LAND TENURE AND PROPERTY RIGHTS
IMPACT EVALUATION TOOL

SEPTEMBER 2013

The Impact Evaluation Tool was prepared by Tetra Tech 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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CONTENTS

ACRONYMS AND ABBREVIATIONS

ANOVA	Analysis of Variance
CAIMAN	Conservation in Areas Managed by Indigenous Groups Project
DD	Difference-in-Difference method
DEC	Development Experience Clearinghouse
HIV/AIDS	Human Immunodeficiency Virus/Acquired Immune Deficiency Syndrome
IDP	Internally Displaced Person
IQC	Indefinite Quantity Contract
KII	Key Informant Interview
KM	Knowledge Management
LOE	Level of Effort
LTD	Land Tenure and Property Rights Division
LTPR	Land Tenure and Property Rights
M&E	Monitoring and Evaluation
NRM	Natural Resource Management
PPL/LER	Bureau for Policy, Planning, and Learning's Office of Learning, Evaluation, and Research
PRRGP	Property Rights and Resource Governance Program
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

PREFACE

Resource tenure and property rights challenges are present in almost every country where the United States Agency for International Development (USAID) works. In many countries, tenure and property rights problems are so grave that they create political instability, violence, population displacement, famine, and environmental destruction, which significantly undermine or prevent successful implementation of many USAID programs. Over the last decade the demand to address property rights issues has increased from both 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 (and natural resource access and use) 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, and to a lesser extent, natural resource management and conflict. There are several important lessons learned from the last decade of research and policy work on property rights with a particular emphasis on land and resource tenure.

1. **Land tenure and property rights (LTPR) systems are fundamental to a wide variety of development outcomes.** Secure land tenure improves food security, economic growth, and natural resource management and reduces the impacts of conflict and climate change. Securing the rights of women, youth and vulnerable populations and broadening their access to resources complements and deepens the impact of interventions aimed at improving these outcomes. This is the case for people across the economic spectrum from smallholder farmers to urban manufacturers. An effective land governance and property rights system is fundamental to the broad process of economic and political development.

2. **Weak land governance systems limit economic growth; threaten good natural resource management; often promote conflict; and pose special problems for vulnerable groups, including minorities, indigenous people, the poor, and women.** Recognition of customary rights to land resources and the devolution of management authority improves land and resource governance and is crucial to sustainable natural resource management. Although many countries have effective and secure land governance and property rights systems, in numerous places, systems and rights are weak. The results of these weaknesses include conflict over land and resources, corruption associated with poorly functioning land governance systems, resource degradation, and limited economic growth.

3. **In development programming, property rights are most frequently dealt with in the context of land tenure reform, but they are increasingly being addressed through more integrated projects.** Programming decisions made in a variety of sectors that consider land tenure can have profound impacts on land use and natural resource management, agricultural systems, and infrastructure development.

4. **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 conflict, or improved use of 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. A greater emphasis on impact evaluation is needed.

5. **The ultimate objective is to secure property rights that will promote economic growth, food security, natural resource management, and stability**. Security of tenure can be achieved through a variety of approaches and should result in greater confidence that property rights will not be indiscriminately taken or unjustifiably restricted. Securing land and resource rights can be achieved through a variety of legal, administrative, and judicial means. It may require legal reform in one context and dispute resolution in another. USAID promotes the implementation of "secure enough" tenure rights and does not consider land titling or land formalization as the ultimate objective.

Issues and constraints regarding property rights vary from region to region, and they will continue to evolve over time. The most volatile of USAID-presence countries—and those that are often in the greatest need of property rights reform—are fragile states. 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 economic growth and democratization (and, in some cases, from war to peace) and how these shifts require different property rights interventions.

In light of these common concerns and issues, a whole-of-government approach to addressing land tenure and property rights has been developed through USAID and the Millennium Challenge Corporation (MCC). USAID's LTPR Division (LTD) coordinates issues of LTPR programming with other USAID bureaus, US government (USG) entities, and multilateral organizations. USAID currently works in close to 30 countries around the world to promote land governance systems (both formal and informal) that enable broad-based economic growth, human rights protection, and effective natural resource management. Because weak land governance systems compound vulnerability, our efforts are particularly beneficial for vulnerable groups. These efforts are investing over $800 million to strengthen the land tenure and resource rights of men, women, and children in the developing world.

> **BOX A: ILLUSTRATIVE USAID LAND TENURE PROJECTS**
> - Afghanistan Land Titling and Economic Restructuring
> - Biodiversity Conservation of Public Lands in the Brazilian Amazon
> - Egypt Financial Services Project
> - Ethiopia Land Administration Program
> - Ghana Commercial Agriculture
> - Indonesia Marine and Climate Support
> - Liberia Property Rights and Artisanal Diamond Development
> - Property Rights and Resource Governance (Global)
> - Rwanda Land Project
> - Tajikistan Land Reform
> - Timor Leste Strengthening Property Rights
> - Ukraine Land Titling Initiative
> - Uganda Supporting Access to Justice, Fostering Peace and Equity
>
> *See USAID Land Tenure and Property Rights Portal (http://www.usaidlandtenure.net)*

INTRODUCTION

A FRAMEWORK FOR LAND TENURE AND PROPERTY RIGHTS

USAID has developed a suite of tools and methodologies designed to enhance the understanding and programming of LTPR challenges and activities to advance USG strategic objectives in a number of areas, including food security, global climate change, conflict mitigation and women's economic empowerment. This body of work has been highly experimental, consultative, and developmental and has grown commensurate with growth of US investments in this sector.[1]

This work includes four components as summarized below, and are meant to be mutually re-enforcing as illustrated in Figure 1: LTPR Framework.

1. **The LTPR Framework** serves as the overarching conceptual methodology tying together overarching themes, definitions, tools, assessments, designs, and training programs that USAID uses to improve LTPR programming and capacity building. The Framework also includes:

   LTPR Matrixes—A Methodology for determining USAID-recommended interventions for different asset and social classes (e.g., **men and women)**; and a methodology for identifying constraints and opportunities.

FIGURE 1. LTPR FRAMEWORK

   LTPR Intervention Sequencing of land tenure and land reforms tailored to each country, region, or project context that leads to stronger and more efficient property rights systems. Beyond identifying interventions to address LTPR constraints, sequencing in addition requires assessment of appropriate scale, timing, and ordering. **The LTPR Glossary** is a guide to key LTPR terms and concepts, gathered from frequently cited international references.

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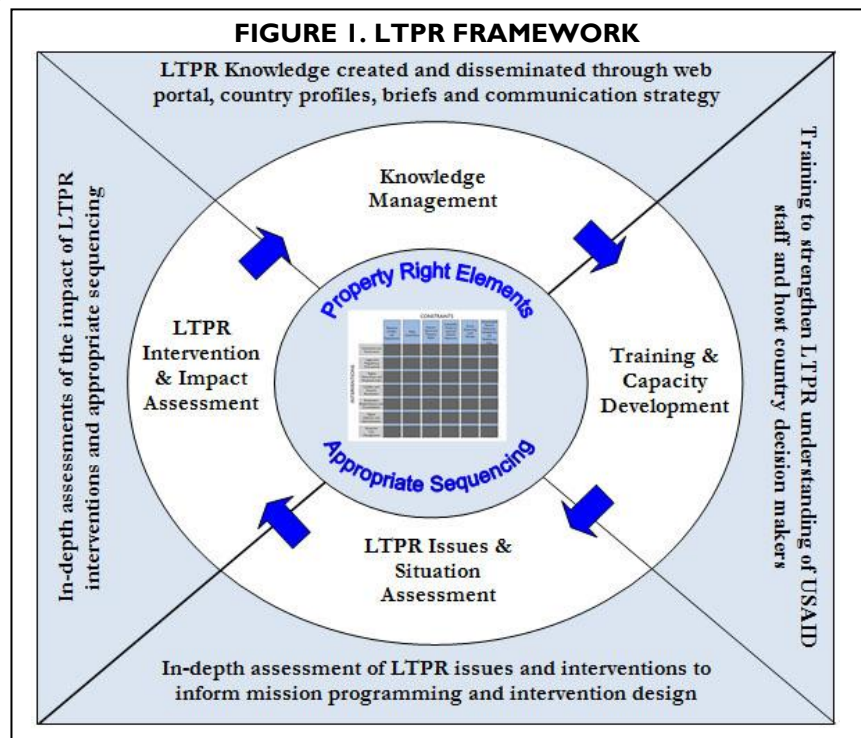
[1] This body of work updates tools that were originally produced under the *Lessons Learned: Property Rights and Natural Resource Management* contract.

2. **LTPR Assessment Tools—A Methodology for Assessing LTPR Constraints and Interventions**—includes two tools to guide USAID mission programming:

   LTPR Situation Assessment and Intervention Planning (SAIP) Tool, which is a diagnostic and programming tool to help USAID missions understand and assess LTPR issues and determine how these contribute to or impede realization of strategic objectives; and

   LTPR Impact Evaluation Tool, which provides a methodology for designing evaluations to determine the outcomes and impacts of land and natural resource tenure and property rights programming, whether as a project's main focus or a component of a broader set of goals.

In addition to these Framework and assessments tools, USAID has developed:

3. **LTPR Training materials, which include** short courses and other trainings to transfer knowledge and best practices about land tenure and property rights and strengthen LTPR knowledge, capacity, and understanding of USG program staff and implementing partners. Curriculum may be found on the LTPR web portal at www.USAIDlandtenure.net; and,

4. **LTPR Knowledge Management, which** consists of USAID Program Briefs on land tenure projects, LTPR Country Profiles, Issues Briefs, films, and LTRP research. This can be found at the *USAID Land Tenure and Property Rights Portal* (www.usaidlandtenure.net), which serve as the foundation for LTPR knowledge management within the Agency.

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. 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.

LTPR MATRIX: A TOOL FOR VISUALIZING THE LTPR UNIVERSE

As early as 2004, USAID felt the need for a conceptual framework that would simply and eloquently help USAID and contractors identify and assess LTPR issues (constraints) and "toolboxes" of interventions to address those constraints. Land tenure and property rights is concerned with questions of access to land and natural resources, the distribution of rights to those resources within society, the security of tenure held by various individuals and groups over these resources, and the sustainability of their use.

FIGURE 2. NEW LTPR CONSTRAINT ANALYSIS AND INTERVENTIONS MATRIX

CONSTRAINTS

	Resource Conflict and Displacement	Weak Governance	Insecure Tenure and Property Rights	Inequitable Access to Land and Natural Resources	Poorly Performing Land Markets	Unsustainable Natural Resources Management and Biodiversity Loss
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						

INTERVENTIONS (row axis label)

Crosscutting themes:
Gender/Women Vulnerability
Ethnic and Socially Marginalized Populations
Lack of Government and Community Capacity

The current generation base LTPR Matrix described in this section is aimed at addressing these questions and is the conceptual backbone of all interventions that follow. The Matrix illustrates a fairly complex but finite set of LTPR themes, constraints, and interventions. It is not meant to be read sequentially from left to right, nor from top to bottom; rather, it provides a menu of constraints and interventions to be considered within the realm of LTPR programming. The Matrix consists of six categories of LTPR issues and potential constraints, three crosscutting constraints, and seven categories of policy and program interventions.

CATEGORIES OF LTPR CONSTRAINTS

1. **Resource Conflict and Displacement (Column 1)** – Conflict over access and use of land and natural resources often resulting in landlessness, squatting or population displacement due to macro causes of genocide and war, social and ethnic conflict, climate change, and resource scarcity.

2. **Weak Governance (Column 2)** – Deficiencies in capacity to manage and/or disparities in power, influence, and wealth that lead to mismanagement, lack of accountability, and inability of individuals, communities, legal entities and groups to act upon and defend their rights in land, resources and property.

3. **Insecure Tenure and Property Rights (Column 3)** – The consequence of inadequate rights awareness or the perception of having too few rights, inadequate duration of rights, or inability to protect rights from encroachment by others due to problems of open access, weak governance, rights inequality, weak statutory and customary tenures, and expropriation without fair compensation.

4. **Inequitable Access to Land and Natural Resources (Column 4)** – Disparities in access and control over resources between classes and gender that are often affiliated with poverty and social strife and result in problems of landlessness, uneconomical and fragmented holdings, squatting, informal settlements, and weak and unsustainable livelihoods.

