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LAND TENURE AND PROPERTY RIGHTS  
**SITUATION ASSESSMENT  
AND INTERVENTION  
PLANNING TOOL**

SEPTEMBER 2013

**DISCLAIMER**

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





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# ACRONYMS AND ABBREVIATIONS

COR	Contracting Officer's Representative
DEC	Development Experience Clearinghouse
EGAT	Bureau of Economic Growth, Agriculture, and Trade
GDP	Gross Domestic Product
HIV/AIDS	Human Immunodeficiency Virus/Acquired Immune Deficiency Syndrome
IDP	Internally Displaced Person
IO	Intermediate Objective
LOE	Level of Effort
LTD	Land Tenure and Property Rights Division
LTPR	Land Tenure and Property Rights
M&E	Monitoring and Evaluation
NGO	Nongovernmental Organization
OVG	Other Vulnerable Group
PRRGP	Property Rights and Resource Governance Program
PRSP/PARPA	Poverty Reduction Strategy Paper
SIM	Simple Instant Messenger
SO	Strategic Objective
TO	Task Order
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 Development 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.<sup>1</sup>

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

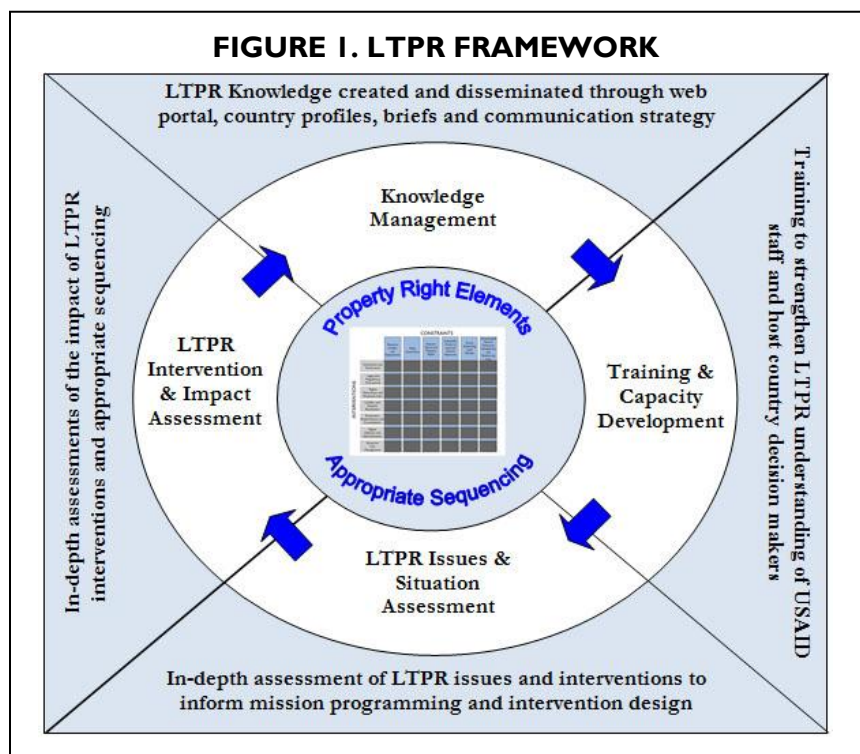
1. **The LTPR Framework** serves as the overarching conceptual methodology tying together overarching themes, definitions, tools, assessments, designs, and training programs that USAID uses to improve LTPR programming and capacity building. The Framework also includes:

**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.**

### 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.



<sup>1</sup> 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 Development 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](http://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 LTPR research. This can be found at the *USAID Land Tenure and Property Rights Portal* ([www.usaidlandtenure.net](http://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
INTERVENTIONS	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						
		<b>Crosscutting themes:</b> 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, reconstitute 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.

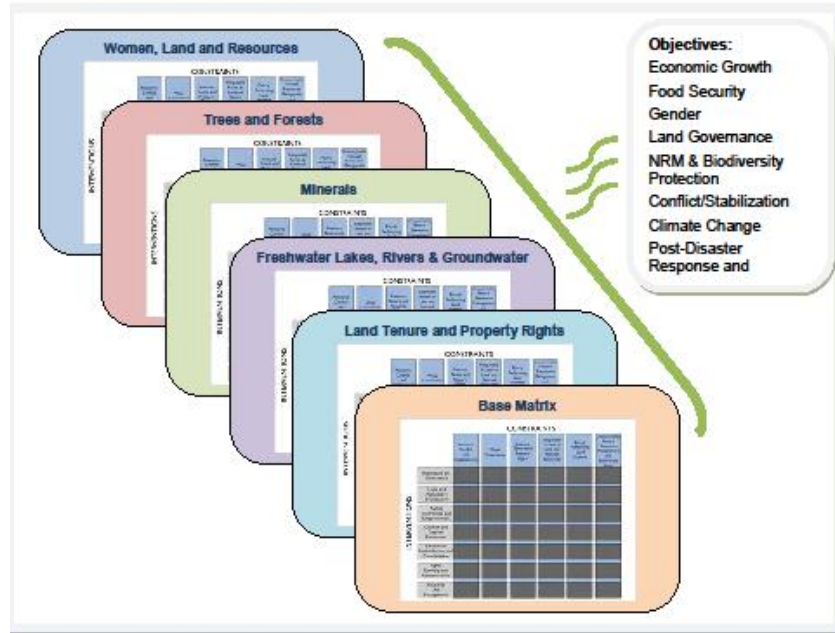
The Matrix in Figure 2 serves as the template for regularizing and developing empirical overlays for five natural and human resource domains in Figure 3:

- 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.

The following report details the LTPR Situation Assessment and Intervention Planning (SAIP) Tool, which is used to help Missions understand and assess LTPR issues and determine how these contribute to or impede realization of Development Objectives.

# 1.0 SITUATION ASSESSMENT AND INTERVENTION PLANNING TOOL

## 1.1 WHY USE THE TOOL?

The LTPR Situation Assessment and Intervention Planning Tool (SAIP) can be used when a USAID mission suspects the presence of LTPR concerns in a country and wants information upon which to base programmatic decisions, or when USAID wishes to examine the current LTPR situation in a country in light of previous interventions. Under both circumstances, the LTPR Situation Assessment and Intervention Planning Tool can:

1. Help missions to determine how LTPR concerns are affecting the current development programming in a country (**Situation Assessment**).
2. Guide USAID in choosing appropriate LTPR interventions and in determining the scale, timing, duration, and ordering of those interventions (**Intervention Planning**).
3. Facilitate creation of a system to track the realization of programmatic goals and USAID Development Objectives (**Monitoring and Evaluation**).

The tool aims to standardize these processes so that results and recommendations are analyzed and presented in a framework that is comparable for all settings. The LTPR Situation Assessment and Intervention Planning Tool provides for specific and uniform (but scalable) investigative paths to be followed to ensure no LTPR themes are omitted. Its use also prevents inappropriate or ineffective follow-on actions.

## 1.2 HOW THIS TOOL WORKS: A ROADMAP

The LTPR Situation Assessment and Intervention Planning Tool is divided into six sections. Following this introduction, Section 2 is directed to USAID and other USG agencies and provides guidelines for developing a scope of work and budget for carrying out a Situation Assessment, Intervention Planning, and Monitoring and Evaluation. The remainder of the section is targeted to teams that directly implement the tools. Section 3 provides some overarching guidelines for teams that apply to all tool components. The Situation Assessment method is described in Section 4. Section 5 contains the Intervention Planning component. Section 6 provides guidelines for establishing a Monitoring and Evaluation system to accompany a program

implementation. A series of annexes provide supplementary information that can enhance tool implementation.

### **THIS TOOL IS INTENDED TO BE USED BOTH BY USAID MISSIONS AND LTPR PROFESSIONALS**

*Missions* will find Section 2, Mission Planning: Situation Assessment and Intervention Planning to be the most valuable. This section guides the mission through the creation of a scope of work for assessing the LTPR situation to structuring appropriate interventions. *LTPR professionals* will use the entire tool but should note that Sections 3, 4 and 5 provide specific guidance on examining the LTPR context, selecting and prioritizing LTPR interventions, and planning for monitoring and evaluation.

The tool prescribes methods to guide three main processes: 1) Situation Assessment, 2) Intervention Planning, and 3) Monitoring and Evaluation.

#### **1.2.1 SITUATION ASSESSMENT**

When a USAID mission confronts LTPR challenges and wishes to understand the LTPR landscape better, it is necessary to assess and characterize the current LTPR situation. The Situation Assessment provides a preliminary characterization of the LTPR landscape to facilitate design and plan programmatic interventions that address critical LTPR issues to economic growth, good governance, and poverty reduction. The LTPR Matrices consist of a Base Matrix and accompanying matrices around different resource classes as well as the crosscutting issue of gender. (See Figure 1: LTPR Constraint Analysis and Interventions Matrix) serve as the primary lens for characterizing the current LTPR situation at the country level or below. The Situation Assessment employs the constraints categories labeling the columns as its major themes of investigation, and in doing so, ensures a more thorough and standardized approach to characterizing the LTPR landscape. The Matrix groups together into six major categories tenure constraints often confronted around the world – Resource Conflict and Displacement; Weak Governance; Insecure Tenure and Property Rights; Inequitable Access to Land and Natural Resources; Poorly Performing Land Markets, and Unsustainable Natural Resources Management and Biodiversity Loss. Employing this method may therefore result in a different or more complex picture than earlier conceptions of the problem. Conducting the Situation Assessment should reveal a broader and deeper understanding of the realities on the ground and avoid the dangers created by preconceptions and predilections.

The influence of gender is frequently overlooked in assessments that are not specifically focused on women. By assigning women as a crosscutting issue, the assessment tool systematically assesses how the LTPR situation affects women as compared to men within each of the LTPR constraints categories and the

#### **CORE COMPONENTS OF THE TOOL**

- The **Situation Assessment** is designed to enable the assessment team to establish mission priorities, identify priority USAID Development Objectives and LTPR objectives, document LTPR constraints and issues, and describe the current enabling environment as it relates to land tenure and property rights.
- The **Intervention Planning** component of the tool is designed to identify, develop, and appropriately sequence interventions that meet established priorities and objectives.
- The **Monitoring and Evaluation** component enables program designers to assign indicators to outputs, outcomes, LTPR objectives, and USAID Development Objectives to assess progress over the lifetime of the project and assess impact after the project has concluded.

implications of these differences on gender equity and other development outcomes. Likewise, the tool assesses how the situation affects other vulnerable groups (OVGs), such as internally displaced people (IDPs), pastoralists, indigenous peoples, and victims of HIV/AIDS.

## **I.2.2 INTERVENTION PLANNING**

Once the key constraints, issues, and LTPR priorities are conveyed in the Situation Assessment, the next step is to determine what LTPR interventions and complementary or “enabling” interventions are necessary to advance the programmatic and development objectives of the mission. In addition to deciding on the content of these interventions, consideration should be given to each intervention’s scale, timing of its introduction vis-à-vis other interventions, duration, and relationship to other interventions and programs, including those of government and other donors. Again, the Base Matrix serves as the primary framework for this process. The seven LTPR intervention themes—[Institutions and Governance](#); [Legal and Regulatory Framework](#); [Rights Awareness and Empowerment](#); [Conflict and Dispute Resolution](#); [Restitution, Redistribution, and Consolidation](#); [Rights Delivery and Administration](#); and [Resource Use and Management](#)—provide a framework for characterizing interventions that can help address key LTPR constraints.

For example, a LTPR Situation Assessment may reveal that the country of “Conganguela” has suffered from internal civil war sparked by rising poverty and increasing disparities in access and rights to land and other natural resources. As a result, massive population displacement has occurred in its southwestern quadrant where hostilities were most intense. Populations seeking to return to the area are uncertain about whether they will be able to return to claim their land, especially women and children who have lost their husbands and fathers in the war and previously accessed land through them. Using the matrix, one determines that the following LTPR constraints are apparent: Resource Conflict and Displacement, Inequitable Access to Land and Natural Resources, and Insecure Tenure and Property Rights. Gender dimensions are embodied in each of these constraints. Examining the menu of interventions housed in each of those columns, one would select those potentially offering the greatest promise for addressing the particular LTPR issues confronted in Conganguela.

While identifying interventions to address development issues is nothing new to intervention planning processes, often, little consideration is given to the sequencing of these interventions. Yet, proper sequencing of interventions can often mean the difference between successfully tackling the root cause of a particular problem at the right time and missing the mark completely. The methodology presented in this part of the tool can also ensure that those who are often excluded from the benefits provided by LTPR interventions are fully considered and included. This is achieved by designing interventions with gender equity objectives in mind and encouraging those who implement interventions to collect gender and vulnerability disaggregated information/data from the very beginning of any LTPR project, and then monitor the impact of interventions on marginalized groups throughout the project. By including gender and vulnerability considerations routinely and early, LTPR initiatives can be programmed from the outset to reach those who are typically excluded from intervention benefits.

Though the selection and sequencing of interventions is complex and sometimes difficult, the Situation Assessment will have enhanced understanding of the legal, economic, institutional, social, and political context in which interventions are to be introduced. The task then becomes to determine how the existing context is likely to influence different configurations of interventions in the quest for desirable outcomes. Therefore, it is important to assess the potential for different sets and sequences of LTPR interventions *before*

firmly deciding which interventions to pursue. Good sequencing decisions can help avoid poor results, limited achievement of program objectives, wasted resources, or at worst, negative unintended consequences.

### **1.2.3 MONITORING AND EVALUATION**

Monitoring and evaluation (M&E) frequently, and unfortunately, receives little attention in programmatic design. Yet, M&E processes are critical for determining if the project is on course to achieve its intended objectives and whether it is yielding any unintended outcomes—positive or negative. Planning for M&E ensures that those designing LTPR interventions have adequately assessed how these will lead to the achievement of LTPR objectives and USAID mission Development Objectives. Meaningful M&E can be impossible if not planned at project inception. First, baseline surveys undertaken prior to project initiation are required since the pre-intervention status of beneficiaries cannot be confidently determined after implementation. Second, the M&E process is more rigorous and less expensive if incorporated during project design and before project implementation. Early decisions about fieldwork and methods, identification of samples and key informants, selection of indicators, and identification of other causal contributors all make M&E more routine, orderly, and informative. Finally, a sound M&E system can provide important information and data required for a future Impact or Performance Evaluation. For these reasons, the LTPR Situation Assessment and Intervention Planning Tool includes a process for M&E planning that occurs *after* interventions are selected and sequenced.

### **1.2.4 LIMITATIONS OF THE TOOL**

As with any tool that makes general recommendations intended to cover varied contexts and objectives, this tool has limitations. It is not intended to provide explicit instructions about which interventions are appropriate in given circumstances, simply because LTPR situations will vary significantly and intervention decisions will necessarily need to be tailored to each individual context. Rather, the tool is intended to *provide a process* that can help USAID and LTPR professionals assess the unique and ever-evolving social, legal, economic, and political conditions surrounding LTPR in a region or country, and, through this assessment, design interventions specific to the needs of the country or region.



# 2.0 MISSION PLANNING: SITUATION ASSESSMENT AND INTERVENTION PLANNING

## 2.1 DECIDING ON THE SCOPE OF THE ASSESSMENT

The depth or breadth with which this tool is used will vary with available resources and whether the Situation Assessment will be applied alone or in concert with the Intervention Planning and Monitoring and Evaluation components. Undertaking all three components together has significant advantages in that mission programming to address LTPR issues immediately follows a thorough assessment of those issues.

In certain cases, the mission may wish only to understand the LTPR landscape better without necessarily pursuing interventions to address identified issues, and this is a valid option. However, it is NOT recommended that the Intervention Planning and Monitoring and Evaluation components be applied in the absence of a Situation Assessment. This is because a full appreciation of LTPR issues is needed to responsibly design interventions to address those issues. This does not necessarily mean the components need to be undertaken back-to-back—although doing so will better ensure timeliness, optimal use of resources, and continuity between understanding the LTPR situation and planning interventions. However, the Situation Assessment should not precede the Planning and M&E components by more than three months, since the LTPR situation is not static, but fluid and ever changing. Too much of a gap between the Situation Assessment and Intervention Planning could result in designing programs that fail to correspond to current realities.

The section that follows offers a guide to missions to develop a scope of work to implement the tool. In recognition of the occasional need to only undertake a Situation Assessment or to space out the Situation Assessment and the Intervention Planning/M&E components, the guidelines for developing each are separated. However, in a typical case of implementing all three components, the mission should draw on both sets of guidelines to develop a complete scope of work.

## 2.2 SITUATION ASSESSMENT

### 2.2.1 SCOPE OF WORK

Based on the level of resources available and the predicted depth and breadth of the LTPR issues, the USAID mission will create a **scope of work** for the Situation Assessment. In this scope of work, the mission should describe the *justification* for carrying out the assessment and the *objectives* it seeks to fulfill, identify the LTPR *themes* to be addressed and the *scale* of the assessment, describe the interested *stakeholders*, and identify *key individuals and institutions* that might assist in informing the assessment.

The **justification** for the assessment should describe the factors motivating the assessment. Does the mission suspect that LTPR issues are inhibiting the achievement of its Development Objectives? Is understanding the LTPR situation critical to ensuring new or ongoing projects are successful? The justification should provide the basis for the **objectives** of the assessment. These objectives should articulate the benefits the mission anticipates from improving the LTPR situation and explain what the mission expects will be achieved by the Situation Assessment.

#### GENDER AND LTPR

It is never sufficient to understand the LTPR situation from the point of view of only the heads of households, who are typically men. Women often face significant disadvantages in accessing land and securing rights—and yet play a central role in household production. A lack of information regarding gender differences can lead to LTPR policies and projects that further limit or reduce women’s economic and social opportunities. Assessments should include the collection of gender-specific information that captures the situation for different types of women (urban and rural; wealthy and low income; literate and illiterate; and wives, daughters, widows, and singles). An LTPR project that does not address women’s rights separately from household rights risks disempowering the most vulnerable, but often most economically active, members of society.

The **thematic focus** of a given LTPR situation assessment will vary. Many missions will want to investigate all themes identified in the Base Matrix (Figure 1) to understand whether or not these are critical constraints. Other times, missions may wish to zero in on a few key themes they know to be problematic, but lack the necessary understanding to tackle effectively. Regardless of whether a broader or narrower approach is taken, the inclusion of women and vulnerable groups is essential. Too often, assessments and the programs that arise from those assessments fail to appreciate how challenges uniquely affect women and those who are least empowered to affect change. As a result, interventions are designed which often marginalize them and at worst exacerbate

inequities or otherwise inflict harm. Using the Situation Assessment tool will help ensure that issues of gender and vulnerability are systematically explored. However, only a consciousness and commitment by the mission and team members will guarantee that these issues are adequately treated.

The **scale** of the assessment is important for knowing how broadly the mission wants to understand the LTPR situation. Some missions may want to assess the situation for an entire country. Others may want to focus on specific regions or even communities. Scale will also be important for defining who the major **stakeholders** affected by the LTPR situation are. While the assessment will help uncover the full breadth of stakeholders, it is useful for the mission to identify those they are aware of, so the team is equipped with some useful starting points. Likewise, stakeholder identification can help the mission advise on possible **key informants** the assessment team will want to consult, in addition to knowledgeable individuals who may not have a direct stake in the LTPR situation (e.g., researchers).

The necessary **duration** of a Situation Assessment is typically 15 to 20 in-country workdays, not including travel days. Two to four days of pre-assessment preparation time should be allocated to each team member for collection and review of background information. Team members responsible for managing the team and preparatory planning should be given at least two additional days.

For a typical four-member team, total level of effort (LOE) for in-country field work is estimated to range between 105 and 115 days, including travel days. This does not include the LOE of persons providing logistics support. For a three-member team, it might be 80 to 90 days. However, field LOE will vary significantly depending on the scale of the assessment and the breadth of themes the team is expected to investigate. More time will also permit consultation with a broader group of informants and probing of more in-depth information, while less time will yield more general information and less ability to triangulate findings.

Each team member should be provided with four to five days after the in-country work to write and otherwise contribute to the assessment report, and the team member(s) responsible for assembling the report and making revisions should be assigned three additional days. Three to four days of administrative and editing support should also be included. See Annex A for a sample scope of work for a Situation Assessment.

## 2.2.2 ASSESSMENT TEAM

The breadth, depth, accuracy, and usefulness of the assessment will in large part be a function of the team's composition and expertise. A typical assessment team will include: 1) a social scientist specialized in land and natural resources property rights, including customary tenure; 2) a land and property rights legal professional; 3) a land administration specialist; 4) a gender specialist experienced with land tenure issues; and 5) a logistics coordinator who is a country national. If the Situation Assessment team will also be undertaking the Intervention Planning and M&E components of the tool, then a Monitoring and Evaluation specialist skilled in indicator development and structuring baseline data collection protocols is beneficial. Depending on the anticipated thematic focus of the assessment, specialists in conflict, resettlement, governance,

### DISTRIBUTION OF WORKDAYS FOR A SITUATION ASSESSMENT

Approximately, 110-155 days, including travel days, total for a 4-member team, plus logistics coordinator, divided as follows:

- 2-4 days of pre-assessment preparation per team member for collection and review of background information;
- 15-20 days per team member, excluding travel, to conduct assessment;
- 4-5 days per team member, excluding team leader, upon returning home to make revisions and contribute to final report;
- 7-8 days for team leader to finalize report;
- 3 days of administrative and editing support; and
- 10-25 days logistics coordinator, depending on whether s/he will accompany team to field visits.

land markets, or land use management may also bring important expertise. Wherever possible, the team should include at least one member with experience working in the region. The logistics coordinator should be able to schedule interviews in advance with the anticipated key informants, comfortably navigate their way around the different locations of the assessment, and work with the team for the duration of the assessment.

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

composition (in regard to size, expertise, and nationality) is an area in which resource constraints can be accommodated, more extensive expertise and experience will generally help to increase the breadth, depth, and accuracy of the Situation Assessment. The team's combined LTPR specializations and experience should be sophisticated and broad enough to analyze the full scope of potential LTPR issues.

The assessment team typically consists mostly of USAID staff. However, an assessment may require the involvement of one or more implementing partners. In these cases, and particularly where an assessment includes intervention planning, it is important to note that, in accordance with FAR Subpart 9.5 and USAID policy, their involvement in a situation assessment would preclude those implementing partners from participating in any future programs developed based on the assessment findings.

### **2.2.3 BUDGET AND LOE**

In addition to LOE projections (discussed above), other budget items to consider include:

- Airfares and taxis to/from the airport;
- In-country hotel and per diems;
- Visas, insurance, and pre-trip inoculations;
- Ground transportation (e.g., transport to/from field sites, which often involves vehicle rental, the driver's daily rates, hotel and per diem, and fuel and maintenance costs);
- Communication costs (including the purchase of local cell phones, SIM cards, and minutes);
- Materials and supplies; and
- Translation services (daily rates, hotel and per diem).

### **2.2.4 MISSION SUPPORT**

The USAID mission can greatly facilitate the efficiency of an agency team by providing the following:

- An overview of USAID Development Objectives prioritized by the mission;
- Key documents;
- Discussion with the team regarding LTPR issues and objectives;
- Expectations of team deliverables; and
- Logistical assistance, by identifying an individual who can be hired as the team's logistics coordinator.

## **BACKGROUND DOCUMENTS NEEDED FOR A SITUATION ASSESSMENT**

Mission support for the Situation Assessment may include provision of useful background documents and contacts to the team. These may include:

- Participating mission staff and long- and short-term contractors,
- USAID country annual reports,
- USAID country budget justifications,
- USAID Country Development and Cooperation Strategies,
- USAID country reports,
- Host country strategies and planning documents (e.g., PRSPs/PARPA),
- USAID conflict vulnerability assessments and democracy and governance assessments, and
- Earlier assessments and technical reports related to LTPR issues.

For projects that embody or seek to address LTPR issues:

- Impact evaluations, performance evaluations, and mid-term reviews of those projects;
- Procurement documents;
- Proposed and final terms of reference;
- Detailed work plans;
- Progress reports;
- Substantive project and program deliverables; and
- Monitoring data collected and reports drafted on project outputs and outcomes.

Three logistical factors are critical for the efficiency of the team: (1) transportation, (2) quality interpreters, and (3) office space/facilities. The mission can help by providing the team contact information for reliable transportation options, including vehicle rental and drivers, prior to the team's arrival in-country. Similarly, the mission can help the team identify high-quality translators where interpretation services are needed. Under no circumstances should LTPR team members be used as translators during meetings, as it impedes their ability to be an active participant in discussions. Depending on the team composition and country context, more than one translator may be needed to ensure there is adequate support for separate groups of team members following different schedules or traveling to different parts of the country. For interviews with women, particularly in rural areas, a female translator and female LTPR expert are often preferable. Adequate local office facilities are also critical for the team to work, store materials, and hold team meetings. If these are not available at the hotel, the mission can assist in finding alternative arrangements. Internet access, printing, and photocopying facilities are essential.

## **2.3 INTERVENTION PLANNING AND MONITORING AND EVALUATION**

### **2.3.1 SCOPE OF WORK**

Most often the scope of work for the Intervention Planning and Monitoring and Evaluation components of the tool will be combined with that of the Situation Assessment. However, it is presented separately here in the event that the Situation Assessment is undertaken as a stand-alone exercise or there is a break between the Situation Assessment and the Intervention Planning/M&E components.

Beyond those elements prescribed for the Situation Assessment scope of work, guidelines for implementing the Intervention Planning and M&E components of the tool should specify the Development Objectives and LTPR objectives that the mission seeks to achieve through implementing LTPR interventions. The scope of work should describe the specific tasks the team will be expected to undertake, conforming to the Intervention Planning process steps set out in Section 5. It is also important that the scope of work provide the team with sufficient flexibility to respond to emerging information needs by collecting new data that may not have been captured during the Situation Assessment or in other documentation.

### 2.3.2 ASSESSMENT TEAM

If more than three months have elapsed since the Situation Assessment was undertaken and/or if the team members have changed, the team will need one to two days per member to review background information, including the findings from the Situation Assessment and any impact or performance evaluation of recent projects addressing LTPR. Each team member should be assigned 15-20 in-country workdays, not including travel days. This includes time for initial drafting of the Intervention Planning and M&E parts of the report. Team members should each have two to three days each upon returning home to make revisions and finalize the report. The team member responsible for finalizing the report should have three to four additional days. Three days of administrative and editing support should also be included. For a typical four-person team, total LOE needed for the

Intervention Planning and M&E components is 70-100 days, including travel days. This includes LOE for the logistical coordinator, who can be expected to play a lesser role during the Intervention Planning phase of the work than s/he did during the Situation Assessment.

The composition of the Intervention Planning and M&E team should largely mirror that of the Situation Assessment team and ideally be the same team to capitalize on the experience and knowledge gained from undertaking that assessment.

