INCORPORATING STAKEHOLDER PERCEPTIONS
IN PARTICIPATORY
FOREST MANAGEMENT

FIELD RESEARCH GUIDE

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FIELD RESEARCH GUIDE

DFID NATURAL RESOURCES SYSTEMS PROGRAMME PROJECT R8280

INCORPORATING STAKEHOLDER PERCEPTIONS IN FOREST MANAGEMENT

INTRODUCTION

There is a danger in writing such a guide as the field team might blindly follow this. The objectives of the guide are to explain the research objectives, data to be collected and methods to be used. It also tries to warn about the major pitfalls. However, it neither provides an exhaustive list of the data to be collected nor describes all methods that could be employed for data collection. We would like to emphasize that the recommendations made in this guide are based on certain assumptions, which may not entirely conform to the field situation. We hope that the field team would creatively use innovative methods to collect data, which would help in understanding the perception of the stakeholders and interactions among them in the context of participatory natural resource management.

This guide gives a background to the research as well as key information on:

- How to select research sites
- How you should plan your time
- How you should conduct research in the village
- The types of data you should collect and the questions you should ask
- How you should conduct participant observation, FGDs, interviews, and document analysis
- How you should record the data and your findings

In addition, it also gives the concepts and definitions we will be using to ensure common understanding. Also included are the data formats that we will be using.

PROJECT OUTLINE: JUNE 2003

Project aims:
The project aims to increase learning about differences in stakeholder perceptions over participatory forest management in Harda district, Madhya Pradesh, India; to generate policy relevant findings that can be used to formulate inclusive policy for participatory forest management; and to communicate these findings to key stakeholders and policy actors.

Background:
A previous project R7973 "Policy Implications of Current Knowledge about CPR Management …" (http://www-cpr.geog.cam.ac.uk/) developed an analytical framework for the understanding of stakeholder perspectives in natural resource management. In contested CPRs, different stakeholders bring different assumptions, knowledge and goals for that resource to their decision-making, which are not always made explicit. The framework seeks to promote dialogue between stakeholders by making these differences clear. This tool was discussed at an analytical level during the course of that project, but was not tested or validated in different field conditions. The current project will develop and test the analytical framework created in R7973 in the analysis of field-level conflict over forest resources in Harda, Madhya Pradesh.

In India, Harda has been celebrated as an exemplar of the effectiveness of decentralised and participatory forest management, having been in the forefront of the Joint Forest Management (JFM) process since the early 1990s. Based largely on the experiences of experiments such as Harda, The World Bank funded a large forestry sector project in Madhya Pradesh in the 1990s. While the Forest Department views the participatory forestry approach followed in Harda as a success, many others, notably a section of activist NGOs and CBOs working in the area, hold the view that communities have not only not benefited, but their situation has actually become worse. This difference in perception has resulted in conflicts among different stakeholders such as the FD, NGOs/CBOs and communities. Meetings that have been organised over the last couple of years have been conducted in a confrontational mode, and have not helped further the process of reconciliation and understanding.

The Madhya Pradesh experience with forest sector reform has important implications for forest management in India more generally. Research on the local dynamics of stakeholder interaction

over forest management in Harda provides an opportunity to develop a focused insight into issues that arise with the maturity of such participatory programmes, and will provide policy-relevant suggestions that have wider applicability. While participation has been widely documented in many studies of JFM, the perceptions of local level stakeholders have not been adequately studied, especially as these programmes have matured over a decade.

Project timing and main activities:

The project is for a period of two years, from March 2003 till 31 March 2005.
The project will involve the following main activities –

1. Field research with key stakeholders in Harda forest division, focusing on the documentation of their perceptions on participatory forest management.

2. Research on the broader context for forest policy initiatives in Harda district, as well as in the state of Madhya Pradesh and at the national level.

3. Engagement of target institutions (key stakeholders and policy actors at various levels – local, state and national) in sharing the learning from the research process.

4. Discussion of policy options to address stakeholder perceptions and needs and to promote opportunities for dialogue between key stakeholders and policy actors.

5. Assessment of utility of analytical frameworks as inputs into more effective policy dialogue over participatory forest management.

6. Development of field guides, manuals and other products that could help the promotion and the use of frameworks and the associated processes of stakeholder interaction.

Project outputs:

The project has four outputs:

1. *Enhanced learning about differences in stakeholder perceptions and sources of conflict over participatory forest management in Harda:* The project will conduct intensive fieldwork with stakeholders at multiple levels to understand their perceptions about participatory forest management. These will be analysed in the context of the framework developed in R7973 to make transparent the sources of conflict between key stakeholders.

2. *Discussion and promotion of strategies to manage conflict with local target institutions:* The improved understanding of differences between key local stakeholders will be used to explore mutually beneficial outcomes that meet the objectives of different groups, or to find ways in which group objectives can be accommodated in local-level policy initiatives.

3. *Improved dialogue between key stakeholders and policy actors over participatory forest management strategies, at the local, state and national levels:* Learning about differences in stakeholder perceptions will make the process of dialogue more transparent, and will create opportunities for policy improvements at various levels.

4. *Learning about the utility of analytical frameworks and tools as inputs into the policy process and for conflict management:* The project will document the process of field testing the tools developed in R7973 and their use in conflict management and promoting stakeholder dialogue, thereby contributing to learning about the wider use and replicability of such methods.

CONCEPTUAL FRAMEWORK

WHY DO PERCEPTIONS MATTER IN FOREST POLICY & MANAGEMENT?

THIS SECTION IS DERIVED FROM WORK IN PROGRESS:[1]
STRICTLY NOT TO BE QUOTED OR USED IN ANY WAY

Stakeholder perceptions and policy towards participatory forest management

Institutional economists have provided frameworks for the analysis of forest resources (*1, 2-5*). However, the use of such frameworks in policy debates usually ignores the fact that the assumptions, knowledge and understandings that underlie the definition of problems are uncertain and contested. Much contemporary policy-making suffers from the assumption that the problems of forest management are self-evident. Ecological, conservation or poverty analysis may identify a problem as essentially related to resource depletion, environmental degradation, lack of appropriate management institutions, or inadequate entitlements to basic human needs. However, different political actors may identify different problems. For instance, a government's perception of a problem as the degradation of state forests due to fuelwood cutting may be seen by landless villagers as a different problem deriving from the loss of legitimate community control over a shared resource due to arbitrary nationalisation and expropriation.

The issues affecting participatory forest management cannot therefore be taken to be self-evident. No one group can assume that they have a complete picture, or that their perceptions of problems will be universally shared. Although problem-definition is critical to the process of making policy, it is rarely explicitly scrutinised. Decision makers must consider the assumptions and knowledge that frame their perceptions of policy problems, and contrast these with alternative perceptions held by other social actors.

Stakeholder perceptions in forest management are shaped by factors that can analytically be classified in three broad categories (see Figure 1): first, knowledge of the empirical context; second, understanding (beliefs and ideas); third, knowledge of policy.

The **empirical context** is dynamic, and change can be continuous or discontinuous, driven by local, regional or even global processes. Drivers of change can be environmental (e.g. climate variability or pest attack), economic (e.g. trade patterns), social (e.g. changing patterns of labour migration) or cultural (e.g. new tastes or fashions).

Stakeholders' **knowledge of the empirical context** is likely to derive from diverse sources. At the local level, it will be largely through direct experience of changing resource availability or inference from known changes elsewhere. At larger scales, knowledge of the empirical context is strongly influenced by research, based on data systematically generated by official agencies and research organisations using remote sensing, censuses or sample surveys.

Stakeholders are likely to differ in terms of their access to and understanding of these diverse sources of knowledge about the empirical context. The knowledge of all actors is likely to be partial and hence contested by other actors. In this framework, an actor's knowledge about the empirical context is crucial, since this frames particular perceptions about resource use problems. Knowledge about the empirical context often also derives from personal observations of critical

[1] This is based on an article that is under review for *Science* (Autumn 2003), "Managing Tragedies: Policy Intervention and Common Pool Resources", by W M Adams, D. Brockington, J. Dyson and B. Vira, which was an output from a previous DFID NRSP funded project that was the intellectual pre-cursor to the present project. No part of this document should be quoted or used without the permission of the original authors. However, the framework discussed here provides a useful background to the issues that are central to the present project.

events, particularly extreme events (for instance, frequent flooding may be seen by some actors as an indicator of upstream deforestation).

