Annex 7.1. Methodology

Participatory mid-term assessment of the Land for Life initiative

Feb-July 2022

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Updated: 15 March, after the pilot assessment in Ethiopia

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Objective:

The participatory mid-term assessment aims at creating a common understanding among "in-country stakeholders" on

- the status of Land for Life in the four countries, including outcomes to date, the health of the platforms at country level, and the performance of the core teams in the four countries, and
- corresponding insights and the way forward.

The participatory mid-term assessment further aims at creating a common understanding - among key stakeholders such as WHH, the BMZ and key actors in the four countries - of the status, and the key challenges and opportunities of the Land for Life initiative at program level.

Outputs:

In each country:
- *Outcomes* of LfL to date and corresponding learnings are *harvested* and triangulated
- A *MAP maturity assessment* is carried out along organisational parameters and verified with key stakeholders at country level
- A *performance check of the team / secretariat* is carried out looking at the efficiency and effectiveness of the work of the core team of the MAP, and triangulated with key stakeholders at country level
- A workshop with key stakeholders is carried out to validate *key insights and develop a collective understanding of the way forward*
- A 5-page report summarizes the insights and collective understanding of the way forward
- All other exercises for instance the maturity assessment, the outcome harvesting etc. are documented and annexed

At program level:
- Mapping of assessment results and insights on country level
- A *performance check* looks at the efficiency and effectiveness of support processes of the program level team
- Key insights and recommendations on the way forward are developed
- A sharing workshop creates collective understanding of the key insights and the way forward
- The report / documentation consists of:
    1. Summary - 2 pages
    2. Methodology / approach - 3 pages
    3. Burkina Faso: Country level assessments –- 5 pages
    4. Ethiopia: Country level assessments –- 5 pages
    5. Liberia: Country level assessments –- 5 pages
    6. Sierra Leone: Country level assessments –- 5 pages
    7. Program level assessment - 5 pages
    8. Consolidated key insights and recommendations - 5 pages

    Annex with documentations form the countries

Methodology

Key features of the methodology

1. It is a participatory assessment <u>not</u> an external evaluation

We use a participatory approach to carry out the assessment. This has the advantage that we can create a common understanding among the key stakeholders regarding the status of Land for Life in the countries. We can also create a common understanding on the priority issues that need to be taken up and tackled in the second half of this project phase.

There is therefore a very direct link between the assessment results and what will be done as a follow up.

Stakeholders to be included in the assessment are the secretariat, actors that are part of the multi-actor partnership for instance members or supervisory structures, but also donors, support agencies, and decision makers that are targeted by advocacy activities.

A central element of the assessment is a 2-day workshop with key actors that will be carried out in each country.

2. Together, the Land for Life facilitator and a CSA facilitator lead the exercise

In each country, the assessment is led by the respective Land for Life facilitator together with a CSA facilitator. In this way, the Land for Life facilitator remains in the driving seat. However, there is also an element of triangulation and self-assessment in order to get "objective" results during the assessment.

All final insights and recommendations will go through a review process with the country teams.

3. Tools and methods are adapted or tailormade to Land for Life

The tools and methods comply with the complex nature of the initiative, which on one hand has ambitions in terms of policy change regarding land rights and on the other hand aims at building inclusive MAP structures or even independent organisations. The policy focus and the structure of Land for Life is quite different in each country. We tried to keep the tools broad enough to take into account those differences. Special focus will be given to the back-bone structures or secretariats.

4. Reference points are strategies and plans on country level as well as the log-frame of the initiative.

In two countries (Burkina Faso and Ethiopia) multi-year strategies have been developed for Land for Life, which are used as the main reference point for the assessment. In Liberia and Sierra Leone, we have a Theory of Change, which can also be used to look at the key strategies used, as well as the changes that are envisaged. Both, the strategies, or the specific ToCs have defined both, organisational change objectives, as well as policy change objectives. Those envisaged changes are the progress markers for the assessment.

In addition, the initiative also has defined log-frames on country level. The detail of the log-frames are somehow overwhelming, which makes them less usable. Where we feel the in-country plans are not sufficient or contradict to the log-frames we will use the logframes as references.

On program level, we will attempt to formulate insights and recommendations that are related to the program document and the overall log-frame.

