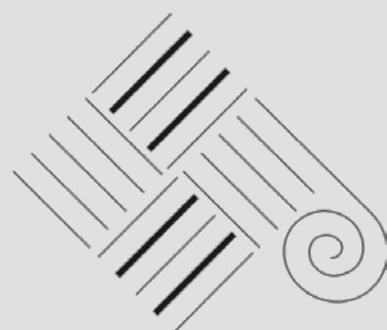




USAID
FROM THE AMERICAN PEOPLE

LAND TENURE AND PROPERTY RIGHTS (LTPR)

IMPACT ASSESSMENT TOOL



FEBRUARY 2012

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PREFACE

“Property rights” refers to the rights that individuals, communities, families, firms, and other corporate/community structures hold in land, pastures, water, forests, minerals, and fisheries. Property rights range from private or semi-private to leasehold, community, group, shareholder, or other types of corporate rights.

The lack of secure and negotiable property rights is one of the most critical limiting factors to achieving economic growth and democratic governance throughout the developing world. Insecure or weak property rights have negative impacts on:

- Economic empowerment of the poor, especially women and other vulnerable groups;
- Governance and the rule of law;
- Biodiversity and sustainable resource use, including parks and park land, mineral resources, and forestry and water resources;
- Economic investment and growth; and
- Social stability.

At the same time, robust and secure rights contribute to economic empowerment; growth; good governance; peaceful societies; and sustainable use of land, forests, water, and other natural resources. USAID is making a strategic commitment to developing a more robust policy for addressing property rights reform in countries where it operates. There is a continuing need to understand and communicate 1) how property rights issues change as economies move through various stages of economic development, democratization, and in some cases from war to peace; and 2) how these changes require different property rights reform strategies to foster sustainable economic growth, sound resource use, and political stability.

As land is a main factor for economic production in most USAID presence countries, it has been the main focus of the Property Rights and Resource Governance (PRRG) Task Order and the prior Lessons Learned: Property Rights and Natural Resources Management Task Order. The objectives of these task orders include:

1. Transfer lessons learned in property rights and natural resource management to date to USAID management, missions, and partners.
2. Develop curricula and offer courses on land tenure and property rights (LTPR) issues (including best practices for securing land and natural resource rights) for staff in USAID’s geographical regions and operating units in Washington.
3. Conduct studies on the environmental, economic, or political impacts of land and resource tenure and redistributive reforms in USAID’s geographical regions.
4. Develop and test analytical and impact assessment tools for property rights reform in support of programs developed or implemented by USAID.
5. Provide USAID missions and operating units with technical support to assess the tenure landscape; and design, support and evaluate property rights reform activities.

This report was prepared by Tetra Tech ARD on behalf of USAID, under the Property Rights and Resource Governance Program under the Prosperity, Livelihoods and Critical Ecosystems (PLACE) Indefinite Quantity Contract (IQC) Contract No. EPP-I-00-06-00008-00, Task Order 002.

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LAND TENURE AND PROPERTY RIGHTS IMPACT ASSESSMENT TOOL

FEBRUARY 2012

DISCLAIMER

The author's views expressed in this publication do not necessarily reflect the views of the United States Agency for International Development or the United States Government.

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ACRONYMS AND ABBREVIATIONS

EGAT	Economic Growth, Agriculture, and Trade Bureau
HIV/AIDS	Human Immunodeficiency Virus/Acquired Immune Deficiency Syndrome
IDP	Internally Displaced Person
LOE	Level of Effort
LTPR	Land Tenure and Property Rights
M&E	Monitoring and Evaluation
NRM	Natural Resource Management
RFA	Request for Applications
RFP	Request for Proposals
SAIP	Situation Assessment and Intervention Planning
SOW	Statement of Work
USAID	United States Agency for International Development
USG	United States Government

OVERVIEW OF USAID PROPERTY RIGHTS TOOLS

Demand for assistance in addressing land tenure and property rights (LTPR) issues is increasing from both United States Agency for International Development (USAID) field missions and host country governments. The increase in demand is due, in part, to a growing awareness among development practitioners of the role played by property rights in economic growth, governance, and conflict and resource management. USAID and its partners have learned a great deal over the last three decades about the relationship between property rights and economic growth, productivity, natural resource management and conflict, and the last decade in particular has yielded some important lessons:

- **Secure property rights are a critical component of economic development and social stability.** Inappropriate property rights policies and institutional structures that are not synchronized with economic, political, and environmental realities can undermine growth, erode natural resource bases, and catalyze violent conflict. Insecure property rights are some of the critical factors limiting economic growth and democratic governance throughout the developing world. Conversely, strong property rights, which are viewed as legitimate, transparent, and negotiable, can lead to increased investment and productivity, political stability, and better resource management.
- **In development programming, property rights are most frequently managed within the context of land tenure reform and redistributive land reform.** Yet, programming decisions made in a variety of sectors that take land tenure into consideration can have profound impacts on land use and management, agricultural systems, and associated natural resources management.
- **Too often, LTPR reforms are measured in terms of *outputs* rather than *impacts*** (e.g., measuring the number of land titles that have been issued as opposed to focusing on market performance and investment increases, reduced conflicts, or improved sustainable management practices). This focus on outputs prevents USAID from fully understanding the efficacy and potential cross-sectoral benefits of its property rights reforms and programs.
- **Women's secure access to land can lead to improved family welfare (particularly child nutrition and education) and women's empowerment.** Without specific attention focused on women's customary and legal property rights, women may not gain property rights or may lose the rights they do have. Issues regarding property rights vary from region to region, and they will continue to evolve over time. The most volatile countries are often in the greatest need of property rights reforms. Since property rights are so closely linked to development agendas across the globe, there is a need to understand how these rights shift as economies move through the stages of transformational development, and in some cases, from war to peace. All of these shifts require different property rights interventions. In light of these common concerns and issues, a Community of Practice on Land has been created by USAID in Washington to serve as a hub of information sharing. In addition, the Land Tenure Division has been formed within the USAID/Economic Growth, Agriculture, and Trade (EGAT) Bureau to coordinate issues of LTPR programming with other USAID bureaus and operating units.

In October 2004, work began on the creation of the LTPR framework, a common vocabulary, and a set of tools that could be used to help guide USAID through future property rights programming. The resulting output includes the following LTPR tools:

- **Volume 1: Land Tenure and Property Rights Framework.** This is a conceptual tool for examining LTPR issues and interventions in USAID development programming, which includes a glossary of commonly used LTPR terms.
- **Volume 2: Land Tenure and Property Rights Regional Report.** This report includes the Country-specific Land Tenure and Property Rights Themes and Donor Interventions, and a database on land tenure and property rights for each USAID presence country. The data is drawn from bilateral and multilateral literature sources. Also included in this report are Land Tenure and Property Rights Rankings and Ranking Maps for specific USAID presence countries. Rankings are an expert assessment of major LTPR issues and constraints in USAID presence countries around the world, and present an illustration of these matters within “regional neighborhoods” (USAID programming regions).
- **Volume 3: Land Tenure and Property Rights Situation Assessment and Intervention Planning Tool.** This product is a diagnostic and programming tool. It can be used by USAID missions to understand and assess LTPR issues in their respective countries and determine how these issues contribute to or impede realization of strategic objectives. The tool guides LTPR professionals and USAID missions in identifying appropriate interventions to improve LTPR situations and in prioritizing and ordering interventions to enhance their effectiveness. It also facilitates development of a system to monitor and evaluate the performance of interventions.
- **Volume 4: Land Tenure and Property Rights Impact Assessment Tool.** This tool was developed to assess the impact of LTPR interventions, typically after they are completed and have had sufficient time to achieve their expected impacts. The tool seeks to enhance mission learning from LTPR project interventions by drawing on the impact lessons they generate to inform new project planning and bolster USAID’s effectiveness in meeting both project and broader strategic objectives of the mission.
- **LTPR Country Profiles.** Reports that capture LTPR issues and donor interventions for 62 USAID presence countries.
- **LTPR Issues Briefs.** A series of policy briefs used to inform US government (USG) policymakers on the nexus between land tenure and property rights and pressing issues of the moment.
- **LTPR Program Briefs.** A series of briefs that capture country-specific LTPR successes and challenges.

LTPR Tools

Volume 3: Land Tenure and Property Rights LTPR Situation Assessment and Intervention Planning Tool: *What are the existing LTPR problems and constraints, what can be done to address them and how can these interventions be sequenced in a way to maximize positive impact?*

Volume 4: LTPR Impact Assessment Tool: *What are the impacts of LTPR interventions and how can future ones be improved?*

Volumes 3 and 4 are companion tools that help USAID missions answer three key questions: What LTPR issues are emerging or playing out in a given country or area? Given identified problems, what sequence of interventions can be implemented to remedy the problems? What have been the impacts of these interventions and what can be done to improve further LTPR programming?

The **intended audiences** for all of these tools are USAID missions, USAID Washington Bureau staff, and other USG personnel who seek to understand how property rights issues may be affecting program outcomes, how to design interventions that can help address those issues, and how to evaluate the impacts of those programs to inform new program development. Volume 3 and 4 are also aimed at professionals hired to implement these tools on behalf of USAID. The tools may likewise prove useful to a range of development practitioners outside the USAID sphere who encounter property rights challenges in their work and seek to understand and address them more effectively.

The creation of these tools was managed and supervised by Dr. Gregory Myers. For more information or technical assistance, please contact Dr. Gregory Myers, Senior Land Tenure and Property Rights Specialist EGAT/Natural Resources Management/Land Resources Management Team, USAID, gmyers@usaid.gov.

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I.0 INTRODUCTION

I.1 WHY CONDUCT A LAND TENURE AND PROPERTY RIGHTS (LTPR) IMPACT ASSESSMENT?

USAID is placing increasing emphasis on programming that strengthens land and natural resource tenure and property rights as part of supporting larger economic development objectives. USAID projects designed to increase land tenure security, address weakness in the land law and regulatory environment, or promote biodiversity through strengthening community rights to natural resources are among those that reflect this renewed emphasis. In most instances, evidence on the strengths and weaknesses of specific land tenure and property rights (LTPR) interventions is readily available in the form of internal or external project evaluations. What is lacking, however, is a uniform and systematic approach that moves beyond LTPR project evaluation and focuses on LTPR project impact or determining the effectiveness of the Agency's LTPR work on strategic objectives over the longer term. Without an approach to assessing the impact of LTPR interventions, USAID risks losing the opportunity to identify factors that helped shape landmark LTPR successes, distill important lessons, and understand how interventions contributed to reaching or falling short of achieving program objectives.

The LTPR Impact Assessment Tool presented here targets USAID missions as well as LTPR and impact assessment professionals hired to carry out an assessment. It can easily be adapted for use by other US government (USG) agencies, or even other donors, engaged in programming of LTPR interventions.

The tool aims to:

1. Enhance mission learning from local LTPR project interventions and outcomes.
2. Permit missions to share and learn from the experiences of other country missions.
3. Bolster the Agency's effectiveness in meeting both project and broader institutional goals.

Although the tool is designed to be used with the assistance of outside consultants, it encourages the involvement of mission staff in the actual implementation of the tool to enrich the learning potential. Adopting a common methodology shared by all USAID missions can help ensure that important aspects in the evaluation of LTPR interventions are not overlooked, and a shared approach facilitates cross-comparison of impact findings.

I.2 HOW DOES THE LTPR IMPACT ASSESSMENT TOOL WORK?

The LTPR Impact Assessment Tool is designed to evaluate the outcomes and impacts of land and natural resource tenure and property rights programming, whether this is a project's main focus or a component of a broader set of goals. The tool is intended to be applied at a point in time when one can reasonably anticipate progress toward the realization of a project's higher-order or strategic objectives associated with "impact." In some cases, this period may be a mere three years following the close of a project, while in other cases it may be as much as 10-12 years.¹

¹ Missions may want to undertake an impact assessment toward the end of a project or shortly after it closes to inform the design of a follow-on project. Where this is possible, it should be done with a clear understanding that many of the higher-order objectives of the project may not have had sufficient time to emerge.

This tool is a companion to the LTPR Situation Assessment and Intervention Planning (SAIP) Tool. An Impact Assessment can be significantly more rigorous when planning for the assessment has been carried out during the project design phase in the form of mapping the flow of anticipated outputs, outcomes and impacts; undertaking a baseline assessment; and establishing a monitoring and evaluation (M&E) system to track performance during the project's lifetime. The SAIP Tool provides guidelines for carrying out these steps and therefore establishes a firm foundation for using this tool to assess project impacts. Given that many LTPR projects will have already been designed without the benefit of the SAIP Tool, the Impact Assessment Tool provides guidelines both for assessing projects that utilized the SAIP Tool—or have otherwise collected baseline data on project outcomes and impacts—in designing LTPR interventions, and for projects that were designed without using the SAIP Tool and lack baseline information. The tool relies on qualitative methods of triangulation to establish attribution, consulting numerous and diverse sources of information through semi-structured interviews, rapid appraisal methods, and short questionnaires. Such methods have gained widespread acceptance among impact assessment professionals and their use is increasingly common partly because they tend to be simpler and less costly than assessments that rely on detailed surveys and statistical methods while still being considered rigorous.² Qualitative methods can also accommodate situations in which baseline data linked to project objectives is lacking.

The methodology described in this tool calls for a team of four to six persons (including a logistics coordinator), depending on the number and size of the interventions and the timeframe of the assessment. The involvement of at least one USAID staff member engaged in LTPR programming has the potential to considerably deepen learning drawn from the assessment and thereby enhance a mission's capacity to respond appropriately to assessment findings.

The assessment should take approximately five to six weeks to complete, with the team spending one week to plan, three to four in the field, and one week to wrap up and draft the final report. The cost of an assessment will depend in large part on the scale of the intervention(s) being assessed and the number of objectives and corresponding indicators chosen. The larger the scale of the project or program, the more costly the assessment will likely be. Nevertheless, costs may range somewhere between \$150,000 and \$250,000.

Box A provides a series of terms and their corresponding definitions that the reader can use as a handy reference when a term seems unfamiliar or unclear. Where these terms have been used in other publications and materials, their meanings may not be the same as the definitions provided for the purposes of this tool. Therefore, reference to the glossary in Box A is recommended as the reader proceeds through the tool.

1.3 UNDERSTANDING IMPACT

An Impact Assessment is the process of identifying the relationship between changes and their causes. Unlike program evaluations, impact typically focuses on higher-order objectives of the project or intervention, rather than direct outcomes. Whereas there is no distinct line separating the two, program evaluations will tend to be more concerned with how many titles were issued, areas surveyed, or persons trained, for example, while an Impact Assessment is more likely to go beyond these outputs to learn how they contributed to objectives like tenure security, reduced conflict, or poverty alleviation.

An Impact Assessment can be understood from two angles:

1. An **intervention** focus: What changes or outcomes resulted (in part or in whole) from a given intervention?
2. An **outcome** focus: What were the combination of causes that resulted in a given change or outcome?

² See for example: Roche, Chris. 1999. Impact assessment for development agencies: Learning to value change. Oxford, UK: Oxfam, (<http://www.microfinancegateway.org/content/article/detail/3042/>). Reproduced with permission of Oxfam Publishing, 274 Banbury Road, Oxford, OX2 7DZ, United Kingdom. 2) INTRAC. 2001. NGOs and Impact Assessment. NGO Policy Briefing Paper No. 3. March.

BOX A: GLOSSARY OF TERMS

Causality map: A depiction of the various factors that contributed to a change in the state of an indicator, as perceived by one or more individuals.

Conceptual map: A theoretical depiction of one or more of the direct, and possibly indirect, outcomes that emerge from a particular intervention.

Impact assessment: The process of 1) characterizing change and attributing that change to the factors that contributed to it, and 2) identifying the various changes or outcomes caused by a particular action or intervention. Impact assessment is different from monitoring and evaluation (M&E). M&E tends to take place during an intervention or shortly following it, and collects information only on outcome indicators, not potential factors contributing to those outcomes. Rather, M&E *assumes* a relationship between change and the factors that contribute to it. By contrast, an impact assessment seeks to firmly establish the link between change and its causes and is typically conducted after a period in which intended changes are expected to have emerged from the intervention.

Indicator: A proxy for assessing change that characterizes the state of some observable element at different points in time, typically before and after an intervention.

Intermediate outcome: Outcomes that emerge from a particular intervention and that lead to further outcomes that often constitute the objective of an intervention.

Intervention: An action that contributes to change.

LTPR interventions: Actions undertaken to address LTPR issues. The LTPR Base Matrix (see Section 2.1, Figure 2.1) groups LTPR interventions into seven main categories.

LTPR issues: Those six land tenure/property rights issues or constraints that are characterized in the LTPR Base Matrix (see Section 2.1, Figure 2.1).

LTPR objectives: The converse of the six LTPR issues (e.g., the converse of the LTPR issue *violent conflict/instability* is *peace/stability*), which comprise the intended outcomes of LTPR interventions.

LTPR outcomes: The outcomes of land tenure/property rights interventions as characterized by the LTPR Framework issues, which may be either be intended (i.e., corresponding to LTPR objectives) or unintended (i.e., falling short of an LTPR objective or even contributing to a LTPR issue).

Objective: The intended outcome of a particular intervention, typically as perceived by those who conceived of or designed the intervention.

Outcome: The state of change at a point in time following an intervention.

The difference is essentially the entry point for understanding impact. The first takes the intervention of concern as its starting point, while the second focuses on a defined outcome or outcomes. A robust approach to Impact Assessment involves comprehending and integrating both concepts.

When the focus is on a particular **intervention**, the key question becomes: What was the result of the specific intervention? Essentially, the analysis focuses on a single causal factor (the intervention) and seeks to identify the array of outcomes emerging from it. The left side of Figure 1.1 presents this in its most simple form. Assessing impact from this angle opens the door to understanding the myriad of outcomes to which the

intervention may have contributed, whether expected or unexpected. However, used by itself, it does not consider the host of other factors that may have contributed to the cited outcomes, leaving one unable to assess how significant the intervention was relative to other causal factors. The evaluator becomes prone to overstating the contribution of the intervention, often ignoring other possible contributing factors.

Alternatively, if the evaluator asks the question “What factors contributed to a defined **outcome** or outcomes,” s/he is able to consider an array of causes. The illustration on the right in Figure 1.1 captures this concept in a simplified form. The evaluator can then seek to understand whether the intervention was a factor contributing to the outcome, and if so, whether it was a positive or negative contribution and its importance vis-à-vis other causal factors. The key advantage is that the evaluator is able to make headway in attributing changes in certain outcomes to the intervention while comprehending the contribution of other factors and their interrelation. Yet, by defining the outcomes of analysis *a priori*, adopting this approach in isolation can also fail to capture the unintended consequences of the intervention of concern. This risks neglecting to examine whether a project might be committing unintended harm or inadvertently generating valuable benefits.

The tool presented in this document embraces both understandings of impact and thus combines these two approaches (Figure 1.2). Doing so will enable USAID to draw on the advantages of each while tempering their corresponding risks, thereby producing a more robust assessment. Specifically, the integrated approach will uncover the impacts of LTPR interventions on both project objectives and unanticipated outcomes, while revealing what other factors influenced these changes.

