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FIELD TEST OF LTPR IMPACT ASSESSMENT TOOL:
SUCCESSES, CHALLENGES, AND RECOMMENDATIONS

MARCH 2008

This publication was produced for review by the United States Agency for International Development. It was prepared by ARD, Inc.

This product is part of ARD, Inc.'s international work in land tenure and property rights.

Prepared for the United States Agency for International Development, USAID Contract Number PCE-1-00-99-00001-00, Task Order: 13, Lessons Learned: Property Rights and Natural Resource Management (GLT 2), under the Rural and Agricultural Incomes with a Sustainable Environment (RAISE) Indefinite Quantity Contract (IQC).

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COVER PHOTO: Aguarico River and ancestral lands of indigenous groups in Ecuador. Photo by Anna Knox, ARD, Inc., March 11, 2008.

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ACRONYMS AND ABBREVIATIONS

CAIMAN	Conservation in Areas Managed by Indigenous Groups Project
GLT2	Lessons Learned: Property Rights and Natural Resources Management
LTPR	Land Tenure and Property Rights
MCC	Millennium Challenge Corporation
NGOs	Nongovernmental Organizations
NRM	Natural Resource Management
PMP	Project Management Plan
PSUR	Southern Border Integration Program
RFP/RFA	Request for Proposal/Request for Application
SOW	Scope of Work
USAID	United States Agency for International Development

PREFACE

There is a continuing need to understand and communicate 1) how property rights issues change as economies move through various stages of economic growth, democratization, and in some cases from war to peace, and 2) how these changes require different property rights reform strategies and sequencing to foster further economic growth, sound resource use, and political stability. 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 investment and growth;
- Governance and the rule of law;
- Environment and sustainable resource use, including parks and park land, mineral resources, and forestry and water resources; and
- Biodiversity and sustainable resource exploitation.

At the same time, robust and secure rights (along with other economic factors) can promote economic growth, good governance, and sustainable use of land, forests, water, and other natural resources.

USAID is making a strategic commitment to developing a stronger, more robust policy for addressing property rights reform in countries where it operates. "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 types of corporate rights. As land is a main factor for economic production in most USAID-presence countries, it is the main focus of this Lessons Learned: Property Rights and Natural Resources Management Task Order under the Rural and Agricultural Incomes with a Sustainable Environment Indefinite Quantity Contract.

The objectives of this task order include:

1. Transferring lessons learned in property rights and natural resource management to date to USAID management, Missions, and partners;
2. Developing curricula and offering courses on land tenure and property rights issues (including best methodologies and sequencing of reform steps) for staff in USAID's geographical regions and operating units in Washington;
3. Conducting studies on the environmental, economic, or political impacts of land privatization or reform in USAID's geographical regions;
4. Developing and testing analytical and impact measurement tools for property rights reform in support of programs developed or implemented by USAID; and
5. Providing USAID Missions and operating units with specific evaluation, design, and support of property rights reform activities.

The task order is managed by ARD, Inc., on behalf of USAID. It is a mechanism of the USAID/Economic Growth, Agriculture, and Trade Division/Natural Resources Management/Land Resources Management Team. Its period of performance is August 2004 through May 2008. Dr. Gregory Myers is the task order's operating Cognizant Technical Officer.

1.0 PURPOSE AND SCOPE OF FIELD TEST

Under the USAID Global Land Tenure II (GLT2) Lesson Learned: Property Rights and Natural Resource Management Task Orders, ARD has developed an impact assessment tool. This tool was crafted to assist USAID missions assess impact of land tenure and property rights (LTPR) interventions and derive important lessons that can inform future programming. It comprises the sixth volume in a series of LTPR tools.

Following a USAID review and subsequent revision of the Draft Impact Assessment Tool, USAID/Washington and ARD sought to field test the Tool and reached out to various mission candidates. USAID/Ecuador responded by requesting a rapid impact assessment of the Conservation in Areas Managed by Indigenous Groups Project (CAIMAN by its Spanish acronym) and the Southern Border Integration Program (PSUR).

The purpose of the assessment, therefore, encompassed two distinct objectives: one calling for the impact assessment of the USAID/Ecuador projects and the other involving the pilot testing and appraisal of ARD's LTPR Impact Assessment Tool.

With respect to the former, the USAID/Ecuador assessment called for an analysis of (a) the extent to which higher order CAIMAN and PSUR objectives were met, (b) expected and unexpected outcomes of CAIMAN and PSUR interventions, (c) efficacy of project approaches for achieving a sustainable impact, and (d) lessons learned. The scope of the assessment centered upon CAIMAN efforts to strengthen territorial rights of the Cofán Nationality and PSUR support to enhance territorial rights of the Shuar Nationality. The findings and conclusions of this assessment are included in a separate report.

In regards the latter objective, and the focus of this report, the field-test team was required to identify the successes and challenges confronted in implementing the LTPR Impact Assessment Tool and make recommendations for its improvement.

2.0 IMPACT ASSESSMENT TOOL TESTING DESIGN

In an effort to provide a clear picture of the process and conditions under which the Tool was assessed, the following describes the field-testing methodology, research sample, and limitations.

2.1 METHODOLOGY

The assessment team was constructed to balance technical sector and programmatic expertise; the core consisted of four independent consultants: an LTPR specialist (Amy Regas) and three evaluation specialists (Ramon Balestino, Dwight Ordoñez, and Paula Bilinsky). Throughout the fieldwork, the team received logistical support from three host country nationals: one previously affiliated with CAIMAN and the other two from CARE-Quito and CARE-Macas. ARD's land tenure and natural resource governance specialist also accompanied the team and observed the use of the LTPR Impact Assessment Tool throughout the evaluation.

As specified by the terms of reference for the assignment, the team utilized the LTPR Impact Assessment Tool as its touchstone methodology. Qualitative in nature, the Tool seeks to understand impact from two distinct angles: (a) outcomes—"What were the combination of causes that resulted in the given change or outcome?" and (b) interventions—"What changes or outcomes resulted from the given intervention?" Together, these questions help establish the extent to which LTPR interventions contributed to their objectives as well as to other unanticipated outcomes.

As the foundation of the LTPR assessment, CAIMAN and PSUR conceptual maps were designed through analyzing relevant project documentation and consulting with USAID/Ecuador and project implementing organizations. The conceptual mapping exercise served two purposes: (a) to characterize each project's LTPR intervention-to-outcome relationships as conceived in project design, and (b) to pinpoint higher-level expected outcomes against which impact would be assessed. The team elected to focus on assessing change in higher order outcomes as they correspond to intended project impact. Annexes A and B provide conceptual maps of each project.

Data was gleaned from primary and secondary sources. Secondary collection included a review of technical sector reports as well as CAIMAN and PSUR documents: quarterly reports, project evaluations, performance data, and USAID reports. Primary data collection consisted of fieldwork in Quito, Lago Agrio, and Macas from March 3–15, 2007. Activities were conducted through the following means:

- **Semi-structured Interviews:** Government representatives, nongovernmental organizations (NGOs), project staff, and key informants were interviewed in each location (Quito, Lago Agrio, and Macas).
- **Rapid Appraisal Workshops:** A total of four workshops, disaggregated by gender, were conducted with the Cofán Nationality: two in the Duvuno community (7 women; 11 men) and two in the Dureno community (13 women; 8 men). Translators were hired to enable those who did not speak (or were not comfortable speaking) Spanish to participate. As well, pictures and symbols were utilized to encourage participation and close the literacy gap among respondents (see Annex F for rapid appraisal protocol).

