

# Evaluation of the Mozambique Community Land Use Fund



Annexes  
January 2014

# **Evaluation of the Mozambique Community Land Use Fund— Final Report Annexes**

January 2014

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## ANNEX 1. INCEPTION REPORT WITH DFID TERMS OF REFERENCE

# FINAL INCEPTION REPORT:

## EVALUATION OF THE MOZAMBIQUE COMMUNITY LAND USE FUND

**9 May 2013**

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### 1. BACKGROUND OF THE PROGRAMME BEING EVALUATED

The Mozambique Community Land Use Fund—known as *Iniciativa para Terras Comunitárias* (iTC)—was formed by six donors (referred to as the G6)<sup>1</sup> in 2006 in order to address the widespread lack of land tenure security (only 3% of land in Mozambique had *formal* legal status) and to support investments in agriculture and other activities and to invest in rural communities (over 55% of the rural population lives in poverty). The term “iTC” refers to a programme that receives G6 donor funding administered by a consortium led by KPMG Auditors and Consultants Mozambique and that also includes the Greenwich University, UK-based Natural Resource Institute (NRI).<sup>2</sup> A summary of iTC’s early milestones, including the period when iTC became operational (October 2006) and the official launch of iTC (May 2007) can be found in Annex 4 of Graham Boyd and Andre Calengo’s Strategic Analysis Report for iTC (2008).<sup>3</sup>

The purpose of the initial iTC programme was to enhance the capacity of a variety of actors to secure the land tenure and natural resource rights of local communities and to increase the sustainable management and utilisation of natural resources for poverty reduction and economic growth. The programme was piloted in the provinces of Manica (headquarters), Gaza and Cabo Delgado. In 2009 the Millennium Challenge Corporation funded another iTC initiative (through its local partner, the Millennium Challenge Account and administered by KPMG Auditors and Consultants Mozambique) with broadly similar objectives, but with exclusive focus on Nampula, Niassa and Zambézia Provinces. We shall refer to this second initiative as the iTC/MCA programme. In 2010, after a Mid-Term Review, the initial iTC programme expanded its activities into Tete and Sofala provinces. The two iTC initiatives have affected various sites and actors in a total of 28 districts in 8 provinces.<sup>4</sup> While the iTC programme funded by the G6 is currently within an extension phase until March 2014 and linked to broader goals of forming a future independent national institution for continuing these activities<sup>5</sup> and expanding these activities to all provinces, the iTC/MCA programme will conclude its activities in Nampula, Niassa and Zambézia in mid-2013.

<sup>1</sup> The six donors include: UK-DFID, the Embassies of the Netherlands and Denmark, Irish Aid, Swedish SIDA and the Swiss Agency for Development. DFID is currently the lead donor of the group known collectively as the “G6”.

<sup>2</sup> The consortium formerly included the Nampula-based CEPKA, which withdrew from the consortium due to capacity limitations in meeting the level of technical inputs required for the contract. Centro Terra Viva (CTV) joined the consortium for the extension phase of the programme.

<sup>3</sup> Boyd, G. and A.J. Calengo. 2008. *A Strategic Analysis to Reinforce the Iniciativa Para Terras Comunitárias*, Final Report, p.69.

<sup>4</sup> De Oliveira, E. and C. Jordão. 2013. The iTC Case Study, paper presented at the Annual World Bank Conference on Land and Poverty, April 2013

<sup>5</sup> Invitation to Tender, Volume 2, Terms of Reference, Evaluation of the Mozambique Community Land Use Fund, p.2.



The role of iTC is to assist communities in the identification and protection of their land use rights<sup>6</sup>—and to ensure that communities have access to rural development resources.<sup>7</sup> To this effect, the iTC programme<sup>8</sup>:

- 1) *Targets priority geographical areas* with significant economic potential;
- 2) *Combines delimitation with land use planning*, thereby identifying areas that communities are interested in developing themselves and those where they are willing or have potential to enter into partnerships with private investors;
- 3) *Offers services to facilitate communities' linkages with investors and institutions specialising in local development*, including delimitation and land use planning, assistance with creating and legalising natural resource management committees or producer associations, assistance with opening bank accounts, mediation, advisory services in relation to community consultation by private investors or in relation to negotiating partnerships.
- 4) *Aligns iTC interventions with district plans* so as to be able to access broader financing opportunities.

