

# A.I.D. EVALUATION SUMMARY PART I

(BEFORE FILLING OUT THIS FORM, READ THE ATTACHED INSTRUCTIONS)

IDENTIFICATION DATA

<b>A. REPORTING A.I.D. UNIT:</b> <u>S &amp; T / RD</u> (Mission or AID/W Office)  (ES# )	<b>B. WAS EVALUATION SCHEDULED IN CURRENT FY ANNUAL EVALUATION PLAN?</b> yes <input type="checkbox"/> slipped <input type="checkbox"/> ad hoc <input type="checkbox"/> Eval. Plan Submission Date: FY <u>  0  </u>	<b>C. EVALUATION TIMING</b> Interim <input type="checkbox"/> final <input type="checkbox"/> ex post <input type="checkbox"/> other <input type="checkbox"/> <div style="font-size: 2em; text-align: right; margin-top: 10px;">PD-AX-618</div>			
<b>D. ACTIVITY OR ACTIVITIES EVALUATED</b> (List the following information for project(s) or program(s) evaluated; If not applicable, list title and date of the evaluation report)					
Project #	Project/Program Title (or title & date of evaluation report)	Firm: PROAG or equivalent (FY)	Most recent PACD (mo/yr)	Planned LOP Cost (000)	Amount Obligated to Date (000)
936-5301	Research on Access to Land Water, and Natural Resources	1979	7-89	\$6,150	\$5,620

ACTIONS

E. ACTION DECISIONS APPROVED BY MISSION OR AID/W OFFICE DIRECTOR	Name of officer responsible for Action	Date Action to be Completed
Action(s) Required 1. <u>For current workplan period:</u> A. Increase dissemination efforts by reallocating existing funds to hire technical editor, making use of CDIE/DIU dissemination channels, and exploring other dissemination methods.	Completed	7/87
2. <u>For remainder of Project:</u> A. Structure future buy-ins to include funding for dissemination and for some scholarly-quality analysis and write-up. B. Initiate and monitor cooperator compliance with evaluation recommendations regarding the following: increasing published output; review process for student research proposals; cost-sharing analysis; LTC participation on committees of non-LTC researchers; increasing involvement of University of Wisconsin staff in LTC research; increasing visibility of PhD research program; greater use of LTC Advisory and Executive committees; and documenting LTC library costs.	Project Officer  p.o.	on-going  on-going
C. Collaborate with regional bureaus to increase awareness of AID staff regarding importance and nature of land tenure issues.	p.o.	on-going
3. <u>For follow-on project:</u> A. Prepare Concept Paper reflecting evaluation recommendation for longer-term, continued research on land and resource tenure.	completed	7/87
B. Prepare Action Memo for SAA/ST which condenses concept paper and requests approval for project design.	completed	8/87 - 2/88
C. Draft finalize PP with quantified logframe per evaluation.	completed/p.o.	7/87 - 4/88
D. Complete new program description and cooperative agreement.	p.o. (Attach extra sheet if necessary)	4/88-7/88

APPROVALS

F. DATE OF MISSION OR AID/W OFFICE REVIEW OF EVALUATION: mo 8 day 27 yr 87

G. APPROVALS OF EVALUATION SUMMARY AND ACTION DECISIONS:

Signature Typed Name	Project/Program Officer	Representative of Borrower/Grantee	Evaluation Officer	Mission or AID/W Office Director
Date: <u>3/9/88</u>	Michael Yates	Virginia Lambert	John Grayzel	Eric Chetwynd (Acting)

H. EVALUATION ABSTRACT (do not exceed the space provided)

ABSTRACT

An evaluation of the amended ACCESS project (covering the period since 1984) was conducted by four AID/W staff and one USDA employee. The evaluation involved review of project documents and research outputs, interviews of key project staff, and cable correspondence with fourteen field missions sponsoring project activities.

The project is on track with a positive impact, solid research, and useful services to USAID's. The common theme approach and ST/RD's collegial and intensive project management have contributed to project success to date.

Three problems are:

- o Inadequate AID resources and cooperator personnel policies to permit more basic research
- o Inadequate collaboration with host country institutions in Africa to match the very solid collaboration found in the project's Latin America work
- o Inadequate dissemination of findings

Additional resources (from USAID buy-ins and other non-ST sources including the cooperator itself) need to be found to increase dissemination, host country research collaboration in Africa, and basic research. At the same time, existing resources need to be reallocated at the margin to promote these changes.

ST, Regional Bureaus, and the cooperator should educate AID and cooperator personnel on the research conducted under ACCESS, on the Land Tenure Center's record as a center of excellence, and on the growing importance of land tenure issues on development projects. Continued land tenure research, stressing continuity with existing common research themes under the project is needed beyond the LOP.