Since M&E planning is also part of this component, it is important to include a team member who has experience in M&E and developing indicators for evaluating LTPR projects.

#### **DISTRIBUTION OF WORKDAYS FOR INTERVENTION PLANNING AND M&E**

Approximately, 70-100 days, including travel days, total for a 4-member team, plus logistics coordinator, divided as follows:

- 1-2 days per member to review past Situation Assessment or other relevant background documents;
- 10-15 days per team member for planning interventions and M&E system, excluding travel, but includes initial drafting of the Program Design report and the M&E Plan;
- 2-3 days per team member, excluding team leader, upon returning home to make revisions to the Program Design report;
- 3-4 days for the team leader to review and finalize the Program Design report;
- 3 days of administrative and editing support; and
- 3 days Logistics Coordinator.

### 2.3.3 BUDGET AND LOE

The budget for the Intervention Planning and M&E components should be substantially less than for the Situation Assessment, since field travel requirements are likely to be minimal. Rather, most of the time will be spent working or liaising with mission staff on program design. If there are gaps in the Situation Assessment that need to be filled, some in-country travel may be necessary.

Conducting the Intervention Planning and M&E components directly after the Situation Assessment and with the same team will also preclude the need for additional airfares to fly in team members. Beyond the LOE requirements, budget items commonly associated with these two components are:

- In-country hotel and per diems,
- Communication costs (including the purchase of local cell phones, SIM cards, and minutes), and
- Materials and supplies.

Annex B contains a sample scope of work for a combined Situation Assessment and Intervention Planning/M&E effort.

#### **2.3.4 MISSION SUPPORT**

In addition to logistics support, the mission should support the team by:

- Prioritizing USAID Development Objectives and LTPR objectives to be achieved by the proposed LTPR interventions,
- Providing budget parameters for undertaking proposed LTPR interventions, and
- Convening a meeting for the team to present the draft Program Design report and receive feedback from the mission prior to finalizing it.





# 3.0 OVERARCHING GUIDELINES FOR ASSESSMENT AND INTERVENTION PLANNING TEAMS

Whether undertaking either the Situational Assessment or Intervention Planning separately or together, teams must maintain a high level of coordination with the USAID mission throughout the exercise. Before the team arrives, the team leader should discuss the purpose and activities of their work with the mission, including the importance of mission cooperation and input. This can be facilitated by scheduling an initial briefing once the team arrives in-country to discuss deliverables, expectations, schedules, and logistics. In addition, the team should periodically check in with the mission and share preliminary findings and conclusions to ensure they are on track with mission expectations. Finally, the team should conclude the in-country portion of the exercise with a mission debrief to summarize team findings and discuss the team's recommendations for USAID interventions. At this point—after completion of the draft final report—the team leader, either directly or through a third party, should solicit the mission's frank evaluation of the team's performance.

Regardless of which components of the tool are being used, all teams should undertake the following:

## **BEFORE ARRIVING IN-COUNTRY**

1. Carefully review the scope of work provided by the mission and clarify any gaps or ambiguities with regard to the objectives of the exercise, the scale of the assessment, thematic priorities, recommendations on key informants, and the nature and timing of deliverables.
2. Clarify what support the mission will provide to the team, e.g., recommendations for logistics coordinators, translators, vehicle rental operators and drivers, and working space facilities.
3. Organize team orientation meetings in advance of field travel to review available information and set common expectations, plan how the assessment will be undertaken and which key informants will be consulted, and assign team roles.
4. Inform the logistics coordinator of desired interviews, appraisal workshops, and site visits to be set up in advance and regularly review progress with him/her to make any necessary scheduling adjustments.
5. Share the team's itinerary with the mission. Ensure the mission is aware of the team's interview/visit schedule and determine the importance of mission participation in all meetings and field trips.

## DURING THE ASSESSMENT

1. Identify times when a briefing or “check-in” meeting or phone call can be used to alert the mission to issues and findings arising from the assessment and to ensure planning activities conform to mission resources and priorities.
2. Regularly clarify and confirm team assignments and organize frequent opportunities for the team to come together to exchange information, observations, interpretations and suggestions, and later to take part in intervention planning and sequencing analyses.
3. Ensure adequate time is provided for the team to work together on drafting reports and reviewing other team members’ work and writing.

A number of terms are introduced throughout this tool. Where these terms have been used in other publications and materials, the meanings may not be the same as the definitions provided for the purposes of this tool.

## GLOSSARY OF TERMS

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

**Enabling condition:** A condition that either must exist before an LTPR intervention is launched, or whose existence would greatly facilitate implementation of the intervention.

**Enabling intervention:** An activity that may be undertaken to create and strengthen the enabling conditions in the local setting. Enabling interventions create an environment that improves the likelihood that LTPR interventions will succeed.

**Indicator:** A proxy for assessing change that characterizes the state of some observable element at different points, typically before and after an intervention. Used to measure and assess outcomes.

**LTPR interventions:** Action taken to address LTPR issues. The Base Matrix (See Section I, Figure I) groups interventions into seven categories: 1) [Institutions and Governance](#); 2) [Legal and Regulatory Framework](#); 3) Rights Awareness and Empowerment; 4) [Conflict and Dispute Resolution](#); 5) [Restitution, Redistribution, and Consolidation](#); 6) [Rights Delivery and Administration](#); and 7) [Resource Use/Management](#)

**LTPR issues or constraints:** Situations emerging from weak systems of land tenure and property rights that undermine achievement of broad development goals. The Base Matrix characterizes these into seven categories: 1) [Resource Conflict and Displacement](#), 2) [Weak Governance](#), 3) [Insecure Tenure and Property Rights](#), 4) [Inequitable Access to Land and Natural Resources](#), 5) [Poorly Performing Land Markets](#), 6) [Unsustainable Natural Resources Management and Biodiversity Loss](#), and 7) Marginalization Rooted in Gender and/or Vulnerability.

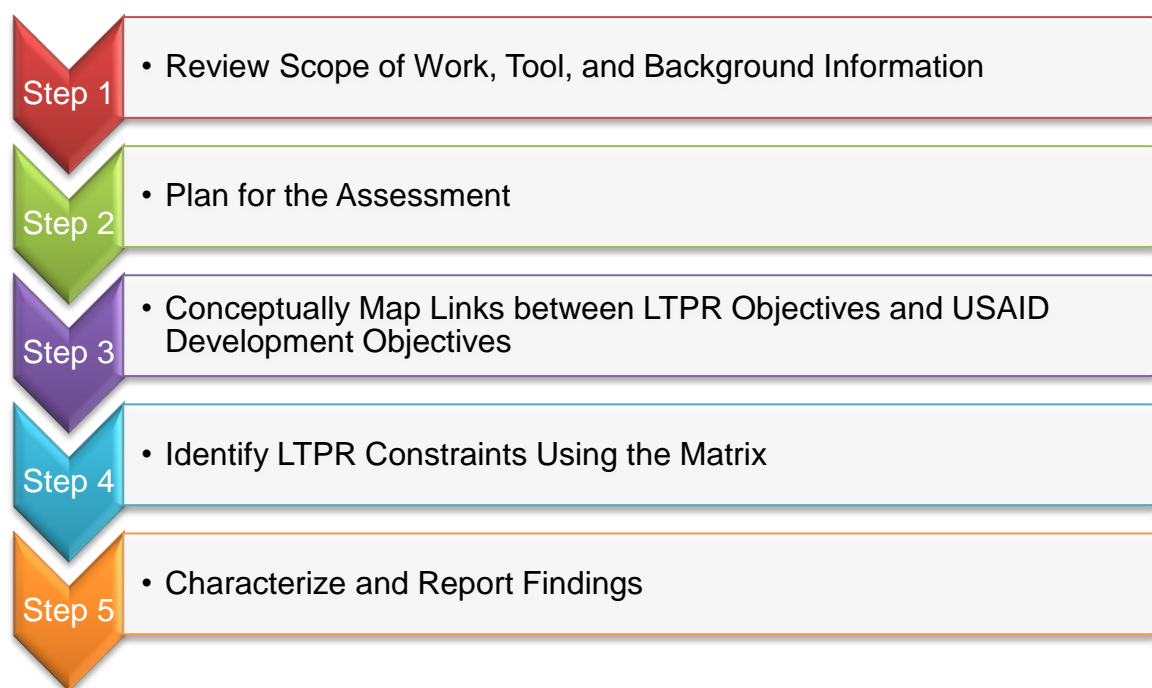
**LTPR objectives:** The intended outcome of LTPR interventions, i.e., effective [Institutions and Governance](#), functioning [Legal and Regulatory Framework](#), Rights Awareness and Empowerment, [Conflict and Dispute Resolution](#); [Restitution and Redistribution of Rights](#), [Rights Delivery and Administration](#), Sustainable [Use and Management of resources](#).

**USAID mission Development Objectives (DOs):** The principal focus areas defined in a USAID country strategy prepared by a USAID mission.

**Vulnerable groups:** Groups of persons who either are constrained from accessing land and natural resources or possess weak rights to these resources compared to other segments of the population. These typically include women; households directly affected by HIV/AIDS; pastoralist communities; indigenous peoples; persons displaced during violent conflicts (refugees, IDPs, and demobilized combatants); and others who, either because of their ascribed characteristics (e.g., gender), livelihood systems (e.g., mobile populations), and/or external shocks (e.g., natural disasters or violent conflict), are denied secure access to land and natural resources.

# 4.0 THE SITUATION ASSESSMENT

The Situation Assessment seeks to gather information on constraints to secure access and rights to land and natural resources and is undertaken in five steps:



## 4.1 STEP 1: REVIEW THE SCOPE OF WORK, TOOL, AND BACKGROUND INFORMATION

The Situation Assessment begins with a review of the tool and the scope of work by the assessment and planning team. This is followed by an initial gathering of the team, either in person or virtually, to discuss their understandings of the objectives of the task and the processes outlined in the tool to achieve common understanding and consensus on the way forward. This meeting can also be used for the team to agree on the essential background information to review and assign responsibility for collection of information not already supplied by the mission.

Reviewing background information is necessary to determine **USAID mission Development Objectives**, the land and natural resource **access and tenure** situation, the **legal framework** governing property rights, relevant **land institutions**, and any identified **LTPR issues**. The team should also find out whether the mission has previously identified **LTPR objectives** and implemented **LTPR interventions**.

### USAID'S CORE DEVELOPMENT OBJECTIVES\*

- Increase Food Security
- Promote Global Health and Strong Health Systems
- Reduce Climate Change Impacts and Promote Low Emissions Growth
- Promote Sustainable, Broad-Based Economic Growth
- Expand and Sustain the Ranks of Stable, Prosperous, and Democratic States
- Provide Humanitarian Assistance and Support Disaster Mitigation
- Prevent and Respond to Crises, Conflict, and Instability

\*Each mission and operating unit develops its own set of DOs, which must fall within the overall USAID Strategic Plan.

### USAID LTPR OBJECTIVES

- Peace and stability around land and resource management;
- Strong governance of land and natural resources;
- Secure land and natural resource tenure;
- Equitable access to land and natural resources;
- Sustainable land and natural resource management;
- Well-performing, pro-poor land markets; and
- Inclusion of women and vulnerable groups in access and rights to land and natural resources.

The LTPR country profiles housed at <http://ltpportal.net/products/country-profiles> should be reviewed. These reports are produced by the USAID/Economic Growth, Education, and Environment Bureau (E3)/Land Tenure and Property Rights Division. Each profile provides a general overview of the **LTPR landscape** and issues in a country based on articles, reports and other publications, Internet research, and expert knowledge. If an impact or performance evaluation of LTPR interventions undertaken by the mission has been conducted, this report constitutes essential reading as it will not only reveal LTPR constraints faced at the outset of the interventions, but also important lessons on how the interventions and their sequencing performed to address those constraints. Other useful documents are shown in Table 1 on the following page. Table 2 provides a checklist of important elements to become familiar with to strengthen the diagnosis and understanding of LTPR issues. If the USAID country profile does not adequately capture all of these elements, further desk research can be undertaken to enhance the team's knowledge base. Once in the field, the team will want to validate this information and fill in areas not uncovered during this desk review.

Binders containing copies of relevant laws, reports, and other documents gathered during the assessment can be prepared and distributed to all team members. Whenever possible, electronic copies of these documents should also be provided to the team, and when desired, to the mission. Once the materials have been gathered, the team should be given adequate time to review the materials individually and then come together to share preliminary findings.

### DEVELOPMENT THEMES WITH POSSIBLE LTPR PROGRAMMING

- Gender;
- Conflict management;
- Commercial law;
- Legal and institutional reform;
- Rule of law;
- Agriculture and agrarian reform;
- Natural resource management and biodiversity conservation;
- Environment;
- Land management;
- Democracy and governance (including civil society and decentralization);
- Economic growth;
- Privatization; and
- General business, trade, and investment.

Identifying past LTPR interventions can sometimes be difficult because much of the information about interventions is often contained in internal program documentation, rather than published in technical reports and papers. Because USAID LTPR-related activities have not always been conducted under the land rubric, both the mission and assessment team may have to seek out LTPR interventions from within broader programs. Land tenure and property rights are a crosscutting theme, and interventions may have taken place in conjunction with other development themes.

**TABLE I. DOCUMENT AVAILABILITY CHECKLIST**

<b>SOURCE</b>	<b>INFORMATION CONTAINED</b>	<b>AVAILABILITY</b>
The <b>USAID LTPR Country Profiles</b>	LTPR Issues, Key Informants	<a href="http://usaidlandtenure.net/usaidltpproducts/country-profiles">http://usaidlandtenure.net/usaidltpproducts/country-profiles</a>
<b>Previous assessments and reports related to land and property rights</b>	LTPR Issues, Key Informants	USAID mission Other donors and NGOs active in the country should also be contacted for information on previous land and resource assessments or studies
<b>USAID Country Development and Cooperation Strategies</b>	USAID Development Objectives, LTPR Objectives	USAID Development Experience Clearinghouse (DEC) website, <a href="http://www.dec.org/default.cfm">http://www.dec.org/default.cfm</a> , or from the mission website
<b>USAID congressional budget justification</b> <b>USAID annual report</b>	USAID Development Objectives, LTPR Objectives	<a href="http://www.usaid.gov/policy/budget/">http://www.usaid.gov/policy/budget/</a> <a href="http://www.dec.org/default.cfm">http://www.dec.org/default.cfm</a>
<b>USAID Impact or Performance Evaluations (see Volume 4 of this Series) and evaluations of prior LTPR interventions</b>	LTPR Issues and prior LTPR Objectives and Interventions Key Stakeholders/ Informants	USAID mission website USAID DEC: <a href="http://www.dec.org/default.cfm">http://www.dec.org/default.cfm</a> USAID mission
<b>USAID conflict vulnerability assessments, fragility assessments, transparency assessments, and democracy and governance assessments</b>	LTPR Issues, Key Stakeholders/ Informants	USAID Conflict Management website: <a href="http://www.usaid.gov/our_work/cross-cutting_programs/conflict/publications/conflict_assessments.html">http://www.usaid.gov/our_work/cross-cutting_programs/conflict/publications/conflict_assessments.html</a>
<b>Country legal framework governing property rights, including legislation on land, natural resources and family or personal matters</b>	Country legal framework, Key Stakeholders/ Informants	FAOLEX: <a href="http://faolex.fao.org/faolex/">http://faolex.fao.org/faolex/</a> . Website for the country's Ministry of Land (or other ministry governing land matters) USAID mission
<b>World Bank Country Assistance Strategy</b>	Host Country Priorities, LTPR Issues, Key Stakeholders/ Informants	<a href="http://www-wds.worldbank.org/">http://www-wds.worldbank.org/</a> , or from World Bank country websites
<b>Country Poverty Reduction Strategy Paper</b> Poverty assessments, prepared by World Bank staff, can also be found here	Host Country Priorities, Key Stakeholders/ Informants	World Bank's PovertyNet website, <a href="http://www.worldbank.org/poverty/">http://www.worldbank.org/poverty/</a>
<b>Basic background materials</b>	LTPR Issues, Host Country Priorities, Key Stakeholders/ Informants	Central Intelligence Agency World Factbook, <a href="http://www.cia.gov/cia/publications/factbook">http://www.cia.gov/cia/publications/factbook</a> . BBC World News country profiles: <a href="http://news.bbc.co.uk/2/hi/country_profiles/default.stm">http://news.bbc.co.uk/2/hi/country_profiles/default.stm</a>





**TABLE 2. ELEMENTS FOR INVESTIGATING THE LTPR LANDSCAPE**

<b>ACCESS AND TENURE</b> Obtain basic information on:	<b>LEGAL FRAMEWORK</b> Collect the following laws:	<b>LAND INSTITUTIONS</b> Collect information on the functioning of the following:
<p><b>Forms of land/resource holding</b></p> <ul style="list-style-type: none"> <li>• Freehold</li> <li>• Permanent use rights</li> <li>• Collective or common ownership</li> <li>• Customary tenure</li> <li>• Concession</li> <li>• Leasehold or other temporary use rights</li> <li>• Secondary rights</li> </ul> <p><b>Pattern of land/resource holding</b></p> <ul style="list-style-type: none"> <li>• Landlessness</li> <li>• Access/rights of women (within a household and as head)</li> <li>• Access/rights of other vulnerable groups</li> <li>• Access/rights of commercial interests</li> <li>• Access/rights of foreign interests</li> </ul> <p><b>Means of acquiring land/resources</b></p> <ul style="list-style-type: none"> <li>• Purchase</li> <li>• Inheritance</li> <li>• Allocation by the state</li> <li>• Allocation by other authority</li> <li>• Restitution</li> <li>• Leasehold/tenancy</li> <li>• Sharecropping</li> <li>• Gift</li> <li>• Informal occupation</li> </ul> <p><b>Means of acquiring rights</b></p> <ul style="list-style-type: none"> <li>• Title/registration</li> <li>• Certification</li> <li>• Demarcation/delimitation</li> <li>• Customary traditions</li> <li>• Adverse possession</li> </ul> <p><b>Changes in landholding patterns</b></p> <ul style="list-style-type: none"> <li>• Redistributive land/agrarian reform</li> <li>• Individualization of tenure</li> <li>• Collectivization/consolidation</li> <li>• Resettlement</li> <li>• Allocation of public land</li> <li>• Urbanization</li> </ul> <p><b>Rights, access and management of natural resources</b></p> <ul style="list-style-type: none"> <li>• Water</li> <li>• Forests</li> <li>• Pastures</li> <li>• Wetlands</li> <li>• Sub-soil resources</li> <li>• Reserves</li> <li>• State lands</li> </ul>	<p><b>Laws</b></p> <ul style="list-style-type: none"> <li>• Constitution</li> <li>• Civil code</li> <li>• Land laws and regulations</li> <li>• Land policy</li> <li>• Inheritance laws</li> <li>• Marital property laws</li> <li>• Land transfer/lease laws</li> <li>• Mortgage laws</li> <li>• Registration/titling laws</li> <li>• Expropriation laws</li> <li>• Forest laws</li> <li>• Land taxation laws</li> <li>• Land surveying and mapping laws</li> <li>• City or town planning laws</li> <li>• Condominium laws</li> <li>• Protected areas laws</li> <li>• Zoning laws</li> <li>• Pastureland laws</li> <li>• Environmental laws</li> <li>• Land use regulations</li> </ul>	<p><b>Institutions</b></p> <ul style="list-style-type: none"> <li>• Land and resource-related ministries or departments</li> <li>• Decentralized/local land and resource-related bodies</li> <li>• Customary tenure and resource allocation bodies</li> </ul> <p><b>Dispute resolution</b></p> <ul style="list-style-type: none"> <li>• Judiciary</li> <li>• Land/resource dispute bodies</li> <li>• Customary dispute resolution bodies</li> </ul> <p><b>Land administration</b></p> <ul style="list-style-type: none"> <li>• Formal/informal recognition of land rights</li> <li>• Registration/titling system</li> <li>• Cadastre</li> </ul> <p><b>Civil society</b></p> <ul style="list-style-type: none"> <li>• NGOs working on land or resource issues</li> </ul> <p><b>Private sector</b></p> <ul style="list-style-type: none"> <li>• Private sector professional associations: lawyers, surveyors, valuers, real estate agents, bankers, moneylenders</li> </ul>

### REVIEW OF BACKGROUND MATERIAL SUMMARY

1. Mission Development Objectives;
2. LTPR objectives;
3. LTPR landscape;
4. LTPR issues identified in the literature;
5. Key laws governing property rights, and their relevant provisions;
6. Prior LTPR interventions and impacts (USAID, other donors and government); and
7. Key informants to consult.

As the team members review the background information, each should take note of useful information imparted by the different sources and record it in a common format. The textbox at left provides a checklist of important information to collect and summarize. The team should meet again to share findings, exchange information, and resolve any differing interpretations from their separate reviews.

During this meeting, the team will want to agree on salient LTPR issues that surface from the literature and identify **key informants** that should be consulted as part

of the Situation Assessment. This includes people with broad and in-depth knowledge of LTPR issues (e.g., government officials, academics, NGO staff, and donors), and those who are directly affected by the LTPR issues, including community members, local government authorities, traditional authorities, and other local leaders. The *Quick Sheets* contained in Step 4 also provide valuable guidance for selecting key informants and stakeholders to interview. In all cases, it is critical that women and OVGs play a major role in informing the assessment.

A **final summary** reflecting the team's shared findings from the background material should be prepared and provided to the mission for verification. In delivering this report, the mission should also be asked to underscore which USAID Development Objectives and LTPR objectives may merit special consideration, especially if resource constraints preclude undertaking interventions that seek to address all objectives.

## 4.2 STEP 2: PLAN FOR THE ASSESSMENT

Now that the team has identified and agreed on key informants that should be consulted, they can begin to plan the in-country portion of the assessment. Planning should include:

1. Confirming dates of departure and return and arranging airline tickets;
2. Ensuring all team members have requisite medical clearances, insurance, inoculations, and visas;
3. Scheduling key informants to interview;
4. Collecting key document information;
5. Deciding on locations to visit and duration of those visits;
6. Making transport arrangements to locations outside the capital city;
7. Booking accommodations within and outside the capital city;
8. Arranging translators;
9. Acquiring cell phones and air time for team members;
10. Making a list of materials needed that should be purchased prior to departure or in the capital city; and
11. Arranging for food and drink for participants of focus groups and workshops.

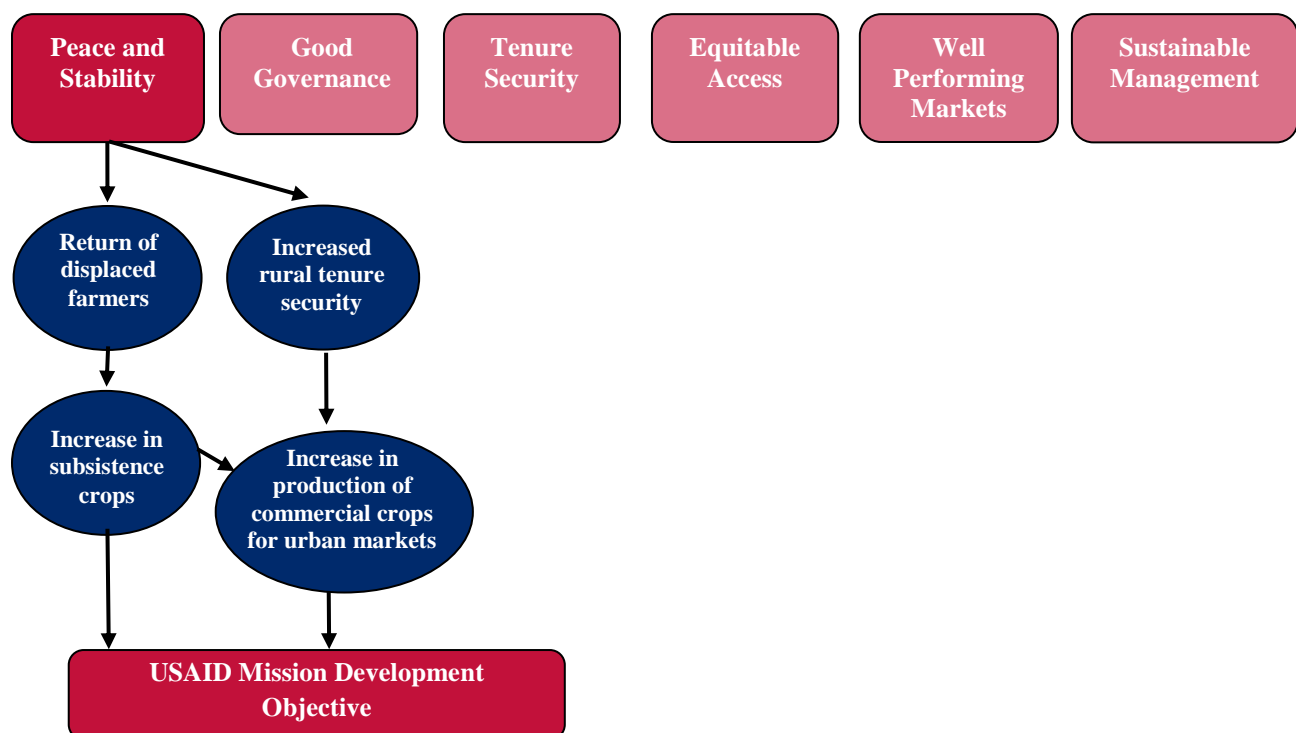
Generally, the team's logistics coordinator will be responsible for making most of the local arrangements, including scheduling interviews and workshops and collecting documents. Coordination with the mission in making arrangements will vary depending on the risks associated with doing work in-country and prior agreements made with the mission to assist with logistics. Regardless of their level of engagement, the mission should be kept abreast of the team's plans and have the opportunity for input and suggestions.

### 4.3 STEP 3: CONCEPTUALLY MAP LINKS BETWEEN LTPR OBJECTIVES AND USAID DEVELOPMENT OBJECTIVES

When the team arrives in-country and holds their in-briefing session with the mission, they should be prepared to discuss with mission staff how they understand the links between each of the LTPR objectives and the Development Objectives prioritized by the mission. This is essential because it will help the team determine which LTPR issues are likely to be the most important for the mission to address.