- **Group Observation and Inquiry:** In Lago Agrio, the team observed and interacted with an annual assembly of Cofán community representatives (2 women and 38 men). In Centro Angel Rouby, team members attended a Shuar assembly held to elect local community leaders during which they observed ongoing dialogues and posed a small number of evaluative questions (27 women and 43 men).
- **Supplementary Interviews:** When needed, complementary interviews were conducted to verify information or deepen that already gleaned.

Although data analysis was iterative across the evaluation, its emphasis took place upon the conclusion of fieldwork. Following the organization and rapid analysis of data gathered, preliminary findings were presented to USAID/Ecuador staff for feedback and recommendations. Afterward, a content and frequency analysis was performed around project outcome and intervention data organized in Excel spreadsheets. Triangulation techniques were utilized to analyze the responses of key informants and identify repeated attributions that highlight patterns of causality and impact as well as important differences in perceptions.

2.2 RESEARCH SAMPLE

A purposeful non-random sampling approach was utilized to examine PSUR and CAIMAN stakeholders.[1] In examining this sample, composed principally of project beneficiaries, public sector officials and key NGO actors, the evaluation sought to determine the level and sustainability of impact upon a segment of indigenous beneficiaries.

Table 2.1 CAIMAN: Sample Characteristics

Sample Population	Assessment Method	Sample Size	Gender Characteristics
Indigenous project beneficiaries (Cofán Nationality).	Rapid appraisal workshops, semi-structured interviews, group observation and inquiry, individual interviews.	79	22 Women 57 Men
Government stakeholders (local and national levels)	Semi-structured interviews	8	1 Woman 7 Men
NGO stakeholders (local and national levels)	Semi-structured interviews, supplementary interviews	19	2 Women 17 Men
	TOTAL:	**106**	**25 Women; 81 Men**

[1] Selection of informants within this sample was principally driven by the implementing organizations: CARE (for PSUR) and the ex-CAIMAN grants manager (for CAIMAN).

Table 2.2 PSUR: Sample Characteristics			
Sample Population	**Assessment Method**	**Sample Size**	**Gender Characteristics**
Indigenous project beneficiaries (Shuar Nationality)	Group observation and inquiry	70	27 Women 43 Men
Government stakeholders (local and national levels)	Semi-structured interviews	3	1 Woman 2 Men
Donor (GTZ)	Semi-structured interviews	1	1 Man
NGO stakeholders (local and national levels)	Semi-structured interviews	13	1 Woman 12 Man
	TOTAL:	**87**	**29 Women; 58 Men**

As seen in Tables 2.1 and 2.2, a total sample of 193 informants was interviewed across the assessment. Selection criteria for the participants included gender and indigenous nationality (in the case of community stakeholders) and project affiliation or technical sector focus. Data from these key stakeholder groups were systematically collected and compared across each project.

2.3 LIMITATIONS

The primary limitations faced by the assessment team revolved around time and human resources. The following issues warrant illumination: (a) the two-week period (and 3–4 LOE days per team member) allotted to prepare was insufficient given the lack of project information, uncertainty regarding which indigenous nationalities were logistically accessible, and a late-breaking decision on whether to assess one or two projects; (b) the SOW for the USAID/Ecuador impact assessment was not received until two days prior to arrival in Ecuador; and (c) the fourth member of the team was unable to participate in the first week of field activities, limiting manpower available for interviews and data collection.

In order to accommodate USAID/Ecuador's desire to evaluate the sustainability of different approaches pursued by the CAIMAN and PSUR projects, a decision was made to assess both. This was a complicating factor in the evaluation, and diluted the team's focus and efforts toward its primary tasks.

Altogether, these constraints prevented a more robust assessment of USAID/Ecuador's LTPR initiatives—particularly that of PSUR. Moreover, they limited the degree to which the impact assessment could be precisely followed and implemented.

Finally, and while not a limitation, it should be acknowledged that Anna Knox's presence and participation influenced the team's discussions, decisions, and analysis across the impact assessment. A different conceptual map and final product would have resulted had Ms. Knox's useful guidance not been present.

3.0 FINDINGS FROM FIELD TESTING THE TOOL

This section attributes successes, challenges, and recommendations to each of the LTPR Impact Assessment Tool's five chapters. While the LTPR Tool's introductory chapter is assessed in a stand-alone manner, the other four chapters are examined according to their grouping within the three primary assessment phases: preparation, fieldwork, and analysis.

3.1 LTPR TOOL INTRODUCTION

3.1.1 Successes

- **Why Conduct an LTPR Assessment?** The introduction makes a good case as to why one would conduct an LTPR impact assessment and use this Tool to do so.
- **Glossary:** The glossary was considered highly useful as it provides a necessary list of the terms that will be used throughout the Tool.
- **Outcomes and Interventions:** Defining impact assessment through the two angles (interventions and impact) provided a clear beginning for the LTPR methodology. These guiding questions, which correspond to each angle, were also used in the report to further describe the methodology.
- **Roadmap:** The roadmap is critical to framing the Tool's methodology and is located in the appropriate position in the Introduction.

3.1.2 Challenges and Recommendations

LTPR Tool Challenges	Team Recommendations
There is no introduction letter that distinguishes the Tool as an assessment methodology as well as promotes/markets its key capabilities.	• A cover letter is needed that explains why the Tool was designed and its niche qualities. • The team also was concerned about how demand will be generated for this Tool—that is to say, "Why will missions feel motivated to conduct an LTPR assessment using this methodology?" • The cover letter can also be used as a marketing tool to demonstrate the benefits of using this specific tool. • This, therefore, moves beyond Section 1.1 *Why Conduct a LTPR Impact Assessment?* to *Why Use This Specific Tool?* • Making the case for *Why Use This Specific Tool?* can also be expanded upon under an additional section in the Introduction.

LTPR Tool Challenges	Team Recommendations
Uncertainty around "Who this toolkit is for?" and "How to maximize the Tool's utility and efficiency?"	• Augment introduction section to include the following subsections: (a) "Who this toolkit is for?"—the intended users of the toolkit; (b) "Getting Started Checklist"—a checklist of key documents/tasks and responsible entity; and (c) "Tips for Success"—a series of considerations on how best to utilize the Tool to maximize results. • It is recommended that the figure in Annex E "LTPR Procedural Flow Chart" be inserted into a strategic location in the Introduction (or referred to as an annex).
Maintaining the intervention and outcome paradigm consistently through the Tool.	• Consider keeping the outcome and intervention paradigm presented in the introduction running across each LTPR chapter—that is, each chapter would detail specific information as it corresponds to interventions and outcomes. • The outcome/intervention paradigm was seen as crucial throughout all aspects of the evaluation, including (a) designing the conceptual map, (b) designing data collection methods, (c) analyzing data via causality maps (outcome-side) and outcome maps (intervention-side), and (d) organizing the final report.
While the Tool clearly distinguishes the outcomes and intervention side of the approach, methodologically there is some vagueness around the integrated approach.	• More clearly situate the integrated approach. • Emphasize that answering questions corresponding to interventions and outcomes (p. 4) helps establish the extent to which LTPR interventions contribute to their objectives as well as to other unanticipated outcomes.
Accordingly, and related to the above challenge, figures 1 and 2 need clarification.	• See suggested revisions for these figures in Annex C.