I. EVALUATION COSTS

1. Evaluation Team

Name	Affiliation	Contract Number OR TDY Person Days	Contract Cost OR TDY Cost (US\$)	Source of Funds
Keith Sherper	AFR/TR	8 p-d	\$600	AFR OE
Joan Atherton	PPC/PDPR	25 p-d	\$600	PPC and ST/RD OE
Curt Reintsma	AFR/TR/AAD/USDA	15 p-d	\$600	AFR RSSA
Tom King	LAC/DR/RD	15 p-d	\$600	LAC OE
George Gardner	USDA/ERS/IED	4 p-d	\$2,000	ST/AGR RSSA

2. Mission/Office Professional Staff Person-Days (estimate) 20 p-d

3. Borrower/Grantee Professional Staff Person-Days (estimate) 15 p-d

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# A.I.D. EVALUATION SUMMARY PART II

## J. SUMMARY OF EVALUATION FINDINGS, CONCLUSIONS AND RECOMMENDATIONS (Try not to exceed the 3 pages provided)

Address the following items:

- Purpose of activity(ies) evaluated
- Purpose of evaluation and Methodology used
- Findings and conclusions (relate to questions)
- Principal recommendations
- Lessons learned

Mission or Office: ST/RD

Date this summary prepared: 1-11-88

Title and Date of Full Evaluation Report: Mid-Term Evaluation of the Access to Land, Water, and Natural Resources Project Paper (936-5302 Amendment)

### EXECUTIVE SUMMARY

This report is the result of the midterm evaluation of the Bureau for Science and Technology's (S&T's) Research on Access to Land, Water and Natural Resources Project Paper Amendment, dated February 1984. The purpose of the project is to assist USAIDs and LDC governments to address land tenure constraints to efficient and equitable use of land, water, and other natural resources. The project is implemented through a Cooperative Agreement (CA) and a Cost Reimbursable Ordering Type Agreement (COTA) with the University of Wisconsin Land Tenure Center (LTC).

The evaluation team was comprised of four A.I.D./Washington officers and an outside evaluator from the U.S. Department of Agriculture. The latter's scope of work was specifically related to an assessment of research quality. The team reviewed documents in Washington and made a one week site visit to the Land Tenure Center at the University of Wisconsin/Madison, during which a number of interviews were conducted and more documents were reviewed. Field mission views were solicited via cable. The team met several times on its return to Washington to discuss findings and recommendations.

There were three different documents that provided evaluation criteria for the team. The first was a report prepared in 1982 by John D. Montgomery, John P. Powelson, G. Edward Schuh, et al. This was a qualitative evaluation of the work of the Land Tenure Center, with some specific recommendations for deepening the quality of the research work and broadening the community of involved scholars by, among other things, the creation of an external advisory board. The second set of evaluation criteria derived from the Project Paper Amendment, and included the establishment of 10 long-term research themes, as well as emphasis on research dissemination, networking and training. The third set of evaluation criteria derived from a memorandum from the Assistant Administrator of the Bureau for Latin America and the Caribbean (AA/LAC) to the Acting A.I.D. Administrator (A/A.I.D.), dealing primarily with management oversight under the current CA.

The evaluation team has concluded that the project is making satisfactory progress toward the outputs identified in the 1984 amendment to the Research on Access to Land, Water and Natural Resources Project Paper. The project is on track. Although impact is difficult to measure at the midpoint of the amendment's life, there are nonetheless already several indications of positive impact. In general, the team endorsed continued support to the examination of issues of land, water and natural resource access through the

SUMMARY

Wisconsin Land Tenure Center. The long-term, institution building course adopted by A.I.D. in this instance has yielded substantial dividends after twenty-five years in establishing a center of excellence on which A.I.D., host countries, other donors and the scholarly community can now draw. In fact, the project is so dependent upon the institution for its success that the team in its evaluation dwelt more heavily than would otherwise have been the case on the Center itself.

The team made recommendations on five major points. These recommendations apply both to the remainder of the life of the current project and for any follow-on activity. These include the following:

### 1. Conceptualization of the Research Agenda

- A.I.D. should continue to ensure that regional bureaus participate directly in the management of the LTC cooperative agreement.
- The common theme approach should be continued, with periodic review of the individual themes and activities within themes.
- The LTC should actively seek to increase host country involvement in its research activities in Africa, through;
  - o insistence upon counterpart level involvement in the research by individuals from host country institutions;
  - o reducing the time lag between data collection and data entry, so that at least preliminary data analysis can be done in-country;
  - o producing working papers while the research is underway, to allow host country and A.I.D. officials to increase their involvement in the research process and their interest in the results;
  - o whenever practical, using individuals from the host country as principal field investigators.

### 2. Research and Consulting Quality

The evaluation team found that there is little incentive for researchers to focus on basic research in the present LTC institutional environment. As the creation of new knowledge must be continuous in order for A.I.D. to realize the full return on its investment, the inability of researchers to concentrate more on generating theoretical knowledge represents a cost to A.I.D. and others who depend on this information.

- The evaluation team therefore recommends that options be considered to address this problem, including building in resources into each mission buy-in for additional analysis time, allowing time within the core budget to carry out more second-level analysis, closer supervision of graduate students placed by the LTC in the field, and tenuring more of the LTC research staff.

### 3. Raising the LTC Profile

The Land Tenure Center has evolved and matured in a generally competent manner. However, the team found that the University of Wisconsin community, and others beyond (including the land-grant colleges, A.I.D. and other donors) were not adequately familiar with the Center's work and objectives.