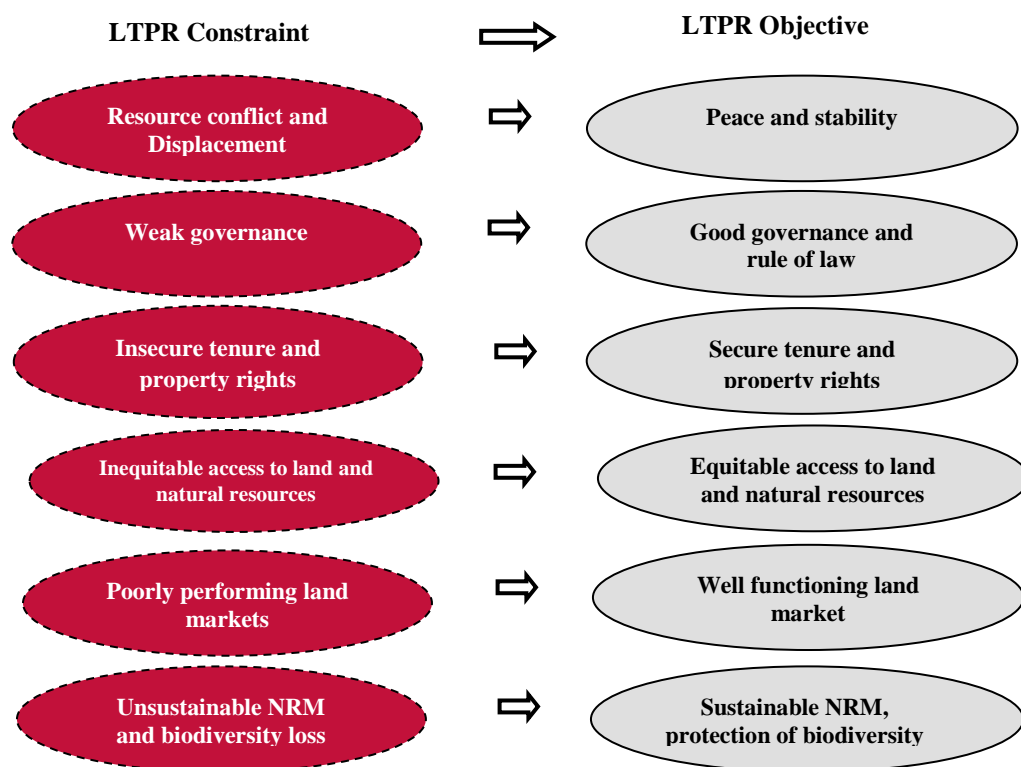
Mapping the links involves creating the equivalent of a flowchart for each mission Development Objective. Figure 2 provides an example. On a large sheet of paper, the team should draw seven bubbles with each of the LTPR objectives at the top of the page. These are essentially the opposite of each of the Constraints presented in Base Matrix (see Figure 3). One of the mission's Development Objectives should then be drawn in a circle at the bottom of the page. This should be done until one sheet is created for each of the Development Objectives. Discussions with the mission should focus on determining the flow of outcomes that are expected to emerge from each of the LTPR objectives until it results in the Development Objective. As in the Figure 2 example, assume one of the mission's DOs is increased food security. The Peace and Stability objective might be expected to result in increased tenure security as farmers are no longer threatened by displacement, which in turn induces incentives to invest in agricultural production. Moreover, peace may result in displaced farmers returning to their lands to cultivate and therefore increase production. Increased production should then result in 1) higher levels of rural food security as farming families increase production of subsistence crops, and 2) increased food security of urban populations due to increased production and marketing of commercial crops.

**FIGURE 2. EXAMPLE OF CONCEPTUAL MAPPING OF LTPR OBJECTIVES TO USAID DEVELOPMENT OBJECTIVES**



The team should retain these maps as they will prove to be a critical building block for planning interventions during the next component of the tool.

**FIGURE 3. LTPR CONSTRAINTS AND THEIR CORRESPONDING LTPR OBJECTIVES**



#### 4.4 STEP 4: IDENTIFY LTPR ISSUES AND CONSTRAINTS USING THE MATRIX

With an understanding of USAID priorities and objectives and ongoing and prior USAID LTPR programming, the field work portion of the Situation Assessment begins. The goal of Step 4 is to identify the *specific* LTPR issues and factors that have contributed to their realization. The **Base Matrix** (Figure 4) guides this process. The matrix is meant to help missions and specialists investigate the LTPR situation in a country or more local context in a broad, systematic, and rigorous manner. Nevertheless, some issues may be ruled out early once there is sufficient confirmation that they are not present, while others may warrant deeper investigation.

The six columns depict key LTPR constraints that are regularly confronted: [Resource Conflict and Displacement](#), **Weak Governance**, **Insecure Tenure and Property Rights**, **Inequitable Access to Land and Natural Resources**, **Poorly Performing Land Markets**, and **Unsustainable Natural Resource Management and Biodiversity Loss**. Women and OVGs, presented as a crosscutting issue, is intended to

prompt exploration of the implications of the six constraints for women and the most vulnerable.<sup>2</sup> For example, with the expansion of urban settlements and agriculture, pastoralists may disproportionately suffer from inequitable access to land, water, and fodder. Women may face greater difficulties participating in land markets due to economic barriers and at the same time risk dispossession as a result of transactions undertaken by male heads of households.

**FIGURE 4. BASE 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
INTERVENTIONS	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						
		<p>← <b>Crosscutting themes:</b> →</p> <p>Gender/Women Vulnerability</p> <p>Ethnic and Socially Marginalized Populations</p> <p>Lack of Government and Community Capacity</p>					

The rows of the matrix depict seven LTPR intervention categories: **Institutions and Governance**; the **Legal and Regulatory Framework**; **Rights Awareness and Empowerment**; **Conflict or Dispute Resolution**; **Restitution, Redistribution, and Consolidation**; **Rights Delivery and Administration**; and **Resource Use Management**. These will be discussed later in the Intervention Planning section (Section 5). Using the matrix ensures the assessment considers all potential LTPR issues, although some may be ruled out early on to enable a more in-depth examination of other issues that are confirmed challenges.

Once the team is familiar with the Base Matrix, they are ready to begin to explore each column to determine whether these constraints exist in the context of the country or region where they are conducting the Situation Assessment, and if so, how severe those constraints are. To facilitate this, the tool provides a series

<sup>2</sup> Vulnerable groups may include, but are not limited to, pastoralists, hunter-gatherers, indigenous and tribal peoples, displaced persons and demobilized combatants, ethnic and religious minorities, orphans, and people living with HIV/AIDS and other debilitating illnesses.

of *Quick Sheets* below that correspond to each of the constraints. There is also a *Quick Sheet* for the crosscutting Women and Vulnerable Groups issue, which is meant to ensure adequate consideration of issues particular to those populations is taken into consideration. Each sheet includes:

- 1) A list of potential **key informants** for the topic;
- 2) **Tier 1** questions, which are designed to help the assessment team determine whether the particular **constraint exists** and its importance for achieving USAID LTPR and Development Objectives;
- 3) **Tier 2** questions that more deeply probe the **causes and consequences** of the constraint and provide insights on potential interventions to address them; and
- 4) **Tier 3** questions to help the team establish the extent to which government and donors are addressing the issues and gather input on what (other) **actions and interventions** are needed.

The team should begin with an exploration of the Tier 1 questions contained in each of the LTPR constraint *Quick Sheets* and determine who among the identified key informants is likely to have the necessary knowledge to respond to Tier 1 questions. Not all questions would necessarily be posed to all key informants. The *Quick Sheets* list of potential key informants can be helpful in this respect. Ideal Tier 1 key informants are those likely to have broad knowledge about whether a particular constraint exists and its manifestations, such as government officials, local authorities, donors and NGO staff, or university researchers. The team will often not want to pose the questions to key informants exactly as they are framed in the *Quick Sheets*, but rather consider which questions to ask and how, so that questions are understood and elicit the most thoughtful responses.

Consistent affirmative responses to Tier 1 questions suggest that the LTPR issue is a serious one and should be probed further to determine whether the issue is indeed posing a constraint on the realization of USAID mission Development Objectives. Tier 2 and 3 questions provide guidelines for investigating the issue further and exploring existing and potential interventions to address it. This initial exploratory phase of the field research should seek to interview approximately 8-12 informants over a period of three to five days. Each day should conclude with a team meeting to review what was learned that day about the issue(s) and how it builds on knowledge gained from the background material and previous interviews.

By the conclusion of this first stage of research, the team will have determined the most salient issues. They will then want to identify which of these pose the most critical constraints to realization of the mission's LTPR and Development Objectives. This is done by comparing the LTPR issues uncovered to the conceptual maps created in Step 3. Those issues that correspond to the mission's LTPR objective (and via these, its Development Objectives) should be prioritized for designing LTPR interventions. A brief example is given in the textbox below.

#### SELECTION OF PRIORITY OBJECTIVES EXAMPLE

The assessment team first creates conceptual maps during Step 3 that show Tenure Security and Well-Performing Land Markets were the LTPR objectives that would most drive achievement of the mission's Development Objective of Enhanced Agricultural Productivity. Then, during their initial round of field research, the team finds Biodiversity Loss to be an additional LTPR issue. While the team draws the mission's attention to the environmental threats it uncovered, the second round of their research focuses principally on learning more about the causes and consequences of Tenure Insecurity and Poorly Performing Land Markets and proposed actions and interventions to address these problems.

With the subset of *priority* LTPR issues at hand, the team moves on to deepening its understanding of *those specific issues* by selecting a new set of key informants to interview or engage in focus groups or workshops. These informants will include the direct stakeholders affected by the issue plus any other informants not included in the first round of interviews that can augment the team's knowledge of the situation. Suggestions for informants can be drawn from the corresponding *Quick Sheets* as well as knowledge gained from the review of background materials. Interviews and other formats should incorporate all three tiers of questions from the *Quick Sheets* presented in Annex E, which can be adapted for the particular informant(s). The team should plan to spend 8-12 days on this phase of the field research, depending on the number of LTPR issues to be explored and the scale of the study. Teams may want to consider splitting up into pairs to maximize the number of informant consultations.

#### 4.4.1 METHODS

Although the most common **methods** for collecting information corresponding to the *Quick Sheets* will be **semi-structured individual and focus groups interviews**, other methods should also be considered if they are likely to be more effective in eliciting the needed information and if time permits their application. These include:

- **Participatory methods** that include village mapping, ranking exercises, calendars and timelines together with facilitated discussions designed to elicit information on existing conditions, assess past interventions, and discern needs and priorities. To be effective, team members must have experience utilizing these methods and facilitating group discourse. While design and implementation of participatory methods can be time-consuming, they can often be the most effective means to engage communities since they, too, often derive important learning from the process.
- A **mini-survey** is a structured, short questionnaire administered to a pool of respondents. These participants (for example, potential or actual beneficiaries) can either be randomly or intentionally selected, depending on the type of information required. In using this tool, one or more team members should be experienced in survey design. Likewise, if the survey seeks to collect information from a large pool of candidates to conduct a statistical analysis, one or more team members should be familiar with how to carry out this analysis.

Regardless of the methods selected, assessment teams should ensure that a large portion of their in-country time is spent gathering information from people who depend upon land for livelihoods or who suffer from the inability to access land and natural resources. At least half of in-country time should be dedicated to interviews and information collection outside the capital city. This step is central to verifying assumptions made about critical LTPR constraints on the basis of documentary reviews and interviews with central government officials, scholars, donors, and NGO representatives. The field time should also include interviews with local government officials and local NGO and donor staff implementing projects at the community level.

Particular efforts should also be taken to ensure that the perspectives of **women** are well represented, whether among officials, scholars, and NGOs, or within local communities. Often it can be critical to interview women separately from men, especially where there are distinct differences in power between the sexes. Women also tend to face unique circumstances when it comes to access to land and resources and tenure security, which can be easily overlooked if women are not consulted directly and independently from men. They will often recommend and prioritize interventions that men have ignored or rank as less important. Because differences exist between women who are old, young, middle-aged, single, married,

divorced, with children and without children, efforts should be made to include these diverse categories of women. An all-woman focus group made up of diverse types of women is one recommended tool, taking care to hold separate groups where there are significant power differentials between different types of women.

The team should commit to **convening** at the end of each day to reflect on what they learned from the interviews and how it builds on information gathered from documentary sources and previous interviews. At that point, team members can rotate typing up a consolidated set of notes from the day's interviews. It is recommended that the team not put off this exercise unless absolutely necessary. Reflections, writing up of notes, and cumulative learning are best done while the information is fresh in everyone's mind. This will also greatly facilitate report writing and ensure key pieces of information and realizations are not lost along the way.

Annex C contains resources to help with the planning and implementation of chosen assessment methods.

## 4.5 STEP 5: CHARACTERIZE AND REPORT ON THE FINDINGS

**Analysis of the information.** Once the team concludes its field research, they will want to undertake a comprehensive analysis of the information they gathered. The team meetings at the conclusion of each day of interviews that reflected on progressive learning and produced a consolidated set of notes and reflections will help substantially in this regard. Analysis should begin by separating out those themes that were identified as key LTPR issues and probed in greater depth and those that were ruled out during the first phase of interviews. For the latter, the team should draft sections that identify these themes, briefly describe the scope of inquiry and who was consulted, and explain why these themes were dismissed. Generally, it will be either because the issue was not present or because although it was present, the issue did not impinge on realization of the mission's Development Objectives. This explanation will demonstrate that all themes were investigated and describe their status. It may also offer information on the degree to which certain issues could emerge in the future and therefore should be monitored.

The remainder of the analysis should focus on the priority LTPR issues uncovered. For each theme, analysis should include:

- **Characterization** of the situation, including how and where the problem manifests itself and the scale at which it is occurring;
- Factors contributing to the situation, including LTPR **causes**;
- **Outcomes and impacts** emerging from the problem, including specific impacts on women and OVGs;
- Impacts on the **development objectives** of the mission;
- Whether addressing the issue is a **government priority** and the extent of political will and capacity to act on those priorities;
- The extent to which **government, USAID and other donors** are addressing these issues; and
- Recommendations made on **new or complementary interventions** to address the situation and reasoning behind these.

Analysis should seek to identify dominant views, but also make reference to outlier perspectives and their sources. The team will want to consider how each interviewee's experience informs these perspectives and this information. For example, local stakeholders will often have more direct knowledge of a particular LTPR issue they are experiencing and its observable causes and consequences. On the other hand, government



officials and experts in those issues may have a broader knowledge of how the situation plays out across the country and its less visible causes and impacts. They may also be more familiar with donor interventions and government priorities.

The analysis should not confine itself to examining each theme in isolation, but also consider interactions across the different themes. For example, violent conflict may be spawned by severe disparities in access to land and natural resources. Unsustainable natural resource management may emanate from tenure insecurity or weak governance. The team will want to uncover causal connections from the information they gathered and document these connections. Flowcharts and figures can be a simple and compelling way to represent these interactions.

The team should refer back to the conceptual maps developed in Step 3, which demonstrated the perceived links between LTPR objectives and the mission's Development Objectives. Special attention in the report should be given to describing the extent to which the priority LTPR issues uncovered are actually obstructing or could potentially obstruct achievement of the mission's Development Objectives.

- **Preparation of the final report.** The findings should be reported using the seven Base Matrix themes as an organizing structure. Under each theme, the following components should be reported:
- **Issues** within that theme, including their causes, outcomes, severity and scale— making note of mainstream views, alternative views, and their sources (If the theme was found not to be an issue during the first round of investigation, this should be noted. If the theme was in fact found to be an issue, but not one that constrained realization of the mission's Development Objectives, a brief description of what was found to be the scope of the issue should be included);
- Analysis of the impacts of the different LTPR issues on **mission Development Objectives**;
- **LTPR government and/or donor interventions** ongoing or planned to address the issue and sub-issues, and political will, capacity, and factors that have enabled or derailed these interventions; and
- Recommendations made by interviewees for **new or complementary LTPR interventions** to address the issues.

The final report should also contain an **LTPR Overview** section that describes the statutory and customary (including religious) systems governing LTPR in the country. This includes formal and informal laws and norms governing use rights, inheritance rights, and transactions among different groups (men and women, farmers and pastoralists, commercial and subsistence interests, nationals and foreigners, etc.) and the structures, responsibilities, and capacities of the tenure governance systems.<sup>3</sup> A **Methodology** section should describe the team composition, background documentation consulted, and the field research methods employed. A section on **Thematic Interactions** should reflect analysis of how the different issues linked with one another and the possible implications of such linkages. The **Conclusions** section should attempt to bring together a coherent set of major findings on the priority LTPR themes and their relationship to mission Development Objectives.

Finally, the team should finish by drafting a short **Executive Summary** (no more than three pages) that presents the purpose and objectives of the assessment; where the assessment was carried out, when and by whom; and the main findings of the assessment.

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<sup>3</sup> Since many countries will have multiple and differentiated customary rules and institutions governing land and resource tenure, this section would identify those different systems and only make note of their major attributes, rather than delve into specifics.

**Annexes** to the LTPR findings report should include: (1) a list of key informants interviewed, including their contact details; (2) a list of other informants who were identified but not interviewed; (3) a list of LTPR institutions within the government, donors, and NGOs; and (4) a bibliography of reports, publications, laws, and other documents used to inform the assessment, including links to online resources where available.

Although much of the drafting of the final report can be done upon the team's return to home countries (in cases where Intervention Planning is not foreseen or will take place at a later stage), the team should undertake the analysis phase jointly and agree on writing assignments and review processes before departing.

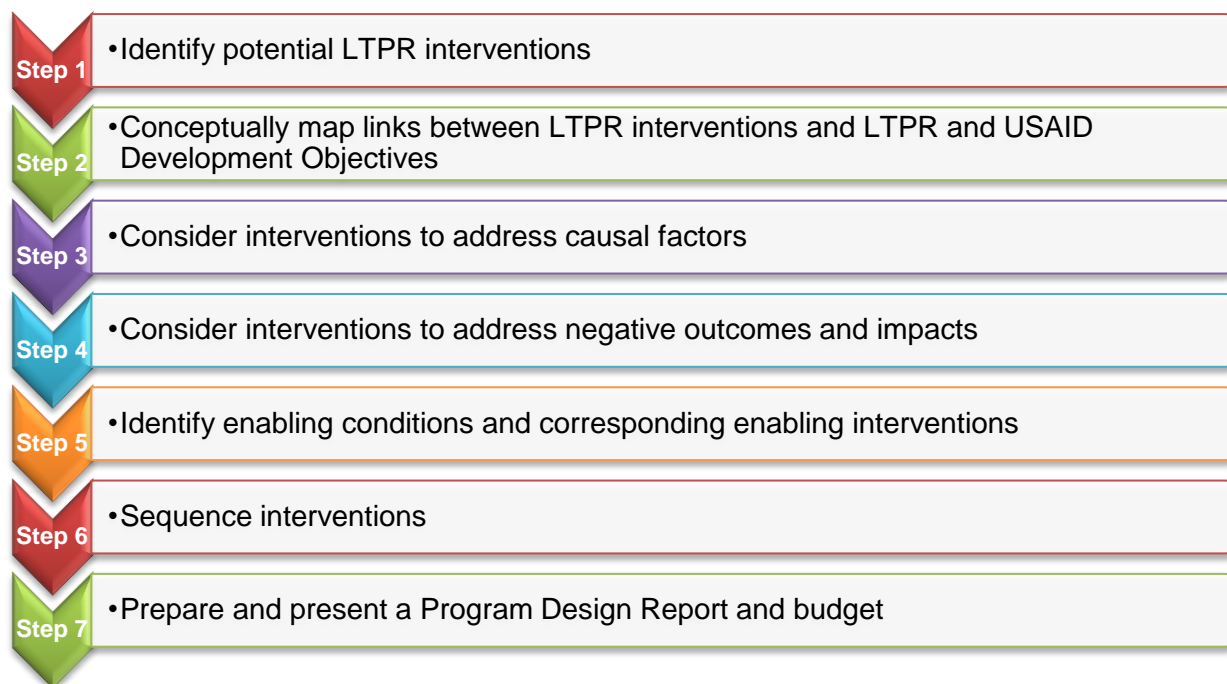
**Presentation of findings to the mission.** Apart from the report, the team should prepare a presentation of the assessment findings to the USAID mission. This half day debrief allows the team to highlight key LTPR issues uncovered, explain how these affect achievement of mission Development Objectives, and provide a forum for the mission to begin considering new and complementary LTPR interventions. It also provides the mission an opportunity to discuss the findings with the team and their colleagues and add another layer of interpretation. If the entire Assessment and Intervention Planning process is being undertaken, this debrief will serve as an entrée to the Intervention Planning phase and include discussions of mission priorities, possible interventions, and available budgetary resources to undertake interventions.

# 5.0 INTERVENTION PLANNING

With the Situation Assessment completed, the team now has the essential information it needs to begin identifying what measures the mission should pursue to effectively address the types of land tenure issues uncovered. The Intervention Planning process involves seven steps:

## **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.



## 5.1 STEP 1: IDENTIFY POTENTIAL LTPR INTERVENTIONS USING THE MATRIX

**Understanding interventions.** Every development intervention is ultimately aimed at achieving one or more higher-order Development Objectives. Examples of these objectives include economic growth, democracy and governance, agricultural development, social equity, poverty reduction, biodiversity and wise natural resource management, peace and stability, improved health, and widespread literacy and education. LTPR interventions likewise are intended to achieve one or more of these higher-level Development Objectives. For example, land titling and registration might be focused upon economic growth and agricultural development, while redistribution of land assets might be primarily aimed at promoting social equity and peace and stability. At the same time, programs must take care that, in the process of focusing on a few Development Objectives, other objectives are not undermined. Gender equity is a crosscutting objective that merits inclusion in all programming. Failure to do so risks that the benefits emerging from interventions will be distributed overwhelmingly in favor of men and may even unintentionally harm women.

**The LTPR Interventions Matrix.** *LTPR interventions* are the specific actions selected to address existing LTPR issues or constraints to achieve the mission's *LTPR objectives*, which in turn, achieve USAID Development Objectives. The LTPR Matrix was created to help missions and other LTPR practitioners frame the landscape of LTPR issues, establish categories of LTPR interventions that can help to address those issues, and provide a listing and description of potential interventions that could help to ameliorate constraints arising under the different issue categories. The Matrix consists of a base matrix and resource domain overlays. The matrix is designed to visualize the categories of possible constraints and interventions associated with land tenure and property rights. Resource domain overlays have been created specifically for land tenure and property rights, trees and forests, freshwater lakes, rivers, and groundwater, women's vulnerability; and minerals. Within each of these overlays, illustrative interventions are shown to address constraints in seven categories: 1) Institutions and Governance; 2) Legal and Regulatory Framework; 3)

Rights Awareness and Empowerment; 4) Conflict and Dispute Resolution; 5) Restitution, Redistribution, and Consolidation; 6) Rights Delivery and Administration; and 7) Resource Use and Management. The Matrix and overlays can be found on the LTPR Portal at: <http://usaidlandtenure.net/usaidltpproducts/matrix>.

**Selecting LTPR interventions.** During the Situation Assessment, the team collected information on the presence and severity of LTPR issues in the country or other geographic context of focus and selected the priority issues that the mission wants to address. Using the matrix, the team should review the list of interventions within the columns corresponding to each of the identified priority issues. They should also consider recommendations for interventions made by key informants consulted during the Situation Assessment. For each priority LTPR issue, all interventions that would appear to reasonably address that issue should be noted on an Intervention Inventory Sheet corresponding to that issue. An example is provided in Figure 5. The team should also describe 1) the scope of the proposed intervention, including types of activities, how they would be implemented and by whom; 2) the duration of that intervention, and 3)

### **DESIGNING INTERVENTIONS WITH WOMEN IN MIND**

Here and at every stage in the Intervention Planning process, the team should consider how the interventions will address women. LTPR interventions that do not specifically address women risk disempowering them. Further, the full possible potential of a project will not be met if women are not expressly considered and included. Many LTPR projects have focused on formalizing land rights and devolving rights to natural resources to household or community level. However, impacts of these interventions on women and men have proven to be distinct, and women have often lost out as a result.

Even broad Development Objectives should be examined in terms of how they might have a different impact on men and women. For example, an LTPR intervention may encourage economic growth, but still not reduce poverty and suffering at the household level. This is because, in terms of how gains from economic growth are distributed, it matters who within a household has control over assets. Research shows that when women control the assets of a household, they are more likely to spend their income on their children's health and education than men are, so an economic growth project that targets women may have a different social and economic impact than one that targets men or the household unit. For this reason, interventions must be examined with the understanding that it is likely that the intervention will have a different impact on men and women and that the overall benefit to society may be different depending on which group is targeted.

considerations regarding women and vulnerable groups, including the potential implications of the intervention for these groups and ways to ensure they would access an equitable proportion of the benefits.

At this stage, the team should not feel constrained by the availability of USAID mission program resources to implement proposed interventions. Likewise, concerns about capacity or enabling environment for implementing interventions will be considered during forthcoming steps. Hence, interventions should not be dismissed on the basis of their likely cost or other constraints. The point here is to describe what LTPR interventions could accomplish if resources were available.

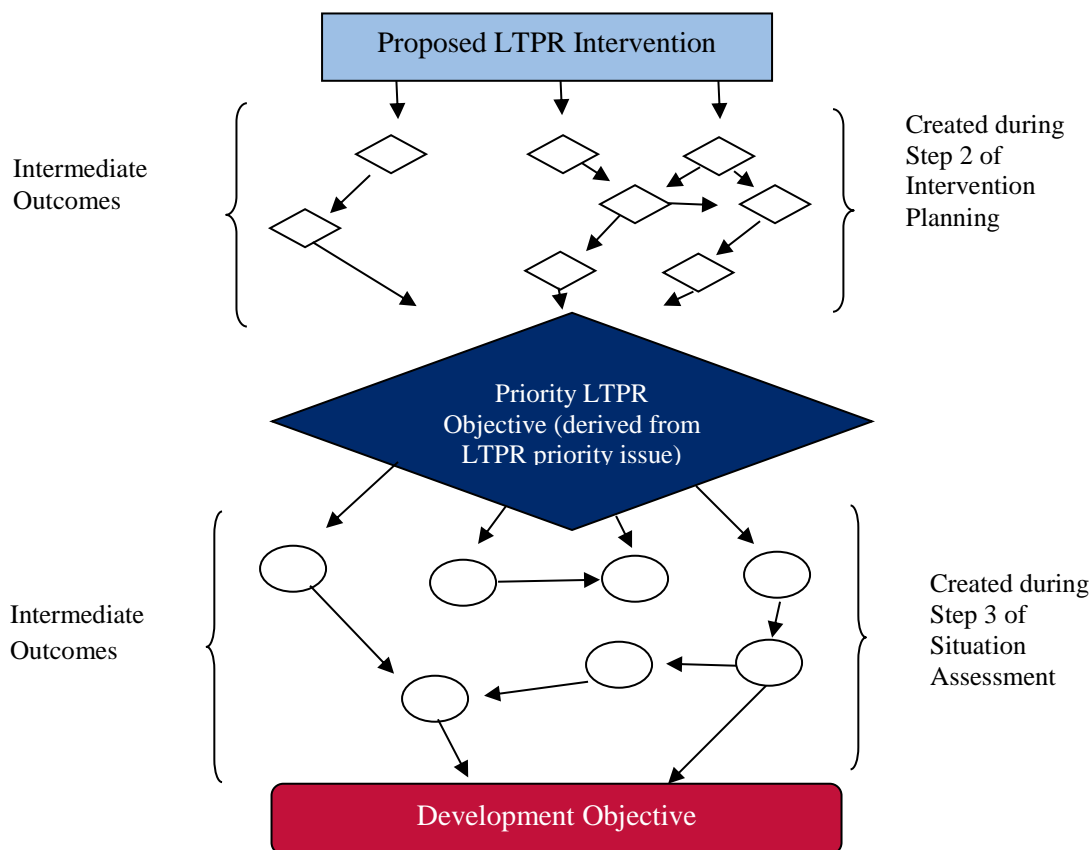
**FIGURE 5. EXAMPLE OF INTERVENTION INVENTORY SHEET, WITH LTPR INTERVENTIONS**

LTPR ISSUE: UNSUSTAINABLE NRM AND BIODIVERSITY LOSS			CORRESPONDING LTPR OBJECTIVE: SUSTAINABLE NRM AND IMPROVED BIODIVERSITY	
LTPR INTERVENTIONS TO CONSIDER				
	Intervention	Scope	Duration	Gender Considerations
1				
2				

## 5.2 STEP 2: CONCEPTUALLY MAP LINKS BETWEEN LTPR INTERVENTIONS TO USAID DEVELOPMENT OBJECTIVES

Once the set of potential LTPR interventions are identified, the team should build on the conceptual maps created in Step 3 of the Situation Assessment. Those maps depicted the links between the mission's LTPR objectives and Development Objectives. Using the intervention inventories, the team can now 'test' the various LTPR interventions by laying out the process through which they would lead to achieving the priority LTPR objectives. This involves drawing the chain of outputs and outcomes expected to emerge from the intervention that lead to achievement of the LTPR objective. Figure 6 provides a sample illustration.