3.2 PHASE 1: PREPARATION (LTPR TOOL CHAPTERS 2.0 AND 3.0)

3.2.1 Successes

- **Summary of Steps:** This serves as a quick and convenient way to highlight the major activities in this and other chapters. While a "Summary of Steps" exists in each chapter, it is recommended that this becomes a dedicated subsection with its own numbering (i.e., 2.6 Summary of Steps; 3.6 Summary of Steps, etc.) to enable readers to more easily find and utilize the information.

- **Checklists and Questions:** Checklists provided in Table 2.2 and 3.3 in the Tool, along with succeeding questions, were seen as a helpful way to frame corresponding information.[2]
- **Role of USAID Mission:** Chapter 2.0 (and 1.0) in the Tool includes information on key tasks that USAID missions must accomplish to enable the assessment team to "Define the Assessment Parameters" within the intended timeframe. Nevertheless, the team saw the need for this information to be better organized and more explicit (see Recommendation under Section 2.1).
- **Table 3.1:** This table, which included common LTPR outcomes and possible indicators, was particularly useful for team members who do not have a background in LTPR.
- **Bridging Theory to Action:** Explanations that bridged the methodology of the Tool to its implementation were particularly helpful (i.e., p.23, second paragraph from bottom).
- **Table 3.2[3]:** The table on "Pros and Cons of Different Methods of Gathering Primary Source Information" was helpful for selecting stakeholders and determining which data collection methods were appropriate. It also encouraged reflection on the purpose of the impact evaluation in terms of how one would approach the issue of assessing changes and identifying the causes of those changes.
- **Starting Together:** While not explicitly stated in the Tool, bringing together assessment team members to initiate the conceptual mapping process was critical to the success of the effort.

3.2.2 Challenges and Recommendations

LTPR Tool Challenges	Team Recommendations
The methodology has limited preparation time to review documentation, develop conceptual maps, and identify indicators. It is counterproductive to bring on consultants to begin activities before the assignment scope of work is fully defined and relevant project information is available.	• The Scope of Work (SOW) and project documents (request for proposal/request for application [RFP/RFA], project management plan [PMP], final report) must be in place before bringing on the team. In addition, the mission must be fully apprised of and in agreement with what the Tool is and its purpose. • A SOW must be negotiated with USAID, which reflects the particular project to be assessed, the time required to apply the Tool, and an adequate budget. • Consider providing the mission with a SOW template that can be adjusted to their needs. • Another option could be to build a model SOW into the toolkit as an annex. • Team composition should not be determined until there is clarity on what is

2 Noteworthy is that the team did not utilize these tables in field test. Table 2.2 was not used due to time constraints related to completing the scope of work, and Table 3.3 was not needed due to the high level of experience within the team in organizing such workshops.

3 In this section, the tables are numbered improperly or don't correspond to text. Table 2.1 (p.23) should be labeled 3.2. Also the text referring to Table 3.2 (p. 25, second paragraph) states Table 2.4. If the tables remain in this section, a review should occur to determine proper numbering. Finally, it is recommended that the Table of Contents list all tables.

LTPR Tool Challenges	Team Recommendations
	being assessed (e.g., for projects with a natural resource management [NRM] focus, the team might benefit from the presence of a NRM expert). • ARD, or other implementing organizations, needs to do these things (or find someone else to do it) and ensure that appropriate time is allocated. Estimated LOE for this would be four weeks. • As the methodology is dependent on mission involvement up front, it is recommended that key mission tasks (i.e., providing SOW and project documents and vetting conceptual maps) are organized into a checklist table. The achievement of checklist tasks could then be utilized by ARD/other implementing organizations as a trigger to mobilize the assessment team onto the corresponding project.
The methodology and its corresponding technical area of LTPR require a diversely skilled assessment team. It is critical that the team encompass specific skills that enable the appropriate implementation of the Tool as well as the effective assessment of the LTPR technical area (i.e., land tenure, biodiversity, NRM)	• Consider team composition and needed skills that reflect the project being evaluated once the above has been accomplished. • Key assessment team skills for Tool implementation: facilitation (workshops, focus groups, interviews) and qualitative design and analysis. • Key technical skills: depending on LTPR/NRM emphasis of the assessment. • Before team comes together, share CVs. • At assessment kick-off, conduct a team-building exercise around conceptual mapping to further orient team to the impact assessment methodology and build rapport.
Missions may request analysis that doesn't fit within the Tool's methodology.	• Be aware of what Tool can and can't do and negotiate SOW accordingly. There may be a trade off (flexibility vs. rigor). Additional tasks will require additional level of effort.
LTPR projects present a range of geographic, logistical, and cultural realities that may not be integrated into the SOW and, therefore, not be fully accounted for in the assessment budget.	• In initial discussion between the mission and the implementing organization, a determination should be made about where the assessment will be carried out and such factors as language, literacy level, travel distance, access to communities should be considered.

LTPR Tool Challenges	Team Recommendations
Figure 4 was too complicated to be useful.	• See simplified version in Annex D.
Internalizing the numerous steps in the methodology process is difficult.	• A flowchart depicting the steps should be incorporated in the Tool (see Annex E).
Annex B on indicator selection and Annex C on secondary data acquisition were not prominent enough in the Tool to promote their utilization.	• Integrate pieces of annexes into text so they command greater attention from reader.
The logistics coordinator can introduce a number of biases into the methodology.	• Ideally, a host-county logistics coordinator should be identified who has no prior links to the project being evaluated, yet still has knowledge of, access to, and is able to schedule interviews with key stakeholders. • Whatever the case, it is critical that the team trains the coordinator in the assessment methodology so that assigned tasks can be carried out in a manner that meets expectations.
There is a tendency to focus only on interviewing direct stakeholders and neglecting to consult indirect stakeholders affected in some manner by the LTPR interventions (e.g., bordering communities, businesses etc.).	• The planning section can emphasize the need for balance in identifying a sample that provides a full picture. • The Tool can present a general range of direct and indirect stakeholders to consider as potential respondents.
The importance of the conceptual mapping as the foundation for the assessment is not clear enough or emphasized sufficiently.	• Conceptual mapping should have its own subsection within the manual. Summative technical guidance for developing the conceptual map should be expanded and its importance should be highlighted.
The conceptual map will be an interpretation of the project by the assessment team. This will be based on the information obtained and may not paint an accurate picture of the project's logic when it was designed.	• Validate the conceptual map with the USAID mission before moving forward. • This can also be one of the key tasks that are listed on the Mission checklist (see final bullet under 1.1 Recommendations, above).
When LTPR is one of many technical sector areas of focus within a project (i.e., integrated project—health, livelihoods, agribusiness, and LTPR), the LTPR Assessment Tool requires the "drawing of lines" and assessing only LTPR interventions. This provides only a partial picture of a project whose collective parts target achievement of a higher-order outcome or strategic objective.	• The Tool needs to provide better guidance on how to determine the relative contribution of LTPR project components to higher order outcomes and strategic objectives in larger, multi-sectoral projects.

