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# LAND TENURE AND RESOURCE GOVERNANCE CAPACITY ASSESSMENT FRAMEWORK

INTEGRATED LAND AND RESOURCE GOVERNANCE  
TASK ORDER UNDER THE STRENGTHENING TENURE  
AND RESOURCE RIGHTS II (STARR II) IDIQ

Contract Number: 7200AA18D00003/7200AA18F00015  
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Cover Photo: Community boundary mapping in Let Maung Kway Village Tract, Shan State, Burma. Tenure and Global Climate Change/Burma.

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## INTEGRATED LAND AND RESOURCE GOVERNANCE TASK ORDER UNDER THE STRENGTHENING TENURE AND RESOURCE RIGHTS II (STARR II) IDIQ

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# LIST OF ACRONYMS

CAF	Capacity Assessment Framework
CSO	Civil Society Organization
ELAPA	Ethiopian Land Administration Professionals Association
FOCAS	Functional Organizational Capacity Assessment
GLTN	Global Land Tools Network
HICD	Human and Institutional Capacity Development
ILRG	Integrated Land and Resource Governance
JD	Job Description
KSA	Knowledge, Skills, and Abilities
LFP	Colombia Land for Prosperity
LGA	Ethiopia Land Governance Activity
LRG	Land and Resource Governance
MEL	Monitoring, Evaluation and Learning
NGO	Non-Governmental Organization
OCA	Organizational Capacity Assessment Tool
OE	Organizational Effectiveness
PLUP	Participatory Land Use Planning
TOC	Theory of Change
USAID	United States Agency for International Development
USG	United States Government

# EXECUTIVE SUMMARY

The United States Agency for International Development’s (USAID) Integrated Land and Resource Governance (ILRG) program developed this capacity assessment framework (CAF) comprised of this document (the framework) and the accompanying application tool (the tool). The CAF builds on and complements USAID’s self-reliance metrics, particularly the capacity metrics that focus on government capacity, civil society capacity, and citizen capacity. The CAF measures the effectiveness of capacity-building interventions/activities and offers a dynamic approach to track how capacities develop or change as a result of explicit efforts to cause such change. The CAF is designed to assess changes in the capacity of individuals primarily in relation to their contribution to the effectiveness of the organization<sup>1</sup> of which they are members, and to assess changes in the capacity of organizations over time – both in enabling their members to deploy capacities effectively and in demonstrating progress toward desired outcomes.<sup>2</sup> It can also be used to assess the progress of individuals who engage with a project as individuals independent of an organization, in which case capacity is assessed in relation to the overall program or activity in which they play a role. The CAF can be used to help inform the design of pre- and post-surveys for participants in particular training courses, regardless of membership in a group, to assess direct learning from the course. It can also be used to identify, in a baseline assessment, gaps in capacity in order to inform and orient the focus of subsequent trainings. As such, monitoring of capacity-building activities using this framework goes beyond a simple count of the number of participants trained or the number of organizations receiving support, and becomes a more robust way to measure capacity development related to land and resource governance (LRG).

This framework organizes capacities into three tiers for assessment: 1) technical and non-technical knowledge, skills, and abilities (KSA); 2) organizational effectiveness (OE) factors; and 3) evidence of application of these capacities to demonstrate progress towards achieving targeted LRG outcomes. Assuming basic skills are in place, achieving outcomes requires performance on relevant dimensions of the individual capacities in Tier 1 and the organizational capacities in Tier 2 and an ability to apply these effectively in practice through Tier 3. The CAF presents a menu of assessment capacities relevant to a broad set of LRG activities. The specific capacities from this menu which are relevant to any given program or context will vary. There are 22 capacities in total with 14 in Tier 1 (individual KSA) and eight in Tier 2 (OE), supplemented by eight indicators regarding the application of these capacities in Tier 3 (progress toward outcomes). The objective of capacity development activities is for participating individuals and organizations to develop their capacity in one or more of eight areas of LRG. Most activities are not aimed at addressing all of the Tier 1 and Tier 2 capacities; often, only a few will be selected. Both the framework and the tool help users customize the CAF to their specific objectives.

This framework and tool were designed primarily for use by USAID-funded project teams who are designing and monitoring capacity-building activities. However, because the CAF covers a broad menu of capacities required for LRG and related projects, it may be of interest to additional users such as other funders or implementers of LRG-related activities.<sup>3</sup> [Section 1](#) provides some theoretical background to the framework and explains its purpose and structure. [Section 2](#) offers guidance on administering the

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<sup>1</sup> Organization is used in this document to cover a wide range of entities, including implementing partners (be they non-governmental organization [NGOs] or private firms), government counterpart entities, public or private institutions, and donor agencies.

<sup>2</sup> The question of who should be surveyed with the tool might be predetermined by the project or activity using it; this framework also provides guidance helpful for this determination.

<sup>3</sup> This could include bilateral and multilateral funding agencies when directly managing local partner awards, government institutions, and civil society organizations (CSOs).

framework. [Section 3](#) lists the annexes and briefly describes the purpose of each annex. [Annex 1](#) contains the tool in an Excel format. [Annex 2](#) defines the eight capacity outcomes the CAF is aiming to track progress toward. [Annex 3](#) describes these outcomes based on different stakeholder types. [Annex 4](#) provides detailed definitions, guiding questions, and scoring rubrics (matrices) for assessments – the basis for the Excel tool. [Annex 5](#) shares a template for informed consent. Finally, [Annex 6](#) presents a summary of the pilots of this tool in USAID projects in Ethiopia and Colombia.

Since April 2020, the CAF has been piloted by various ILRG activities. Lessons gathered from these pilots have been integrated into this version of the framework and the tool together with comments from USAID reviewers and peer reviewer Diana Fletschner (Landesa). A revised version of the CAF was piloted by two other USAID-funded projects in 2022 (the Colombia Land for Prosperity Activity and the Ethiopia Land Governance Activity); these final versions of this framework and tool reflect those experiences as well.

# I.0 INTRODUCTION

## I.1 BACKGROUND

The United States Agency for International Development's (USAID) Integrated Land and Resource Governance (ILRG) program developed this capacity assessment framework (CAF) – comprised of this document (the framework) and the accompanying application tool (the tool) – after determining the need for a capacity assessment tool suited for its monitoring and evaluation purposes. The tool was thereafter considered for broader use to help track capacity-building activities and plans with partners. The CAF is designed to build and complement USAID's country roadmap metrics, particularly the capacity metrics that focus on government capacity, civil society capacity, and citizen capacity.<sup>4</sup> The CAF utilizes and complements USAID's Organizational Capacity Assessment Tool (OCA), USAID's Human and Institutional Capacity Development (HICD) Handbook,<sup>5</sup> and Pact's OCA, as well as Tetra Tech's Functional Organizational Capacity Assessment (FOCAS). The tool is consistent with various efforts to benchmark capacity and measure progress over time in the land sector, including the *Capacity assessment in land administration* produced by the International Federation of Surveyors<sup>6</sup> and the Millennium Challenge Corporation's land monitoring and evaluation frameworks. The tool also integrates elements of the Voluntary Guidelines on the Responsible Governance of Tenure of Land, Fisheries, and Forests in the Context of National Food Security<sup>7</sup> regarding legal recognition and allocation of tenure rights, land markets, land administration, and conflict resolution. The tool is complementary to USAID's Local Capacity Development Policy, and is consistent with the Standard Foreign Assistance Indicator CBLD-9 that tracks agency-wide progress to strengthen the performance of local organizations.<sup>8</sup>

## I.2 PURPOSE

The CAF documents and measures the progress of capacity-building activities toward enabling improved land and resource governance (LRG) capacity development outcomes. The CAF is designed to assess changes in the capacity of individuals primarily in relation to their contribution to the effectiveness of the organization of which they are members, and to assess changes in capacity of organizations over time – both in enabling their members to deploy capacities effectively and in demonstrating progress toward desired outcomes. It can also be used to assess the progress of individuals who engage with a project as individuals, independent of an organization, in which case capacity is assessed in relation to the overall program or activity in which they play a role.

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<sup>4</sup> More information is available at: <https://roadmaps.usaid.gov/>

<sup>5</sup> USAID. (2011). *Human and institutional capacity development handbook: A USAID model for sustainable performance improvement*. Washington, DC: USAID. Available at: <https://usaideallearninglab.org/sites/default/files/resource/files/HICD%20Handbook%202011%20-%202008.pdf>.

<sup>6</sup> Enemark, S., & van der Molen, P. (2008). *Capacity assessment in land administration*. International Federation of Surveyors. FIG Publication - FIG Guide, No. 41. [https://www.fig.net/resources/publications/figpub/pub41/figpub41\\_A4\\_web.pdf](https://www.fig.net/resources/publications/figpub/pub41/figpub41_A4_web.pdf).

<sup>7</sup> Food and Agricultural Organization of the United Nations. (2012). *Voluntary guidelines on the responsible governance of land, fisheries, and forests in the context of national food security*. Rome: FAO. Available at: <http://www.fao.org/3/a-i2801e.pdf>.

<sup>8</sup> More information is available at: <https://www.usaid.gov/npicapacity-building-indicator-resources>



The standard version of the tool is designed to provide a relatively consistent way to assess the effectiveness of capacity development activities across people, countries, tasks, and activities. However, the experience of the CAF pilots has also shown that the utility of the tool in a given context is enhanced by significant customization. There is a trade-off between customization, on the one hand, and standardization for the purpose of cross-country comparisons, on the other hand.

In a given country or project context, independent of the extent of customization, the CAF will allow tool administrators to:

- Track the extent of changes in knowledge, skills, and abilities (KSA), and organizational capacity that may be associated with activities implemented to effect such changes;
- Track the extent to which changes in KSA and organizational capacity are applied to effect changes in outcomes; and
- Based on the above, tell an aggregate story of the effectiveness of capacity development efforts across individuals, organizations, and activities.

The CAF can also be used to help plan tailored LRG capacity-building activities and adapt these activities to be more effective based on learning from CAF-produced information. This may include identifying organizational effectiveness issues which could be impacting outcomes, identifying strong organizations who might be able to mentor nascent organizations, or identifying continued or improved training courses by informing pre- and post-test design.

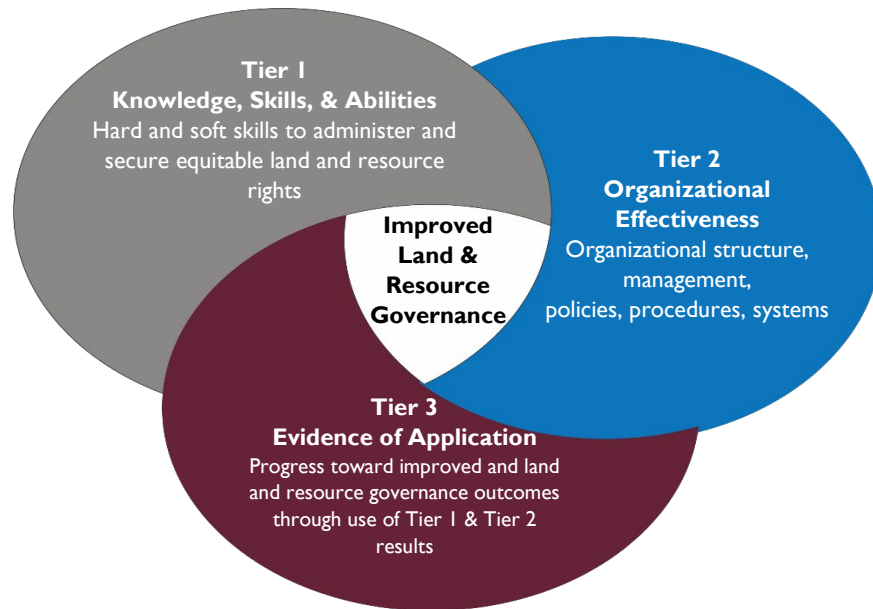
ILRG piloted earlier versions of the CAF in Ghana, Mozambique, and Zambia and then revised, based on lessons learned from those experiences. A key lesson from those early pilots was the need to make it easier for the tool administrator to winnow down the tool's application to the full set of capacities included in the CAF to those relevant and of interest for a given project. Previously, too much time was taken up in preparation and administration as compared to value gained. Given its highly adaptive nature, the amount of effort, time, and money required to apply the CAF will vary across projects. Some projects may have a narrowly defined subset of capacities which are being measured, or may elect to use the tool only at precise moments in time. Most recently the tool was customized for use in Ethiopia and Colombia in non-ILRG USAID-funded projects, primarily as a way to identify gaps in capacities in order to tailor the content of subsequent capacity-building activities and track their effectiveness.

### 1.3 STRUCTURE

As depicted in Figure 1 below, the CAF is organized into three tiers to assess and guide efforts to improve capacity for land and resource governance:

1. **Tier 1** assesses **knowledge, skills, and abilities (KSA)** which individuals need (as staff of organizations, independent professionals, or community members) to administer and secure equitable land and resource rights and contribute to responsible land governance;
2. **Tier 2** assesses the **organizational effectiveness (OE)** of entities in the context of land and resource governance, including enabling individuals within such institutions to effectively use their acquired capacities; and
3. **Tier 3** documents **evidence of application** of new or improved Tier 1 and Tier 2 competencies to improve land and resource governance.

**FIGURE I: CAPACITY ASSESSMENT FRAMEWORK**



#### **I.4 THEORY OF CHANGE**

The theory of change (TOC) underpinning the CAF is:

*If* a program supports the capacity of individuals (staff of relevant entities, independent professionals, community members) through interventions designed to enhance the underlying technical and non-technical KSA required to administer and secure equitable land and resource rights (Tier 1), and *if* the program supports relevant entities to build internal organizational capacity to bolster their organizational effectiveness and enable individuals to apply their capabilities productively (Tier 2), and *if these* individuals and entities do in fact apply the KSA developed within the context of effective organizational management,<sup>9</sup> *then* evidence of progress toward key land and resource governance outcomes will be generated (Tier 3), and one can reasonably infer that the capacity development activities have been effective in contributing to key land and resource governance outcomes.