Stakeholders bring diverse ideas, ideologies and beliefs to bear on problem definition. Religious beliefs and moral conviction can be extremely important in structuring understanding. Ideas also derive legitimacy from received theoretical wisdom, exemplified in the present discussion by the still prevalent and widespread belief in Hardin's Tragedy of the Commons. Ideas outside formal science are also important in framing the perceptions of different actors. Informal or 'folk' knowledge (including that of scientists!) can be important. Understanding of problems is often informed by powerful narratives or storylines *(6-8)* such as those concerning deforestation (*9*). The **cognitive framework** that is used by decision makers to frame their perceptions of resource management problems is shaped by these ideas, beliefs and narratives. What is often not recognised is that other actors may employ very different cognitive frameworks in their analysis, and that these differences may be a potential source of conflict over appropriate response options.

Knowledge about policy also varies among stakeholders. National or local government policies towards mining, irrigation, tourism, wildlife use and hunting and poverty alleviation affect the extent and availability of common pool resources. Stakeholders have very different levels of engagement with such policies. For instance, a local herder may be unaware of a country's policy commitments under the Convention on Biological Diversity, while a government resource manager may be ignorant about decisions made by a village forest management committee.

Differences in stakeholder perceptions over forest management issues may derive from a wide range of factors, broadly related to their knowledge and understanding of the relevant issues. This differentiated knowledge forces stakeholders to consider resource uses that are compatible with their perceptions of these wider policy processes, and contributes to a plurality of perspectives over the **definition** of forest resource management problems.

Conventionally, responses to problems, or policy initiatives, are confined to 'experts' or governments. However, all decision makers are capable of engaging in similar analytical processes, based on their current knowledge and understanding of issues. If stakeholders differ in their perceptions and definition of problems because of differences in knowledge and understanding, it is also likely that they will favour different response options as solutions to these perceived problems.

Each decision maker is only able to define problems and test the set of possible response options in the context of *their* particular knowledge and understanding. It follows that there is unlikely to be a convergence of views, both in terms of perceptions and problem definition, as well as over the desired response to the problem. Thus, policy conflict arises because differences in knowledge and understanding between stakeholders frame their perceptions of resource use problems as well as possible solutions to these problems.

Conflict is a feature of many resource management regimes, but it is often assumed to reflect differences in material interests between stakeholders. In such contexts, conflict may be managed by trading off different management objectives *(10)*, or by attempting to reconcile multiple interests in resource management (*11*). The present analysis suggests that conflict may arise at a deeper, cognitive level, because stakeholders often do not explicitly recognise the way in which their knowledge and understanding frame their perceptions on forest management and policy.

The way forward in such situations of cognitive conflict is for the policy dialogue to be structured in a manner that recognises that differences in knowledge and understanding contribute to differing perceptions of resource use problems and support for different solutions to these problems. An articulation of these perceptions, ideas and beliefs in the public arena may

help to recognize the sources of seemingly intractable conflicts between different policy actors (*12*). This is likely to improve the transparency and effectiveness of negotiations between stakeholders by enabling actors to understand the plurality of views that prevail in the context of resource-use and management. Importantly, this reasoning also suggests that it may be difficult to achieve a consensus in such situations, and policy is likely to involve 'tragic' choices that contradict the deeply held values and beliefs of some stakeholders *(13)*.

This perspective encourages a more reflexive approach to policy making, and can facilitate greater transparency in decisions that affect forest resources. However, there remain obvious limitations. First, management effectiveness will always be limited by incomplete knowledge and understanding of complex natural and social systems. Second, this framework will not help if decisions are driven by the unilateral political will or economic power of particular stakeholders. If policy is made in a way that precludes dialogue, this framework will be of limited use, except to explain why things go wrong. Third, while this framework is capable of revealing the incompatibility of competing perceptions, it cannot by itself reconcile them.

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Tentative list of issues for understanding perceptions

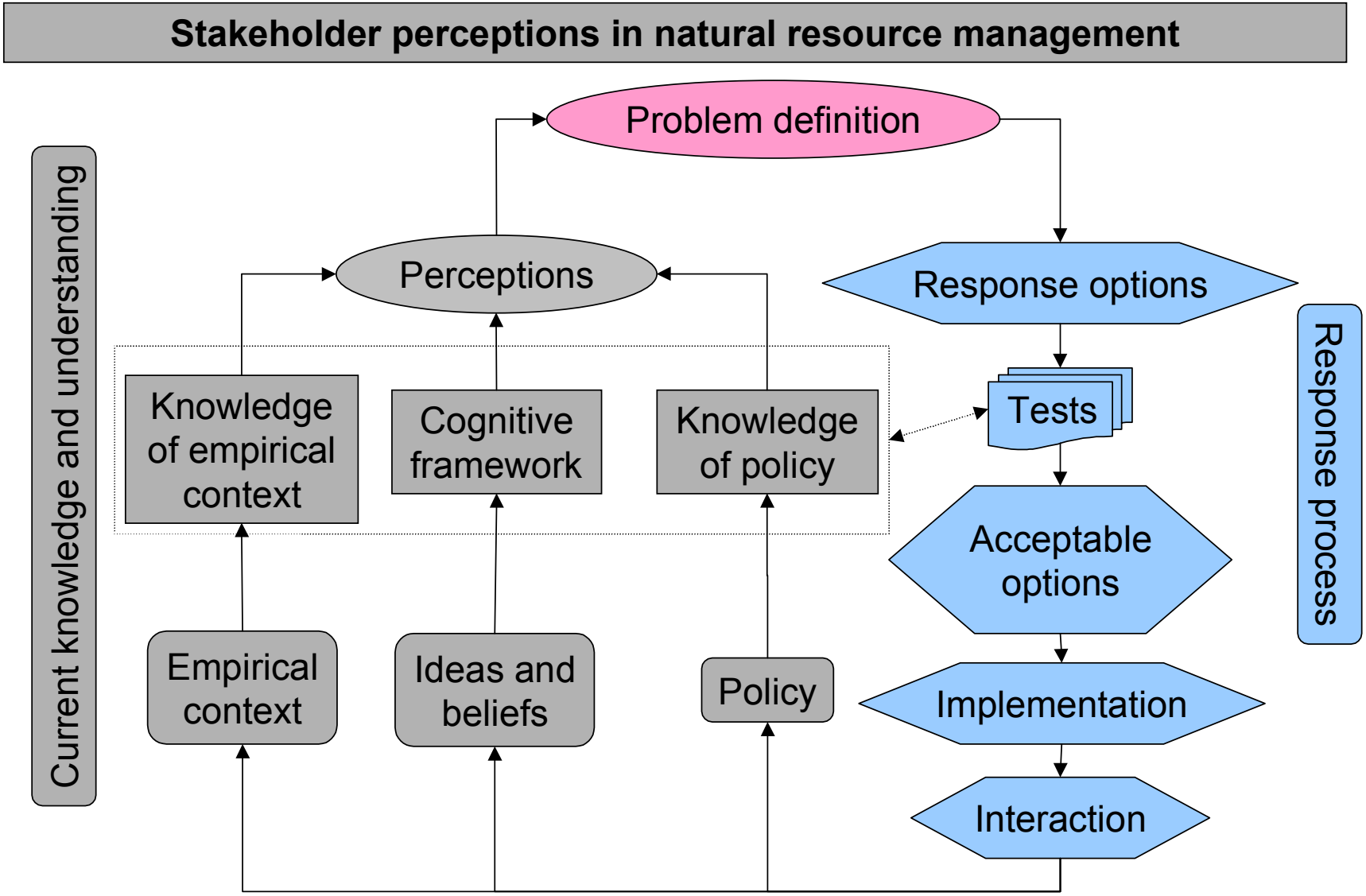
Perceptions of change
Access/control/use (substitutes)
Livelihoods issues
Benefit sharing
Memory – what used to happen? Historical recall (4 phases: pre-JFM, pre-project, during project, after project)
Role and ability to influence outcomes – power
Long term sustainability (using local indicators of this)
Incentives for participation
Changing access to bureaucracy/ability to articulate demands
Ancillary activities
Impacts on the resource (using local indicators)
…. Others ….?