FIGURE 1.1. CONCEPT OF IMPACT ASSESSMENT: INTERVENTION FOCUS AND OUTCOME FOCUS

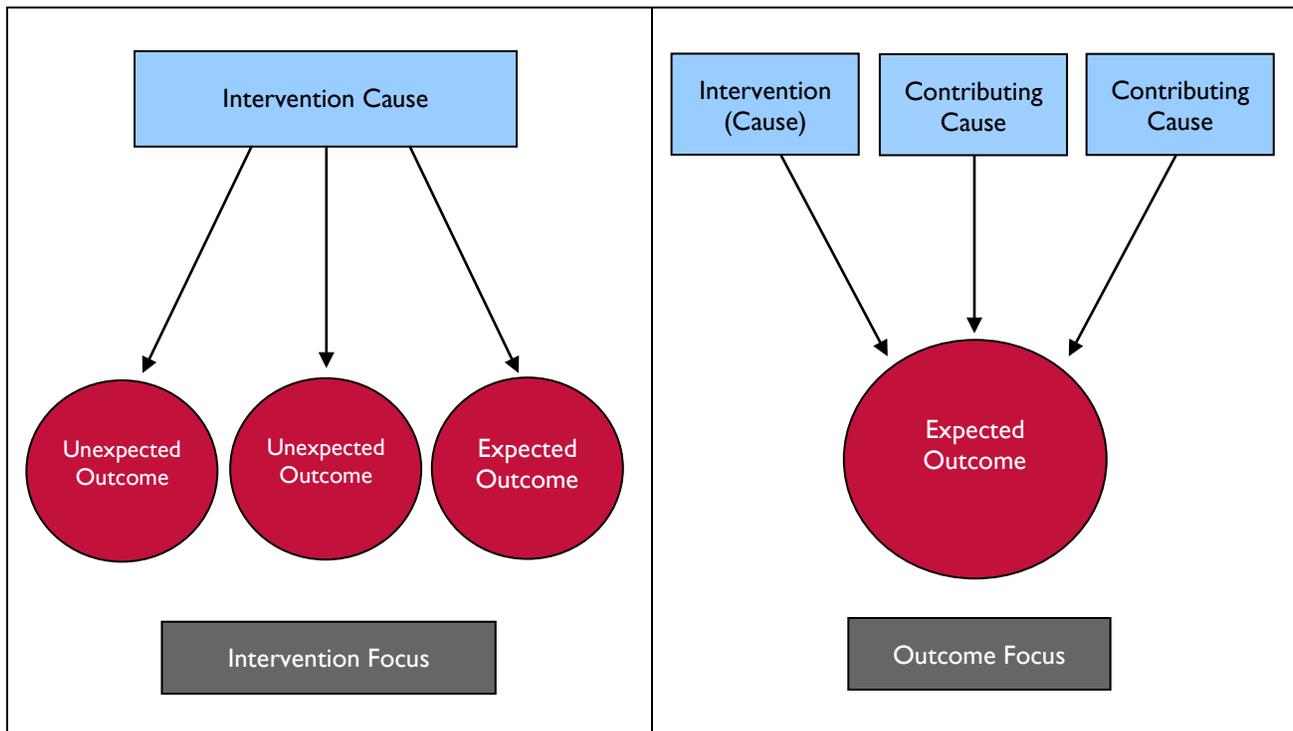
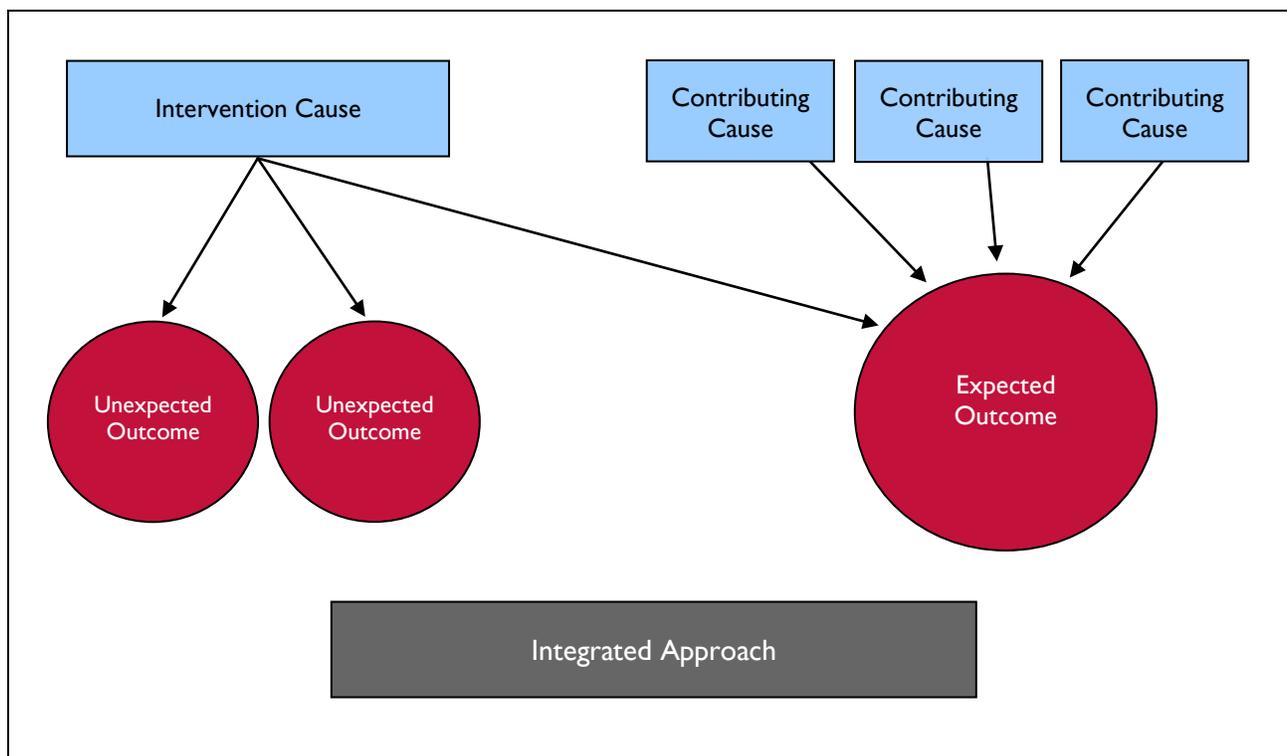


FIGURE I.2. CONCEPT OF IMPACT ASSESSMENT TOOL: INTEGRATED APPROACH



I.4 A ROADMAP OF THE IMPACT ASSESSMENT TOOL

The LTPR Impact Assessment Tool comprises a series of sequential steps for evaluating the impact of LTPR interventions using the two conceptual approaches described in Section 1.3. These steps are clustered into four main stages:

1. ***Defining*** the assessment parameters (Section 2),
2. ***Planning*** for the assessment (Section 3),
3. ***Implementing*** the assessment (Section 4), and
4. ***Analyzing and learning*** from the findings (Section 5).

Section 2 provides guidance on how to characterize the scope of the assessment through **defining** some key parameters:

- Purpose,
- LTPR intervention(s) to be assessed,
- Outcome parameters against which interventions are to be assessed^{3,4},
- Timeframe of the assessment, and
- General methods to be employed by the assessment.

³ Identifying outcomes and timeframe is important for characterizing change in a defined set of outcomes over a period of time. Once these changes are captured, the team can then examine the different forces that contributed to each change beyond simply the intervention of interest. Neglecting to consider these different causal factors would lead to bias in attributing outcomes to the LTPR intervention.

⁴ This does not preclude later identifying additional outcome parameters that may emerge as relevant as the assessment progresses.

Section 3 turns to the **planning** necessary for an Impact Assessment, beginning with defining and selecting one to three indicators for each of the chosen outcome parameters. The focus then shifts to identifying the information sources and methods the team will use to conduct an empirical investigation of impact.

This tool relies on both primary and secondary sources of information to characterize change, understand the factors contributing to it, and triangulate the information to uncover plausible cause and effect associations.

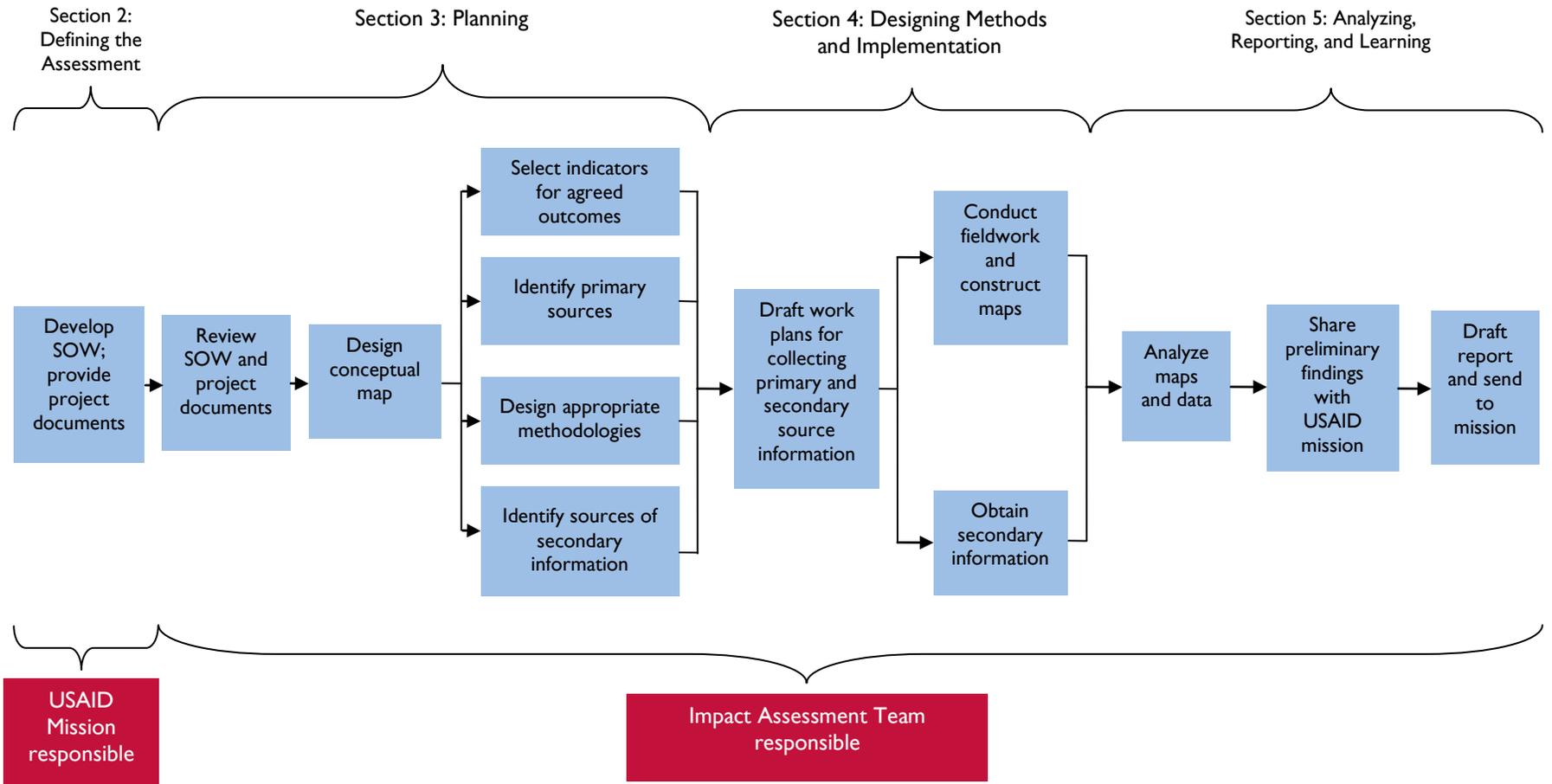
Section 4 guides the team in **designing** methods for and **implementing** the Impact Assessment. Whether it is the review of published material or consultation with communities and other key informants, a central objective of this step is the production of illustrative maps that represent the two entry points of Impact Assessment discussed in Section 1.3. One set of maps depicts the multiple changes or outcomes seen to emerge from the LTPR intervention(s) being assessed. The other highlights the various forces contributing to change in each outcome parameter. The two different types of maps are produced for each source consulted.

Section 5 concludes with guidelines on the **analysis** of information emerging from the impact study. Drawing on elements of the analysis, the key components of an Impact Assessment report are presented. The tool concludes with methods designed to enhance the **learning** potential of the Impact Assessment and involve mission staff in analyzing the findings and their implications for developing future LTPR interventions.

Figure 1.3 on the following page illustrates the flow of steps involved in undertaking the Impact Assessment and can be regularly referenced to clarify the process and track progress. At the end of each of the five sections is a summary of the steps contained in that section. These can be used as quick refreshers once a team has read through the entire tool.

Several annexes are also included to assist the mission and impact team in carrying out the assessment. **Annex A** provides guidelines for uncovering the hypotheses that link LTPR interventions and their objectives, thereby revealing the anticipated impact of LTPR interventions and enabling selection of intermediate outcomes. **Annex B** offers an instrument for indicator selection. **Annexes C and D** are frameworks for developing work plans for collecting secondary source and primary source information, respectively. **Annex E** provides a template for recording changes in indicator states, **Annex F** provides examples of useful systems for data collection, and **Annex G** provides a sample table of contents for an assessment report.

FIGURE I.3. PROCESS FOR CARRYING OUT AN LTPR IMPACT ASSESSMENT



2.0 DEFINING THE ASSESSMENT PARAMETERS

Impact assessments are carried out for a variety of reasons, including sharing information and reporting, promoting accountability, evaluating approach, determining whether or what kind of follow-up interventions are needed, assessing the need and nature of mid-project revisions, and creating a learning environment. The mission may want to understand why certain project successes and/or failures were experienced and which components were most and least effective in achieving the mission’s objectives. USAID headquarters may be interested in understanding the relative effectiveness of a mission’s projects and sharing lessons learned with other missions. It may also want to use the findings to produce guidelines for designing future projects that will better contribute to project objectives and mission Strategic Objectives, or that are more responsive to the priorities expressed by project constituents.

At the outset of the assessment, the mission will want to develop a **Scope of Work (SOW)** or **Request for Proposals (RFP)** that defines some key parameters up front to help steer the way for planning the assessment. Among the most important of these are (1) the **purpose** of the assessment, (2) the **intervention(s)** to be assessed, (3) the **outcomes** against which intervention performance is to be evaluated, (4) the **timeframe** of the assessment, and (5) the methodological **approach** to be used. Injecting precision into these five parameters will enable the team to meet the mission’s learning objectives and avoid investing resources investigating issues that are less relevant to the mission. Once these five parameters are identified, other elements of the SOW or RFP can be formulated, including the team composition, study timeframe, and budget. The following lays out a series of steps for gaining clarity on these issues prior to undertaking the Impact Assessment.

2.1 WHAT TO ASSESS?

The object of assessment will typically be one or more LTPR interventions undertaken by USAID alone or together with other donors. An *intervention* is often distinct from a project or program. Here it refers to a single type of LTPR action within a larger USAID project, such as land registration and titling or reform of land conflict resolution mechanisms, while a USAID *project* is typically comprised of multiple interventions. The LTPR Base Matrix (Figure 2.1) provides examples of various types of LTPR interventions.⁵ This matrix and other matrix “overlays” corresponding to different natural resources (trees and forests; freshwater lakes, rivers, and groundwater; and minerals) and gender can be found on the USAID LTPR web portal at: <http://usaidlandtenure.net/usaidltpproducts/matrix>.

⁵ The LTPR Base Matrix was originally developed as a conceptual tool for carrying out an assessment of the current status of LTPR issues in a country, known as a Situation Assessment. An LTPR *Situation Assessment*—described in the LTPR SAIP Tool—provides a snapshot of the present day LTPR situation. By contrast, an *Impact Assessment* explicitly tries to identify cause and effect relationships.

FIGURE 2.1. LAND TENURE AND PROPERTY RIGHTS BASE MATRIX



BASE PRRG MATRIX		Base PRRG Matrix	Land Tenure and Property Rights	Trees and Forests	Freshwater Lakes, Rivers, Groundwater	Minerals	Women's Vulnerability
	 C O N S T R A I N T S					
BASE PRRG MATRIX		Resource Conflict and Displacement	Weak Governance	Insecure Tenure and Property Rights	Inequitable Access to Land and Resources	Poorly Performing Land Markets	Unsustainable NRM/ Biodiversity Loss
I N T E R V E N T I O N S	Institutions and Governance						
	Legal and Regulatory Framework						
	Rights Awareness and Empowerment						
	Conflict and Dispute Resolution						
	Restitution, Redistribution, and Consolidation						
	Rights Delivery and Administration						
	Resource Use Management						

The assessment team will need to have a clear understanding from the mission of which intervention(s) will serve as the object of the assessment. In one case it could be a *single intervention* within a USAID project. Alternatively, the mission may be interested in the impact of *one type of intervention implemented by one or more USAID projects*, perhaps along with various donor and/or government projects. An example of this could be related or coordinated efforts by multiple donors to train staff and otherwise strengthen human resource capacity among personnel responsible for urban tenure regularization. Another object of an assessment might be *multiple types of LTPR interventions implemented under one project*, such as a project that combined policy and legal changes, raising public awareness on rights, and providing legal aid to farmers and the landless. This last option is likely to be the most common object of assessment, and also the most challenging (see Box B).

BOX B: THE CHALLENGES OF ASSESSING A PROJECT VERSUS AN INTERVENTION

Assessing the entirety of one or more USAID projects comprised of different LTPR interventions, possibly implemented at different times or even in different localities, will be especially complex when trying to draw specific conclusions. This is because each type of intervention within the project can be associated with several different outcomes, each of which is influenced by a host of other variables, including other interventions. Because different types of interventions may produce contrasting effects on the same outcome parameter, attributing an outcome change to a project or projects conflates the effects of different intervention components. For example, policy changes may provide greater opportunities for women to access land, but public awareness and legal aid may be strongly biased in favor of men. Hence, distilling the net effect of a suite of interventions—in this example, on gender equity—adds to the complexity. This tool helps to manage that complexity by guiding the user in considering each intervention separately when analyzing the hypothetical chains of outcomes emerging from them and selecting the relevant outcomes against which to assess impact. Hence, if multiple LTPR interventions are to be assessed, the steps in this tool will need to be carried out for each intervention. However, during the impact assessment itself, it is critical that one is attentive to how the integration and sequencing of interventions (not only the interventions themselves) contributed to each of the outcomes being tracked.

2.2 ON WHICH PRINCIPAL OUTCOMES?

Impact assessment is a process of examining what change occurred over time in a particular outcome of interest (e.g., HIV infection among women), what the influencing factors were, and what the relative contribution of the intervention was to the change process as compared to other causal factors. Interventions along with a host of other variables are the *causes* of multiple outcomes or changes in the state of something. An Impact Assessment seeks to tease out the relationships between causes and change and understand the relative influence of interventions on the outcomes one cares about (objectives) as compared with various other causes.

In identifying the principal outcomes against which impact is to be assessed, missions can draw on **specific project objectives (or “results”)** and **USAID mission Strategic Objectives**.⁶ These two can sometimes be extracted from the project’s USAID Results Framework if LTPR interventions were the chief component of the project. If project planning was carried out using the LTPR SAIP Tool, the project objectives will typically be depicted in the conceptual map developed in the intervention planning process and these will include **LTPR objectives** drawn from the **LTPR Matrix**, USAID Strategic Objectives, and intermediate objectives linking these. Also, because the SAIP Tool guides project planners to undertake a baseline assessment of indicators associated with these different types of objectives, projects designed using the SAIP Tool will not only have a defined set of principal outcomes for Impact Assessment, but established indicators for assessing those outcomes, and information on the pre-project state of those indicators.

For projects that have not been designed using the SAIP Tool, it will be necessary to identify the strategic and other objectives associated with the intervention(s) for which one wishes to assess impact, and reformulate these objectives as outcome parameters by giving them a neutral character. For example, if the objectives of the project were to reduce violent conflict, increase tenure security, and raise agricultural productivity, the outcome parameters of interest would be degree of stability, tenure security, and agricultural productivity. Stability and tenure security outcomes correspond to LTPR issues while agricultural productivity may correspond to a mission Strategic Objective. Figure 2.2 shows the correspondence between LTPR issues, LTPR objectives, and LTPR outcomes. Figure 2.3 offers a visual example of the theoretical relationships

⁶ In general, missions will be interested in assessing the impact of LTPR interventions on so-called “higher-order objectives” of the project (e.g., improved capacity to access the judicial system to help resolve property disputes) rather than “outputs” (e.g., number of individuals trained on how to access the courts). Achievement of outputs and other lower-order objectives are likely to already have been assessed through project monitoring and evaluation (M&E), and described in project reports and end-of-project evaluations.

among sample USAID projects, their intervention components, LTPR (project) objectives, and mission strategic objectives. Useful sources for identifying the project and mission Strategic Objectives are project RFPs, project proposals, implementation plans, and progress reports.