The TOC relies on some basic assumptions (e.g., literacy and others listed below) that should be validated. The TOC also recognizes that LRG outcomes require more than individual and organizational capacities which are the subject of the CAF. For example, other enabling conditions – such as a sufficient policy environment, material (non-human) resources, information technology, and essential infrastructure – often are also required to achieve improved LRG outcomes. The LRG outcomes to which improved capacities contribute are not, themselves, measured by CAF scores. In the CAF, evidence of application is captured by documenting progress toward outcomes that result from improved capacities (which we call “capacity outcomes”). For example, to achieve gender-related LRG outcomes (e.g., increased percentage of women who perceive their land rights as secure), the capacity outcome of “undertake gender-responsive land sector work” is a vital input. This capacity, in turn, will

<sup>9</sup> Or, in the context of individuals engaged independently, such persons apply the KSAs developed through effective contributions to defined program activities

support other outputs, such as the enactment of a new land law that better recognizes women’s tenure rights and enables their realization in practice. Approval of the new law may also require technical assistance, stakeholder consultation, and advocacy to be achieved. The CAF reflects only the KSA, organizational capacity, and evidence of their application toward being able to undertake gender responsive land sector work.

The elements of each tier are listed in Table 1. Tier 1 is comprised of eight technical “hard” KSA and six more general or “soft” KSA relevant to LRG. Tier 2 encompasses eight organizational capacities that support or hinder an individual or organization’s ability to put their KSA into practice. Tier 3 includes evidence of application of Tier 1, as enabled or hindered by Tier 2, relevant to progress toward eight land and resource governance outcomes. Table 2 maps out the anticipated causal connection between the Tier 3 evidence of application of capacities and illustrative LRG project impacts and outcomes.

**TABLE 1. CAPACITY ASSESSMENT FRAMEWORK OVERVIEW<sup>10</sup>**

Tier 1: Technical & Soft KSA	Tier 2: Organizational Effectiveness	Tier 3: Evidence of Application of KSA for Progress on Land and Natural Resource Outcomes
<p><a href="#">T1</a> ability to use relevant terminology correctly</p> <p><a href="#">T2</a> understanding of relevant land governance processes</p> <p><a href="#">T3</a> awareness of legal framework, policies, principles and standards</p> <p><a href="#">T4</a> ability to use relevant technologies</p> <p><a href="#">T5</a> understanding of land administration and tenure data and ability to use it</p> <p><a href="#">T6</a> understanding of gender issues in land governance and ways to address them</p> <p><a href="#">T7</a> understanding issues related to vulnerable groups and social inclusion and ways to address them</p> <p><a href="#">T8</a> understanding of dispute resolution</p> <p><a href="#">S1</a> end-user focus</p> <p><a href="#">S2</a> negotiating and problem solving</p> <p><a href="#">S3</a> process management and planning</p> <p><a href="#">S4</a> interpersonal resourcefulness and agility</p> <p><a href="#">S5</a> leadership</p> <p><a href="#">S6</a> relationship-building</p>	<p><a href="#">OE1</a> organizational structure and staffing</p> <p><a href="#">OE2</a> operational policies, procedures and systems</p> <p><a href="#">OE3</a> financial management and budgeting</p> <p><a href="#">OE4</a> organizational management and planning</p> <p><a href="#">OE5</a> financial resource mobilization and business development</p> <p><a href="#">OE6</a> customer service</p> <p><a href="#">OE7</a> diversity and gender equality</p> <p><a href="#">OE8</a> leadership</p>	<p><a href="#">A1</a> application of KSA to engage in responsible land-based investment</p> <p><a href="#">A2</a> application of KSA to use land tenure information in participatory land use planning (PLUP)</p> <p><a href="#">A3</a> application of KSA to undertake gender-responsive tenure work</p> <p><a href="#">A4</a> application of KSA to effectively document local land rights, including spatially and legally</p> <p><a href="#">A5</a> application of KSA to sustainably provide efficient land administration functions and services</p> <p><a href="#">A6</a> application of KSA to negotiate fair contracts or agreements</p> <p><a href="#">A7</a> application of KSA to improve law and policy, including through evidence-based advocacy</p> <p><a href="#">A8</a> application of KSA to resolve land and/or resource disputes</p>

<sup>10</sup> Hyperlinks connect to annexes for further details on definition, guiding questions, scoring. Improved land and natural resource outcomes links to definitions of these eight outcomes. Several of these “soft” KSA are inspired by the [Career Architect Development Planner](#). Tier 3 (evidence of application) can be reported for specific individual and/or for an entity based on various individual actions; Tier 2 standing will affect the application of improved KSA.

**TABLE 2: TIER 3 CAPACITY OUTCOMES AND LINKAGES TO LRG PROJECT OUTCOMES**

Tier 3: Capacity Outcomes	Illustrative Linked LRG Project Outcomes
1. Engage in responsible land-based investment	Reduced disputes between investors and host communities
2. Use land tenure information in participatory land use planning	Improved planning and efficiency of peri-urban expansion; improved perceived and actual tenure security
3. Undertake gender-responsive land sector work	Laws and policies that better recognize women’s land rights; increased percentage of women with documented land rights and perceived tenure security
4. Effectively document local land rights, including spatial and non-spatial attributes	Increased percentage of parcels with documented land rights; increased percentage of people with legally documented land rights
5. Sustainably provide efficient land administration services	Time and cost to register land or conduct land-related transactions reduced
6. Negotiate fair contracts or agreements	Reduced disputes; improved perception of tenure security; better economic outcomes of land-based transactions
7. Improve law and policy, including through evidence-based advocacy	Fluidity of land (or land use) market improved; increased investment and improved tenure security
8. Resolve land and/or resource disputes	Reduced land disputes; increased perception of tenure security; increased household investments

## 2.0 GUIDANCE

The CAF can be administered by a project staff member or consultant in collaboration with representatives of a partner organization/group, and/or self-administered by partner organizations or groups. The tool will record whether the scoring of KSAs and OEs is by self-assessment (typically) or evaluated independently. The Improvement Summary tab (the final worksheet in the tool) reports changes in assessed capacity only between scorings done in the same way (i.e., between two self-assessments or between two independent assessments). Scoring is meant to guide conversations and planning, rather than be used for performance management.

The person(s) administering the CAF may be a monitoring and evaluation specialist, a technical specialist, or a trainer or other service provider. This section is written primarily for the scenario in which project staff administer the tool, which is anticipated to be most prevalent. Note that even if the tool is administered by project staff, the scoring can still be a self-assessment that is recorded by the person administering the tool. Alternatively, the scoring can be an independent assessment – performed by the person administering the tool, or by an independent evaluator present during the tool's application. Step-by-step guidance is provided below and should be used in conjunction with the CAF Excel-based tool (see Annex 1).

### STAGE I. PREPARE

#### REVIEW RELEVANT DOCUMENTS

Before administering the tool, one should review project documents as needed to inform the capacity assessment process. These may include some (but not likely all) of the documents listed below. The degree of review required, and number of relevant documents, will vary according to the focus of the CAF (for example, depending on what Tier 3 outcomes are of most interest, some of the following may not be relevant for prior review). Speaking with activity managers to obtain background information may also be a viable (and more efficient) alternative. Documents for review may include some of the following:

- Annual workplan;
- Project award agreement and list of required deliverables;
- Monitoring and evaluation plan;
- Quarterly or other progress reports;
- Training strategy;
- Existing capacity assessments; and
- Relevant monitoring and evaluation data.

#### CLARIFY OBJECTIVES

As indicated in the introduction, the CAF can be adapted for a variety of purposes. The CAF can be used to track individual capacity, organizational capacity, as well as progress over time. It may also be used to help inform the design of pre- and post-surveys for participants in a particular training course, regardless of membership in a group, to assess direct learning from the course.

Specific reasons for its use in a given context may include:

- Planning tailored land and resource governance capacity-building interventions;
- Tracking whether changes in abilities, competence, and organizational capacity are applied to effect changes in outcomes;
- Identifying strong organizations which may be able to mentor nascent organizations;
- Identifying organizational effectiveness issues which could be impacting outcomes; and/or
- Informing pre- and post-tests for training courses.

The objective of the tool will naturally impact the choices made in the subsequent steps.

### SELECT TARGET GROUPS/INDIVIDUALS

Capacity development activities are conducted with a variety of stakeholders. These may include representatives from central or local government, customary authorities, non-governmental organizations (NGOs) or civil society organizations (CSOs), private businesses, or other individuals (e.g., professionals working independently, community members). Annex 3 (Table 2) outlines illustrative ways in which capacities might manifest differently across these categories. The selection of target groups must take into account the current workplan, the monitoring and evaluation plan, and any other relevant technical documents. The CAF is applied differently for members of an organization where the interest is in understanding how individual capacities translate into a functioning organization versus individuals who are tracked on their own.

### NARROW THE FOCUS OF ASSESSMENT

Not all of the eight identified capacity development outcomes (i.e., those listed in Tier 3) will be relevant for all organizations or individuals participating in an activity. Similarly, within the Tier 1 and Tier 2 capacity areas, not all of the capacities will always be relevant or viable for the project to address and thus for a project to assess using the CAF. Rather, the assessing team (including the respondent, i.e., person taking the survey) will determine which assessment factors are applicable in each case.

The Excel-based CAF helps to narrow the focus of questions through a series of yes/no questions in the first tab, labeled Pre-Survey. The responses then narrow the list of factors to monitor in the Tier 1, 2, and 3 tabs, by changing the color of the corresponding rows with questions to be red, orange, or green, ensuring that the tool is only asking pertinent question (i.e., the user is prompted to answer questions in green rows, to skip questions in red rows, and to determine the relevance of questions in orange rows and either answer or skip accordingly). The determination of relevance follows the Default Applicability Guide (which is in the second tab of the tool, normally hidden). However, the tool does allow the user to override this choice: the left-most column in the KSA and OE tabs solicits a Y/N question on relevance which can override the default applicability.

The choice of which capacities to measure stems from a combination of considerations:

- **Nature of organization/group:** If an organization is a small, nascent community-based organization, or a group of individuals brought together temporarily for the purposes of a training, then some of the OE questions may not be relevant. If it is a large organization, or is growing rapidly, then these questions may be more relevant and important to measure. As mentioned earlier, if the individual being assessed is an individual working independently, then the OE section of the tool will not be applied (that entire tab will be hidden);

- **Focus of organization:** The type of services or emphasis of an organization will help inform which subset of technical KSA on which to focus. For instance, an organization may only have a mandate to work on issuing land certificates. In such a case, the land administration capacities would be relevant, but the resolution of land conflicts may be the domain of a different organization and thus not relevant; and
- **Nature of interventions:** If partner organizations express a need for certain types of capacity-building interventions, or the project implementer observes certain gaps in technical knowledge, then a corresponding and appropriate subset of capacities can be selected to be the focus of assessment. For example, this tool includes a subset of “soft” skills and organizational effectiveness measures. Organizations are encouraged to review USAID’s OCA, as well as other assessment tools, as appropriate, to determine whether there are any measures they wish to add to or replace within the CAF.

## ASSUMPTIONS

Before administering the tool, the user should note any assumptions about factors that may influence uptake or application of capacity-building intervention. This could include, for example, any assumptions about the context (e.g., a land policy is passed), about the organization (e.g., there is not significant staff turnover), about the individual (e.g., literacy, digital literacy, or the individual continues to provide land services), or about causality (e.g., noting other actors providing capacity-building in the land sector). Similarly, assumptions might change (or new ones be added) subsequent to the first application of the tool but before implementation of a capacity-building activity or action. For example, an initial application of the tool before implementation of any capacity-building plan will help inform assumptions about baseline capacity levels. The section of the tool (in the Pre-Survey tab) in which assumptions are noted is organized to allow assumptions to be recorded at different stages.

## LOGISTICS

The CAF tool is presented in Excel in Annex I (the underlying rubrics on which it is based are provided in Annex 4). The intention is that the CAF will be administered using a laptop or other handheld device and the answers be entered directly into the tool. Before starting, be sure to enable macros. When opening the workbook, answer yes if prompted to enable macros. Otherwise, check Excel settings to ensure macros are not disabled.

If you are using the tool to perform an assessment of an organization and it is your first time using the tool, it is suggested you allocate at least three hours to go through the tool. Be sure to schedule at a time convenient for the individual or organization being assessed.

## COMMUNICATION

It is critical that communication with the individual or organization being assessed is clear in terms of:

- The goal of the assessment;
- How the information will be used. This will be important in terms of managing expectations. Be clear as to whether the information will inform the development of a training, or is a part of a required assessment to measure change over time;
- Confidentiality. Clarify whether you will be noting the names of individuals and how you will protect information shared during the assessment;
- The duration of the assessment. Clarify time expectations;

- The number and type of people who will be interviewed. Also specify if this will be a one-on-one interview, a self-assessment, or more of a focus group discussion; and,
- Agree upon a location for the assessment – ideally a quiet location where the assessment can be conducted without interruption.

## STAGE 2. CONDUCT ASSESSMENT

### EXPLAINING ASSESSMENT OBJECTIVE

Explain the purpose of the assessment and why it is being conducted. Emphasis should be placed on building capacity of the organization or group of individuals (e.g., local surveyors). The tool is intended to be used to facilitate an open conversation about the organization’s strengths and areas for improvement and chart out a path for achieving those objectives. The person administering the tool and the organization(s) whose staff are participating should assure that participants understand the purpose of the CAF, stressing its use for professional and/or organizational development and not performance assessment or management.

### OBTAINING PERMISSION

Annex 5 contains an informed consent form. All participants in an assessment should fill out this form. The only exception is if this tool is being used to administer a simple pre- and post-test and the answers are anonymous. If any aspect of the nature of the engagement or organization indicates that a capacity assessment would be sensitive, unwelcome, or unacceptable, this tool may not be appropriate. As applied after capacity-building intervention(s), it is meant to assist in assessing the impact and quality of the intervention, in order to refine such interventions in the future.