## 1.1 The Purpose of the Evaluation

This evaluation covers the iTC programme from 2006 to 2012. The purpose of this evaluation is three-fold:

- 1) Learn lessons on what worked and what did not work well during the implementation of iTC (including a comparison with iTC/MCA implementation);
- 2) Understand the influences of the iTC programme on investments in participating communities (community level and individual household level);
- 3) Provide input into the design of possible future iTC support from April 2014, including input for the future development of a monitoring and evaluative baseline.

Due to the retrospective nature of the evaluation and lack of initial evaluative baseline and Theory of Change (ToC), there are analytical limits to all of the possible methodologies for evaluating the programme. The evaluation team intends to use modified concepts and procedures adapted from Outcome Mapping<sup>9, 10</sup> to guide the evaluation (see Section 2).

## 1.2 Principal Target Audiences of the Evaluation Report

<sup>6</sup> Formal certification of these land use rights is not a legal requirement, but it does give public notice of community land rights and adds to the evidence of those rights for securing community tenure claims.

<sup>7</sup> DFID. 2011. Project Memorandum, Extension Phase (2011-2013), Establishment of a Community Land Use Fund (Iniciativa para Terras Comunitárias) in Mozambique.

<sup>8</sup> Adapted from: DFID. 2011. Project Memorandum, Extension Phase (2011-2013), Establishment of a Community Land Use Fund (Iniciativa para Terras Comunitárias) in Mozambique.

<sup>9</sup> Earl, S., Carden, F. and T. Smutylo. 2001. *Outcome Mapping: Building Learning and Reflection into Development Programs*, International Development Research Center (IDRC), Ottawa (available in Portuguese).

<sup>10</sup> Wilson-Grau, R. and H. Britt. 2012. *Outcome Harvesting*, Ford Foundation, MENA Office.

The principal target audiences for the Final Evaluation Report are<sup>11</sup>:

- 1) The Government of Mozambique (GoM) (national and provincial levels);
- 2) Donors (principally DFID, Sweden, SDC, Irish Aid, Netherlands, Denmark and MCC/MCA);
- 3) The KPMG iTC project implementation unit; and
- 4) The transition study group preparing for a future independent institution to continue the iTC mandates.

The Reference Group (RG)<sup>12</sup> will oversee the work milestones of the Evaluation Team (ET)<sup>13</sup> and the ET will target their recommendations to the iTC donor group (G6).

## 2. KEY APPROACH OF THE ET: ADAPTED OUTCOME MAPPING

Outcome Mapping (OM) was developed initially by the International Development Research Centre (IDRC) as a flexible approach to the development of projects, programs and organizations, ideally at all stages of planning, monitoring and evaluation.<sup>14</sup> Because the iTC programme did not begin its planning phase with an OM approach, there are limits to the extent to which our team can apply OM in this retrospective evaluation task. Despite these limitations, our team argues that a modified OM approach combined with the insights developed by a group to strengthen the OM ideas, called “Outcome Harvesting” (OH)<sup>15</sup> offers unique benefits and is well suited to the purpose of this retrospective evaluation.

### 2.1 Focus on changes in behaviours, relationships, policies and practices

The Outcome Mapping approach focuses less on the direct deliverables of a project or programme and more on the behavioural changes created by the project or programme team. Outcome Mapping and Outcome Harvesting begin with a focus on an institution (Change Agent) whose mandate is to influence change in the behaviours of other social actors (named in our modified OM as “Boundary Actors” or BAs). Boundary Actors<sup>16</sup> are groups, communities, organizations or institutions—and the individuals within them—important to the outcomes desired by the Change Agent, and plausibly influenced by the Change Agent, but

<sup>11</sup> The Evaluation Team recognizes that there are of course broader potential secondary target audiences for the findings (such as investors), but these are NOT the primary audience for the evaluation report.

<sup>12</sup> The Reference Group Consists of representatives of MCC, MCA, FAO, key donor partners (UK-DFID, the Embassies of the Netherlands and Denmark, Irish Aid, Swedish SIDA and the Swiss Agency for Development Cooperation-SDC), civil society groups, private sector organisations, and the Ministry of Agriculture (Mozambique).