Main tools & exercises we use:

1. ***We use outcome harvesting*** *to identify changes influenced by the intervention*
Outcome harvesting is a monitoring and evaluation methodology used to identify, describe, verify and analyse the changes brought about through a development intervention. It is designed to collect evidence of change, and then work backwards to assess contribution to that change. We hope that we can identify 6-8 meaningful outcomes in each country and that we would be able to assess 3-4 of them more in detail. i.e. by triangulating the narrative with interviews, field visits and through validations in a workshop.

2. ***We use MAP maturity assessment*** *to look at the organisational development of the country platform.* Based on a method that has been initially developed by CIFOR in 2018, we have developed a catalogue of 14 statements for our health check, which will be self-assessed by key stakeholders of the MAP through an online questionnaire. The results will show, in which areas the platform is doing well, and which areas are a matter of concern to the stakeholders. We will prioritize 2-3 most critical areas and the 2-3 most promising areas for a deeper analysis. The deeper analysis will be done through interviews and in the participatory assessment which is carried out in each country.

3. ***We conduct a performance check*** *of the in*-country teams or the secretariat will look at the criteria of efficiency and effectiveness. To carry out the check, we will develop a template to list and self-assess the outputs and their effects for instance regarding events, or communication products in a one year period (2021) vis-a-vis plans and strategies. The performance check will be validated in the assessment workshop.

4. **We conduct key informant interviews** to get a deeper understanding of the above three categories, but also to collect other concerns, priorities or observations among other stakeholders. In total we aim at 8-10 key informant interviews from each country. The key informants will be people that do not participate in the assessment workshop, and constitute of people that have had close interaction with the MAP, and/or are considered as key influencers regarding land-rights. We build here on previous stakeholder analysis and recent events.

5. **We do a 2-day assessment workshop in each country** to get a greater understanding. The workshop will have around 10-15 participants apart from the assessment team and focuses 1.5 days on assessing outcomes, the maturity assessment as well as validating the performance check. Half day will be spent to consolidate insights and develop priorities for the way forward.

Timetable

Step	Time	Lead & Team
1. Draft Assessment Method finalized	14 Feb	**Joachim,** Constanze
2. Piot Assessment in Ethiopia	15 Feb - Online meetings to introduce the exercise to the team in Addis 21-23 Feb Interviews 24-25 Feb Review and Planning Workshop 26 Feb Backup	**Joachim,** Alain, Fikru
3. Annual Review workshop - further planning and introduction of the methodology	7-11 Mar Review of the methodology and the Ethiopia results is part of the workshop	**Constanze**, LfL participants (from CSA team Retta, Alain and Joachim)
3. Assessment in Sierra Leone	15-22 Mar	**Joachim**, John, Berns
4. Assessment in Liberia	June	**Alain**, John
5. Assessment in Burkina	June	**Alain**, Blaise
6. International Assessment / Consolidation	July	**Joachim**, new coordinator
Finalizing	July	**Joachim**, new coordinator

Tool 1: Participatory Assessment workshop

Purpose of the tool

Common understanding among stakeholders on the status, insights, and recommendations of Land for Life in a specific country, and create a basis for the assessment.

Participants

10-15, mostly Land for Life key stakeholders, i.e. secretariat, members, part of the steering structure, and few more external stakeholders, i.e. from donor, decision makers or support organisations.

Outputs:

- Timeline of Land for Life in the country
- 5-6 outcome narratives developed
- Prioritization and elaboration of 4 priority statements / dimensions that are central for Land for Life in this country
- Detailed and well elaborated key insights and recommendations / options for the future

Session plan Ethiopia

Timing	Day 1 Review	Day 2 Planning
Session 1 9.00 – 10.40	Check-in exercise 20' Introduction to the assessment methodology 20' **Review of the Strategy document** - Presentation of the strategy documents - Key insights	Check-in exercise **Maturity Assessment I** - Present and confirm the results from the online assessment incl. comments by key informants 30' - Reflection in groups on 4 priority statements 60'
Session 2 11.00-12.30	**Performance check** - Dialogue events and their efficiency and effectiveness - Presentation of communication and policy documentation and efficiency and effectiveness - Generating lessons learned and Key insights	**Maturity Assessment II** - Presentation and feed forward on the group work 40' - Generating insights 30'
Session 3 13.30 – 15.10	Energizer 10 **Outcome Harvesting I** - Establish the scope & define: What is an outcome 20 - Presentation and iteration of the timeline of the last years and key outcomes so far 40' - Selection of key outcomes for the narratives	Energizer 10 **Summary and clustering of key insights** - Groups summarize key insights and conclusions / priorities for the future (per2-3 categories) - Presentation and consolidations of conclusions / priorities
Session 4 15.30 - 17.30	Check-out 10' **Outcome Harvesting II** - Developing outcome narrative & Identifying outcome evidence 60' Generating Insights / Lessons 30' Introduction to maturity assessment 30' Homework: online questionnaire	- Personal commitments 20 - Evaluation 10` - Checkout 30 **End by 16.30**