Cognitive framework
Aspirations/objectives (changes in these over time)
Understanding of key issues, definitions, terms
Perceptions about other stakeholders/who else is important? What are their roles? Who are the key actors? What is their stance?
Perceptions about responsibilities
Role of forests in livelihood strategies
Existing entitlements
…. Others ….?

Knowledge about policy
Influence of policies
Impact of procedures/routinisation
Role of government resolutions
Different types of committees (FPCs/VFCs)
Co-ordination between stakeholders
Changes in leadership/capacity at local level
…. Others ….?

Empirical – background and context
1. Historical/legal/policy/economic/social/political/religious background
2. Role of key actors/individuals/stakeholders, including support, mobilisation of resources etc.
3. Role of key events, including judicial interventions (why key)
4. Changing levels of activity – pre-JFM, pre-project, during project, after project
5. Inter-agency co-ordination (revenue/FD), user groups/PRIs
6. Changes in planning process at the district level, within the FD, other state depts.
7. Changes in local capacity for leadership – case histories of individuals (FPC chairman, Sarpanch etc.)
8. Corruption/transparency/accountability
9. Networks of influence (MTOs) – funding sources etc.
10. Social/economic/political decision space.
11. Patterns of interaction between stakeholders.

FIGURE 1


Stakeholder perceptions in natural resource management
Problem definition
Perceptions
Response options
Knowledge of empirical context
Cognitive framework
Knowledge of policy
Tests
Acceptable options
Implementation
Interaction
Empirical context
Ideas and beliefs
Policy
Current knowledge and understanding
Response process

Checklist for capturing Perceptions of Stakeholders on various issues of Forest Management – to be converted into questionnaires
GG to chase us all
(Based on checklist of the workshop held at IIFM in June 2002, Harda Workshop & Partner's view)

Area	Issue	Sub-issue
Policy (documents and policy in action) SU, RKS	Understanding of policies & contradictions and inconsistencies in policies	• Contradictions and inconsistencies within natural resource policy and among the sectoral policies • Policy formulation - Participation of civil society • Policy on addressing gender issues in forestry • State & national
	Sensitivity of policy to local worldviews	• Recognition of local rights, structures, responsibilities and social/cultural beliefs/values • Custom, customary law & practices, traditional rights – issues and implications for local population
	Policy implementation and monitoring	• Credibility in the policy implementation • Variation in interpretation of policies • Monitoring of policy implementation – issues and implications
	International Influence on forestry sector	• Influence of external assistance especially World Bank Project
Legal – SU, VKS	Legal issues in forestry & JFM	• Encroachment – perspectives on stakeholders' rights • Entitlement of 'forest village' • *Nistar* - rights/concession • Legal support to JFM • Protection to the JFM members • Contractual provisions for sharing roles, responsibilities
Institution - all	Power disparities	▪ Socio-economic inequalities ▪ Gender/Ethnic/caste discriminations ▪ Elite capture of power/resources- role of civil society ▪ Change in leadership ▪ *Begar*- Protection of forest workers ▪ Political interference
	Inequitable rights	▪ Access, control and use of forests ▪ Benefit sharing ▪ Livelihood issues ▪ Inequities in land-use planning and land allocation ▪ Distribution of *gochar* and other community land
	Centralised Planning Process	▪ Micro-planning linkages and cross-sectoral linkages

Area	Issue	Sub-issue
	Conflict & capacity to resolve conflicts	▪ Types of conflicts- latent, manifest ▪ Capacity to analyse conflicts ▪ Capacity to respond ▪ Existing systems for managing conflicts ▪ Psycho-cultural and historical perspectives in the conflict analysis ▪ Nature, erosion, role of social institutions (incl. Social Capital) in forest management
	Corruption	▪ Law enforcement- rent seeking, extortion and corruption ▪ Financial irregularities
	Dispute resolution system	▪ Grievance handling system of Forest-dependent communities ▪ Effectiveness of traditional systems ▪ Feasibility of introducing alternate dispute resolution system ▪ Multi-stakeholder facilitation
	Effective local governance	▪ Decentralisation in forestry governance - legislative, administrative & fiscal ▪ Bureaucracy - attitude ▪ Change management ▪ Transparency & accountability ▪ Role of civil society
		▪ Inter-institutional collaboration and conflicts- formal/informal, PRI/User groups, communities/ agencies ▪ New institutional arrangements- role of FDA ▪ Role of NGOs/MTOs ▪ Activism in the forestry sector ▪ Role of market
	Communication	• Problems of present communication system • Communication across stakeholders
Ecological factors – RKS, VKS, SS	NATURAL FOREST MANAGEMENT	• Forest technology and sustainability • Sustainable use and management approaches (variety of products - NTFP/ timber, Industries vs. small-scale enterprises) • Mixed species versus monoculture plantations in JFM areas
	Forest Protection	▪ Controlling illicit felling ▪ Controlling forest encroachment ▪ Forest fire management ▪ Shifting cultivation ▪ Mining ▪ Forest Grazing-cattle camp, nomadic herders ▪ Poaching ▪ Illicit removal of forest produce
	Eco-restoration of degraded forests	▪ Rehabilitation of degraded sites ▪ Relationship among stakeholders ▪ Impacts of the forestry interventions – social, ecological and livelihoods dimensions

Area	Issue	Sub-issue
	BIODIVERSITY CONSERVATION	▪ Human/animal conflict- Human/cattle killing, crop raiding ▪ Wildlife trade ▪ Role of BMCs
SOCIAL DIMENSIONS OF FORESTRY SU, PDG, BV		▪ Tenure issues in forest areas, particularly for the tribal communities - *thallua* ▪ Rural development & resource sustainability in JFM ▪ Emerging conceptualisation of ownership over public forests under the participatory forest management
Economic aspects of forestry PDG, BV, SS, MB, AG, SD	Distribution of benefits and costs	▪ NTFP (esp. *tendu*) trade & marketing linkages
Wider economic influences PDG, BV, SS, MB, AG, SD	Changes in economic opportunity	▪ Labour demand – influence of harvesters ▪ Migration ▪ Impact of irrigation & double cropping ▪ Watershed management

Area	Issue	Sub-issue
Policy (documents and policy in action)	Understanding of policies & contradictions and inconsistencies in policies	• Contradictions and inconsistencies within natural resource policy and among the sectoral policies • Policy formulation - Participation of civil society • Policy on addressing gender issues in forestry • State & national
	Sensitivity to local worldviews	• Recognition of local rights, structures, responsibilities and social/cultural beliefs/values • Recognising actors, motivations, interests and change agents
	Policy implementation and monitoring	• Credibility in the policy implementation • Variation in interpretation of policies • Monitoring of policy implementation – issues and implications
	International Influence on forestry sector	• Influence of international conventions on the forestry sector • Influence of external assistance especially World Bank Project • Impact of liberalisation, privatisation and globalisation on natural resources and local communities
Legal	Inconsistencies between policy & legal provisions	• Congruence and conflicts between the policy and the legal provisions • Translating policy aspirations in the statutes • Legal regime in forestry – consistency & contradiction • Custom, customary law, traditional rights, statutory provisions and law-in-practice – issues and implications for sustainability and local population
	Legal issues in forestry	• Legal validity of stakeholders' perception • Property rights and ownership issues • Encroachment – perspectives on stakeholders' rights • Entitlement of 'forest village' • *Nistar* - rights/concession • Fundamental rights, Human rights and forestry governance • Conflict of jurisdictions- PESA • Discriminatory application of laws and regulations
	Role of Judiciary	• PIL (Public Interest Litigation)in environment • Trend in judicial verdict • Increase in litigation
	Legal issues of JFM	• Legal support to JFM • Protection to the JFM members • Contractual provisions for sharing roles, responsibilities, benefits, etc.