LTPR Tool Challenges	Team Recommendations
It was challenging to determine the weight of an LTPR intervention (versus non-project factors) in contributing to change in higher order outcomes, and particularly strategic objectives.	• In cases where interventions are relatively small in relation to higher order outcomes or strategic objectives, it would be prudent to discuss this issue up-front with the mission and instead select intermediate level outcomes. • For example, in the assessment of PSUR the team determined that it would not be useful to assess the project's strategic objective because it was too far removed from the NRM component.
There was a degree of confusion among the team regarding which level of outcomes within the chain (outputs, intermediate, higher order, or strategic objectives) should be assessed.	• The Tool should include criteria for selecting/prioritizing outcomes to examine. The Tool should also emphasize that the assessment team's selection of outcome indicators of interest should be confirmed with the mission during the vetting of the conceptual map (see Annex E).
Explanation around applying triangulation within the LTPR assessment is seen as lacking.	• A more detailed and pragmatic explanation of triangulation should be incorporated into the Tool so that assessment team members have a consistent understanding of its application.

3.3 PHASE 2: FIELDWORK (LTPR TOOL CHAPTER 4.0)

3.3.1 Successes

- **Beginning with Outcomes:** The interview methodology recommended by the LTPR Impact Tool separates questions into two stages of inquiry: (1) those surrounding indicator status and factors contributing to indicator change, and (2) questions related to project interventions and results of those interventions. The team found the Tool's guidelines for initiating interviews from the outcome perspective and not mentioning the project itself until the second stage of inquiry to be very effective. As intended, it allowed stakeholders to contemplate all causes for indicator change without predisposing them toward project interventions.
- **Box D:** The information contained on techniques for improving women's participation is a useful reminder about gender issues and that it may be necessary to solicit women's viewpoints in a gender-sensitive manner.
- **Overall Explanation:** The assessment methodology is explained clearly and, if followed rigorously, provides information it is intended to elicit.

3.3.2 Challenges and Recommendations

LTPR Tool Challenges	Team Recommendations
The interview methodology takes some getting used to. As one team member stated, "It's one thing to read this manual; it's another thing to do it."	• The first one or two interviews should be with less important stakeholders to accommodate this "warm up" period. Specific time should be allotted after the first few interviews to discuss results and fine-tune the process.
Especially in the case of multiple indicators and/or interventions, there are numerous points that need to be addressed in each interview. Being well organized with respect to both asking questions and capturing responses is critical to obtaining useful data.	• A "crib sheet" (see Annex F) might be utilized to assist interviewers to stay on target and organize information captured in a quick and understandable manner.
With the frantic pace of interviewing, little time remains for reviewing and writing up interview notes. Waiting to do this until the analysis phase of the assignment may result in important information being difficult to decipher/recall.	• Schedule fewer interviews each day and allocate specific time to enter data on the causality and outcome maps. • Once the entire team is confident in carrying out methodology in fieldwork, consider dividing tasks. One team can take turns interviewing allowing the "off" team dedicated time to record interview data.
Respondents may have a difficult time distinguishing between outcomes, processes, causes, and results. Respondents often describe "outputs" (e.g., people trained) or processes rather than outcomes.	• Facilitators must remain aware of this tendency and use language that is accessible. As well, facilitators must be diligent in probing for information that can be characterized as outcomes or causes. • The team should also frequently review interview feedback to ensure that adequate information is being captured. • If not, interview questions or techniques can be adjusted as needed.
For large projects, fully following the methodology will not be possible in each interview. For example, as in the case of the pilot assessment, it was simply too time-consuming to discuss five outcomes and seven interventions.	• The team must recognize the trade-off between breadth and depth of information. Breadth facilitates triangulation. Depth provides a richer understanding and better ability to delve into unexpected issues.
Ranking the importance of contributing factors for a change in indicator status or outcomes resulting from an intervention may not be the best use of valuable interview time since individuals may cite 6–7 of each.	• Only ask respondents which is the single most important cause or outcome in each category.

LTPR Tool Challenges	Team Recommendations
The methodology assumes that the individual being interviewed has direct knowledge of the project. In the Ecuador pilot assessment, several interviewees (e.g., Ministry officials) did not possess specific knowledge about project activities or the geographic area in question. Accordingly, the respondents were unable to discuss outcomes of project interventions.	• It is not always possible or even recommended to only interview stakeholders with project and/or geographic knowledge. • A separate set of questions should be designed to replace the methodology's second state of inquiry (intervention-side) when stakeholders are not familiar with the project. Questions should aim to draw out useful background information as well as data that can be used to determine change in indicator states and contributing factors.
As noted above, for projects with multiple outcomes and multiple interventions, the time-consuming nature of the methodology does not allow for all outcomes and interventions to be addressed in each interview. Without careful planning, certain outcomes or interventions may not receive sufficient overall coverage.	• Frequently review data captured during interviews to ensure that each outcome or intervention being assessed receives adequate attention.
Secondary data may be difficult to obtain.	• Allow sufficient time for secondary data collection • Consider dividing tasks in field. • For example, one group does field work while another conducts secondary research according to indicators of interest. • The logistics coordinator may also be able to provide support to this effort.
In some countries, there may be no "hard data" available on indicators for specific territories/provinces, but only estimates of national scope. Thus, there may be no documentary sources to support or contrast interviewees' opinions, as suggested by the Tool.	• Team needs to be aware of this limitation and select indicators for the assessment that have a higher potential around which data may exist.
The methodology assumes that data gathering in communities will occur through rapid appraisal workshops. This may or may not be the most appropriate method.	• The Tool should provide more detailed information about how to obtain community level information through other methods.
Project beneficiaries and executing agencies being interviewed will likely request copies of the report that the team does not have the authority to distribute.	• The Tool should include a warning about this and recommendations on how to respond (e.g., team will recommend USAID share the report, team willing to debrief before departure, etc.).

3.4 PHASE 3: ANALYSIS (LTPR TOOL CHAPTER 5.0)

3.4.1 Successes

- **Collecting Data from Multiple Sources:** The Tool correctly recognizes the asymmetric character of information gathered from different sources. It also suggests a correct sequence for analysis, starting by assessing the different factors contributing to outcomes and then assessing the specific results of interventions.
- **Balancing Opinions:** The Tool introduces some good caveats regarding the need to not over-value the opinions of more educated informants with regards to that of those less educated.
- **Causality and Outcome Mapping:** During the trial application of the Tool in Ecuador, the team arrived at a consensus regarding the causal relationships existent between several outcome indicators and interventions in two projects. This is evidence that the type of analysis proposed by the Tool works. However, instead of producing "final" causality and outcome maps, which seemed difficult to draw when working with different sources and opinions, the team used a format in Excel that helped summarize data captured and facilitate the analysis. An example of this format is included in Annex G of this report.

3.4.2 Challenges and Recommendations

LTPR Tool Challenges	Team Recommendations
The content of this section of the Tool is less detailed than the previous ones.	• A more detailed description of comparing and analyzing information is needed in Section 5.1, particularly regarding the assignation of weight to divergent information (seebelow).
The Tool does not provide guidance on how to weight the responses received (if different sources give opposing answers, which has priority?). Stating there should be triangulation is not specific enough. Specific criteria are missing to compare the importance of individual versus shared opinions. For example, should an opinion shared by most of a "community" (i.e., a workshop with 15 people) be counted as "one opinion" or as multiple ones?	• The Tool should include some specific criteria to orientate the "weighting" of contradictory information coming from different sources. • The greater credibility of various stakeholders on specific issues may be taken into account. For example, national government officials that are far away from the field may have a less informed opinion on "everyday facts" than community members. Likewise, the latter may be less aware of policy-related issues. • These considerations must also be factored into the design of the evaluation, as they affect which questions should be emphasized to particular informants. Thus, this issue should be addressed in Section 3.