FIGURE 2.2. CORRESPONDENCE BETWEEN LTPR ISSUES, LTPR OBJECTIVES, AND LTPR OUTCOMES

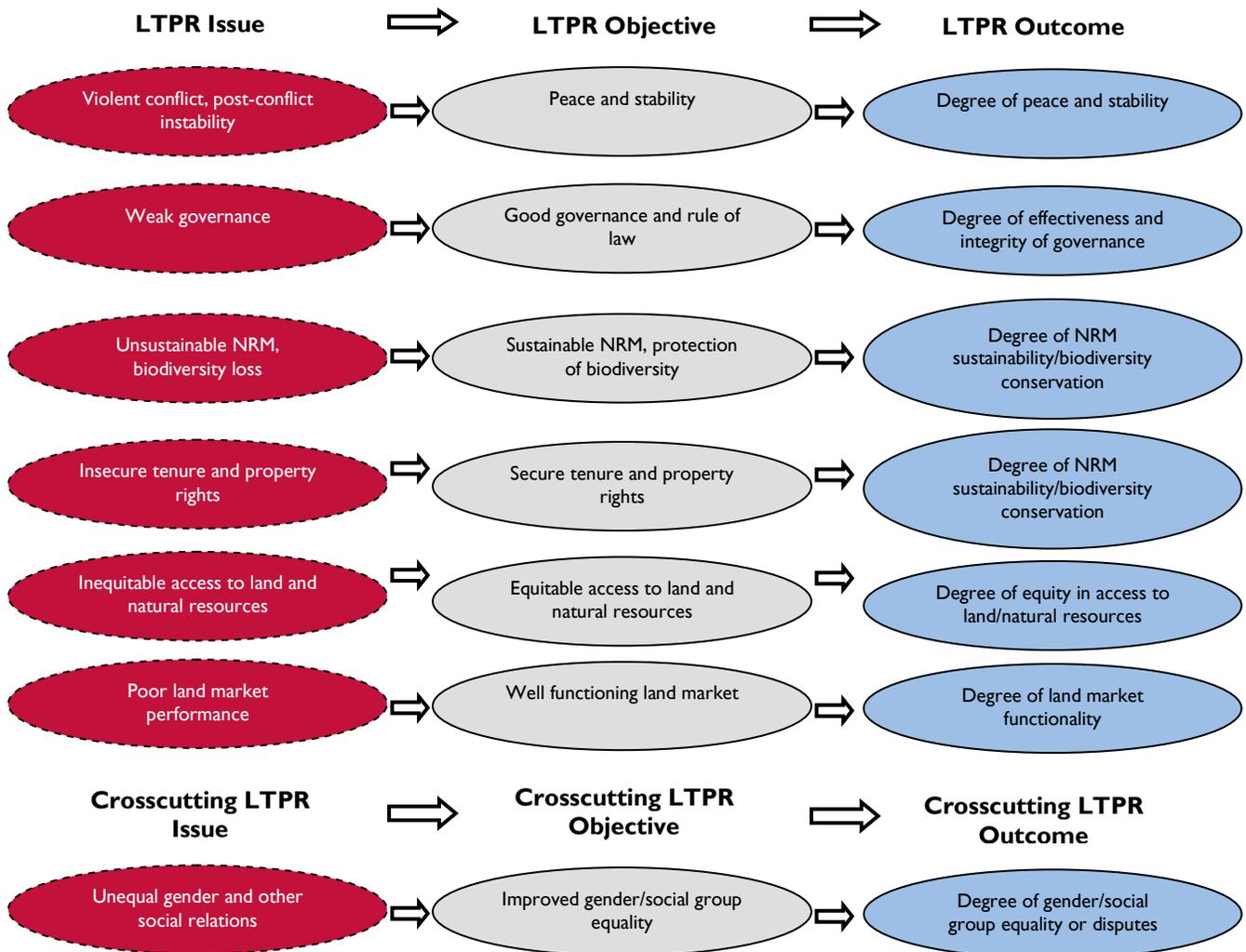
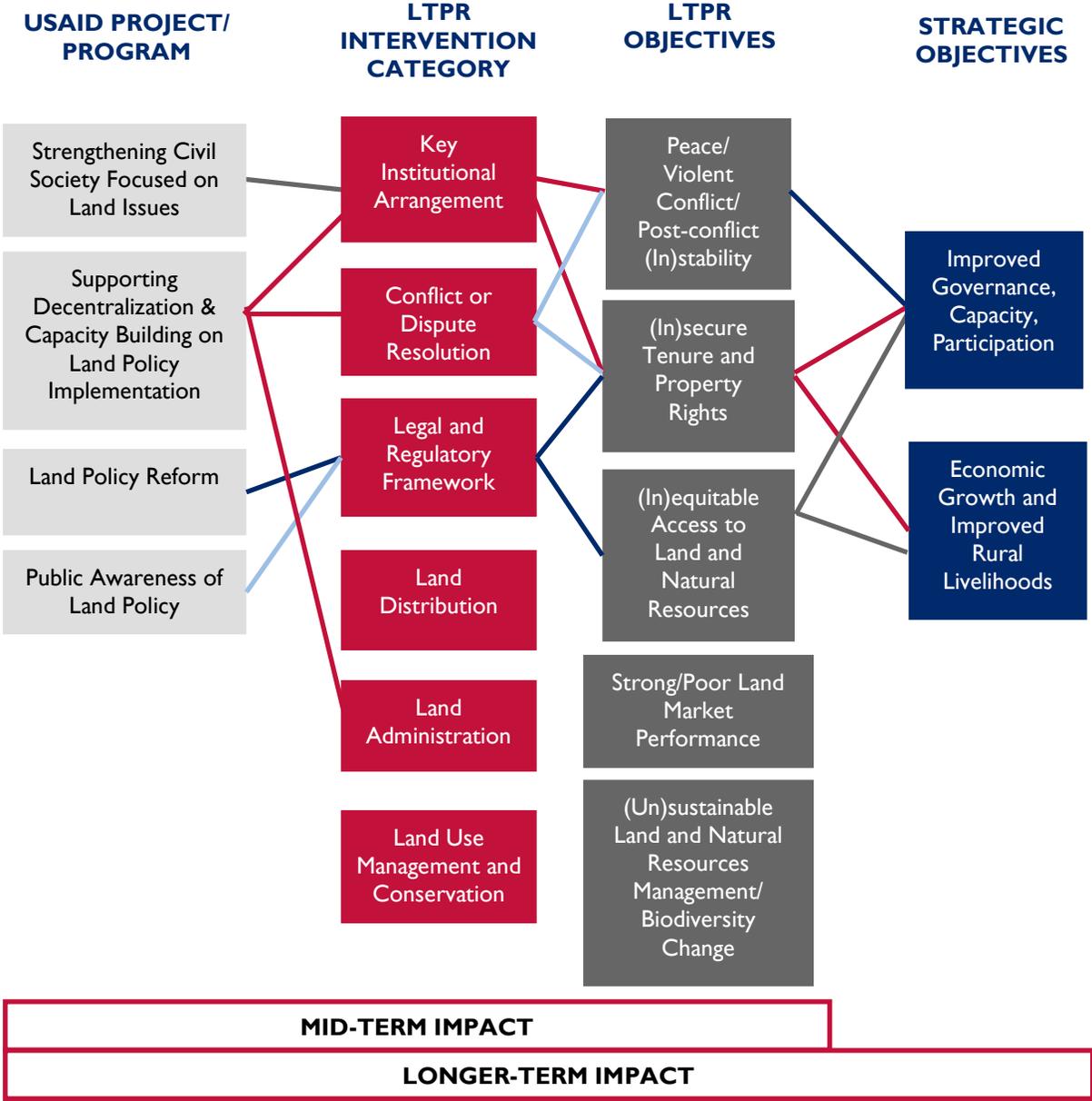


FIGURE 2.3. EXAMPLE OF LINKS AMONG USAID PROJECTS, LTPR INTERVENTIONS, LTPR OBJECTIVES, AND MISSION STRATEGIC OBJECTIVES



In identifying outcomes, one must consider the **scale** of the intervention(s) being assessed. The more localized an intervention, the more difficult and tenuous it will be to causally connect it with macro-level outcomes. It makes little sense to try to assess the contribution of a small pilot project on higher-order objectives and outcomes such as nationwide economic growth and national poverty indices. However, one could potentially gather information on average yield changes for important crops in the project area or differences in local consumption practices and health status as criteria for assessing local project impact. Selected principal outcomes should roughly correspond with the scale of the intervention being assessed.

Outcomes are not necessarily shared equally by all groups experiencing them. Tenure security, for example, may increase for men, while it becomes weaker for women. The incidence of conflict and displacement may increase sharply among minority indigenous populations while affecting majority groups to a much lesser extent. Often it will be important to **disaggregate outcomes** to understand and draw attention to potential differential impacts experienced by those who are frequently marginalized by LTPR (and other) interventions. By the same token, it will often be important to assess project objectives specifically associated with improving gender equality or empowering vulnerable groups. LTPR projects designed using the SAIP Tool will most likely

Selected principal outcomes should roughly correspond with the scale of the intervention being assessed.

have such objectives, formulated indicators to measure progress in realizing such objectives, and gathered baseline information on those indicators.

Regardless of whether the project included objectives specific to gender, it is highly recommended that the selected principal outcomes for the Impact Assessment include measures of gender equality. For example, a project centered on improving access to customary justice might examine women's access specifically in relation to men through gender-disaggregating indicators selected to measure access. Such a project might also want to assess the extent to which women in particular engaged as customary justice authorities before and after the project, even if the project did not set out to increase their participation in the authority structures. Assessing the influence of projects on gender not only helps uncover whether projects are inadvertently having negative impacts on gender relations, but also is indicative of the growing importance USAID is placing on projects positively contributing to gender equality.

2.3 TIMEFRAME

The timeframe for the assessment refers to the range of time over which change will be assessed. Most commonly, the timeframe will span from the time the intervention or set of interventions started to the present. This assumption is integrated throughout most of this document to simplify the discussion and because projects designed using the SAIP Tool should have undertaken a baseline assessment just prior to launching the LTPR interventions. However, for projects that lack baseline data on the selected principal outcomes, it is possible that more complete data on outcomes is available for another pre-intervention year. In such cases, it may be preferable to choose another starting point. For example, if baseline data exists for a year before the intervention was launched and is not too distant from the inception year, it may be chosen as the pre-intervention year. Likewise, if ample statistical data on selected outcomes is available for a *post-intervention* year other than the present, the assessment could be structured to evaluate changes occurring from prior to the intervention until that date.⁷

⁷ However, when consulting *primary* sources, it is much simpler for people to evaluate change occurring from a past year to the present than between two separate years in the past.

2.4 SCALE

Because the size and scope of projects are highly variable, missions will need to consider the scale of the analysis to be undertaken. Projects that involve a discrete set of LTPR interventions implemented in a few easily accessible regions are likely to permit assessment of the full range of LTPR activities. At the other end of the spectrum, assessment of a project that incorporates multiple sets of LTPR interventions implemented in different parts of the country cannot fit comfortably into two weeks of fieldwork, especially if accessing some project areas is time consuming or challenging.

Considering the likely budget ceiling of the assessment, decisions will need to be made about where the Impact Assessment should be targeted. For a project implemented in several parts of the country, missions may wish to consider narrowing the analysis to two to three areas where the physical, socioeconomic, and/or the institutional landscape contrast significantly. Or, if different packages of LTPR interventions were introduced in different sites, two to three sites could be selected where the LTPR approach was significantly different. Doing so provides missions with the opportunity to learn what kinds of intervention approaches might work better and under what conditions.

2.5 TIME

The Impact Assessment can generally be carried out during a period of four to six weeks, depending on the scale of the assessment (as noted above) and the size of the team (see next section), or approximately 24–36 days of level of effort per team member. In general, the team will need:

- Seven to nine days to review the project documentation and undertake the necessary planning for the assessment prior to arrival in the country;
- Twelve to twenty days to conduct fieldwork in-country and analyze the information to extract preliminary findings;
- Five to seven days to undertake report writing, plus two additional days assigned to the team leader to finalize the report;
- Two travel days for international consultants;
- Ten to twenty-five days for the logistics coordinator, depending on whether s/he will accompany team to field visits; and
- Three days of administrative/editing support.

Time requirements will be greater if the team needs to address any gaps in the SOW or any lack of necessary documents to be reviewed at the outset (see Section 2.9 for recommended documentation to supply to the team).

2.6 THE ASSESSMENT TEAM

With the fundamental parameters of the Impact Assessment defined, missions can make important practical decisions about team composition and the cost of the Impact Assessment.

The interventions and selected principal outcomes suggest important areas of expertise that would benefit the Impact Assessment Team, and therefore should be used to guide the selection of team members. Knowledge and experience with land tenure issues will inevitably be important, but more specific qualifications such as gender, land administration, or conflict expertise may also be essential. When assessing

The involvement of at least one USAID staff member engaged in LTPR programming has the potential to considerably deepen learning drawn from the assessment and thereby enhance the mission's capacity to respond appropriately to assessment findings.

expertise needs, attention should be paid to the types of interventions and selected outcomes for assessing impact, ensuring that the relevant LTPR expertise is present on the team. At least one team member should have a firm grounding in conceptual and methodological issues of qualitative Impact Assessment and experience in applying and analyzing their data. This individual is typically the team leader and is responsible for keeping the team on track with the methodology. At least one team member should have strong knowledge of the political and organizational landscape of the country of interest; this person is preferably based in the country where the assessment will take place.

An assessment team leader should be designated in the SOW. S/he should be responsible for preparing the team, identifying and assembling critical reading materials, leading the planning and implementation of the assessment, and serving as the liaison with the USAID mission.

The involvement of at least one USAID staff member engaged in LTPR programming has the potential to considerably deepen learning drawn from the assessment and thereby enhance the mission's capacity to respond appropriately to assessment findings. Finally, recruiting a person to coordinate the team's fieldwork logistics and gather information from secondary sources has proven essential. Such a person should be familiar with the landscape of actors with whom the team will want to consult, ranging from central government offices to local beneficiaries, and be able to schedule interviews or arrange for community workshops. S/he should also be familiar with the different location of the assessment and able to accompany them and provide support for the duration of the assessment.

The ideal team size is four to six members, including the logistics coordinator. The size will depend on decisions made about the number and complexity of interventions, scale of the assessment, and time. For example, an assessment involving interventions in three far-flung sites will either necessitate a larger team that can break off into pairs during fieldwork or a longer time period.

2.7 FINALIZING THE SCOPE OF WORK AND BUDGET

With the foundations of the assessment in place, the SOW can be finalized and a preliminary budget prepared.

The cost of an assessment will depend in large part on the breadth and scale of the LTPR interventions being assessed, the number of persons on the team, and the length of the assessment exercise. As a rough guideline, the LOE of team members should be broken down as follows: 15% for planning activities; 70% for empirical investigation, data analysis, and presentation of preliminary findings to the mission; and 20% for report preparation. While some time spent in the country of interest is essential, it may be possible to carry out some of the planning, preliminary information gathering, and final report writing out of country. This can be a critical cost savings if some of the team members reside outside the country of interest.

Budget items should include consultant time, travel costs, local transportation, accommodation and per diems in-country, communications costs (including translation), equipment, and materials. Contingency budgets should be included to enable flexibility to accommodate unforeseen circumstances and needs. If the assessment exercise is operating under a fixed budget constraint, decisions will need to be made as to whether the scope of work can be adequately achieved within the cost bounds and how much should be allocated to different components and activities. If the budget requirements exceed the anticipated budget available for the assessment, the SOW may need to be revised to achieve a better fit.

In the next stage, the reins of the Impact Assessment are passed to the Impact Assessment Team responsible for developing work plans that spell out the specific tasks involved and their corresponding timeframe. Once specific plans are in place, however, on-the-ground realities often shake up old assumptions. The team should be flexible and willing to regularly review their work plan and make needed revisions, even during the implementation stage.

2.8 SCOPE CHECKLIST

Box C provides a list of key questions to assist missions in developing a SOW for the LTPR Impact Assessment. Table 2.1 offers an example of an SOW checklist to enable quick review of its key components. Reference to these can help ensure all elements of the scoping exercise are included and well defined.

BOX C: KEY QUESTIONS FOR DEVELOPING THE SCOPE OF WORK

1. Why is the assessment being done? Or, who wants to know what?
2. What does the mission hope to achieve by carrying out the assessment?
3. Which LTPR interventions within a project or program will be assessed?
4. What were the principal objectives of the project, including LTPR and USAID mission Strategic Objectives? What outcomes correspond to these objectives?
5. Over what time period will impacts be assessed?
6. At what scale is the impact assessment to be conducted?
7. Considering the scale of the assessment and the types of interventions and outcomes being assessed, how many team members are needed and what qualifications should they have?
8. What does the scale of the assessment and team composition imply for the cost of the assessment?

TABLE 2.1. SAMPLE SCOPE OF WORK CHECKLIST

Scope Components	Example
Purpose	<ul style="list-style-type: none"> • Contribute to mission understanding of the degree of success and failure of rural land titling projects in Laos. • Share findings with other missions undertaking rural titling projects. • Use findings to design future LTPR projects that will contribute effectively to USAID project and institutional goals as well as the priorities of project participants.
Intervention(s) to Assess and Their Scale	USAID-led titling project covering 82 communities in 3 rural regions of Laos, one of which included the participation of AusAID. Two of the three projects included support for titling, registration, and alternative dispute resolution. The third region included these interventions, plus a public awareness campaign targeting women to inform them about the implications of the program.
Principal Outcomes, including Project/ LTPR Objectives and Mission Strategic Objectives	<ul style="list-style-type: none"> • <i>Project objectives:</i> How did the LTPR interventions of interest contribute to (1) tenure security of female and male members of households that received titles, (2) distribution of rural land by gender and wealth category, and (3) land market performance? • <i>Mission Strategic Objectives:</i> How did the LTPR interventions of interest contribute to (1) food security of households and tenants, (2) agricultural productivity, (3) political stability, and (4) poverty?
Timeframe	2003 to present
Scale	Five communities each in two of the three rural regions where the LTPR interventions were implemented. One of the regions included the women-targeted awareness campaign, while the other did not.
Time	1 May 2012–31 July 2012, including a total of 31 days per team member (8 days for planning; 15 days fieldwork and data analysis; 6 days report writing; 2 travel days for international consultants). Two additional days assigned to the team leader.
Team Composition	5 members, including 1 consultant with expertise on Impact Assessment and participatory methods (team leader), 1 consultant with expertise in land tenure and administration, 1 gender specialist, 1 member of the mission staff from the Economic Growth division, and 1 logistics coordinator [specify names, affiliations, and positions].
Anticipated Cost	Budget based on estimated LOE; international and domestic travel costs, local transportation, accommodations, and per diem; communications; and equipment and materials.

2.9 MISSION SUPPORT

Once the Impact Assessment Team has been identified and before they begin their work, the mission should assemble the necessary documentation for them to build their knowledge of the intervention(s) and implement the tool effectively. Having this information available on the team's first day of work will allow the members to become familiar with the project and its LTPR components and enable them to move directly to the planning stage outlined in the next section.

Useful information sources to provide to the team include:

- Documents and **reports on intervention or project objectives, budget, target group, strategies, and implementation**. If the project was designed using the SAIP Tool, the **Program Design Report** is essential for framing the Impact Assessment and includes the *conceptual maps* which depict anticipated LTPR intervention outcomes and their sequencing. Results of other project planning tools can also be useful. Additional documents providing such information may include project RFPs/requests for applications (RFAs), the project's USAID Results Framework, project preparation documents, project progress reports, project work plans, and project performance monitoring plans, as well as any pre-project feasibility, environmental, and/or social Impact Assessments.
- Information on actual intervention or **project achievements and failures**, their direct effects on the target group, and other intended and unintended outcomes.⁸ These can often be found in progress reports, final reports, and project evaluation reports.
- Documentation of any **monitoring and evaluation** of LTPR interventions or project implementation and outcomes, as well as the Monitoring and Evaluation Report prepared to design the M&E system if the project was developed using the SAIP Tool.
- The findings of an **LTPR Situation Assessment** if one was carried out using the SAIP Tool or otherwise. If conducted recently, it may also be useful for populating indicators or in identifying intervention stakeholders. Results of other diagnostic assessments of the property rights situation can likewise be helpful.

Finally, an in-briefing with the mission should be conducted upon arrival of the team to clarify the objectives of the Impact Assessment and expectations for deliverables, and to provide any additional advice to the team prior to embarking on the assessment and traveling to the field sites.