Area	Issue	Sub-issue
Institution	Power disparities	▪ Socio-economic inequalities ▪ Gender/Ethnic/caste discriminations ▪ Elite capture of power/resources- role of civil society ▪ Change in leadership ▪ *Begar*- Protection of forest workers ▪ Political interference
	Inequitable rights	▪ Access, control and use of forests ▪ Benefit sharing ▪ Livelihood issues ▪ Inequities in land-use planning and land allocation ▪ Distribution of *gochar* and other community land
	Centralised Planning Process	▪ Planning process working plan/ Micro-planning linkages and cross-sectoral linkages ▪ Participatory monitoring and evaluation mechanism ▪ Traditional knowledge versus modern knowledge
	Conflict & capacity to resolve conflicts	▪ Types of conflicts- latent, manifest ▪ Capacity to analyse conflicts ▪ Capacity to respond ▪ Existing systems for managing conflicts ▪ Psycho-cultural and historical perspectives in the conflict analysis ▪ Nature, erosion, role of Social Capital in forest management
	Corruption	▪ Law enforcement- rent seeking, extortion and corruption ▪ Financial irregularities
	Dispute resolution system	▪ Grievance handling system of Forest-dependent communities ▪ Effectiveness of traditional systems ▪ Feasibility of introducing alternate dispute resolution system ▪ Multi-stakeholder facilitation
	Effective local governance	▪ Decentralisation in forestry governance - legislative, administrative & fiscal ▪ Bureaucracy- attitude ▪ Change management ▪ Transparency & accountability ▪ Role of civil society
		▪ Inter-institutional collaboration and conflicts- formal/informal, PRI/User groups, communities/ agencies ▪ New institutional arrangements- role of FDA ▪ Lok Vaniki- *Kisan Sangh* ▪ Role of NGOs ▪ Activism in the forestry sector ▪ Role of market
	Communication	• Problems of present communication system • Feasibility of introducing multi communication channels with "feed in" and "feed back" loops • Culture and communication

Area	Issue	Sub-issue
	Centre-state relationship	• Compliance with the guidelines/directives of the GOI by the state govt. • Jurisdiction • Budgetary allocation to state governments • Action against violation of conservation act
Ecological factors	NATURAL FOREST MANAGEMENT	• Forest technology and sustainability • Sustainable use and management approaches (variety of products - NTFP/ timber, Industries vs. small-scale enterprises) • Mixed species versus monoculture plantations in JFM areas
	Forest Protection	▪ Controlling illicit felling ▪ Controlling forest encroachment ▪ Forest fire management ▪ Shifting cultivation ▪ Mining ▪ Forest Grazing-cattle camp, nomadic herders ▪ Poaching ▪ Illicit removal of forest produce
	Eco-restoration of degraded forests	▪ Rehabilitation of degraded sites ▪ Relationship among stakeholders ▪ Impacts of the forestry interventions – social, ecological and livelihoods dimensions
	BIODIVERSITY CONSERVATION	▪ Human/animal conflict- Human/cattle killing, crop raiding ▪ Wildlife trade
SOCIAL DIMENSIONS OF FORESTRY		▪ Regularisation of encroachment particularly by the tribal communities ▪ Rural development & resource sustainability in JFM ▪ Emerging conceptualisation of ownership over public forests under the participatory forest management
Economic aspects of forestry	Distribution of benefits and costs	▪ Distribution of costs and benefits among stakeholders ▪ Elimination of middleman in NTFP trade ▪ Marketing linkages ▪ Entrenched political and economic strongholds on the NTFP trade – implications for livelihoods of the poor
	Inefficient resource use and allocation	▪ Economic valuation of forest biodiversity and other environmental goods and services ▪ Investment in forestry sector ▪ Allocation to states & its relation with the environmental services provided by the state ▪ Leasing forest land to industries
	Climate change and carbon trading	▪ Institutional arrangements for an international trading scheme of pollution rights ▪ Community involvement in carbon trading
	Globalisation and its implications for forestry	▪ Socially/ environmentally responsible codes of practices – certification, professional ethics, accreditation ,etc. ▪ Import and Export of forest products ▪ Benchmarking of management practices such as certification for the forest management

Tentative List of Stakeholders

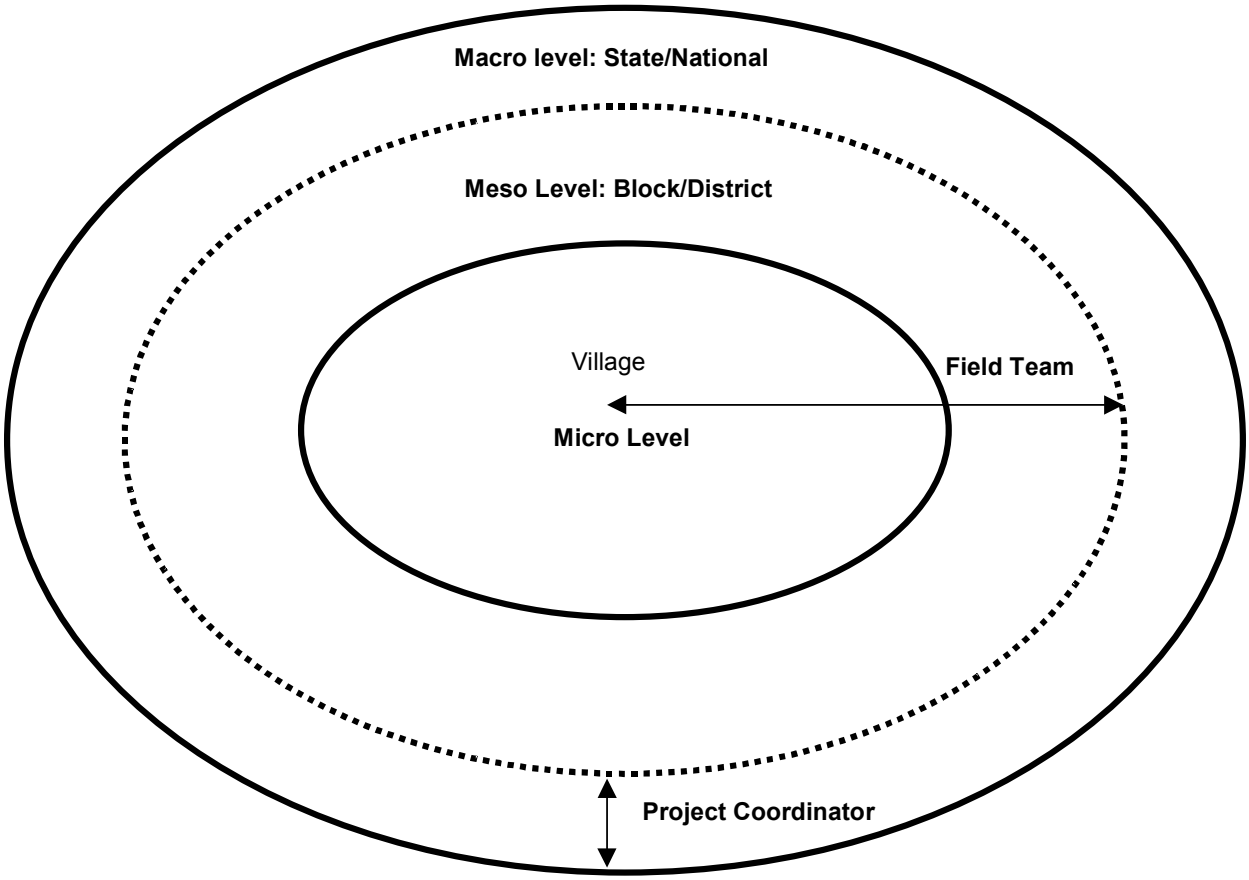
Stakeholders were classified at 4 levels: village (micro), state, non-state & market

Level	Description
'Village'/micro Field team	Village peoples, distinguished by - socio-economic characteristics (tribe, caste, gender etc.) - age (eg children) - forest use Transhumant & nomadic population Traditional leadership Traditional forums for group activity Traditional healers (*vaid*) Litigants Groups - - Forest committees (VFCs/FPCs) - Self-help groups in villages - other informal groups eg youth clubs, Mahila Mandals etc. - Watershed committees - Co-operatives (primary & others) - Panchayati Raj Institutions - village level sub-committees of the Gram Sabhas

State Fieldteam/BV BV TERI ELDF IIFM Winrock	Forest Department officials (past and present) (production & territorial) - casual workers - front-line staff - division-level staff - state-level staff Tribal Department Rural Development Revenue Department Agriculture Department Health/Education Departments Irrigation Department Public Works Department Mining Department District Planning Committees Forest Development Agencies MP Forest Development Corporation Minor Forest Produce Federation Courts – local to Supreme Vidhan Sabha Parliament National JFM network National Forestry Commission Ministry of Environment and Forests – DG, JFM cell, NAEB, other key officials Planning Commission – forestry advisor, deputy advisor, Dr Tewari
Non-state Winrock GG Cautious till election Field team to attend rallies etc. Winrock/ELDF/TERI/BV PDG/BV	Mass Tribal Organisations Non-governmental Organisations Activists/non-governmental individuals Media Politicians – local to state-level Political parties Donors Researchers E-groups/discussion forums Other key individuals

Market TERI Field team	Large consumers Urban consumers Traders (including transporters) Money-lenders Financial institutions Forest-based industry (including sawmillers) Contractors Mining/quarrying companies Plantation companies Private forest owners Artisans Other market players

ROLE OF THE FIELD TEAM



The role of the field team would be to capture the perceptions of the stakeholders at micro and meso levels, and also collect data for contextual understanding.