**FIGURE 6. CONCEPTUAL MAP LINKING LTPR INTERVENTIONS TO MISSION LTPR OBJECTIVES AND DEVELOPMENT OBJECTIVES**



If the mapping exercise fails to produce a reasonable argument for how the LTPR intervention will lead to achievement of the LTPR objective and subsequently the Strategic Objective, the intervention should be discarded in favor of other LTPR interventions that offer greater promise. By the end of the exercise, the team should have a conceptual map for each of the proposed LTPR interventions.

### 5.3 STEP 3: CONSIDER INTERVENTIONS TO ADDRESS CAUSAL FACTORS

**Factors impinging on realization of the LTPR objective.** The team should again refer back to the information obtained from the Situation Assessment and specifically pull out the factors that key informants and documentary sources highlighted as contributing to the priority LTPR issues. These “causal factors” represent forces that, if not addressed, could potentially undermine or otherwise negatively influence achievement of the LTPR and Development Objectives. The first question to be asked is whether one or more of the LTPR interventions proposed thus far is likely to tackle the causal factor. If that is not the case, the team should brainstorm other types of interventions that could achieve that end and include these on the Intervention Planning inventory. As before, scope, duration, and gender implications should be analyzed and described. Figure 7 builds on the prior example:

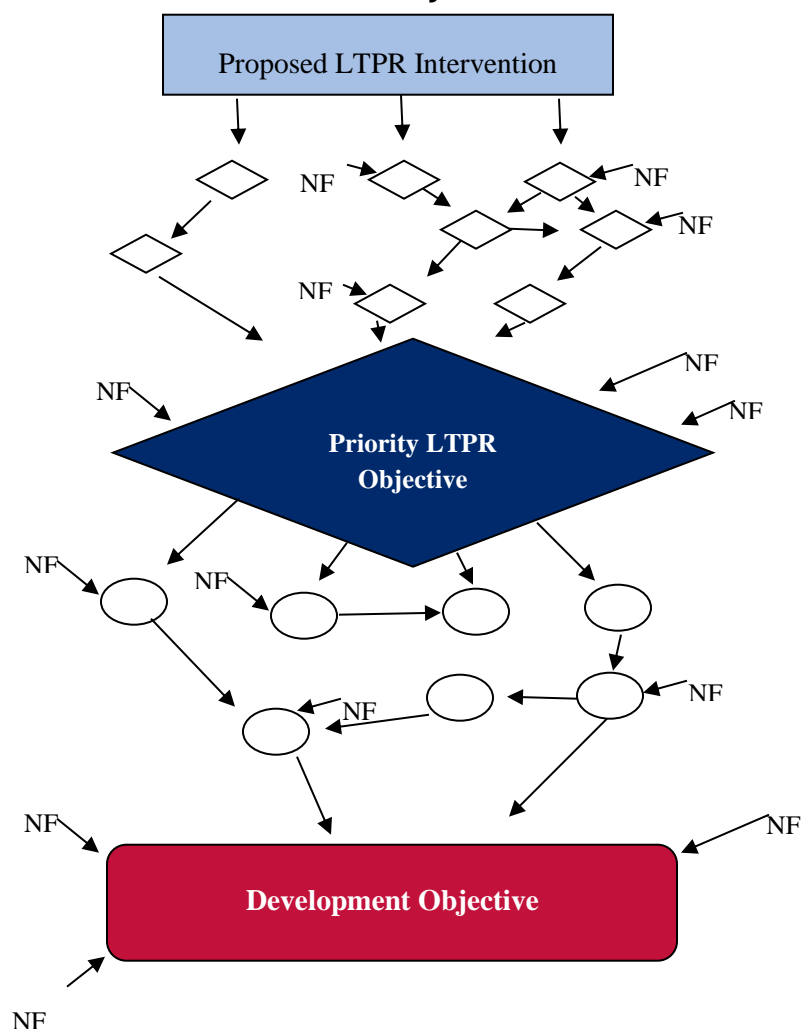
**FIGURE 7. SAMPLE INTERVENTION INVENTORY, WITH INTERVENTIONS TO ADDRESS CAUSAL FACTORS**

LTPR ISSUE: UNSUSTAINABLE NRM AND BIODIVERSITY LOSS			CORRESPONDING LTPR OBJECTIVE: SUSTAINABLE NRM AND IMPROVED BIODIVERSITY	
LTPR INTERVENTIONS TO CONSIDER				
	Intervention	Scope	Duration	Gender Considerations
1				
2				
LTPR ISSUE CAUSAL FACTORS				
	Intervention	Scope	Duration	Gender Considerations
1				
2				

**Factors impinging on Intermediate Outcomes and Objectives.** Referring to the Development Objectives and Intermediate Outcomes depicted in each conceptual map, the team will next identify other factors that are either currently affecting or potentially could affect the realization of these outcomes and objectives negatively. These forces also have the potential to derail the realization of the LTPR and Development Objectives if attention is not given to them. For example, insecure land rights may constrain women from adopting productivity-enhancing agricultural techniques that require significant labor investments. Yet, interventions to enhance the security of their tenure will not likely address root causes of their failure to adopt, such as time constraints and lack of control over their own labor.

Once these (potentially) hindering factors are identified, the team should assess their relative risk and how seriously they could impact the achievement of mission’s core objectives. For those that do present a serious risk, the team should evaluate whether interventions identified thus far are likely to address the threat and mitigate those risks. If not, additional interventions addressing these causal forces should be identified and their corresponding scope, duration, and women/vulnerable group implications spelled out. Figures 8 and 9 present the process in more visual terms.

**FIGURE 8. NEGATIVE FORCES (NF) IMPACTING REALIZATION OF OUTCOMES AND OBJECTIVES**





**FIGURE 9. SAMPLE INTERVENTION INVENTORY, WITH INTERVENTIONS TO ADDRESS FACTORS IMPINGING ON DEVELOPMENT OBJECTIVES AND INTERMEDIATE OUTCOMES**

LTPR ISSUE: UNSUSTAINABLE NRM AND BIODIVERSITY LOSS			CORRESPONDING LTPR OBJECTIVE: SUSTAINABLE NRM AND IMPROVED BIODIVERSITY	
LTPR INTERVENTIONS TO CONSIDER				
	Intervention	Scope	Duration	Gender Considerations
1				
2				
LTPR ISSUE CAUSAL FACTORS				
	Intervention	Scope	Duration	Gender Considerations
1				
2				
HINDRANCES TO IOs AND DOs				
	Intervention	Scope	Duration	Gender Considerations
1				
2				

## 5.4 STEP 4: CONSIDER INTERVENTIONS TO ADDRESS NEGATIVE OUTCOMES AND IMPACTS

Next, the team will refer to the Situation Assessment findings to identify **outcomes and impacts** emerging or potentially emerging **from each LTPR issue** to ensure the proposed interventions are sufficient to address them. For example, unsustainable natural resource management in upper watersheds may be contributing to deteriorating water *quality* downstream. If the mission is only looking at how the issue is impacting Development Objectives of agricultural productivity and economic growth through reduced water *quantity*, however, it may only pursue interventions that augment downstream flows and overlook the health effects of water contamination.

In such cases, the team will want to consider whether small adjustments to the proposed interventions have the potential to ameliorate other negative outcomes and impacts emerging from the priority LTPR issues that are not necessarily directly linked to achievement of the Development Objectives. The mission may also want to consider whether it is in its interest to leverage support from government or other donors to undertake these interventions themselves or in concert with the mission. Hence, the team will want to add these to its intervention inventory under “Ancillary Interventions” and indicate their likely scope and duration so the mission can assess their relative benefits to costs.

Finally, the team should consider any **unintended outcomes and impacts** that could arise from each of the **proposed interventions**—and the need for any additional interventions to mitigate (potentially) negative outcomes. An example of this could be an intervention to formalize pastoral rights that would assign herders to a large area of enclosed pasture land. While this may result in achieving the LTPR objective of diminishing conflicts between pastoralists and farmers, the longer-term effects on the rangeland ecosystem and pastoral livelihoods could be damaging. Potential unintended consequences of the interventions should be noted in the intervention inventory (see Figure 10 below). This is also a perfect juncture for the team to consider any other potential harmful or exclusionary impacts of proposed interventions on women and other vulnerable groups that may not have been considered.

**FIGURE 10. SAMPLE INTERVENTION INVENTORY, WITH UNINTENDED CONSEQUENCES CONSIDERED**

LTPR ISSUE: UNSUSTAINABLE NRM AND BIODIVERSITY LOSS				CORRESPONDING LTPR OBJECTIVE: SUSTAINABLE NRM AND IMPROVED BIODIVERSITY	
LTPR INTERVENTIONS					
	Intervention	Scope	Duration	Gender Considerations	Unintended Consequences
1					
2					
LTPR ISSUE CAUSAL FACTORS					
	Intervention	Scope	Duration	Gender Considerations	Unintended Consequences
1					
2					
HINDRANCES TO IOs AND DOs					
	Intervention	Scope	Duration	Gender Considerations	Unintended Consequences
1					
2					
ANCILLARY INTERVENTIONS					
	Intervention	Scope	Duration	Gender Considerations	Unintended Consequences
1					
2					

## 5.5 STEP 5: IDENTIFY ENABLING CONDITIONS AND CORRESPONDING ENABLING INTERVENTIONS

Broadly speaking, *enabling conditions* are conditions that either must be in place before an intervention is launched or whose existence would greatly facilitate implementation of that intervention. These may include political, economic, or environmental factors; capacity availability or constraints; laws and customs; etc. The team should also ask: is the LTPR issue to be addressed by the intervention a government priority? Is the government likely to support the mission's actions, ignore them, or possibly even try to sabotage them? Are there other donors and donor programs that might either complement or collide with proposed interventions or influence the chain of expected outcomes? Who are the different stakeholders and what incentives/disincentives might they have to support the intervention? Could achievement of these interventions be hindered or undermined if these incentives/disincentives are not addressed?

In some cases, the enabling condition is a prerequisite to undertaking a particular LTPR intervention, while in other cases the enabling condition is likely to make it easier to implement the LTPR intervention successfully but is not an absolute prerequisite. For example, if dispute resolution bodies (including courts) are very weak, a program that seeks to resolve land disputes using local dispute resolution bodies would fail if these bodies were not strengthened. Sound dispute resolution bodies could be said to be a *necessary* enabling condition for this LTPR intervention.

Other LTPR interventions could probably be implemented in settings in which dispute resolution bodies are weak, such as public education on land rights. In this case, sound dispute resolution bodies could facilitate the awareness-building process and make it easier for people to defend their rights once they know them, but

they are not necessarily essential to engendering citizen knowledge of their rights. Rather, they are a *preferred* enabling condition.

*Enabling interventions* are measures that could be undertaken to create and strengthen enabling conditions. Often, it will be necessary to undertake enabling interventions to establish the conditions required to ensure successful LTPR interventions. For example, interventions designed to create an environment conducive for resolving land disputes may be preceded by interventions to create or strengthen local courts.

In other cases, implementation of enabling interventions can coincide with that of LTPR intervention. An example of this is a public education campaign on land and forestry rights, which accompanies training of local forest guards on a new forestry policy to ensure its implementation. The public education campaign alone will not contribute to effective implementation of the forest policy, but citizen awareness of their rights and responsibilities is likely to improve compliance with the new policy and improve the effectiveness of the forest guards in enforcing the law. Common enabling interventions that may support LTPR interventions, directly or indirectly, are listed below.

#### **COMMON ENABLING INTERVENTIONS**

- |   |   |
|---|---|
| • Restoration of safety and security  | • Strengthening rule of law and addressing corruption                     |
| • Institutional capacity building   | • Legislative development   |
| • Creating transparent administrative processes and rules that afford due process | • Law enforcement mechanisms  |
| • Establishing court systems and informed and impartial judiciary                 | • Identification and inclusion of vulnerable groups                       |
| • Public education and legal literacy   | • Control of unbridled resource exploitation                              |
| • Legal aid   | • Understanding customary law and how it functions for both men and women |
| • Establishing/strengthening alternative dispute resolution systems               | • Public consultations to inform land law development                     |

At this stage, the team should analyze the various enabling conditions that are either necessary for the potential LTPR interventions to succeed or that would make success more likely by asking:

- Will the current conditions enable LTPR interventions to achieve their objectives?
- Are there any ongoing interventions helping to establish these conditions?
- If not, what enabling interventions would allow these conditions to emerge?

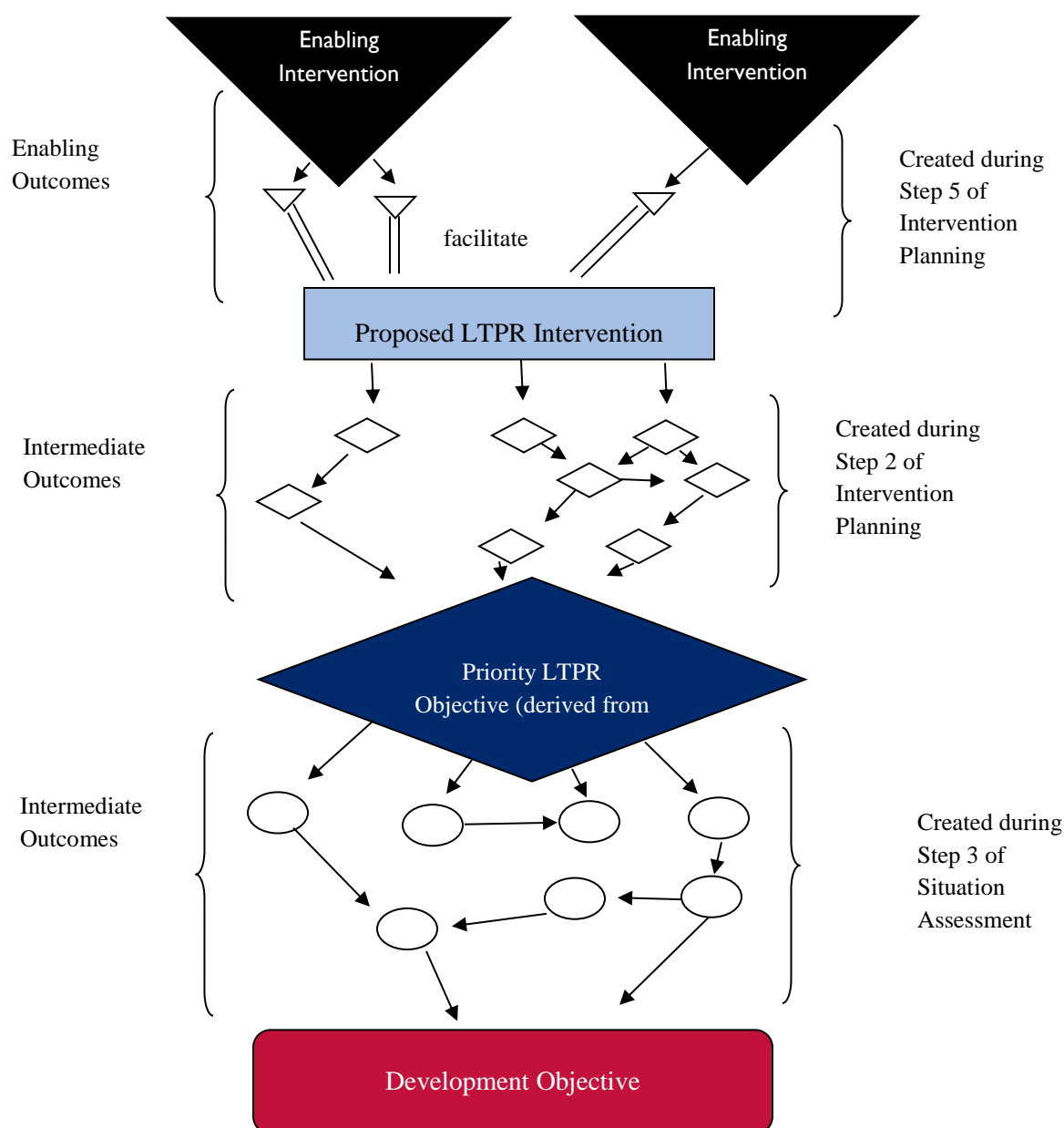
The team should conduct this analysis for each LTPR intervention identified in the intervention inventory and note it alongside the intervention (see Figure 11 on the following page).

**FIGURE 11. EXAMPLE OF INTERVENTION PLANNING INVENTORY WITH ENABLING CONDITIONS AND INTERVENTIONS**

LTPR ISSUE: UNSUSTAINABLE NRM AND BIODIVERSITY LOSS					CORRESPONDING LTPR OBJECTIVE: SUSTAINABLE NRM AND IMPROVED BIODIVERSITY				
LTPR INTERVENTIONS									
	Intervention	Scope	Duration	Gender Considerations	Unintended Consequences	Enabling Conditions	Enabling Interventions		
1									
2									
LTPR ISSUE CAUSAL FACTORS									
	Intervention	Scope	Duration	Gender Considerations	Unintended Consequences	Enabling Conditions	Enabling Interventions		
1									
2									
HINDRANCES TO IOs AND DOs									
	Intervention	Scope	Duration	Gender Considerations	Unintended Consequences	Enabling Conditions	Enabling Interventions	Scope	Duration
1									
2									
ANCILLARY INTERVENTIONS									
	Intervention	Scope	Duration	Gender Considerations					
1									
2									

The team should also expand the conceptual maps to include all necessary enabling conditions and how these feed into creating the expected outcomes and objectives already presented in the maps. Figure 12 provides an example. If the team determines that some enabling conditions would be desirable, but are not absolutely necessary for the LTPR intervention to succeed, they can include these conditions in the conceptual map, but should clearly identify them as useful but not necessary. Finally, the team should consider the possible scope, duration, women/OVG implications and possible unintended consequences of the proposed enabling interventions, and make note of them in the intervention inventory.

**FIGURE 12. CONCEPTUAL MAP DEPICTING ENABLING INTERVENTIONS AND CONDITIONS CREATED BY THEM**



During the intervention identification process undertaken in Steps 1-5, the team leader should keep in mind the various LTPR specializations of the team members in order to hold in check the tendency of a team member who possesses particular expertise to focus on interventions directly related to that expertise to the exclusion of other, perhaps more appropriate, interventions. The team leader should ensure the team attends to interventions that contribute to increased opportunities for women and vulnerable populations.

## 5.6 STEP 6: SEQUENCE INTERVENTIONS

The success of any intervention depends on the right conditions being in place to nurture the delivery of their intended outcomes. Likewise, interventions themselves produce outcomes, and often these outcomes are necessary for other interventions to successfully take hold. In many cases, multiple interventions should be undertaken simultaneously to create desired outcomes. *Sequencing* is the process of ordering interventions to ensure the necessary conditions are in place for interventions to succeed and to augment their reinforcement potential. Good sequencing decisions can help avoid poor results, limited achievement of program objectives, wasted resources, or at worst, negative unintended consequences.

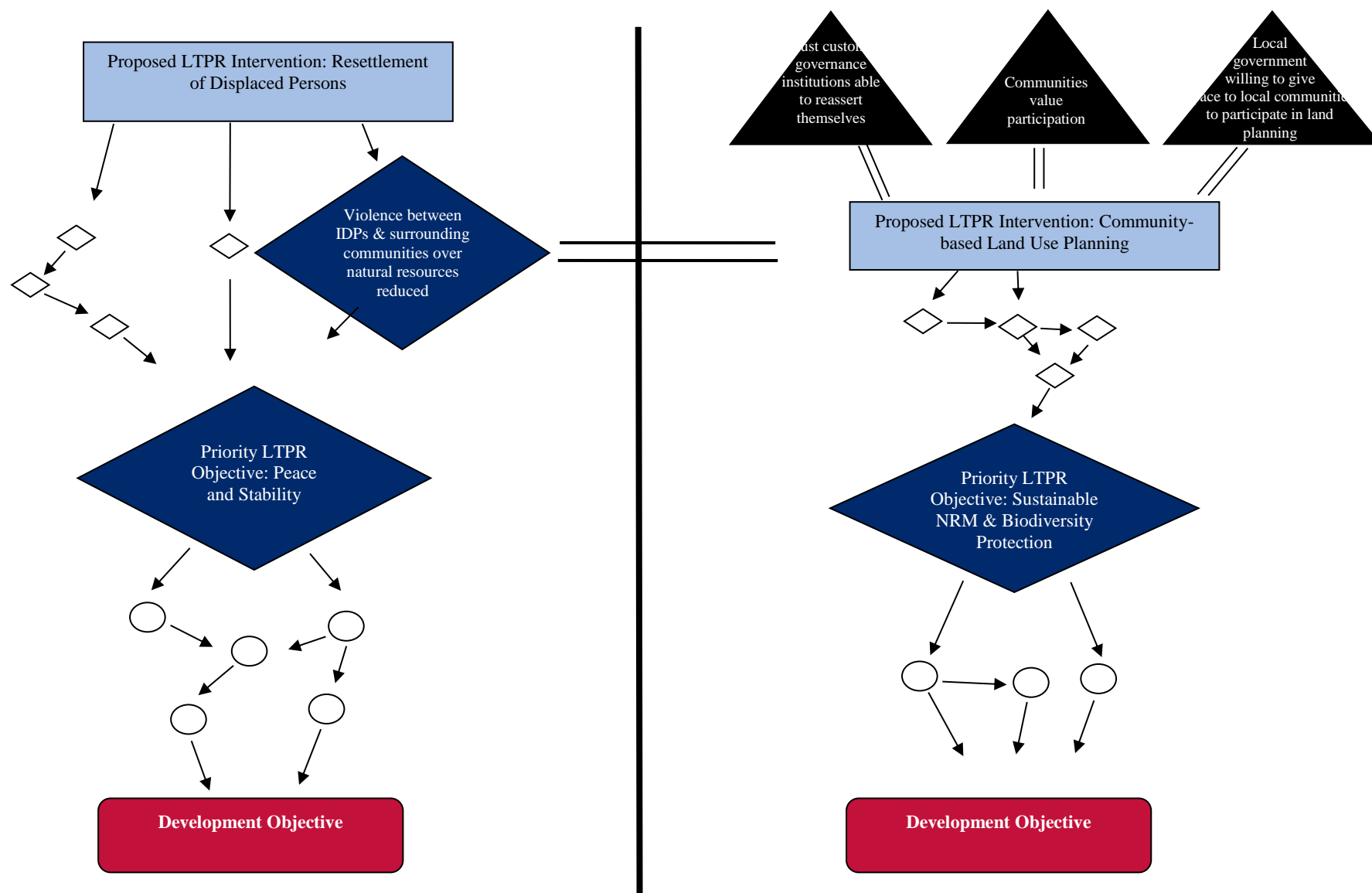
**The sequencing process.** The conceptual maps and intervention inventories undertaken thus far are critical to effective sequencing. These will help the team: 1) understand what enabling conditions need to be in place prior to undertaking a particular intervention, 2) visualize the relationships between interventions and outcomes so they can determine whether interventions will create the necessary enabling conditions for new interventions, and 3) assess at what stage a particular outcome can be expected to emerge to time interventions appropriately.

Team members should assemble their conceptual maps for each intervention and the series of predicted outcomes that flow from each of those interventions. On each of these, enabling interventions will be depicted as preceding LTPR interventions.

In general, the best sequencing models will have enabling interventions preceding the interventions for which they are designed to create enabling conditions. The correspondence is shown in the Intervention Inventories. In terms of deciding on the timing of the LTPR Intervention though, the team will need to consider when the corresponding enabling interventions will generate the outcomes necessary for the LTPR Intervention to succeed. This could be at the end of the project, but, depending on the nature of the outcomes, it could also very well be a year or so after project inception, or even well after the project intervention has concluded. For example, a change in people's awareness may only take a year. Establishment of a well-functioning institution may take three years, while changes in people's values and behaviors may require that systems established by an intervention be in place several years to reinforce those changes.

The next step is more complex; it involves looking across the different conceptual maps at the anticipated outcomes yielded by the different proposed LTPR interventions and identifying where those outcomes create important enabling conditions for other LTPR interventions. For example, Figure 13 demonstrates how an LTPR intervention that seeks to resettle displaced persons housed in camps is anticipated to dissipate violence between IDPs and communities surrounding the camps over use of land and natural resources. The reduction of competing claims over land and natural resources is also expected to create space for customary governance institutions to reassert themselves and be more effective. Both may be considered critical enabling conditions for other LTPR interventions such as community-based land use planning and community land titling—contributing to LTPR objectives of sustainable natural resource management and land and natural resource tenure security.

**FIGURE 13. EXAMPLE OF USE OF CONCEPTUAL MAPS TO FACILITATE INTERVENTION SEQUENCING**



In all cases, the teams will want to consider timing and when a particular LTPR intervention can be expected to create the necessary or preferred conditions for undertaking a subsequent intervention. In the example above, the team would need to consider whether the conditions are right for IDPs to return or, if that is not a viable option, if there is land to enable them to resettle elsewhere. They would need to estimate how long it might take to resettle the IDPs and anticipate that the process will likely hit stumbling blocks along the way. The team would also want to consider whether all or the majority of the IDPs would have to return to create the conditions necessary for successful local land use planning and community land titling, and how these interventions could account for the presence of these conditions.