5. **Poorly Performing Land Markets (Column 5)** – Absent/weak sales, rentals, sharecropping, and exchanges that restrict the transfer of resources between willing sellers, buyers, lessors, and renters thereby constraining economic growth, or that fail to serve the poor and disadvantaged due to imperfect information, lack of capital, unequal bargaining power, or risk of distressed sales.

6. **Unsustainable Natural Resources Management and Biodiversity Loss (Column 6)** – Overharvesting or degradation of land, water, forests, pasture, and wildlife resulting in unsustainable use and biodiversity loss, or in the context of minerals, environmental degradation and practices that abuse or usurp the rights of communities/miners due to weak property rights and governance systems.

Crosscutting Constraints:

7. **Gender/Women Vulnerability (Crosscutting)** – This constraint category further nuances other constraint columns in the matrix by asking the question of LTPR constraints for whom, and addresses discrimination in property rights, land access, land markets, and ability to sustain natural resource management by women and men.

8. **Ethnic and Socially Marginalized Populations (Crosscutting)** – The constraint categories to the left in the matrix are further nuanced in this constraints column by the questions of LTPR constraints to marginalized and disenfranchised populations including among others HIV/AIDS affected households, pastoralist societies, indigenous populations, and post-conflict and climatically vulnerable populations discriminated against or left behind by political and economic change, or needing LTPR support or protection in face of political, economic and climatic shocks.

9. **Lack of Government and Community Capacity (Crosscutting)** – This constraints category relates to the identification and development of human capital in service to land property rights reforms.

CATEGORIES OF LTPR INTERVENTIONS

1. **Institutions and Governance (Row 1)** – Institutional arrangements that improve the governance of property rights from central to local levels by establishing rule of law, devolving authority, decentralizing decision making, ensuring impartiality of the judiciary, providing for citizen participation, and ensuring accountable and democratic governance.

2. **Legal and Regulatory Framework (Row 2)** – Interventions that provide individuals, groups, communities, or legal entities with important legal rights of ownership, usufruct, exclusion, and transferability, and typically focus on legal and regulatory reforms that increase clarity of rights, strengthen rights ownership, and provide for legal recourse and due process.

3. **Rights Awareness and Empowerment (Row 3)** – Interventions aimed at raising citizen awareness and understanding of their property rights as well as the procedures and facilities available to claim, defend and enforce those rights. Illustrative interventions include mass media, human capacity training, communication strategies and informational meetings targeting beneficiaries.

4. **Conflict and Dispute Resolution (Row 4)** – Formal and informal conflict mediation and dispute resolution strategies and mechanisms aimed at mediating conflict, resolving disputes, dispelling or averting violence, providing effective legal recourse and enabling compensation in the event of resettlement and public takings.

5. **Restitution, Redistribution, and Consolidation (Row 5)** – Land reform and resettlement to redress land concentration, privatize ownership, restitute rights, resettle displaced populations, or consolidate small, fragmented units into larger ones with the aim of redressing historical injustices and achieving a more fair, equitable, and productive land and agrarian structure.

6. **Rights Delivery and Administration (Row 6)** – Effective and low-cost land administration interventions that connecting rights to land, resources and property in law with the exercise of those rights in practice and focus on improving the effectiveness and reach of government in support of rights registration, land demarcation, surveying, mapping, and cadastral development.

7. **Resource Use Management (Row 7)** – Strengthened property rights and governance to improve land and natural resources management, conservation and bio-diversity protection, or land use planning for municipal/urban development, and include such interventions as participatory decision-making, zoning, trusts, conservancies, protected areas and co-management models.

The Matrix in Figure 2 serves as the template for regularizing and developing empirical overlays for five natural and human resource domains in Figure 3:

- Land Tenure and Property Rights;
- Freshwater Lakes, Rivers, and Groundwater;
- Minerals;
- Trees and Forests; and
- Women, Land, and Resources.

Each of these overlays is a standalone Matrix. Other domains are possible: pastures, wildlife, fisheries, and coastal areas. The overlay approach allows expandability by adding additional overlays in the future (e.g., coastal areas) as demand warrants.

FIGURE 3. LTPR CONSTRAINT ANALYSIS AND INTERVENTIONS MATRIX
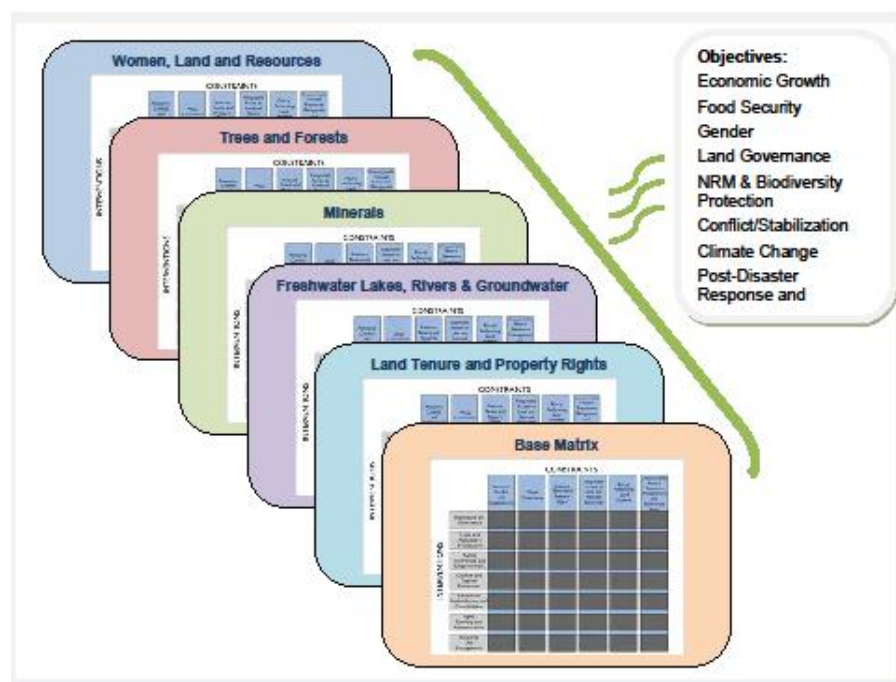
MATRIX OVERLAYS

In this report, Sections 1.0 to 6.0 populate the *Land Tenure and Property Rights Matrix* with salient issues and key interventions, and link these to information sources for easy reference. Annex C provides summary tables on issues and interventions extracted from the overlay which serve as useful tools for training exercises or as "quick sheets" when undertaking assessments. Overlays and quick sheets for resource domains can be found in the following documents, all developed under the USAID Property Rights and Resource Governance Task Order:

- Overlay 1: Land Tenure and Property Rights Matrix ;

- Overlay 2: Freshwater Lakes, Rivers, and Groundwater Matrix ;

- Overlay 3: Minerals Matrix ;

- Overlay 4: Trees and Forests Matrix ; and

- Overlay 5: Women, Land, and Resources Matrix.

Each overlay is organized into chapters (see Sections 1.0 to 6.0) centered around constraint categories which:

- Provide an overview of issues and sub-issues related to respective constraints;

- Describe various policy and program interventions USAID recommends bundled according to intervention categories;

- Explain how the Food and Agriculture Organization of the United Nations (FAO)'s *Voluntary Guidelines on the Responsible Governance of Tenure of Land, Fisheries and Forests in the Context of National Food Security* addresses the constraint (where applicable)*;* and

- Include a list of related reading for each topic.

USAID programmatic recommendations are guided by the following principles:

- Land tenure and property rights systems that recognize, record, and administer a multiplicity of statutory and customary land tenure and property rights, whether held by individuals, groups or legal entities;

- Land tenure and property rights systems that protect the rights of women and other marginalized groups in society;

- Fully participatory processes to define, delimit, record, and administer land tenure and property rights and obligations;

- Market-mediated approaches to provide access to land;

- Land governance systems that are reasonably accessible, in terms of location and cost, to all members of society;

- Land governance systems that allow and support the creations of transparent and effective land markets, including land sales, leases, and the use of easements and other mechanisms; and

- The equitable application of laws, regulations, and administrative practices for all market participants.

   Importantly, the US government does not support the following: Expropriations and forcible evictions/relocations (or the use of compulsory purchase/resumption) that violate rights to due process and do not award prompt, adequate and effective compensation or that take private property for private purpose."

Whether for trainings, assessments, or project designs, there is a programmatic need to order the "universe" of possible LTPR issues and interventions. The LTPR Matrix and overlays address this need. The process of using the Matrix and overlays to examine LTPR issues and constraints generally comprises the following steps:

1. Use the Matrix and overlays to clarify or identify key issues; for example, land conflict created by disagreements over tribal/clan boundaries.

2. Identify categories of policy and programmatic interventions suited to addressing the constraints under the appropriate toolbox of interventions.

3. Within the toolbox of interventions, identify specific USAID-recommended policy and programmatic interventions (i.e., the tools). For example, within the toolbox entitled Legal and Regulatory Framework, one might consider granting legal recognition of customary institutions in land law or policy to address land conflict created by clan disagreements. Within the toolbox of Rights Delivery and Administration, one might recommend community land demarcation as an appropriate intervention to connect rights in law to specific boundaries of community land.

4. Each of the five overlays can be used individually or in combination, as in a landscape, watershed, or ecosystem assessment.

The specific interventions mentioned in the Matrix and overlays, while illustrative, nonetheless serve to accelerate or expand thinking when needing to conduct "how to" courses and transfer knowledge in training programs, help to target or focus questions or lines of enquiry when conducting LTPR assessments, or recommend appropriate intervention strategies whether by way of making recommendations or formulating project designs. The Matrix is thus the conceptual framework for ordering and clarifying thinking on LTPR constraints and interventions, and the causal linkages between them.

1.0 IMPACT EVALUATION TOOL

1.1 WHY CONDUCT A LAND TENURE AND PROPERTY RIGHTS IMPACT EVALUATION?

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 performance evaluations. What is lacking, however, is a uniform and systematic approach that moves beyond LTPR project performance evaluation and focuses on measuring the impact of pilot projects or projects testing new development hypotheses to inform future LTPR programming. 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 can be scaled up or replicated in future LTPR programs to maximize impact.

The LTPR Impact Evaluation Tool presented here targets USAID missions as well as LTPR and Impact Evaluation 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. Measure project/intervention effectiveness, relevance, and efficiency.

2. Enhance Agency's learning from LTPR project interventions and outcomes to refine design and introduce improvements into future programs.

3. Permit missions to share and learn from the experiences of other country missions.

4. 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 USAID, including 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.

1.2   HOW DOES THE LTPR IMPACT EVALUATION TOOL WORK?

The LTPR Impact Evaluation 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 focus or a component of a broader set of goals. The tool is intended to be applied prior to the close of a project (typically 18 months or more before the project's conclusion) so that the findings may be available to inform future LTPR programming.

This tool is a companion to the LTPR Situation Assessment and Intervention Planning (SAIP) Tool. A rigorous Impact Evaluation may only be conducted when planning for the evaluation 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 Evaluation Tool provides guidelines for assessing both projects that utilized the SAIP Tool and those that have otherwise collected baseline data on project outcomes and impacts. To assess attribution between LTPR interventions and observed outcomes, the tool relies on the comparison of treatment and control groups, as well as triangulation of quantitative and qualitative data collected through semi-structured interviews, rapid appraisal methods, focus groups, and short questionnaires.

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 (but not involved in implementing the project under review) has the potential to considerably deepen learning drawn from the evaluation and thereby enhance a mission's capacity to respond appropriately to evaluation findings.

The evaluation 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 evaluation 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, it is likely the evaluation will be more costly. 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

Most LTPR projects conduct **Performance Evaluations** to measure what a particular project or program has achieved, how it is being implemented, how it is perceived and valued, whether expected results are occurring, and other questions that are pertinent to program design, management, and operational decision making. In projects where a new intervention is being piloted or a development hypothesis is being tested, the USAID 2011 *Evaluation Policy* requires implementation of a rigorous **Impact Evaluation** to measure the change in a development outcome that is attributable to a defined intervention. Impact evaluations are based on models of cause and effect, and as opposed to Performance Evaluations, require a credible and rigorously defined counterfactual to control for factors other than the intervention that might account for the observed

change.[2] This tool follows USAID's 2011 *Evaluation Policy* guidelines for conducting rigorous Impact Evaluations, supplemented with additional tested qualitative techniques for evaluating change and assessing attribution.

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[2]   See USAID. January 2011. Evaluation: Learning From Experience, *USAID Evaluation Policy*. USAID: Washington, DC. Available at http://transition.usaid.gov/evaluation/USAIDEvaluationPolicy.pdf

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.