Tasks/expectations

- Observation all the time – eyes and ears of the project team
- Advance planning of activities and regular reporting
- Keeping daily field notes/diaries
- Preparation of group weekly progress reports
- Data collection at primary level, especially in 24 sample villages, and with other local stakeholders
- Administration of survey schedules and other instruments in the field
- Attendance of meetings, rallies, other key events
- Communication and passing of information about key events to project co-ordinator and to Sanket
- Keeping a roster of regular committee meetings – JFMCs etc.

FIELD RESEARCH QUESTIONS

There are five main questions for the research:

1. Who are stakeholders of forests in Harda Forest Division at micro, meso and macro level?
2. What are the perceptions of the stakeholders on various issues of the participatory forest management?
3. Why do stakeholders have different perceptions? How are these perceptions shaped?
4. Can these different perceptions be reconciled, or is there latent/actual conflict?
5. What are the impacts of stakeholders' perceptions on forest management and livelihoods of forest fringe community?

SELECTION OF RESEARCH SITES

Research Sites

1. Pre determined villages

Range	Forest type	RF/PF	People	Forest Dependence	FPC No.	VFC No.	MTO Influence	Econ Status
Borpani	Mainly teak	RF	Korku					
Handiya	Mixed	95% PF	Bishnoi, Jat	Low				wealthy
Magardha	Teak & bamboo	RF	Korku					
Makrai	Mixed	100% RF	Gond					
Rahatgaon	Mainly teak	RF	Korku					
Temagaon	Mainly teak	RF	Korku					
Total					138	58		

Number of circles: 30
Number of beats: 122
Sampling criteria for village selection (total 24):

1. Proportionate sample –
- 6 non-JFM villages – 1 per range (sharing proximity, socio-economic characteristics, irrigation to at least one VFC/FPC in the same range)
- 10% of VFCs – 5.8 (6); 10% of FPCs – 13.8 (14)

Purposive sample –

1. Precondition - Age of committee – minimum 5 years

2. 'Sangathan' (MTO) villages or Forest Department villages
3. Forest village/revenue village
4. Project and non-project villages
5. Hill or plain areas
6. Reserved forest or protected forest
7. Community diversity/Social characteristics – Korku, Gond, Gwali (Golan), Jat, Bishnoi

8. Agricultural production/irrigation
9. Organizational density – existence of other committees/organizations
10. Size of the village relative to size of the available forest resource
11. Accessibility/communications
12. Tenure issues – number of *patta* holders and *thalluas*

2. Event sites

Field team is expected to study those villages/sites where important events have either taken place before commencement of study or during study period. Events that can have significant bearing on the stakeholders' perceptions on forest management are important for the study. The

events can be studied following case study method.

3. Case study

Case studies of individual that can provide understanding about 'why' and 'how' of interactions among various stakeholders. You may come across interesting cases of conflict, or conflict resolution. You should follow up these cases if they are in the predetermined villages. If you hear of interesting cases in other villages, you must speak to your Project coordinator before you study them.

Block level

Number of Blocks (3): Khirkia, Harda and Timarni

District level

RESEARCH WORK PLAN

July-September 2003:

1. Familiarization
   - Explaining why you are here?
   - Understanding physical and social setting of the research sites
   - Building information tracking system
     - Identifying key informants
     - Mode of communication
2. Planning for field work
3. Data collection and writing (Phase 1)
   - Days schedule
   - Weeks schedule
4. Review

October-December 2003

5. Data collection and writing (Phase 2)
6. Mid Review

January-March 2004:

7. Data collection and writing (Phase 3)
8. Review

April-June 2004:

9. Data collection and writing (Phase 4)
10. Final Review

End of Fieldwork

Familiarization

Each team consisting of two persons can cover two ranges (8 villages, Range and block H.Q.) during this phase. On the first few days you should meet with village leaders and authority figures, introduce yourself and your other team members who would visit in the future. Be careful, you should not be identified with the village elite, at the same time you can not ignore them as they might create problems for you.

Sample Introduction

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You should also explain the objectives of the study and collect following information during this phase:

- Dates of meeting of various village level institutions.
- Dates of visits of key government officials
- Prepare a directory of key informants
- Communication facilities
- Places where you can stay
- Physical and social setting of the research sites

Planning for field work

Data collection and writing (Phase 1)

Days schedule

6-8 AM							
							writing transcript

Weekly Schedule

Tasks	**Mon.**	**Tues.**	**Wed**	**Thurs.**	**Fri**	**Sat**	**Sun**
Data collection							
Writing transcript & dairy							
Preparation of Report for the PC							
Complete Backlog & Enjoy							

PC: Project Coordinator

Review

Data collection and writing (Phase 2)

Mid Review

Data collection and writing (Phase 3)

Review

Data collection and writing (Phase 4)

Final Review

RESEARCH PROCESS AND METHODS

The project would need to work independently at a number of different levels - with local communities, forest bureaucrats, other officials (DRDA, Panchayats) as well as with local NGOs. The attempt would be to conduct meetings (individual and group), interviews and other research which would help the project team to understand and to identify perceptions of what the key issues and problems are at each of these levels.

The main methodological issue here is for the research team to build up a relationship of trust with local stakeholders, and to attempt to elicit responses that genuinely reflect their interests and perceptions. The project would need to carefully document the process of consultation and dialogue. Having documented perceptions of each set of stakeholders, the project would try and analyse what the differences are in these perceptions, in an attempt to understand the sources of conflict.

Tentative list of methods

1. Participant Observation
   - Observation of existing forums of interaction. e.g.: group meetings, formal and informal; interaction with officials and other outsiders; election rallies; campaigns.
   - Not just who said what – deeper insight into stakeholder interactions.
   - Activity mapping.
2. Focus groups – as a means of ritualistic entry (early); as a source of substantive information (later).
3. Informal Interview
4. Case study
   - Analysis of key events – local to national.
   - Follow leads – peecha karo method.
   - Case studies of key individuals – leaders/MTOs.
5. Document analysis
   - Existing documentation/literature – including pamphlets, archives, songs, published material.
   - Official records – district archives, Vidhan Sabha, Parliament.
   - Case analysis of judicial trends.
   - Media – local to national.
   - Case studies of villages/individuals/groups/events.
6. Role playing.
7. Process documentation.
8. Photographic observation, other visual methods – drawing, maps etc.
9. PLA methods.
10. Key informants/respondents.
11. Legal questioning.
12. Informal conversations.
13. Qualitative survey instruments/schedule.
14. Socio-economic survey instrument – matrix scoring, Likert scales etc.
15. Deliberate workshops.
16. Narratives.
17. Diaries – individually maintained by field team.
18. Group diaries and weekly progress reports.
19. Insights from quantitative analysis – multiple regression, statistical ranking, factor analysis etc.

Issues relating to data sources

Politicians – election rallies/speeches
Historical analysis – divided into time slices: pre-JFM; pre-project; during project; post-project
Recall period would be a guide to respondents' behaviour (especially role of key events, benefit sharing issues)
Questionnaires re: effectiveness of workshops (uptake). Issues relating to data sources

Politicians – election rallies/speeches
Historical analysis – divided into time slices: pre-JFM; pre-project; during project; post-project
Recall period would be a guide to respondents' behaviour (especially role of key events, benefit sharing issues)
Questionnaires re: effectiveness of workshops (uptake).