⁸ The team should carefully assess how much value to accord to speculations about such outcomes, especially the more indirect or distant they are from the LTPR action itself and when they are based on the perceptions of only one or a few individuals. This is because many other factors may have contributed to those outcomes other than the project. This attribution problem is one that this tool attempts to address through triangulating perceptions from key informants about the reasons for change in selected outcome parameters.

SUMMARY OF STEPS: DEFINING THE KEY PARAMETERS OF THE IMPACT ASSESSMENT

- Identify the LTPR intervention(s) to be assessed.
- Select the LTPR, other project outcomes, and strategic outcomes based on the objectives associated with the LTPR interventions.
- Determine the timeframe of the assessment, specifying a pre-intervention year (potentially when a baseline assessment was undertaken) and a post-intervention year (usually the present year).
- Decide on the scale at which the impact assessment will be conducted.
- Assess how much time is needed to carry out the assessment.
- Determine how many team members are needed and their skill mix in light of the types of LTPR interventions to be assessed, the extent of sites to be covered, the time provided, and the budget ceiling, if one exists.
- Prepare the budget and finalize the SOW.
- Assemble project documents to be provided to the impact assessment team and identify any other needed support that the mission will supply.

3.0 PLANNING

From this point forward, the tool describes the steps to be carried out by the Impact Assessment Team. The planning phase described in this section begins with the team reviewing the SOW and the project documentation provided by the mission, and either reviewing or developing “conceptual maps.”⁹ These are graphical representations of the links between LTPR interventions and project and strategic objectives that were conceived at the time of project design. If the LTPR interventions were designed using the SAIP Tool, then these conceptual maps will be contained in the Program Design Report. Otherwise, the Impact Assessment Team will have to construct these maps based on other documents that suggest the logical link between the intervention(s) and different orders of objectives (outputs, outcomes and impacts) associated with that intervention. Doing so will enable the team to identify the assumed process of change that would be triggered by the LTPR interventions and the chain of outcomes anticipated in the process of achieving project and Strategic Objectives.

The conceptual maps will allow the team to identify and agree on a final set of outcomes for assessment, so they can then **select indicators** that reflect those outcomes, an essential step for characterizing a given outcome change. This is followed by defining the **information sources** that the assessment will draw on and the **methods** for implementation. These steps enable the team to finalize their work plan and allocate available budgetary resources accordingly.

3.1 GETTING STARTED

Before getting underway with the planning of the Impact Assessment, team members should take the opportunity to review:

- The Impact Assessment Tool in full (including annexes);¹⁰
- The SOW for the assessment; and
- The project documentation provided.

A time for the team to meet, whether in person or by teleconference, will allow team members to become acquainted with one another and appreciate each other’s skill sets.¹¹ It will also provide an opportunity for team members to discuss the tool methodology, the scope, and the project documentation to share interpretations of the information they have read, raise any concerns, and identify any important information gaps and issues that may be resolved by contacting the mission. To the extent possible, the team should seek to work through the planning steps together, or to assign planning tasks and meet regularly to coordinate. Hence, one product of this first meeting will be a schedule of how the team will spend their time, whether together or apart, prior to going to the field. A close review of this section will provide the necessary fodder to complete this task.

⁹ If the team has not received the project documentation described in Section 2.9, the team leader should contact the mission to request its delivery. It will be very difficult for the team to undertake the necessary planning without this documentation (especially the Program Design Report and conceptual maps contained therein, or the project RFP or RFA in lieu of these documents).

¹⁰ Along with technical members of the team, the logistics coordinator should also review the tool to help him/her understand the types of primary and secondary sources to be accessed and how to convey the purpose of proposed meetings when contacting key informants.

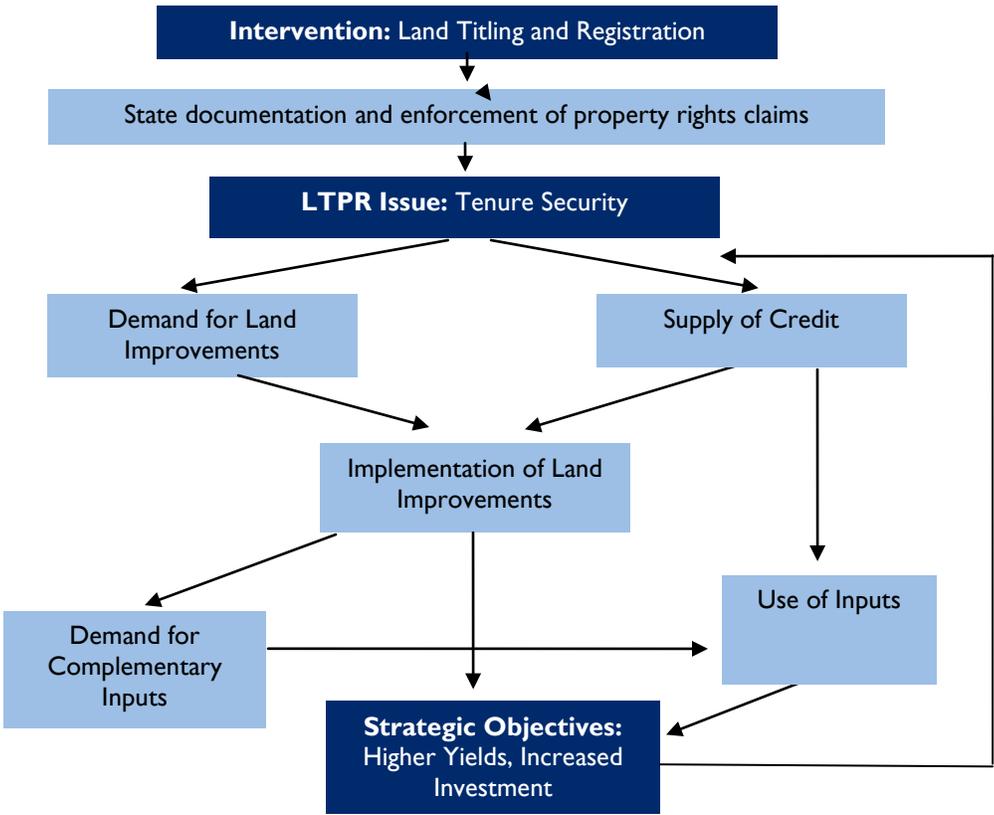
¹¹ The team that piloted an earlier version of this tool suggested circulating team members’ resumes among the group prior to this initial meeting.

3.2 REVIEWING OR CONSTRUCTING CONCEPTUAL MAPS

Based on the guidelines provided in the previous section, the SOW should identify 1) the LTPR interventions for which the mission would like to assess impact, and 2) the objectives (or principal outcomes) against which they would like to assess impact. The next step involves investigating the links between these interventions and objectives as conceived at the stage of project design. These links should be depicted as conceptual maps, illustrating the assumptions or hypotheses that led project designers to select the particular LTPR interventions they did to achieve the objectives they had in mind. Conceptual maps reveal the underlying theory of impact that guided project design and here will serve as the foundation for assessing the degree to which these expectations were met. The outcomes emerging from interventions should span from the expected LTPR intervention outputs through to the project’s Strategic Objective.

Figure 3.1 illustrates an example of such a map, depicting the flow of assumed outcomes conceived by the project planners. Here the intervention is state enforcement of property rights claims in the form of land titling and registration, an LTPR intervention. This intervention was expected to improve tenure security (an LTPR objective), which in turn was expected to impact the mission’s Strategic Objective of agricultural productivity. What links the LTPR issue to the Strategic Objective are five *intermediate outcomes* (including the supply of formal credit and implementation of land improvements) that may be selected as additional outcomes to include in the assessment.

FIGURE 3.1. CONCEPTUAL MAP LINKING LAND TITLING AND REGISTRATION TO HYPOTHESIZED OUTCOMES



Projects that have applied the SAIP Tool as part of the LTPR intervention planning process will have developed conceptual maps to illustrate the various hypotheses linking the LTPR interventions to each of the principal outcomes (framed as objectives), including LTPR and Strategic Objectives. The team can then readily refer to these by consulting the Program Design Report prepared by the SAIP team at the project's outset.

Where projects have not used this tool, maps will need to be developed by the assessment team. Annex A provides guidelines for constructing conceptual maps and provides examples. By illustrating the assumptions about the links between the interventions and the LTPR project and strategic outcomes, the maps depict a set of intermediate outcomes that can be included in the assessment.¹²

Using the conceptual maps, the team will want to consider whether to select any intermediate outcomes as part of the Impact Assessment, in addition to the principal outcomes already selected. The advantage of doing so is that it enables testing of whether the hypothesized links between interventions and objectives exist in practice and pinpoint where assumptions might deviate from actual practice. However, their inclusion will add to the number of questions to be asked of primary sources and the amount of information sought from secondary sources. If several principal outcomes have already been selected, then this may not be practical.

It is also important to understand that, in the chain of hypothesized causality, the more distant an outcome is from the LTPR intervention, the more challenging assessment can be. This is because there are more intermediate outcomes and intervening variables that will come into play. Yet, it is often these "higher order" outcomes that are of most interest to missions in terms of assessing the impact of LTPR interventions.

After the team has selected outcomes using the conceptual maps, the team should vet these with the mission to ensure that 1) the maps accurately represent the hypotheses and assumptions underlying the choice of LTPR interventions,¹³ and 2) they are in agreement with the selection of any intermediate outcomes to include in the assessment.

3.3 SELECTING INDICATORS

Indicators act as road signs that tell us if we are at or are headed toward where we want to be. The outcomes we care about are typically multidimensional. While they are real reflections of goals, they are often too multifarious to capture change adequately or efficiently. For example, we may care about improving the well-being of persons who suffer from inadequate resources to live above a standard we consider "decent." However, the outcome *well-being* has many components, as do the resources that contribute to a *decent life*. Although we may fail to account for some of the people whose lives we may want to help improve, assigning an indicator such as the number or percent of persons surviving on less than \$2 per day to capture insufficient well-being allows for less costly and unwieldy gathering of data to form indicators of the outcomes we care about. The more simple and precise an indicator, the easier it will be to collect information on it and assess impact.

If the LTPR interventions being assessed were developed using the SAIP Tool, the Monitoring and Evaluation Report for the project should contain the indicators selected for the different anticipated outcomes of the project and targeted for inclusion in the baseline assessment and M&E. Using the indicators specified by the project's design team is important since there should be baseline measurements of these variables (and potentially intermediate measures as well) which can be used as a basis for assessing change.

¹² Often a project's Results Framework is indicative of these assumptions, and the sub-results contained in the framework correspond to intermediate outcomes of particular project interventions.

¹³ Even if the conceptual maps were the basis of program design and contained in the Program Design Report, it is possible that deviations from the original conception of the project were made or that theories about the anticipated outcomes may have changed.

Information collected during a LTPR Situation Assessment may also offer useful indicators, especially if the indicators have been populated with actual data.¹⁴

However, if the project was not developed using the SAIP Tool, or if certain outcomes of interest to the Impact Assessment were not measured as part of the project's baseline or M&E activities, or even if there is a need to develop supplementary or different indicators from those used in the baselines, the team will need to construct these indicators. Box D and Annex B provide guidelines to assist in this process.

Table 3.1 lays out the six issues from the LTPR Base Matrix and provides an illustrative set of possible indicators for assessing LTPR outcomes. Whether the team draws all or most of its indicators from a baseline assessment or has to develop its own indicators, the set should include several gender-specific indicators that seek to measure whether the project had a positive, negative, or neutral impact on gender equality—even if such an objective was not part of the original objectives of the project. This reflects USAID's core commitment to advancing gender equality in all of its programming.

All impact assessments should include several gender-specific indicators that seek to measure whether the project had a positive, negative or neutral impact on gender equality. This reflects USAID's core commitment to advancing gender equality in all of its programming.

BOX D: DEVELOPING INDICATORS

As a first step, the team should draw up a list of all the selected principal and intermediate outcomes. Team brainstorming should then identify multiple indicators for each outcome that most accurately capture the essence of an outcome, while being as simple and precise as possible. For example, *tenure security* is sometimes measured according to whether a household possesses an individual title to their land, but what we might really care about is whether the household harbors fear of dispossession that would lead them to under-invest in their land. Although using *title possession* as an indicator is likely to enable the team to rely on actual statistics on title issuance, it does not precisely capture people's feelings of tenure security. A better indicator might be people's perception of the probability that they will be evicted or otherwise lose their land. Annex B provides a template for indicator selection, which is designed to help teams weigh the relative quality of an indicator in measuring a particular outcome.

Another lens which can be used to select indicators is a formula applied by many evaluation specialists called **SMART**; that is, indicators tend to be most effective when they are **S**pecific, **M**easurable, **A**ttainable, **R**esult-oriented, and **T**ime-bound, which can be described as follows:

- **Specific:** measures as closely as possible the result (objective) it is intended to measure;
- **Measurable:** easy to ascertain differences between one data point and another;
- **Attainable:** technically possible to obtain data at a reasonable cost;
- **Result-oriented:** reliable; general agreement over interpretation of the results; and
- **Time-bound:** data can be collected frequently enough to inform the progress and influence the decisions.

¹⁴ Whether an LTPR Situation Assessment can be used to populate indicators will depend on whether 1) the indicators used in the Situation Assessment correspond with one or more outcomes selected for the Impact Assessment, 2) the year it was conducted corresponds to either the pre-intervention or post-intervention year specified in the timeframe, and 3) data is available or can be gathered for the other year.

TABLE 3.1. EXAMPLES OF INDICATORS LINKED TO LTPR OUTCOMES

LTPR Issue/Outcome	Examples of possible indicators
Conflict/stability	<ul style="list-style-type: none"> • Number of land/resource disputes registered/filed • Perceptions of increase/decrease in number/frequency of land or natural resource disputes • Incidence of outbreaks of violence over natural resources • Number of persons killed/injured in violent conflict over natural resources per month • Ratio of displaced to settled/resettled persons
Weak/strong governance	<ul style="list-style-type: none"> • Percent of professional positions in land administration institutions occupied by individuals with relevant education and training • Prevalence of bribery by institutions administering or enforcing land rights • Incidence of illegal or irregular grants of land by the state • Number or percent of expropriations by government that evaded due process or did not provide compensation • Incidence of customary authorities facilitating arbitrary land acquisitions • Length of processing time for formal land transactions • Number of new courts opened in rural and urban areas • Number of improvements in laws and regulations affecting property rights of the urban and rural poor
(Un)sustainable NRM	<ul style="list-style-type: none"> • Number of men with increased economic benefits derived from sustainable natural resource management and conservation • Number of women with increased economic benefits derived from sustainable natural resource management and conservation • Presence of policies, laws, agreements or regulations promoting sustainable natural resource management and conservation • Number of natural resource sectors (such forests, wildlife, water, air quality, etc.) addressed in laws, policies, strategies, plans, agreements or regulations related to climate change and biodiversity conservation
(In)secure tenure	<ul style="list-style-type: none"> • Rate of evictions or destruction of informal settlements • Number of landholders perceiving a high probability of dispossession from their land, disaggregated by wealth, gender, ethnicity, etc. • Ability of landholder to exclude other claimants from one's land or natural resources • Number of actions by the state to confiscate land • Number or percent of citizens within key population categories receiving information/aware of legal rights associated with LTPR • Percentage of people perceiving tenure security, disaggregated by gender, wealth, ethnicity and age
(In)equitable access to land and natural resources	<ul style="list-style-type: none"> • Number or percent of women with independent or joint rights to land or natural resources on par with their male counterparts • Gini coefficients of landholding sizes according to wealth/income categories • Incidence of landlessness, disaggregated by wealth, gender, ethnicity, etc.
Poor/robust land market performance	<ul style="list-style-type: none"> • Number or percent of households engaged in land sale or rental markets • Amount of land purchased, sold, rented in, and rented out • Frequency of land being committed as collateral to obtain credit • Availability of reliable and accessible information on land assets available for sale, lease, etc.
Crosscutting: Women and Vulnerable Groups	<ul style="list-style-type: none"> • Parity of women's rights to inherit or administer land with men's rights • Frequency of daughter or widow inheritance of land • Percentage of national territories controlled by pastoralists or indigenous peoples • Change in rate of eviction of HIV/AIDS victims or their family members • Percentage of landlessness among returning IDPs • Number of women/vulnerable groups accessing land through markets • Percentage of women/vulnerable group perceiving tenure security • Participation of women in decision-making bodies on land/resource tenure issues

Because indicators are used to assess *change*, reliable information is needed to populate both the *pre-intervention* state of the indicator and the *post-intervention* state (typically the present). In the preceding sections, the tool guides teams to consult multiple primary and secondary sources in an effort to triangulate information on indicators. In selecting indicators, the team will want to investigate the availability of published and unpublished secondary information to populate indicators. If the SAIP Tool was used to design the LTPR interventions, baseline data should be available to populate pre-intervention states for most of the indicators that correspond to the selected outcomes, while monitoring activities may have even tracked the evolution of some of the lower-order outcomes over the full project cycle.

An LTPR Situation Assessment Report may also be a source of information on pre-intervention indicator states. Datasets made available by universities and research institutes may be another. If survey data exists on indicators for the pre-intervention year, then this can be compared with the perceptions of informants on the pre-intervention and post-intervention states of that indicator today to assess change, or a more formal follow-up survey can be carried out using the same indicators and respondents. If a baseline assessment was not carried out, trade-offs may need to be weighed between choosing a less desirable indicator that can be triangulated with statistical or survey data versus electing a more desirable indicator that may have to rely entirely on informants' memories and perceptions of the pre-intervention state. Decisions will necessarily reflect the team's relative confidence in different sources of information.

Weighing the quality of selected indicators together with the availability of information to populate those indicators, and the time and cost of collecting the information, the team should select **one to three best-bet indicators** for each selected outcome of interest. Having the results of a completed baseline survey will considerably simplify the selection process.

3.4 DECIDING ON INFORMATION SOURCES

This tool draws on both primary data gathered through empirical investigation and secondary information from documents and publications. As such, the team needs to agree on which secondary sources of information will be used and decide which informants will be chosen as primary sources for gathering information on indicators and causal forces. If a baseline assessment has been undertaken, the team will want to use the same sources of information for measuring indicators as were used in the assessment and apply the same indicators and methods for gathering the data, at least to the extent possible.

Documents and databases. The team now embarks on a research exercise to determine what secondary information exists to populate the selected best-bet *indicators*. It may be helpful to list the selected indicators and note for each: the sources of information for populating its pre-intervention state and present state, the team member responsible for retrieving the information, and the timeframe for gathering it. When it exists, baseline information gathered prior to a project's launch is often the most valuable source of information for populating pre-intervention indicators. Likewise, if an LTPR Situation Assessment was recently undertaken, this is a useful starting point for gathering information to capture the present state of outcome indicators.

Published documents can also offer information on perceived *causes* contributing to outcomes and their indicators. Typical sources include articles from newspapers, magazines, web pages, or scholarly journals, as well as recent books. Mission staff should be consulted about available local sources of information and how they can be reviewed. Annex C provides a template to guide planning for gathering secondary source information on indicators and causes.

Although information gathered through project M&E will typically not include measures associated with strategic and other higher-order objectives, they will usually include data associated with lower-order project objectives and possibly LTPR objectives. Moreover, since this information is gathered while the project is ongoing, it will not allow for comparison of pre-intervention and present states of indicators. However, M&E findings can help identify trends in meeting lower-order objectives that provide the foundation for achieving higher-order objectives. If M&E findings suggest that certain lower-order objectives were not met, then one

can associate problems in achieving higher-order objectives with these failures. By contrast, if lower-order objectives were fulfilled, any shortfalls in meeting higher-order objectives are likely to have emerged from flawed assumptions in the assumed links between lower-order and higher-order outcomes or from other influential factors that the project may not have anticipated.

People. When it comes to identifying informants to consult, the individuals and communities targeted in the baseline assessment should be accorded the highest priority. In the absence of a baseline, or if the team elects to enrich the assessment by consulting with individuals beyond those included in the baseline, information gathered on the project and LTPR context should provide a basis with which to identify key stakeholders affected by the intervention(s), persons from relevant government offices and agencies, civil society and other nongovernmental organizations with an interest in the project, and non-stakeholder resource persons.