Control (Counterfactual) group: Population/group selected as a comparison to the treatment group to control for confounding factors and assess attribution between the LTPR interventions and observed changes.

Impact evaluation: A measure of the change in a development outcome that is attributable to a defined intervention; impact evaluations are based on models of cause and effect and require a credible and rigorously defined counterfactual to control for factors other than the intervention that might account for the observed change. Impact evaluations in which comparisons are made between beneficiaries that are randomly assigned to a treatment or a control group provide the strongest evidence of a relationship between the intervention under study and the outcome measured.

Performance evaluation: Focus on descriptive and normative questions: what a particular project or program has achieved (either at an intermediate point in execution or at the conclusion of an implementation period); how it is being implemented; how it is perceived and valued; whether expected results are occurring; and other questions to program design, management, and operational decision making. Performance evaluations often incorporate before-after comparisons, but generally lack a rigorously defined counterfactual.

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: Outcome that emerges from a particular intervention and that leads to further outcomes that often constitute the development 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 LTPR 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 LTPR 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.

Treatment group: Population/group selected to participate in the LTPR intervention.

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

Outcome map: A depiction of the direct, and possibly indirect, outcomes that have emerged from a particular intervention, as perceived by one or more individuals.

Scale: The breadth of an intervention in terms of the intended reach of its impact.

Triangulation: A technique for validating information that involves eliciting it from multiple sources, typically with diverse backgrounds or interests.

USAID mission strategic objectives: The principal focus areas defined in a USAID Country Strategic Plan corresponding to that USAID mission.

1.4 A ROADMAP OF THE IMPACT EVALUATION TOOL

The LTPR Impact Evaluation 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 evaluation parameters (Section 2),
2. **Planning** for the evaluation (Section 3),
3. **Implementing** the evaluation (Section 4), and
4. **Analyzing and learning** from the findings (Section 5).

Section 2 provides guidance on how to characterize the scope of the evaluation 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 evaluation, and
- General methods to be employed by the evaluation.

Section 3 turns to the **planning** necessary for an Impact Evaluation, 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 Evaluation. 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 the Impact Evaluation 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 Evaluation report are presented. The tool concludes with methods designed to enhance the **learning** potential of the Impact Evaluation and involve USAID, including mission staff in analyzing the findings and their implications for developing future LTPR interventions.

Figure 1.1 on the following page illustrates the flow of steps involved in undertaking the Impact Evaluation 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.

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[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.

Several annexes are also included to assist the Agency and the 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 evaluation report.

FIGURE 1.1. PROCESS FOR CARRYING OUT AN LTPR IMPACT EVALUATION
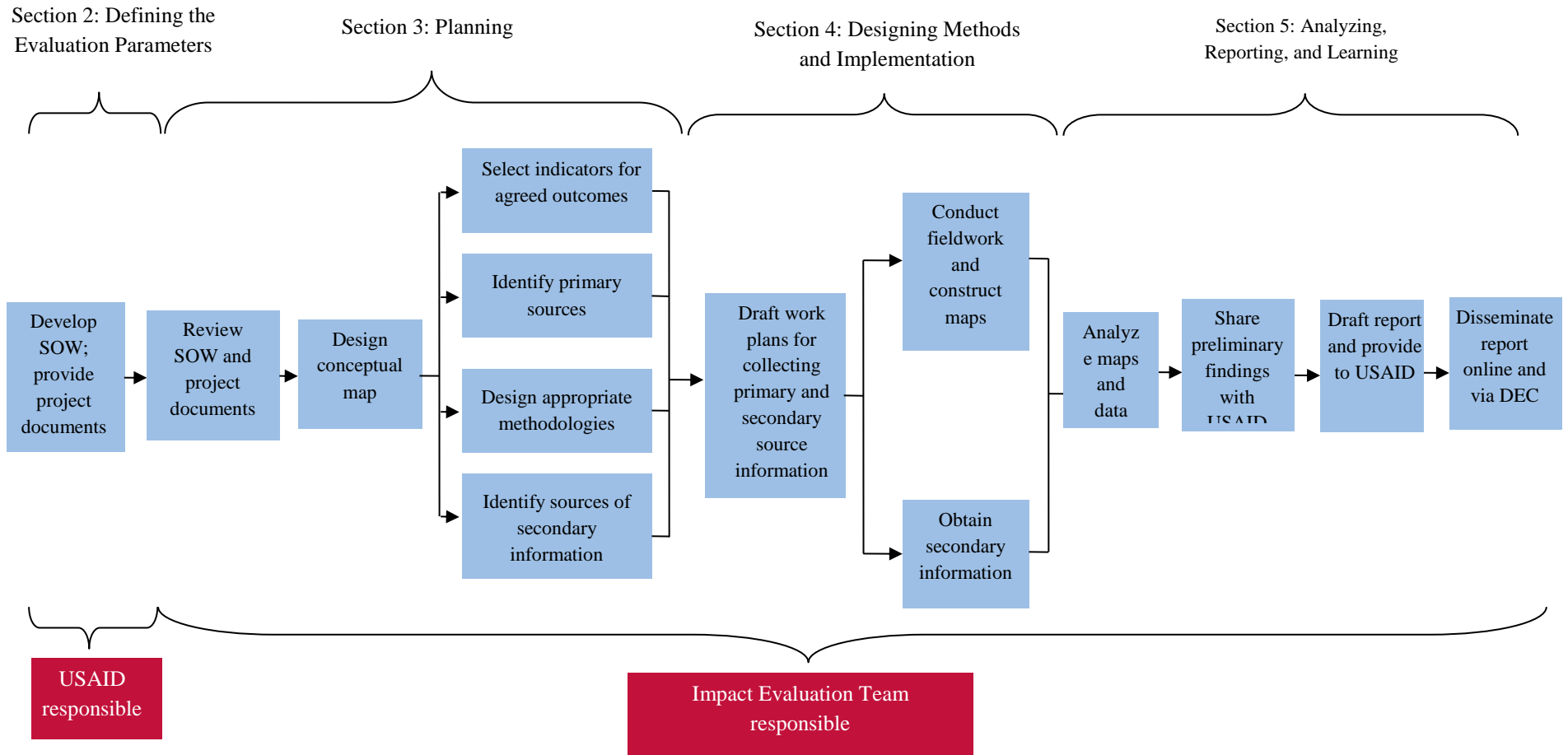
2.0 DEFINING THE EVALUATION PARAMETERS

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

1. Identify the LTPR intervention(s) to be evaluated.
2. Select the LTPR, other project outcomes, and strategic outcomes based on the objectives associated with the LTPR interventions.
3. Determine the timeframe of the assessment, specifying a pre-intervention year and a post-intervention year (usually the present year).
4. Decide on the scale at which the impact evaluation will be conducted.
5. Assess how much time is needed to carry out the evaluation.
6. 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.
7. Prepare the budget and finalize the scope of work (SOW).
8. Assemble project documents to be provided to the impact evaluation team and identify any other needed support that the USAID mission will supply.

Impact evaluations are carried out for a variety of reasons, including testing development hypotheses, sharing information and reporting, promoting accountability, determining whether or what kind of follow-up interventions are needed, and creating a learning environment. The Agency may want to understand why certain project successes and/or failures were experienced and which components were most and least effective in achieving the Agency'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, USAID 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. Being precise in these five parameters will enable the team to meet the Agency's learning objectives and avoid investing resources investigating issues that are less relevant to USAID. 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 Evaluation.

2.1   WHAT TO ASSESS?

The object of evaluation 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* typically comprises 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.

FIGURE 2.1. LAND TENURE AND PROPERTY RIGHTS BASE MATRIX
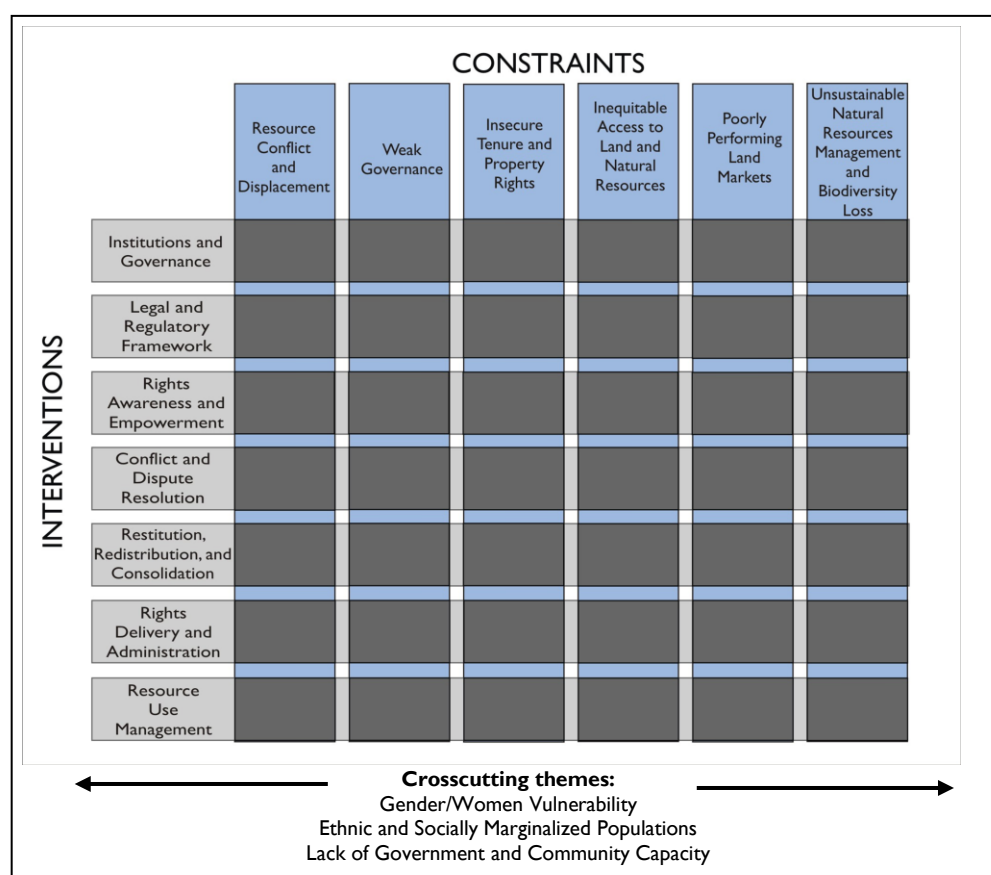
The evaluation team will need to have a clear understanding from USAID of which intervention(s) will serve as the object of the assessment. In one case, it could be a *single intervention* within a USAID project. Alternatively, the Agency may be interested in the impact of *one type of intervention implemented 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 evaluation 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 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 that comprise 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. Therefore, 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 to consider 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 Evaluation itself, it is critical to be 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?

An Impact Evaluation 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 Evaluation 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 through comparing treatment groups with counterfactual, or control groups.

In identifying the principal outcomes against which impact is to be assessed, USAID can draw on **specific project objectives (or "results")** and **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 is typically depicted in the conceptual map developed in the intervention planning process and these will include **LTPR objectives**

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[6] In general, USAID 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 M&E, and described in project reports and end-of-project evaluations.