<sup>13</sup> The evaluation team was contracted by The QED Group, LLC (Washington, DC) in partnership with the London-based firm GRM International by agreement with DFID procurement.

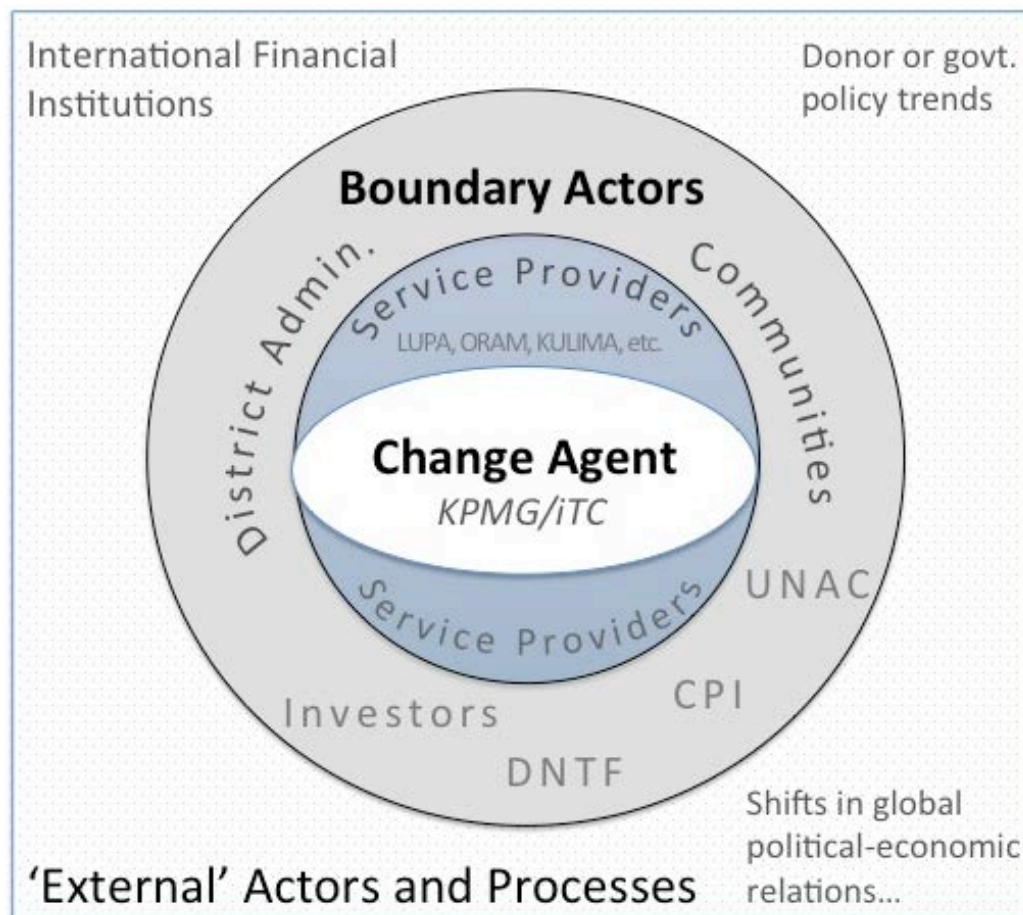
<sup>14</sup> See Earl, S., Carden, F. and T. Smutylo (2001). OM refers to the planning stage as “Intentional Design”, to monitoring as “Outcome and Performance Monitoring” and to evaluation as “Evaluation Planning”.

<sup>15</sup> Wilson-Grau, R. and H. Britt (2012) “Outcome Harvesting”, Ford Foundation, MENA Office.

<sup>16</sup> Initially our team used the term Boundary Partners, but after a workshop with core iTC staff in Chimoio and feedback from OM expert Ricardo Wilson-Grau, our team finds the term Boundary Actor to be most appropriate for reflecting the fact that at times Boundary Actors share similar goals and interests with Change Agents, and sometimes they do not share similar goals and interests.

not controlled by the Change Agent. In this evaluation, the Change Agent is KPMG/iTC (see Figure 1).

**Figure 1. Conceptual Diagram of Change Agent, Boundary Actors, Service Providers and External Actors**



## 2.2 Key Boundary Actors

Boundary Actors include those groups and individuals that are directly or indirectly influenced by the Change Agent, including actors that are aligned and those that are not aligned with the goals of KPMG/iTC.