Tool 2: Outcome Harvesting

Purpose of the tool

- Assessing and validating outcomes and outcome narratives of the initiative
- Developing insights and contribute to forward planning

Key features (= the most important characteristics of the tool)

- Participatory self-assessment, creating ownership
- Identifies the main outcomes in the 4 outcome areas of the MAP
- Creates evidence that may be used in different occasions
- Is a facilitated process
- Easy to implement, easy to document
- Should take not more than 1 day, ideally half day
- Could be applicable to different locations and different levels, i.e. district, state, national level
- Could be part of the annual assessment or participatory evaluations

How to go about? *(= application)*

Step 1: Establish the scope

The scope are the four outcome areas of the MAP which are defined in the Theory of Change of the MAP.

Those outcome areas can guide us in harvesting the outcomes.

Target of the outcome harvesting is to establish:

- Timeline – retrospective on the last 12 months (or another time-fame if not done annually)
- 3-5 key outcomes, their narrative and sources of evidence

| Outcome areas |
|---|
| Strengthened coordination and synergies between land governance interventions |
| Meaningful participation of affected citizens in land policy dialogue |
| Joint Monitoring and Response to emerging issues |
| We have positive outcomes in relation to: Principles of VGGT and RAI are taken up in policy reform and implementation |

Step 2: Define: What is an outcome?

An outcome is:

… An **observable change** in the **behaviour** (actions, activities, relationships, policies or practices)

… of **individuals, groups, organisations or institutions**

… that are **influenced** in a small or large way, directly or indirectly, intentionally or not, positively or negatively,

… by the activities of the initiative
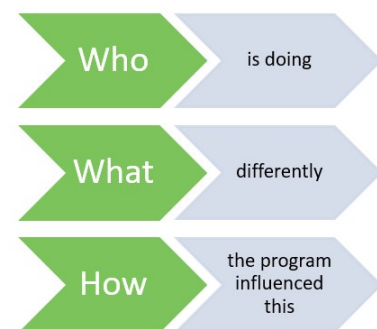
Step 3: Tracing Key events in Program implementation

Make a timeline of the period of LfL program implementation in your country. As a group, using cards or sticky notes, discuss and add:

- below the line: key events in the external (country) context re land policy and governance
- above the line: key events or stages in program implementation, including any shifts in approach
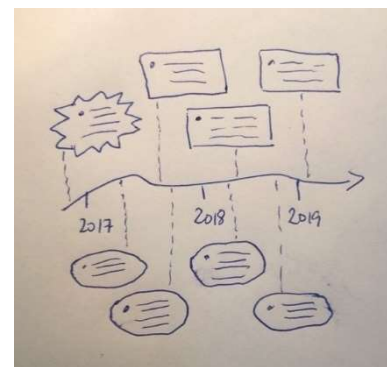
Step 4: Identifying key outcomes

Consider outcomes that may have been planned, as well as those that were unplanned or unexpected, both positive and negative.

Consider policy influence, stakeholder relationships, stakeholder capacities…

Discuss and debate:

- What are the key outcomes that have resulted from the LfL program implementation in country so far?
- Which of these are most significant and why?
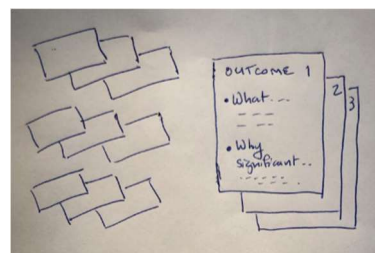
Step 5: Developing outcome narratives

For each of the selected key outcomes, "tell the story" of how this happened. If necessary, the team may break into small groups to develop each, and then reconvene to share, critique, and elaborate:

- What were the most important contextual factors (including prior events)?
- What were the key actions or activities the program did?
- How / in what ways did these contribute to the outcome?
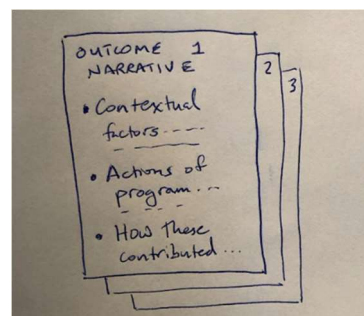
Step 6: Identifying Outcome evidence

For each of the outcome narratives above, identify key sources of evidence that can be used to validate the outcome. These may be:

- Individuals to interview. Knowledgeable actors who experienced or observed the change (provide name and role)
- Documentation. Press report, policy document, official memo, publication, etc. (note what each source of evidence shows)
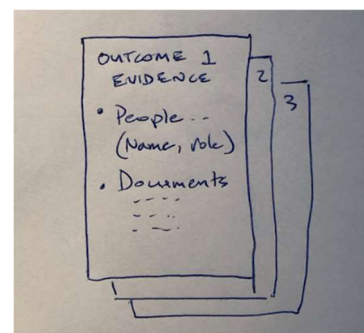
Step 7: Generating Insights / Lessons

These questions generate reflection about the successes and failures during the course of the program. The question 'Why?' generates understanding of the root causes of these successes and failures.

- What worked?
- What didn't?
- Why?

Work individually to generate several lessons each (one per card) before sharing these, clustering, and discussing to validate and deepen each lesson.
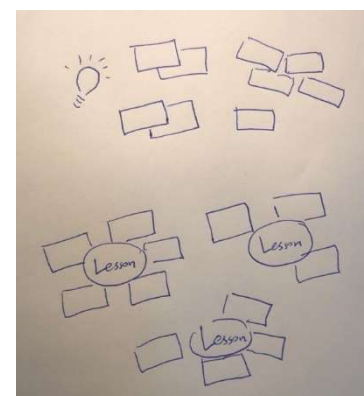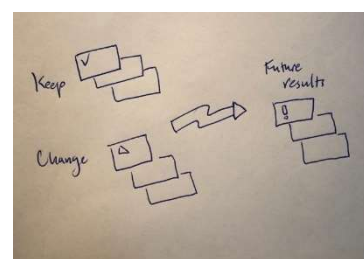
Step 8: Future Direction

This question is intended to help identify specific actionable recommendations that the MAP may implement.

• What best practices, if any, should we maintain going forward?

• What should we do differently in the next year?

• If we do this, what change in outcomes can we expect?

…and then? *(= follow-up)*

Reference: Collaborating for Resilience, 2019: WHH Land for Life Program - Intro to country team self-evaluation workshops.

Tool 3: MAP Maturity Assessment

Purpose of the tool

- Assessing the maturity of the MAP at this point of time
- Developing insights and contribute to forward planning

Key features (= the most important characteristics of the tool)

- Participatory self-assessment, creating ownership
- Online scorecard – that can be used for much larger feedback (beyond participants of a workshop)
- Offline method for workshops is also possible
- Based on a simple organisational model
- Can be easily combined with the Outcome harvesting
- Is a facilitated process
- Easy to implement, easy to document
- Should take not more than 1 day
- Could be part of the annual assessment or participatory evaluations
- Could be implemented at different levels, i.e. regional or local level, while adapting the questions

How to go about? *(= application)*

Step 1: Establish the scope 15'

- The scope of the maturity assessment is the MAP including its organizational set-up at this point of time.
- The maturity indicates how far we have reached in developing the MAP
- Maturity does not mean it is a one-way road. It is possible to move back over time in certain components.
- To assess the MAP, we score 14 statements in five organizational components.
- From the online questionnaire and the discussions here, we develop insights and learnings that we can use in the forward planning of the MAP.
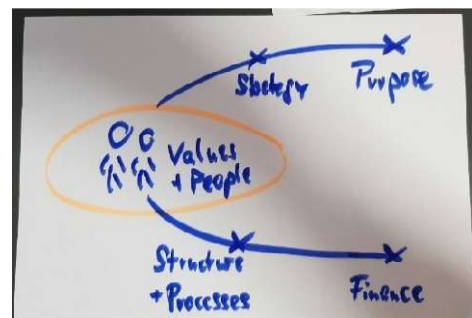
Step 2: Short reflection on the 5 organizational components, we look at… 30'

Before moving to the presentation, it is recommended to reiterate the five components of organizations.