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 the Impact Evaluation, but established indicators for assessing those outcomes, and information on the pre-project state of those indicators for both treatment and control groups.
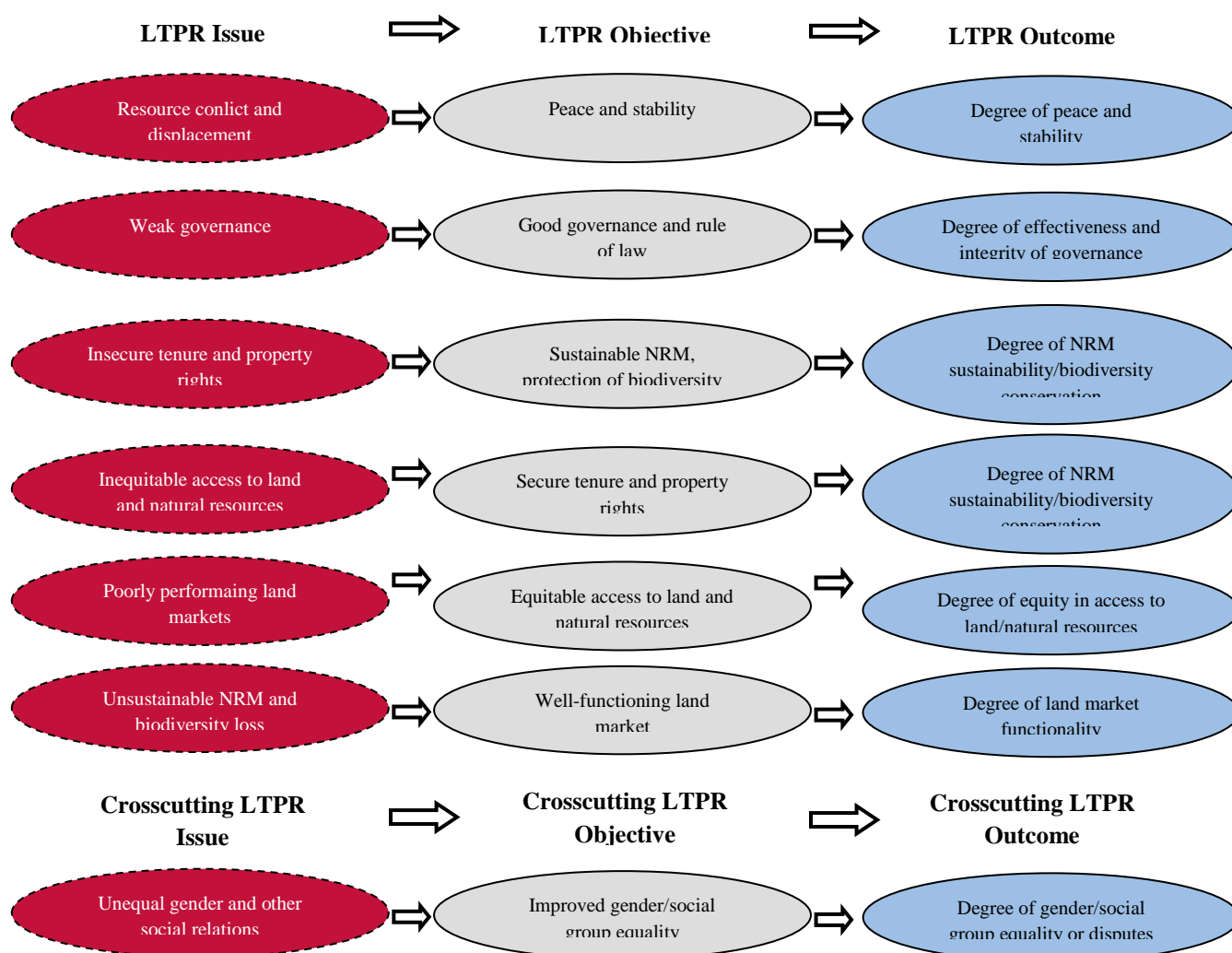
For projects that have not been designed using the SAIP Tool, it will be necessary to identify the strategic and other objectives associated with the intervention(s) for which impact is being assessed, and reformulate these objectives as outcome parameters by giving them a neutral character. For example, 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 (or constraints) while agricultural productivity may correspond to a mission Strategic Objective. Figure 2.2 shows the correspondence between LTPR issues or constraints, LTPR objectives, and LTPR outcomes. Figure 2.3 offers a visual example of the theoretical relationships among sample USAID projects, their intervention components, LTPR (project) objectives, and USAID Strategic Objectives. Useful sources for identifying the project and USAID Strategic Objectives are project RFPs, project proposals, implementation plans, and progress reports.

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 connect it causally 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

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

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. Similarly, 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 have such objectives, formulating indicators to measure progress in realizing such objectives, and gathering baseline information on those indicators from treatment and control groups.

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

LTPR Issue		LTPR Objective		LTPR Outcome
Resource conlict and displacement	⇒	Peace and stability	⇒	Degree of peace and stability
Weak governance	⇒	Good governance and rule of law	⇒	Degree of effectiveness and integrity of governance
Insecure tenure and property rights	⇒	Sustainable NRM, protection of biodiversity	⇒	Degree of NRM sustainability/biodiversity conservation
Inequitable access to land and natural resources	⇒	Secure tenure and property rights	⇒	Degree of NRM sustainability/biodiversity conservation
Poorly performaing land markets	⇒	Equitable access to land and natural resources	⇒	Degree of equity in access to land/natural resources
Unsustainable NRM and biodiversity loss	⇒	Well-functioning land market	⇒	Degree of land market functionality

Crosscutting LTPR Issue		Crosscutting LTPR Objective		Crosscutting LTPR Outcome
Unequal gender and other social relations	⇒	Improved gender/social group equality	⇒	Degree of gender/social group equality or disputes

FIGURE 2.3. EXAMPLE OF LINKS AMONG USAID PROJECTS, LTPR INTERVENTIONS, LTPR OBJECTIVES, AND USAID STRATEGIC OBJECTIVES
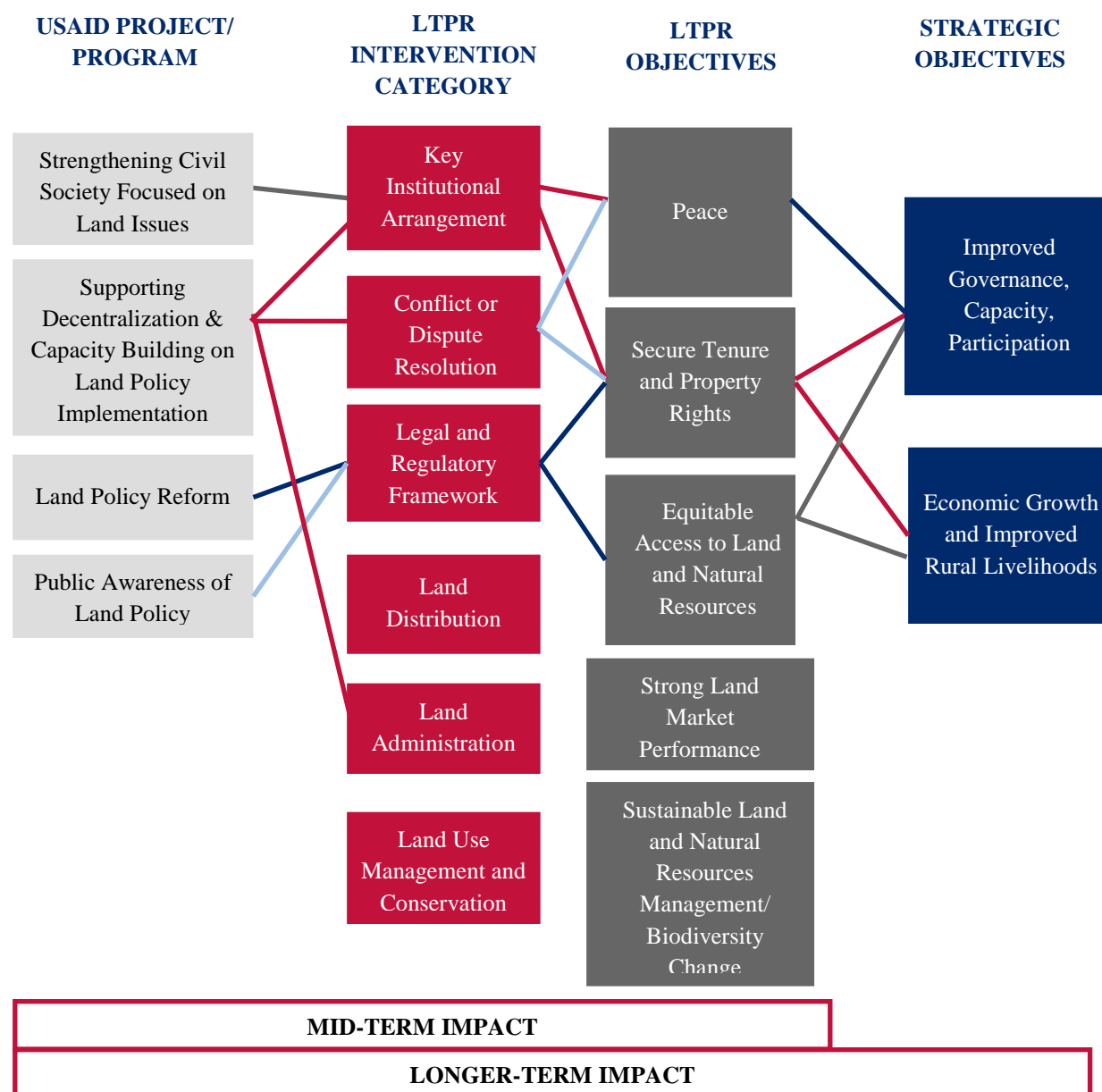
Regardless of whether the project included objectives specific to gender, it is highly recommended that the selected principal outcomes for the Impact Evaluation include measures of gender equality through the inclusion of gender-sensitive indicators and the disaggregation of all person-level indicators by sex. 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 is also indicative of the growing importance USAID is placing on projects positively contributing to gender equality.

2.3   TIMEFRAME

The timeframe for the evaluation refers to the range of time over which change will be assessed. To ensure the required data for conducting the Impact Evaluation are available, planning for the Impact Evaluation must be incorporated in every phase of the LTPR project or intervention. For example, treatment and control groups must be selected and baseline data from each group collected at the start of the project **prior** to launching LTPR interventions. The Impact Evaluation Tool should be applied 18 months before the end of the project/intervention to allow time for design, implementation, analysis, and dissemination of findings before the project closes.

2.4   SCALE

Because the size and scope of projects are highly variable, the Agency 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, evaluation 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 Evaluation should be targeted. Since baseline data will need to be collected from both treatment and control groups prior to the implementation of interventions, these decisions will need to be made early on in the project/intervention design phase. For a project implemented in several parts of the country, the Agency may wish to consider narrowing the analysis to two to three areas where the physical, socioeconomic, and/or the institutional landscape contrast significantly, and select one comparable control site for each treatment site. Or, if different packages of LTPR interventions were introduced in different sites, two to three treatment sites (and a counterfactual control site for each) could be selected where the LTPR approach was significantly different. Doing so provides the opportunity to learn what kinds of intervention approaches might work better and under what conditions.

2.5   TIME

The Impact Evaluation can generally be carried out during a period of four to six weeks, depending on the scale of the evaluation (as noted above) and the size of the team (see next section), or approximately 24–36 days of level of effort (LOE) 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 evaluation prior to arrival in country;
- Twelve to twenty days to conduct fieldwork in country and analyze the information to extract preliminary findings;
- Five to seven days to write the report, 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 the team on 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 EVALUATION TEAM

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

The interventions and selected principal outcomes suggest important areas of expertise that would benefit the evaluation 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 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 quantitative and qualitative Impact Evaluation and experience in applying and analyzing their data, including econometric data analysis. 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 evaluation will take place. Where possible, the evaluation should attempt to build local capacity by involving local consultants in key roles, or supporting partner organizations, civil society, or government to undertake such evaluations and use the results generated. To ensure objectivity, the evaluation teams should be led by outside experts, and no implementing partner or USAID staff member involved in the project under evaluation should be involved in evaluating its own activities.

> The involvement of at least one USAID staff member engaged in LTPR programming but not involved in the project under evaluation has the potential to considerably deepen learning drawn from the assessment and thereby enhance the Agency's, including the mission's capacity to respond appropriately to assessment findings.

An evaluation 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 USAID/Washington and the mission. To the extent possible, evaluation specialists with appropriate expertise from partner countries, but not involved in project implementation, will lead and/or be included in evaluation teams.

The involvement of at least one USAID staff member engaged in LTPR programming (but not in the project or intervention being evaluated) has the potential to considerably deepen learning drawn from the evaluation and thereby enhance the Agency's capacity to respond appropriately to evaluation 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 able to schedule interviews or arrange for government, civil society, and/or community workshops. S/he should also be familiar with the different locations under evaluation 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 evaluation 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   SCOPE CHECKLIST

Box C provides a list of key questions to assist the Agency in developing a SOW for the LTPR Impact Evaluation. 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 evaluation being done? Or, who wants to know what?
2.   What does the Agency hope to achieve by carrying out the evaluation?
3.   Which LTPR interventions within a project or program will be evaluated?
4.   What were the principal objectives of the project, including LTPR and USAID Strategic Objectives? What outcomes correspond to these objectives?
5.   Over what time period will impacts be evaluated?
6.   At what scale is the impact evaluation to be conducted?
7.   Considering the scale of the evaluation 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	• Contribute to mission's 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	• *Project objectives:* 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? • *Mission Strategic Objectives:* How did the LTPR interventions of interest contribute to (1) food

SCOPE COMPONENTS	EXAMPLE
	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 awareness campaign targeted to women, 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 for fieldwork and data analysis; 6 days for report writing; and 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 Evaluation 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.