LTPR Tool Challenges	Team Recommendations
The multiple outcome and causality maps recommended by the Tool are not in a user-friendly format.	• This feature may be replaced by an instrument that provides a more holistic view of the relationship among outcomes and interventions, such as the Excel spreadsheet used by the team (see Annex G). • The spreadsheet facilitates the analysis of information in both a vertical (i.e., different respondents per issue) and horizontal way (i.e., different answers of the same respondent). The sheet also allows all team members to share the same information, as obtained from different sources, even if some members were not present at some of the interviews.
Coming to a consensus on main findings, recommendations, etc. of an assessment is time consuming.	• Sufficient time (4–5 days) should be built in to allow the team to collectively analyze the data prior to heading home.
A concrete example of a table of contents for the assessment report would have been useful.	• The table of contents used in the pilot LTPR impact assessment for USAID/Ecuador is included in Annex G. • Consider placing this, or a similar example, into an annex.
Section 5.3 describes a complex process of sharing with the mission and discussing the evaluation results that may or may not correspond to USAID's current availability.	• Recognize that USAID will not necessarily devote sufficient time to "learning." A half- or full-day meeting with the mission, as proposed by the Tool, may be difficult to secure.

4.0 CONCLUSION

The pilot of the LTPR Impact Assessment Tool was successful. Because the Tool was carefully and logically constructed and the manual well written, an assessment team with little experience in the methodology (as well as the fact that three of four members were not specifically versed in LTPR) was able to effectively conduct an impact evaluation of around two complex LTPR projects. The Tool's methodology is clearly defined. When followed rigorously, it produces the expected results. The Tool is a particularly useful means to assess LTPR-related projects with a limited number of interventions and expected outcomes.

The Tool is more challenging to use in assessing complex, multi-issue projects or integrated, multi-sectoral projects. With multi-issue projects, the time-consuming nature of the Tool's qualitative methodology necessitates a trade-off between depth and breadth of data collection. Awareness of this trade-off (that greater depth may reduce opportunities for triangulation while providing richer information) should inform the team's decisions throughout the preparation phase of the process, particular in terms of conceptual mapping, identification of indicators, and selection of methodology for communities.

Conceptual mapping, as outlined in the Tool, requires development of hypotheses linking project interventions to outcomes. However, with multi-sectoral projects, the Tool requires the drawing of artificial lines around certain interventions that pertain only to LTPR. Within the assessment of PSUR, for example, the team was forced to only assess the LTPR interventions' effect on strategic objective, "Improved Social and Economic Conditions of Inhabitants Along the Border." The project's other key interventions of income generation, water sanitation, and health education were not given equal consideration within the assessment. Since the final analysis of the assessment is dependent on links between interventions and outcomes, it was more difficult to formulate a complete analysis on higher order outcomes and, particularly, strategic objectives, when all PSUR's interventions were not assessed.

Further, it must be acknowledged that in certain cases project interventions may be so far removed from the highest-level outcomes, that they have little chance of affecting them in a substantial manner. If such interventions are targeted for assessment, their analysis should focus on mid-level outcomes recognizing that higher-level outcomes may be out of reach. If focusing on the higher-order outcomes, it must be kept in mind that causality will be difficult to attribute.

The methodology is time consuming to implement, and additional analysis will require additional time or resources. This must be carefully negotiated with the mission. Equally important, adequate personnel must be identified and appropriate LOE must be assigned. The Tool must also recognize that the realities of mission availability may prevent their involvement and participation at the level currently recommended in the manual.

While a number of recommendations for improving formats and sections of the manual are made above, the most beneficial revisions of the Tool would incorporate inclusion of specific criteria or guidance to:

- More clearly describe the integrated approach and frame the outcomes and intervention model throughout the guide;
- Expand discussion around conceptual mapping and highlight its critical role in the overall assessment methodology;

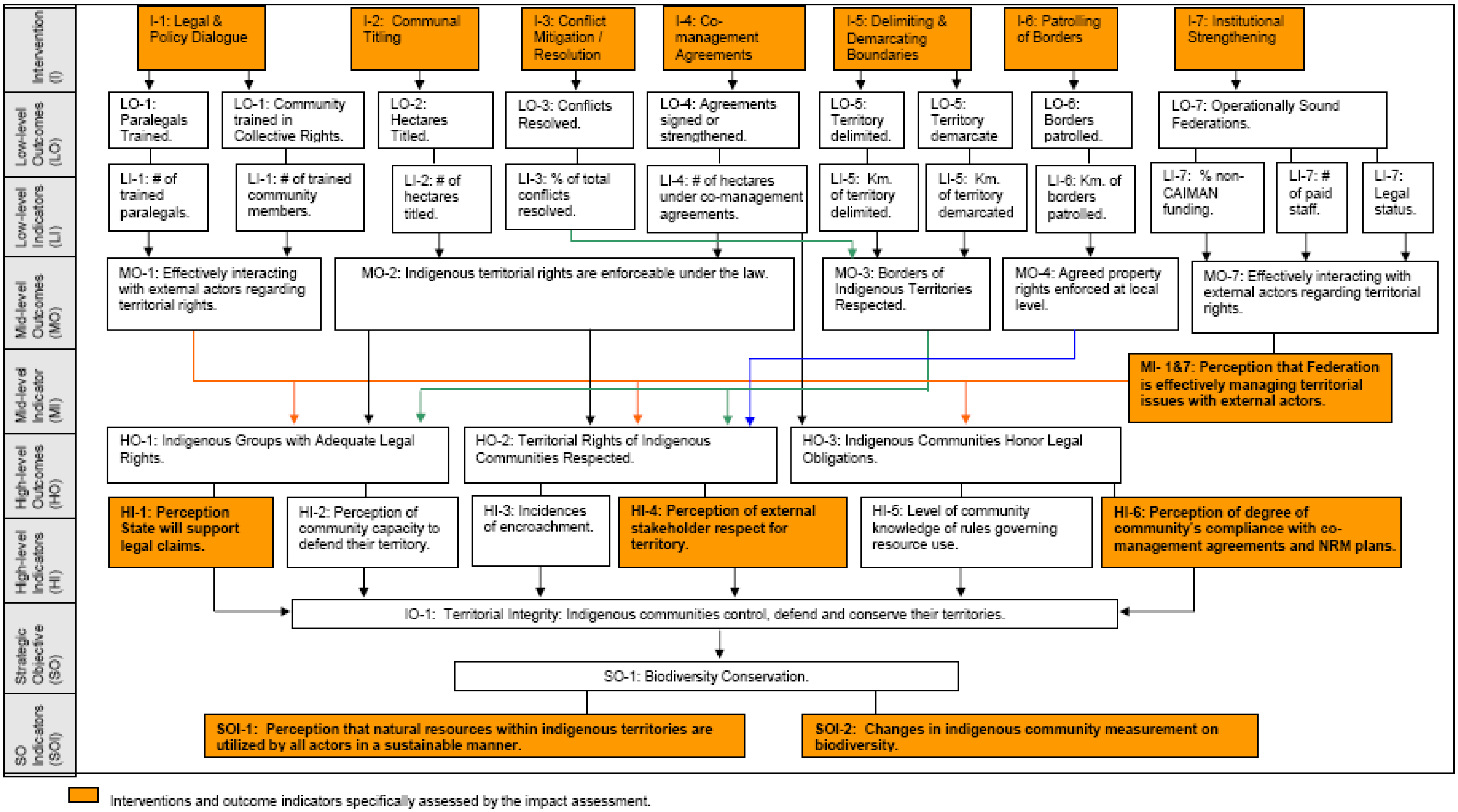
- Include criteria for selecting which among the chain of outcomes (e.g., outputs, medium- and high-level outcomes) to assess and highlight the need to confirm these “outcomes of interest” with the mission;
- Highlight tradeoff between the depth and breadth of a project analysis and its impact on triangulation; and
- Provide guidance on assigning weight to different, sometimes conflicting, information coming from different sources.