In this case, we are evaluating KPMG as the manager of the Mozambique Community Land Use Fund's two branches (iTC/G6 and iTC/MCA), where KPMG is the Change Agent for both components, contracted by the G6 donor group in 2006 and by MCC/MCA in 2009 to achieve various objectives that are supported in principle under the 1997 Land Law and its subsequent modifications.

The types of Boundary Actors that are important to KPMG/iTC include (see Figure 1):

- 1) Local communities and their members (as defined in the 1997 Land Law), including producer associations composed mostly of family units residing within or neighbouring the target communities, traditional leaders and households;
- 2) Agencies of district, provincial and national governments (these include cadastral services, STAE, district administrators, provincial offices of DNTF, etc.);



- 3) Donors interested in and actively engaged in projects related to land, natural resource investment and community land access/rights initiatives;
- 4) Members of civil society (particularly those dealing with land issues and rural development, such as the national farmers union UNAC and the Mozambican Business Confederation CTA)<sup>17</sup>; and
- 5) Private sector financial institutions, investors inside and outside of communities (including large national/international investors in partnership with foreign interests, associations that fulfil many functions and roles as an investor and wealthy individuals and families with small investment initiatives in poorer rural areas).

The above list of Boundary Actors is purposely broad during the inception phase of analysis. Because we apply an Outcome Harvesting approach, we will review the inventory of interventions by iTC/G6 and iTC/MCA. From these lists the team will select specific sites of intervention (elaborated below in Section 4 of this Inception Report) and determine what the 'outcomes' of these interventions were, what the specific interventions were and the significance of both the interventions and the outcome. From this Outcome Harvesting process, the ET then can retrospectively determine what further information we need to clarify exactly what happened, who did what, when and how. This enables the ET to determine which specific Boundary Actors are relevant for the specific outcomes and selected cases that we analyse. The evaluation team will more precisely define these actors in conjunction with iTC/G6 and partners in a selection of three provinces for this evaluation (Manica, Cabo Delgado and one of the provinces where the iTC/MCA programme operates -- Zambézia).

In addition to Boundary Actors, we will also focus on Service Providers that are under contract with KPMG or MCA to assist communities and associations with social preparation, and with their negotiations with investors to encourage sustainable and mutually beneficial investments. Except in one very specific way (see Outcome Challenge 7 in Table 3), we do not consider the Service Providers to be Boundary Actors, since they are formally contracted by KPMG or MCA and are under the direct control of KPMG or MCA, at least in regard to their contracted activities with KPMG.

There are also a number of 'External' Actors and Processes that are beyond direct control or influence of KPMG/iTC (see Figure 1), but that may have significant influence on the ability of KPMG/iTC to meet its objectives. For example, these can include shifts in broader donor priorities and policies (and the exit or entry of key donor actors), changes in national policies and the actions of key political figures and shifts in global political-economic relations linked to the actions of international financial institutions.

### 3. APPROACH FOR ASSESSING AND BUILDING A THEORY OF CHANGE AS UNDERLYING THE ITC

Under a full OM approach, a Theory of Change (ToC) would have been developed as part of the Intentional Design phase of OM in the initial setup and framing of the iTC programme. In this case, however, the evaluation team began by deriving a ToC. We consulted various analytical papers and reports<sup>18</sup> and are summarizing these sources into a plausible if ab-

<sup>17</sup> UNAC is the União Nacional de Camponeses. CTA is the Confederação das Associações Económicas.

<sup>18</sup>See Tanner, C. (2002) "Law-Making in an African Context: The 1997 Mozambican Land Law", FAO Legal Papers Online #26;

de Wit, P. and S. Norfolk, 2008. "Addressing land issues following a natural disaster: Case Study of floods in Mozambique, 2000–2008", paper for UN-Habitat conference in Geneva, Switzerland;

tract set of propositions about what problems and what analyses led the Mozambican government, and civil society interlocutors in the mid 1990's to approve the Land Law of 1997 and subsequent technical annexes and modifications.