2.8   USAID WASHINGTON AND MISSION SUPPORT

Once the evaluation team has been identified and before they begin their work, the Agency—including the relevant USAID mission—should assemble the necessary documentation for the team, 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 treatment and control groups, strategies, and implementation**. If the project was designed using the SAIP Tool, the Program Design Report is essential for framing the Impact Evaluation and includes *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 treatment/control groups, and other intended and unintended outcomes**.[7] These can often be found in progress reports, final reports, and project evaluation reports.

- **Documentation of any M&E of LTPR interventions or project implementation and outcomes, as well as the M&E Report** prepared to design the M&E system if the project was developed using the SAIP Tool.

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[7]   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 if 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.

- **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 USAID mission should be conducted upon team arrival to clarify the objectives of the Impact Evaluation and expectations for deliverables, and to provide any additional advice to the team prior to embarking on the evaluation and traveling to the field sites.

2.9   FINALIZING THE SCOPE OF WORK AND BUDGET

With the foundations of the evaluation in place, the SOW can be finalized and a preliminary budget prepared. The cost of an evaluation 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 evaluation exercise. However, for projects with a strong focus on learning from pilot projects and hypothesis testing, it is advised that 10-15 percent of a project budget be set aside for conducting the impact evaluation. As a rough guideline, the LOE of team members should be broken down as follows: 15 percent for planning activities; 70 percent for empirical investigation, data analysis, and presentation of preliminary findings to USAID; and 15 percent 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 evaluation exercise is operating under a fixed budget constraint, decisions will need to be made as to whether the SOW 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 Evaluation are passed to the evaluation 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.

3.0 PLANNING

SUMMARY OF STEPS: PLANNING

Selecting outcome indicators

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

Deciding on information sources

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

Deciding on methods

1. Considering the source of information (individuals, groups, or communities), scale of the interventions and outcomes being assessed, and the methods applied, select the best mix of survey methods, rapid appraisals, and interviews.
2. Methods should be selected with consideration of empirical strength of findings, relevance to future programming, and emphasis on learning and local capacity building to undertake such evaluations.

Completing work plans and allocating resources

1. Agree on impact team member responsibilities for conducting surveys, appraisals, and interviews (Annex D).
2. Schedule interviews and carry out logistical planning to organize appraisals.
3. Finalize the Impact Evaluation 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).

From this point forward, the tool describes the steps to be carried out by the evaluation team. The planning phase described in this section begins with the team reviewing the SOW and the project documentation provided by USAID, and either reviewing or developing "conceptual maps."[8] 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

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[8] If the team has not received the project documentation described in Section 2.9, the team leader should contact the Agency 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).

these conceptual maps will be contained in the Program Design Report. Otherwise, the impact evaluation 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 evaluation 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 Evaluation, the technical and regional bureaus should contact USAID's Bureau for Policy, Planning, and Learning's Office of Learning, Evaluation, and Research (PPL/LER) as necessary to discuss any aspects of the evaluation that depart from the *USAID Evaluation Policy*, or if necessary, to obtain clearance on exceptions to the requirement of public disclosure of evaluation findings. Once USAID has consulted with the PPL/LER and drafted a SOW for the assessment, the evaluation team members should take the opportunity to review:

- The Impact Evaluation Tool in full (including annexes);[9]
- The SOW for the assessment;
- Statement regarding conflict of interest (for external evaluations, team members should disclose any existing conflict of interest relative to the project being evaluated); 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.[10] It will also provide an opportunity for team members to discuss the tool methodology, scope, and 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 Agency. 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.

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 USAID would like to assess impact, and 2) the objectives (or principal outcomes) against which

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[9]   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.

[10]   The team that piloted an earlier version of this tool suggested circulating team members' resumes among the group prior to this initial meeting.

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 LTPR intervention is state enforcement of property rights claims in the form of land titling and registration. 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
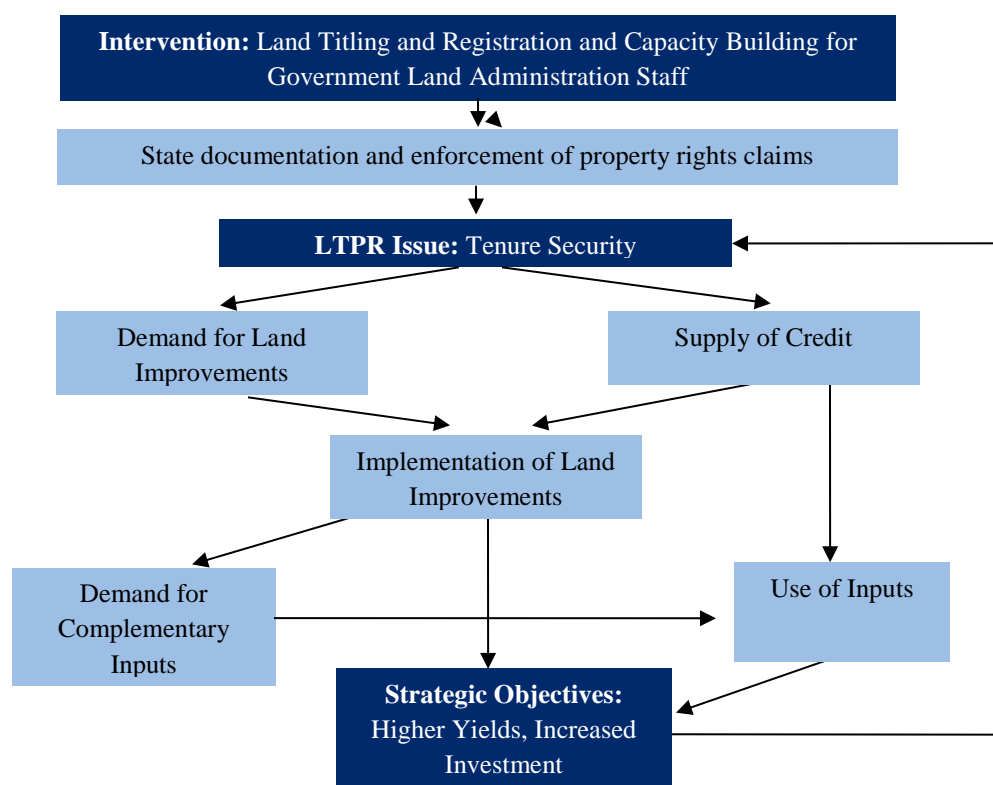
Projects that have applied the SAIP Tool as part of the LTPR intervention planning process will have developed conceptual maps to illustrate the various hypotheses linking the LTPR interventions to each of the principal outcomes (framed as objectives), including LTPR and Strategic Objectives. The team 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 evaluation 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 evaluation.[11]

Using the conceptual maps, the team will want to consider whether to select any intermediate outcomes as part of the Impact Evaluation, 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 put to 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 evaluation can be. This is because there are more intermediate outcomes and intervening variables that will come into play. Yet, often it is these "higher-order" outcomes that are of most interest to the Agency when assessing the impact of LTPR interventions.

After the team has selected outcomes using the conceptual maps, the team should vet these with USAID to ensure that 1) the maps accurately represent the hypotheses and assumptions underlying the choice of LTPR interventions,[12] 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 project designers if an intervention or project is on track as designed. The outcomes are typically multidimensional. While they are real reflections of goals, they are often too multifarious to capture change adequately or efficiently. For example, the intent of an intervention may be about improving the well-being of persons who suffer from inadequate resources to live above a standard considered "decent." However, the outcome *well-being* has many components, as do the resources that contribute to a *decent life*. Although it may fail to account for some of the people whose lives designers 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 desired. The more simple and precise an indicator, the easier it will be to collect information on it and assess impact.

> All impact assessments should include several gender-specific and sex-disaggregated 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.

If the LTPR interventions being assessed were developed using the SAIP Tool, the M&E report for the project should contain the selected indicators for the different anticipated outcomes of the project and targeted for inclusion in the baseline assessment and M&E. In general, USAID will be interested in assessing the impact of LTPR interventions on so-called "higher-order objectives" of the project (e.g., improved

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[11]   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.

[12]   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.

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 M&E, and described in project reports and end-of-project evaluations. Using the outcome 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) for both treatment and control groups which can be used as a basis for assessing change. Information collected during a LTPR Situation Assessment may also offer useful indicators, especially if the indicators have been populated with actual data.[13]

Table 3.1 lays out the six issues (or constraints) from the LTPR Base Matrix and provides an illustrative set of possible indicators for assessing LTPR outcomes. The set of indicators should include several gender-specific and sex-disaggregated 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.

TABLE 3.1. EXAMPLES OF INDICATORS LINKED TO LTPR OUTCOMES

LTPR ISSUE/OUTCOME	EXAMPLES OF POSSIBLE INDICATORS
Conflict/stability	• 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	• 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 • 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	• Percent increase in economic benefits derived by men from sustainable natural resource management and conservation • Percent increase in economic benefits derived by women from sustainable natural resource management and conservation • Rate of deforestation (by year/district/etc.) • Rate of harvesting of natural resources as compared to regrowth rate
(In)secure tenure	• 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 per year/by district/etc. • Percent of citizens within key population categories aware of legal rights associated with LTPR • Percentage of people perceiving tenure security, disaggregated by gender, wealth,

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[13] 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 Impact Evaluation, 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.

LTPR ISSUE/OUTCOME	EXAMPLES OF POSSIBLE INDICATORS
	ethnicity and age
(In)equitable access to land and natural resources	• 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	• Percent of male-headed households engaged in land sale or rental markets • Percent of female-headed households engaged in land sale or rental markets • Amount of land purchased, sold, rented in, and rented out by male-headed households • Amount of land purchased, sold, rented in, and rented out by female-headed households • Frequency of land being committed as collateral to obtain credit by male-headed households • Frequency of land being committed as collateral to obtain credit by female-headed households • Availability of reliable and accessible information on land assets available for sale, lease, etc.
Crosscutting: Women and Vulnerable Groups	• 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 areas controlled by pastoralists or indigenous peoples • Rate of eviction of HIV/AIDS victims or their family members • Percentage of landlessness among returning IDPs • Percentage 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 and the *post-intervention* state (typically the present) of the indicator for both treatment and control groups. In the following sections, the tool guides teams to consult multiple primary and secondary sources in an effort to triangulate information on the 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 for treatment and control groups 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 indictor today to assess change, or a more formal follow-up survey can be carried out using the same indicators and respondents. 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. For each indicator selected, the evaluation team should document and report any data limitations or weaknesses in data quality against USAID's ADS 203 data quality criteria of validity, integrity, precision, reliability, and timeliness.[14] Having the results of a completed baseline survey will considerably simplify the selection process.

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[14] http://transition.usaid.gov/policy/ads/200/203.pdf.

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 which informants will be chosen as primary sources for gathering information on indicators and causal forces. To the extent possible, the team will want to use the same sources of information for measuring indicators as were used in the baseline study and apply the same indicators and methods for gathering impact evaluation data.

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 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 for qualitative data, the individuals and communities targeted in the baseline assessment should be accorded the highest priority. 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, and 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 evaluation is limited to a particular area. A project at

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[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.

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 (treatment group)** 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** within the treatment group, such as indirect beneficiaries of the intervention, those who have been negatively affected or whose expectations were not realized, and those who otherwise have a direct interest in the project. These are all stakeholders. Where there is conflict over LTPR issues and interventions, it is important that the different sides are represented. In addition, the evaluation team may also wish to consult with members of the control group to allow for further comparison of differences emerging between the two groups.

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 a profound knowledge of a particular outcome indicator and its determinants. These may include representatives of producer associations, civil society groups, university research programs, government departments, 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 for qualitative analysis, since this will depend greatly on who was targeted in the baseline assessment, 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 range should probably be somewhere between 25 and 40 key informants. 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.

In addition to the sources of qualitative data sources described above, household surveys from treatment and control groups will provide an important source of quantitative data essential for measuring project/intervention impact and assessing attribution. The survey sample size should be large enough to ensure 95 percent confidence +/-3 percent error. The actual number of households needed to meet this level of confidence will vary according to the population size of treatment and control groups and the distribution of targeted demographic groups if a stratified sample is employed. It is essential that the evaluation team follow

the same sampling methodology as was used in the baseline survey to allow for valid statistical analysis and to compare observed differences between treatment and control groups.