Contextual data – Sanket

Variable	Details	Instruments
Basic statistics	Male and female wise population, SCs, STs, Literates, etc.	The census of 2001
	Number of households – caste wise distribution, wealth ranking, female headed households, education, health, amenities, infra–structure development, etc.	Social mapping and wealth ranking – entry point PRA
	Total geographical area, land–use pattern, distribution of landholdings, area under irrigation, sources of irrigation, cropping pattern, yields of important crops, livestock	Village assistant and District Statistical Office.
	Infrastructure in the village – markets, banks, cooperatives (credit, forest produce, etc.), schools, hospital, post office, etc.	Social mapping and discussions in the village
Relationships	Donating, loaning and exchanging materials, labor and other resources occur in many communities as a result of complex economic, social and cultural ties. Map social, economic & political relationship among various groups in the village based on interdependence, trust, solidarity. Identify families that have been excluded from these networks. Include outsiders eg MTOs. Money-lenders.	Mapping Socio-economic and political relationship
Market relations	Identify biological and other resources entering and leaving the village Identify key market actors – traders, transporters etc. Credit – moneylenders, cooperatives, other	Village market or *haat* Depot for forest products

Socio–economic changes in historical perspective	Map the socio–economic changes in historical perspective (for about 20–30 years) including: changes in irrigation, land use pattern, land values, cropping pattern, yields, labour market, wages, migration, indebtedness, etc. Developments with regard to village elite (shifts in their role, and importance in the village). Political factions in the village, and their impact on village development. Changes in life styles of the people Changes in amenities within the village Changes in relationship (for work, marketing, etc) with other neighbouring villages. Changes in natural calamities (one or two years of scarcity or drought, and how people coped with) Changes in the conditions of the poor; their livelihood, dependence on various sources of income, and changes, indebtedness, dependence on formal and formal sources of livelihood, etc. (Changes in) forest dependence	Time lines with three persons in the village
Basic data related to JFM	Type of committee (FPC/VFC), date formed, money allocated/spent under project, assets developed, employment generation, composition of committee, etc.	Focus groups etc.
Development programmes in the last 10 years i.e. after implementation of the JFM	Trace the development programmes (JFM, IRDP, DWCRA, water and sanitation, forestry, SHGs, education, etc.) covering how they began (process of initialisation and identification), implementation, impact, who benefited and who did not, whether the benefits were one–shot, enduring, non–sustainable, etc.	Focus groups interviews key informants from poor and very poor categories.
People who matter in the village	Identify the important persons in the village who command leadership, who bring benefits from outside, who are rent–seeking, etc., and find out: Who are these people (land, caste, political background) What links do they have and with which persons and institutions do they these links? What benefits, programmes did they bring to the village? Strengths and weaknesses in civic action?	Cull out information from time lines and focus groups, and through discussions and observations.
Village level Institutions	Find out the following details on Village level Institutions: Present user groups (relating to social development, forestry, education, water supply and sanitation, and also others) What were the user groups formed in the past, and what happened to them? Panchayats What are the experiences with these organisations? Present functional traditional organisations such as caste based or others What are their functions?	Focus group interviews with a cross section of the people.

Conflicts	Major issues of conflict, sources of conflict, severity of conflict, parties involved in conflict, frequency of conflict, conflict resolution mechanisms, consequences of conflict.	Conflict mapping, focus group discussions in the village

OUTLINE FOR THE PREPARATION OF CASE STUDIES

(ADAPTED FROM THE ROLE OF ALTERNATIVE CONFLICT MANAGEMENT IN COMMUNITY FORESTRY, 1994, CHRISTINE PENDZICH AND ET AL., FAO)

General question that you are trying to address:

- What kinds of conflicts occur in the process of Natural resources management (water, forest, land and environment)?
- Can the observed conflicts be classified?
- What are reasons for the conflicts?
- What are extent, frequency and severity of the conflicts?
- What processes and mechanisms have been used to address the conflicts?
- Which processes have worked? Which have not? Why they have worked or not worked?

I. BACKGROUND/ INTRODUCTION

A. General information on the developmental initiative being described
- **1.** Introductory paragraph
- **2.** objectives of the study
- **3.** Location and brief history
- **4.** Short description of available natural resources
- **5.** Nature of community involvement such as cooperatives, traditional indigenous community management, extractive reserve, etc., in managing the natural resources
- **6.** Socio-cultural including political environment of the problem

II. THE CONFLICT

A. What are the NRM-related conflicts observed in the study area? To what extent they are associated with the policy environment and of general nature? How did it relate to the larger context of NRM?

B. What were or are the issues at stake?

C. Who was affected by the issues? How did they get involved? Could some of the parties be described as "primary" stakeholders – i.e., those directly involved – while others are "secondary" parties, involved more indirectly?

D. Were the issues stated differently by the different groups involved in the situation?

E. What was the underlying needs and concerns of each of the major groups? (Stakeholder analysis – provide examples.)

F. What were or are the relationship among various stakeholders?

G. How different stakeholders were or are benefiting from the existing situation?

III. ATTEMPTS AT DISPUTE RESOLUTION

A. What traditional means of resolving the disputes were available? Were they used? Why or why not?

B. Was their any attempt to resolve the dispute (open door/ close door)?

C. What public (as opposed to "behind closed door") efforts have been made to address the problem? These may include:

1. Meetings for information exchange or confidence building between some or all of the parties involved.
2. Direct negotiation between some or all of the parties involved.
3. Mediation between the parties by someone not directly involved, such as an advisor from an NGO, a trusted government official or a neutral member of the community.
4. Setting up an advisory council to address problems as they arise.
5. Fact-finding by someone who could communicate with all sides.

D. Who initiated the dispute resolution effort? What was their relation to the other parties in the dispute or problem? What was their motivation to resolve the dispute? Why were their efforts accepted or rejected?

E. How was the process started? Was a meeting of the parties called? Did the convening group or mediator talk to the various sides on by one?

F. What were the general features of the process? How long did it last? How many meetings were held? Which stakeholders attended which meetings? How formal or informal were the meetings?

G. Why were the parties willing to enter into a dispute resolution process at that time? Did one of the parties change its position, thereby making the others willing to negotiate? Or did the costs of continuing without a resolution of the conflict become very high? Did a trusted intermediary or advisor play a role by suggesting a credible negotiation process? Another reason?

H. What happened at the first meeting or other type of session organized to formally begin addressing the conflict among various sides? What issues were discussed?

I. What have been some of the subsequent dynamics of the process? Examples of the type of thing that sometimes happens include:

- New issues emerge or old ones are "reframed";
- Groups form alliances among themselves or with powerful outside actors;
- One group or individual emerges as a leader;
- Partial agreements are reached, but failure by some sides to comply with the accord creates distrust on other issues;

J. What solutions have been proposed? Who proposed them? How were these ideas received by the other parties involved?

K. Did the meetings continue smoothly or did they sometimes break off? What got them going again?

IV. RESULTS/OUTCOMES

A. Was any agreement reached?

B. Does the agreement cover all the major issues at stake or only some? If only some, which ones?

C. What form did the agreement take? Was it written? Verbal? A plan? In either case, what does it cover?

D. Did the agreement clearly outline steps for carrying it our (implementation)?

E. Have the parties complied with the agreement so far? If not, why not?

F. What has happened to relations between the parties after one side violated the agreement?

V. LESSONS/ CONCLUSIONS

Based on the experience described in the case study, what recommendations would you make for future efforts at resolving similar disputes?

Analytical methods – some steps in Content Analysis

General steps in content analysis (of texts, transcripts of interviews, speeches, articles, other documentary sources, archival material etc.)

1. Decide the level of analysis.
2. Decide how many themes to code for.
3. Decide whether to code for existence or frequency of a theme.
4. Decide on how you will distinguish among theme.
5. Develop rules for coding your 'data'.
6. Decide what to do with 'irrelevant' information.
7. Code the data.
8. Analyse your results.