### ASSURING CONFIDENTIALITY

It is important that precautions be taken with respect to confidentiality in capturing data. It is not advisable to audio record the conversations. Caution should be taken in respect to taking notes on comments, so that attribution is not made to an individual. This is also important in ensuring that participants feel safe to express their honest assessments of their own or their organization’s capacities.

### FACILITATING A DIALOGUE

Each of the capacities listed in Table 1 is accompanied by a list of illustrative assessment questions (see Annexes 1 and 4). With a few exceptions (e.g., a training course), these questions are not intended to be asked in a survey-like manner, with one question following the other and every answer recorded. Rather, these are to serve as a guide to prompt a dialogue on the given capacity. If resources permit, it may be helpful to have one person administering the tool (and engaging in dialogue with participants) and a different person recording answers in the Excel tool. Through this exchange, the respondent’s capacity ideally becomes apparent and can be placed on the 0 – 4 scale, from “minimal or no capacity” to “strong capacity.”

### SCORING

A scale from 0 to 4 is provided for each capacity as follows:

MINIMAL OR NO CAPACITY	LOW CAPACITY	BASIC CAPACITY	MODERATE CAPACITY	STRONG CAPACITY
0	1	2	3	4



Scoring is done by the administrator of the tool or, in some cases, collaboratively with participants, and is more of an art than a science, as while there are descriptions of each score along the continuum, perceptions by the person administering the tool can vary and are necessarily subjective. There is also the potential risk that some interviewees may wish to underrate their capacities in anticipation of an incentive, such as a training course, or, conversely, may overrate their capacities to make the case that they are suitable partners. Rather than focus too much on the particular score, interviewers are encouraged to use the guiding questions to engage in a dialogue that allows a consensus to emerge about the organization's relative strength in a given area. One approach to mitigate under (or over) rating is to incorporate a third-party independent assessor who can join the discussion and enter their own scoring. The administrator of the tool could potentially play this role but preferably it would be another person. The current version of the tool allows (but does not require) independent scoring as well as self-assessment, each appropriately marked. Note these capacities should not be viewed as equally important or of equal weight. Some capacities are clearly more critical than others, and their relative importance may also vary in the context of specific objectives.

### **STAGE 3. DEVELOP A CAPACITY IMPROVEMENT PLAN**

Based on CAF findings, some partners who receive consistent and long-term engagement may develop and implement a capacity improvement plan. Such a plan should identify: a) how to meet the identified and prioritized needs through a mix of activities (e.g., training, coaching, mentoring, demonstration, experiential learning); b) the specific relevant capacity or capacities to be addressed; c) the timeline; d) the responsible parties; e) the intended participants; and f) notes on completion. Key elements of the plan will be entered into the Excel tool, in order to allow the CAF to be used in tracking progress related to the plan's implementation.<sup>11</sup> The primary KSAs and OEs targeted in the capacity improvement plan will be noted in the tool, and the Improvement Summary tab will differentiate changes from targeted and non-targeted KSAs/OEs.

It is important that the project's contract requirements, annual workplan, and related documents be referenced in the selection of capacity-building activities. To avoid the risk of over-promising to partner organizations and to maximize efficiencies, it is suggested that a draft capacity improvement plan first be discussed internally among relevant project staff to determine what is appropriate and feasible. Subsequent conversations with partner organizations can then confirm the plan for improving capacity.

It should also be noted that the assumption is not that a single project is obligated to meet the capacity-building needs of a given organization. As part of a system of organizations working in land and resource governance, part of the role of a USAID program staff member could be to help identify opportunities for partner organizations to increase knowledge, skills, and abilities. This may also include identifying stronger organizations who may be well suited to serve as mentoring organizations for more nascent organizations. The section of the CAF tool soliciting information about the capacity-building plan will allow the user to differentiate among interventions supported by different projects or donors, including which capacities are being targeted by those respective interventions.

Teams are encouraged to look across the needs identified by different stakeholders to identify opportunities for individuals and organizations to learn together, both to ensure cost efficiency and to help stakeholders build strong networks among themselves. The CAF will also evaluate where existing stakeholder capacity can be leveraged to help support other stakeholders (e.g., where an organization can support or mentor another organization in the development of a particular skill).

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<sup>11</sup> The information gathered and recorded in the CAF will not support strict attribution but will be sufficient to allow a reasonable inference of causality when viewed in context.

## STAGE 4. MONITORING & EVALUATION

The Excel tool can fill the role of evidence tracking for the purpose of monitoring and evaluation for capacity development objectives and intermediate progress toward outcomes.

This process will examine progress made on the targeted capacities and look at whether that progress has helped the stakeholder increase their contribution to key outcomes (e.g., by reaching more and more diverse people, broadening technical areas, or doing higher quality work in existing areas). Through Tier 3, evidence will be built that the capacity development efforts are translating into action steps toward improved land and resource governance outcomes.

### GATHER EVIDENCE OF APPLICATION

It is important that documentation be gathered (evidence of application – see Table I and Annex 4) of observable actions that signal change from the earliest stages of the process and that track progress toward outcomes over time. For example, this might include logbooks indicating the number of land disputes resolved, land certificates showing inclusion of women, a database of land documentation, or evidence of vulnerable populations asserting their rights. See Annex 4 for a list of specific examples for each of the eight outcomes. This will provide an indication of how well participants are applying the KSA and OE improvements toward achievement of each capacity and ensure there is proper documentation to back up any assertions about the impact of project interventions.

### REVISIT ASSUMPTIONS

While analyzing changes across metrics, it will be important to revisit assumptions which underpinned interventions and to test assumptions which might explain changes. As noted earlier, the tool has a section (in the Pre-Survey tab) where key assumptions as well as changed circumstances can be recorded as relevant at different stages between applications of the tool. This could include such elements as:

- Individuals or institutions may have changed their capacity over time, including learning by doing, internal skills development (mentoring, coaching, training) without external assistance, and/or through support from other external organizations, projects, or initiatives;
- Programmatic goals (including areas of thematic focus or importance) may change over time, resulting in shifts in the capacity development plan; and/or
- Legal or policy reforms may have been enacted, rendering comparisons of certain KSAs partially obsolete.

Through such questioning, it may be possible to narrow the possible sources of changes in capacity and help to determine whether and how interventions offered from the project played a role.

### CONSISTENCY

Comparing assessment scores for organizational effectiveness over time may present some challenges given constraints on availability and possible staff turnover. To the extent possible, to try to maintain consistency across time (i.e., the same individual would score the organization at point A and point B). Information regarding the names and titles of participants can be maintained in the tool, or coded (with names kept separately for reference, if confidentiality is a concern). In this way, the user of the tool can note any changes in respondents over time. Similarly, the person administering the tool may also change, and this could impact scoring. Noting the interviewer's name will be important to be able to determine if a change in interviewer may influence scores. Tool administrators may choose to conduct self-assessments or objective assessments; there is not necessarily a need to reach a consensus on the

ratings. If the option to use an independent evaluator is used, then the same evaluator should be used for assessments done prior to and after the intervention. Changes in the partner organization's staff should also be noted, in order to allow the assessment to understand causes for capacity changes tracked by the tool.

### ATTRIBUTION/CAUSALITY

Capacity changes over time and is time and context dependent.<sup>12</sup> This change can be considered a direct effect of a capacity intervention, but can also be an indirect or emergent effect from contextual influences. The section of the tool recording the key elements of the capacity development plan allows for the user to identify the targeted KSAs and OEs, and the Improvement Summary tab tracks changes in those primary learning objectives. Nevertheless, changes in capacity may be attributed to many factors that are unrelated to the direct interventions by the project; thus, projects need to be careful in attributing a cause and effect relationship to the project. Changes could also be due to the organization learning on its own, internal capacity building, changes in staff, or capacity building from another external organization/initiative.

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<sup>12</sup> De Vries, W. T., Groenendijk, L., Musinguzi, M., & Selebalo, C. (2016). *Developing capacity assessment tool for land policy implementation: Experience from Kenya and Uganda*. Washington, DC: World Bank.

## 3.0 LIST OF ANNEXES

ANNEX	PURPOSE
Annex 1. Capacity Assessment Framework Tool (Excel)	Excel-based tool is to be used in administering the CAF
Annex 2. Land and Resource Governance Capacity Outcomes	Defines the eight capacity outcomes which are expected to be impacted by capacity building activities and their relation to broader LRG outcomes
Annex 3. Capacity by Type of Partner or Stakeholder	Demonstrates the ways in which the eight outcomes may manifest by stakeholder type
Annex 4. Capacity Rubrics (Definitions and Scoring Benchmarks)	Defines, shares guiding questions, and offers a scoring matrix for each capacity within the three tiers
Annex 5. Informed Consent Statement	Used to ensure consent before conducting an assessment
Annex 6. Summary of 2022 Pilots	Share the experiences of the Ethiopia Land Governance Activity and the Colombia Land for Prosperity Activity in using the CAF

# **ANNEX I. CAPACITY ASSESSMENT FRAMEWORK TOOL (EXCEL)**

The Excel-based file can be accessed on USAID's Development Experience Clearinghouse [here](#).

## ANNEX 2. LAND AND RESOURCE GOVERNANCE CAPACITY OUTCOMES

1. **Engage in responsible land-based investment.** The ability to apply, adhere to, or monitor relevant standards of responsible investment.
2. **Use land tenure information in participatory land use planning.** The ability to participate in or lead participatory land use planning exercises using land tenure information as a factor for decision-making.
3. **Undertake gender-responsive land sector work.** The ability to integrate gender in making land and resource governance-related decisions and create an environment where women have equal rights and access to land and resources within programs and decision-making processes. Women are empowered to take actions to defend their land rights.
4. **Effectively document local land rights.** The quality and effectiveness to implement and participate in the local documentation of land rights, including mapping of parcel boundaries, identification of ownership, use, and access rights, and creation of corresponding records.
5. **Sustainably provide efficient land administration services.** The ability to provide land administration services that meet the needs of citizens and communities and do so efficiently and affordably so that these services are sustained over time.
6. **Negotiate fair contracts or agreements.** The willingness to – and effectiveness in – negotiate solutions that are fair and that work for all parties.
7. **Improve law and policy, including through evidence-based advocacy.** The ability to identify and address weaknesses in existing laws, regulations, and policies and take steps to improve these policies to better serve the country and people, particularly as informed by evidence.
8. **Effectively resolve land and resource disputes and conflicts.** The capability to identify and efficiently resolve disputes related to land rights through relevant judicial, administrative, or customary processes, in an equitable fashion.

## ANNEX 3. CAPACITY BY TYPE OF PARTNER OR STAKEHOLDER

The table below lists some common categories of land tenure and property rights stakeholders. The list of these stakeholders will vary by context, as will the type of capability required of that type of stakeholder for a given outcome. Therefore, this table should serve not as a rigid framework, but as a starting point for understanding the potential expression of capacities for different types of stakeholders.

**TABLE 2. ILLUSTRATIVE CAPACITY BY TYPE OF PARTNER OR STAKEHOLDER**

CENTRAL GOVERNMENT	LOCAL GOVERNMENT	CUSTOMARY AUTHORITY	NGO/CSO	PRIVATE SECTOR ENTITY	INDIVIDUAL ENGAGED INDEPENDENTLY
<b>I. ENGAGE IN RESPONSIBLE INVESTMENT<sup>13</sup></b>					
Understand risks and opportunities; monitor compliance with law and standards; provide information to all relevant stakeholders including investors, landholders, land authorities.	Understand risks and opportunities; support quality assessments; support communities in the process.	Understand risks and opportunities; engage in consultation; make informed decisions that safeguard rights of community (all members).	Understand and create awareness of laws and standards; recognize red flags; help identify shared benefits; support monitoring.	Comply with laws and standards; assess tenure and impacts; consult and inform; mitigate risk; respect terms.	Recognize the value of land and investment; advocate and clarify tenure rights; be empowered to raise red flags.
<b>2. USE LAND TENURE INFORMATION TO COMPLETE PARTICIPATORY LAND USE PLANNING (PLUP)</b>					
Incorporate land tenure information into local and regional PLUP, national land management, and land-based investment plans.	Use land tenure information for PLUP processes that involve documentation of customary land rights, resource management, and investment.	Use land tenure information to engage in public PLUP processes; carry out and use PLUP for customary documentation of land rights, resource management, and investment.	Use land tenure information to effectively participate in, facilitate, or lead PLUP activities with local government, customary authorities, investors, and individuals that might need support.	Use land tenure information to understand local and customary land use plans; use PLUP as a tool for investment planning; engage in PLUP as relevant.	Use land tenure information to understand processes, use land tenure terms; and identify issues to support community or individual, ensuring that they benefit from/are not harmed by PLUP outcomes.

<sup>13</sup> This table includes a very abbreviated and high-level snapshot for each type of actor. For detailed information on roles and responsibilities of different actors, see Guidebooks for Responsible Investment in Land and Property (<https://ripl.landesas.org/>) prepared by Landesa with the support of the Department for International Development.