3.5 SELECTING STAKEHOLDERS AND METHODS

Based on the scale of the evaluation exercise, outcomes selected, and the evaluation budget, the team will need to decide on an appropriate combination of data collection methods to employ. While impact evaluations require the collection of quantitative data (typically through household surveys), the LTPR Impact Evaluation Tool injects additional rigor through a recognized technique known as **triangulation**, where both quantitative data and qualitative data are collected from a diverse group of stakeholders for additional analysis of "why" and "how" observed changes have occurred from the perspectives of the beneficiaries. The team should seek to follow up with the same individuals and communities targeted by the baseline 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.

If the intervention(s) sought to have an impact mainly at the local or micro level, household surveys of treatment and control groups triangulated with interviews with local actors 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 survey findings and 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 surveying individuals or households within the treatment and control groups and interviewing a sample of local and regional leaders, authorities, and government and nongovernmental institutions to triangulate quantitative findings.

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 organizations could also be sampled for surveys and triangulated with 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 may also be conducted to triangulate quantitative findings. National-level indicators on economic growth, agricultural production, income distribution, and the like are frequently available for different years and may be useful as a basis for quantitative analysis.

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

INTERVENTION SCALE		
MICRO	**MESO**	**MACRO**
• Household surveys in treatment/ control sites • Rapid appraisal methods with target communities • Semi-structured interviews with target communities, local authorities, and other local-level stakeholders	• Surveys of households or individuals in select communities • Rapid appraisal methods with select target communities • Semi-structured interviews with local actors in selected communities, and with regional stakeholders • Regional data for some indicators (check availability)	• Surveys of households or individuals in representative sample of communities and/or within representative organizations at higher scales • Rapid appraisal methods with select target communities • Semi-structured interviews with local and regional actors in sample areas, and with national stakeholders • National-level data for some indicators (check availability)

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 the same methods for collecting data on pre-intervention indicators should be used for gathering information on the indicator's present state. All impact assessments will require the collection of quantitative data, typically through **household surveys**. In addition to quantitative survey data, qualitative data may be collected through rapid appraisal methods. **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 evaluation are limited, it may be possible to have focus group interviews substitute for more comprehensive community consultations using rapid appraisal workshops.

Household surveys. Baseline data collection methods should be re-employed for gathering present day states of indicators from the same treatment and control sample and using the same survey instrument and survey methods, 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 or 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. To allow for cost and time savings, electronic data collection using mobile devices may be implemented. Data acquired through baseline and follow-up surveys can be supplemented by information gathered from appraisals and interviews using recall data.

In addition, to include the perspectives of beneficiaries on change and its causes, the team should employ either rapid appraisals or focus group interviews in a sample of communities that represent contrasting characteristics. In cases where communities may have difficulty evaluating changes in macro phenomena, the team may want to consider employing 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 easier to

comprehend 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 focus group methods targeting communities may dominate, but non-community sources need to be tapped as well. However, if the scope of the Impact Evaluation is narrowed to understand 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.

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 interviewee. The objective of this initial stage of inquiry is to produce an evaluation of the change in each of the selected outcome indicators and a set of causes explaining each of the outcome indicator changes. This method is presented in Section 4.3.

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 to avoid predisposing 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. Oppressed groups are likely to be most at ease with persons who bear no relation to their oppressors.

In addition, 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 that may be 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, 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 USAID, including the relevant mission to get their input and assess feasibility. What may make sense to a team of outsiders and contribute to a robust Impact Evaluation can also sometimes have political implications that the mission may wish to avoid— and the team may need to be sensitive to these issues.

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

METHOD	PROS	CONS
Rapid Appraisals (Group-Based)	• Perspectives of several informants (usually beneficiary communities) are captured at once • Opportunity to triangulate information provided by different community members	• 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 Focus Group Interviews	• Focus 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	• More time-consuming way to capture input than rapid appraisals
Semi-Structured Individual Interviews	• 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	• Several interviews have to be done to capture different perspectives • Social rules may prevent interviewing women alone
Surveys	• 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	• Perspectives of women may be lost if consult only with household heads • The sample size must be large enough to permit valid statistical comparisons • 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) under assessment should be avoided to minimize biasing the assessment. Since preparation for surveys and 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 was 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. Ensure adequate representation of women and vulnerable groups.
When	Workshop dates and agenda
Where	Location where workshop will be held

LOGISTICS COMPONENTS	
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 roundtrip 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 Evaluation 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 evaluation, which methods are likely to be most appropriate in generating objective, replicable, and reliable data? 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 households, communities, government authorities, nongovernmental organizations, and other stakeholders will be surveyed/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.

4.0 DESIGNING METHODS AND

SUMMARY OF STEPS: DESIGNING METHODS AND IMPLEMENTATION

Designing methods

1. Develop a survey approach to collect quantitative data from treatment and control groups.
2. Develop a rapid appraisal approach for use with larger groups drawn from beneficiary and other stakeholder communities.
3. Develop semi-structured interview questions to *guide* semi-structured interviews with either individual stakeholders and resource persons or small focus groups.

Gathering secondary source information

1. Using the secondary sources identified in Section 3.3 and the Annex C work plan, 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.
2. 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).
3. 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

1. Carry out surveys with treatment and control communities.
2. 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.
3. Review appraisal workshop documentation, and transcribe and review interviews. Enter information on indicators into the common database (Annex E).
4. 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, produce one set of *causality maps* corresponding to the different indicators.
5. For each informant, produce an *outcome map* illustrating the perceived outcomes emerging for each of the LTPR interventions being assessed.
6. Triangulate the maps resulting from different informants with the maps of other informants.


With decisions made about which information sources to tap and how to do so, methods can now be designed for team implementation. 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 indicator 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 a 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
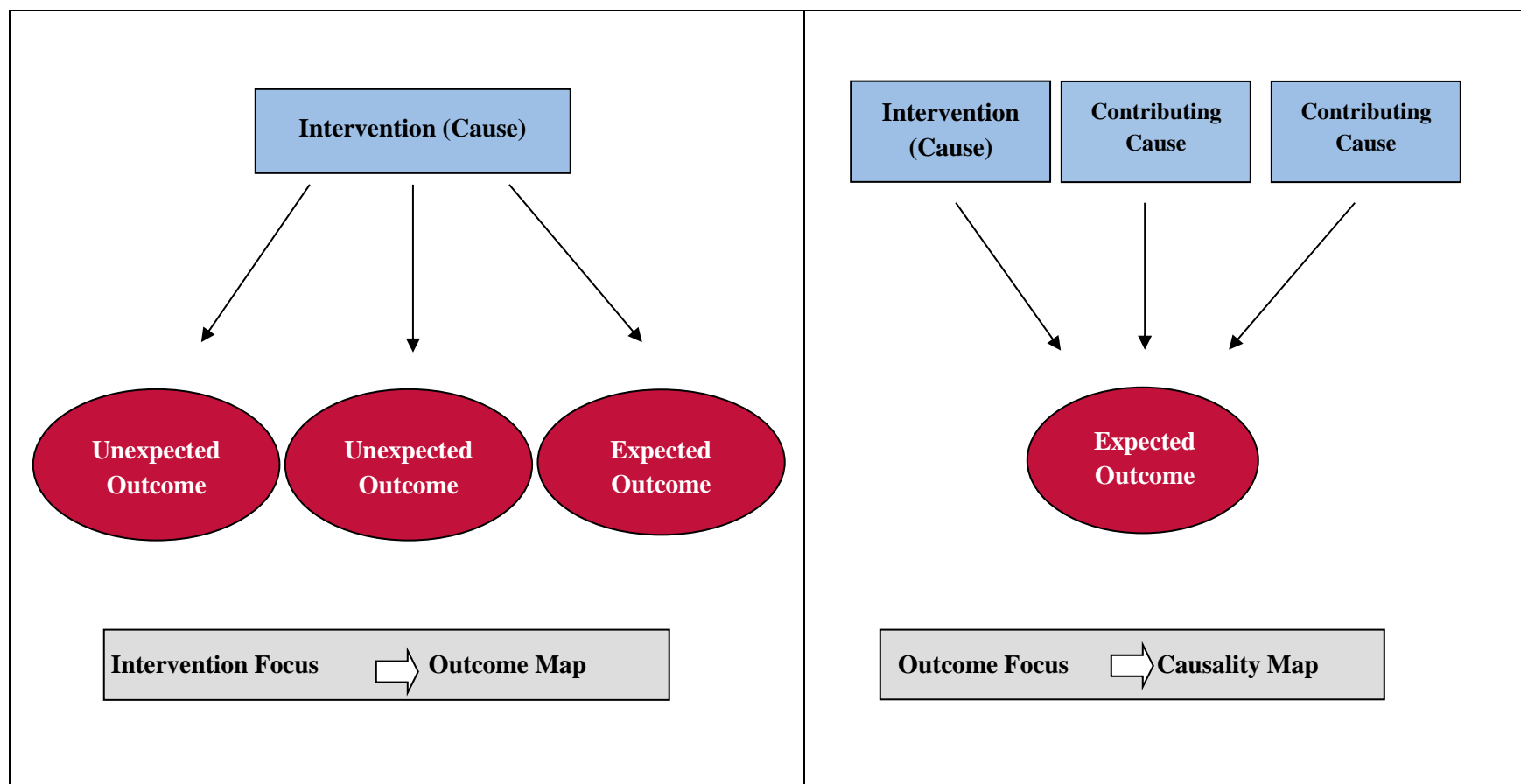
4.1   DESIGNING METHODS

This sub-section provides guidelines for designing surveys, rapid appraisals, and semi-structured interviews.

Household surveys. While "before-and-after" measurements of a single group allow the evaluation team to observe changes over time with and without participation in the program or intervention, the inclusion of a counterfactual group allows the evaluation team to observe what may have occurred had the intervention not taken place, and thus control for confounding factors, such as other political, economic, or social changes outside the scope of the intervention. Consequently, Impact Evaluations require comparisons between beneficiaries that are assigned to either a treatment or a control (counterfactual) group to measure attribution between LTPR interventions and observed outcomes. Prior to baseline data collection, project teams must assign individuals or communities to treatment or control groups using either an **experimental** or **quasi-experimental** approach. Using the experimental approach, evaluators assign groups using random sampling. Examples of random sampling methods include:

- **Oversubscription.** If an intervention is unable to target an entire group or population (e.g., due to budgetary restrictions), implementation can be allocated randomly across a subset of eligible participants, and the remaining eligible subjects who do not receive the program can be considered controls.
- **Randomized phase-in.** Using this approach, eligible groups are gradually phased in to the program and receive treatment, so that controls represent eligible areas still waiting to participate. In this approach, all eligible groups are able to participate, but at different times to allow for comparison. This method helps alleviate the ethical issues of denying treatment to some groups and increases the likelihood that program and control areas are similar in observed characteristics.
- **Within-group randomization**. If the above randomized phase-in approach is used but time between the start of the program and actual receipt of benefits is long, greater controversy may arise about which area or areas should receive the program first. In that case, a randomly selected subgroup within each targeted area may be selected to be phased into the program.
- **Encouragement design.** In this approach, the evaluation team randomly assigns participants an advance announcement or incentive to participate in the program. If data are also collected on the social networks of households that receive the notice, evaluation teams may also use this approach to measure how take-up might differ across households that are connected or not connected to the program.[16]

While experimental approaches may be appropriate for some LTPR evaluations, this approach does pose some challenges and concerns, including:

- The ethical concerns of providing benefits only to randomly selected members of a population;
- Contamination of the study sample by spillover (when benefits intended for the treatment group benefit the control group as well); and
- Partial or incomplete participation or compliance of members of the treatment group.