GLOSSARY OF KEY WORDS & DICTIONARY MEANINGS

DICTIONARY MEANING OF 'PERCEPTION'

Merriam-Webster's
Function: noun
Etymology: Latin perception-, perceptio act of perceiving, from percipere
Date: 14th century
1 a: a result of perceiving: OBSERVATION b: a mental image: CONCEPT
2 obsolete : CONSCIOUSNESS
3 a : awareness of the elements of environment through physical sensation <color perception> b : physical sensation interpreted in the light of experience
4 a : quick, acute, and intuitive cognition : APPRECIATION b : a capacity for comprehension

Encyclopædia Britannica
in humans , the process whereby sensory stimulation is translated into organized experience. That experience, or percept, is the joint product of the stimulation and of the process itself. Relations found between various types of stimulation (e.g., light waves and sound waves) and their associated percepts suggest inferences that can be made about the properties…

http://www.selfknowledge.com/70236.htm
1. The act of perceiving; cognizance by the senses or intellect; apperhension by the bodily organs, or by the mind, of what is presented to them; discernment; apperhension; cognition.
2. (*Metaph.*) The faculty of perceiving; the faculty, or peculiar part, of man's constitution by which he has knowledge through the medium or instrumentality of the bodily organs; the act of apperhending material objects or qualities through the senses; -- distinguished from *conception*. *Sir W. Hamilton.* "Matter hath no life nor **perception**, and is not conscious of its own existence." *Bentley.*
3. The quality, state, or capability, of being affected by something external; sensation; sensibility. [*Obs.*] "This experiment discovereth **perception** in plants." *Bacon.*
4. An idea; a notion. [*Obs.*] *Sir M. Hale.*
"The word *perception* is, in the language of philosophers previous to Reid, used in a very extensive signification. By Descartes, Malebranche, Locke, Leibnitz, and others, it is employed in a sense almost as unexclusive as *consciousness*, in its widest signification. By Reid this word was limited to our faculty acquisitive of knowledge, and to that branch of this faculty whereby, through the senses, we obtain a knowledge of the external world. But his limitation did not stop here. In the act of external perception he distinguished two elements, to which he gave the names of *perception* and *sensation*. He ought perhaps to have called these *perception proper* and *sensation proper*, when employed in his special meaning." *Sir W. Hamilton.*

SOCIAL CONFLICT

(extracted from Encyclopaedia of the Social Sciences)
Social conflict results form the conscious pursuit of exclusive values. In the widest sense of the word conflict is conscious competition, and competitors become self-conscious rivals, opponents or enemies. The individual members of society are always widening or narrowing the sum of their claims on society for life, liberty of movement, property and deference. Conflict may involve the defense of what one already has or the acquisition of what one has not; and acquisition may mean the taking away of that which pertains to another or the appropriation of that which another would like to have. The defensive, destructive and obstructive aspects of conflict become entangled with one another in every crisis. Exclusive values may be pursued by means which vary from physical violence to persuasion, thus including the whole armory of instrumentalities for social control.

It maybe considered a truism that social conflict is a mode of registering and often a mode of consummating, social change. However, that a particular conflict will produce a relatively abiding

solution is no foregone conclusion; thus it is often said that issues are never decided, they are only superseded. The zones of conflict at a given phase of culture are circumscribed by geographical position and by the incidence of social change within the institutional structure. Not only the parties but also the modes of conflict are prearranged by the conventions of the group.

From conflict one progresses to the "philosophy of compromise". A compromise is by its very nature a crazy quilt in which everyone can identify his/her patch. In some quarters the philosophy of compromise has tended to pass over into a philosophy of integration. The solution of a conflict by such integration is a redefinition of the interests involved; the parties cannot identify their wins and losses. Such a conception suggests that perhaps no social conflict is so serious that creative intelligence may not economically resolve it. The philosophy of integration is a philosophy of hope, but its effective application depends upon its timely application.

INSTITUTIONS IN THE CONTEXT OF COMMON POOL RESOURCES[2]

There has been substantial research on institutions and institutional choice theory in understanding problems of CPRs and changes in them. The commons exist in a value-laden social context and the theory of institutions has been much used for explaining the evolution and survival of the commons.(Ostrom 1990, 1992, Wade 1988, It is in this vein that researchers have focussed on institutions as rules rather than communities[3] in discussions of community based conservation strategies (Agarwal and Gibson 1988). The rules for orderly use of the commons that different societies work out can be stunningly complex and intricately embedded in cultural systems. To one school of thought institutions, understood as rules that coordinate social relationships, help balance behaviour and solve the assurance problem. With adequate institutions, therefore cooperation becomes a rational strategy doing away with the dilemma between individual and collective rationality (Runge, 1984). A more radical critique of the tragedy of the commons treats commons institutions, community, the individual person and culture as inter-penetrated items, where the users/right holders are not only embedded in specific historical sets of political and economic structures but also in cultural systems of meanings, symbols and values (Peters 1993, Klooster 2000).

Recent work in institutional choice theory calls for a behavioural approach where social boundaries are introduced in individual rationality, especially norms of reciprocity, levels of trust and reputation. Thus institutions shape human behaviour through their impact on incentives – incentives include material inducements, prestige, power, pride in workmanship, service for others, satisfaction in social relationships, conformity to habitual practices and attitudes and a feeling of participation Ostrom 1992). Further, management regimes for CPRs evolve or erode among resource –use influences and power relations embedded in local, regional, national and international scales (Chapman 1989, McCay 1992). CPR theorists call for increased attention to the relationship between management regimes for CPRs and structures outside of it such as markets and the multiple implications of commodification (McKean1997).[4]

[2] Common pool resources (cprs) are defined as resources with varying degrees of access on which multiple and often overlapping property rights and regulatory regimes exist. The de-facto access may be limited to some groups and legitimised either by law or convention, customary rights or traditional practices. Such rights of access include those defined on different categories of government forests.

[3] Singleton and Taylor (1992) clarify that community is not necessarily a group of people who are close to one and another. They are a set of people (1) with some shared beliefs, including normative beliefs and preferences , beyond those constitutinog theor collective action; (2) with a more or less stable set of members; who expect to continue interacting with one and another for some time to come; whose relations are direct and multiplex.

[4] For instance, this maybe reflected in the distribution of community benefits form forest production across stakeholders.

ANNEX A: RESEARCH TOPICS, DATA CODES & FIELD GUIDES

A1: CONTEXTUAL DATA TOPICS & CODES

1. Socio-Economic Factors
    a. *Inequality*
    b. *Unemployment*
    c. *Socio-Economic Mobility*
    d. *Occupations*
    e. *Education*
    f. *Seasonality*
    g. *Commitment and long term interests*

2. Social Composition
    a. *Ethnic composition*
    b. *Main group Identities*
    c. *Construction of Group Identities*
    d. *Social Cohesion*

3. Village level formal Institutions
    a. *Trust in Problem Solving by FPC*
    b. *Trust in Problem Solving by* PRI
    c. *Participation in Decision-Making*
    d. *Knowledge of FPC/PRI decisions and processes and access to information*
    e. *Predictability of Decision-Making*
    f. *Accountability and Representation*
    g. *Leadership*
    h. *Supportive role of officials*

5. Traditional Organizations
    a. *Role of* Traditional *Organizations*
    b. *Trust in Problem Solving*
    c. *Inter-group participation*
    d. *Tensions*
    e. *Leadership*

6. Crime/Vigilantism

7. Population flows
    a. *Displacement/Migration*
    b. *Age composition of the population*

8. Other Conflict Resolution Mechanisms

9. Types of Conflict

a. Characteristics

b. Causes

c. Consequences

d. Actors and Location

Socio-cultural factors

continued....