The team should also examine the conceptual maps to determine where application of two or more LTPR interventions together would better ensure achievement of a particular LTPR objective or Strategic Objective. For example, a LTPR intervention to train and support a network of community paralegals to help women claim and defend their land rights might be more effective if simultaneously accompanied by efforts to address gender biases in local dispute resolution institutions and to reduce cost barriers to accessing the formal judicial system. If women do not have access to justice, the effectiveness of community paralegals is much more limited.

In the case of implementing LTPR interventions together, it is not always the case that they have to or should be implemented simultaneously. In some cases, it might make sense to undertake them in a staggered fashion. An example could be a land administration project that starts with developing a preliminary set of principles and guidelines to follow and pilot these in a limited set of areas to assess how well they function and their costs. Before adjudication and certification processes are undertaken, mediation bodies are formed and trained to facilitate the adjudication process.

In the process of making decisions about the proper ordering and combining of interventions, the team should document its logic by developing an **intervention sequencing plan**. This involves recording:

1. The intervention and the LTPR objective and Strategic Objective it seeks to address;
2. The necessary enabling conditions for the intervention to be successful, and whether these are met or not—and if they are not met, the plan should reference a prior intervention designed to achieve that condition;
3. The scope of the intervention, or a general description of what the intervention involves;
4. The timing of the intervention, or when the intervention would be launched;
5. The duration of the intervention, or how long it will need to be in place to achieve its desired outcomes; and
6. The outcomes anticipated from that intervention. These outcomes should reference any interventions for which they will provide enabling conditions.

This can be done by using the following chart (Table 3). The team should also include interventions that can reasonably be expected to be implemented by other donors and the government since these too can contribute to the necessary enabling conditions for mission-supported LTPR interventions.



**TABLE 3. INTERVENTION SEQUENCING PLAN**

Intervention	LTPR Objective	Strategic Objective	Necessary Conditions (Int #)	Scope	Timing	Duration	Anticipated Outcomes (Int #)
1.							
2.							
3.							
4.							

The team can verify the validity of its intervention sequencing by ensuring:

1. The intervention reference numbers tagged to Necessary Conditions refers to an intervention that will have already been achieved or underway (and therefore located prior on the list);
2. The intervention reference numbers tagged to the Anticipated Outcomes refer to an intervention lower down on the list, and these Anticipated Outcomes will create the Necessary Conditions so that other interventions can be feasibly achieved before those other interventions are initiated; and
3. The Timing of each intervention is sequential (although some interventions may be initiated simultaneously).

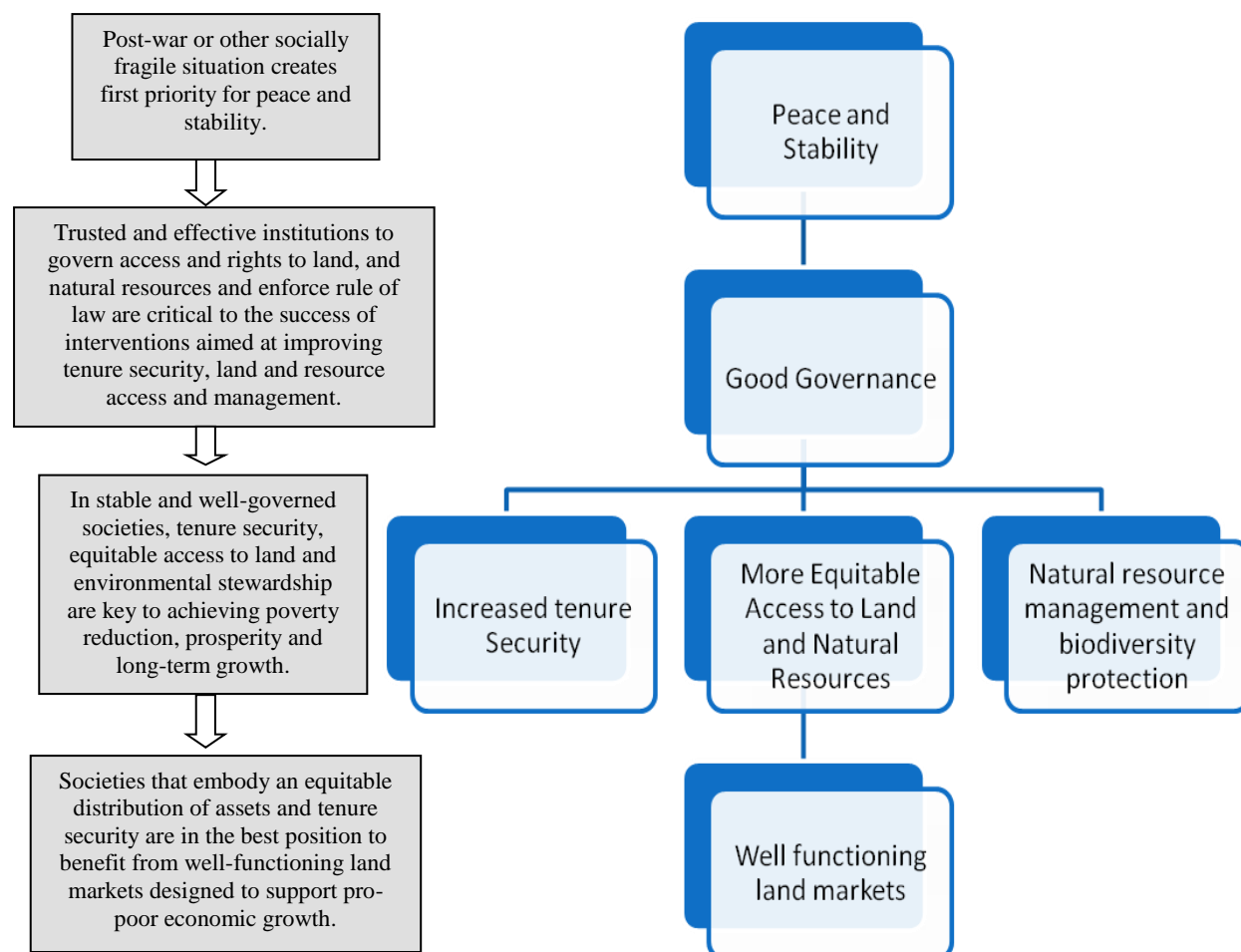
**Sequencing lessons.** While every sequencing exercise will be unique depending on the LTPR issues uncovered during the Situation Assessment and the particular LTPR and Development Objectives of the mission, experience and lessons learned from implementing LTPR projects has nevertheless yielded several important sequencing lessons. Among these are:

1. **Peace and stability.** If social harmony is not assured to some minimum degree, it may be very difficult and perhaps impossible to advance any of the other seven LTPR objectives, at least with respect to the population impacted by the conflict. If the impacts of the conflict are limited to a portion of the country's population, it may be possible to consider working on other LTPR objectives in other parts of the country. Whether this is feasible will depend upon a number of enabling conditions.
2. **Good governance.** Like peace and stability, a certain degree of good governance is usually necessary for achievement of other LTPR objectives, like "increased tenure security," "sustainable natural resource management/protection of biodiversity," "more equitable access to land and natural resources," and "gender equality"—especially if these objectives are to be realized by those who are poor or otherwise vulnerable. Good governance helps ensure the least privileged have access and secure rights over land and natural resources, and equal and affordable access to enforcement mechanisms, redress, and justice. Good governance upholds fair distribution of the rights to exploit and benefit from natural resources and protects those rights for future generations. By contrast, weak governance is often self-serving, short-sighted, and vulnerable to elite capture.
3. **Well-functioning land markets.** In general, the LTPR objective "well functioning land market" should be tackled after there has been sufficient progress in addressing "sustainable natural resource management/protection of biodiversity," "increased tenure security," and "more equitable access to land and natural resources." This is because if the rights of certain groups to land are not recognized by the state, efforts to create or stimulate land markets could heighten their tenure insecurity and disenfranchise them further. To the extent that large segments of the population do not have access to land or otherwise lack wealth-creating assets, they will be in a poor position to participate in land markets and may even be made more vulnerable by them. Finally, to the extent that natural resource management and biodiversity

protection have not been addressed, the trading of ecologically sensitive lands (forests, wetlands, etc.) may place additional environmental stress on such resources.

Figure 14 below presents an “enabling environment” model that illustrates these three sequencing lessons.

**FIGURE 14. “ENABLING ENVIRONMENT” MODEL FOR PRIORITIZING REALIZATION OF LTPR OBJECTIVES TO ACHIEVE PRO-POOR ECONOMIC GROWTH**



While this “enabling environment” model may apply in many settings, every context is unique. Peace and security would seem to be a fundamental condition for embarking on land reforms or strengthening rule of law, but inequitable land distribution or weak governance may be one of the critical factors fueling conflict in the first place. These questions do not lend themselves to ready answers. Rather, in searching for the best approach, the team will need to draw heavily on the LTPR issues uncovered in the Situation Assessment, their root causes and outcomes, and the conceptual maps developed in response to all three.

In doing so, the team may find it useful to develop their own “enabling environment” theory that depicts what LTPR objectives should be met in which order to achieve larger Development Objectives. Creating an “enabling environment” model can help the team validate its sequencing of LTPR interventions by testing how they feed into the sequencing of LTPR objectives. It can also provide an easy to understand depiction of

the team's rationale for the design and sequencing of interventions and be a useful tool for soliciting the mission's feedback.

## 5.7 STEP 7: PREPARE A PROGRAM DESIGN REPORT AND BUDGET

Decisions about which LTPR interventions and enabling interventions the USAID mission can realistically consider must take into account mission resources and programming periods. Many LTPR reform timelines, when looking at a sequential series of enabling interventions and LTPR interventions, can range from 10 to 20, or even to 50 years. Other intervention timelines could be shorter. The duration necessary to realize the LTPR objectives and contribute to Development Objectives will depend upon the anticipated time for each outcome to unfold in the chain that links the LTPR interventions with these objectives. In reality, USAID missions will generally be operating on shorter timelines driven by planning periods of three to five years. That said, longer-term goals and interventions can still be included within the team's sequencing assessment when it is anticipated that subsequent planning cycles will continue and build on interventions and/or that the mission can reasonably expect that shorter-term interventions will achieve their objectives after the intervention has concluded.

Using information supplied by the USAID mission regarding available resources (or that may become available) to fund LTPR interventions and enabling interventions, as well as information regarding the USAID program cycle, the team should review the intervention sequencing plan prepared in Step 6 and estimate the cost of their implementation. This should be used to determine which of these interventions are feasible given the mission's planning parameters. The team should take care to select interventions where the necessary enabling conditions are in place or a series of interventions that creates those enabling conditions. They should also consider whether any of the proposed interventions could be supported by other donors or the government. The team may conclude that only a subset of the proposed interventions are feasible given the available resources, but that others may become possible as new resources become available.

Once the team limits the set of potential LTPR and enabling interventions to what is optimal given constraints, the team should refine the intervention sequencing plan and estimate the full cost of the program. The plan should then be embedded in a **preliminary Program Design Report** that describes:

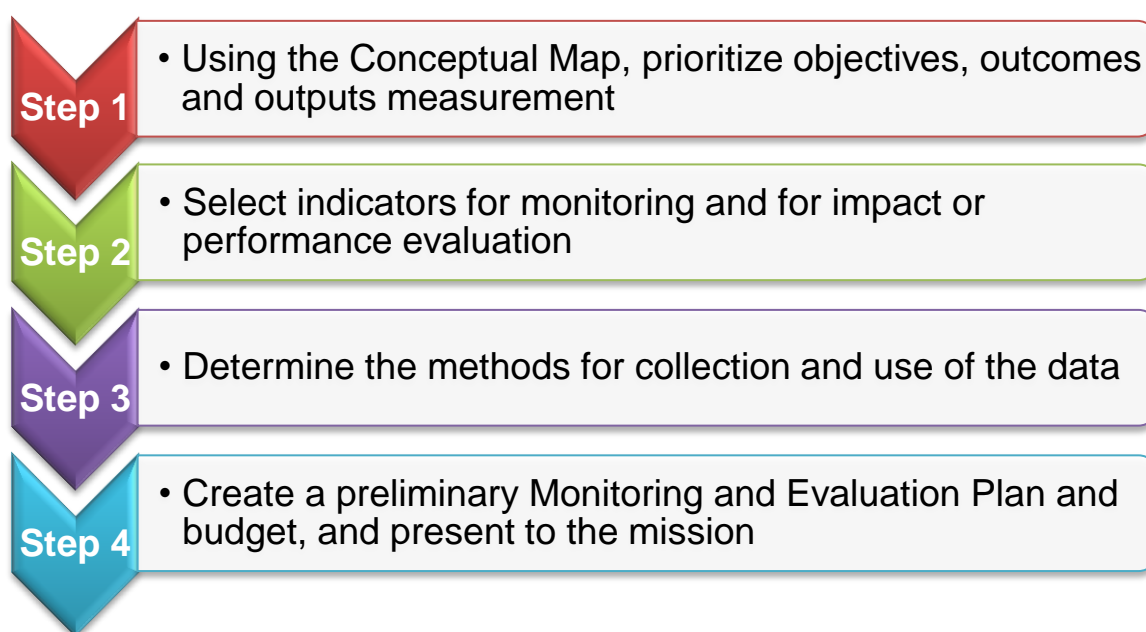
1. The **purpose** of the Intervention Planning exercise, the methodology applied and the team;
2. The mission's **Development Objectives** and priority **LTPR objectives**, and how these relate as depicted in the base conceptual map originally developed during the Situation Assessment phase;
3. A summary of the **LTPR issues** uncovered during the Situation Assessment, as well as forces contributing to those issues and factors that contributing to realization of the Development Objectives and Intermediate Outcomes in the base conceptual map;
4. How the **LTPR objectives** seek to remedy key LTPR issues uncovered during the Situation Assessment;
5. The **LTPR interventions** selected to address the LTPR issues and causal forces described in Step 3, and the enabling interventions selected to create the conditions for the LTPR interventions to succeed—illustrated by **conceptual maps** for each proposed LTPR intervention so as to demonstrate its relationship to achieving the LTPR objectives and Development Objectives;
6. The **proposed sequencing** of those interventions in the form of the original intervention sequencing plan and the rationale for that sequencing;

7. The **revised intervention sequencing plan** that reflects the mission's budgetary resources and programming cycle, including proposed future interventions and interventions that might be contributed by government and other donors;
8. The **scope, timing, and duration** of the interventions described in the plan;
9. The **proposed outputs and deliverables**; and
10. Estimated **budget** and underlying assumptions.

The team should then present the preliminary program design to the mission to solicit feedback. It is likely that the mission will want to propose changes. The team should be open to these, while also advising the mission when those proposals could undermine the necessary enabling conditions to ensure intervention success. Revisions should be incorporated into the Program Design report before the team moves on to the next and final phase: Monitoring and Evaluation.

# 6.0 MONITORING AND EVALUATION

The **Monitoring and Evaluation (M&E) Plan** will enable the mission to track implementation progress, institute mid-course corrections, evaluate the overall performance of the interventions, and eventually assess their impact on mission Development Objectives at a point in time when the interventions can reasonably be expected to affect these objectives. The M&E planning process consists of four steps:



## 6.1 STEP 1: USING THE CONCEPTUAL MAP, PRIORITIZE OBJECTIVES, OUTCOMES, AND OUTPUTS MEASUREMENT

The process begins with identifying which changes the mission will want to assess over time. Typically, this will include the LTPR and Development Objectives that the LTPR interventions are designed to achieve. However, the mission may also want to track intermediate outcomes as well to understand whether their assumptions about how the different chains of outcomes leading up to the objectives would unfold. Using the conceptual map from Figure 13 above, the mission is seeking to achieve improved peace and stability through an intervention of resettling displaced persons. The mission expects that one way this will occur is through a reduction in conflicts between IDPs and indigenous communities over natural resources—an expected intermediate outcome. The team may therefore recommend that the mission assess progress on this intermediate outcome. Likewise, the mission may wish to assess intermediate outcomes lying between LTPR

objectives and Development Objectives, such as whether increased peace and stability attracts investments that in turn lead to economic growth.

Assessing intermediate outcomes enables the mission to judge whether its conceptual map—or theory about how change would unfold toward achieving its objectives—is borne out in reality. A conceptual map contains many elements of the USAID Results Framework, but is often more nuanced and detailed. Monitoring these

outcomes provides the mission an opportunity to revise how interventions are being carried out or even to change intervention strategies entirely before the project runs its course and major investments are made. This includes not only the LTPR interventions, but also complementary interventions designed to facilitate different outcomes and objectives, and enabling interventions designed to create an environment more conducive to LTPR interventions. Since there will be many intermediate outcomes, the team will want to be selective so that monitoring does not become too much of a burden. Initially, the team may want to choose one or two outcomes per “causal chain” that link interventions and LTPR objectives and that link LTPR objectives and Development Objectives. Further winnowing will be done in the subsequent step.

Finally, the mission should also undertake measurement of outputs, which are typically produced by the interventions. Examples are titles

issued, draft legislation prepared, training workshops held, etc. These will typically be items the mission and project staff will have most control over. If targeted outputs are not being achieved or are falling far short of expectations either in terms of quantity or quality, the source of the problems lies at the project level and should be relatively easy to address. In general, all project outputs should be assessed.

The team should list the objectives, outcomes, and outputs targeted for assessment. Figure 15 provides a sample form that can be used to prepare this list.

## 6.2 STEP 2: SELECT INDICATORS FOR MONITORING AND FOR IMPACT OR PERFORMANCE EVALUATION

**Indicators** act as road signs that tell us if we are at or are headed toward where we want to be. The outcomes we care about are typically multidimensional. While they are real reflections of goals, they are often too multifarious to capture change adequately or efficiently. For example, we may care about improving the well-being of persons who lack the resources to live above a standard we consider “decent.” However, the outcome *well-being* has many components, as do the resources that contribute to a decent life, and is imprecise. Although we may fail to account for some of the people whose lives we may want to help improve, assigning an indicator such as the number or percent of persons surviving on less than \$2 per day to capture

FIGURE 15. MONITORING AND EVALUATION PLANNING	
<u>Objectives</u>	
1.	
2.	
3.	
etc.	
<u>Intermediate Outcomes</u>	
1.	
2.	
3.	
4.	
etc.	
<u>Outputs</u>	
1.	
2.	
3.	
etc.	

insufficient well-being allows for less costly and more precise gathering of data to form indicators of the outcomes we care about. The more simple and specific an indicator, the easier it will be to collect information on it and assess change.

Using the list of objectives, intermediate outcomes, and outputs created in Step 1, the team should brainstorm multiple indicators for each outcome. Selected indicators should accurately capture the essence of an outcome, yet be as simple and precise as possible. For example, *tenure security* is sometimes measured according to whether a household possesses an individual title to their land, but what the mission might really care about is whether the household harbors fear of dispossession that would lead them to under-invest in their land. Although using *title possession* as an indicator is likely to enable the team to rely on actual statistics on title issuance, it does not precisely capture people's feelings of tenure security. A better indicator might be people's perception of the probability that they will be evicted or otherwise lose their land.

Table 4 illustrates the seven issues from the LTPR Matrix and provides a set of possible indicators for illustrative purposes.

**TABLE 4. EXAMPLES OF INDICATORS LINKED TO LTPR OUTCOMES**

LTPR Issue/Outcome	Examples of possible indicators
<b>Conflict/stability</b>	<ul style="list-style-type: none"> <li>• Number of land/resource disputes registered/filed</li> <li>• Perceptions of increase/decrease in number/frequency of land or natural resource disputes</li> <li>• Incidence of outbreaks of violence over natural resources</li> <li>• Number of persons killed/injured in violent conflict over natural resources per month</li> <li>• Ratio of displaced to settled/resettled persons</li> </ul>
<b>Weak/strong governance</b>	<ul style="list-style-type: none"> <li>• Percent of professional positions in land administration institutions occupied by individuals with relevant education and training</li> <li>• Prevalence of bribery by institutions administering or enforcing land rights</li> <li>• Incidence of illegal or irregular grants of land by the state</li> <li>• Percent of expropriations by government that evaded due process or did not provide compensation</li> <li>• Incidence of customary authorities facilitating arbitrary land acquisitions</li> <li>• Length of processing time for formal land transactions</li> <li>• Number of new courts opened in rural and urban areas</li> <li>• Number of improvements in laws and regulations affecting property rights of the urban and rural poor</li> </ul>
<b>(In)secure tenure</b>	<ul style="list-style-type: none"> <li>• Rate of evictions or destruction of informal settlements</li> <li>• Number of landholders perceiving a high probability of dispossession from their land, disaggregated by wealth, gender, ethnicity, etc.</li> <li>• Ability of landholder to exclude other claimants from one's land or natural resources</li> <li>• Number of actions by the state to confiscate land per year/by district/etc.</li> <li>• Percent of citizens within key population categories aware of legal rights associated with LTPR</li> <li>• Percentage of people perceiving tenure security, disaggregated by gender, wealth, ethnicity and age</li> </ul>
<b>(In)equitable access to land and natural resources</b>	<ul style="list-style-type: none"> <li>• Percent of women with independent or joint rights to land or natural resources on par with their male counterparts</li> <li>• Gini coefficients of landholding sizes according to wealth/income categories</li> <li>• Incidence of landlessness, disaggregated by wealth, gender, ethnicity, etc.</li> </ul>
<b>Poor/robust land market performance</b>	<ul style="list-style-type: none"> <li>• Percent of male-headed households engaged in land sale or rental markets</li> <li>• Percent of female-headed households engaged in land sale or rental markets</li> <li>• Amount of land purchased, sold, rented in, and rented out by male-headed households</li> <li>• Amount of land purchased, sold, rented in, and rented out by female-headed households</li> <li>• Frequency of land being committed as collateral to obtain credit by male-headed households</li> </ul>

LTPR Issue/Outcome	Examples of possible indicators
	<ul style="list-style-type: none"> <li>Frequency of land being committed as collateral to obtain credit by female-headed households</li> <li>Availability of reliable and accessible information on land assets available for sale, lease, etc.</li> </ul>
(Un)sustainable NRM	<ul style="list-style-type: none"> <li>Percent increase in economic benefits derived by men from sustainable natural resource management and conservation</li> <li>Percent increase in economic benefits derived by women from sustainable natural resource management and conservation</li> <li>Rate of deforestation (by year/district/etc.)</li> <li>Rate of harvesting of natural resources as compared to regrowth rate</li> </ul>
Crosscutting: Women and Vulnerable Groups	<ul style="list-style-type: none"> <li>Parity of women's rights to inherit or administer land with men's rights</li> <li>Frequency of daughter or widow inheritance of land</li> <li>Percentage of national areas controlled by pastoralists or indigenous peoples</li> <li>Rate of eviction of HIV/AIDS victims or their family members</li> <li>Percentage of landlessness among returning IDPs</li> <li>Percentage of women/vulnerable groups accessing land through markets</li> <li>Percentage of women/vulnerable group perceiving tenure security</li> <li>Participation of women in decision-making bodies on land/resource tenure issues</li> </ul>

When it comes to selecting indicators, many evaluation specialists recommend a formula called **“SMART”**. That is, indicators tend to be most effective when they are **S**pecific, **M**easurable, **A**ttainable, **R**esult-oriented and **T**ime-bound. The box below explains what these mean.

#### SELECTING “SMART” INDICATORS

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

While this is a highly useful guide for judging the quality of an indicator, few indicators will conform to all these criteria and inevitably selection will involve tradeoffs.

Deciding how the indicators will be used can help the team better weigh these tradeoffs and select appropriately. The mission may prefer to **monitor** certain outcomes at periodic intervals over the course of intervention implementation. Other indicators may be reserved for **assessing the overall impact** of the intervention(s) at the close of the project/intervention, ideally with

guidance from the **LTPR Impact Evaluation Tool**. If one thinks of interventions like surgeries, monitoring is akin to routine post-op checkups to ensure nothing is going awry, while impact evaluations are more like thorough examinations to investigate whether the surgery yielded the systemic changes intended. In general, data on monitoring indicators should be fairly inexpensive to collect at regular intervals and will include outputs, a select number of intermediate outcomes, and the LTPR objectives. Data collection for monitoring may also need to be confined to a smaller sample of the target population or area of intervention to keep costs within reason. Emphasis will therefore be on collecting information that is attainable and time-bound without abandoning the other three criteria.

When it comes to collecting data to assess impacts, however, more rigorous indicators and methods may be required. This is because evaluators will typically want to use indicators that closely reflect the intended outcome and assess impacts over a representative segment of the target population or area. Significant emphasis will be focused on selecting indicators that are specific. A baseline assessment is required to



evaluate the initial pre-project value of indicators that will be used as the benchmark against which impacts are assessed. Table 6 can be used to assess appropriate indicators according to their intended use.

**TABLE 6. GUIDELINES FOR SELECTING INDICATORS FOR MONITORING AND IMPACT EVALUATION**

	<b>Types of Outcomes</b>	<b>Indicators</b>	<b>Methods</b>	<b>Objective</b>
<b>Monitoring Indicators</b>	Outputs, select intermediate outcomes, LTPR objective	Simple and easy to collect, often readily observable or measurable. Strong consideration of indicators that are <b>Attainable</b> and <b>Time-bound</b>	Low-cost; smaller sample populations or areas; use of data collected by others if available	Ensure interventions are on track in achieving expected outcomes without imposing a major cost burden on the project
<b>Impact Evaluation Indicators</b>	LTPR objectives, Development Objectives	Robust proxies of the sought objective/outcome. Strong consideration of indicators that are <b>Specific</b>	Higher costs to enable greater accuracy; larger populations or areas; more primary data collection	Assess with rigor and accuracy the impacts of the intervention(s) on meeting LTPR and Development Objectives

Differentiating indicators as such does *not* mean that outcomes assessed for both monitoring *and* impact evaluation should necessarily be assigned different indicators. Doing so could result in duplication of efforts and sacrificing a uniform basis for tracking change.

#### QUANTITATIVE OR QUALITATIVE INDICATORS?

While debate persists on the relative virtues of quantitative versus qualitative indicators, most evaluators agree that a balance of both is often optimal. Quantitative indicators have the advantage of often being more easily observable and “objective,” such as the number of titles issued. Qualitative indicators, on the other hand, may be better equipped to capture the nature of the outcome it is intended to measure. Some qualitative indicators can be made quantitative to facilitate more rigorous statistical analysis. For the example above of measuring tenure security, assessing people’s perceptions about the likelihood of dispossession from their land is a good qualitative indicator that can be made quantitative by asking respondents to answer using a Lickert scale (e.g. by ranking the most probable answers on a scale of 1 to 5).