An alternative to the experimental approach using randomization is the quasi-experimental approach. In this approach, the evaluation team selects a counterfactual or control group based on observed shared

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[16]   See Shahidur R. Khandker, Gayatri B. Koolwal Hussain A. Samad, 2010. Handbook on Impact Evaluation: Quantitative Methods and Practices, World Bank.

characteristics that may influence the outcome. Quasi-experimental methods for selecting treatment and control groups include:

- **Non-Equivalent Group Design**. In this approach, a control group is handpicked to match the treatment group as closely as possible. Since handpicking the comparison group cannot completely match all characteristics with the treatment group, the groups are considered "non-equivalent".
- **Regression Discontinuity.** If the program has eligibility criteria based on a cutoff score (such as income, crop yields, years in business, etc.) individuals or organizations just above and just below the cutoff value serve as the control group.
- **Propensity Score Matching.** This method is based on the same rationale as regular matching (selection based on shared observable characteristics with the treatment group). However, a statistical process is used to combine information from all data collected on the target population to create the most accurate matches possible based on observable characteristics.[17]

During the evaluation phase, follow up survey data must be collected from the same treatment and control groups using the same sampling methodology, survey protocol, and survey instrument as during the baseline survey. While this tool will not detail the extensive research on survey design and methodology, evaluation teams are recommended to consult the extensive literature on survey methodology and include experts in this area on their evaluation teams.[18]

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 D 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 Evaluation 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.

> **BOX D. 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.

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[17] See USAID. 2010. TIPS Number 19, RIGOROUS IMPACT EVALUATION, 1st Edition.

[18] 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. Available at http://unstats.un.org/unsd/hhsurveys/pdf/Household_surveys.pdf

PART I: DEFINING INDICATOR CHANGES

1. *Identifying changes of concern.* The facilitators should present the outcomes and their respective indicators for which USAID 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 indicators and their 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, as either 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 conducted. 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.

PART II: IDENTIFYING THE CAUSES OF CHANGE

1. *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.[19] 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, facilitators should 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.

2. *Rating causes.* Each participant is then given 10 stones, stickers, or thumbtacks and asked to rank the reasons provided in order of importance. Steps 3 and 4 are then repeated for each indicator.[20]

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[19] 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.

[20] 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.

PART III: IDENTIFYING THE OUTCOMES OF THE INTERVENTION(S)

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.[21] 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-and-effect chains. A discussion of why the various outcome chains emerged then follows, and the different chains are ranked 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, other outcomes participants did not mention, but are cited by other sources can be considered. The group should consider if such outcomes are valid. For those that receive some degree of consensus, include them in the list of outcomes.

PART IV: WRITE-UP AND VALIDATION

1. *Recording output.* In addition to what is recorded on the trees, 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.
2. *Verification and feedback.* As a final step, the facilitators verify their understanding from the evaluation 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 and suggestions for improvement, which can be taken into account in designing future appraisal workshops.

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.

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21 Again, this can be done with participants recording up to three key outcomes on cards, which are then collected, discussed, consolidated, and posted on the tree.

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])?[22]
- 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?
- How does this compare with the situation in [selected year prior to intervention] when [X event] occurred?[23]
- 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?[24]
- (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.

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?[25]
- Were there other factors that 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.

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[22] 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.

[23] 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.

[24] If time is lacking, this question and the next one can be eliminated.

[25] If time is lacking, this question and the next can be eliminated.

**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 conducted 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 necessitate a trade-off in breadth of responses. In these cases, the team should decide before each interview which first and second stage inquiry questions should be prioritized, eliminating 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. USAID's *Evaluation Policy* requires the dissemination of evaluation methodology and findings to the public on the Development Experience Clearinghouse (DEC). Because the interview format may require some getting used to, it may be helpful to conduct interviews with less important stakeholders 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 the proper information is being collected and 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 Evaluation 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 Evaluation 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.[26] 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 for consistency.

Causal factors. Like official data on indicators, published accounts describing the factors contributing to outcome and indicator changes broaden 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 E.

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 (see example in Figure 4.4). Alternatively, the team may wish to arrange the information in an Excel spreadsheet (see Annex F, with 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. Some members of the team can do this while others engage in interviews or workshops. Given sufficient direction, the logistics coordinator can help identify and gather information on behalf of the team.
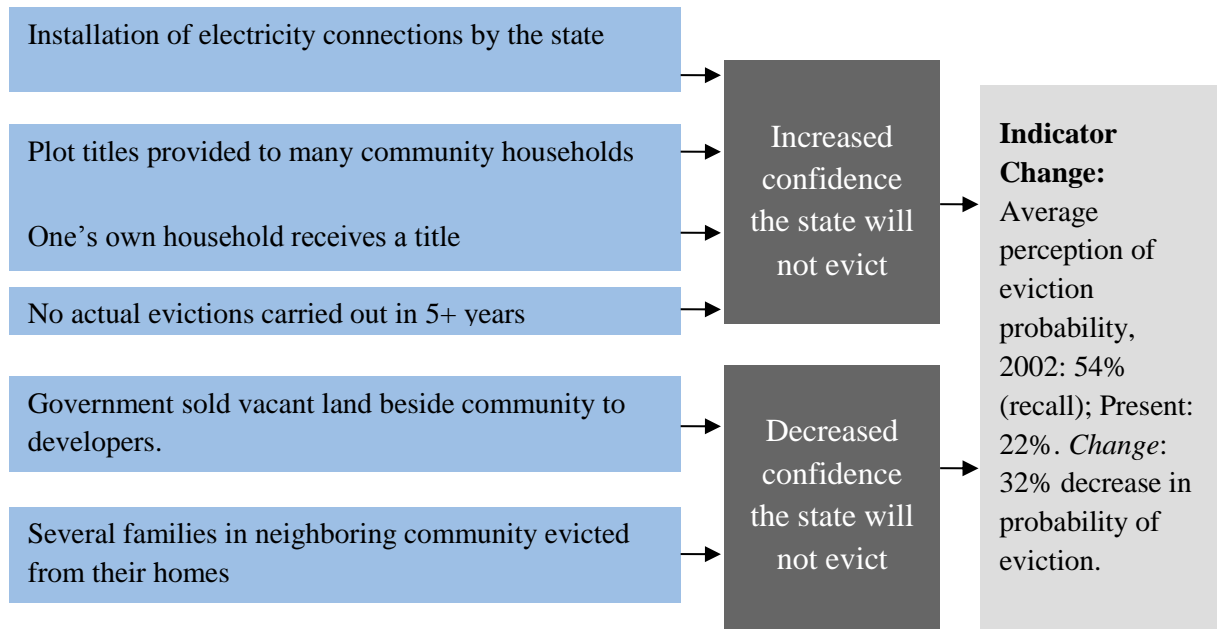
> **BOX E. HISTORY AS A CAUSAL FACTOR**
>
> The history of a country and its characteristics prior to LTPR interventions are likely to be highly varied, such that the impact of one or more interventions in one country may have little in common with the outcomes that emerge in another context. This may 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 LTPR 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.

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[26] If a baseline assessment 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.

FIGURE 4.4. EXAMPLE OF A CAUSALITY MAP

Installation of electricity connections by the state		
Plot titles provided to many community households	Increased confidence the state will not evict	**Indicator Change:** Average perception of eviction probability, 2002: 54% (recall); Present: 22%. *Change*: 32% decrease in probability of eviction.
One's own household receives a title		
No actual evictions carried out in 5+ years		
Government sold vacant land beside community to developers.	Decreased confidence the state will not evict	
Several families in neighboring community evicted from their homes		

Source: Author, Date. Empirical Analysis of Eviction in Some City, Country X.

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 evaluation 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 evaluation team should be designated to reproduce the work produced by the group on paper, 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 or groups who refrain from participation or of certain groups that are absent (e.g., young women, IDPs, disabled persons, or ethnic

minorities), and special efforts should be 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 evaluation and the associated chains of outcomes attributed by the participants. In addition to labeling maps with the respective indicator or intervention, these illustrations should note the community name and appraisal date.

Interviews. Semi-structured interviews with government and organizational representatives, community groups, USAID 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 taking notes can be distracting and 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 perceptions on the state of those indicators in the pre-intervention year and the present, and observations on the reasons for their (lack of) change and 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 elicit 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.

CASE STUDY: DESIGNING AND IMPLEMENTING A MIXED-METHODS IMPACT EVALUATION

The Justice Project was designed to test an approach to improving access to justice issues for women related to land rights in one subsection of USAID's ProMara Program in Kenya. To assess the Justice Project's effectiveness in improving women's local access to justice and land, the evaluation team employed a mixed-methods approach and interviewed women and men in the Justice Project community (a treatment community) as well as in a similar community in the same district, Ololong'oi, where the project has not been implemented (a control community). Since the evaluation team was ultimately interested in determining whether the Justice Project improved women's local access to justice and their land rights in the community, we focused on four indicators:

- Proportion of men and women who recognize women's constitutional rights to own land,
- Proportion of men who intend to provide equal inheritance to their sons and daughters,
- Likelihood that women will inherit land from their husbands, and
- Likelihood that women will access the local justice system if they experience threats to land rights.

Qualitative data collection was conducted to help identify causal mechanisms and explore behavioral explanations for project outcomes related to improvements in elements of women's access to justice, increased land access for women, and early indications of other potential longer-term impacts. Qualitative fieldwork enabled participants from the treatment and control communities to frame the context; articulate how the project ultimately played out in the treatment community; and provide explanations, point out issues, and explain dynamics that we might have otherwise overlooked. It also allowed for identification of any unintended consequences of this intervention.

Evaluators conducted 12 key informant interviews (KIIs) with chiefs, school officials, women who had disputes, and Justice Project staff. Semi-structured interviews were conducted with each of the assistant chiefs by sub-location.

The evaluation team also conducted 17 focus group discussions with groups of men, women, youth, and elders in both the treatment and control communities. In the treatment community, elders and women were grouped into two categories: trainees/direct beneficiaries and non-trainees (community members who did not directly benefit from the project). Men were also distinguished between men whose wives directly participated in a Justice activity (usually peer sessions) and those whose wives did not participate in any project activities.

Quantitative household surveys were also conducted as part of the evaluation. Using a 95 percent level of confidence and based on the 2010 Census, the evaluation team should have interviewed a minimum of 314 households in the treatment community and 228 in the control community. However, the control community sample was drawn from an incomplete list of households provided by the sub-location chief and village elders, which resulted in a lower sample size in the control community. The total sample, combining both communities consists of 521 women and 396 men. The survey instrument for women asked about (i) individual and household demographics and socioeconomic characteristics; (ii) land ownership and well-being indicators; (iii) potential and actual issues and disputes; (iv) their perceptions about improvements in the local justice system within the past year; (v) their legal knowledge; (vi) their familiarity with and participation in the Justice Project; and (vii) their awareness, recognition, and perception of women's land rights.

While the survey instrument was primarily designed to capture women's perceived improvements in access to justice and access to land, some of the outcomes require measuring changes in men's perceptions. The following questions were also administered to husbands to allow us to directly measure those changes: (i) their familiarity with the Justice Project; (ii) their awareness, recognition, and perception of women's land rights; and (iii) their perceptions about improvements in the local justice system within the past year.

5.0 ANALYZING, REPORTING, AND LEARNING

At this final stage of the Impact Evaluation process, the team is ready to analyze the information gathered to

> **SUMMARY OF STEPS: ANALYZING INFORMATION, REPORTING ON RESULTS, AND CATALYZING LEARNING**
>
> 1. Conduct quantitative analysis of survey findings, including significance testing.
> 2. Review causality maps, outcome maps, and other information collected.
> 3. 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.
> 4. 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).
> 5. Produce an Impact Evaluation Report according to the guidelines described above.
> 6. Schedule and prepare a meeting with mission staff to present the report and engage in a learning discussion.
> 7. Hold a meeting comprising presentation of the report method and findings, a question and answer session, learning exercises that lead to shared understandings regarding how and the extent to which LTPR interventions contributed to principal outcomes, and facilitated discussions on the implications for future LTPR interventions.
> 8. Share information on the evaluation prior to and upon completion of the evaluation with all partners and stakeholders, and with the general public.
> 9. Submit completed evaluations to the Agency's DEC.
> 10. Upload and store all quantitative data collected during the evaluation process in a central database.

assess the relative impact the intervention had on defined outcomes and report on its findings. Unlike most conventional Impact Evaluations, however, a learning component involving USAID and 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 quantitative data. The analysis of quantitative data will occur in two stages: 1) the calculation of descriptive statistics, and 2) statistical testing of findings using appropriate methods.

Calculating descriptive statistics. In addition to the calculation of selected evaluation indicators, means can be generated according to specific demographic or geographic criteria, such as urban versus rural households, male versus female respondents, governmental versus nongovernmental organizations, or for different age categories.

Statistical testing. The Difference-in-Difference (DD) method is a common data analysis method for experimental and quasi-experimental evaluations. The DD method estimates the difference in the outcome during the post-intervention period between a treatment group and comparison group relative to the outcomes observed during a pre-intervention baseline survey.