CENTRAL GOVERNMENT	LOCAL GOVERNMENT	CUSTOMARY AUTHORITY	NGO/CSO	PRIVATE SECTOR ENTITY	INDIVIDUAL ENGAGED INDEPENDENTLY
<b>3. UNDERTAKE GENDER-RESPONSIVE LAND SECTOR WORK</b>					
<p>Develop awareness of current gender biases in land and resource governance and tenure and be able to identify issues; develop awareness of benefits to addressing gender biases in both governance and tenure; identify and realize opportunities for adoption of best practices; ensure that women have equal rights under laws, policies, and regulations; ensure that gender bias is eliminated from the implementation of policies, laws, and administrative practices; achieve gender balance in leadership and decision-making.</p>	<p>Develop awareness of current gender biases in land and resource governance and tenure and be able to identify issues; develop awareness of benefits to addressing gender biases in both governance and tenure; identify and realize opportunities for adoption of best practices; ensure that women are represented proportionally in local land governance and resource tenure programs, and are empowered to fully participate in land governance and resource programs as well as related decision-making bodies; reduce bias in local administrative processes; support national policies to achieve gender equity and women's empowerment.</p>	<p>Develop awareness of current gender biases in land and resource governance and tenure and be able to identify issues; develop awareness of benefits to addressing gender biases in both governance and tenure; identify and realize opportunities for adoption of best practices; ensure that women's land and resource rights are recognized and protected in practice and in customary norms and rules; reconcile differences between customary norms and rules and statutory rules and practices related to women's land rights, gender equality – and always strive to achieve more equity and empowerment for women.</p>	<p>Develop awareness of current gender biases in land and resource governance and tenure and be able to identify issues; develop awareness of benefits to addressing gender biases in both governance and tenure; identify and realize opportunities for adoption of best practices; recognize the benefits of and advocate for secure and equitable land and resource rights for women; ensure women are empowered to fully participate in land governance processes, decisions, and programs; help identify sources of gender bias and ways to reduce it and lead these changes.</p>	<p>Develop awareness of current gender biases in land and resource governance and tenure and be able to identify issues; develop awareness of benefits to addressing gender biases in both governance and tenure; identify and realize adoption of best practices; recognize benefits of and support secure land rights for women; ensure women are empowered in consultation and planning processes, decisions and programs; help identify sources of gender bias and lead these changes.</p>	<p>Develop awareness of current gender biases in land and resource governance and tenure and be able to identify issues; develop awareness of benefits to addressing gender biases in both governance and tenure; identify and realize opportunities for adoption of best practices; identify and act on opportunities for empowerment of women, advocacy, or other steps to reduce bias; model gender-equitable behavior.</p>
<b>4. EFFECTIVELY MAP AND DOCUMENT LOCAL LAND RIGHTS, INCLUDING BOTH SPATIALLY AND LEGALLY</b>					



CENTRAL GOVERNMENT	LOCAL GOVERNMENT	CUSTOMARY AUTHORITY	NGO/CSO	PRIVATE SECTOR ENTITY	INDIVIDUAL ENGAGED INDEPENDENTLY
Set and monitor policy and standards; provide financial and technical support, oversight and validation as required; manage investment projects; support dispute resolution through relevant judicial, administrative, and/or customary processes.	Set, implement, and monitor policy; provide financial and technical support; comply with norms and standards as required; manage projects; support dispute resolution.	Set, implement, and monitor customary policy; comply with local or national norms and standards as required; manage projects; support dispute resolution.	Support government and citizens in achieving land documentation through advocacy, training, implementation, project management, and monitoring; raise awareness about processes and benefits.	Understand the status of rights and documentation; advocate for and support land rights documentation by government, customary authorities, or communities, in and around investment areas.	Understand and engage in the processes and benefits of documentation of land rights, as appropriate to tenure status.
<b>5. PROVIDE EFFICIENT AND EFFECTIVE LAND ADMINISTRATION FUNCTIONS OR SERVICES</b>					
Set policy and standards; ensure processes and services are sufficient, efficient, and affordable; maintain records and accessible information systems.	Carry out processes and services, as relevant, in a timely and affordable manner; maintain up-to-date records and accessible information.	Set and implement customary practices for maintaining and accessing land records and providing services to community members and outsiders.	Understand key procedures and help people navigate them; advocate for inclusive records and services.	Use land administration system; advocate for reliable, comprehensive, affordable, and locally accessible records and efficient services.	Understand relevant land administration services and how to access these; seek government/ customary authority accountability and transparency.
<b>6. NEGOTIATE FAIR CONTRACTS OR AGREEMENTS</b>					
Set and enforce norms and standards for fair contract negotiation; provide information and facilitation.	Support fair and efficient processes; facilitate and monitor; provide information.	Support fair and efficient processes; facilitate and monitor; provide information.	Help address legal and administrative challenges to contracts; know how and when to escalate; inform or support fair processes and dialogue.	Engage in negotiations fairly and transparently; resolve conflicts and establish grievance mechanisms.	Understand processes and support appropriate risk and benefit sharing in negotiated contracts or solutions.
<b>7. IMPROVE LAW AND POLICY, INCLUDING THROUGH EVIDENCE-BASED ADVOCACY</b>					
Collect, use, or provide information to inform policies; identify needs and effectively draft proposed legislation.	Collect, use, or provide local land information to advocate for improved policies and norms.	Collect, use, or provide information about customary land rights and uses to set or advocate for improved norms.	Generate, use, or provide information to support policies; help citizens understand their land rights, benefits, and risks.	Identify relevant issues in law or policy and provide or use related evidence to advocate for change.	Identify relevant issues in law or policy and provide or use related evidence to advocate for change.

CENTRAL GOVERNMENT	LOCAL GOVERNMENT	CUSTOMARY AUTHORITY	NGO/CSO	PRIVATE SECTOR ENTITY	INDIVIDUAL ENGAGED INDEPENDENTLY
<b>8. RESOLVE LAND AND/OR RESOURCE DISPUTES</b>					
Resolve disputes through relevant judicial, administrative, and/or customary processes.	Resolve disputes through relevant judicial, administrative, and/or customary processes.	Resolve disputes through relevant customary processes.	Promote fair and equitable dispute resolution processes based on agreed upon standards and customs	Effectively access dispute resolutions following relevant judicial, administrative, and/or customary processes.	Effectively access dispute resolutions following relevant judicial, administrative, and/or customary processes.

# ANNEX 4. CAPACITY RUBRICS (DEFINITIONS AND SCORING BENCHMARKS)

Please note that for all rubrics, the assessment methodologies mentioned, as well as the suggested questions, are illustrative and can be supplemented or substituted, as appropriate.

## TECHNICAL KSA

### T1. ABILITY TO USE RELEVANT TERMINOLOGY CORRECTLY

**Objective:** To determine whether the individual has learned the correct terminology and concepts needed for his or her function or roles and can use these terms effectively and appropriately in professional discussions, including terminology related to gender and social inclusion.

**Assessment method suggestions:** For training classes, a vocabulary test may be given on key terms that will be/are defined. In addition (or instead in some contexts), on-the-job observation of the individual(s) or interviews with the individual(s) can be used to verify learning with some delay from the time of the course (e.g., three to six months). This capacity is conducive to pre- and post-engagement assessment.

**Illustrative assessment questions and resources:** List the land governance and land tenure issues that you regularly face in your work? Can you explain your role in addressing land governance and land tenure issues? Can you define the following key terms...? Training materials or pre-existing glossaries are useful resources.

MINIMAL OR NO CAPACITY 0	LOW CAPACITY 1	BASIC CAPACITY 2	MODERATE CAPACITY 3	STRONG CAPACITY 4
The individual does not use relevant terminology or uses it incorrectly; the individual cannot correctly define or explain key terms.	The individual has a basic familiarity with relevant terminology, can define some key terms but frequently misuses them.	The individual has a basic familiarity with relevant terminology, can define some key terms but struggles to define or use others.	The individual is familiar with relevant terminology, can define most key terms, and can use most of them in correctly in professional conversations.	The individual can define or explain all relevant terms correctly, including nuances and can define all key terms; the individual can use relevant terms correctly in professional conversations.

### T2. UNDERSTANDING OF RELEVANT LAND GOVERNANCE PROCESSES

**Objective:** To determine whether the individual has learned the what, who, and when of specific processes relevant to their work and can explain them to others as required for their role or function.

**Assessment method suggestions:** For training classes, a test may be given on the process information that will be/are defined. However, on-the-job observation of the individual(s) as well as an interview/dialogue with the individual(s) is likely to yield a more accurate assessment and is therefore preferred. This capacity is conducive to pre- and post-engagement assessment, but conducted in the preferred format noted above.

**Illustrative assessment questions and resources:** When and for what is process x required? Can you describe the process for ...? Can you explain your role in the . . . process? Your organization’s role? Can you list other individuals or organizations who have roles in this process? Can the role of these others in the . . . process? Can you map out the relationships between the organizations involved in land and resource governance?

*Note: these questions should be asked separately for each relevant process and the scoring below should reflect performance across all the processes assessed.*

MINIMAL OR NO CAPACITY 0	LOW CAPACITY 1	BASIC CAPACITY 2	MODERATE CAPACITY 3	STRONG CAPACITY 4
The individual is unaware of the process(es) relevant to her/his roles or functions.	The individual has a rudimentary familiarity with the process(es) relevant to her/his roles or functions but incorrectly describes them.	The individual is familiar with the process(es) relevant to her/his roles or functions, including how they relate to the roles of others in their organization (if applicable) or people’s roles in other organizations, but makes some mistakes in describing them or omits key steps.	The individual is familiar with the process(es) relevant to her/his roles or functions and can describe the process with only immaterial error, citing all key steps.	The individual can explain the process(es) relevant to her/his roles or functions and can correctly describe all steps; the individual can identify ways to improve the process.

### T3. AWARENESS OF LEGAL FRAMEWORK, POLICY, PRINCIPLES AND STANDARDS

**Objective:** To determine whether the individual understands relevant content of the land governance-related “normative framework,” including polices, laws, regulations and other widely endorsed principles and standards, and can correctly discuss content of the normative framework as relevant for their roles or functions.

This capacity has two sub-components that should be scored separately when relevant (see Table I and the Default Applicability Guide, incorporated into a separate tab in the tool, to assess relevance):

#### T3.1 Core elements of normative framework.

**Sub-objective 1:** To determine whether the individuals understand the basic concepts and critical norms and requirements within the polices, laws, and regulations that must be understood to have the capacity to do *any work related to land governance* and can correctly discuss this content and the implications for the individual’s roles or functions.

#### T3.2 Specialized elements the normative framework.

**Sub-objective 2:** To determine whether the individuals understand the key concepts and critical norms and requirements within the polices, laws, and regulations beyond the basics required in T3.1 and that are specifically important *to a particular specialized area of work related to land governance* (e.g., land-based investment, land surveying) and can correctly discuss this content and the implications for the individual’s roles or functions.

**Assessment method suggestions:** Guided self-assessment is a good approach for this capacity, using a test-style template with an appropriate mix of multiple-choice questions, the types of questions below, and situational exercises relating to the information shared. A team member could review the responses with the person, offer guidance on improved responses (which could also be considered capacity development), and record a capacity score. This could be repeated again six months later to see if learning was retained. For some participants and contexts, assessment will be best done through a group reflection session or on-the-job observation followed by collaborative one-on-one discussions about strengths and gaps. Depending on which approach is taken, this capacity may or may not be conducive to pre- and post-engagement assessment.

**Illustrative assessment questions and resources:** Can you list the policies, laws, regulations, and other standards or principles that directly guide/govern your work? Can you explain ... (ask about the particular pieces of the normative framework that the capacity development activity focusses on)? What are the key provisions that enable you to carry our role/function x? What are the key provisions that you must comply with in the conduct of role/function x? What are the political economy considerations which need to be taken into account? For some aspects of the normative framework, the activity team might also find relevant questions or other reference material to help frame the training and the assessment on this capacity specifically such as checklists or primers that highlight the key concepts, critical norms, and requirements for certain actors and certain roles or functions.<sup>14</sup>

MINIMAL OR NO CAPACITY 0	LOW CAPACITY 1	BASIC CAPACITY 2	MODERATE CAPACITY 3	STRONG CAPACITY 4
The individual is unaware of most of the essential policies, laws, regulations, principles, and standards relevant to their role or function.	The individual has a basic awareness of the essential policies, laws, regulations, principles, and standards relevant to their role or function. The individual is not able to list most of the relevant elements of the normative framework and is unable to or incorrectly describe(s) key content.	The individual has a basic awareness of the essential policies, laws, regulations, principles, and standards relevant to their role or function. The individual is able to list most of the relevant elements of the normative framework but shows gaps in describing and makes mistakes in describing key content.	The individual has a sound awareness of the essential policies, laws, regulations, principles, and standards relevant to their role or function. The individual is able to list all of the relevant elements of the normative framework, shows few gaps in describing, and makes few immaterial mistakes in describing key content. The individual can describe	The individual has a strong understanding and can explain the essential policies, laws, regulations, principles, and standards relevant to his/her role or function. The individual can correctly describe all of the relevant elements of the normative framework and describes key content without error. The individual can describe specific implications for

<sup>14</sup> <https://landportal.org/pt/node/85496>; <https://ripl.landes.org/>

			generically the way the content affects his/her work.	his/her roles and functions. The individual identifies gender-related content of the normative body as relevant to his/her role or function.
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#### T4. ABILITY TO USE RELEVANT TECHNOLOGIES

**Objective:** To determine whether the individual has learned how to correctly use the technologies relevant to his/her roles or functions for which the project has provided capacity development.

**Assessment method suggestions:** Interview with the participant(s) directly discussing the illustrative assessment questions below or similar points of discussion and jointly identifying where the participant(s) has/have gaps in relation to the table below. Alternatively, the team member can observe an individual or group as they use the relevant technologies. In some cases, the majority of participants will be selected due to their having a certain ex-ante capacity score, e.g., the starting point might be “basic capacity.” In that case, ex-post assessment only makes sense. If the participants’ ex-ante capacity is not known or is highly varied, then recording both ex-ante and ex-post capacity is important.

**Illustrative assessment questions and resources:** Can you describe the technologies that are relevant to your roles and functions? Can you explain how ...x technology can be used in your work? Can you explain how to use ... technology? Can you show me how to use ... technology? Can you tell me which ... technology you would use to solve the following problem ... and why? What features of the technology promote gender equality and social inclusion? No resource recommendations.

MINIMAL OR NO CAPACITY 0	LOW CAPACITY 1	BASIC CAPACITY 2	MODERATE CAPACITY 3	STRONG CAPACITY 4
The individual is unaware of the relevant technologies or is minimally aware of the technology but unable to identify how they apply to his/her roles or functions.	The individual has a basic familiarity with the relevant technologies but incorrectly describes the application to his/her roles or functions of most of them. The individual does not understand how to use most of the relevant technologies.	The individual has a basic familiarity with the relevant technologies and can describe them adequately. The individual can use the relevant technologies to complete some of the basic tasks required for his/her roles or functions; he/she can apply technologies with limited independence.	The individual understands the relevant technologies for his/her roles or functions and can describe them adequately. The individual can use the technologies to complete most tasks required for his/her roles or functions; he/she can apply technologies independently with occasional need for assistance.	The individual can use, describe, and explain all of the relevant technologies. The individual can apply the relevant technologies to complete all tasks and can use it to solve challenging problems. The individual can apply technology independently.