When it comes to deciding on the number of indicators that the mission will monitor or assess, there is no easily prescribed formula. Much will depend on the value assigned to assessment and the mission’s budget to accommodate it. A general rule of thumb, though, is to select one to two “best” indicators for each of the outcomes and objectives prioritized in Step 1. If this results in a collection of indicators that is too large for the mission to assess regularly, options include: 1) reducing the number of indicators to one per prioritized outcome, 2) reducing the number of prioritized outcomes, or 3) opting for indicators that involve lower costs of data collection (even if the overall quality or specificity of the indicator is sacrificed). Reducing the number of indicators involves working with the mission to determine what they really need to know to determine whether the project is succeeding or not.

Figure 16 offers a format for recording selected indicators and their uses.

**FIGURE 16. FORMAT FOR RECORDING INDICATORS AND THEIR USES**

<u>Objectives</u>	<u>Corresponding Indicator(s)</u>	<u>Monitoring/Impact Indicator</u>
1.		
2.		
etc.		
<u>Intermediate Outcomes</u>		
1.		
2.		
3.		
etc.		
<u>Outputs</u>		
1.		
2.		
3.		
etc.		

### 6.3 STEP 3: DETERMINE THE METHODS FOR COLLECTION AND USE OF THE DATA

At this juncture, the team is ready to consider how collection of data on the selected indicators will be completed. During the prior step, decisions were made as to which indicators would be monitored on an ongoing basis during the life of the intervention(s), and which would only be used to assess the impact of the interventions. For indicators that are monitored, data will need to be collected during the baseline assessment, at regular intervals during implementation of the intervention, and at the conclusion of the intervention (see Table 7). For indicators assigned to impact evaluation, data on these will be gathered for the baseline and at a time following project conclusion when longer-term impacts can reasonably be expected to occur. An intervention designed to improve the capacity of land administration officials to demarcate indigenous territories may have a Strategic Objective of improving biodiversity. However, slowing rates of biodiversity loss—let alone improvements in biodiversity numbers—is likely to take time to manifest and will not occur until more territories are demarcated and indigenous groups and encroachers feel reasonably assured that the boundaries will be respected and enforced.

**TABLE 7. TIMING OF DATA COLLECTION FOR INDICATORS FOR MONITORING AND IMPACT EVALUATION**

	<b>Baseline assessment</b>	<b>Monitoring during project implementation</b>	<b>End-of-project evaluation</b>
<b>Monitoring indicators</b>	X	X	X
<b>Impact evaluation indicators</b>	X		

### 6.3.1 BASELINE ASSESSMENTS

Baseline assessments seek to capture the state of the selected indicators prior to initiation of project interventions, so they can later be compared with data during intervention implementation, at project end, and/or well after the conclusion of an intervention(s). Baselines provide an important benchmark to see whether the intervention is effecting change as expected. Baselines are also important for injecting rigor into impact evaluations by providing a reliable reading of the pre-intervention state of different indicators. This is far preferable to asking informants—typically several years later—to recall the pre-project states of those indicators to assess change.

Frequently, baseline assessments involve **surveys** of populations targeted by one or more interventions, especially when projects are seeking to impact people's welfare, behaviors, attitudes, and perceptions. Surveys also take into account the array of factors that may have had an influence on the changes being assessed, including the intervention(s) itself. The intent is to capture the relative influence of the intervention in relation to other factors. Statistical methods, including regression analysis, are typically used to analyze the data collected and assess the extent to which assessed changes in indicators can be attributed to the intervention(s). In addition, if a rigorous impact evaluation of the project/intervention is to be implemented, then baseline data from treatment (beneficiary) and control (non-beneficiary) groups should be collected. The inclusion of a control (or comparison) group similar to the treatment group allows the evaluation team to control for confounding factors that may influence outcomes and thus better assess which observed outcomes are attributable to the intervention being measured.

Depending upon the scale of the intervention, it may not be feasible to apply household survey methods to all beneficiaries targeted by the intervention(s). Rather, representative subsets of beneficiaries to be surveyed are often selected through appropriate sampling methods.

Design of baseline surveys and survey research protocols are typically carried out by someone trained in survey methods. Instruction in these methods is beyond the scope of this tool and implementing them beyond the terms of reference of teams applying this tool. Rather, it is the team's responsibility to suggest whether household surveys are likely to be the best method for the baseline assessment or if other tools may be more appropriate. Consideration should include:

- **Evaluation Design.** If a rigorous impact evaluation with treatment and control groups is to be conducted, then quantitative data from baseline surveys will be required. USAID's Evaluation Policy requires impact evaluations when activity within a project involving untested hypotheses or demonstrating new approaches that are anticipated to be expanded in scale or scope through US Government foreign assistance or other funding sources.
- **Scale of the intervention and its anticipated impacts.** If the scale is large, but the mission is not willing/able to fund the survey of a sufficiently large representative sample, the household survey method may not be suitable.
- **Mission willingness to invest in persons skilled in survey design, administering surveys, and data analysis.** The team should do a rough estimate for what the potential cost might be, where possible drawing on estimates from other survey exercises in the country at a similar scale.
- **Types of indicators to be measured.** As noted, household surveys work well for indicators that measure impacts on human welfare, behavior, and perceptions. However, they may not be an appropriate instrument for assessing changes, for example, in soil fertility, deforestation, or distribution of

landholdings. Instead, soil samples, tree counts, or agricultural census data may prove more useful measurement tools.

### APPLYING SURVEY METHODS WITH ATTENTION TO GENDER

Household surveys should rarely rely exclusively on responses by heads of household, who are predominantly men in the vast majority of societies. Rather, concerted efforts should be invested in ensuring that the survey sample be representative of the study population as a whole. Within-household randomization techniques (such as a Kish Grid) can be used to ensure that the views and experiences of different demographic groups (such as gender and age groups) within the same household are represented.

Moreover, household surveys should be designed to capture whether the respondent is male or female and their relation to the declared household head (e.g., wife/husband, daughter/son, mother/father, mother-in-law, etc.). This will enable disaggregation of data during the analysis phase, which can reveal important differences in intervention impacts on men and women and on different members of the household. Likewise, where certain groups may have particular vulnerabilities (e.g., IDPs, HIV/AIDs victims, pastoralists, etc.), capturing these distinctions permits analysis of differential impacts and whether these groups are potentially marginalized from intervention benefits or even inadvertently harmed by their outcomes.

In surveys focused specifically on female beneficiaries, it can be far easier for female enumerators than male enumerators to secure interviews with women in many societies.

McBurney, Peter (April 1988), "On Transferring Statistical Techniques Across Cultures: The Kish Grid", *Current Anthropology* 29 (2): 323–325

While household surveys are typically considered the ‘gold standard’ for conducting baseline assessments, other methods are also possible and often far less costly. **Rapid appraisal** techniques such as participatory mapping, ranking exercises, seasonal calendars, timelines, etc., can be applied to capture the state of a particular indicator. Short descriptors of these techniques and of their application can be found in Annex D. These methods may yield less rigor compared to household surveys in terms of smaller sample sizes and less control for bias, but they can often provide a richness of information that may not be possible through survey methods. An excellent manual for rapid appraisal methods specific to land and forest tenure is:

Freudenberger, Karen Schoonmaker. 1994. *Tree and Land Tenure Rapid Appraisal Tools*. Rome: Food and Agricultural Organization of the United Nations. <<http://www.fao.org/docrep/t1700e/t1700e00.htm>>.

In deciding whether these methods are appropriate for undertaking a baseline assessment, the team will need to consider whether the selected indicators can be properly captured using them. A participatory mapping exercise, for example, may work well to depict land uses or even relative distribution of landholdings at a community level. A ranking exercise may work to “quantify” how tenure secure people feel in terms of fear of dispossession from their land and duration of their rights. A calendar could illustrate intensity of land-related violence over time and prevalence of trigger factors. If the project spans a large area, though, one would need to undertake these exercises in several communities to capture a representative sample of the communities or area targeted by the project. Cost can also be fairly high in such cases, though likely not as high as employing survey methods. Persons skilled in using these methods will be most effective, but training typically takes only a few days and much of the learning is gained by doing.

When it comes to selecting communities for undertaking rapid appraisals, one will want to be reasonably sure that it will be possible to return at future points in time to assess progress in the case of monitoring indicators

and down the road, longer-term impacts. This calls for up front discussions with communities ahead of time to ensure their agreement.

Perhaps the least costly method for creating a simple baseline is through **interviews** of select individuals and groups. In this case, the team will often be relying on the opinions of trusted “experts” and other specialists to gather information on the state of a particular indicator. Interviewers can also gather baseline information on indicators from communities, including through group interviews with different stakeholder groups. Formats are typically “semi-structured”—that is—questions are asked in such a way as to facilitate a dialogue with the interviewee with open-ended responses, rather than to extract responses that conform to survey choice sets. While this can limit strict comparison of indicator states, interviews can often yield a more robust and nuanced description of the indicator that enhances understanding of the issues, and subsequently, the change process.

When conducting group interviews, often it is useful to interview women and men separately. Women will often be more vocal and frank about their perspectives when they are not in the company of men. Likewise, it can also be useful to interview certain minority or marginalized groups separately if interviewing them among more dominant community members is likely to cause them to recede from the conversation.

In certain cases, it may be possible to populate indicators with **published statistics** or information gathered by another source. Examples include statistics on economic growth, crop yields, property tax revenues, and sometimes poverty and land distribution—whether at national or sub-national levels. Other examples are court records of land disputes, species biodiversity counts, or maps depicting land uses or forest density. In determining whether this is appropriate, teams will want to assess the methods used to gather the information to ensure the measure adequately reflects the indicator or is an acceptable substitute and that measurement is carried out in a way that produces a reliable measure. The scale of the information will also be important. A national level GDP per capita statistic may not be appropriate for measuring changes in economic growth at a local project level. It will also be important that the information is gathered from the same source and with sufficient frequency to meet the needs of the project (see discussion below) and that one can feel reasonably certain that the information will not only be collected, but will also apply the same method of collecting and reporting the information, several years in the future when an impact evaluation would be carried out.

Under no circumstances should the team feel confined to prescribing only one of the suggested methods for conducting a baseline assessment. Often a **mixed methods** approach will be the most appropriate. For example, the team may recommend that baseline surveys be carried out in a select number of representative communities, complemented by focus group interviews in a wider range of intervention target communities, interviews with experts, and published statistics.

### 6.3.2 MONITORING METHODS

When it comes to assessing the progress of monitoring indicators during the project lifetime, one should typically apply the same source and method used during the baseline assessment to populate the indicators. This is also true for the impact evaluation phase. An exception to this is monitoring *outputs*, such as workshops, titles facilitated by the project, handbooks produced by the project, etc. Since interventions are directly responsible for generating outputs, the state of these before the project is likely to be nil and a baseline assessment will not be necessary.

As discussed in Section 6.2, monitoring indicators should typically track changes in outputs, more immediate outcomes emerging from intervention(s), and the LTPR objective(s).<sup>4</sup> These will be the outcomes most likely influenced by the intervention(s) during the project life-cycle. It is likewise important that methods for populating monitoring indicators are reasonably inexpensive and simple, as monitoring should be carried out with sufficient frequency to gauge whether an intervention(s) is generating its intended outcomes. Too much time between data collection may make it difficult for interventions to be reversed and rerouted if they are veering down the wrong path. On the other hand, demands for data collection that are onerous either in their frequency or their methods can often be too costly and distracting and risk being abandoned.

Examples of simple, low-cost monitoring methods include:

- Visits to a sub-sample of target communities to conduct focus group interviews;
- Consultations with a select group of experts in the indicator subject matters;
- Periodic reviews of statistics and other secondary source information;
- Assessments of natural phenomena, such as water quality or soil fertility; observable practices, such as slash and burn agriculture or adoption of agricultural techniques; or observable conditions, such as housing conditions or granary stocks; and
- Reviews of project reports or databases to gather information on intervention outputs.

Beyond collection of monitoring data, the team should also help the mission plan how it will use the information. Ideally, the information is recorded in a database and analyzed at periodic intervals. Brief, easy-to-digest reports should be prepared that synthesize analysis findings, making liberal use of graphs and tables to facilitate quick assessment of trends. To the extent possible, teams responsible for implementing interventions and their mission counterparts should meet periodically to discuss monitoring findings, assess their implications, and make decisions about future implementation of the intervention(s).

**Performance evaluations** 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 that are pertinent to program design, management, and operational decision making. Performance evaluations often incorporate before-after comparisons, but generally lack a rigorously defined counterfactual.

### 6.3.3 IMPACT EVALUATION METHODS

Impact evaluations differ from monitoring and evaluation (M&E) in that they not only seek to assess change, but also to identify the various factors contributing to change and their relative influence.<sup>5</sup> Most impact evaluations are concerned with assessing “higher-order” changes, such as Development Objectives, that are often associated with social change processes that evolve over time in response to manifold factors. Hence, they are best undertaken at a time when interventions can be expected to have contributed to their medium-

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<sup>4</sup> It may be the case that for assessing some outcomes and the LTPR objective, certain indicators are used for monitoring, while more rigorous indicators are reserved for impact evaluations. In these cases though, both indicators should be collected during the baseline assessment to enable a point of comparison for both monitoring and impact evaluation exercises.

<sup>5</sup> Monitoring and evaluation typically does not seek to validate whether and the extent to which the intervention is contributing to changes in outcomes and objectives. Rather, it is assumed the project is influencing changes observed and knowledge of the degree is not of critical importance.

to long-term objectives, usually just prior to the close of the project or intervention. As noted in the Introduction and earlier in Section 6, this tool is accompanied by a companion tool: *the LTPR Impact Evaluation Tool*, which provides guidelines for evaluating the impacts of LTPR interventions. Intervention Planning teams can refer to this to gain further insight on what is entailed in carrying out an impact evaluation, including budget parameters, in the event the mission would like to program resources for an impact evaluation as part of the Intervention Planning exercise.

## 6.4 STEP 4: CREATE A PRELIMINARY MONITORING AND EVALUATION PLAN AND BUDGET

Decisions about methods also involve planning **when and how often** they will be applied. If household survey methods are being employed (as often required by rigorous impact evaluations) or the scale of the proposed intervention(s) is large, baseline assessments may take several weeks or even months to complete. The data collection portion of baseline assessments should be carried out prior to initiation of interventions. In the case of monitoring, data collections and reporting are often done on a quarterly basis with summative evaluations at the end of the project, and sometimes halfway through depending on project duration. The team should program the timing and the duration of the evaluation methods in constructing a proposed monitoring and evaluation plan.

Having defined the general scope of the M&E methods and the frequency of their use, the team can begin to estimate resource needs. Depending on the scale and complexity of M&E activities, the team may wish to assign M&E as a separate project unit that employs specialists in the designated methods. As with planning LTPR interventions, the team needs to keep the mission's overall project budget in mind in weighing what is feasible and practical. Budget constraints may necessitate going back to the drawing board to select indicators and methods that are less expensive, even if they offer less precision or rigor.

With decisions about indicators, methods, and their application in hand, the team should move to prepare a **monitoring and evaluation plan** that includes:

- The **justification** for undertaking a baseline assessment and monitoring and evaluation activities;
- The **outputs, outcomes, and objectives** selected for monitoring change and the reasons for their selection (Results Frameworks provide useful illustrations for explaining this in the context of the theory of change and why it is important to assess different links to know whether the chain is working as expected);
- The **indicators** chosen to measure progress in the selected outputs, outcomes and objectives, the intended use of those indicators (monitoring, impact or both), and the reasons they were chosen;
- The **methods** proposed to populate the indicators during the baseline assessment, monitoring, and endline assessment, as well as how monitoring information would be used to maximize the benefit to the project;
- The **timing and frequency** with which the methods would be employed; and
- The estimated **budget** needed to implement monitoring and evaluation activities, and underlying assumptions.

The team would then present the draft M&E plan to the mission for their comments and input. Once revisions are made, the M&E plan is incorporated into the overall Program Design Report and the document is finalized and delivered to the mission. This concludes the LTPR Program Design exercise.





# ANNEX A: SAMPLE SCOPE OF WORK FOR SITUATION ASSESSMENT

## SCOPE OF WORK

### LTPR SITUATION ASSESSMENT IN [COUNTRY]

#### I. BACKGROUND AND JUSTIFICATION

This Scope of Work (“SOW”) describes the background, objectives, activities, deliverables, and level of effort to undertake an assessment of the land tenure and property rights challenges confronted in [country and geographic focus], otherwise known as a LTPR Situation Assessment.

- Describe factors motivating the assessment and any useful background information that explains the rationale for conducting the assessment.

#### II. OBJECTIVES

- Describe the overall objectives of the assessment, including the anticipated benefits of undertaking the assessment and how the Mission intends to use the findings of the assessment.
- Note that the assessment will employ the USAID Land Tenure and Property Rights Situation Assessment and Intervention Planning Tool to guide the assessment methodology, employing the section on the Situation Assessment in particular.

#### III. THEMATIC FOCUS

- Identify which themes (issues) in the LTPR matrix will be assessed.

#### IV. GEOGRAPHIC FOCUS AND SCALE

- Describe the geographic focus of the assessment, i.e., national, regional, or local units.

#### V. STAKEHOLDERS AND KEY INFORMANTS

- Identify groups or individuals affected by the LTPR situation, who should be consulted.
- Identify other persons with knowledge of the thematic foci of the assessment, who may not necessarily be affected by them, but can provide useful insight on the situation nonetheless.

#### VI. TASKS

The team will undertake the following tasks:

1. Step 1: Review Scope of Work, Tool and Background Information to determine USAID Mission Development Objectives, land and natural resource access and tenure situation, legal framework governing property rights, relevant land institutions, and any identified LTPR issues. Identify key informants and stakeholders. Discuss previously identified LTPR Objectives and implemented LTPR interventions with the Mission.
2. Step 2: Plan for the Assessment, including making travel and accommodations arrangements, scheduling interviews and field visits, identifying documentary information to gather, and lining up interpreters, materials/supplies, and communications equipment needed.
3. Step 3- Create Conceptual Maps that Link LTPR Objectives and USAID Development Objectives
4. Step 4- Identify LTPR Constraints through field interviews with key informants utilizing the Quick Sheet interview guides.
5. Step 5- Analyze and Report on Findings from the field assessment, including a characterization of the LTPR situation, factors contributing to it, outcomes emerging from the situation, impacts on Mission Development Objectives, interest and attention to the issue by government and donors, and recommendations for interventions to address the situation. Reporting should be in both the form of a presentation to the Mission and a comprehensive written report.

#### *IV. DELIVERABLES*

Upon completion of the assessment the team should provide the following:

1. A **presentation** of the findings to the USAID Mission prior to departure from the country.
2. A **final report** that conforms to the guidelines spelled out in Section 4.5 of the USAID Land Tenure and Property Rights Situation Assessment and Intervention Planning Tool.
3. A brief **memo** addressed to USAID Strengthening Tenure and Resource Rights (STARR) COR Gregory Myers ([gmyers@usaid.gov](mailto:gmyers@usaid.gov)) describing the experience in employing the USAID Land Tenure and Property Rights Situation Assessment and Intervention Planning Tool to guide a LTPR Situation Assessment and providing any recommendations for further improvements to the tool. (Optional, but highly appreciated.)

#### *V. ASSESSMENT TEAM*

- Identify 3-5 professionals (country nationals or expatriates) to serve on the assessment team, which may include:
  - A social scientist specialized in land and natural resources property rights, including customary tenure,
  - A land and property rights legal professional,
  - A land administration specialist,
  - A gender specialist experienced with land tenure issues, and
  - An expert in one or more of the thematic foci of the assessment.

The team member with the greatest depth and breadth of property rights experience and team leadership experience should be selected as the Team Leader.

- Identify a country national to serve as the logistics coordinator responsible for executing on all in-country logistics.

#### VI. LEVEL OF EFFORT

LOE/Activity	Pre-Assessment Preparation	In-country Assessment & Report Preparation	Report Revisions	Finalizing Report	Total
<b>Team Leader</b>	4-6 days	15-20 days, excluding travel	_____	7-8 days	<b>26-34 days</b>
<b>Team Member</b>	2-4 days	15-20 days, excluding travel	4-5 days	_____	<b>21-29 days</b>
<b>Team Member</b>	2-4 days	15-20 days, excluding travel	4-5 days	_____	<b>21-29 days</b>
<b>Team Member</b>	2-4 days	15-20 days, excluding travel	4-5 days	_____	<b>21-29 days</b>
<b>Logistics Coordinator</b>	5 days	10 days	_____	_____	<b>15 days</b>
<b>Administrative/ Report Editing Assistance</b>	_____	_____	_____	3 days	<b>3 days</b>
<b>TOTAL</b>	<b>15-23 days</b>	<b>70-90 days</b>	<b>12-15 days</b>	<b>9-10 days</b>	<b>106-138 days</b>

\*Actual LOE will depend upon the breadth and scale of the Assessment; the example provided only represents approximations.

#### VII. REPORTING

The above-named consultants will report directly to *[name and position]* at USAID/*[country or regional mission]*.

#### VIII. SCHEDULE

The assignment will be undertaken during the period from *xxx TO xxx*, as follows:

Pre-assessment preparation: *xxx TO xxx*

Field assessment: *xxx TO xxx*

In-country analysis and report writing: *xxx TO xxx*.

Report writing upon return to home country: *xxx TO xxx*.



# ANNEX B: SAMPLE SCOPE OF WORK FOR COMBINED SITUATION ASSESSMENT, INTERVENTION PLANNING AND MONITORING AND EVALUATION

## SCOPE OF WORK

### TO

ASSESS THE LTPR SITUATION IN [*COUNTRY*], PLAN APPROPRIATE INTERVENTIONS AND ESTABLISH A SYSTEM FOR MONITORING AND EVALUATION

#### *I. BACKGROUND AND JUSTIFICATION*

This Scope of Work (“SOW”) describes the background, objectives, activities, deliverables, and level of effort to undertake an assessment of the land tenure and property rights (LTPR) challenges confronted in [*country and geographic focus*], identify appropriate interventions to confront those challenges, and establish a system to monitor and evaluate project outcomes and impacts.

- Describe factors motivating the assessment and intervention planning exercise and provide any useful background information that explains the rationale for conducting these.

#### *II. OBJECTIVES*

- Describe the overall objectives of the assessment, including the anticipated benefits of undertaking the assessment and how the Mission intends to use the findings of the assessment.

*Sample language:*

1. **Situation Assessment.** To provide a preliminary characterization of the LTPR landscape in order to design and plan programmatic interventions that address critical LTPR constraints to economic growth, good governance and poverty reduction.

2. **Intervention Planning.** To determine what LTPR Interventions and complementary or “Enabling” Interventions are necessary in order to advance the LTPR and Development Objectives of the Mission.
3. **Monitoring and Evaluation.** To establish M&E processes and indicators to determine if the project is on course for achieving its intended objectives and if it is yielding any unintended outcomes, whether positive or negative.
  - Note that the assessment will employ the USAID Land Tenure and Property Rights Situation Assessment and Intervention Planning Tool and the LTPR Impact Evaluation Tool to guide the assessment methodology.

### III. *THEMATIC FOCUS*

- Identify which themes (issues) in the LTPR matrix will be assessed.

### IV. *GEOGRAPHIC FOCUS AND SCALE*

- Describe the geographic focus of the assessment, i.e., national, regional, or local units.

### V. *STAKEHOLDERS AND KEY INFORMANTS*

- Identify groups or individuals affected by the LTPR situation, who should be consulted.
- Identify other persons with knowledge of the thematic foci of the assessment, who may not necessarily be affected by them, but can provide useful insight on the situation nonetheless.

### VI. *TASKS*

The team will undertake the following tasks:

#### *For the Situation Assessment:*

1. Step 1: Review Scope of Work, Tool and Background Information to determine USAID Mission Development Objectives, access and tenure situation, legal framework governing property rights, relevant land institutions, and any identified LTPR issues. Identify key informants and stakeholders. Discuss previously identified LTPR Objectives and implemented LTPR interventions with the Mission.
2. Step 2: Plan for the Assessment, including making travel and accommodations arrangements, scheduling interviews and field visits, identifying documentary information to gather, and lining up interpreters, materials/supplies, and communications equipment needed.
3. Step 3- Create Conceptual Maps that Link LTPR Objectives and USAID Development Objectives
4. Step 4- Identify LTPR Constraints through field interviews with key informants utilizing the *Quick Sheet* interview guides.
5. Step 5- Analyze and Report on Findings from the field assessment, including a characterization of the LTPR situation, factors contributing to it, outcomes emerging from the situation, impacts on Mission Development Objectives, interest and attention to the issue by government and donors, and recommendations for interventions to address the situation. Reporting should be in both the form of a presentation to the Mission and a comprehensive written report.

#### *For Intervention Planning:*

1. Step 1: Identify potential LTPR Interventions using the LTPR Matrix, based on the Situation Assessment findings on the presence and severity of LTPR Issues in the country or other context of focus and the priority issues that the Mission wants to address.
2. Step 2: Map selected LTPR Intervention to LTPR Objectives and Mission Development Objectives in order to assess which interventions might be most effective at achieving priority objectives – and the scope, duration and women/vulnerable group implications of those interventions.
3. Step 3: Consider interventions to address factors contributing to LTPR challenges and to forces negatively impacting on the realization of intended outcomes and objectives. Characterize the scope, duration and women/vulnerable group implications of those interventions.
4. Step 4: Identify outcomes and impacts emerging from LTPR Issues and any unintended outcomes and impacts arising from proposed interventions and add or make adjustments to interventions to mitigate (potentially) negative outcomes.
5. Step 5: Identify enabling conditions that are necessary or desirable to have in place before an intervention is initiated and corresponding Enabling Interventions that would facilitate the creation of those conditions.
6. Step 6: Sequence interventions to ensure outcomes produced by early interventions create necessary and enabling conditions for other interventions to succeed, and prepare an Intervention Sequencing Plan.
7. Step 7: Prepare and present a preliminary Program Design Report and Budget recommending interventions that fit with the Mission's program planning parameters and available funding. Revise the report based on Mission feedback.

*For Establishing a Monitoring and Evaluation System:*

1. Step 1: Prioritize LTPR and Development Objectives, intermediate outcomes and outputs for measurement.
2. Step 2: Select appropriate indicators for monitoring and for impact or performance evaluation utilizing the SMART method.
3. Step 3: Determine the methods for collection and use of the data for each indicator.
4. Step 4: Create a preliminary Monitoring and Evaluation Plan and budget, present these to the Mission for feedback, and incorporate the final version into the Program Design Report.

#### IV. DELIVERABLES

*For the Situation Assessment:*

1. A **presentation** of the Situation Assessment findings to the USAID Mission.
2. A **report** on the findings that conforms to the guidelines spelled out in Section 4.5 of the USAID Land Tenure and Property Rights Situation Assessment and Intervention Planning Tool.