Purpose: Here we look at the clarity, the attractiveness and the target group orientation of the purpose of the MAP. *Why do we exist?* Is the key question in defining the purpose. The purpose is usually defined in the Goal, the vision / mission, sometimes in a narrative

Strategy: Strategies are developed to achieve the purpose, usually covering a time-frame of 1-4 years. The strategy sets the priorities of the MAP and defines ways of achieving targets. This includes

- organizational change objectives, for instance to "set up a national organization which is inclusive of all key stakeholders", or
- thematic change objectives, for instance to "Awareness of citizen rights among vulnerable people at risk of land eviction"

Values and People: MAPs usually pursue four key values here – inclusiveness, a dialogue culture, a collaboration culture, as well as transparency. Trust and Respect among the people is also important. We consider trust and respect as underlying values. Without them achieving the other values is difficult.

Structure and processes: Here we look at adequacy of the structure and the performance of processes related to

- Steering processes i.e. how issues are prioritized, and decisions are made

- Support processes i.e. related to internal communications, logistics, and finance
- Core processes that are related to the functions of the MAP which directly contribute to outcomes, for instance to develop policy alternatives, coordinate stakeholders, or empower citizens.

Finances: Here we look at the funding situation and how accountable the MAP is in terms of spending.

Step 3: Scoring 45'

In case you have not been able to ask the participants to score in the online questionnaire, you can give the participants 30 minutes here to do the scoring. Give a bit more time in case someone cannot finish in 30 minutes.

The scoring is an individual exercise, not a team exercise. The scoring includes:

- Scoring of the 14 statements plus request for comments
- Identification of 4 priority statements, which – according to the respondent – should be given priority in the forward planning.

Step 4: Present and confirm the results 30'

- The facilitator then presents the results of the 14 statements, one by one, and the most important / frequent remarks given by the respondents.
- Then the top priority statements are presented, i.e. which respondents considered important for the forward planning.
- The results are then confirmed by the participants, i.e. by asking a few of the members on how they feel about the results.
- If a critical issue is not considered, it can be added now to the priority statements.

Step 5: Reflection in groups on 4 priority statements 60'

Here we continue in groups: Each of the 4 groups will look at on priority statement,

For instance, one group may look at the prioritized statement: "A secretariat is the backbone of the MAP and performs key functions?" and the related reflection questions i.e.

a. Is the secretariat well established?
b. What are the main functions of the secretariat?
c. Does the secretariat perform those functions well?

Give the groups the formats and add the following instructions:

- Discuss freely for around 30 minutes. Include the reflection questions as well as statements from the online questionnaire in the discussion.
- Then the groups have 30 minutes to focus on the three questions i.e.
    a. 3 Lessons from the discussions
    b. 3 main challenges to improve of maintain the statements score
    c. To address the challenge, we will … ?
    - Ask each group to nominate a representative, who will be presenting the findings and take them forward into the forward planning of the MAP.

Step 6: Presentation of the group work 60'

- Each group then presents the key findings in not more than 5 minutes.
- After each presentation give 5 minutes for feedforward. Each group has to nominate a representative who takes notes and ensures that the groups findings and the feed forward is taken into the forward planning of the initiative.
- Then the next group presents.

- Reconfirm with the group if the exercise was useful and the most important points have been raised.
- Take some time to ensure that the findings of the day are taken indeed forward into the next sessions, and that the group representatives are clear about their mandate.
- Do a check-out exercise, for instance "I like, I wish" to evaluate the day and get inputs for the next day.
    -