## T5. UNDERSTANDING OF LAND ADMINISTRATION AND RESOURCE TENURE DATA AND HOW TO USE IT

**Objective:** To determine whether the individual understands what types of land administration and resource tenure-related data are important for his/her roles and functions and the appropriate usage of each type of data, where to obtain it, definitional concerns, and data quality issues.

**Assessment method suggestions:** Interview with the participant(s) directly discussing the illustrative assessment questions below or similar points of discussion and jointly identifying where the participant(s) has/have gaps in relation to the table below. Alternatively, the team member can observe an individual or group as they identify and use relevant data. In some cases, the majority of participants will be selected due to their having a certain ex-ante capacity score, e.g., the starting point might be “basic capacity.” In that case, ex-post assessment only makes sense. If the participants’ ex-ante capacity is not known or is highly varied, then recording both ex-ante and ex-post capacity is important.

**Illustrative assessment questions and resources:** Can you describe the types of land governance and resource tenure data that you use in your roles and functions? Can you describe how such data could be used to improve your work? Can you explain your role in collecting or using such data? What other data would be required to solve ... problem? What are some definitional or other data quality issues that might be of concern to you? Staff might refer to the metadata guidance for the Sustainable Development Goals land tenure-related indicators, World Bank Land Governance Assessment Framework, or Global Land Tools Network’s (GLTN’s) Global Land Indicators Initiative Training Curriculum and Assessment Tool in preparation.

MINIMAL OR NO CAPACITY 0	LOW CAPACITY 1	BASIC CAPACITY 2	MODERATE CAPACITY 3	STRONG CAPACITY 4
The individual is unaware or minimally aware of the existence of or importance of the land governance and resource tenure data as relevant to his/her roles and functions.	The individual has a basic familiarity with land governance and resource tenure data but has significant gaps in familiarity of data relevant to his/her roles or functions and incorrectly describes the usage of some or all of the data he/she is aware of.	The individual has a basic familiarity with land governance and resource tenure data with some gaps in awareness of data relevant to his/her roles or functions. The individual can correctly describe the usage of most of the data he/she is aware of and how to obtain such data.	The individual has is familiar with land governance and resource tenure data with only minor gaps in awareness of data relevant to his/her roles or functions. The individual can correctly describe the usage of all the data he/she is aware of and how to obtain such data. The individual can identify basic definitional concerns and data quality issues and understands the importance of using sex-disaggregated data.	The individual has deep familiarity with land governance and resource tenure data with no gaps in awareness of data relevant to his/her roles or functions; he/she seeks and uses sex-disaggregated data. The individual can correctly describe the usage of all the data he/she is aware of and how to obtain such data. The individual can identify definitional concerns, gaps in relation to understanding gender bias, and data quality issues. He/she can describe several ideas for correctly using data to solve

				challenging problems or identify new data that might be useful.
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## T6. UNDERSTANDING OF GENDER ISSUES AND HOW TO ADDRESS THEM

**Objective:** To determine whether the individual understands gender differences, gender-based bias, and related issues in land governance and resource tenure as relevant to his/her roles and functions and understands ways to address these through his/her work.

**Assessment method suggestions:** Participant interviews, guided self-assessment using a provided template, or group reflection sessions are useful. A team member could review the responses with the person, offer guidance on improved responses, and record a capacity score. This could be repeated again six months later. For some participants and some contexts, assessment will be best done through a group reflection session or by on-the-job observation followed by collaborative one-on-one discussions about strengths and gaps. Depending on which approach is taken, this capacity will be or will not be conducive to pre- and post-engagement assessment. For organizations, feedback from women within the organization would be useful when conducting the assessment.

**Illustrative assessment questions and resources:** Can you describe differences in the way that women and men can access, use, and control land? How do social customs and pressures affect men and women differently in the communities where you work? What policy, legal, and regulatory impediments and enforcement issues related to gender equality (vis-à-vis land and resource governance and rights) can you think of? Can you identify the main ways that gender bias or other gender issues are present in your work? ...in your organization's work? Why do gender-based differences and bias relevant to your roles and functions matter? What are the benefits of reducing gender-based differences and biases? How can the active participation of women in land activities and programs that you or your organization are involved in be encouraged? What are some measures that can be taken to reduce gender-based difference and biases in relation to your roles and functions? (potentially using the GLTN Gender Evaluation Criteria checklist or other tools).

The assessment should cover the person's understanding of gender related to elements of: a) the normative framework for land governance; b) administrative processes and services; and c) relevant socio-cultural practices that affect the implementation of land governance, as relevant to the individual's roles and functions. Each of a) – c) should be considered separately, and then combined to formulate an overall assessment.

MINIMAL OR NO CAPACITY 0	LOW CAPACITY 1	BASIC CAPACITY 2	MODERATE CAPACITY 3	STRONG CAPACITY 4
The individual is unaware of or does not believe there is a problem with gender-based differences and biases.	The individual is minimally aware of or believes that there is limited negative consequence of gender-based differences or biases. The individual is not able to identify any specific ways to	The individual is aware of and believes that there are negative consequences of gender-based differences or biases. The individual is able to identify some ways to	The individual understands the nature of gender-differences and biases relevant to his/her roles and functions and believes that there are negative consequences of gender-	The individual has a strong understanding of the nature of gender-based difference and biases relevant to his/her roles and functions. She/he demonstrates deep commitment to gender-



	reduce gender-based differences or biases.	reduce gender-based differences or biases.	based differences or biases. The individual is able to identify some ways to reduce gender-based differences or biases. The individual clearly believes in the importance of gender-sensitive programming and can describe some ideas for gender mainstreaming in his/her own work.	responsive land governance through concrete examples of how he/she is actively integrating gender into his/her work. She/he can contribute to resolving specific gender-based issues in his/her work.
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## T7. UNDERSTANDING OF ISSUES RELATED TO VULNERABLE GROUPS AND SOCIAL INCLUSION AND HOW TO ADDRESS THEM<sup>15</sup>

**Objective:** To determine whether the individual understands the differences between the treatment of different groups of people and their access to land, services, and resources and the implications for and of their work and understands measures they can take in their work to promote inclusion and address bias.

**Assessment method suggestions:** Individual interviews or group reflection sessions are suggested. This could be done at the beginning of a training or other capacity development activity as a self-awareness exercise and be repeated ex-post. Feedback from vulnerable groups might be useful in the context of a public service organization.

**Illustrative assessment questions and resources:** How are different ethnic, socioeconomic, or otherwise under-privileged groups treated differently in regard to land governance and resource tenure? Can you identify the main ways that bias or other issues related to exclusion of certain groups are present in your work? ...in your organization's work? How does exclusion of and bias toward certain groups manifest in your work? What are the benefits of reducing differences and biases? How can inclusion without bias be encouraged in land activities and programs that you or your organization are involved in? What are some measures that can be taken to reduce differences and biases in relation to your roles and functions? The USAID [Social Inclusion Assessment tool](#) might be a useful resource to further frame the training or assessment.

MINIMAL OR NO CAPACITY 0	LOW CAPACITY 1	BASIC CAPACITY 2	MODERATE CAPACITY 3	STRONG CAPACITY 4
The individual is unaware of how vulnerability and exclusion are present in or does not believe that there are	The individual is minimally aware of or believes that there are limited negative consequences of the ways	The individual is aware of or believes that there are negative consequences of the ways that ethnic, social,	The individual understands the nature of difference and biases in relation to ethnic, social, and other difference	The individual understands the nature of difference and biases in relation to ethnic, social, and other difference

<sup>15</sup> While it is important to realize that gender differences vary across different communities, ethnicities, and religious groups, we have separated understanding of gender from understanding related to other sources of vulnerability and exclusion, particularly based on socioeconomic, ethnic, and religious groupings.

MINIMAL OR NO CAPACITY 0	LOW CAPACITY 1	BASIC CAPACITY 2	MODERATE CAPACITY 3	STRONG CAPACITY 4
negative consequences of ethnic, social, and other differences and biases in land governance and resource tenure.	that ethnic, social, and other differences and biases in land governance and resource tenure. The individual cannot describe ideas for addressing these issues or does not see them as a problem.	and other differences and biases in land governance and resource tenure. The individual is able to describe some ideas for addressing these issues.	and the associated negative consequences. He/she clearly believes in the importance of programming that is sensitive to vulnerable groups and underserved populations and can describe some ideas for mainstreaming these groups in his/her own work.	and the associated negative consequences. The individual demonstrates deep commitment to social inclusion of vulnerable groups through concrete examples of how he/she is actively incorporating inclusion of vulnerable groups in his/her work.

## T8. ABILITY TO EFFECTIVELY RESOLVE LAND AND/OR RESOURCE-RELATED DISPUTES

**Objective:** To determine capacity to identify conflicts and disputes (whether latent or active), and resolve them through relevant judicial, administrative, and/or customary processes.

**Assessment method suggestions:** Individual interviews or group reflection sessions are suggested. This can be supplemented by review of conflict resolution registers or other case records available to determine status of land or resource disputes.

**Illustrative assessment questions and resources:** What measures, if any, have you applied to resolve land or resource disputes under your jurisdiction? What skills do you use in identifying and resolving these disputes? How do you ensure that the interests of the respective stakeholders are reflected in an agreement? What steps do you take to ensure any agreements adhere to relevant laws? What steps do you take to ensure agreements are abided to by all parties? What steps, if any, do you take to address power differences and dynamics between parties to a dispute?

MINIMAL OR NO CAPACITY 0	LOW CAPACITY 1	BASIC CAPACITY 2	MODERATE CAPACITY 3	STRONG CAPACITY 4
The individual has little to no capacity to identify and peacefully resolve disputes through relevant judicial, administrative, and/or customary processes.	The individual has some knowledge or skills in judicial, administrative, and/or customary processes, but little practical experience. The individual can identify conflicts and disputes.	The individual can resolve basic, two-party land or resource disputes using best practices.	The individual has some degree of success in applying dispute resolution.	The individual can effectively apply dispute resolutions following relevant judicial, administrative, and/or customary processes.

## NON-TECHNICAL KSA (“SOFT” SKILLS)

The following non-technical KSA and assessment guidance will help staff determine to what extent participants’ soft skills have improved as a result of capacity development activities. None of these KSA are conducive to assessment through formal tests or guided self-assessment of the kind suggested for some of the technical capacities. These KSA are best assessed through on-the-job observation and individual discussion with each participant of their perceived strengths and challenges by a team member, the participant’s supervisor, or both. Two KSA which users may wish to add, should they be appropriate for the organizations they are assessing, are: a) personal empowerment and agency – empowerment and agency focus more on confidence and working through limiting beliefs about oneself to accomplish goals; and b) staff development and support – support for and focus on employees, including their professional development.

### SI. END-USER FOCUS<sup>16</sup>

**Objective:** To determine the extent to which the individual has changed his/her awareness of the importance of being dedicated to meeting the expectations and requirements of internal and external end-users; getting first-hand end-user information and using it for improvements in products and services; acting with end-user in mind; establishing and maintaining effective relationships with end-users and gaining their trust and respect.

**Illustrative assessment questions:** Can you describe the ultimate objectives of your work, and who is the ultimate end-user? How does your work affect individuals? What aspects of your work have direct impacts on individuals or organizations? What do you do to serve the end-user? How can these services be improved? Do you reach out and communicate with end-users and people affected by program activities? What types of challenges or problems do you encounter with end-users and how do you resolve them – provide examples.

MINIMAL OR NO CAPACITY 0	LOW CAPACITY 1	BASIC CAPACITY 2	MODERATE CAPACITY 3	STRONG CAPACITY 4
The individual does not see a connection between his/her work and end-users.	The individual has a basic concept of the impacts his/her work has on individuals but does not appear to be very concerned about these impacts or feel that they can be changed.	The individual feels that his/her work does impact people directly and can identify one or more examples of how changes could result in a better end-user experience.	The individual feels responsibility for creating a positive end-user experience and has ideas for improvement and for effective communication with end-users.	The individual is committed to creating the best possible end-user experience, without gender-based or other bias, and feels empowered to gather information and make changes that will improve this experience.

<sup>16</sup> “End-user” for purposes of this document refers to the individuals, organization, or institutions who ultimately benefit from or are otherwise impacted by the products generated by stakeholders that participates in capacity development activities.

## S2. NEGOTIATING AND PROBLEM SOLVING

**Objective:** To determine whether the individual negotiates skillfully in tough situations with both internal and external groups; settles differences with minimum disruption; wins concessions without damaging relationships; is both direct and forceful as well as diplomatic; gains trust quickly of other parties to the negotiations; has a good sense of the best timing for negotiations; uses rigorous logic and methods to solve difficult problems with effective solutions; probes all fruitful sources for answers; can see hidden problems; is excellent at honest analysis; looks beyond the obvious and does not stop at the first answers.

**Illustrative assessment questions:** What are some features of successful negotiation? Can you describe a time when you had to solve a tough problem using negotiation in your work? How do you settle differences without damaging relationships? When have you had to be diplomatic in order to solve a problem? How can you gain trust with other parties? Can you give an example of a time when you identified hidden or less obvious information or insights that helped to resolve a solution?

MINIMAL OR NO CAPACITY 0	LOW CAPACITY 1	BASIC CAPACITY 2	MODERATE CAPACITY 3	STRONG CAPACITY 4
The individual does not look for creative ways to solve difficult problems.	The individual has a basic concept of what negotiation means but is limited in their work to following a script or well-defined set of tasks.	The individual can describe an experience where he/she has had to negotiate to solve a problem.	The individual can describe several experiences where he/she has had to negotiate diplomatically to solve a tough problem.	The individual is effective in regularly finding creative solutions to tough problems and in settling differences without sacrificing relationships and trust. The person recognizes and addresses gender bias in negotiations or problem-solving.