A major determinant of who should be consulted is the **scale** of the intervention(s). A project confined to the local or micro level will rely heavily on communities affected by the project and local government personnel.¹⁵ This will also be the case if the scope of the assessment is limited to a particular area. A project at the meso (e.g., multi-district) or macro (e.g., multi-provincial or national) level is more apt to draw input from a sample of affected communities, regional or national politicians and officials, donors, and civil society organizations operating at a regional or national scale. Regardless of scale, however, there should be a balance between project beneficiaries, other affected or interested parties (including mission staff), and resource persons. USAID mission staff should be consulted on possible stakeholders to include and, if a LTPR Situation Assessment has been prepared, it should also be reviewed for the same purpose.

It is recommended that at least half of the project stakeholders be drawn from the **intended beneficiaries** of the intervention and include both women and men and different wealth classes. Because interventions are nearly always directed at improving their lives in some way, the manner in which intended beneficiaries perceive and value change is of special importance. However, it is also critical to consult with **other affected parties** such as indirect beneficiaries of the intervention, those who have been negatively affected by it or whose expectations were not realized, and those who otherwise have a direct interest in the project, including the project staff and the USAID mission. These are all stakeholders. Where there is conflict over LTPR issues and interventions, it is important that the different sides are represented.

Gender is an important consideration in stakeholder selection. Women and men face different constraints—socially, economically and politically—and often experience their environments and interventions differently. Projects adopting gender-neutral approaches have sometimes been found to inadvertently ignore the needs of women and girls, sometimes even to inflict harm on them. The team should strive to consult men and women of different age classes equally, and perhaps even oversample women for projects that specifically seek to target women or improve gender equity. In all cases, the team's objective is to ensure a balance of perspectives is represented in the final selection.

In the case of **non-stakeholder resource persons**, the team will want to identify persons with either a broad knowledge of a country's (or locale's) situation or with a profound knowledge of a particular outcome indicator and its determinants. They may include representatives of producer associations, civil society groups, university research programs, government departments, and research institutes or even local representatives of other donor organizations active in the country. The more diverse the experience and perspectives of the resource persons, the better.

It is difficult to say exactly how many actors should be consulted, since this will depend greatly on who was targeted in the baseline assessment (if one was carried out), the number and diversity of the selected outcomes and indicators, and their distance in the causal chain from the interventions being assessed. Likewise, it will depend on the amount of time and resources budgeted for the assessment. However, the

¹⁵ Often, actors at a national or regional scale (e.g., Ministry staff) are unaware of projects implemented at a local level, or at least the nature of changes that occurred at that level as a result of the project.

range should probably be somewhere between 25 and 40, with communities and groups counting as single actors. Since first choices are not always available, the team may wish to identify alternates for each informant that closely resemble the original choices in terms of knowledge and perspectives.

3.5 SELECTING STAKEHOLDERS AND METHODS

Based on whether a baseline assessment was done, the scale of the assessment exercise, outcomes selected, and the assessment budget, the team will need to decide on appropriate methodologies to employ. If a baseline assessment was conducted, then the team should seek to follow up with the same individuals and communities targeted by that assessment and apply the same data collection questions and methods to ensure as much consistency as possible in comparing pre-intervention and present indicator states. The main difference in the Impact Assessment phase is that the team will also ask respondents to consider any changes in between the pre-intervention and present states and to identify perceived causal factors.

Without a baseline, the team will have more latitude to choose the most appropriate methods. If the intervention(s) sought to have an impact mainly at the local or micro level, interviews with local actors, household surveys, and/or rapid appraisal workshops are likely to be feasible and appropriate. Economic performance data and other statistics will probably not be available at the local level, necessitating greater reliance on key informants to glean information on changes in outcome parameters. Semi-structured interviews and rapid appraisal methods should target communities, local government authorities, and other stakeholders present at the local level, and are discussed further below.

At a meso level, the approach could involve consulting with communities in the designated area. It will be important to select a representative sample that includes communities with contrasting circumstances suggesting the potential for different outcomes to emerge. The team should conduct a similar sampling for interviews with local leaders, authorities, and organizations. Besides sampled local actors, semi-structured interviews should also include regional authorities as well as government and nongovernmental institutions active in the region. If a baseline assessment was done, it may only have collected information from some communities in the region, such that the team may want to collect *additional* information in other target communities even in the absence of benchmark data. Depending on the knowledge management capabilities of the country, data on outcome parameters may have been collected at the regional level and published, though it may be lacking for the desired years.

When interventions are undertaken at a macro, usually national, level, representative samples are drawn from a vast pool of communities, further challenging the selection process. Alternatively, if communities have representative organizations at higher scales, these could also be sampled for surveys and participatory workshops or focus groups as well as interviews with local actors. Interviews with relevant ministry officials, implementing agencies, donor organizations, and civil society organizations are essential. National-level indicators on economic growth, agricultural production, income distribution, and the like are frequently available for different years.

The methods employed by this Impact Assessment Tool draw extensively on people's perceptions and experiences to 1) assess changes in the selected indicators, 2) identify the causes of changes in outcome parameters, 3) evaluate the relative weight of different forces in effecting change, and 4) ascertain the specific impact of the intervention(s) of interest.

TABLE 3.2. PREFERRED DATA GATHERING METHODS BASED ON THE SCALE OF LTPR INTERVENTIONS

INTERVENTION SCALE		
MICRO	MESO	MACRO
<ul style="list-style-type: none"> • Rapid appraisal methods with target communities • Household surveys • Semi-structured interviews with target communities, local authorities, and other local-level stakeholders 	<ul style="list-style-type: none"> • Rapid appraisal methods with select target communities • Surveys in select communities • Semi-structured interviews with local actors in selected communities, and with regional stakeholders • Check availability of regional data for some indicators 	<ul style="list-style-type: none"> • Rapid appraisal methods with select target communities • Surveys in representative sample of communities and/or with representative organizations at higher scales • Semi-structured interviews with local and regional actors in sample areas, and with national stakeholders • Check availability of national-level data for some indicators

Those who experience change are at a unique vantage point to evaluate it and offer critical perspectives for Impact Assessment. The methods employed by this Impact Assessment Tool draw extensively on people’s perceptions and experiences to 1) assess changes in the selected indicators, 2) identify the causes of changes in outcome parameters, 3) evaluate the relative weight of different forces in effecting change, and 4) ascertain the specific impact of the intervention(s) of interest. It injects rigor through a recognized qualitative technique known as **triangulation**, which essentially elicits the same information from several persons with sound knowledge on the subject who possess different backgrounds and vested interests, and examines symmetries and contradictions in the information gained. Further triangulation with information from secondary sources is then done.

This tool discusses three methods for eliciting information from primary sources and guides the team in selecting the most appropriate mix of these, noting once again that if a baseline assessment as carried out, the same methods for collecting data on pre-intervention indicators should be used for gathering information on the indicator’s present state. **Rapid appraisals** are designed to elicit information from communities or other groups in an interactive fashion that encourages participation and learning. Communication with individuals is facilitated by **semi-structured interviewing**, a technique designed to engage key informants in a conversation on the subject matter, while still pursuing a consistent inquiry. **Focus group interviews**, a similar technique, can be used with small groups. If resources for the assessment are limited, it may be possible to have focus group interviews substitute for more comprehensive community consultations using rapid appraisal workshops. Assessing local-level projects where baseline survey data exists for the selected indicators may also be amenable to **follow-up surveys** to create panel data sets.

Appraisals and Interviews. Both appraisal and interview techniques employ two stages of inquiry. In the first stage, the focus is exclusively on characterizing the change in the selected indicators, reasons contributing to the change, and their relative weight. To avoid biasing the informants toward attributing changes to the intervention(s), no mention of it is made at this stage. Also, the less associated the interviewer is with the intervention(s), the less likely s/he is likely to elicit bias from the interviewer. The objective of this initial stage of inquiry is to produce an assessment of the change in each of the selected outcome indicators and a set of causes explaining each of the outcome indicator changes. How this is done is presented in Section 4.3.

In cases where the team can count on baseline data to populate the pre-intervention state of most of its indicators, there will be no need to gather information on their state. The advantage of having baseline data is that one does not need to rely on people’s imperfect memories for assessing pre-intervention indicators. When baseline data does not exist, the quality of recall data is enhanced by consulting multiple informants about the same indicator and by linking the date of the indicator to a significant event. For example, if one is

interested in gathering information on the adoption of soil improvement technologies in 1994 (prior to the LTPR intervention of interest), one might ask, “How many farmers in this village used fertilizers and/or contour bunds in 1994, the year that President Perez was elected?” Droughts, natural disasters, strikes, and other major current events also tend to be effective time association triggers.

A second stage of inquiry follows and seeks to avoid overlooking unexpected outcomes emerging from LTPR interventions. This subsequent tier elicits perceptions about the specific impact of the intervention and necessarily follows the previous inquiry in order not to bias the judgment of the informant about the forces influencing change. Here, the objective is to produce a set of outcomes illustrating the multiple effects of the intervention, a technique explained in Section 4.3.

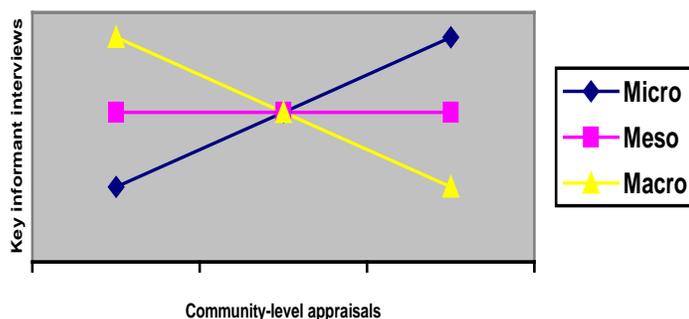
In the case of interviewing groups or applying rapid appraisal methods, consideration should be taken of the needs and sensitivities of women and other vulnerable groups. In mixed male-female groups, women may be less outspoken or defer to men, eclipsing women’s perspectives of change and factors contributing to change. The same can also be true for certain vulnerable groups, who may feel intimidated in the presence of more dominant or powerful groups and refrain from actively participating in the assessment. In some cases, female facilitators may be more successful at eliciting responses from women’s groups, especially on more sensitive topics like intra-household control rights over land and other assets. Groups that are oppressed are likely to be most at ease with persons who bear no relation to their oppressors.

Follow-up surveys. When baseline data was collected using survey methods, they should be re-employed for gathering present-day states of indicators from the same sample, thereby enabling the team to assess changes in those indicators. Even if the team uses survey methods to assess indicator change, it does not obviate the need to validate those changes (or lack thereof) with respondents nor to employ more open-ended questions to gauge their perceptions about corresponding causal factors. Likewise, questions corresponding to the second stage of inquiry—investigating the perceived outcomes emerging from the LTPR intervention(s)—will also need to be included in the follow-up questionnaires. Care must be taken to interview both male and female members of households, and to target households of vulnerable groups. Gender and vulnerable group considerations should also guide the selection of enumerators. Data acquired through baseline and follow-up surveys can be supplemented by information gathered from appraisals and interviews using recall data.

By using survey methods, it may also be possible to undertake a quantitative analysis of impact. However, this will require that the baseline also includes data on a set of hypothesized causal factors, usually determined by the person who originally designed the theoretical model and corresponding survey, and that such information is collected during the follow-up survey. The disadvantage is that these methods frequently do not capture the perspectives of causality from stakeholders and other key informants. It also requires persons skilled in quantitative methods to ensure the follow-up survey is carried out correctly, to design and implement the analytical model, and to analyze the statistical findings. Guidelines for this type of approach are beyond the scope of this tool.

The appropriateness of the methods to be employed will depend not only on the source of information, but also on the scale of the intervention(s) being assessed and the scale of outcomes under consideration. The larger the scale of the intervention, the more the team will want to rely on key

FIGURE 3.2. RELATIVE DISTRIBUTION OF METHODS TO EMPLOY DEPENDING ON SCALE OF ASSESSMENT



informant interviews, in large part to contain costs (see Figure 3.2). This is also true when outcomes are more macro in nature since policymakers, officials, and others addressing LTTPR issues at the national level are often better equipped to inform on indicators at that level. However, to include the perspectives of beneficiaries on change and its causes, the team should employ either rapid appraisals or focal group interviews in a sample of communities that represent contrasting characteristics. In cases where communities may have difficulty evaluating change in macro phenomena, the team may want to consider employing alternative indicators more appropriate to their knowledge. For example, in the case of evaluating changes in equity of landholdings, asking about changes in the proportion of landholdings in the area above and below certain hectare specifications and the causes will probably be more readily comprehended than inquiring about changes in national Gini coefficient indices.

At the meso scale, the balance can shift to include more community-directed methods, but should still rely heavily on interviews with other stakeholders and resource persons. At the local level, rapid appraisal and focal group methods targeting communities may dominate, but non-community sources need to be tapped as well. However, if the scope of the Impact Assessment is narrow with the purpose of understanding only localized outcomes of a project, an in-depth consultation exercise may not be necessary. Instead, a single rapid appraisal workshop could be undertaken, bringing together local stakeholders and resource persons. Alternatively, a survey of project beneficiaries may be sufficient to assess impact. This can be undertaken when a baseline of the selected indicators exists, but it can also be done even if baseline data is lacking by relying on recall and perceptions about indicators and causal factors.

Beyond scale, the team should also consider some of the possible tradeoffs in selecting one method over another, as well as how methods can be adapted to minimize their potential shortfalls. Table 3.3 provides a brief overview of some of the pros and cons of these different methods useful for the team to consider.

Regardless of the method chosen, many practical aspects will need to be considered, such as whether interpretation services will be needed, transport arrangements, accommodation arrangements, provision of meals or snacks at workshops, etc. Together with the lists of communities and other informants the team would like to meet with, these other matters should be discussed with the logistics coordinator prior to arrival in the field. The team will also want to share the results of the planning phase with the USAID mission to get their input and assess feasibility. What may make sense to a team of outsiders and contribute to a robust Impact Assessment can also sometimes have political implications that the mission may wish to avoid and the team may need to be sensitive to.

TABLE 3.3. PROS AND CONS OF DIFFERENT METHODS FOR GATHERING PRIMARY SOURCE INFORMATION

METHOD	PROS	CONS
Rapid Appraisals (Group-Based)	<ul style="list-style-type: none"> • Perspectives of several informants (usually beneficiary communities) are captured at once • Opportunity to triangulate information provided by different community members 	<ul style="list-style-type: none"> • Voices of elites and men can dominate, while marginalized groups, women, and young people may be less participative or might not even attend, depending on the group composition and social norms about who speaks in such groups
Semi-Structured Focal Group Interviews	<ul style="list-style-type: none"> • Focal groups can be structured around less vocal groups (e.g., women and the poorest), enabling them to feel more at ease contributing, while also enabling the team to capture perspectives of these specific groups. 	<ul style="list-style-type: none"> • More time-consuming way to capture input than rapid appraisals
Semi-Structured Individual Interviews	<ul style="list-style-type: none"> • Appropriate for key informants who are not part of a beneficiary community • Perspectives of less vocal (often the most marginalized) are captured • Additional and more detailed information is often possible to obtain in more private settings 	<ul style="list-style-type: none"> • Several interviews have to be done to capture different perspectives • Social rules may prevent interviewing women alone
Surveys	<ul style="list-style-type: none"> • Allow for capturing a consistent set of information from individuals/households • Can provide a basis for statistical analysis • The rigid structure of surveys may enable them to be carried out more rapidly than semi-structured interviews 	<ul style="list-style-type: none"> • Perspectives of women may be lost if consult only with household heads • Information elicited via surveys may be more sterile and artificial than information gained through more socially engaging methods like group workshops and conversation-like interviews • If data is to be used for statistical analysis, it requires surveying large samples of individuals/households • Tends to be costly to administer, especially at larger scales

3.6 COMPLETING WORK PLANS AND ALLOCATING RESOURCES

Once information sources and methods have been specified, the team’s efforts can center on assigning team members responsibilities for consultations with the various informants and on scheduling time and logistics for interviews with individuals and rapid appraisals, in the case of communities. When the logistics coordinator or other member of the team contacts individuals and community leaders, it is preferable to address the purpose of the inquiry in general terms, e.g., explain that the team is carrying out a study on behalf of USAID to assess factors contributing to changes in property rights or socioeconomic conditions in the region. Specific mention of the project and the LTPR intervention(s) being assessed is best avoided in an effort to minimize biasing the assessment. Since preparation for community rapid appraisals will require more extensive planning than interviews, sufficient time should be built in to arrange these. Table 3.4 offers guidelines for planning these workshops.

TABLE 3.4. WORKSHOP PLANNING CHECKLIST

Logistics Components	
Who	Name of community or group. List of all invitees, whether informal and formal invitation has been issued, and replies received. If a baseline assessment was done using rapid appraisal workshops, target communities where those assessments were conducted and seek to ensure many of the same participants attend. Also, ensure adequate representation of women and vulnerable groups.
When	Workshop dates and agenda
Where	Location where workshop will be held
Facilitators	Names of team members responsible for facilitating workshops (at least two). Name of any persons contracted specifically for this purpose.
Materials	Depends on whether the exercises will be done on paper or on the ground. Materials may include large rolls of paper, markers, masking tape, numerous 8"x5" cards, colored stickers/colored tacks/beans/stones, stapler, pens, notebooks for participants, large cork boards, a camera for photographing exercise outputs. Facilitators should provide the list.
Transportation	Arrangements for round-trip ground transportation between participants' homes/offices and the workshop site
Accommodation	Location and contact information of overnight accommodation and transport to facility, if needed
Meals, snacks, water	Arrangements for meals, snacks, and water during the workshops
Budget	Breakdown of expenses and anticipated total cost of the workshop

At this point, the team is able to build in plans for collecting primary source information into the Impact Assessment work plan developed in Section 3.3 for secondary source information. They can specify planned actions and team member responsibilities for collecting primary source information and projecting associated costs to ensure that plans conform to the available resources.

Useful questions for planning are:

1. Based on the scale of the assessment and whether a baseline assessment was carried out, which methods are likely to be most appropriate? Do special considerations need to be taken for working with women or other vulnerable groups (e.g., planning separate groups or engaging female facilitators)?
2. Given the budget available for the assessment, how extensively and intensively can the methods be applied? Approximately, how many communities, government authorities, nongovernmental organizations, and other stakeholders will be consulted in the assessment?
3. Who will probably spend what time, doing what, and where?
4. What are critical unknowns and flexibility requirements? How can they be accommodated, while still working within the budget?

Annex D provides a template for this exercise. Although the team should strive to work within the timeframe and budget parameters originally established in the scope of work, the planning undertaken by the team may reveal whether additional resources or time are required to produce a quality assessment.

SUMMARY OF STEPS: PLANNING

Selecting outcome indicators

- Prepare a list of all outcomes of interest chosen in the scoping exercise.
- Review any project baseline assessments that were carried out to identify which, if any, indicators were used to measure the selected outcomes.
- Assign a set of multiple indicators for each outcome.
- Investigate the existence of secondary source data on indicators for both the pre-intervention year and the present, and the location and anticipated cost of gathering it.
- Select one to three best-bet indicators for each outcome of interest, based on the analysis provided by Annex B.

Deciding on information sources

- Using the template in Annex C, devise a work plan for assembling information from secondary sources.
- Identify primary sources based on respondents targeted by any baseline assessments, the scale of the intervention(s), information gathered on the project, the LTPR situation, and consultations with the mission. Primary sources should include a mix of project beneficiaries, others affected by the project, and non-stakeholder resource persons. Devise a work plan for gathering information from primary sources (Annex D).

Deciding on methods

- Considering the source of information (individuals, groups, or communities), scale of the interventions and outcomes being assessed, and the methods applied if a baseline assessment was carried out. Then select the best mix of rapid appraisal, interview, and survey methods.

Completing work plans and allocating resources

- Agree on impact team member responsibilities for conducting appraisals and interviews (Annex D).
- Schedule interviews and carry out logistical planning to organize appraisals.
- Finalize the Impact Assessment work plan for gathering primary source information (Annex D) and allocate budgetary resources according to the parameters established in work plans for gathering secondary and primary source information (Annexes C and D).