LTPR is a significant focus of USAID, Millennium Challenge Corporation (MCC), and multilateral donor projects around the world. Improvements in donor programming will only be achieved through careful and rigorous evaluation of the impact of these interventions. The LTPR Impact Assessment Tool is a practical step toward enabling evaluations to take place in a consistent manner that will better inform the future design and implementation of these projects. We encourage that this and other unique benefits of this Tool be promoted in a way that generates a widespread demand for its use.

ANNEXES

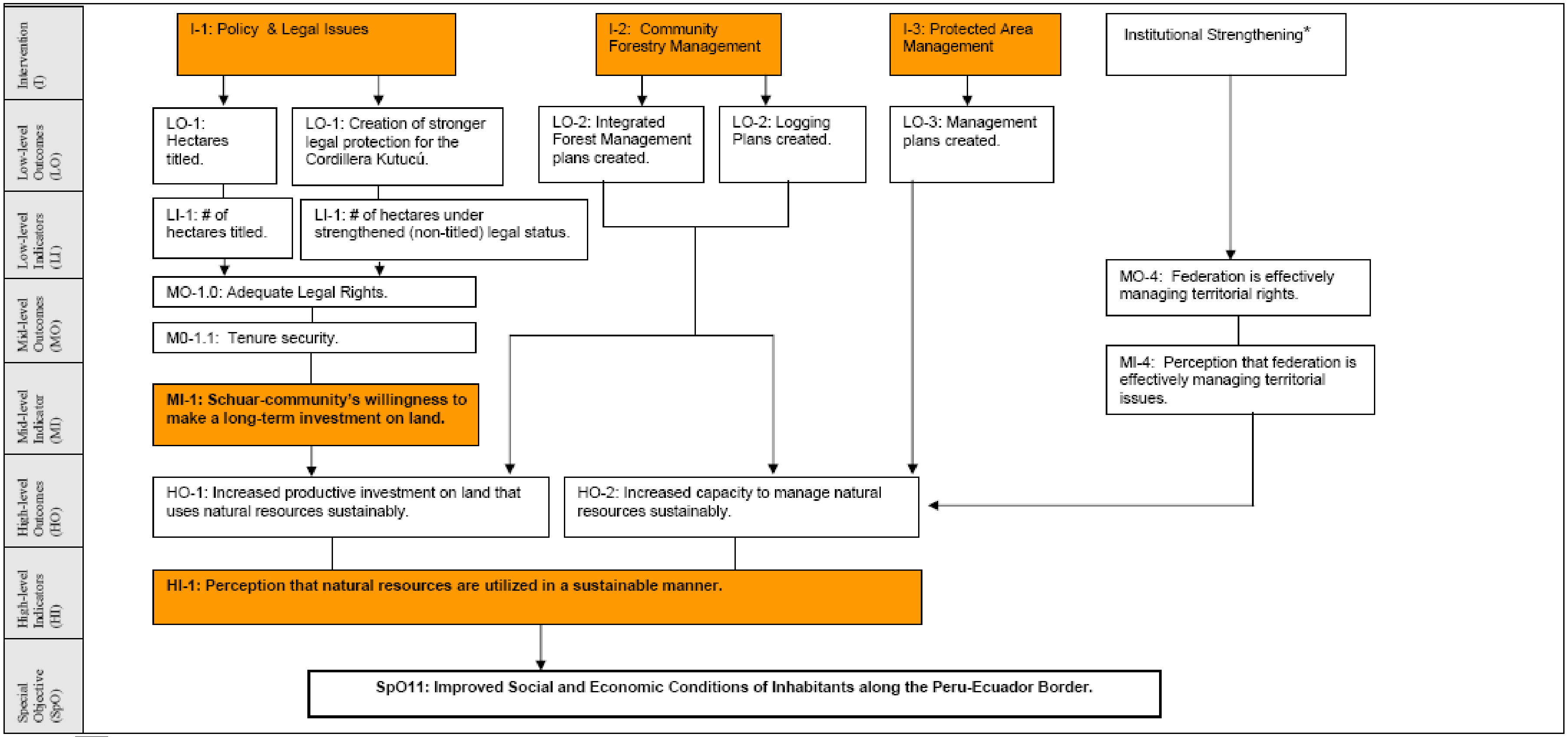
ANNEX A: CAIMAN CONCEPTUAL MAP FOR TERRITORIAL CONSOLIDATION AND INSTITUTIONAL STRENGTHENING

CAIMAN Conceptual Map for Territorial Consolidation & Insitutional Strengthening



ANNEX B: PSUR CONCEPTUAL MAP FOR NATURAL RESOURCE MANAGEMENT

PSUR Conceptual Map for Natural Resource Management



Interventions and outcome indicators specifically assessed by the impact assessment.

* Institutional strengthening was not a specific intervention in the PSUR design. However, for the purposes of the assessment, activities in this area were considered.

ANNEX C: RECOMMENDED VERSION OF FIGURE 1&2 (LTPR TOOLKIT, P. 5)

Figure C-1. Recommended Version of Figure 1 (LTPR Toolkit, p. 5)

