Key words — Africa, Zimbabwe, poverty, rural households, environment, common property resources

Let's clone
Will Cavendish!



The methods often questionable (reliability)
and vary a lot (comparability)

Story 4: The best empirical work often done by PhD students

.... but they are lonely!



"German PhD Students: Free But Lonely"
(Science, 2001)

"It can be lonely. The step from Master degree student to PhD fellow can be big."
(PhD student, UMB)

... and the PEN idea is born ...

- Make a PhD network
 - work with the lonely and the best!
- Get tropics-wide data
 - Zimbabwe may not be representative for the tropics (fortunately)
- Use state-of-the-art methods (=high quality data)
 - (i) careful recording of all uses, and (ii) short recalls
 - apply the same ruler (= comparable data)

The outputs:

- Research: The most comprehensive analysis of poverty and forests (and possibly environmental income more generally)
- Policy recommendations
- Methods recommendations
- Better research capacity

2. What's so special then?

PEN 培州

報

PEN is tropics-
wide and works
on 3 continents

到

The hammer, but not the
sickle: strong central
coordination and **some**
elements of Stalinism

夕子

y = income, and
in the broadest
possible sense,
thus y+

PEN is different:

1. The way of working:

*"The project promises results of intellectual significance due to the innovative data collection methods and analysis. The research methods proposed are commendable: many replications of small-scale studies co-ordinated to yield insights that should allow reliable generalisations to be inferred. There are **few, if any** other studies in rural development that I know of that have this ambition."*
(DFID application reviewer)

2. The size:

"[the project is] very ambitious but, because of the applicants' existing research network, it would be a realistic piece of research." ...
"...high potential for impact on poverty reduction."
(DFID application reviewer)

PEN in figures

- 1 overall project, but each of the partner projects has a distinct flavour;
- 2 phases: data collection and data analysis/writing/dissemination;
- 3 continents, with a reasonable balance between the three;
- 4 quarterly surveys over a year, ensuring short recalls;
- 5 thematic groups: livelihoods, tenure, markets, deforestation, payment for env. services;
- 6 year project (2004-2011);
- 7 workshops and conferences to be held (at least);
- 26 countries of fieldwork;
- 38 PEN studies;
- 239 households in the average study;
- 364 villages or communities surveyed (uncertain);
- 2 313 data fields (variables) in the average study;
- 9 100 households surveyed;
- 40 950 household visits by PEN enumerators;
- 294 150 questionnaire pages filled out and entered (poor enumerators!);
- 456 546 data cells (numbers) in the average study;
- 17 348 734 data cells in the PEN global data base!

3. Why successful (so far)?



1. A good idea

- Mutually beneficial exchange!
 - a. Lonely PhD students need a network, guidance and being part of something bigger;
 - b. CIFOR needs good and comparative data, and has the platform (and will) to put it together:
 - a good symbiosis and “trade of skills”
- Have something concrete to work towards!
- “PEN taps into student idealism!” And hard work!
- The project idea attractive, and create enthusiasm

2. Building social capital within the project

- Open and free discussions;
 - “Participation as a meta-institution”
- Everyone contributes
 - 20+ persons contributed to the questionnaire
- Combined with a strong central coordination on methods
- “A unified method and yet avoids imposing a straight-jacket on the thematic content of theses.”
 - Diversity in unity!
- Timely feedback; professionalism

4. Where are we now?



In space: The geographical coverage

Latin America 9 (6)	Asia 13 (8)	Africa 16 (12)	Total 38 (26)
Belize, Bolivia, Brazil (2), Ecuador (2), Guatemala, Peru-Bolivia- Brazil (2)	Bangladesh (3), Cambodia (2), China, India (3), Indonesia, Nepal, Pakistan, Vietnam	Cameroon, Burkina Faso (2), DRC, Ethiopia (2), Ghana (2), Madagascar, Malawi, Mozambique (2), Nigeria, Senegal, Uganda, Zambia	

In time: PEN timeline (2004-2011)

0. Planning and preparations: 2004-2006

- Prototype questionnaire, guidelines, Access database
- Three methods workshops (Sept. 2004, Aug. 2005, April 2006)

1. Data collection: 2005-2008

- Fieldwork and data collection
- Funding applications secured the financial base

2. Analysis and dissemination: 2008-2011

- **Workshop on data analysis (Jan. 2008)**
- Workshop (2009) and international conference (2010) + Danida ones
- Creation of PEN global data set
- Data analysis and writing: case studies (PhD thesis), thematic groups and global syntheses
- Synthesis publications (book or special issue of journal)
- Dissemination and policy work

5. Where are we heading?



We have almost done
the data collection

....

now we have to put the
294 150 questionnaire pages
into a data set of
17 348 734 data cells

....

and make them tell
a few good stories!

The stories should be about these research questions:

- What is the *current* role of forests in poverty alleviation, and can that role be enhanced through *better policy formulation and implementation*?
- What is the relationship between forest use/dependency and household income/assets in different env. and policies:
 - Household characteristics (poor, young, household headship, migrants, etc.)
 - Forest resource base: forest type and condition, degradation, forest cover
 - Local control and management, tenure, user groups
 - Economic development/modernization/market integration

Themes

(more on Thursday)

1. **Livelihoods:** forests role as supporting current consumption, safety net, and pathway out of poverty What is the
2. Forest **tenure**, joint/communal/local forest management, decentralization
3. **Markets:** local integration and functioning of markets
4. Poverty impacts of **deforestation** and land use changes
5. Payment for forest **environmental services**, including tourism

How?

- Quantitative analysis based on PEN's global data set
 - A number of people participating
 - Rules laid out in contract
- Thematic qualitative synthesis
 - Subgroups on each of the topics?
- Next two workshops/conferences will be on presenting research results, but the work starts now

The challenges ahead

- Complete existing studies
- Create the global data set – a huge job!
- Not losing partners
 - too busy with PhD
 - move to new pastures after PhD
- Get into analysis mode
 - research outputs
 - coordination
 - time consuming
- Produce policy relevant results
 - extract and simplify
 - not as easy as we commonly think

6. What are we doing in Barcelona?



Workshop programme

<i>Tuesday</i>	<i>Wednes- day</i>	<i>Thursday</i>	<i>Friday- Saturday</i>
Overview & getting high quality data	Fieldwork and method experi- ences	Thematic and global analysis	Data analysis with Stata & Ronnie (& project meetings)
Case studies	LIV and rural dev. analysis	Tenure and LIV analysis	

Aim of the workshop

- Synthesis of fieldwork & methods **experience** (Days 1b & 2a)
- Common understanding of methods for data cleaning and **quality control** (Day 1a)
- More specific **global research questions**, in particular LIV & tenure (Days 1a, 2b, 3)
- Enhance (Stata) **skills** for data analysis (Days 4-5)
- Enhance the PEN **spirit**, lay a social foundation for further work

The ultimate test of success: A2 - section F

1. During the last interview ^{workshop} , did the respondent ^{participant} smile or laugh?	
<i>Codes: (1) neither laughed nor smiled (somber); (2) only smiled; (3) smiled and laughed; (4) laughed openly and frequently.</i>	
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	

I hope
the workshop
will be
code
4!