4.0 DESIGNING METHODS AND IMPLEMENTATION

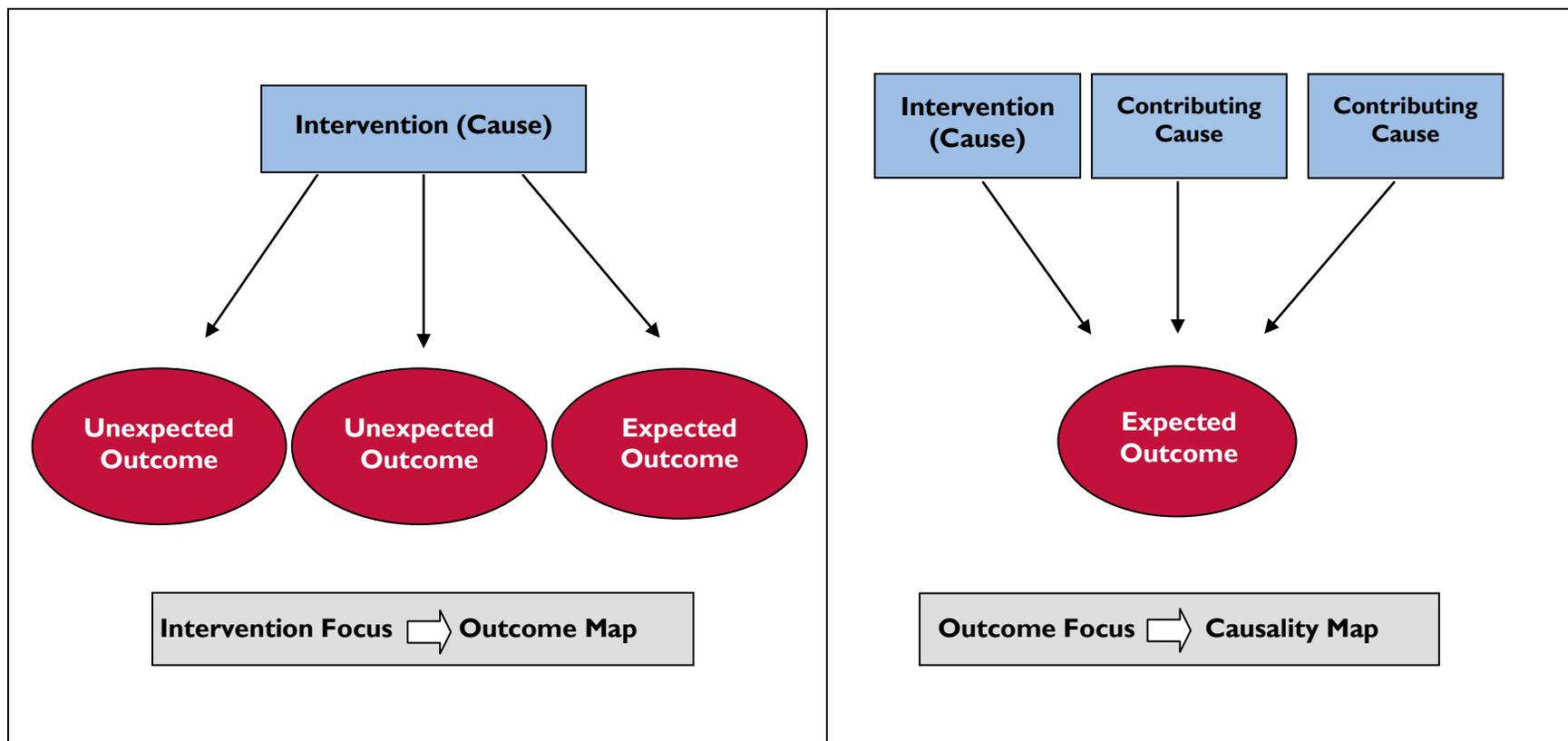
With decisions made about which information sources to tap and how they will be tapped, methods can now be designed so that the team is prepared to implement them. Section 4.1 provides guidelines on method design.

Upon completion of the design, the team begins the real task of assessing impact: 1) identifying the host of causal factors contributing to outcome indicators changes and evaluating the relative effect of these causes, including LTPR interventions; and 2) identifying and assessing outcomes emerging specifically from the designated LTPR intervention(s). Section 4.2 provides direction for both the collection of published information on indicators and causal factors as well as for appraisals and interviews. In the identification of causal factors, the results are captured in a series of **causality maps** for each information source and each outcome indicator, which are then used as the basis for triangulation. An example of such a map is given in Figure 4.4, while the conceptual representation is depicted in the “outcome focus” (see Figure 4.1). Note that these causality maps are distinct from the conceptual maps described in Section 3.2. Conceptual maps represent theories about the links between LTPR interventions and desired outcomes, while causality maps capture informant perceptions about the array of factors that contribute to changes in different outcome indicators.

Conceptual maps represent pre-project hypothesis about the links between LTPR interventions and desired outcomes. **Causality maps** capture informant perceptions about the array of factors that contribute to changes in different outcome indicators. **Outcome maps** reveal informant perceptions about the different outcomes produced by the interventions—whether expected or unexpected.

During the interviews and appraisals, informants’ perceptions about the impact of the actual LTPR intervention(s) of interest is also undertaken in the second stage of the process as a means of harvesting information about outcomes that the mission may not have anticipated. This information is used to produce outcome maps (conceptually depicted in the “intervention focus”—see Figure 4.1) that illustrate the array of outcomes emerging from the LTPR intervention(s) of interest. These maps serve as a basis for analyzing how stakeholder perceptions of the impact of interventions compare with the original hypotheses justifying the intervention(s) depicted in the conceptual maps.

FIGURE 4.1. CONCEPTUAL UNDERPINNINGS OF THE OUTCOME AND CAUSALITY MAPS



4.1 DESIGNING METHODS

This sub-section provides guidelines for designing both the rapid appraisal and semi-structured interview methods. For those interested in complementing these methods with surveys, literature on survey design should be consulted.¹⁶

Rapid Appraisals. When it comes to consulting groups or communities that have been the target of USAID or other donor interventions, group-based rapid appraisal methods can be effective in consulting large numbers of people in a dynamic and interactive manner. As noted in Table 3.3, however, marginalized groups, including women, can sometimes be excluded or less vocal in these settings. Box E provides examples of some approaches that can help draw out their participation. In general, rapid appraisal workshops should not exceed 25 people to sustain a healthy level of group interaction. At least two members of the team should be engaged in the workshop, one to facilitate and one to record processes and outputs. The following provides a thumbnail sketch of the stages of a participatory Impact Assessment approach for use with communities. The process is expected to last no more than a day and is easily adapted for use with illiterate groups using locally available materials.

Part I: Defining Indicator Changes

1. *Identifying changes of concern.* The facilitators should present the outcomes and their respective indicators for which the mission is interested in assessing change and the time period. This includes all outcomes and indicators that were part of a baseline assessment applying rapid appraisal methods with that particular target community(ies). The facilitator should also explain what an indicator is and its purpose. The participants can then be invited to introduce a limited number of additional indicators to capture outcomes they regard as important in contributing to their well-being and have these added to the list. All indicators should be presented visually, either as simple words or symbols, depending on group literacy.
2. *Gathering information on the state of indicators.* Participants are asked to evaluate the current state of the indicators included in a baseline assessment they participated in, since presumably they contributed to assessing the pre-intervention state when the baseline was done. For indicators that were not part of the baseline assessment or in cases where most or all of the workshop participants were not part of the assessment, participants should be asked to evaluate the states of the indicators both in the present and in the pre-intervention year. In such cases, facilitators may choose to mention significant events (e.g., elections, droughts, and major infrastructure installation) in the pre-intervention year to improve recall capacity. Before and after states are posted alongside each indicator on separate large boards or sheets of paper, and participants are asked to validate the implied change or lack of change.

BOX E: TECHNIQUES FOR IMPROVING WOMEN'S PARTICIPATION IN GROUP-BASED APPROACHES

1. Use opportunities to divide the full group into smaller breakout groups with like members (e.g., only young women, only community leaders, only ethnic minorities). Then ask these groups to contribute their small group findings in plenary, with marginalized groups asked to contribute first.
2. Pass around cards on which individuals can write or draw their contributions. All cards are collected and receive equal (and anonymous) treatment.
3. Purposely hand women and members of marginalized groups "the stick" (i.e., the pen, stones, or drawing stick) to make first contributions to a group exercise.

¹⁶ See, for example, 1) Grosh, M. & Glewwe, P. 2000. *Designing Household Survey Questionnaires for Developing Countries: Lessons from 15 Years of the Living Standards Measurement Study*. Volumes 1, 2, and 3. The World Bank; and 2) United Nations, Department of Economic and Social Affairs, Statistics Division. 2005. *Household Sample Surveys in Developing and Transition Countries*. Studies in Methods, Series F, No. 96. New York. http://unstats.un.org/unsd/hhsurveys/pdf/Household_surveys.pdf.

Part II: Identifying the Causes of Change

3. *Constructing the causality map (tree).* For each indicator, a simple picture of a tree with multiple branches and roots is drawn on the ground or on a large sheet of paper. Above the tree or off to its side are listed the pre-intervention indicator state and the present-day state. The facilitator asks participants about factors they feel contributed to the indicator change (or lack of change), and then places the reasons they cite along the tree.¹⁷ Reasons are recorded in simple words or as symbols on cards depending on literacy. If participants attribute change to the project in general, the facilitator will want to probe which specific project interventions contributed to the change. After completing this exercise for all participants, consider listing causal factors cited by other sources (but not by any of these group members) and asking the participants if this is a valid factor influencing change. Factors receiving support from the group are recorded and placed on the tree. If time permits, the team can explore the sequence of causality with the participants, locating direct causes among the leaves, intermediate causes along the trunk, and branches and root causes within the root structure. The idea is to produce various causality maps that explain the causes leading to changes in the indicator states.
4. *Rating causes.* Each participant is then given 10 stones, stickers, or thumbtacks and asked to allocate these on the reasons provided according to how important they feel the different reasons are. Steps 3 and 4 are then repeated for each indicator.¹⁸

Part III: Identifying the Outcomes of the Intervention(s)

5. *Constructing outcome maps.* Once the facilitators have verified their understandings from the previous exercises with participants, the focus turns to the LTPR intervention of interest. Participants are asked to cite key outcomes that emerged from the LTPR intervention of interest.¹⁹ With the intervention placed at the base of a new tree, outcomes can be ordered along the branches by participants to produce the appropriate cause-effect chains. This is followed by a discussion of why the various outcome chains emerged, and a ranking of the different chains to capture perceptions of their relative importance. When more than one intervention is evaluated, this exercise should be undertaken for each. After asking all participants to come up with outcomes, consider listing other outcomes they did not mention but were cited by other sources. Ask the group if such outcomes are valid. For those that receive some degree of consensus, include those in the list of outcomes.

Part IV: Write-up and Validation

6. *Recording output.* In addition to what is recorded on the trees, the results of both of these exercises should be recorded on paper by one of the team members along with any pertinent discussion. Figure 4.2 provides an example of a “crib sheet” to record information gathered during rapid appraisals and interviews. This is based on one invented by the team that pilot tested a draft version of this tool.
7. *Verification and feedback.* As a final step, the facilitators verify their understanding from the assessment exercise with participants to ensure validity and discuss with them how the findings will be used. The team may wish to elicit feedback from participants on the usefulness of the exercises to them and on suggestions for improvement, which can be taken into account in designing future appraisal workshops.

¹⁷ Alternatively, each participant can be asked to write/draw up to three reasons on cards, after which these are discussed and posted on the tree with duplicate reasons consolidated. This can ensure all participants contribute, but may be more challenging in cases where many participants are illiterate.

¹⁸ The team that piloted an earlier version of this tool eliminated this step due to the number of outcomes and interventions to be covered with the communities, as well as concern that going to this level would take too much of the community's time. Other teams facing similar circumstances may elect to do the same.

¹⁹ Again, this can be done by having each participant record up to three key outcomes on cards, which are then collected, discussed, consolidated, and posted on the tree.

FIGURE 4.2. SAMPLE CRIB SHEET TO RECORD CHANGES IN OUTCOME INDICATOR STATE

(Based on crib sheet used by the pilot team assessing the impact of LTPR interventions of the CAIMAN Project, Ecuador)

	Indicator 1: Perception that State will support legal claims of indigenous communities	Indicator 2: Perception of external stakeholder respect for territory	Indicator 3: Perception that Federation is effectively managing territorial issues with external actors
Indicator State–2008 (present)			
Indicator State–2002 (project start date)			
Causes of Change			

Other Indicators to Query: **Indicator 4:** Perception of degree of community’s compliance with co-management agreements and NRM plans. **Indicator 5:** Perception that all actors are utilizing resources of indigenous territories in a sustainable manner.

Questions to cover in each interview: (a) **Causality Map**—(i) Indicator status now and in past, (ii) Factors that caused change, (iii) Rank importance of causes; (b) **Outcome Map**—(i) Outcomes emerging from each intervention (positive or negative), (iii) Relative importance of outcomes; (c) **Lessons learned** in working within indigenous territorial rights.

Semi-structured interviews and focus groups. When it comes to interviewing individuals or small groups, team members will want to plan questions in advance, but integrate these into a conversational, rather than survey, format. A suggested format for questions in the first stage of inquiry would be:

- How would you evaluate the current state of [indicator]?²⁰
- (If baseline data exists for the pre-intervention year) In [year of the baseline assessment], you/this community were asked this same question and reported that [indicator] was X at that time, implying a change of Y between [year of the baseline assessment] and now. Is this the change that took place?
- (If NO baseline data exists for the pre-intervention year) How does this compare with the situation in [selected year prior to intervention] when [X event] occurred?²¹
- What factors do you think have led to this (lack of) change? Why?
- Other informants we spoke with identified [X factors] as contributing to this change. Do you believe any of these factors has in fact contributed to this (lack of) change? Why?²²
- (Assembling all factors noted as relevant by the informant) Do you see these factors as being related to each other in any way? If so, how?
- Which factors do you believe have been the most important? Why?

At this stage, questions should be open-ended and not lead the interviewee toward identifying or assigning greater or lesser weight to any particular causal factor.

²⁰ In cases where an outcome may be experienced differently by different population groups (e.g., men and women, youth, the elderly, HIV/AIDS sufferers, and the very poor), it can be useful to ask about indicator states for these different groups.

²¹ If the team lacks a baseline and needs to rely on recall data for pre-intervention states, recollection of the pre-intervention state corresponding to a particular year can be enhanced by creating an association with a widely known event that occurred in that same year, such as a major political event or natural occurrence.

²² If time is lacking, this question and the next one can be eliminated.

Once the informant has provided their analysis of changes in all the chosen indicators and the forces contributing to those changes, the interviewer can proceed to the second stage of inquiry. This involves specifically asking the person(s) about the impact of the LTPR intervention of interest. The questions might be framed as:

- What changes have emerged as a result of [the LTPR intervention(s)], both positive and negative?
- Which of these have been positive and which have been negative? How so?
- Why do you think these changes occurred?²³
- Were there other factors that also contributed to these changes? Which? How?

Once all perceived outcomes of an intervention are expressed, the interviewer should ask the individual(s) to cite which outcomes have been the most profound and why. If the interviewee believes the intervention(s) had little or no impact, the reasons for that perception should also be explored. The crib sheet in Figure 4.3 can help to record the information in an orderly way, and help the team keep track of the full set of interventions and associated outcomes to query.

FIGURE 4.3. SAMPLE CRIB SHEET TO RECORD OUTCOMES ASSOCIATED WITH LTPR INTERVENTIONS

	Outcomes/Changes	+/- Change	Reasons for Outcome/Change	Other factors contributing to the Outcome/Change
LTPR Intervention 1				
LTPR Intervention 2				

When assessments are carried out for projects with multiple LTPR interventions and corresponding outcomes, the team may not have time to cover the full array of questions associated with each. Also, the need to explore some questions in more depth may sometimes necessitate trading off breadth of responses. In these cases, the team should decide before each interview which first and second stage inquiry questions should be prioritized, eliminating the low priority questions in case there is insufficient time to include them. Prioritization should be based on the team’s best estimation of the interviewees’ knowledge about the question being asked, taking care to try to correct for possible bias. For example, if some indicator changes are not explored with one community focus group, they could be included in a focus group with a neighboring community.

Interviewees may rightfully ask how the information will be used and whether they can obtain a copy. The team will want to ask the mission about this prior to engaging in the interviews. Because the interview format may require some getting used to, it may be helpful to conduct interviews with less important stakeholders

²³ If time is lacking, this question and the next can be eliminated.

first to “warm up.” It is also important not to pack interview schedules too densely or too late in the day, but rather leave some time for the team to review what they learned and incorporate the information into the maps at the end of each day. This will also help the team ensure that the proper information is being collected and that the interviewees understand the questions correctly. If not, questions should be modified to make them clearer. Dividing the team into pairs (an interviewer and a recorder) can help the team accomplish more interviews in less time.

4.2 GATHERING SECONDARY SOURCE INFORMATION ON INDICATORS AND CAUSAL FORCES

This step in the Impact Assessment process involves using the secondary sources identified in Section 3.3 and the Annex C work plan to (1) gather information on indicators, and (2) research causal forces contributing to all selected indicators. This information is then used to produce causality maps.

Indicators. Research on indicators will enable the Impact Assessment Team to use documented information on the before and after states of indicators to compare with informant perceptions of the same, providing a more robust picture of the change process.²⁴ To the extent possible, the data gathered on the pre-intervention state should be for the same year for each indicator. When a year other than the present is used to characterize indicators, use data for that same year.

Despite the linear progression outlined in this tool for selecting indicators, identifying information sources, and gathering the data, reality is more likely to call for an iterative process. Once the indicators are defined, the team may find that more data exists on alternative indicators and will ultimately need to make choices to come up with a set of good quality indicators that can be populated with information. To keep track of information on indicators, the pre-intervention state and present state of the indicator are entered into a common database along with the data source and the direction and percentage of change. Annex E provides a template for such a database.

Causal Factors. Like official data on indicators, published accounts describing the factors contributing to outcome and indicator changes broadens the base of information from which to analyze causality. The team should consult the secondary sources identified in Section 3.3 and Annex C for researching causal factors. Like human sources, they need to reflect a diversity of perspectives. Sources that provide empirical evidence of causal relationships and thoughtful analysis often deserve additional weight. Certain literature may also point to historical conditions in contributing to outcomes, the importance of which is discussed in Box F.