Drawing on an extensive review of existing iTC documents, the broader literature regarding land tenure and natural resource management and policies in Mozambique and interviews during our initial field visit (25 March to 3 April 2013), we have identified the main components of a possible ToC, including: 1) key historical precedents, 2) legislative achievements, modifications and weaknesses, 3) intended changes for iTC to achieve (2006-2007) and what such changes were intended to produce, 4) the function of a ToC in an OM-based retrospective evaluation, and 5) limitations to and complications affecting the ToC (including its assumptions).

### 3.1 Some Key Issues Facing Mozambique in the Early 1990s

As the extended civil war drew to a close in 1992, Mozambique faced a critical situation of massive poverty—especially in rural areas—and a largely subsistence-based agricultural sector. As in several previous periods of its history, the country's political debates about what strategy to follow to emerge from the disaster bounced between two perspectives on what sort of land tenure system should be encouraged: 1) commercial, capital intensive, large scale enterprises or 2) a revitalized peasant based agriculture. The land was to be again Mozambican, but with what strategic vision?

In the 1990's, two very different perspectives were vying for influence on land tenure policy: that of investors looking for profitable opportunities, and that of local communities<sup>19</sup>. In terms of the two different notions of the *meaning of land*, **investors** argued that land (along with capital and labour) is necessary for economic growth, accumulation of capital and poverty reduction. Those supporting or from **local communities** argued that land is a main source of income and day-to-day sustenance or livelihood (for approximately 80% of Mozambique's population).

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Tanner, C., 2000. "Customary Land Identification and Recording in Mozambique", a paper prepared for an IIED Workshop in London.

Calengo, A. with J.O. Monteiro and C. Tanner, 2007. "Mozambique: Land and Natural Resource Policy Assessment." A paper commissioned by the Embassy of the Kingdom of the Netherlands in Mozambique;

Chemonics, 2006, "Mozambique General Services Contract, Land Tenure Services, Final Report"; Southern African Development Community's Land and Agrarian Reform Project Report, 2006;

Norfolk, S. and J. Compton, 2012. Strategic Review of Land Issues in Mozambique for DfID; Community Land Use Fund (*iniciativa para terras comunitárias*) in Mozambique Extension Phase (April 2011 – March 2014),

"Measuring and Monitoring Value for Money"; DfID Annual Review of Community Land Use Fund Project, 31/10/2012;

CTC Consulting, 2003. – Appraisal of the Potential for a Community Land Registration;

De Witt P. and S. Norfolk, 2010. "Recognizing Rights to Natural Resources in Mozambique", Resource Rights Initiative;

Salomão, A. and A. Zoomers, 2013. "Large Scale Land Acquisitions and Land Grabbing in Mozambique: Ways Forward in 'Pro-Poor' and Participatory Land Governance," paper presented to the World Bank April 2013 Land Conference in Washington D.C;

Mei, G. and M. Alabrese, 2013. "Communities' Ability in Consultations and Land Transactions: Improving the "Empowering Effect" of Tenure Security Initiatives in Rural Mozambique", Paper prepared for WB Land Conference, April 2013, Washington D.C.

<sup>19</sup> This debate considered urban land questions, but focused primarily on rural lands.

The land debates in the 1990s also focused on two different concepts of *access to land*. **Investors** argued that securing long-term and secure, legally protected access to land was necessary to encourage investment by insuring that investments made today could be recovered in the future. From **local community** perspectives, most Mozambicans already had access to land, but in some cases they needed to secure this access in the face of competition from within or among households and communities and in some cases, ensure protection from predatory investors. The local family's survival depends on maintaining their secure access to land.

In the context of post-conflict recovery, policy-makers anticipated an inevitable *increase in the demand for land*. **Investors** needed land to meet demands of expanding markets for agricultural and forestry products and other land based ventures and land served as a vital component of investment portfolios. From the perspective of some **local community** members (and many development experts), the return of displaced persons to their lands after the war had the potential to create conflict in rural communities since there were few opportunities for employment in non-farm sectors in Mozambique.

These very different meanings of land between investors and communities—differing means for getting access to land, using the land, and valuation of land—and increased demand for land from investors and communities led to tensions and at times conflicts. This situation had combined to produce low investments in agriculture and forestry production and low investments in the level (or standard) of living of the majority of Mozambicans living in rural areas.