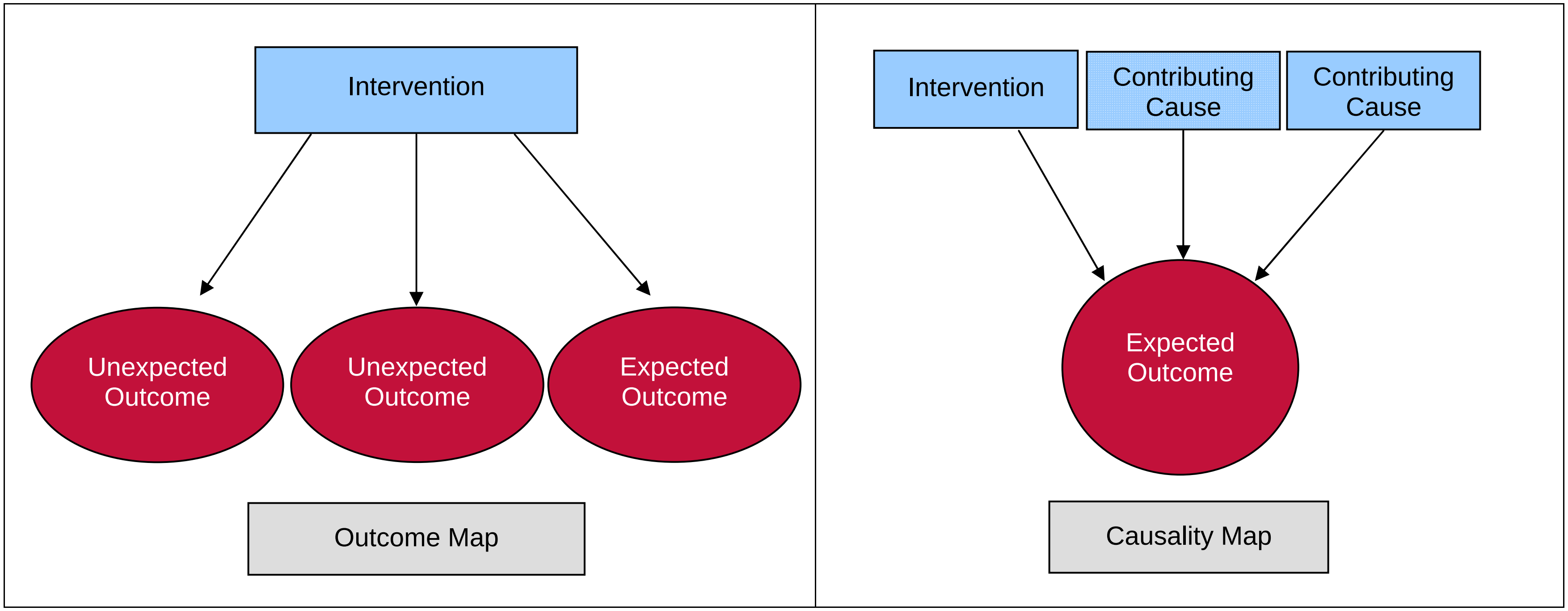
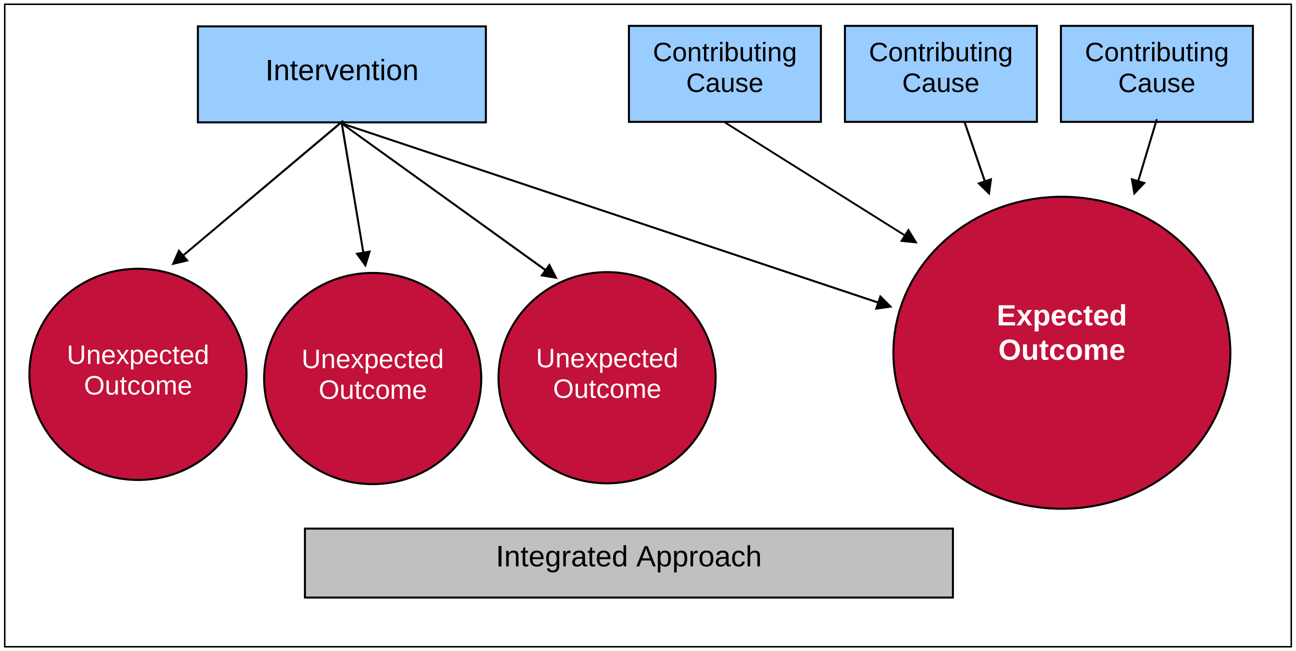
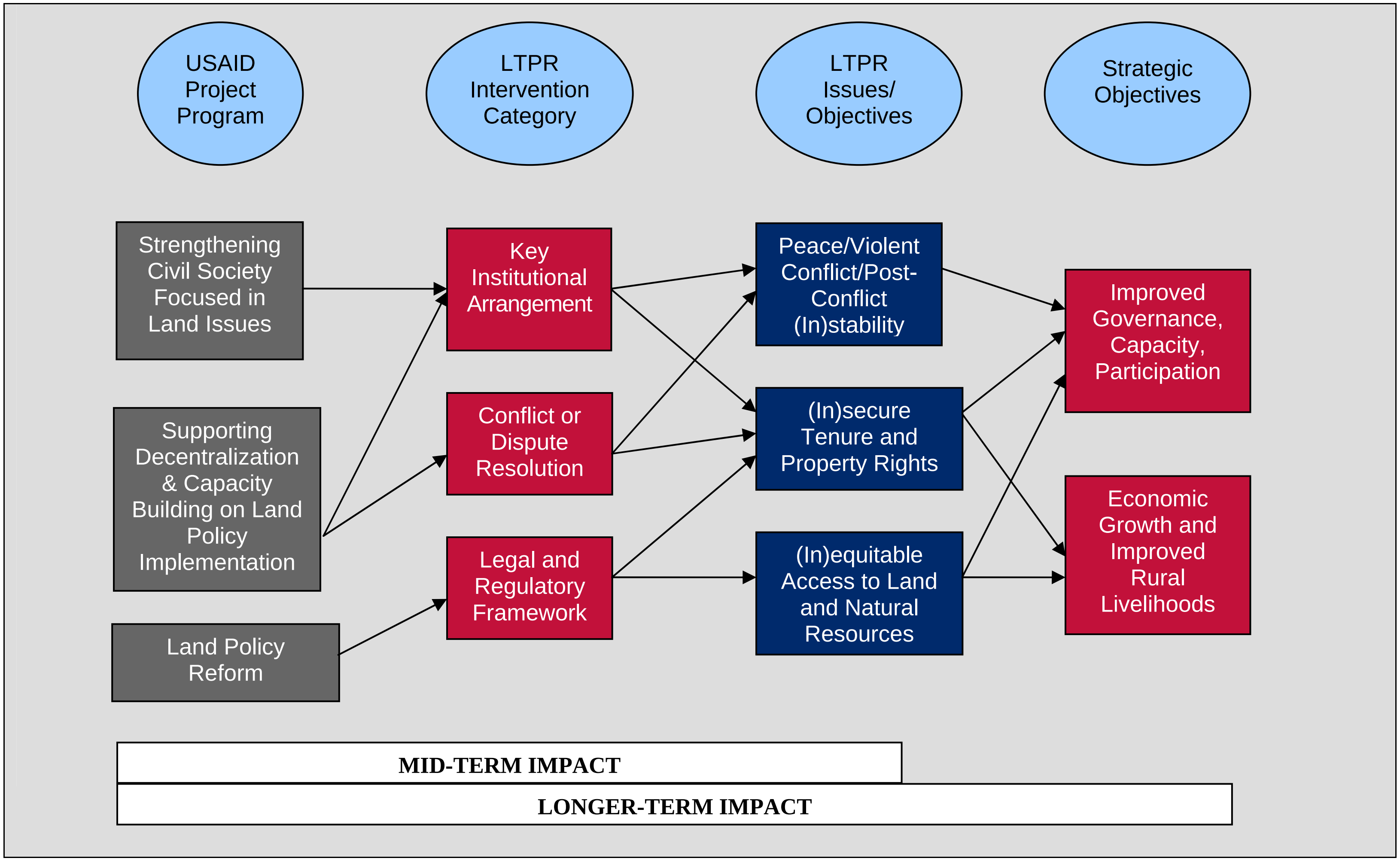