## S3. PROCESS MANAGEMENT AND PLANNING

**Objective:** To determine whether the individual is able to figure out the processes necessary to carry out their work within the standard practices and requirements of their organization, a grant or contract and standard good practice for project management; including specifically knowing how to organize people and activities; understanding how to separate and combine tasks into efficient work flow; ability to manage complexity; accurately scope out length and difficulty of tasks and projects; set objectives and goals; break down work into the process steps; develop schedules and task/people assignments; anticipate and adjust for problems and roadblocks; and monitor performance against objectives.

**Illustrative assessment questions:** Can you describe the standard operating procedures followed in your organization? Describe the steps you take to organize and plan the tasks and projects you do. Describe a specific project that you managed, and each step of the project management process. What are some features of a strong plan? What are some challenges in work planning?

MINIMAL OR NO CAPACITY 0	LOW CAPACITY 1	BASIC CAPACITY 2	MODERATE CAPACITY 3	STRONG CAPACITY 4
The individual does not do any project planning or process management at work.	The individual has a basic concept of process management and planning but does them only on a very basic level.	The individual can describe some of the basic project management steps and planning processes.	The individual can describe several processes that he/she has managed and has experience planning projects and tasks.	The individual is very experienced in planning projects and managing processes and can describe in detail the step-by-step processes he/she follows from start to finish. The individual applies a gender-lens to planning and project management.

#### S4. INTERPERSONAL RESOURCEFULNESS AND AGILITY

**Objective:** To determine whether the individual can get things done across varied and different regional, inter-ethnic, inter-generational, or international conditions; operates effectively under ambiguous uncertain conditions; communicates effectively with, listens to, and acts on advice of different groups of people; builds relationships quickly; relates well to a wide spectrum of people; effectively leverages people’s different skills to get things done; knows how to work the local culture; is not afraid to try something never done before.

**Illustrative assessment questions:** Can you describe how you work and communicate with people from different cultures? How do you adjust your working style based on who you are working with? When have you tried something new as the result of a suggestion from someone from a different group? Describe a time when you had to work with people of different cultures and how you used their various skills.

MINIMAL OR NO CAPACITY 0	LOW CAPACITY 1	BASIC CAPACITY 2	MODERATE CAPACITY 3	STRONG CAPACITY 4
The individual is rigid in his/her thinking and interactions or has no experience with people who are different.	The individual has some familiarity with cultural differences in the workplace but does not see a need to adapt his/her speech or actions to respond to different cultures.	The individual can describe some experiences in cross-cultural interactions and shows some openness to adapting his/her work style. The individual has basic communication skills.	The individual is adept at adapting his/her style to accommodate cultural differences and can identify several past experiences when he/she had to do so. The individual has effective communication skills.	The individual is open and accepting of cultural differences, can expertly navigate cultural differences and can use these differences to reach a positive outcome. The individual recognizes how gender-based differences and biases vary across other kinds of difference and seeks to address these issues

				effectively within a context-specific religious context.
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## S5. LEADERSHIP

**Objective:** To determine whether the individual has improved his/her ability to organize and motivate other individuals toward a common goal; maintain a shared vision and group motivation throughout a project or task.

**Illustrative assessment questions:** Can you describe a time you organized a group of people to work together on something? How do you motivate people to work hard on something that you think is important?

MINIMAL OR NO CAPACITY 0	LOW CAPACITY 1	BASIC CAPACITY 2	MODERATE CAPACITY 3	STRONG CAPACITY 4
The individual cannot describe what makes a good leader.	The individual can identify what makes a good leader but does not feel like he/she could lead a group, project or task.	The individual can describe small tasks or activities that he/she has organized or led but would not consider him/herself a leader.	The individual can describe several tasks or projects that he/she effectively led and can identify some key motivation techniques.	The individual is a strong leader who has organized large groups of people on many occasions and regularly motivates others to achieve certain goals. The individual is inclusive and empowering regardless of gender or social differences.

## S6. RELATIONSHIP BUILDING

**Objective:** To determine whether the individual can build more effective and positive relationships with others in the workplace, both within the organization and with others outside of the organization as required to perform assigned roles and functions.

**Illustrative assessment questions:** Can you describe the relationships you have with people at work or with colleagues at collaboration organizations? What relationship are critical for your roles and functions? Which relationships are positive and which ones are negative? What makes them positive or negative? Do you do anything to try to improve your relationships with your co-workers or with representatives of other organizations? Describe a time when you transformed a negative work relationship into a positive one. What makes a good coworker? What can you do to be a better coworker?

MINIMAL OR NO CAPACITY 0	LOW CAPACITY 1	BASIC CAPACITY 2	MODERATE CAPACITY 3	STRONG CAPACITY 4
The individual does not see a connection between his/her	The individual can identify positive and negative	The individual can identify some key facets of	The individual can describe actions that he/she can take	The individual is committed to building strong positive

actions and relationships at work.	relationships at work but cannot explain why they are the way they are and does not take any responsibility for making them so.	relationship building but does not feel responsible for improving relationships at work.	to build positive relationships and can describe past personal experiences. The individual has strong communication skills with colleagues.	relationships at work, with women and men, and works hard to ensure that he/she has good relationships with people at all levels of the organization.
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## TIER 2 - ORGANIZATIONAL EFFECTIVENESS (OE)

Tier 2 focuses on the organizations that individual participants<sup>17</sup> represent and organizations being supported through capacity development activities. The following organizational capacities capture whether these organizations have improved their functional capacity to effectively carry out their mandates as a result of support. These factors are intended for use as a guide for staff both in planning capacity development activities and in qualitatively assessing the improvements in capacity through observation and discussions with staff. They are not intended to be used in any formal test or interview, but rather through observation of the daily workings of partner organizations.

### OE1. ORGANIZATIONAL STRUCTURE AND STAFFING

**Objective:** To determine whether the organization’s structure is appropriate for its goals and activities and serves to ensure strong coordination among departments or functions; whether staff roles and responsibilities are clearly defined and understood; and whether the organization is appropriately staffed.

**Suggested assessment method:** Desk review of relevant documents and discussion with an organization’s leadership and staff.

**Illustrative assessment questions and resources:** Is there an organogram or other document that shows the organization’s structure? Is the structure updated as needed, and if so, when was it last revised? Is the organizational and reporting structure clearly documented, and do staff know and understand that structure? Does the current structure make sense in light of the organization’s goals and activities? Do staff have written job descriptions (JDs) and if so, are they up to date? Do JDs clearly outline titles, roles and responsibilities, required qualifications and skills, and lines of authority? Do staff have access to their JDs? Have key positions been established and are they currently staffed by people with appropriate qualifications and skills? Resources that might provide information include pre-award surveys or prior assessment documents; organogram or description of staffing pattern; or JDs.

MINIMAL OR NO CAPACITY 0	LOW CAPACITY 1	BASIC CAPACITY 2	MODERATE CAPACITY 3	STRONG CAPACITY 4
The organization has no clear structure and key functions/responsibilities are unclear. Key positions may not have been established or remained vacant for a significant period of time or are filled by people without the right skills. Current staff do not fully understand their	The organizational structure is unclear or undocumented, or documented but not followed, or does not adequately define functional responsibilities and lines of authority. JDs are inadequate or not followed. Key positions are vacant or are filled by people with	The organizational structure is documented but incomplete or out of date, or not usually followed, or only partially defines functional responsibilities and lines of authority. There are written JDs, but they are not comprehensive, or staff are not aware of them.	The organizational structure is adequate and documented but may require some updating; usually followed; and based on reasonable clear functional responsibilities and lines of authority. There are clear and comprehensive JDs and staff are aware of them, but	The organizational structure is documented, appropriate, and updated as needed; consistently followed; and based on well-defined functional responsibilities and lines of authority. It enables strong coordination across the organization and seeks to address gender-

<sup>17</sup> Because not all individual participants represent an organization, these capacities may not be relevant for all participants.



roles and lack the capacity to do their jobs well.	inadequate skills. Current staff need to substantially improve their capacity.	Some key positions have not been filled or are filled by people who do not have all the skills required. Many current staff need to significantly improve in some areas to do their jobs well.	they may not be consistently adhered to, reviewed, or updated. Most key positions are filled by people with appropriate skills. Some staff need to improve their capacity in some areas to do their jobs well.	based biases (both explicit and implicit) within organizational structures, including personnel hierarchies, salaries, hiring, and promotion. There are clear and comprehensive JDs, which are understood, adhered to, reviewed, and updated regularly. All key positions are filled by people with appropriate skills. Some staff need to improve their capacity in some areas to take on new tasks.
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## OE2. OPERATIONAL POLICIES, PROCEDURES, AND SYSTEMS

**Objective:** To assess the organization’s existing operational policies, procedures, and systems and the degree of staff comprehension and compliance.

**Suggested assessment method:** Desk review of resource documents and discussions with an organization’s leadership and staff.

**Illustrative assessment questions and resources:** Are there documented policies and procedures that support operational needs such as procurement, management of office supplies, inventory and vehicle/equipment use, travel, security, etc.? Is there a process for assessing staff performance, and is it carried out for all staff on a regular basis? Are policies and procedures regularly reviewed and updated, and if so, when were they last revised? Are staff trained on the details and purpose of these policies, procedures, and systems? Are the policies and procedures consistently followed, and how is compliance monitored? Are there areas where the policies and procedures need to be clarified or expanded? The following resources might be useful: policy and procedures manuals; administrative form templates; or similar organizational documents.

MINIMAL OR NO CAPACITY 0	LOW CAPACITY 1	BASIC CAPACITY 2	MODERATE CAPACITY 3	STRONG CAPACITY 4
The organization does not have operational policies, procedures, and systems.	Operational policies, procedures, and systems are unwritten, inadequate, and/or rarely followed, and insufficient to manage the organization’s operations and/or programs.	Operational policies, procedures, and systems are documented but are weak, out-of-date, not usually followed, or incomplete. Systems support basic Tiers	Operational policies, procedures, and systems are documented and are adequate and appropriate, but are not always followed or may need updating. Systems are sufficient to	Operational policies, procedures, and systems are documented, strong, updated as needed, include norms relating to gender equality, non-discrimination, and systems for reporting

		of operational and program management.	support operations and programs at a good Tier of functionality.	sexual harassment, and are understood and followed by staff. Systems support operations and programs at a high level of functionality.
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### OE3. FINANCIAL MANAGEMENT AND BUDGETING

**Objective:** To assess the organization’s ability to budget and plan financial resources.

**Resources:** Desk review of resource documents and discussions with an organization’s leadership and staff.

**Illustrative assessment questions and resources:** Does the organization have a master budget that includes the costs of running the organization, or only project budgets and a separate core-cost budget? Are core costs included in project/program budgets in a consistent manner? Is there an annual or multi-year budget, and does it align with the organization’s strategic plan or work plan? Are costs tracked against budgets and reviewed on a regular basis? How does the organization manage monthly cash flow? Are project/program budgets in line with project needs, or are they frequently less or more than is needed? The following resources might be useful: annual and multi-year budgets; project/program budgets; financial monitoring tools; revenue and expenditure reports; and audit reports.

MINIMAL OR NO CAPACITY 0	LOW CAPACITY 1	BASIC CAPACITY 2	MODERATE CAPACITY 3	STRONG CAPACITY 4
The organization does not have a formal master budget or project budgets, nor does it do revenue and expenditure projections.	The organization does not have a formal master budget or has an unrealistic master budget. There are project budgets, but they are not clear or aligned with project needs, and do not include core organizational costs. The budget process does not include program and finance staff. Revenues and expenditures are not monitored against budgets, and the organization does not do revenue and expenditure projections.	The organization has a basic master budgeting process. There are project budgets, but they are not always clear and not consistently aligned with project needs. The budget process uses inputs from program and financial staff but is not inclusive. The organization is inconsistent in how to include core costs in project budgets. Revenues and expenditures are monitored against budgets no more than quarterly, and projections are weak.	The organization has a good master budgeting process that is close to comprehensive. Project budgets are not reviewed regularly and/or not always aligned with project needs. The budget process is inclusive and somewhat transparent. Core costs are included in project budgets, but the methodology for doing so is not documented. Revenues and expenditures are monitored against budgets monthly, and projections are adequate.	The organization has a complete and appropriate master budget. There are clear project/program budgets that are in line with project needs and are reviewed regularly. The budget process is inclusive and transparent and reflects costs and resources necessary to meet the organization’s gender-related goals. There is a clear, documented methodology for including core costs in project budgets that ensures full cost recovery. Revenues and expenditures are

				monitored against budgets monthly, and projections are reasonably accurate.
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#### OE4. ORGANIZATIONAL MANAGEMENT AND PLANNING

**Objective:** To assess the organization’s planning capacity.

**Suggested approach to assessment:** Review of resource documents and discussions with an organization’s leadership and staff.

**Illustrative assessment questions and resources:** Does the organization have an annual strategic and/or operational plan? How does it relate to project/program workplans? Does the plan clearly state goals, objectives, and strategies, and does it indicate timelines, responsibilities, and indicators? Is the plan linked to the annual budget? How was the plan developed? Does the organization have a planning cycle? Is the plan regularly reviewed and is it referenced when decisions are made? The organization’s strategic and/or operational plan, if it has one, is a good resource.

MINIMAL OR NO CAPACITY 0	LOW CAPACITY 1	BASIC CAPACITY 2	MODERATE CAPACITY 3	STRONG CAPACITY 4
The organization does not have an annual or multi-year plan.	The organization has a basic plan, but the plan is not clear and specific on goals, measurable objectives, strategies, timelines, responsibilities, or indicators. The plan is not linked to the organization’s budget or to project/program workplans and budgets and is not regularly reviewed or referenced in decision-making.	The organization has a basic plan which includes goals, measurable objectives, and strategies, but no timelines, responsibilities, or indicators. The plan is not linked to the organization’s budget or to project/program workplans and budgets and was not developed with participation from staff. The plan is not used for decision-making and there is no process for regularly reviewing it.	The organization has a comprehensive written plan which includes goals, measurable objectives, strategies, timelines, responsibilities, and indicators, and is linked to the organization’s budget and to project/program workplans and budgets. The plan was not developed with participation from staff. The plan is not regularly used for decision-making and is not reviewed regularly.	The organization has a comprehensive written plan which includes goals, measurable objectives, strategies, timelines, responsibilities, and indicators, and is linked to the organization’s budget and to project/program workplans and budgets. The plan was developed with input from staff and is gender responsive. The plan is regularly reviewed and is referred to in decision-making.