Two statistical tests are recommended for this method:

- When only two populations are compared (for example, one treatment group compared to its control group), T-tests of difference in means of key indicators and variables may be applied.
- To compare key indicators and variables across more than two study populations (for example, if multiple treatment and control groups are included in the evaluation), an F-test of difference in means (such as analysis of variance [ANOVA] and regression analysis) may be applied.

Any statistically significant differences between treatment and control groups may be further analyzed using the qualitative methods described below.

Analyzing qualitative data. 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. 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.[27]

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[27] 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, then greater validity can be assigned to the shared interpretation. Even when only a few 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.

> 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 outcome 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 rarely 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. Again, 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

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 if 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 Evaluation Report produced by the team should capture the elements of the analysis described above and ultimately produce a picture of how the causality map played out for each outcome indicator and the relative importance of LTPR interventions 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 Evaluation exercise*, describing the purpose of the assessment, the LTPR intervention(s) assessed, the timeframe, and the outcomes against which impact was evaluated; including the actual SOW in an annex;
- *Methodology*, describing the overall approach undertaken, sources consulted, and instruments applied; all sources of information should be listed in an annex;
- *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 survey results and informant perceptions as well as 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.);

- *Summary and conclusions* that underscore the chief findings of the Impact Evaluation 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; providing specific recommendations for implementer and/or for future programming efforts; and

- As part of standardized reporting, the evaluation reports should include i) disclosure of conflict of interest: in particular, *USAID Evaluation Policy* notes that for external evaluations, all evaluation team members should provide a signed statement attesting to a lack of conflict of interest, or describing an existing conflict of interest relative to the project being evaluated; and ii) statement of differences: the policy notes that when applicable, evaluation reports should include statements regarding any significant unresolved differences of opinion on the part of funders, implementers, and/or members of the evaluation team.

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 Evaluation was undertaken with a learning objective in mind, the process does not end with the production of a report. Another report delivered to USAID 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 USAID, including 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 Evaluation 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 LTPR interventions should be planned and implemented in future programs.

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

5.4   PROMOTING TRANSPARENCY AND SHARING FINDINGS

The *USAID Evaluation Policy* stresses the need for transparency, both in the planning and design phase, and upon completion of the evaluation. During the planning and design phase, the information on the upcoming evaluation should be provided online, and include the expected timing of release of findings. The information should be included in the Annual Performance Plan and Report as well, and communicated to the public via the USAID website.

Completed evaluations (and drafts of evaluation reports completed more than three months prior) must be submitted to the Agency's Development Experience Clearinghouse (DEC). Each completed evaluation must include a three to five page summary of the purpose, background of the project, main evaluation questions, methods, findings, conclusions, recommendations, and lessons learned from the evaluation where applicable. As part of data warehousing, all quantitative data collected by USAID or the Agency's implementing partners for the purposes of an evaluation must be uploaded and stored in a central database.

Per the *USAID Evaluation Policy*, senior management within USAID are expected to play a specific role in promoting learning from the evaluations, and promoting transparency by sharing findings widely and in an accessible form with all partners and stakeholders, and with the general public, through summaries provided online.

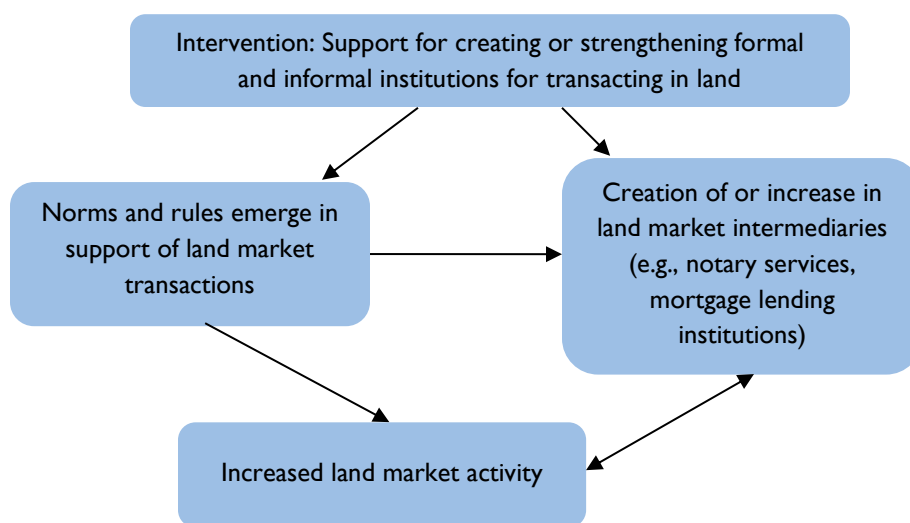# ANNEX A: CONCEPTUAL MAPS AND INDICATORS

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 USAID including 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, representing 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

Intervention: Support for land and natural resource dispute resolution mechanisms and other conflict reduction measures

Improved access to formerly disputed land

Increased land and resource tenure security

Improved land conservation and use

Increased sustainability of natural resources and biological diversity
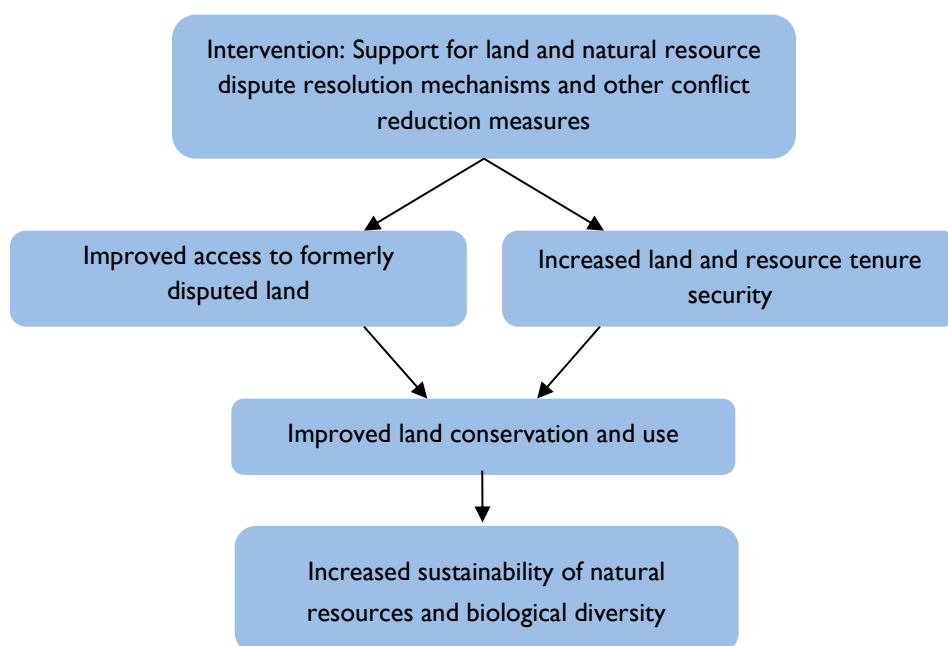
In many cases, LTPR interventions are implemented as a mutually reinforcing set of activities designed to contribute to a common set of objectives. This was the case of the CAIMAN project in Ecuador, which served as the pilot test case for an earlier version of this tool. Here, multiple LTPR (and one non-LTPR) interventions were implemented with the ultimate goals 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
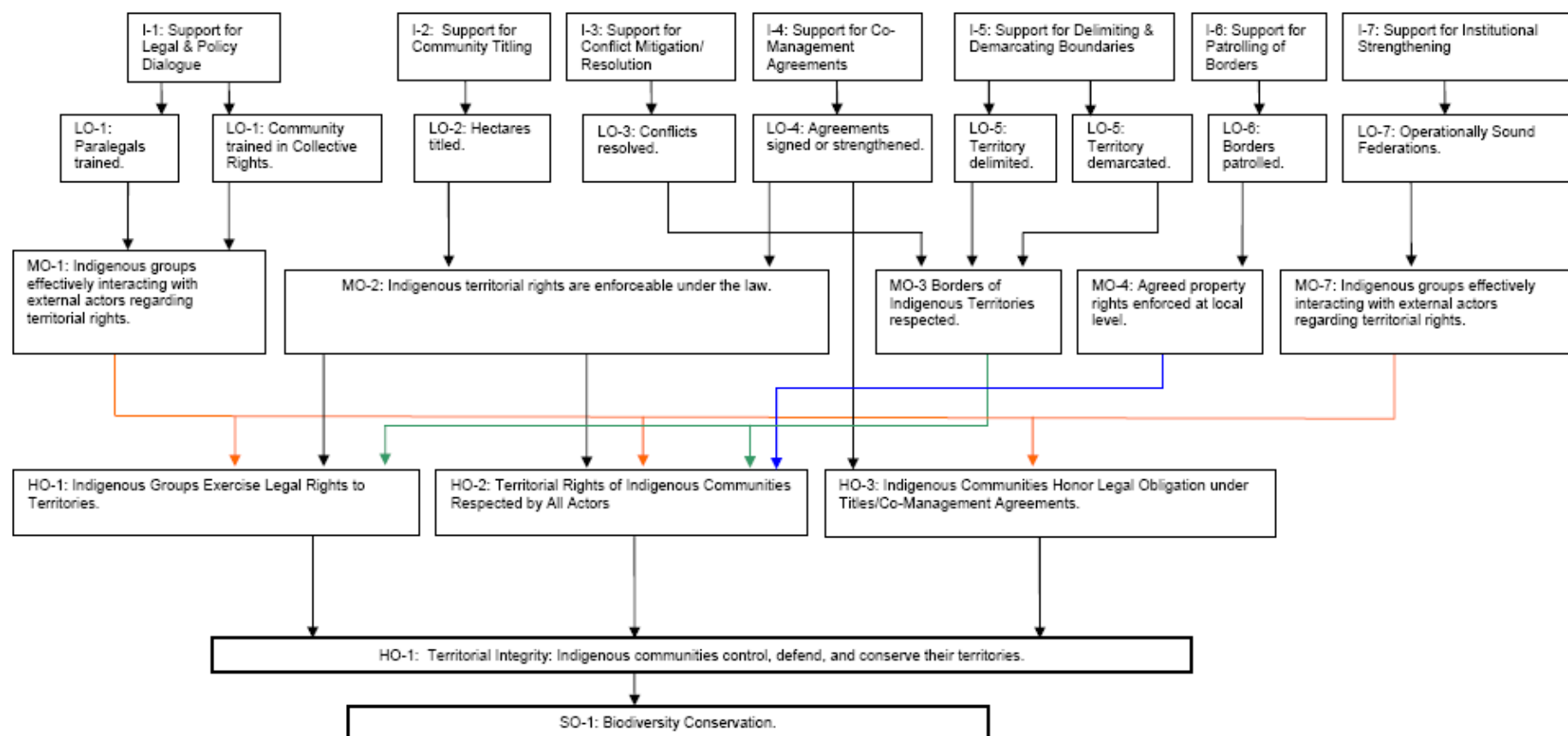
Key:

- 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

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.
	1.		Pre (fill in year)	Post (fill in year)	Pre	Post	
	2.		Pre	Post	Pre	Post	
	3.		Pre	Post	Pre	Post	
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.		Pre	Post	Pre	Post	
	3.		Pre	Post	Pre	Post	

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)

1. SECONDARY INFORMATION ON OUTCOME INDICATORS

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

2. SECONDARY SOURCE INFORMATION ON CAUSES CONTRIBUTING TO INDICATOR CHANGE

Indicator	Source of secondary information on *causes* 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)

1. KEY INFORMANT AND FOCUS GROUP INTERVIEWS

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

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	
1.		Pre	Post	+/-	%
	Source 1:				
	Source 2:				
	Source 3, etc.:				
2.		Pre	Post	+/-	%
3.		Pre	Post	+/-	%
4.		Pre	Post	+/-	%
5.		Pre	Post	+/-	%

ANNEX F: EXAMPLES OF ALTERNATIVE CAUSALITY MAPS AND OUTCOME

FIGURE F-1. EXAMPLE CAUSALITY MAP[28]

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.

[28]   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

	Source	Legal and Policy Dialogue	Community Titling	Conflict Mitigation/ Resolution	Co-Management Agreements	Delimiting and Demarcating Boundaries	Patrolling Boarders	Institutional Strengthening
		CAIMAN Interventions						
Outcomes	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 EVALUATION REPORT TABLE OF CONTENTS

Table of Contents[29]

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[29] 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.

ANNEXES

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