Figure C-1. Recommended Version of Figure 1 (LTPR Toolkit, p. 5)



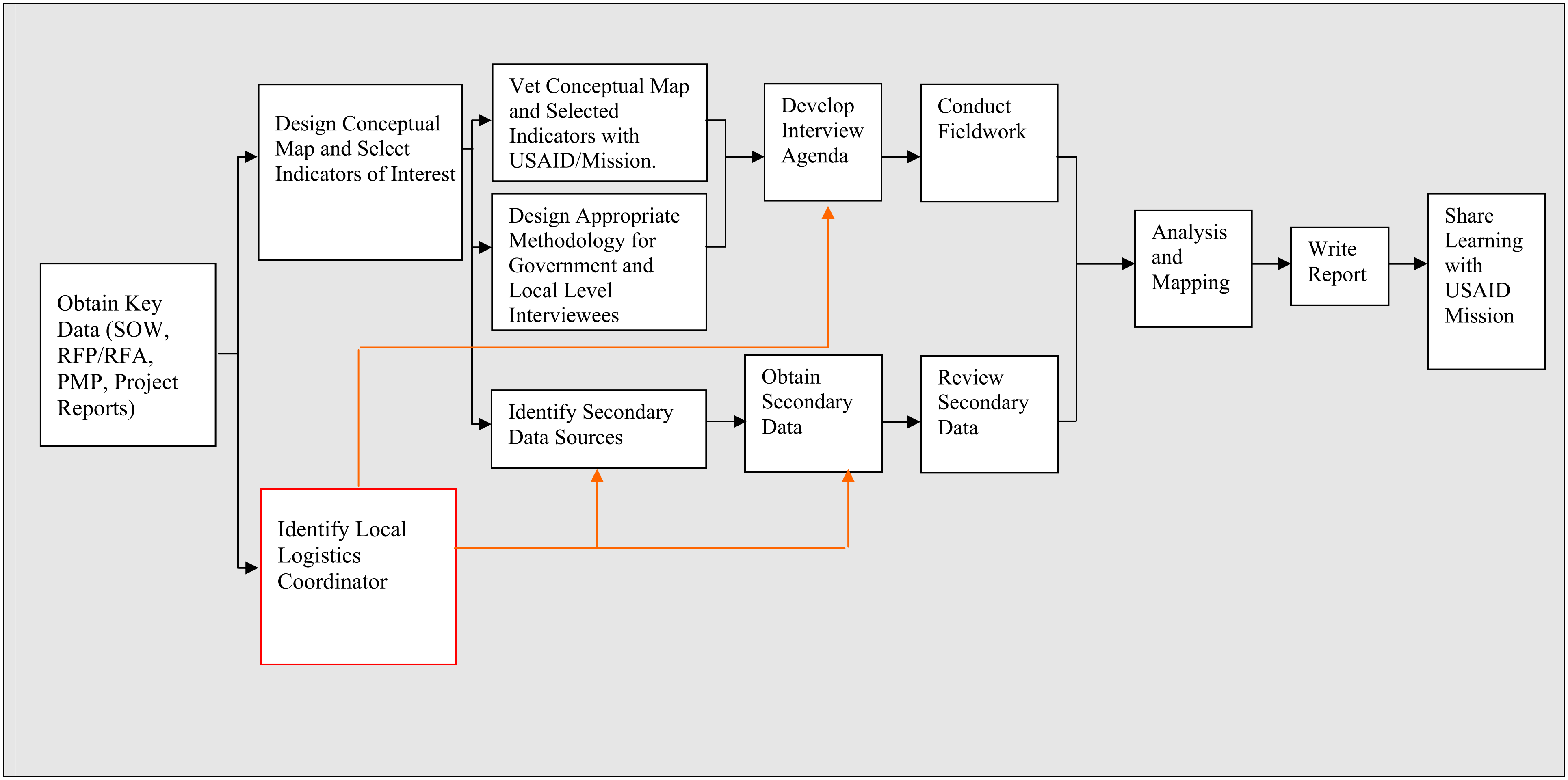
ANNEX D: RECOMMENDED VERSION OF FIGURE 4 (LTPR TOOLKIT, P. 13)

Figure D-1. Recommended Version of Figure 4 (LTPR Toolkit, p. 13)



ANNEX E: LTPR ASSESSMENT PROCEDURAL FLOW CHART

Figure E-1. LTPR Assessment Procedural Flow Chart



ANNEX F: SAMPLE CRIB SHEET—CHANGE IN OUTCOME INDICATOR STATE

Figure F-1. Sample Crib Sheet—Change in Outcome Indicator State

	H1-1: Perception that State will support legal claims of indigenous communities	H1-4: Perception of external stakeholder respect for territory	M1-1: Perception that Federation is effectively managing territorial issues with external actors.
2008 (present)		This page represents a sample "crib sheet" utilized during interviews to organize questions and responses. These boxes allow information to be recorded quickly in relation to specific indicators and time periods. The bottom of the page lists other indicators (time permitting during the interview) as well as reminders on all of the points that should be addressed in each interview according to the Assessment Tool methodology.	
2007 (project end date)			
2002 (project start date)			

Other Indicators: SOI-1: Perception that all actors are utilizing resources of indigenous territories in a sustainable manner. HI-6: Perception of degree of community's compliance with co-management agreements and NRM plans.

Questions to cover in each interview: **(a) Outcome Indicators—**(i) Indicator status now and in past, (ii) Factors that caused change, (iii) Rank importance of causes; **(b) Interventions—**(i) Positive/negative results of each intervention, (ii) Introduce other results?, (iii) Rank importance; **(c) Lessons learned** in working within indigenous territorial rights.

ANNEX G: SAMPLE CAUSALITY TABLE FROM FIELD TEST—USAID/ECUADOR

Table G-1. Sample Causality Table from Field Test—USAID/Ecuador

Source	Federation Effectively Managing Territorial Issues				State Support of Legal Claims			
	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.	FIENCE 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.	1	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.	1	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).	1	CAIMAN Fundación Cofán's assistance (technical implementation arm).	Yes. State support exists.	Indigenous communities were invisible to the State.	1	Organizational advancements of Indigenous entities. Legislative processes: recognition of ancestral land. International agreements. Public opinion. Socialist government.

ANNEX H: TABLE OF CONTENTS—CAIMAN AND PSUR ASSESSMENT

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ANNEXES

TABLES

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