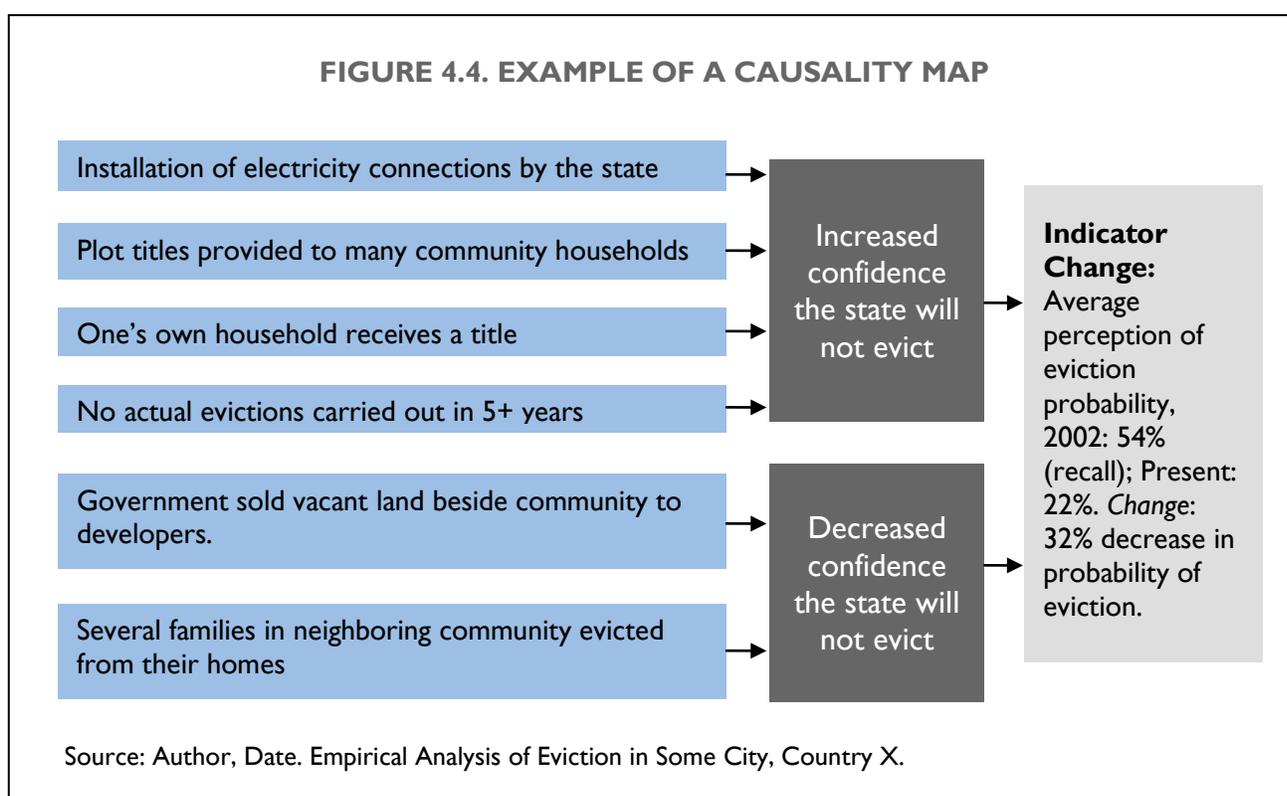
BOX F: HISTORY AS A CAUSAL FACTOR

The history of a country and its characteristics prior to LTPR interventions are likely to be highly varied, such that the impact of one or more interventions in one country may have little in common with the outcomes that emerge in another context. This may be true not only at a national level, but also between localities within countries. History and the realities that emerge from it also affect the relative success and failure of interventions. Therefore, it is important to account for how these conditions might have shaped the eventual impact of those interventions. Team understanding of the evolution of land tenure and property rights institutions is especially critical, particularly in the locations where interventions occurred. Past experience has demonstrated that LTPR interventions that conflict with existing local norms and practices for land tenure have often met with great difficulty and failure, while those interventions that complemented or bolstered existing trends in property rights evolution have shown greater success. Other important historical elements to capture include the state of relationships between different wealth classes, ethnic groups, and men and women with regard to land and natural resources. LTPR interventions that ignored historic inequalities or tensions between these groups often have either struggled to meet their objectives or even inadvertently facilitated negative outcomes.

²⁴ If a baseline was carried out and derived information from secondary sources, the team may only need to refer to those sources to verify the information and integrity of the sources, rather than seek out additional secondary source information.

Causality Maps. In the process of reviewing the literature, the underlying arguments of cause-and-effect relationships should be examined. Efforts center on identifying the different causal components contributing to each change and examining whether the source makes a case for their relationship to the change. Using this information, a causality map can be drawn that links chains of causes to changes in selected outcomes indicators, depicting the relationship using arrows. An example is provided in Figure 4.4. Alternatively, the team may wish to arrange the information in an Excel spreadsheet (see Annex F, which provides an example produced by the pilot testing team). Noting the source from which the map is derived and the indicator change it refers to will allow the team to organize the information appropriately when it comes time for analysis. These maps will form the basis of triangulation with informant perspectives on causality in the analysis stage.

It is important that time be set aside to gather and review secondary source information. This can be done by some members of the team while others are engaged in interviews or workshops. Given sufficient direction, the logistics coordinator can be helpful in identifying and gathering information on behalf of the team.



4.3 CONSULTING WITH COMMUNITIES AND OTHER KEY INFORMANTS

Having designed the instruments for interviews and appraisals and carried out the necessary scheduling and planning, the team is now ready to undertake empirical investigation of impact using primary sources. With the actual methods detailed in Section 4.1, this segment only offers some additional guidelines in applying the methods.

Rapid Appraisals. Rapid appraisal methods can be an effective means of engaging with the perspectives of entire communities and large groups in an interactive manner. The focus of the first stage should be on eliciting opinion on indicator changes and the reasons for those changes, **without** mention of the intervention(s) of interest or any other possible causal factor. This is to avoid biasing voiced perceptions as

much as possible. The less the rapid appraisal team is associated with USAID or any other donor, the better, since expectations that giving the “right” answers might result in funding or some other benefit is always a risk. Nevertheless, it is important that the team is transparent about who they are and what they are doing and why. If asked whether the findings of the assessment may affect future funding, the team should be honest in their responses. Biases can always be smoothed out through adequate consultation of disinterested parties who do not hold expectations of donor funding.

During all exercises, one member of the assessment team should be designated to reproduce on paper the work produced by the group, as well as to record relevant group members’ perceptions that were not captured or apparent from the output they created. This information is important to include in the subsequent analysis stage. The recorder also needs to be alert to individuals who refrain from participation so that the team can later seek some of them out to consult on an individual basis. Careful note should be taken of certain groups that are either absent or contribute little to the discussions, (for example, young women, IDPs, disabled persons, or ethnic minorities) and special efforts made to consult them separately in a location where they may feel more comfortable to speak candidly.

At the conclusion of the appraisal, a final set of causality maps (drawn from the tree exercises) should be produced for each indicator once the team has summarized the findings and verified their understanding with the participants. Separate outcome maps should depict each LTPR intervention included in the assessment and the chains of outcomes that the participants attributed to those. In addition to labeling maps with the respective indicator or intervention they refer to, these illustrations should have the community name and date of the appraisal noted.

Interviews. Semi-structured interviews with government and organizational representatives, community groups, mission staff, and resource persons should be informal but focused on gathering a consistent set of information from all interviewees. Interacting in a conversation-like fashion, the interviewer can probe relevant commentary and loose ends. There are advantages to audio recording the interviews if this is agreeable to the interviewee as note-taking can be distracting and can disrupt discussion flow. However, permission to record should always be sought and recording should not be done if the interviewee declines or even appears uncomfortable with it. The focus of the interview should begin with the selected indicators, eliciting informants’ perceptions of the state of those indicators in the pre-intervention year and the present, as well as the interviewee’s observations on the reasons for their (lack of) change and their relative importance. Care will need to be taken in how questions to the resource persons are framed—imposing the minimal amount of bias. The team’s affiliation with USAID or the intervention is already likely to focus the person’s thinking on USAID interventions, other donor projects, and perhaps land-related factors at the risk of ignoring or downplaying other causal forces.

Soliciting the reasons why the interviewee believes a particular change is attributable to certain factors uncovers the level of analysis they have given to comprehending the change process and can reveal evidence that lends credibility to their view. When an interviewee cites more than one factor as a cause for a particular outcome, questions should be asked about the relative importance of each factor and why it is such. In the second stage of the interview, once all indicators have been discussed, the interviewer shifts to asking the informant specifically about what changes he or she believes the LTPR intervention(s) brought about. In the case of more than one intervention, each should be queried and considered separately. Skillful interviewing involves knowing when questions have been answered even before the interviewer asks, following interesting leads, and devising clarification and follow-on questions. The interviewer will want to take care that the questions are well understood and eliciting the right kind of information, rephrasing or probing as necessary.

Each appraisal or interview should produce information with which to shed light on change and the forces contributing to it. Transcribing taped interviews and reviewing the discussions can help uncover details that might have been missed or unclear during the actual interview. Assessments of pre-intervention and present states for each indicator should be recorded in the common database together with the information obtained from published sources. Annex E provides a template for how this database might be structured. For each of the selected indicators, the team should then produce causality maps depicting the flows and interactions

between the identified causal factors based on the informant's identification and analysis. Annex F provides a tabular alternative for depicting these maps. Numbers or color codes can be used to indicate the weight assigned by the informant regarding the importance of different causal factors. These maps should be labeled with the interviewee's name and the indicator change they refer to. Information obtained on the outcomes of LTPR interventions should likewise be mapped with the identified outcomes flowing from each intervention (or the tabular alternative in Annex F). These outcome maps are then labeled with the corresponding intervention and the informant's name.

SUMMARY OF STEPS: DESIGNING METHODS AND IMPLEMENTATION

Designing methods

- Develop a rapid appraisal approach for use with larger groups drawn from beneficiary and other stakeholder communities.
- Develop semi-structured interview questions to *guide* semi-structured interviews with either individual stakeholders and resource persons or small focal groups.

Gathering secondary source information

- Using the secondary sources identified in Section 3.3 and the Annex C work plan, and gather information and data on a final set of selected outcome indicators. If information or data proves unavailable, review and select alternative indicators with the team and investigate the availability of information to populate them.
- Enter information for pre-intervention and current states for each indicator into a common database along with the corresponding data sources, and direction and degree of its change (Annex E).
- Based on the sources identified in the Annex C work plan and others encountered in the process of investigating indicators, collect information from literature on causal factors and produce causality maps pertaining to the respective outcomes and indicators, noting the source of the information for each.

Consulting with primary sources

- Carry out appraisals and interviews with selected communities and individuals. Attempt to minimize bias by omitting mention of possible causal factors in the first stage of inquiry and reserving mention of the intervention(s) of interest until the second stage.
- Review appraisal workshop documentation and transcribe and review interviews. Enter information on indicators into the common database (Annex E).
- Sketch maps depicting causality from each informant's perspective, identifying the chains and directions of forces contributing to each indicator change and the importance assigned to different causal forces. For each informant or community group, one set of *causality maps* is produced corresponding to the different indicators.
- For each informant, produce an *outcome map* illustrating the perceived outcomes emerging for each of the LTPR interventions being assessed.
- Triangulate the maps resulting from different informants with the maps of other informants.

5.0 ANALYZING, REPORTING, AND LEARNING

At this final stage of the Impact Assessment process, the team is ready to analyze the information gathered to assess the relative impact the intervention had on defined outcomes and report on its findings. Unlike most conventional Impact Assessments, however, a learning component involving the mission has been incorporated as part of the tool and serves as an integral part of the reporting process. Efforts to catalyze learning are expected to facilitate critical reflection and understanding about the role of LTPR interventions and other factors in contributing to change. Such new appreciations have the capacity to improve how future interventions will be conceived, designed, and implemented to meet their objectives better.

5.1 ANALYZING INFORMATION

Analyzing qualitative and asymmetric information garnered from numerous interviews is a challenging task and tends to be much less straightforward than quantitative analysis. The causality and outcome maps produced from primary and secondary sources can help the team readily identify repeated attributions and outcomes that highlight patterns of causality and impact as well as important differences in perceptions. The maps should be used in conjunction with original interview transcripts and documentation produced from the appraisals that hold important details on informants' analytical processes and other factors shaping their thinking.

Analysis of the information should focus on:

- *Comparison of primary and secondary source information on indicator change.* Examine the degree of variance in group and individual perceptions of change in outcome indicators and how these perceptions compare with information on indicators obtained from documented sources. If a baseline was undertaken, compare pre-intervention indicator states reported in those baseline assessments with those that rely on informant recollection or even on those derived from secondary source information. Baseline information is likely to be more reliable than recalled states, but does not diminish the importance of people's current perceptions of the past and changes that have taken place since then.
- *The importance of the LTPR intervention.* Assess the degree of attribution and weight assigned to the LTPR intervention(s) of interest in shaping the various outcomes. Where the intervention(s) is not perceived to be a priority causal factor, this merits a close examination of why this is the case. Where such interventions were associated with negative changes in outcomes, as well as where they were seen to elicit negative consequences or outcomes inconsistent with their objectives, extensive analysis of the reasons given is warranted.²⁵

²⁵ In some cases, the reasons may reveal that the assumptions guiding project design and intervention sequencing did not adequately reflect the reality of the situation, that gaps in information were present, and/or that circumstances changed over time but the project failed to adapt to the new realities.

- *Different persons or groups attributing an indicator change to the same cause(s).* The more persons or groups citing a particular causal factor and the more varied their background and experiences, the more validity can be assigned to the shared interpretation. Greater weight should be given groups that are broadly in agreement about the contributing factors than those where opinions are more divergent. Even when only a few people disagree, those opinions should be considered in the analysis.
- *The degree of analysis the person has invested in establishing particular causal links and citing LTPR intervention outcomes,* often in response to the “why?” questions. The more thoughtful and seemingly less value-laden the analysis, the more credibility can be assigned to it. If it is apparent that a person is serving a personal agenda in giving an opinion, less weight should be assigned to their responses, but it should not be discounted altogether. Similarly, the depth and breadth of a person’s perspective or one’s experiential knowledge of a particular change and the factors that influence it deserve added weight. It is important to keep a proper balance between scientific knowledge and experiential knowledge and avoid the tendency to accord greater validity to perspectives drawn from the educated over those who are less educated but bring more experience to bear.
- *Consistency in the weight assigned to causal factors.* The capacity to attribute change in an outcomes to a particular causal factor is strengthened not only by the number of times informants cite it, but also the extent that they consider it most important. Several informants citing the same causal factor and saying it was the most important affirms impact more strongly than if those same informants do not rate it highly or if only a few informants cite it and consider it important.
- *Patterns emerging from different types of people and the opinions they hold about attribution.* Take note when members of one group consistently attribute change to a factor that members of another group never cite or feel is unimportant. For example, government officials may consistently attribute impact to a set of causal factors that are rarely ever cited by community members, or vice versa. When informants have had an opportunity to comment on the causality maps and outcome maps of other informants, the degree to which perspectives are triangulated by others adds weight to their validity.
- *Verifiable evidence of the causes to which a person or group attributes changes.* Such evidence obviously strengthens the legitimacy of the attribution.
- *Obvious contradictions between respondents* in citing causal factors and possible reasons for those contradictions or contradictions between informant perceptions, information from secondary sources, and/or conventional theory regarding causality. Instances where informants have rejected the perspectives of other informants cast these contradictions in stark relief.
- *Credibility of the informant.* Responses from those in a position to witness indicator changes and experience its causes merit greater weight than those who only view them at a distance. The same is true for those who have direct experience with the impacts of interventions. For example, national government officials that are far away from the field may be less informed about local realities than community members, while the latter may be less aware of policy-related issues. Care should be taken to weigh education and position versus knowledge and experience, and not to undervalue the latter.
- *Consistency in the types of outcomes seen to emerge from the LTPR intervention(s).* In analyzing the outcome maps, particular attention should be paid to cases in which the hypotheses linking the intervention to expected outcomes (i.e., the conceptual maps) are not supported by informants’ actual perceptions of intervention outcomes (i.e., the outcome maps) and/or published material. Such inconsistencies suggest where

It is important to keep a proper balance between scientific knowledge and experiential knowledge and avoid the tendency to accord greater validity to perspectives drawn from the educated over those who are less educated but bring more experience to bear.

conventional wisdom and dominant assumptions about the outcomes of LTPR interventions deserve to be questioned. Important lessons can be drawn here for future LTPR project planning and intervention sequencing.

- *Quality of the intervention planning process.* If the LTPR intervention(s) were developed with the aid of the SAIP Tool, it may also be useful to go back to the Intervention Inventories created during the Intervention Planning phase to examine whether any of the potential “unintended consequences” cited actually emerged and whether measures were established to mitigate those. Was there adequate consideration of enabling conditions and planning and implementation of enabling interventions to ensure LTPR interventions were successful? Was sequencing done well and were projections informing sequencing assumptions reasonably accurate? Was consideration taken of the likely differential impacts of interventions on women, men, boys, and girls?

With these elements in mind, the team should seek to synthesize information from the various causality maps and outcome maps to 1) illustrate the overarching trends in indicator changes; 2) produce a causality map for each indicator that depicts the dominant, credible thinking on contributing factors and their chains and flows of causality; and 3) construct one or more outcome maps that illustrates the dominant, credible view about the chief outcomes of each of the LTPR interventions examined. In cases where there was ample divergence in opinion, clusters of consensus can be represented in two or more causality maps or outcome maps.

5.2 REPORTING RESULTS

The Impact Assessment Report produced by the team should capture the elements of the analysis described above and ultimately produce a picture of how the map of causality played out for each outcome indicator and the relative importance that LTPR interventions had in shaping them. The core findings are most aptly captured in causality map and outcome map figures that highlight relationships and contrast theory with reality. The richness and complexity of the story and sources of information are best described in the text.

Elements of the report should include the following sections at a minimum:

- *Scope of the Impact Assessment exercise*, describing the purpose of the assessment, the LTPR intervention(s) assessed, the timeframe, and the outcomes against which impact was evaluated;
- *Methodology*, describing the overall approach undertaken, sources consulted, and instruments applied;
- *Description of LTPR intervention(s) and the hypotheses* linking these to LTPR issues and strategic outcomes, as illustrated by the conceptual map(s);
- *Impact assessment*, divided by sections assigned to each of the outcomes of interest that describes the indicators assigned to the respective outcomes, highlights the change in indicator states based on informant perceptions and secondary sources (Annex E), and conveys the analysis of the elements that produced their change and the relative importance of those causal factors (Descriptions should be supplemented with synthesis *causality maps* for each of the indicators.);
- *Assessment of the importance of the LTPR intervention(s)* of interest in contributing to changes in the various outcome indicators and the rationale for their degree of significance;
- *An analysis of the expected and unexpected outcomes* that informants associated with the LTPR interventions and a comparison of these with the outcomes predicted by the intervention hypothesis (Essentially, this compares and contrasts the outcome maps with their corresponding conceptual maps that capture the project’s original theory of change.); and
- *Summary and conclusions* that underscore the chief findings of the Impact Assessment and highlight the relative importance of LTPR interventions in shaping important outcomes and contributing to unexpected outcomes, as well as point out areas that are less clear and for which conclusions are difficult to draw.

An example of the table of contents developed by the team that piloted this tool in Ecuador is provided in Annex G.

5.3 CATALYZING LEARNING

Given that the LTPR Impact Assessment was undertaken with a learning objective in mind, the process does not end with the production of a report. Another report delivered to mission staff to read in isolation is unlikely to cultivate the in-depth understanding of the connections between LTPR interventions and the results emerging from them that is necessary to influence future LTPR intervention design. It is important that the mission staff have an opportunity to work with the team to understand and validate the findings, reflect on their lessons, and harvest what they need to build on successes and address weaknesses.

Once the draft report has been prepared, the team should schedule a half- or full-day meeting, when mission staff can be available, to present the report and discuss the Impact Assessment exercise and its findings. Although the staff may be familiar with the general method of the assessment, team members will want to provide a review and share information on specific sources of information consulted, the methods employed, and the rationale for those choices.

Following the presentation and a subsequent question and answer session, the team can facilitate a learning exercise among staff to highlight the findings. One approach is to present the stylized LTPR conceptual maps linking interventions and hypothesized outcomes against the outcome maps representing informant perceptions of intervention outcomes. The similarities and differences identified by the mission and staff can be noted on cards and displayed, after which the cards are used to evoke discussion. Particular attention should be given to exploring cases of considerable divergence between theoretical assumptions and reality, and cases in which unexpected outcomes emerged.

This exercise can be followed by a presentation of the causality maps highlighting the number of causal factors and the complexity of causal paths influencing the various outcomes. Discussions can center on what new information and understanding these maps reveal, such as unexpected influences contributing to change and how other causal factors interact with interventions to shape outcomes. The next step of the discussion should center on identifying the implications of this new understanding on how future LTPR interventions should be planned and implemented.

A third exercise might focus specifically on the findings related to gender. Staff will want to examine changes associated with increased or diminished gender equality and the reported causal factors, specifically noting any perceptions or evidence of LTPR interventions contributing to such changes. Even if there is no attribution to the interventions, mission staff should benefit from a deeper understanding of the factors that influence gender relations and their equity. Similar exercises can be done for other vulnerable groups.

At this juncture, the mission staff may want to tease out the implications of all the findings for current and future LTPR interventions, contemplating the kinds of changes needed in their design and implementation and the actions such changes would imply.

SUMMARY OF STEPS: ANALYZING INFORMATION, REPORTING ON RESULTS, AND CATALYZING LEARNING

- Review causality maps, outcome maps, and other information collected.
- Analyze the information to identify changes in outcome indicators, factors contributing to those changes, the relative importance of those factors in effecting change, and elements that underscore or weaken the validity of these causal factors. Produce figures that summarize these relationships.
- Analyze the relative significance of LTPR intervention(s) as compared to other causal factors and the underlying reasons, as well as outcomes commonly associated with the intervention(s).
- Produce an Impact Assessment Report according to the guidelines described above.
- Schedule and prepare a meeting with mission staff to present the report and engage in a learning discussion.
- Hold a meeting comprised of presentation of the report method and findings, a question and answer session, learning exercises that lead to shared understandings regarding the extent to which LTPR interventions contributed to principal outcomes and how, and facilitated discussions on the implications for future LTPR interventions.