A2: GENERAL DATA FIELD QUESTION GUIDE

1. Economic Factors

a. Inequality

- What proportion of households are poor in this? (i) By asset ownership – land ownership status; livestock ownership; (ii) By consumption expenditure - BPL
- Who is rich in this village?; who is poor? (differentiate by occupation, age, ethnicity)
- Has this situation changed over the last four years? Who has gained? Who has lost?
- Why are some people rich and others poor?
- What is the average monthly income of the top 20% and the bottom 20%?

b. Employment/Unemployment

- Is unemployment a problem in this? What proportion of people are unemployed?
- Of those who are unemployed, what were their previous jobs? What gender are they? What age are they?
- Has unemployment gone up or down in the last four years?
- What have been the interventions in alternative employment opportunities apart from agriculture (bee keeping, handloom, seri culture)?
- How sustained have these been?
- What about interventions to support traditional medicine?
- What other developmental interventions have taken place – for instance roads? How has this immpacted on employment and earnings (including migration outside the area), if at all?

c. Socio-Economic Mobility and Illegal Activities

- What are the prospects for the poorest households in this to improve their economic position? Has this changed over the last four years?
- What are the prospects for the poorest households in this to access education? Has this changed over the last four years?
- If the poorest households feel they are unable to improve their economic or education position, why? If the poorest households feel able to improve their economic/educational position, why?
- To what extent do people in this gain income from illegal activities? What illegal activities?
- Why do people engage in illegal activities to make money in this?

d. Occupations (each question in this section should be by gender)

- What are the main occupations in the village?
- What proportions are employed in these different occupations – for both primary and secondary occupations?
- Has this changed over the last four years?
- Have there been significant changes in occupational structure over the four phases?

e. Education (each question in this section should be by gender)

- How many children go to / finish school?
- What is the highest level of education that most people get? Has this changed?
- What is the percentage of adult literacy?
- Have each of these changed over the four phases?

f. Seasonality – dependence on forests

A time calendar/diary for capturing

- Seasonal (Months) dependence
- Average household person-days in participatory forest management activity

g. Commitment and long term interests

- Extent of variation in degree of commitment of the households to protect the public resource and variation?
- Willingness to sacrifice personal gain for greater community benefit

2. Social Composition

A. ETHNIC COMPOSITION

- WHAT IS THE ETHNIC MAKE-UP OF THIS VILLAGE?
- HOW HAS THIS CHANGED OVER THE PAST FOUR YEARS/IN RECENT YEARS?

B. ***MAIN GROUP IDENTITIES***

- What groups do people define themselves as part of?
- Which are the most important group identities? (*e.g.* Clan, ethnic group, religion, class/employment type, origin).
- Is there a self help group for women?
- Are there any community relations groups/initiatives?
- To what extent do these group identities overlap?
- To what extent have these group identities changed over the last 10-12 years/recent years?

c. Construction of Group Identities

- What is the size of each group?
- Who can be a member of each group?
- To what extent do groups face disputes with groups of similar types?
- How serious are these disputes? Do these disputes ever become violent and why?

d. Social Cohesion

- What is the degree of presence or absence of heirarchy in a) village level institutions/organisations b) common cultural/social activities organised in the village?
- What is the extent of flexibility in participating or refraining from participation in either (a) or (b) above?
- Is there a sense of injustice and lack of legitimacy among any particular groups? If so, what are these?
- Who are perceived to be the forestry elite?
- What are the forms of domination used by the elite? (Possible forms of domination by elite – intimidation, manipulating elections, dodging oversights, discouraging participation in community assemblies.

- What are the tools used in achieving this? (threats, bribes, violence, manipulation of reciprocal obligations)

3. Village level formal Institutions

a. Trust in Problem Solving by FPC

- Participation in meetings
- Benefits received

***b. Trust in Problem Solving by* PRI**

c. Participation in decision making

- Degree of consensus in decision-making?
- Say in electing leaders

d. Knowledge of FPC/PRI decisions and processes and access to information

- Resource sharing
- Financial matters
- Capacity building for local involvement in FPC

e. Predictability of Decision-Making

f. Accountability and Representation

Accountability and transparency of local institutions in

- Managing funds
- Making decisions
- Accounting for expenditures

g. Leadership

- Strength of local leadership
- Rotation and flexibility in leadership
- Whether active role of women in leadership
- Changes in leadership capacity over the four phases

h. Supportive role of officials

- Perceptions and recounting of facilitative role of officials

continued...

A3: CASE DATA TOPICS, CODES & FIELD QUESTION GUIDE

1. Background to the dispute/conflict

- When did the conflict occur (date, time)?
- How long has it lasted/did it last?
- Where did the conflict take place?
- Who was involved?
- Was it an individual or group-based conflict?
- How many people were involved and which groups?

2. Causes (tensions & triggers)

- What were the underlying tensions that led to the conflict?
- What were the trigger events that led to the conflict/that escalated the conflict?
- Why did the conflict take place?

3. What happened? (history)

- What was the chronology of events – the sequential evolution of the conflict?
- At what points did it escalate? Why?
- At what points did it dissipate? Why?
- What is the current status of the conflict?

4. Impact and effect of the dispute/conflict

- How may people were injured/died in the conflict?
- Who were they?
- How did they get injured/die?
- Where did they get injured/die?
- Was there any property destruction?
- If so, who did it and what was destroyed?
- If so, why did they destroy property?
- If so, whose property was destroyed? And why were they targeted?
- What were the indirect impacts of the conflict?
- Has the conflict changed relations between individuals/groups?
- If so, in what ways?
- Have there been any behavioral changes since the conflict?
- If so, what changes and by whom?
- Have there been any economic impacts from the conflict?
- If so, what are they and who is affected?
- To what extent did it challenge the distribution of power across the involved parties or across stakeholders?

5. Mediation/Intervention

- Were they any attempts at intervention?
- If so, by whom?

- What happened?
- What was the effect: positive, negative or did it make no difference?
- Why was there that effect?
- Did formal state institutions/authorities get involved?
- If so, which ones and in what ways?
- If not, why not?
- Did informal organizations/authority figures get involved?
- If so, which ones and what ways?
- If not, why not?

6. Outcome of mediation/intervention

- Was the conflict resolved?
- If so, what does this mean?
- If not, what are the prospects for resolution?

7. History of previous experience

- Repeat above line of questioning with respect to earlier episodes of conflict.

ANNEX B: INTERVIEW DATA RECORDING FORMATS

B1: STANDARD DATA FORMAT

CODE NO:

RESEARCHERS PRESENT:

Interviewer(s):

Note-taker(s):

Date:

Time:

Length (hours, minutes):

Where held: Village:
Range:
Location/Place:

People present:

Respondent-Gender/Age:

Age		Number	Age		Number
< 15	M F		41-50	M F	
15-21	M F		51-60	M F	
22-30	M F		> 61	M F	
31-40	M F				

Organization (if applicable):

Position held:

Ethnicity:

Religion:

Place of birth:

Time lived in present location:

Context
<write notes here on (a) atmosphere, (b) any problems during the interview, (c) non-verbal signals from respondent>

B2: STANDARD FGD DATA FORMAT

Code No: Where held: Village:

Researchers present: Range:

Interviewer(s): Location/Place:

Note-taker(s):

Date:

Time:

Length (hours, minutes):

FGD participants:

No.	Name	Age	Education	Occupation	Caste
1					
2					
3					
4					
5					
6					
7					
8					

Notes:
Include here comments on (a) atmosphere, (b) any problems during discussion, (c) non-verbal signals from respondents
Please carry onto separate sheet if necessary.

B3: STANDARD PARTICIPANT OBSERVATION FORMAT

Code No: Where held: Village:

Researchers present: Range:

Note-taker(s): Location/Place:

Date:

Time:

Length (hours, minutes):

Name of the organisation: FPC/VFC/Watershed Committee/SHG/Panchayat

Or

Informal meeting: briefly describe the context of informal meeting

Or

Meeting between government officials/NGO: Name Rank:

Organisation's name:

Meeting participants: Provide details on number, age, gender and caste or class characteristics

Notes:
Include here comments on (a) atmosphere, (b) any problems during discussion, (c) non-verbal signals from respondents
Please carry onto separate sheet if necessary.

B4: STANDARD INTERVIEW TRANSCRIPT RECORDING FORMAT

<data code goes here>	<transcript data goes here>

B5: FOCUS GROUP DISCUSSION/PARTICIPANT OBSERVATION TRANSCRIPT RECORDING FORMAT

<data code <respondent> goes here>	**<transcript goes here>**

B6: CASE STUDY RECORDING FORMAT

Date:

Coding #:
location:
Interviewee:

Instructions:

- Summarize the key aspects of any story/case an interviewee tells you on this sheet
- Each sheet should only record the story of interview. You will not combine the stories from several different interviews (that is, from all respondents) to create a full case until later.
- As much as possible, use the respondents' own words.
- If there is more than one respondent in the interview, note which respondent provided the information
- Mark where it is the respondent's own words (or a translated version) in quotation marks.
- Very important: Do not do the analysis yourself at this point.
- Record exactly what the informant says here, not what you think.
- Put other parts of the interview not related to the story on the separate format sheet.
- Use your diary/analysis sheets for your own analysis.
- You do not need to fill in the whole sheet.

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1. Background to the dispute/conflict

2. Causes (tensions & triggers)

3.What happened? (history)

4. Impact and effect of the dispute/conflict

5. Mediation/Intervention

6. Outcome of mediation/intervention