*For Intervention Planning:*

1. A **presentation** to the Mission of the Intervention Planning exercise and its recommendations.
2. A **Program Design Report** that describes:

- the *purpose* of the Intervention Planning exercise
- the *methodology* applied
- the *Mission's Development Objectives and priority LTPR Objectives*
- *LTPR and Enabling Interventions* selected to address the LTPR issues uncovered, and their proposed *scope, timing and duration and sequencing*
- Recommendations for *current LTPR programming* based on the Mission's budgetary resources and programming cycle, proposed future interventions, and interventions that might be contributed by government and other donors

*For Monitoring and Evaluation Planning:*

1. A **presentation** of the Monitoring and Evaluation Plan to the Mission, which includes:
  - the *justification* for M&E activities,
  - *outputs, outcomes and objectives* selected for assessing change
  - selected *indicators* and their intended use for monitoring, impact or performance, or all
  - *methods* proposed for baseline assessments and monitoring and their timing and frequency
  - an estimated **budget** for implementing the M&E Plan.
2. A **final Program Design Report** that incorporates the final Monitoring and Evaluation Plan and budget.

*Overall*

A brief **memo** addressed to USAID Strengthening Tenure and Resource Rights (STARR) COR Gregory Myers ([gmyers@usaid.gov](mailto:gmyers@usaid.gov)) describing the experience in employing the USAID Land Tenure and Property Rights Situation Assessment and Intervention Planning Tool and providing any recommendations for further improvements to the tool. (Optional, but highly appreciated.)

#### V. *ASSESSMENT TEAM*

- Identify 3-5 professionals (country nationals or expatriates) to serve on the assessment team, which may include:
  - A social scientist specialized in land and natural resources property rights, including customary tenure,
  - A land and property rights legal professional,
  - A land administration specialist,
  - A gender specialist experienced with land tenure issues,
  - A monitoring and evaluation specialist, and
  - An expert in one or more of the thematic foci of the assessment.

The team member with the greatest depth and breadth of property rights experience and team leadership experience should be selected as the Team Leader.

- Identify a country national to serve as the logistics coordinator responsible for executing on all in-country logistics.



## VI. LEVEL OF EFFORT

LOE/Activity	Pre-Assessment Preparation	In-country Assessment & Report Preparation	Assessment Report Revisions	Final Report Situation Assessment	Intervention Planning and M&E Development	Revisions to Program Design Report	Review and Finalize Report	Total
<b>Team Leader</b>	4-6 days	15-20 days, excluding travel	_____	7-8 days	11-17 days	_____	3-4 days	<b>40--55 days</b>
<b>Team Member</b>	2-4 days	15-20 days, excluding travel	4-5 days	_____	11-17 days	2-3 days	_____	<b>34-49 days</b>
<b>Team Member</b>	2-4 days	15-20 days, excluding travel	4-5 days	_____	11-17 days	2-3 days	_____	<b>34-49 days</b>
<b>Team Member</b>	2-4 days	15-20 days, excluding travel	4-5 days	_____	11-17 days	2-3 days	_____	<b>34-49 days</b>
<b>Logistics Coordinator</b>	5 days	10 days	_____	_____	3 days	_____	_____	<b>18 days</b>
<b>Administrative/Report Editing Assistance</b>	_____	_____	_____	3 days	_____	_____	3 days	<b>6 days</b>
<b>TOTAL</b>	<b>15-25 days</b>	<b>70-90 days</b>	<b>12-15 days</b>	<b>10-11 days</b>	<b>61 days</b>	<b>20 days</b>	<b>6-9 days</b>	<b>148-226 days</b>

## VII. REPORTING

The above-named consultants will report directly to *[name and position]* at USAID/*[country or regional mission]*.

## VIII. SCHEDULE

The assignment will be undertaken during the period from *xxx TO xxx*, as follows:

Situation Assessment phase: *xxx TO xxx*

Intervention Planning Phase: *xxx TO xxx*

Development of M&E System Phase and Wrap Up: *xxx TO xxx*.



# ANNEX C: RESOURCES TO HELP WITH THE PLANNING AND IMPLEMENTATION OF ASSESSMENT TECHNIQUES

**1. Freudenberger, Karen Schoonmaker. 1994. Tree and Land Tenure Rapid Appraisal Tools. Rome: Food and Agricultural Organization of the United Nations.**

**<<http://www.fao.org/docrep/t1700e/t1700e00.htm>>.**

*Includes guidelines on:*

- Participatory Maps: <http://www.fao.org/docrep/t1700e/t1700e06.htm#participatory%20map>.
- Calendars: <http://www.fao.org/docrep/t1700e/t1700e06.htm#calendar>.
- Ranking Matrices: <http://www.fao.org/docrep/t1700e/t1700e06.htm#matrix>.
- Venn Diagrams: <http://www.fao.org/docrep/t1700e/t1700e07.htm#veen%20diagram>.
- Semi-structured interviews: <http://www.fao.org/docrep/t1700e/t1700e07.htm#semi%20structured%20interview>.

**2. Davis Case, D'Arcy, Tony Grove and Carmen Apted. 1990. The Community's Toolbox: the idea, methods and tools for participatory assessment, monitoring and evaluation in community forestry. Community Forestry Field Manual 2. Rome: U.N. Food and Agriculture Organization.**

**<<http://www.fao.org/docrep/x5307e/x5307e00.htm#Contents>>.**

*Includes guidelines on:*

- Group meetings and interviews: <http://www.fao.org/docrep/x5307e/x5307e07.htm#tool%201:%20group%20meetings>.
- Semi-structured interviews: <http://www.fao.org/docrep/x5307e/x5307e08.htm>.
- Ranking: <http://www.fao.org/docrep/x5307e/x5307e08.htm#tool%2010:%20ranking,%20rating%20and%20sorting>.

**3. World Bank. 1996. The World Bank Participation Sourcebook. Washington DC: The World Bank.**

**<[http://www-wds.worldbank.org/external/default/main?pagePK=64193027&piPK=64187937&theSitePK=523679&menuPK=64187510&searchMenuPK=64187283&siteName=WDS&entityID=000009265\\_3961214175537](http://www-wds.worldbank.org/external/default/main?pagePK=64193027&piPK=64187937&theSitePK=523679&menuPK=64187510&searchMenuPK=64187283&siteName=WDS&entityID=000009265_3961214175537)>.**

*Includes guidelines on:*

- Stakeholder Analysis

- Enabling Participation
- Participatory Rural Appraisal
- Gender Analysis

**4. USAID. Conducting Mini Surveys in Developing Countries. 2006. Washington DC: USAID.**  
 <[http://pdf.usaid.gov/pdf\\_docs/PNADG566.pdf](http://pdf.usaid.gov/pdf_docs/PNADG566.pdf)>.

*Includes guidelines on:*

- Planning Mini Surveys and analyzing findings

**5. USAID. LTPR Impact Evaluation Tool. 2013, Washington DC: USAID**

**<http://www.usaidlandtenure.net/services/tools>**

*Includes guidelines on:*

- Defining evaluation parameters
- Evaluation planning
- Designing methods and implementation
- Analyzing, reporting, and learning

# ANNEX D: METHODS OF PARTICIPATORY RAPID RURAL APPRAISAL TECHNIQUES

Participatory Rapid Rural Appraisal is a family of approaches and methods to enable local people to share, enhance, and analyze their knowledge of life and conditions, to plan, and to act. The following are methods employed with specific examples relevant to LTPR assessments:

***Ranking matrix-*** Perceptions of tenure security (likelihood of use for as long as need without disturbance) over different types of land and resources; severity of bribery by land institutions or authorities.

***Seasonal calendars and activity profiles-*** Seasonal constraints and opportunities can be diagrammed month by month throughout the year. Participants use pieces of stick, draw histograms in the dirt or with chalk, or make piles of stones, seeds, or powders to represent relative quantities and patterns of land and resource use and more. Seasonal calendars can be drawn in linear fashion with twelve months to show a typical year or they can be drawn in a circle. Patterns of activity can be explored by charting typical activities for each hour of the day. These can be compared for men, women, the old, the young, and vulnerable groups

***Participatory mapping and modeling-*** This method involves constructing, on the ground or on paper, maps or models, using materials such as sticks, stones, grasses, wood, cigarette packets, tree leaves, pens etc. There are many types of maps: resource maps of catchments, villages, forests, fields, farms, home gardens; social maps of residential areas of a village; use maps, etc.

***Time lines and local histories-*** Historical analyses have been found to be a good icebreaker for field exercises. Time lines help to identify important past events or changes over time. For example, they can help to assess changes in resource availability and quality. This can include resource histories such as crop histories, trees and forest histories, livestock and social and population changes.

***Venn and network diagrams-*** Venn diagrams use circles of paper or card to represent people, groups, and institutions. These are arranged to represent real linkages and distance between individuals and institutions. Overlap indicates flows of information, and distance on the diagram represents lack of contact.

***Ranking games-*** can help to elicit local knowledge about natural resources and how users make decisions around their use. This activity can also help to show how houses allocate resources and time.

***Sketch Maps and Transects-*** Sketch maps of the village and its resource base are useful tools for interactive discussions with villagers. Pre-drawn maps of the village constructed from existing maps by local residents to show where different kinds of resources are and to what extent they are used for a variety of purposes. Sketch maps are a good presentational tool as well, since different types of information can be collected in a series of sketch maps and then overlaid to demonstrate different linkages between land uses and land condition.

Transects are good summaries of the types of resource use in a village site. These show differences in resource use by altitude. Trends over time can also be juxtaposed vertically in a series of transect graphs to show major shifts in land-use patterns due to a changing resource base or new markets and improved road access.

# ANNEX E: QUICK SHEETS

## LTPR ASSESSMENT QUICK SHEET

## RESOURCE CONFLICT AND DISPLACEMENT

### KEY INFORMANTS: Who can provide information on this LTPR theme?

- |   |   |  |
|---|---|--|
| <ul style="list-style-type: none"> <li>• Landholders threatened or impacted by conflict, including female-headed households</li> <li>• Pastoralists, hunter/gatherer groups</li> <li>• Displaced persons and refugee camp personnel</li> <li>• Squatters who settled on land of displaced persons</li> <li>• Resettled persons</li> <li>• Ex-combatants</li> <li>• Customary and other non-state authorities governing land and natural resources</li> <li>• Formal and informal dispute resolution bodies</li> </ul> | <ul style="list-style-type: none"> <li>• United Nations High Commissioner for Refugees (UNHCR)</li> <li>• UN peacekeepers</li> <li>• Universities and research institutions engaged in analysis of LTPR or conflict</li> <li>• Donors, NGOs and advocacy groups addressing conflict mitigation, displacement, resettlement and restitution</li> </ul> | <ul style="list-style-type: none"> <li>• Government bodies mandated to address issues concerning the displaced</li> <li>• Ministry officials, including Ministries responsible for Land, Defense, Justice and Issues concerning the displaced</li> <li>• Members of the judiciary</li> <li>• Local government officials</li> </ul> |
|---|---|--|

### TIER 1 QUESTIONS: Is this a key LTPR concern?

- **Potential for conflict.** Are grievances over land or natural resources threatening to push the country into violent conflict? Does the government have the capacity to address existing land and resource-related concerns? Are dysfunctional or absent LTPR systems exacerbating existing grievances over resources?
- **Current conflict.** Is there ongoing violent conflict? Are land/resource issues an underlying cause of the conflict? Has recent/present conflict led to land/resource conflicts or disruption of management/use? Are unresolved land conflicts or dysfunctional LTPR systems causing violence? What is the scale of the types of conflicts that have been identified? Are significant numbers of people being displaced? If so, are there certain groups (including women) being disproportionately displaced? Why?
- **Post-conflict.** Has there been recent conflict in the country? Was this conflict triggered by grievances over land or natural resources? Is transition from post-conflict to transitional development being hampered by lack of attention to LTPR problems linked to conflict or resulting from conflict? Were significant numbers of people displaced? If so, were certain groups disproportionately displaced (e.g., women)? What kind of land access and rights issues are displaced people, widows, orphans, and OVGs confronting?

If the country (or other sub-context) is indeed experiencing one of the above conflict situations, other questions to be addressed are:

- **Livelihood impacts.** What portion of households depends on land and natural resources for livelihoods and economic security? Have outcomes emanating from conflict threatened people's access or rights to land and natural resources, or the security of that access and these rights? How are women and OVGs affected?
- **Relation to mission's LTPR and Development Objectives.** Does the conflict situation undermine or threaten to undermine achievement of one or more of the mission's LTPR and Development Objectives? If so, how?

### TIER 2 QUESTIONS: Causes and outcomes

- **Displaced persons/refugees.** Are there overlapping land/resource claims? Do internally displaced persons, refugees, or ex-combatants presently have access to land? Do these groups think they will gain access to land? What land/resources are displaced groups currently using? Do they plan (want) to return to their land? Who

currently occupies their land? Is the situation similar for women or members of minority populations, or has conflict and displacement specially impacted their access and rights to land and resources?

- **Female-headed households.** Has conflict created a large number of female-headed households? Are female-headed households able to access land/resources (either new land or land that they had formerly used)? Are their land/resource rights secure?
- **Orphans and child-headed households.** Has conflict created a large number of orphan-headed households? Are orphans and child-headed households able to retain land that belongs to their families? Do they have access to any land at all?
- **Ex-combatants.** Where are ex-combatants currently living? What are plans for their reintegration? Do they require access to land/resources?
- **Basic needs deprivation.** Is food insecurity a problem? Where is the population currently getting its food supplies? Has agricultural production suffered as a result of conflict?
- **Weak governance or lack of rule of law.** Is the political situation stable? Where is capacity critically lacking? Are property-related laws being followed or enforced?
- **Land or resource grabbing.** Are the powerful or well-connected amassing resources in the wake of conflict (or during the conflict)?
- **Destroyed records and property rights infrastructure.** Has conflict resulted in the destruction of land records or offices? Where do existing records reside? Are they up-to-date? Secure from manipulation?

### TIER 3 QUESTIONS: Interventions

- **Government priority.** Is addressing resource conflict and displacement a government priority? Why or why not? What interventions are they pursuing or planning to pursue? Do these interventions seem likely to address the issue and underlying causes adequately? What are their (proposed) scope, timing, and duration?
- **Donor interventions.** Are USAID or other donors addressing resource conflict and displacement? If so, what interventions are they pursuing or planning to pursue? Do these interventions seem likely to address the issue and underlying causes adequately? What are their (proposed) scope, timing, and duration?
- **New interventions.** What actions do you perceive to be most needed in order to prevent/mitigate/address the consequences of violent conflict? Are actions aimed at improving people's access to and security over land and natural resources important? If so, specifically which actions do you perceive would be most beneficial? Are there any factors that might make taking such actions difficult (e.g., political, human resource capacity, economic, environmental)?

\*\*\*\*\*



**LTPR ASSESSMENT QUICK SHEET:****WEAK GOVERNANCE****KEY INFORMANTS: Who can provide information on this LTPR theme?**

- Variety of landholders and resource users including those lacking formal tenure status
- Landless women and men
- Tenants
- Pastoralists, hunter/gatherer groups
- Customary and other non-state authorities governing land matters
- Universities and research institutions engaged in analysis of LTPR or governance practices
- NGOs and advocacy groups with related mandates
- Ministry officials, including Ministries of Land, Environment, and Justice
- Ombudsmen and government oversight bodies
- Members of the judiciary.
- Local government officials

**TIER 1 QUESTIONS: Is this a key LTPR concern?**

- **Formal governance institutions.** Are government institutions able to ensure its citizens have secure access to land and natural resources? If not, what capacity constraints do they face? Do government officials use their power to appropriate resources in ways that primarily benefit themselves, elite interests, or other allies? Is corruption of the judiciary a major concern? Do average citizens mostly trust government institutions to provide them with secure tenure and uphold their rights in the event they are challenged? Are they trusted by women and OVGs?
- **Customary or other non-formal governance institutions.** Do non-state institutions exercise authority over land and natural resource matters? If so, are these institutions able to ensure that people falling under its authority have secure access to land and natural resources? Do they face capacity constraints? Are they prone to corrupt practices that undermine the security of tenure of communities they govern? Do communities regard the authority of these institutions to administer and/or enforce rights to land as appropriate and legitimate? Do they mostly trust these institutions to protect their interests? Are they trusted by women and OVGs?
- **Coordination of governance.** Are institutional mandates and divisions of responsibilities clear or vague? How do the mandates of LTPR governance institutions, whether state or non-state, interact with each other? Is there mainly complementarity or a high incidence of overlapping authority or inter-institutional competition? Are there mechanisms for citizens to hold LTPR governance institutions accountable for performing their mandates and responsibilities? Are these effective?

If the country (or other sub-context) is experiencing one or more of the above cases of weak governance, other questions to be addressed are:

- **Livelihood impacts.** What portion of households depends on land and natural resources for livelihoods and economic security? Have outcomes emanating from weak governance of land and natural resources threatened people's access or rights to these resources, or the security of that access and rights? How are women and OVGs affected?
- **Relation to mission's LTPR and Development Objectives.** Does weak governance of land and natural resources undermine or threaten to undermine achievement of one or more of the mission's LTPR and Development Objectives? If so, how?

**TIER 2 QUESTIONS: Causes and outcomes**

- **Historical factors.** What are factors that lead to weak governance around LTPR? Is it lack of capacity, corruption or other factors? At what levels are weak governance manifest: at the local, regional, state or national levels and why?
- **Resource conflict and displacement.** How has weak governance contributed to or impacted [resource conflict and displacement](#)? Why? What are the rules governing government expropriation or takings? Are the rights of land/resource users transparent and secure?
- **Insecure tenure and property rights.** Do women and OVGs have equitable and secure rights to land? Does weak governance contribute to insecure tenure, use, and rights?

- **Reforms.** Have programs been designed and implemented to address weak governance? Have they worked? What has contributed to either their success or failure? Have previous land distributions or registration projects benefited only government institutions?
- **Unsustainable natural resources management and biodiversity loss.** How has weak governance contributed to unsustainable land and resource use? At what levels—local, regional, state, and national—has weak governance particularly had an impact on biodiversity loss and resource management?
- **Customary or other non-formal governance institutions.** Are customary/ religious norms governing land use weak or strong? Do land users engage in “forum shopping” to settle land disputes because formal and informal governance relating to LTPR is perceived as weak?

### TIER 3 QUESTIONS: Interventions

- **Government priority.** Is strengthening governance of land and natural resources a government priority? Why or why not? What interventions are they pursuing or planning to pursue? Do these interventions seem likely to address the issue and underlying causes adequately? What are their (proposed) scope, timing, and duration?
- **Donor interventions.** Are USAID or other donors addressing land and resource governance? If so, what interventions are they pursuing or planning to pursue? Do these interventions seem likely to address the issue and underlying causes adequately? What are their (proposed) scope, timing, and duration?
- **New interventions.** What actions are most needed to improve land and resource governance? Are actions aimed at improving people’s access to and security over land and natural resources important? If so, specifically which actions would be most beneficial? Are there any factors that might make taking such actions difficult (e.g., political, human resource capacity, economic, environmental, etc.)?

\*\*\*\*\*

**KEY INFORMANTS: Who can provide information on this LTPR theme?**

- Variety of landholders and resource users, including those lacking formal tenure status
- Landless women and men
- Tenants
- Pastoralists, hunter/gatherer groups
- Families experiencing death, divorce or (threat of) eviction/expropriation
- Customary and other non-state authorities over land matters
- Local dispute resolution bodies
- Professionals (lawyers, notaries, surveyors, etc.) working on real estate and inheritance
- Universities and research institutions engaged in analysis of LTPR or governance practices
- NGOs and advocacy groups with related mandates
- Ministry officials, including Ministries of Land, Environment, and Justice
- Members of the judiciary overseeing property cases
- Local government officials
- Land administration offices

**TIER 1 QUESTIONS: Is this a key LTPR concern?**

- **Assurance.** Do individuals/groups feel assured that no one—whether government, an investor, or other individual—can arbitrarily deprive them of their claims over the land or natural resources they use in good faith? Is this the case for women? For OVGs? If government or other authorities possess expropriation rights, are there explicit and transparent justifications and procedures which must be complied with? Fair and timely compensation provisions? Are these requirements upheld in practice?
- **Exclusivity.** Do individuals/groups feel protected against others being able to access and use their land and resources without permission? Is this the case for women? For OVGs?
- **Duration.** Are individuals/groups entitled to use land and resources for a duration that incentivizes them to invest in the land and not degrade it? Is this the case for women? For OVGs?
- **Breadth.** Do individuals/groups have sufficient breadth of rights to their land and resources to meet their livelihood needs, without compromising the livelihoods and tenure security of others?
- **Legal pluralism.** Is there incompatibility between statutory and customary land tenure systems that is contributing to tenure insecurity?

If the country (or other sub-context) is indeed experiencing one of the above tenure insecurity situations, another question to be addressed is:

- **Relation to mission's LTPR and Development Objectives.** Does tenure insecurity undermine or threaten to undermine achievement of one or more of the mission's LTPR and Development Objectives? If so, how?

**TIER 2 QUESTIONS: Causes and outcomes**

- **Insufficient recognition of de facto land/resource rights.** Are de facto rights to land and resources (i.e., without formal documentation from the state) not recognized by government? Have long-term users been evicted because of a lack of formalization of land/resource property rights? Is an incompatibility between formal and customary systems contributing to tenure insecurity?
- **Lack of recognition of common property.** Is there legal or de facto recognition of common property access and rights? Has population pressure resulted in range enclosure or infringement of transhumant rights? Has land use change led to people being excluded from traditional resource bases? Have indigenous land/resource rights been lost (or reduced)? Have women's land/resource rights been lost (or reduced)?
- **Displacement/taking.** Has there been arbitrary taking of land that is depriving landholders of their land and natural resources? Has land been taken for non-public purposes? For non-/mis-use? Is compensation being paid? Is it perceived to be fair and timely? Did expropriated landholders possess titles or other statutory documentation of their rights? Do landholders fear their land will be taken or reacquired by the government? Has government taking of land resulted in involuntary resettlement?
- **Insufficient, poorly organized, or corrupt land/resource institutions.** Do the majority of people use the land administration system to uphold their rights? If not, is there a lack of public trust in the use of land administration institutions or the capacity/will of the state to uphold rights backed by formal certification? Are land administration institutions inefficient, understaffed, under-resourced, not decentralized, or otherwise

perceived as inadequate? Is there a lack of access to land administration institutions in terms of the financial, time, and transaction costs of using their services?

- **Weak property or inheritance rights of women.** Do women have control rights over the land and natural resources they use (e.g., rights to decide what crops to grow, time and inputs applied to their fields, and how to direct the proceeds of their labor)? Does the formal/customary system preclude women from retaining land rights upon divorce, separation, or the death of a male family member? Does loss of rights occur at the time of family breakup or crisis (e.g., death of a family member due to HIV/AIDS)? Does the formal/customary system recognize women's inheritance rights, whether as widows or daughters? If so, are these rights upheld in practice?
- **Land disputes.** Are land/resource disputes widespread? What are the underlying causes of these disputes? Are conflicts over land or resources over boundaries, competing claims, inheritances or evictions frequent and serious occurrences? Are there adequate and accessible mechanisms to resolve land disputes?
- **Lack of awareness of land rights.** Do holders understand the extent of their land rights and how to claim and enforce them? Is this different for women or OVGs?
- **Capacity to secure rights.** Are holders able to access mechanisms for claiming and enforcing their rights? Are these mechanisms sufficiently inexpensive, nearby, and uncomplicated to ensure broad-based access? Are they substantially unbiased and free of corruption so that those who lack resources and are most vulnerable can successfully defend their claims vis-à-vis those with greater wealth and power?

### TIER 3 QUESTIONS: Interventions

- **Government priority.** Is enhancing land and natural resource tenure security a government priority? Why or why not? What interventions are they pursuing or planning to pursue? Do these interventions seem likely to address the issue and underlying causes adequately? What are their (proposed) scope, timing, and duration?
- **Donor interventions.** Are USAID or other donors addressing land and resource tenure security? If so, what interventions are they pursuing or planning to pursue? Do these interventions seem likely to address the issue and underlying causes adequately? What are their (proposed) scope, timing, and duration?
- **New interventions.** What actions are most needed to strengthen tenure security? Are actions aimed at improving people's access to and security over land and natural resources important? If so, specifically which actions would be most beneficial? Are there any factors that might make taking such actions difficult (e.g., political, human resource capacity, economic, environmental, etc.)?

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**KEY INFORMANTS: Who can provide information on this LTPR theme?**

- Landless rural residents/agricultural laborers
- Beneficiaries of land redistribution programs
- Urban, peri-urban, and rural squatters
- Evictees from rural and urban land
- Tenants
- Pastoralists, hunter/gatherer groups
- Customary and other non-state authorities governing land and natural resources
- Universities and research institutions engaged in analysis of land distribution or equity issues
- Donors, NGOs and advocacy groups concerned with land distribution and equity.
- Social movements of landless persons
- Government land distribution or reallocation units and beneficiaries of such programs
- Ministry officials, including Ministries of Land, Planning and others involved in redistribution programs
- Local government officials
- Land administration offices

**TIER 1 QUESTIONS: Is this a key LTPR concern?**

- **Significant landlessness.** Are there significant portions of the rural population (including women) that do not have access to land and natural resources? Do a large number of those with land hold only very small plots? Are there significant numbers of urban dwellers who are homeless or squatters?
- **Skewed landholdings.** Is land distribution (in terms of area) highly skewed, depriving the majority of households sufficient land for secure livelihoods? Does the existence of large estate or plantation holdings mean that adequate quality land is not available for smallholders and the landless?
- **Women's land access.** Are female-headed households or women within households relegated to marginal or degraded lands? Are women or some groups of women denied access to land?
- **Migration.** Does a lack of access to land result in informal or illegal settlements on public or private lands? Is it spurring unsustainable waves of urban in-migration? Is it spurring migration to other countries, potentially straining bilateral relations?

If the country (or other sub-context) is indeed experiencing one of the above land/resource access and inequality situations, another question to be addressed is:

- **Relation to mission's LTPR and Development Objectives.** Does access/inequality undermine or threaten to undermine achievement of one or more of the mission's LTPR and Development Objectives? If so, how?