Overview: Assessment of the Organisational Development: MAP Maturity Assessment

Organisational Component	Statement	Please use the following reflection questions to think about your rating of the statement
Purpose	1. We are all aware about the purpose of the MAP / Land for Life.	- What exactly is the purpose of the MAP? - Are we all aware of the purpose of the MAP?
	2. Our purpose and narrative of the MAP/ Land for Life inspires and attracts new actors.	- Are we communicating the purpose and the related narrative of the MAP to people from outside? - How are new actors reacting to the purpose/narrative of the MAP? - Are people coming by themselves and ask to participate in the MAP?
	3. We focus on the rights of the most vulnerable.	- Do we include the most vulnerable in our MAP structure? - Do we understand the needs and rights of the most vulnerable? - Are the rights and needs in the forefront when it comes to strategy, planning and day-to-day activities?
Strategy	4. We develop inclusive and impactful strategies and roadmaps.	- How was the strategy process done? - Who participated in the strategy process? - Are the strategies actionable and impactful?
	5. We monitor progress and adjust our plans regularly.	- How and when is progress of the MAP assessed? - Do we reflect openly on the progress and collaboration among the MAP members? - Are we "learning" from our action, and adjust plans or strategies accordingly?
	6. We perform well in terms of implementing roadmaps and strategies.	- Are we all aware of the roadmaps and strategies? - How well do we perform if compared to the plans / roadmaps? - How well do we achieve our milestones and strategies?
Values & People	7. Our MAP engages with everyone who should be present.	- Do we include the important actors for policy making? - Do we include critical private sector organisations? - Do we include key actors that have different opinions? - Does the group include the vulnerable people and are their interest sufficiently represented?
	8. We established a culture of dialogue, collaboration and transparency.	- How do we collaborate and communicate with each other? - Is there trust and respect among the members of the MAP? - How are the dialogues among us and with others? - Are all processes and decisions documented and transparently communicated?
Structure & Processes	9. Our steering structure and processes are matching the needs of the MAP.	- How is the steering / decision making process in our MAP? - Are we including the most important stakeholder, including women in the steering structure? - Is the steering structure adequate in matching the ambitions and needs of the MAP?
	10. We are all clear on our own and everyone else's role in our MAP.	- Do I know what my own role is in the MAP? - Do I know what the role of all others is in the MAP? - Are there important functions or roles, which are not there, or not considered?
	11. A secretariat is the backbone of the MAP and performs key functions.	- Is the secretariat well established? - What are the main functions of the secretariat? - Does the secretariat perform those functions well?
	12. External support by the international team or consultants is well utilized.	- Are we clear about the functions of the international team (WHH / CSA)? - Are we clear about the use of external consultants? - How well are they performing their functions?
Finances	13. We mobilize sources of funding for our MAP to achieve its objectives.	- How well is our MAP funded? - Are we actively looking for funding from new sources?
	14. We are accountable and modest in using financial resources.	- Are we aware of the budgets we have available? - Are we confident that the financial resources are used in an accountable way? - Are we modest and cost-efficient in using the resources?

Tool 4: Performance check

Dialogue, monitoring and capacity building event since Sep 2020

	Title of the event	Type of Event	Date	Contact hours / days	# participants	Description	Objective	Outputs / outcomes
1		Thematic working group meeting						
2		Buna Tetu						
3		Large Stakeholder workshop						
4		Training						
5		Policy dialogue						
6		Field visit						
7		One-on-one meeting / lobbying						
8		Town hall meeting						
9								
10								
11								

Communication and Policy publications since Sep 2020

	Title of the publication	Type of publications	Date	Description	Objective of the publication	Outreach /Outputs / outcomes
1		Policy briefs				
2		Website				
3		New website articles				
4		Flyer				
5		Social media posts (?)				
6		Newspaper article mentioning LfL				
7		XXX				
8						
9						
10						
11						

Tool 5 Questionnaire

Name of respondent:

Time of the interview

Revealing quote

Questionnaire for Land for Life

Personal Connect to the MAP	**Connection to the MAP:** Your connection to the Map / your function in regard to land rights / your role in the MAP?	**Touch Points:** What were the most important moments, events or touch points that you had with Land for Life? Why?	**Relevance to you:** Why is this dialogue platform relevant to you? Purpose, synergies, gain points for you?
Outcomes	**Personal Level Outcomes:** Did Land for Life influence your behavior, your policy work in regard to land rights?	**Overall Outcomes in the last 4 years:** What main outcomes come to your mind in regard to the MAP i.e. on increasing dialogue and achieving policy change? be specific.	**Rating and Suggestions:** How do you rate the outcomes, now around 4 years into the initiative, and what can be done to increase the outcomes?
Dialogue platform / MAP Maturity	**Dialogue Platform:** How do you feel the dialogue platform emerges i.e. culture, participation, topics?	**Organizational development:** How do you feel about the structure, the processes and the team of Land for Life?	**Other issues you would like to highlight?**