#### OE5. FINANCIAL RESOURCE MOBILIZATION/BUSINESS DEVELOPMENT

**Objective:** To assess the organization’s progress on financial sustainability.

**Suggested assessment method:** Review of resource documents and discussions with an organization’s leadership and staff.

**Illustrative assessment questions and resources:** Does the organization have a resource mobilization or business development plan? Is there a person (or group) designated to head up resource mobilization and business development efforts? What are the current sources of funding? What other potential sources of funding is the organization aware of? What steps is the organization currently taking to develop new business or mobilize additional resources? Has the organization had any cash flow issues over the past two years, and if so, how were these addressed? Did the organization have positive net income in the last two years? Does the organization have unrestricted income, that is, income that is not required to be used for specific projects/programs? The following resources might be useful: business development/resource mobilization plan; strategic/operational plan; fundraising history; cash flow statements and projections.

MINIMAL OR NO CAPACITY 0	LOW CAPACITY 1	BASIC CAPACITY 2	MODERATE CAPACITY 3	STRONG CAPACITY 4
The organization does not have a plan for how to mobilize resources and develop new business. The organization currently has no consistent funding/revenue or a single source of funding/revenue that will end within the next year. There are serious cash flow issues and/or negative net income.	The organization does not have a resource mobilization or business development plan or has a plan that is not being implemented. There is only one major funding/revenue source and no steps have been taken to identify additional resources/business opportunities. The organization has had frequent cash flow problems or negative net income within the last year.	The organization has a weak resource mobilization or business development plan which is not consistently implemented. There is only one major funding/revenue source, but the organization has taken steps to identify additional resources/business opportunities. The organization has had occasional cash flow problems but positive net income over the last year.	The organization has an adequate resource mobilization or business development plan, which is being implemented. There is one or more funding/revenue source and active resource mobilization/business development efforts underway, or there are at least two funding sources. The organization has had positive net income and no significant cash flow problems over the last year.	The organization has a good resource mobilization or business development plan, which is regularly updated and well implemented. There are at least two funding/revenue sources. The organization has had positive net income and no significant cash flow problems over the past 2 years.

## OE6. CUSTOMER SERVICE

**Objective:** To assess the organization’s appropriate focus on the customer and end-user.

**Suggested assessment method:** Review of resource documents and discussions with an organization’s leadership and staff.

**Illustrative assessment questions and resources:** Does the organizational culture emphasize customer service? How can these services be improved? Has the organization developed effective means of communications with end users (and if so, what are they)? What types of challenges or problems are encountered with effectively serving customers and how does the organization resolve them? Is there a mechanism to receive customer feedback?

MINIMAL OR NO CAPACITY 0	LOW CAPACITY 1	BASIC CAPACITY 2	MODERATE CAPACITY 3	STRONG CAPACITY 4
The organization does not recognize a clear connection between its work and end customers/users.	The organization has a basic concept of the impacts its work has on customers/end-users but does not appear to be very concerned about these impacts or feel that they can be changed.	The organization recognizes that its work does impact people directly but has not yet started to identify ways to result in a better customer experience.	The organization feels responsibility for creating a positive customer experience and has identified ideas for improvement. The organization has developed a communications strategy to interact with end-users.	The organization is committed to creating the best possible customer experience, without gender-based or other bias. It feels empowered to gather necessary information to inform its decisions and has a tangible action plan, including a robust communication component, it is implementing (or intends to implement in the near term).

## OE7. DIVERSITY AND GENDER EQUALITY

**Objective:** To assess the organization’s effective integration of a diverse and gender-balanced workplace, including appropriate incorporation of gender equity.

**Suggested assessment method:** Review of resource documents and discussions with an organization’s leadership and staff.

**Illustrative assessment questions and resources:** Is your organization comprised of people from different genders, cultures, religions, ethnicities, and other relevant groups? Does your organization make efforts (and have clear policies) to recruit people from different cultures, religions, and ethnicities, and to maintain an appropriate gender balance? Does your organization promote people equitably – are women and people from different cultures, religions, and ethnicities treated equitably in all aspects of the organization’s functioning? Does your organization have formal policies and procedures on gender equality, diversity, non-discrimination, and safeguarding? Does your organization have accessible mechanisms to report and investigate discrimination and safeguarding incidents, including non-retaliation policies? Does your organization include diversity and gender equality at the leadership level?

MINIMAL OR NO CAPACITY 0	LOW CAPACITY 1	BASIC CAPACITY 2	MODERATE CAPACITY 3	STRONG CAPACITY 4
The organization does not acknowledge issues of diversity or gender.	The organization is aware that issues of diversity or gender are important but has no policies on these matters, nor does it implement any	The organization is conscious of the need to create and maintain a diverse workplace where women, as well as people from different	The organization is conscious of the need to create and maintain a diverse workplace and has put in place recruitment policies to	The organization has written policies on equality and diversity that are clearly and continuously communicated to new and existing staff.

	practices to ensure an equal and diverse workplace.	cultures, ethnicities, and religions, feel comfortable, and has informal practices to accommodate diversity.	ensure diversity and gender equality, and also has written workplace policies on equality and diversity, including with regards to non-discrimination, promotions, job assignments, and safeguarding.	The organization has clear and accessible procedures to report and investigate discrimination and safeguarding incidents. The organization actively promotes diversity and gender equality in the workplace, solicits feedback from staff on how to improve its environment, and is able to take advantage of its diversity for greater performance and effectiveness.
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## OE8. LEADERSHIP

**Objective:** To assess the effectiveness of the organization’s leadership

**Suggested assessment method:** Review of resource documents and discussions with an organization’s leadership and staff.

**Illustrative assessment questions and resources:** Does the organization’s senior management lead effectively? Does the organization’s senior management motivate performance? Do members of senior management lead by example? Does senior management model behavior they wish staff to emulate? Does senior management inspire commitment? Does senior management inspire performance beyond the minimum necessary to complete tasks?

MINIMAL OR NO CAPACITY 0	LOW CAPACITY 1	BASIC CAPACITY 2	MODERATE CAPACITY 3	STRONG CAPACITY 4
The organization’s senior management does not display leadership qualities, such as motivating performance or commitment to the organization.	The organization’s senior management is mixed in its leadership qualities – some members of senior management lead effectively while others do not.	The organization’s senior management generally leads effectively but does not motivate performance beyond the basic requirements to get the job done.	The organization’s senior management regularly motivates and rewards exemplary performance and enjoys high levels of commitment from staff.	The organization’s senior management leads by example and purposefully implements mechanisms to motivate and reward exemplary performance. Management also actively seeks feedback and incorporates such

				information into decision-making.
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### **TIER 3 – APPLICATION OF KSAS AND PROGRESS TOWARD ACHIEVEMENT OF RELEVANT CAPACITIES**

Tier 3 tracks whether the improved KSAs and OEs that result from capacity development activities are applied and combine to generate progress<sup>18</sup> on the eight capacity development outcomes (or eight high-level capacities), contributing to relevant land governance and resource tenure related outcomes. For all capacity development activities, the assessor should collaborate with participants to gather evidence for Tier 3 assessment of relevant capacities over time following the end of a capacity development activity.

Tier 3 assessment should comprise a very brief statement of progress with relevant evidence attached to or incorporated into the narrative for each relevant application area listed below (capacity focus). For each relevant application area, a checklist of examples of acceptable evidence is provided to guide the qualitative assessment. Acceptable evidence for this purpose includes formal or personal meeting notes, database summary reports or other credible data as well as verifiable examples or stories. Across this framework, much of the evidence gathered will be anecdotal and the observations and reflections will be from a sample of not-randomly selected organizations or people. The reporting is catered to learning and enabling reporting to USAID on the aggregate patterns of capacity development that emerge from activities. The checklists are therefore narrow and reflect the likely foci of capacity development activities. For example, there are many outputs and intermediate outcomes that could be tracked under responsible investment. This framework includes a reasonable subset of those in relation to the objectives and types of participants directly relevant to the project.

#### **AI. APPLICATION OF KSA TO ENGAGE IN RESPONSIBLE LAND-BASED INVESTMENT**

**Objective:** To assess the organization's or individual's ability to apply or adhere to relevant standards of responsible investment.

- Records of meetings and information sharing in accordance with the standards of meaningful consultation, free, prior and informed consent<sup>19</sup> and responsible investment guidelines, such as USAID's Operational Guidelines for Responsible Land-Based Investments<sup>20</sup>; the Analytical Framework for Land-Based Investments in African Agriculture;<sup>21</sup> and the Landesa Responsible Investments in Property and Land guidebook list.<sup>22</sup>
- A document (terms of reference, final report, summary statement) indicating that a participating company has conducted or commissioned relevant assessments of local land governance and resource tenure covering the relevant content as suggested in training materials.<sup>23</sup>
- Notes of meetings that reflect communication or validation of critical investment or assessment information and identification of risks or other issues that need resolution.
- Documentation (including written agreements or portions of contracts) that reflect resolution of issues or risk mitigation plans.

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<sup>18</sup> ILRG contributes to land governance and resource tenure outcomes through capacity development and other programmatic investments. These outcomes also reflect contributions and factors outside of, prior to and after ILRG activities.

<sup>19</sup> <http://www.fao.org/3/a-i6190e.pdf>

<sup>20</sup> <https://www.land-links.org/tool-resource/operational-guidelines-for-responsible-land-based-investment/>

<sup>21</sup> <https://landportal.org/pt/node/85496>

<sup>22</sup> <https://ripl.landesa.org/>

<sup>23</sup> Or relevant international, regional, and locally agreed standards.



- Documentation that acceptable grievance mechanisms are under development or established.
- Database summary records showing documentation of relevant land rights, including rights of ownership, use, access... (databases of a company, a community, or customary authority, a CSO, local government, or national government may be considered, as appropriate).
- Data or stories that indicate a company has improved social license to operate – e.g., fewer disputes, fewer business losses.
- Meeting records, database summaries, or other observations that verify active engagement of women and vulnerable groups in relevant processes and outputs – e.g., certificates or titles issued to vulnerable groups as part of a risk management strategy.
- Examples/validated stories of how the rights of women and vulnerable groups are recognized and protected.

## A2. APPLICATION OF KSA TO USE LAND TENURE INFORMATION FOR PARTICIPATORY LAND USE PLANNING (PLUP)

Objective: To assess the organization's or individual's ability to participate in or lead PLUP exercises using land tenure information as a factor for decision-making

- Examples of PLUP (including both narrative and spatial files) that accounts for all relevant land and resource rights and tenure arrangements, not only individual proprietorship.
- Examples of PLUP that are not solely reliant on existing administrative data (registry and cadaster) and utilize or engage in community-based inventory of land rights.
- Examples of/verified stories about the resolution of disputes or reduction in tensions over land rights and uses doing or following a PLUP exercise.
- Examples of/verified stories about revisions to public or private investment plans as a result of land tenure information included in/informing of a PLUP.

## A3. APPLICATION OF KSA TO DO GENDER-RESPONSIVE LAND TENURE WORK

Objective: To assess the organization's or individual's ability to integrate gender in making land tenure-related decisions and create an environment where women have equal rights and access to land, are included in programs and decision-making processes, and are empowered to take actions to defend their land rights.

- Survey report or similarly gathered data from any participant in relevant training or other capacity development activity on the following question: In your view, should males and females have equal access to social, economic, and political resources and opportunities? *(This is required for USG Standard Indicator: Percentage of participants reporting increased agreement with the concept that males and females should have equal access to social, economic, and political resources and opportunities).*
- Examples of decisions that were informed by gender assessment results or other information about gender-based differences or biases.
- Meeting notes or other records that illustrate women's active participation and voice in critical discussions and in decision-making.

- Examples that illustrate responsiveness to issues raised by women or about gender-based difference and biases.
- Records showing women being assigned to, invited to, or hired for decision-making roles or functions that can be credibly linked to participation in capacity development activities.
- Database or other records that indicate the women's rights to land and resources are reflected or included in land rights certificates or other documents, PLUP outcomes, investment plans as appropriate.

#### A4. APPLICATION OF KSA TO EFFECTIVELY DOCUMENT LOCAL LAND RIGHTS, INCLUDING SPATIALLY AND LEGALLY

Objective: To assess quality of the organization's or individual's conduct of or participation in local documentation of land rights, including mapping parcel boundaries, identification of ownership, use, and access rights, and creation of corresponding legally valid records.

- Records or data of/on how frequently errors are detected in validation processes or documents are rejected for processing for organizations or from individuals (if possible, compared to others who have not participated).
- Records, data or stories that suggest greater success in resolving disputes encountered in documentation process, implemented/served by a participating organization or individual, locally and without judicial proceedings
- Database summary records or other data indicating that documentation has comprehensive coverage including women and men, all relevant groups and all relevant types of rights.
- Stories or data showing that the time and cost to document local land rights is decreasing.

#### A5. APPLICATION OF KSA TO SUSTAINABLY PROVIDE EFFICIENT LAND ADMINISTRATION FUNCTIONS AND SERVICES

Objective: To assess the organization's or individual's ability to provide land administration services that meet the needs of citizens and communities and do so efficiently and affordably so that these services are sustained over time.

- Examples or verified stories about changes made following capacity development activities to remove particular barriers to efficiency, affordability, or client responsiveness.
- Stories, quotations, or customer survey data that reflect an improvement in customer satisfaction with relevant land administration services by participating organization or individuals.
- Data showing that a backlog of service requests is lower.
- Examples of technology choices, changes in fees, or other measures to make services more efficient or more affordable.