**TIER 2 QUESTIONS: Causes and outcomes**

- **Poverty and marginalization.** Is unequal land distribution characterized along ethnic lines? Is significant land inequality contributing to entrenched poverty? To social and political marginalization of those who are landless or land poor? Is it contributing to grievances, potentially inciting future conflict?
- **Historical injustices.** Are patterns of land concentration rooted in a history of accumulation of land by colonial forces or other elites resulting in dispossession of indigenous communities?
- **Large, unproductive landholdings.** Are large landholders making productive use of their land or do large tracts remain unfarmed or use for extensive grazing? Are large landholdings acquired for speculative purposes? Is absentee landlordism common? Does the existence of these large holdings deny smallholders and the landless access to sufficient land of good quality? What specific impacts accrue to women and OVGs?
- **Occupation.** Are landless groups seizing unused private land as either a survival strategy, political protest or both? Are these efforts met with violence? Shaping political will for reform?
- **Resource theft or poaching.** Is landlessness contributing to overharvesting of natural resources, such as forests and wildlife, to survive? To resource theft or poaching? What impacts is this having on the environment and long-term livelihood prospects?

- **Recognition of rights to common property resources.** Do groups who have traditionally used common property resources continue to have access to these resources? Has loss of access deprived certain groups of critical livelihood resources? What has been the impact of these losses on women and the most vulnerable?
- **Equitable access/rights to land/resources for women.** Do women have equitable rights to land? Have previous land distributions or registration projects benefited only male heads of households? Do inheritance and marital property laws and customs equitably grant women land rights?
- **Reforms.** Have appropriate redistribution programs or progressive land taxation measures been designed and implemented? Have they worked to benefit targeted beneficiaries? Have they broadened access and improved the equality of land holdings and income on a significant scale, or mostly been piecemeal? What has contributed to either their success or failure?

### **TIER 3 QUESTIONS: Interventions**

- **Government priority.** Is more equitable distribution of land and natural resources a government priority? Why or why not? Are there issues of political will that either stand in the way or will potentially affect implementation of distribution reforms? What interventions are they pursuing or planning to pursue? Do these interventions seem likely to address the issue and underlying causes adequately? What are their (proposed) scope, timing, and duration?
- **Donor interventions.** Are USAID or other donors addressing the distributional equity of land and resources? If so, what interventions are they pursuing or planning to pursue? Do these interventions seem likely to address the issue and underlying causes adequately? What are their (proposed) scope, timing, and duration?
- **New interventions.** What actions are most needed to correct inequities in the distribution of land and natural resources? Are actions aimed at improving people's access to and security over land and natural resources important? If so, specifically which actions would be most beneficial? Are there any factors that might make taking such actions difficult (e.g., political, human resource capacity, economic, environmental, etc.)?

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## LTPR ASSESSMENT QUICK SHEET:

## POORLY PERFORMING LAND MARKETS

### KEY INFORMANTS: Who can provide information on this LTPR theme?

- |   |  |  |
|---|--|--|
| • Persons recently transacting in land/resources                                  | • Notaries   | • Land titling and registration offices  |
| • Persons leasing in and out land/resources                                       | • Real estate agents   | • Local government officials   |
| • Other landholders   | • Financial institutions   | • City planning offices  |
| • Landless or land poor individuals seeking land                                  | • Commercial developers  | • Persons and government institutions involved in resource allocation or markets |
| • Customary and other non-state institutions governing land and natural resources | • Universities and research institutions engaged in analysis of land markets |  |
|   | • Donors, NGOs, and advocacy groups concerned with land market performance   |  |

### TIER 1 QUESTIONS: Is this a key LTPR concern?

- **Enabling legislation.** Does the country have the necessary legislation to enable appropriate land market activities, such as legislation to recognize and smooth the process for land transactions and mortgages?
- **Market accessibility.** Can smallholders, women, or minority group members purchase, contract, or rent land? Are they able to access adequate financial resources and information to compete in the broader land market?
- **Lack of transactions.** How active or inactive are land sale markets? Land lease markets? Land mortgages? Is there unmet demand for these kinds of transactions? If so, by whom?
- **Lack of land administration support.** Is the land administration system undeveloped or otherwise dysfunctional in a way that limits transactions or drives them underground?
- **Credit.** Are landholders able to obtain credit using land as collateral? Does this apply to all types of holders or only large holders? Does this apply to men only? Do landholders perceive themselves to be credit constrained as a result of any restrictions on land mortgages or due to access barriers?

If the country (or other sub-context) is indeed experiencing one of the above land market performance situations, other questions to be addressed are:

- **Livelihood impacts.** What portion of households depends on land and natural resources for livelihood and economic security? Have outcomes emanating from poor land market performance threatened people's access or rights to land and natural resources, or the security of that access and rights? How are women and OVGs affected?
- **Relation to mission's LTPR and Development Objectives.** Does weak market performance undermine or threaten to undermine achievement of one or more of the mission's LTPR and Development Objectives? If so, how?

### TIER 2 QUESTIONS: Causes and outcomes

- **High transaction costs.** Are there high transaction costs in negotiating and enforcing exchanges or contracts in land/resources? Are the costs resulting in a low incidence of market transactions or driving transactions underground?
- **Enforceable contracts.** Are sales/lease contracts relied on? If so, are they needed? Are they enforceable?
- **Credit.** How active is the mortgage market? What accounts for its relative activity or inactivity? Can banks foreclose if landholders default on loans? Does this affect smallholder demand for credit? The willingness of banks to supply credit?
- **Insufficient/lopsided market information.** Is land/resource market information available? Is it available in urban and rural, land and resource markets for large holdings and smallholdings?
- **Poor land administration systems.** Does the public use the formal land administration system? What about smallholders or customary holders? If these groups do not use the formal land administration system, do problems or tenure insecurity result? Are transactions properly recorded? What about intra-family transfers such as inheritance?

- **Land transactions and women's land rights.** Are women's land rights on intra-household landholdings recognized and protected when land is transacted?
- **Risks.** Are land markets contributing to increased sales by the poorest and most vulnerable whose primary social security asset is land? To unsustainable waves of urban migration? To women, children, and other family members being dispossessed by household heads who unilaterally sell off, lease, or mortgage family land? To the breakdown of customary tenure systems as land is increasingly sold to persons from outside the lineage?

### TIER 3 QUESTIONS: Interventions

- **Government priority.** Is land market performance a government priority? Why or why not? What interventions are they pursuing or planning to pursue? Do these interventions seem likely to address the issue and underlying causes adequately? What are their (proposed) scope, timing, and duration?
- **Donor interventions.** Are USAID or other donors addressing the land market performance? If so, what interventions are they pursuing or planning to pursue? Do these interventions seem likely to address the issue and underlying causes adequately? What are their (proposed) scope, timing, and duration?
- **New interventions.** What actions are most needed to improve land market performance? Are actions aimed at improving people's access to and security over land and natural resources important? If so, specifically which actions would be most beneficial? Are there any factors that might make taking such actions difficult (e.g., political, human resource capacity, economic, environmental, etc.)?

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**KEY INFORMANTS: Who can provide information on this LTPR theme?**

- |   |   |  |
|---|---|--|
| <ul style="list-style-type: none"> <li>• Landholders residing in fragile ecosystems or degraded areas</li> <li>• Landholders occupying forests, reserves, protected areas, and their buffer zones</li> <li>• Land encroachers and occupiers of informal settlements</li> <li>• Other land and resource users, including pastoralists</li> <li>• Resource user/management associations (e.g., forestry, water)</li> <li>• Customary and other non-state institutions governing land and natural resources</li> </ul> | <ul style="list-style-type: none"> <li>• Land and resource concessionaires (e.g., timber, mining, hunting, tourism)</li> <li>• Universities and research institutions engaged in analysis of social and economic forces affecting NRM and biodiversity</li> <li>• Donors, NGOs and advocacy groups concerned with natural resource and biodiversity protection</li> </ul> | <ul style="list-style-type: none"> <li>• Land use planning and cadastral authorities</li> <li>• Ministries in charge of Land, Forestry, Water, Mines, Environment, Planning</li> <li>• Local government officials.</li> <li>• Officials charged with granting of forest, wildlife and tourism concessions</li> <li>• Guards and rangers working in and around protected areas</li> </ul> |
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**TIER 1 QUESTIONS: Is this a key LTPR concern?**

- **Environmental degradation.** Is land or natural resource degradation a significant problem? What kind of degradation is occurring?
- **Commons.** Is erosion of property rights to resources used in common (e.g., pastures, forest, water, marshes, wildlife, etc.) resulting in resource degradation and conflict? How is this known (i.e., what are the indicators)?
- **Protected areas.** Has the creation of protected areas denied people access or rights to use resources that they depend on for their livelihoods? If so, is degradation occurring in these areas or in the surrounding buffer zones? What is the scale of this degradation and its impacts?
- **Individualized land/resources.** Is agricultural land (or other types of individualized land/resources) being degraded? If so, how? Over-intensive use? Poor land use practices? What is the scale of the degradation?
- **Unsustainable exploitation.** To what extent is commercial exploitation of land/natural resources contributing to degradation? Is there uncontrolled or poorly regulated logging, fishing, mining, or other exploitation? Is the source primarily large-scale industry, small-scale individual exploitation, or both?
- **Peri-urban sprawl/informal settlements.** Are there large informal settlements that contribute to degradation or pose public health or safety problems?

If the country (or other sub-context) is indeed experiencing one of the above unsustainable natural resource management/biodiversity loss situations, other questions to be addressed are:

- **Livelihood impacts.** What portion of households depends on land and natural resources for livelihood and economic security? Have outcomes emanating from unsustainable natural resource management or biodiversity loss threatened people's access or rights to land and natural resources, or the security of that access and rights? How are women and OVGs affected?
- **Relation to mission's LTPR and Development Objectives.** Does unsustainable natural resource management/biodiversity loss undermine or threaten to undermine achievement of one or more of the mission's LTPR and Development Objectives? If so, how?

**TIER 2 QUESTIONS: Causes and outcomes**

- **Environmental degradation.** Is degradation a result of weak, inadequate, ill-defined, or eroding land/resource rights? What are the consequences of environmental degradation, including on women and OVGs?
- **Commons.** Do local institutions that administered rights to resources in common exist? Have these broken down or become weaker? Is degradation the result of erosion of property rights to resources used in common or weak capacity of institutions that uphold these rights? What are the consequences of degradation of the commons? On women and OVGs? To what extent does degradation affect land area and natural resources beyond the commons area (off-site impacts)? At what scale?

- **Protected areas.** What kind of provisions have been made for people who have been removed from protected areas or otherwise denied rights to resources in those areas that they depend on for their livelihoods? Are these provisions adequate to meet their livelihood needs? Are buffer zones being degraded as a result? Are there conflicts between farmers/pastoralists and wildlife within or around these areas? Does this arise from restrictions on wildlife harvesting? What are the impacts on farmer/ pastoralist livelihoods, including women? On wildlife preservation?
- **Individualized land/resources.** Is insecure land tenure or insufficient land/resource rights contributing to degradation? Are the current sizes of landholdings, traditional land use practices, and available land use technology no longer appropriate to cope with population growth and land use pressure? What are the impacts of degradation? On women and OVGs? Are unsustainable practices generating off-site impacts (e.g., erosion, flooding, pollution, etc. beyond the degradation source of the degradation)? If so, at what scale?
- **Unsustainable exploitation.** Are these land/resource exploitation industries/practices unregulated or uncontrolled? Are concessions/licenses for exploitation being awarded indiscriminately or without adequate consideration of environmental impacts? Do small-scale resource harvesters have adequate tenure security over land and resources they exploit to encourage sustainable practices? What is the extent of exploitation and consequent degradation? What are the impacts, including on women and OVGs?
- **Peri-urban sprawl/informal settlements.** What are the causes of degradation, public health, or safety problems in informal settlements? Does insecure tenure or inadequate access to land/natural resources (including water) contribute to these problems? What are the impacts, including on women and OVGs? Are there off-site impacts (e.g., pollution, violence)? What is the government's response? Is the government overseeing large-scale evictions without appropriate resettlement plans?
- **Insufficient government capacity.** How is government responsibility for developing, implementing, monitoring and enforcing environmental legislation distributed? Does the government lack sufficient capacity to carry out any or all of these functions? If so, how?
- **Land use planning.** Are appropriate land use planning measures in place? Do these measures realistically take into account existing land uses? Do they take into account multiple land uses and the secondary rights of women (e.g., to collect or gather firewood)? How is land use planning impacting livelihoods, including those of women and OVGs?
- **Land use conflicts.** Is degradation arising from conflict over land and/or natural resources? Are there conflicts between agriculturalists and pastoralists? Are there other conflicts when resource use overlaps on the same parcel of land? What is the severity of these conflicts? What are their impacts and at what scale? Impacts on women and OVGs?
- **Transboundary concerns.** Is degradation emerging from resource conflicts that span national or regional boundaries? What is the nature of these conflicts and who are the parties? To what extent are they driven by competition over resource rights? By off-site impacts of resource uses? What is the extent of these conflicts? What are their impacts (e.g., violence, overexploitation and reduced resource availability, livelihood deprivation)? Who is most affected? How are women and OVGs affected?

### TIER 3 QUESTIONS: Interventions

- **Government priority.** Are natural resource management and biodiversity conservation government priorities? Why or why not? What interventions are they pursuing or planning to pursue? Do these interventions seem likely to address the issue and underlying causes adequately? What are their (proposed) scope, timing, and duration?
- **Donor interventions.** Are USAID or other donors addressing the natural resource management and biodiversity conservation? If so, what interventions are they pursuing or planning to pursue? Do these interventions seem likely to address the issue and underlying causes adequately? What are their (proposed) scope, timing, and duration?
- **New interventions.** What actions are most needed to improve natural resource management and biodiversity conservation? Are actions aimed at improving people's access to and security over land and natural resources

important? If so, specifically which actions would be most beneficial? Are there any factors that might make taking such actions difficult (e.g., political will, human resource capacity, economic, environmental, etc.)?

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## LTPR ASSESSMENT QUICK SHEET:

## WOMEN AND VULNERABLE GROUPS

### KEY INFORMANTS: Who can provide information on this LTPR theme?

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| <ul style="list-style-type: none"> <li>• Women and men land and resource users, including those lacking formal tenure status and tenants</li> <li>• Landless women and men</li> <li>• Community women's groups</li> <li>• Women and men pastoralists, hunter/gatherer groups</li> <li>• Families experiencing death, divorce or (threat of) eviction/expropriation</li> <li>• Customary and other non-state authorities over land matters</li> <li>• Local dispute resolution bodies</li> </ul> | <ul style="list-style-type: none"> <li>• Universities and research institutions engaged in analysis of gender and land rights</li> <li>• Donors, NGOs and advocacy groups concerned land rights for women and OVGs</li> <li>• Organizations advocating for women's rights or providing support to women</li> <li>• Legal aid organizations</li> </ul> | <ul style="list-style-type: none"> <li>• Ministries in charge of Land, Women's Affairs, Forestry, Water, and Environment</li> <li>• Land titling and registration offices</li> <li>• Local government officials</li> <li>• Persons and government institutions involved in allocation of land</li> </ul> |
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### TIER 1 QUESTIONS: Is this a key LTPR concern?

- **Access and control.** Is less than half of the land owned or otherwise controlled by women? Does land ownership/control disproportionately favor more privileged groups? Is the quality of land and associated resources controlled by women/OVGs notably lower than that of men/less vulnerable groups? Do female-headed households face greater difficulty than male-headed households accessing (quality) land? Are women losing access or rights to land or other resources, including common resources (e.g., due to resource competition or enclosures)? Is more than half of the landless or displaced population female? Are there disproportionate numbers of OVGs among the ranks of the landless or displaced?
- **Control rights.** Do most women have significantly less control/decision-making power over land they use compared to men? Are women prohibited from or do they need to ask men's permission to access inputs for their crops, sell crops, or use the proceeds from selling crops? To use trees, water, or other resources on family land? Are women excluded from decisions over who will inherit family land or whether land is leased or sold?
- **Inheritance.** Under statutory law, do widows, daughters, and other female heirs have unequal inheritance rights to land compared to widowers, sons, and other male heirs? Are women's inheritance rights weaker than men's under customary law and/or in common practice? Are widows entitled to a sufficient share of their deceased husband's estate to meet their livelihood needs? Are women in polygamous relationships disadvantaged when it comes to inheritance, especially those who are not first wives?
- **Divorce.** Under statutory law, are women who become separated or divorced from their husbands entitled to less than an equal share of the land? Is this the case with customary law and/or common practice?
- **Formal rights.** What portion of formal, titled land is registered in the names of women only? In the names of women and men jointly? Are women disproportionately excluded from holding formal rights to land?
- **Pastoralists/hunter-gatherers.** Are pastoral/hunter gatherer groups losing access to pasture land, water, and/or other natural resources?
- **Displaced persons.** Is conflict causing people to abandon their land to escape from violence or threats? Are people returning post-conflict facing difficulties resettling back on their land or finding new land? Are people being displaced from their land and communities for other reasons, e.g., forced eviction, extended droughts, floods, depleted soil fertility, resource availability, or environmental contamination? Are they facing difficulties finding new land to resettle on? Are their rights on temporary land or land they have resettled on precarious?
- **Migrants.** Are there large numbers of people migrating for economic reasons? Where are they migrating to: cities, peri-urban areas, commercial farms, other rural communities? Do they confront difficulties in accessing land/housing? Do they face significant tenure insecurity? Is migration contributing to a social welfare problem characterized by high levels of landlessness and unemployment?
- **People living with HIV/AIDS.** Are there significant numbers of people affected by HIV/AIDS? Are infected individuals (threatened with) being dispossessed of their rights? Do families or other people caring for the

infected face challenges in protecting their land rights (e.g., due to depletion of assets, reduced time devoted to using the land)? Are increasing numbers of individuals (especially women) entering the sex trade or practicing unsafe sex as a result of eviction from their land, inability to access land or insecure rights?

- **Indigenous peoples.** Are there indigenous populations who claim territorial rights over large areas of land? Are these rights threatened by competing claims by new settlers, commercial investors, or government? Are indigenous communities losing rights over their lands or seeing their land and natural resources degraded by other claimants or encroachers?

If the country (or other sub-context) is indeed experiencing one of the above women/vulnerable group inequality situations, another question to be addressed is:

- **Livelihood impacts.** What portion of women and different vulnerable groups depend on land and natural resources for livelihoods and economic security? Have outcomes emanating from women/vulnerable group inequality disproportionately harmed the welfare of these groups? How is the welfare of children being impacted by these constraints?

## TIER 2: QUESTIONS

- **Access and Control.** What factors are contributing to women owning/controlling less land? Are patriarchal beliefs and attitudes contributing to unequal inheritance rights in law or in practice? Are they constraining women from accessing sufficient income to lease or purchase land? Are government-sponsored redistribution programs biased against women? What factors are contributing to *diminishing* access to land and resources by women/OVGs, including landlessness and displacement? Is increased scarcity or competition over (good quality) land/resources a factor? Enclosure of the commons? Conflict? Environmental factors? Economic factors? Shifting customs or societal attitudes?
- **Control rights.** What factors are contributing to women having weak decision-making power over family land? Is women's economic productivity constrained as a result? Is their status in the home and/or community diminished? Their ability to look after their own welfare and/or that of their children? Is land being sold or leased out from under women and children by male household heads?
- **Inheritance.** Do women tend to marry outside of their natal village? Is this cited as a common reason why girls do not inherit land from their parents? Are there other reasons why women have weaker inheritance rights? Are weak inheritance rights forcing women to marry to secure their livelihoods, forcing women to remain in unsatisfying or unhealthy marriages, or making them vulnerable if widowed or abandoned by their husbands? Are weak inheritance rights for widows leading to eviction of widows from the marital home?
- **Divorce.** What factors account for the fact that women have weaker marital property rights and are not entitled to an equal share of property upon divorce or separation? What are the impacts of these laws or traditions? Do divorced/separated women find it difficult to access new land or alternative livelihood opportunities? Are they thrust into poverty or vulnerable to entering the sex trade? What are the impacts of women's weaker marital property rights on the children of the couple?
- **Formal rights.** Are systematic registration efforts excluding women from the adjudication process or from having their names recorded on the titles? Are women's secondary rights taken into account in the formalization process? Do women face greater economic or mobility constraints than men when it comes to having land registered for the first time or having transactions recorded? Are women less aware than men of the procedures for doing so? What impacts are manifested by these biases? Are women vulnerable to having land transacted without their consent because their names are not on the title, or to losing land as a result of not formalizing it?
- **Land markets.** How common is it for women and OVGs to rent land? What are the difficulties that women and OVGs might have in renting land? How common is it for women and OVGs to buy land? How do women and OVGs generally pay for the purchase of a new parcel of land (e.g., savings or loans)? What are the difficulties that they might have in buying land? What are the most important sources of agricultural loans for women? Do any of these sources regularly require women to use their land as collateral (guarantee) for the loan?
- **Pastoralists/hunter-gatherers.** What factors are contributing to pastoral/hunter gatherer losing access to land and natural resources? Is increased competition for land a factor? Political domination by non-pastoral groups? Land acquisitions by commercial investors or government? Failure of the state to grant formal recognition of

pastoral rights or to enforce those rights? What kinds of impacts are resulting? Is resource degradation occurring as a result of overgrazing or over extraction of scarce water resources? Is animal health compromised? Are pastoralists losing their animals and therefore their primary source of livelihood?

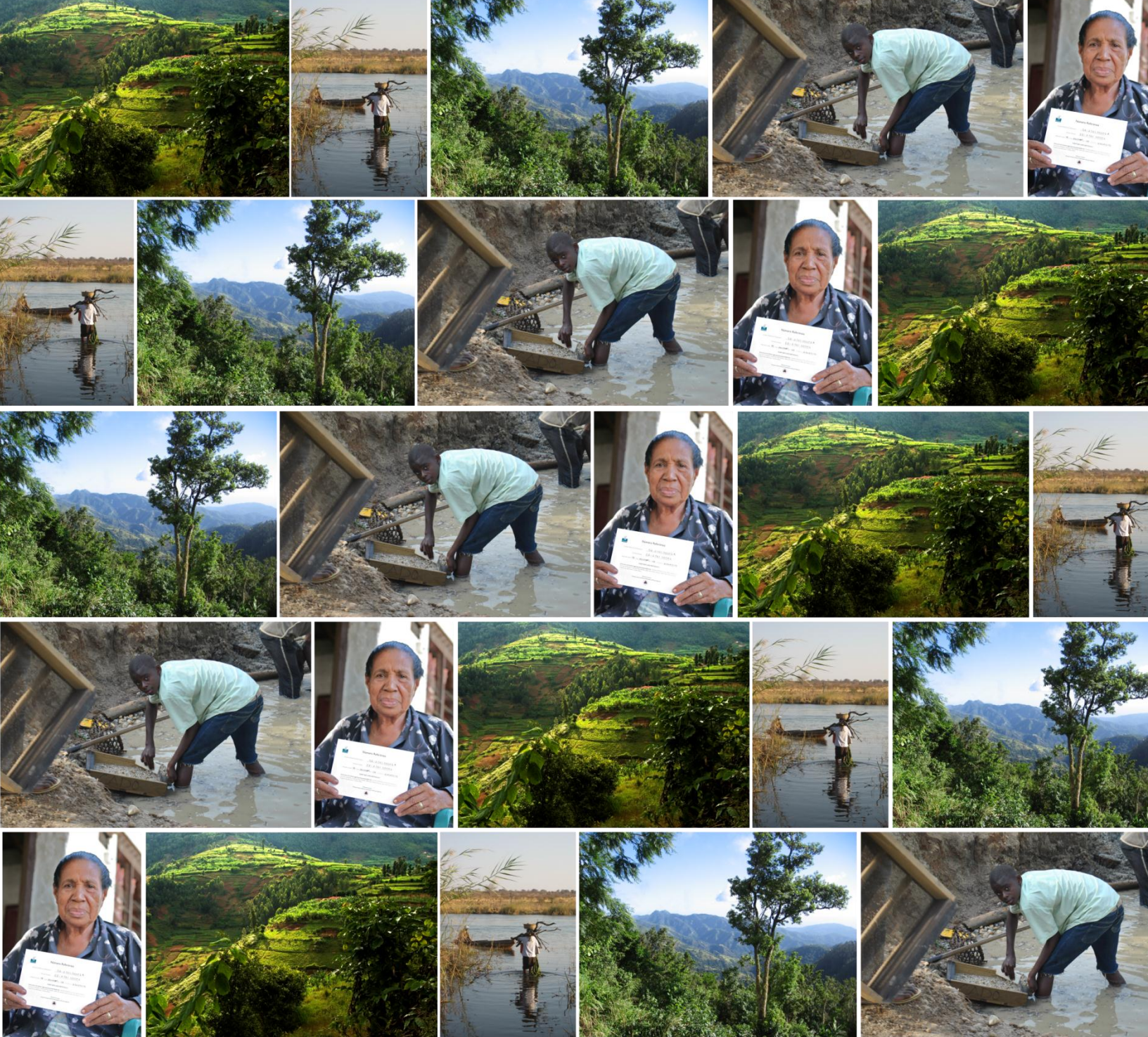
- **Displaced persons.** Are women or vulnerable groups being disproportionately displaced? What are the reasons behind this? What are the impacts? Are women/ vulnerable groups more susceptible to violence? Do they confront greater difficulties in returning to land or resettling on new land? Are their rights on land where they have resettled more insecure than others?
- **Migrants.** What factors are resulting in rising migration? Is tenure insecurity a factor? What are the impacts on people's access to land and land rights? On the land and resource rights of women and vulnerable groups? Is migration leading to sprawling informal settlements and associated health hazards or violence? To disputes with landowners? To social problems, spread of HIV/AIDs, drug use, or crime? What are the impacts of migration on women, including those who migrate, are left behind, and in communities where migrants settle?
- **People living with HIV/AIDS.** What factors are contributing to the spread of HIV/AIDS? Is land tenure insecurity a cause, e.g., through evicted women turning to the sex trade or by inducing labor migration? What are the impacts on people of losing their land as a consequence of HIV/AIDS? What are the societal impacts?
- **Indigenous peoples.** Are the rights of indigenous communities over ancestral lands formally recognized by the state? If so, how? Are those rights respected in practice? Are mechanisms to enforce the rights of indigenous communities sufficient or functional? If not, why? What are the impacts of indigenous communities losing rights over their land or that land becoming increasingly degraded?

### TIER 3 QUESTIONS: Interventions

- **Government priority.** Is LTPR for women and OVGs a priority for government? Why or why not? What interventions are they pursuing or planning to pursue? Do these interventions seem likely to address the issue and underlying causes adequately? What are their (proposed) scope, timing, and duration?
- **Donor interventions.** Are USAID or other donors addressing LTPR for women and OVGs? If so, what interventions are they pursuing or planning to pursue? Do these interventions seem likely to address the issue and underlying causes adequately? What are their (proposed) scope, timing, and duration?
- **New interventions.** What actions are most needed to improve LTPR for women and OVGs? Are actions to improve their access to and security over land and natural resources important? If so, which actions would be most beneficial? Are there factors that might make taking such actions difficult (e.g., political, human resource capacity, economic, environmental, etc.)?

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