The Center has deliberately kept a low profile in recent years, but the team feels that new familiarization efforts are now called for. The high level external Advisory Board (created after a recommendation from the first project evaluation in December 1982) could be called upon to help raise the LTC profile through its contacts with other donor agencies and international institutions. Other specific means to raise the profile include devoting more time to publishing books and articles in scholarly outlets, inviting additional representation on the Center's Executive Committee, developing "speakers' kits" for the Advisory Committee, and working through the S&T and regional bureau project managers to make the Center and its work more widely known.

— With this objective in mind, the team recommends that the services of a technical editor be made available to researchers to facilitate publishing of research manuscripts in appropriate scholarly publications, and A.I.D. and UW should seek sources of funding for this activity.

#### 4. Shifting the Balance to Dissemination

— The balance in the latter years of the CA should be tilted slightly differently than in the early years - away from new research and in favor of information dissemination.

This may mean foregoing some short-term research opportunities with regional bureau funding in order to devote those funds to knowledge dissemination. This is consistent with both raising the LTC's profile and having attained the midpoint of the project amendment life cycle.

#### 5. Resource Constraints and Opportunities

Future funding, as it relates to the maintenance of a coherent, focused research program for the Land Tenure Center is likely to continue to be problematic. However, since overall benefits of LTC activities accrue to both S&T and regional programs, A.I.D. assistance for core requirements should not be limited to contributions of one or the other. A precedent has been set within the current CA period by both the LAC and Africa Bureaus for core support. In addition, foundations, international organizations and others who benefit from LTC activities need to be approached for possible financial assistance.

-- The evaluation team therefore recommends that sources of funding to ensure continuation of the basic core activities of the Center itself be actively sought by both the LTC and A.I.D.

Finally, the review by the evaluation team identified some important lessons learned. Among them, it is important to highlight that;

-- the common themes framework adopted by the project shows much promise as a sound and effective way to orient and synthesize research experiences across different regions and countries, and this model could be considered for similar centrally funded projects.

- the close project collaboration with the AFR and LAC bureaus in the planning and management of Project activities, including the development of the common themes research framework, has played a key role in the responsiveness and successful outcome of project activities.

This collaboration could usefully serve as a model for other centrally funded projects, and should be continued and explored even further by A.I.D. and the LTC in the future.

- the LTC is a unique national and international resource, in view of its impact on LDC national land policies and programs, its role in training decision makers and its extensive network of LDC scholars and collaborators. A.I.D. played a vital role in founding and, above all, sustaining support to the LTC in the long-term institution-building effort required. A.I.D. should reaffirm this support and increase funding in consonance with the detailed recommendations made in the report. However, it is apparent that more diversified funding sources should be actively sought to maintain support and to strengthen the LTC.

SUMMARY (continued)

K. ATTACHMENTS (List attachments submitted with this Evaluation Summary; always attach copy of full evaluation report, even if one was submitted earlier)

1. Final evaluation report
2. FY 88 work plan

ATTACHMENTS

L. COMMENTS BY MISSION, AID/W OFFICE AND BORROWER/GRANTEE

ST/RD fully concurs in the findings and recommendations of the evaluation.'

The cooperator, the Land Tenure Center of the University of Wisconsin, provided extensive comments on the evaluation which are summarized below:

LTC found the evaluation quite useful, corrected some errors of detail, and concurred in most of the evaluation recommendations, as follows:

- o LTC concurs in the utility of the common theme approach, the importance of the various themes now being researched, and the need to continue research on these themes into the future.
- o LTC concurs in the utility of the workplan.
- o LTC concurs in the desirability of making greater use of the Executive Committee and the Advisory Board, and has made plans to increase their use.
- o LTC concurs in the need to systematically review graduate student research proposals, and has begun to do so more systematically.
- o LTC concurs in the need to continue and expand the participation of UW and non-UW people not associated with LTC in the research program.
- o LTC concurs in the need for greater dissemination of resources, and the need for a technical editor to achieve this.' Existing resources have already been reallocated to permit hiring a technical editor for Fall 1987 term.
- o LTC concurs in the need to have greater host country collaboration in research conducted in Africa, and has begun to explore how to achieve this.
- o LTC fully concurs in the need for more basic research and more in-depth analysis of existing data, but LTC points out the real institutional constraints it faces, at the existing level of financial resources, in providing incentives for LTC staff to conduct such research.

LTC points out that many of the evaluation recommendations, in particular the last four, cannot be fully implemented at the existing level of financial resources.' LTC is currently managing a 300% greater level of activity than at the inception of the current cooperative agreement, but with less core support staff and funding than it had at the time. Managing this expanded level of activity has been possible only due to computerization of LTC, a process now completed and where all major efficiencies have now been exhausted. LTC's resources are now both diversified and much more earmarked and less flexible than previously. While implementing the last four recommendations can begin in a modest way at existing resource levels, to comply with the full spirit of the evaluation's recommendations in these areas will require more financial support, with greater flexibility, than is now the case.

MISSION COMMENTS ON FULL REPORT