#### A6. APPLICATION OF KSA TO NEGOTIATE FAIR CONTRACTS OR AGREEMENTS

Objective: To assess the organization's or individual's ability to effectively negotiate solutions that are fair and work for all parties.

- Examples or verifiable stories that illustrate negotiated solutions supported by KSA improved through capacity development activities.

- Data on or quotations reflecting that participants are more confident in negotiating solutions.
- Data or reports reflecting increased demand for relevant services from participating organizations or individuals, as reflected in increased number of new clients, increased number of new requests for help.
- Records or verifiable stories that suggest an increased success rate of participating organizations or individuals in resolving conflict or negotiating solutions.

#### A7. APPLICATION OF KSA TO IMPROVE LAW AND POLICY, INCLUDING THROUGH EVIDENCE-BASED ADVOCACY

Objective: To assess the organization or individual's ability to identify and address weaknesses in existing laws, regulations, and policies and take steps to improve these policies to better serve the country and people, particularly as informed by evidence.

- Technical, political, media, or internal organization reports prepared by a participating organization or person that provide a clear recommendation(s) for specific reforms to policy, law, or regulations that present data or other credible evidence that justify the recommendation.
- Records of meetings or notes of conversation that illustrate an organization or individual's ability to articulate recommendations and/or explain supporting evidence.
- Verified success stories. Success stories can be verified through triangulating information. For instance, interviewing individuals highlighted in the success story, observing conditions to determine if any change, and cross-checking related documentation.
- Texts of newly enacted laws, regulations, or decrees which benefitted from technical input or advocacy provided by the organization or individual.

#### A8. APPLICATION OF KSA TO RESOLVE LAND AND/OR RESOURCE DISPUTES

Objective: To assess the organization's or individual's willingness to and effectiveness in resolving conflicts related to natural resource use and/or land rights through relevant judicial, administrative, customary processes. Land and property rights disputes are defined as disagreements between two or more parties, whether or not they have been reported to a formal court or administrative dispute resolution institution, that require adjudication by a third party and pertain to one or more of the following: a) overlapping or contradictory claims over a particular area of land; b) disagreements over the authority to assign property or adjudicate disputes in a particular area; c) disagreements related to inheritance or other transfers of land; d) violation of property rights, such as unauthorized access or use, damage, etc.; or e) unauthorized encroachment onto designated for other purposes such as livestock corridors, or protected areas.

- Examples or verifiable stories that illustrate resolved disputes supported by KSA improved through capacity development activities.
- Data on or quotations reflecting that participants are more confident in resolving land and/or resource disputes.
- Records from government, traditional authorities, and other local institutions with data on the number of land disputes resolved.

Records or verifiable stories that suggest an increased success rate of participating organizations or individuals in resolving disputes, this may be a log, for example, of mediation cases with outcomes of cases.

# ANNEX 5. INFORMED CONSENT STATEMENT

The informed consent statement is an introductory statement that the interviewer makes to each respondent to explain the objective of the interview and assures the respondent of confidentiality. The following text will be read to all potential respondents before the start of any assessment. Informed consent must be obtained from all participants before beginning.

## **Informed Consent Script:**

XXX is a program financed by USAID (or XXX) to help improve land rights and resource governance in several countries around the world. Part of this program includes capacity development activities to help organizations and individuals who work in land and resource management to perform their tasks more effectively. The objective of this assessment is to determine the impacts of capacity development activities. As a part of this assessment, we are speaking with individuals and organizations that have participated in these capacity development activities.

Your participation in this discussion is voluntary. You do not have to participate if you do not want to. If you agree to participate, you may also choose not to answer any particular questions or to stop at any time. There is no direct benefit to you nor compensation for participating, and neither are there consequences for choosing not to participate. However, we would greatly appreciate any insights you might have regarding your experiences. Your information and responses will be kept confidential and neither your name nor your position will appear in any reports.

Though we have a number of specific questions to ask you, we encourage you to share any additional thoughts that you feel are important to the assessment that our questions do not address.

Do you have any questions about any of this? If you have questions later, you can contact me at XXX.

Do you wish to continue with the interview/ discussion? (all participants present **MUST** answer in the affirmative. Anyone who does not consent should leave the discussion).

Name of Participant: \_\_\_\_\_

Signature of Participant: \_\_\_\_\_

Date: \_\_\_\_\_

## ANNEX 6. SUMMARY OF 2022 PILOTS

Two pilots of the revised tool were carried out in 2022, one undertaken by the USAID Feed the Future Land Governance Activity (LGA) in Ethiopia, and another by the USAID Land for Prosperity (LFP) Activity in Colombia. The LGA team chose to use the tool to assess the organizational effectiveness of a local resource partner (and thus used the Tier 2 section of the tool, without Tier 1), while the LFP team chose to use the tool to assess KSAs of contracted personnel responsible for field work collection of land rights information (i.e., Tier 1 without Tier 2). In both instances, customized and simplified versions of the full tool were used, consistent with the intended design of the revised tool and framework guidance. Scoring in the LGA case was done in a collaborative process among three executive committee members of a local Ethiopian NGO and the project's Monitoring, Evaluation, and Learning (MEL) Specialist. Consensus was thereby reached on one set of scores for the organization, covering each of eight OE pre-selected areas. In essence, the tool was employed to perform a joint and participatory self-assessment. In the LFP case, scoring of the individual respondents' answers was done by LFP staff, reflecting the independent assessment scoring option of the tool rather than self-assessment.

In both cases, the assessment was meant to establish a baseline and identify areas in which to focus further capacity-building efforts. Both projects reported that the exercise was useful in that regard, and that they intended to apply the tool periodically in the future to measure progress (such further use would then involve Tier 3). These two experiences, using the tool in very different ways, demonstrate its flexibility and adaptability, including as applied to both individuals and to an organization as a whole. A brief description of each experience follows.

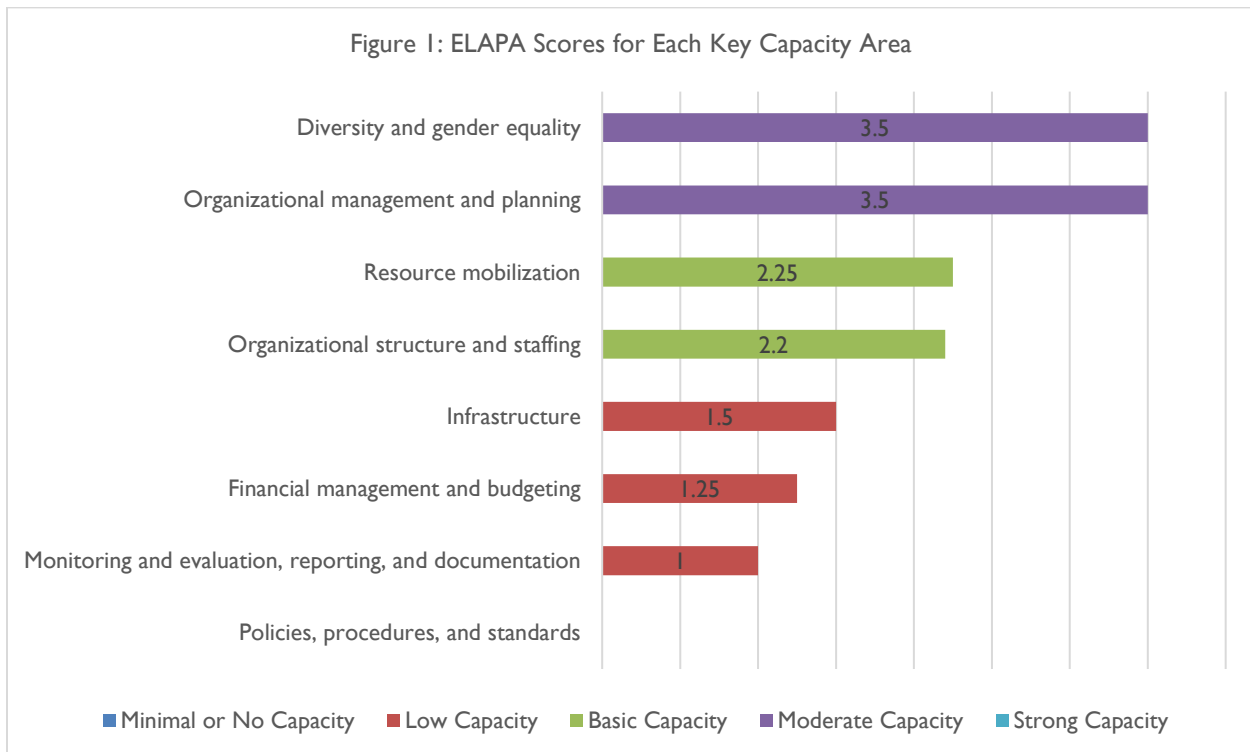
### ETHIOPIA LAND GOVERNANCE ACTIVITY

LGA, implemented by Tetra Tech as the prime contractor, used the CAF tool in March 2022 to assist the Ethiopian Land Administration Professionals Association (ELAPA) in obtaining a baseline assessment of its organizational effectiveness. Key informant interviews and focus group discussions with three members of the ELAPA Executive Committee were the primary data collection method used during the assessment. It was intended that the participation of executive committee members would help ensure that assessment's findings and recommendations would be "owned" by ELAPA and that any future actions required to address gaps identified through the assessment would receive full institutional support. The Tier 2 section of the tool was adapted and simplified for scoring these 8 areas:

- Organizational structure and staffing;
- Organizational management and planning;
- Financial management;
- Resource mobilization;
- Infrastructure;
- Diversity and gender equality;
- Policies, procedures, and standards; and,
- Monitoring and evaluation, reporting, and documentation.

LGA's MEL Specialist met with the three executive committee members individually and in groups in

order to respond to questions under each area and agree on scores in a participatory manner. The following chart reflects the scoring (using the 0 to 4 scale defined in the CAF):



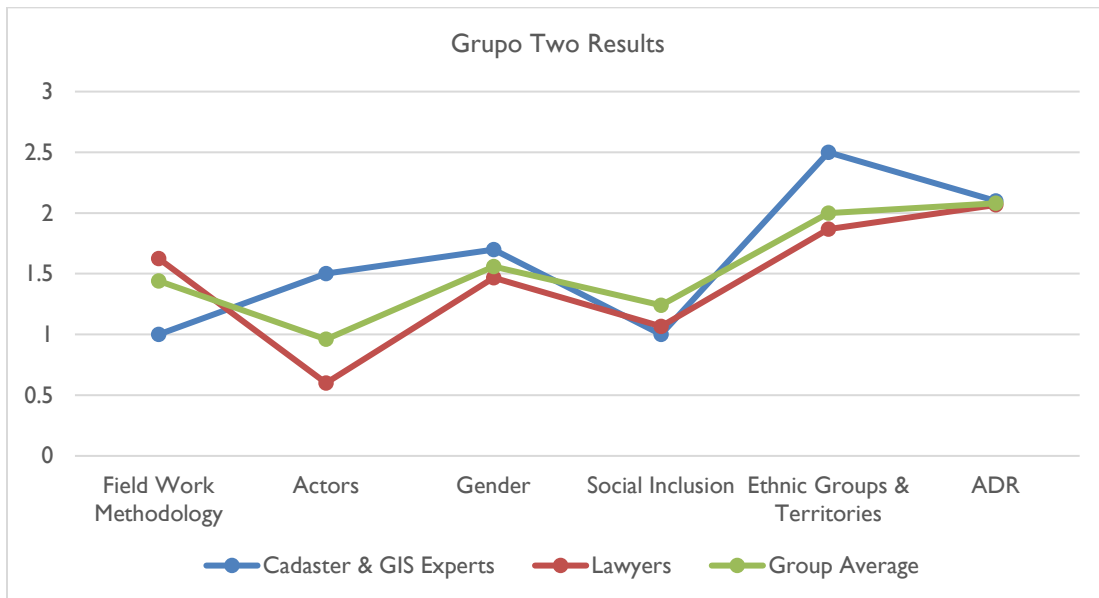
ELAPA reported that it found the CAF to be useful in identifying areas on which to focus capacity-building during the following year. ELAPA plans to apply the CAF annually, in order to track improvements.

## COLOMBIA LAND FOR PROSPERITY ACTIVITY

LFP, implemented by Tetra Tech as the prime contractor, used the CAF tool in January 2022 and April 2022, in both cases with personnel contracted to carry out field work of land rights documentation. The January group consisted of five people, whereas the April group consisted of 25 people. LFP customized the Tier I capacities to focus on eight areas: fieldwork methodology; knowledge about stakeholders and actors; gender; social inclusion; ethnic groups; alternative dispute resolution; planning; and monitoring. The customization included translation into Spanish of the tool and tailored questions. LFP senior management evaluated the responses of each individual on the 0 to 4 scale defined by the CAF. For the January group, comprised of field team managers, an average score of 1.8 was obtained, with the lowest capacities being in the area of knowledge about institutional actors and other stakeholders and highest scoring in the area of planning. The project reported that the assessment served as a useful diagnostic to determine the appropriate focus of training to be given soon after the assessment. A second application to the January group was done three months later to track progress, but by that time four of the five original respondents had left the project. The remaining person, who had originally scored a 2.6 average across the eight areas, improved to a 3.1 average.

The second (April) group of 25 people consisted of 15 lawyers and 10 cadaster/GIS specialists. The average scoring of this second group, across all eight areas, was 1.4, with a very dispersed performance varying by thematic areas. The cadaster specialists on average demonstrated a greater knowledge than the lawyers about the functions of institutional actors and other stakeholders, whereas the lawyers

demonstrated greater knowledge about the fieldwork methodology.



Overall, use of the tool highlighted for LFP management the need for increased capacity building for the fieldwork personnel. The scores obtained were lower than expected and helped the project orient the training that LFP itself delivers to these contracted personnel. LFP reported that it planned to apply the tool to the second group in July 2022 to track its progress. LFP also suggested that the tool could be adapted for use by the Government of Colombia to assess existing capacities in local government offices involved in various steps of the land formalization process.



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