ANNEX A: CONCEPTUAL MAPS AND INDICATORS

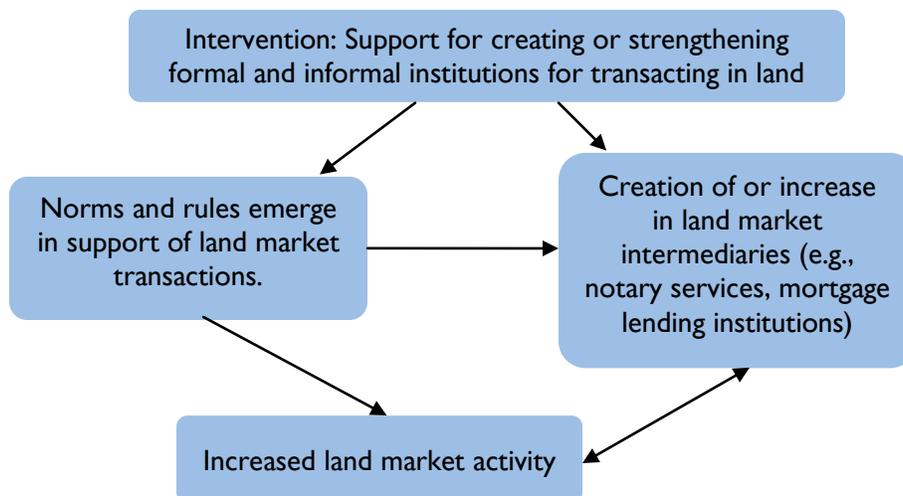
Key steps for constructing a conceptual map:

1. Identify the LTPR intervention(s) to be assessed. See Section 2.1 and the illustrative list of potential interventions in the Land Tenure and Property Rights Framework (Figure 2.1).
2. Select the objectives (i.e., principal outcomes) against which the impact of the intervention is to be assessed. See Section 2.2.
3. Review the project's RFP, proposal, project work plans, and other background documentation on the project to try to uncover the hypotheses or assumptions underlying the links between the LTPR intervention and the project and mission Strategic Objectives. If possible, interview mission staff who conceived of the project to obtain their thinking about what the linkages would be.
4. Using these different sources, construct cause and effect chains that depict the hypothesized links between the intervention and each of the selected objectives, depicting the anticipated intermediate outcomes emerging between the intervention(s) and objectives. For each LTPR intervention, one should have one or more of these illustrations for each of the selected objectives associated with that intervention.
5. Draw on these illustrations to describe the dominant hypothesis/assumptions linking the LTPR intervention to that objective, and construct a conceptual map illustrating it. For each of the selected objectives, one should have a single conceptual map illustrating the *dominant hypothesis*. Examples of these maps directly follow.

Example 1: Conceptual map illustrating the assumed links between an intervention classified under **Key Institutional Arrangements** and the selected objective **Increased Land Market Activity**.

HYPOTHESIS: Support for creating or strengthening formal and informal institutions for transacting in land (e.g., land renting practices) leads to: 1) norms and rules in support of land markets, and 2) the proliferation of land market intermediaries. These in turn spawn increased transactions and improved land market performance.

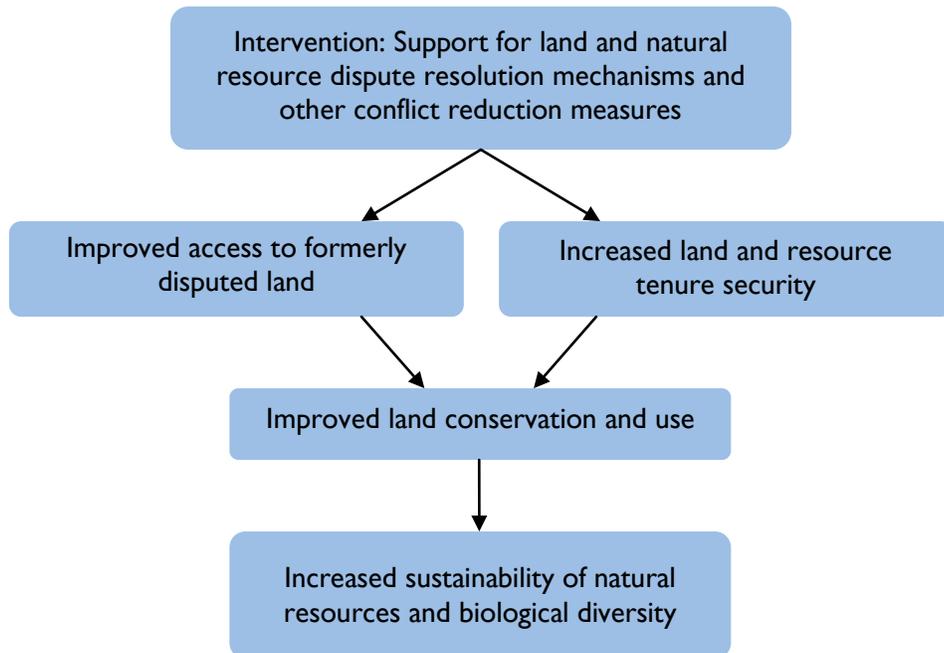
Example I. Conceptual Map



Example 2: Conceptual map illustrating the assumed links between an intervention classified under **Conflict or Dispute Resolution** and the selected objective **Sustainable Natural Resources Management and Biodiversity**

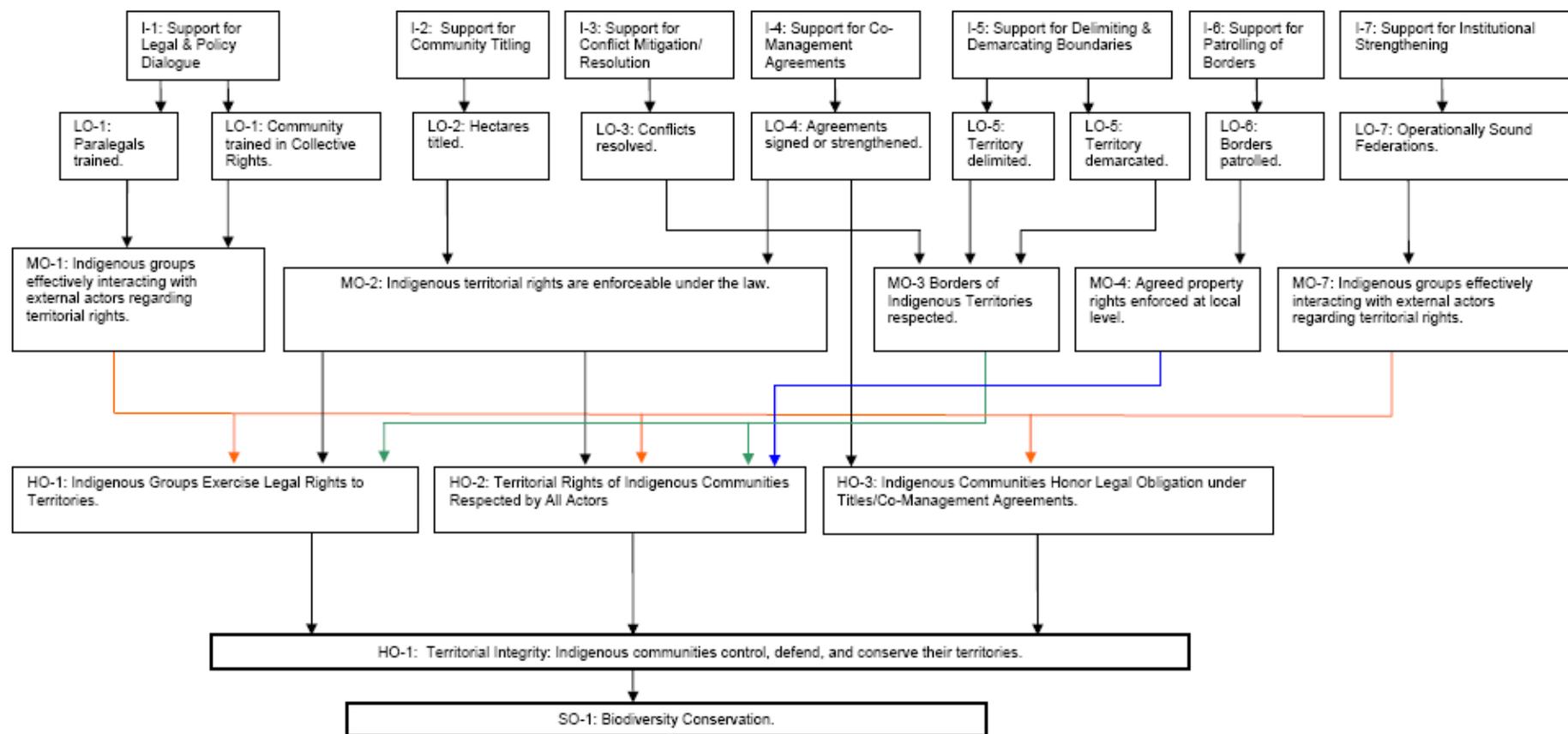
HYPOTHESIS: Support for land and natural resource dispute resolution mechanisms, as well as other conflict reduction measures, will lead to improved access to land and increased land and resource tenure security, followed by enhanced land conservation and use that result in natural resource sustainability and improved biodiversity.

Example 2. Conceptual Map



In many cases, LTPR interventions are implemented as a mutually reinforcing set of activities designed to contribute to a common set of objectives. This was the case of the CAIMAN project in Ecuador, which served as the pilot test case for an earlier version of this tool. Here multiple LTPR (and one non-LTPR) interventions were implemented with the ultimate aims of consolidating indigenous territorial rights and improving biodiversity conservation. The conceptual map that emerged from this assessment is illustrated in Example 3.

Example 3. Conceptual Map for Territorial Consolidation Interventions Implemented by the CAIMAN Project in Ecuador



Please note the following meanings of the symbols within the boxes:

- I: Intervention
- LO: Lower-level outcome (i.e., output)
- MO: Mid-level outcome
- HO: High-level outcome
- SO: Strategic outcome/objective

ANNEX B: TEMPLATE FOR INDICATOR SELECTION

TEMPLATE FOR INDICATOR SELECTION

I. Strategic objective outcomes

Outcome	Indicators	Indicator desirability (ability to accurately capture outcome meaning and be simple). Rate 1-5, with 1 indicating very poor desirability and 5 indicating very high desirability.	Source of statistical or survey data on indicator for the pre-intervention and post-intervention years. (List source(s) if available or NO if not available.)		Location of data and cost/difficulty of acquiring it.		Overall rating of indicator, considering indicator desirability, data availability, and cost. Rate 1-5, with 1 being a very poor indicator and 5 a best indicator.
			Pre (fill in year)	Post (fill in year)	Pre	Post	
	1.						
	2.						
	3.						
Outcome	Indicators	Indicator desirability (ability to accurately capture outcome meaning and be simple). Rate 1-5, with 1 indication very poor desirability and 5 indicating very high desirability.	Source of statistical or survey data on indicator. (List source(s) if available or NO if not available.)		Location of data and cost/difficulty of acquiring it.		Overall rating of indicator, considering indicator desirability, data availability, and cost. Rate 1-5, with 1 being a very poor indicator and 5 a best indicator.
	1.		Pre	Post	Pre	Post	
	2.						
	3.						

2. LTPR issue outcomes

Outcome	Indicators	Indicator desirability (ability to accurately capture outcome meaning and be simple). Rate 1-5, with 1 indicating very poor desirability and 5 indicating very high desirability.	Source of statistical or survey data on indicator for the pre-intervention and post-intervention years. (List source(s) if available or NO if not available.)		Location of data and cost/difficulty of acquiring it.		Overall rating of indicator, considering indicator desirability, data availability, and cost. Rate 1-5, with 1 being a very poor indicator and 5 a best indicator.
	1.		Pre	Post	Pre	Post	
	2.		Pre	Post	Pre	Post	
	3.		Pre	Post	Pre	Post	
Outcome	Indicators	Indicator desirability (ability to accurately reflect outcome meaning and be simple). Rate 1-5, with 1 indication very poor desirability and 5 indicating very high desirability.	Source of statistical or survey data on indicator. (List source(s) if available or NO if not available.)		Location of data and cost/difficulty of acquiring it.		Overall rating of indicator, considering indicator desirability, data availability, and cost. Rate 1-5, with 1 being a very poor indicator and 5 a best indicator.
	1.		Pre	Post	Pre	Post	
	2.		Pre	Post	Pre	Post	
	3.		Pre	Post	Pre	Post	

3. Intermediate outcomes

Outcome	Indicators	Indicator desirability (ability to accurately capture outcome meaning and be simple and precise). Rate 1-5, with 1 indicating very poor desirability and 5 indicating very high desirability.	Source of statistical or survey data on indicator for the pre-intervention and post-intervention years. (List source(s) if available or NO if not available.)		Location of data and cost/difficulty of acquiring it.		Overall rating of indicator, considering precision, data availability, and cost. Rate 1-5, with 1 being a very poor indicator and 5 a best indicator.
	1.		Pre	Post	Pre	Post	
	2.		Pre	Post	Pre	Post	
	3.		Pre	Post	Pre	Post	
Outcome	Indicators	Indicator precision (ability to accurately reflect outcome). Rate 1-5, with 1 indication very poor precision and 5 indicating very high precision.	Source of statistical or survey data on indicator. (List source(s) if available or NO if not available.)		Location of data and cost/difficulty of acquiring it.		
	1.		Pre	Post	Pre	Post	
	2.		Pre	Post	Pre	Post	
	3.		Pre	Post	Pre	Post	

ANNEX C: WORK PLAN FOR ACQUISITION OF *SECONDARY SOURCE* *INFORMATION (TEMPLATE)*

WORK PLAN FOR ACQUISITION OF SECONDARY SOURCE INFORMATION (TEMPLATE)

I. Secondary information on outcome indicators

Indicator	Sources of secondary information on pre-intervention and post-intervention <i>indicator states</i>		Team member responsible for gathering information	When?
	Pre	Post		
1.				
2.				
3.				
4.				
5.				

2. Secondary source information on causes contributing to indicator change

Indicator	Source of secondary information on <i>causes</i> contributing to indicator change	Team member responsible for gathering information	When?

3. Estimated cost of collecting secondary source information

ANNEX D: WORK PLAN FOR ACQUISITION OF *PRIMARY* *SOURCE INFORMATION* (TEMPLATE)

WORK PLAN FOR ACQUISITION OF PRIMARY SOURCE INFORMATION (TEMPLATE)

I. Key informant and focal group interviews

NAME of individual or group	DATE of interview	TIME of interview	LOCATION of interview	TEAM MEMBER conducting interview
<i>Project beneficiary stakeholders</i>				
<i>Other stakeholders</i>				
<i>Non-stakeholder resource persons</i>				

2. Rapid appraisal workshops

NAME of community or group	DATE of workshop	TIME of workshop (start and end)	LOCATION of workshop	FACILITATOR NAMES

3. Estimated total cost of interviews:

4. Estimated total cost of appraisal workshops:

ANNEX E: TEMPLATE FOR RECORDING CHANGE IN INDICATOR STATES

TEMPLATE FOR RECORDING CHANGE IN INDICATOR STATES

Indicator	SOURCES of pre-intervention and post-intervention indicators (name of documented source, community, or interviewee)	STATE of pre-intervention and post-intervention indicators		CHANGE in indicator state	
		Pre	Post	+/-	%
1.					
	Source 1:				
	Source 2:				
	Source 3, etc.:				
2.					
3.					
4.					
5.					

ANNEX F: EXAMPLES OF ALTERNATIVE CAUSALITY MAPS AND OUTCOME MAPS

FIGURE F-I. EXAMPLE CAUSALITY MAP²⁶

Indicator	Federation Effectively Managing Territorial Issues				State Support of Legal Claims			
Source	Current	2002	Rank	Causes of Change	Current	2002	Rank	Causes of Change
Source A	Very effective because of better capacity. FIENCE is a model in the country.	FEINCE didn't have capacity. Less recognized as an institution. Incipient—weak.		Institutional capacity building—administrative and technical (paralegals and collective rights). CAIMAN's implementation time of 5 years.	The government is more supportive of these themes.	Significantly less support than now.	I	Constitution guaranteeing ancestral rights. Representation of indigenous communities in government. Civil society. Stability of state. Political will and opportunity.
Source B	Very effective, good receptor of fund. Well defined operating procedures. Others now go to FEINCE for assistance (colonists). Good relations with Fundación Cofán.	There was nothing.	I	CAIMAN institutional strengthening. Evolution of organization's leadership to push territorial agenda. Ability to attract other projects.	There is state support established by law. It is limited by resources.	Less support than now.		New government is sympathetic to indigenous rights. Indigenous organizations are regaining strength after period of suppression. Environmental movement much more visible now.
Source C	Strengthened. Now dialogue with president, ministries, INDA. Has vision. Limited by economic resources. Moving in positive direction. Infrastructure still a challenge. Funded by WCS \$95K, TNC/Fundación \$60K, CARE, Ecorai, FODI \$110K. Now have 20 staff.	Only existed on paper; no headquarters. Owed money; many administrative and financial problems. Fundación and FEINCE didn't work together (before Caiman).	I	CAIMAN Fundación Cofán's assistance (technical implementation arm).	Yes. State support exists.	Indigenous communities were invisible to the State.	I	Organizational advancements of Indigenous entities. Legislative processes: recognition of ancestral land. International agreements. Public opinion. Socialist government.

²⁶

These maps are based on ones developed by the team that pilot tested an earlier version of this tool in Ecuador.

FIGURE F-2. EXAMPLE OUTCOME MAP

		CAIMAN Interventions						
Outcomes	Source	Legal and Policy Dialogue	Community Titling	Conflict Mitigation/Resolution	Co-Management Agreements	Delimiting and Demarcating Boundaries	Patrolling Boarders	Institutional Strengthening
	Source A	Ability to dialogue with external actors	Changes in land use	Agreements with neighbors		Resolution of difficult land tenure issues	Pride	Ability to negotiate with external actors
	Source B	Ability to manage processes with Ministries and others	Fewer conflicts	Fewer conflicts		Fewer conflicts	Use of conservation-focused traditional skills	Ability to obtain financing for park guard program
	Source C	Improved ability to defend territory	Improved ability to defend territory	Resolution of difficult land tenure issues		Protection against invasion	Improved defense of territory	More effective and empowered organization
	Source D	Understanding by colonists of ancestral rights	Fewer encroachments and invasions	Respect for territory and property limits		Respect for limits of protected areas	Creation of leaders	Better use of natural resources
	Source E	New generation of executive staff	Tenure security	Less invasion for permanent settlement		Fewer incursions	Fewer invasions	FEINCE recognized by the State
	Source F	Strengthened FEINCE	Legal guarantee/security		Small degree of tenure security	Recognition of boundaries and territory by neighbors	Conservation and restoration of animal populations	Ability to push territorial agenda
	Source G	Generation of respect from external actors	Demarcation	Demarcation		Improved legal security	Enhanced Cofán appreciation for territory and its resources	Creation of legitimate representation of the Cofán
	Source H	Improved community understanding and awareness of ancestral rights	Territorial control		Demonstration of alternative livelihood options	Identifying territory	Increased effective control of territory	More employees
	Source I	Knowledge of mechanisms available to help defend rights	Consolidation of territory	Removal of invaders from territory	Shared responsibilities between Cofán and the State	Park guards working in more informed manner	Employment	Employment
	Source J		Change in attitude of owners toward managing land with longer term outlook	Clarified nature of conflicts	Community respect for areas designated for specific uses	Expansion of territory	Development of modern skills capacity	Equipment and furniture

ANNEX G: EXAMPLE OF ASSESSMENT REPORT TABLE OF CONTENTS

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²⁷ This example is a modified version of the Table of Contents for the report developed by the team that piloted an earlier version of this tool, assessing the impact of the CAIMAN project in Ecuador.

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COVER PHOTOS: Clockwise from upper left—Ecuador, Yemen, Ukraine, Nepal, Okavango River. Tetra Tech ARD.



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