### 3.2 Propositions for a New Beginning

An ingenious solution was crafted through the discussions leading up to the approval of the 1997 Land Law and its subsequent regulations and technical annex (1999). One part of the solution was the legal recognition of already existing community rights to land due to customary occupation and use of identified community land, and the definition of community governance structures for administering community land. A central proposition was that through legal definition of community customary rights to land, investors would know with whom to negotiate access to land and what lands communities might agree to make available to investors. Community land tenure security, therefore, would encourage investors to negotiate with communities for access to land and provide equitable benefits to communities as part of negotiated investment agreements with outside investors.

A second proposition was that by protecting local rights to community lands, community members would be more likely to make investments of their capital and labour, since they would not fear the arbitrary taking of their lands by outside investors without their approval.

However, after a series of pilot efforts to test and implement the law through the early 2000's, scholars and practitioners identified several key weaknesses in the law. First, the implementation of one of its key features, the delimitation of the boundaries of community lands was very limited, costly and slow, mostly through the efforts of NGOs and without adequate State funding for the certification of those boundaries<sup>20</sup>. Second, while the law was not being im-

<sup>20</sup> In the CTC study of 2003, it was observed that "out of the 180 delimitations, just 74 have received their Certificates and only 24 have gone on to get a demarcated title document".

plemented in significant scale the demand for land from investors and communities escalated, especially from the capital investor sector<sup>21</sup>.

The situation was described in a 2006 review of the Land Law:

“Ten years after its approval, there are signs of structural problems that could imply the need to consider some alterations in the legal framework. There exists a growing level of conflict, not in structural terms, but rather amongst distinct groups and individual interests: communities versus investors and/or the State, conflicts between investors that want to occupy the same areas, abuses of power and the consequences of mistakes on the part of the still-weak public services.”<sup>22</sup>

Land boundary delimitation and certification activities for documenting community rights to land had not been sufficiently extensive so as to reduce tensions. Nor were certified delimitations sufficient to stimulate increased investments in productive agricultural enterprises or other forms of production and to stimulate investments and thus raising rural standards of living.

### 3.3 Rescue Proposals

In 2006, the G6 agreed to fund the experimental iTC programme administered through KPMG (or the “Change Agent” in OM terms) to address both local community and investor concerns regarding land access and increased demand for land, while also addressing the problem of the weak implementation of the law. The main outcomes envisioned for the KPMG/iTC contract were:

- 1) Certified delimitation of community boundaries had to be increased where community demand exists
- 2) Capacities of communities must be improved in order for them to respond to increased investor demand to access their land, to engage in territorial planning, governance and other organizational activities
- 3) Many (though not all) conflicts within and among communities and between communities and investors regarding land, required mediation services
- 4) Investments should be encouraged through agreements between communities and outside investors as well as with community based investors (associations of producers) whose access to specific pieces of community land would be through formal DUATs<sup>23</sup>.

<sup>21</sup> The CTC study found evidence of substantial demand for private titles: “In Zambézia there have been only 137 consultations with rural communities... But 1141 new [private] titles have been issued for 570,012 ha,” p. 26.

<sup>22</sup> “Porém, dez anos depois da sua aprovação, há sinais de problemas estruturais que possam implicar a necessidade de considerar algumas alterações no quadro jurídico. Existe um nível crescente de conflitualidade, não em termos estruturais até agora, mas sim entre distintos grupos e interesses individuais: comunidades versus investidores e/ou o Estado, conflitos entre investidores que querem ocupar o mesmo espaço, abusos de poder e consequências de erros por parte de serviços públicos ainda bastante fracos.” (Southern African Development Community, 2006, p14).

<sup>23</sup> See Norfolk, S. and H. Liversage, 2001. “Land Reform and Poverty Alleviation in Mozambique, Paper for the S. Africa Regional Poverty Network Human Sciences Research Council, p. 14: “The nature of the right acquired by community and good faith occupants (through their occupation of land) and the right that can be applied for by private investors is the same in both instances: that is, a Direito de Uso e Aproveitamento de Terra (DUAT). As such, it is only possible for one legal entity (a community, a company, a private individual) to possess the legal right to a single piece of land at any one time.”

Additionally, the entities which the Change Agent (KPMG/iTC) must influence in order to achieve its objectives—such as governmental agencies, investors, financial institutions and NGOs—must gradually be brought into alignment with and develop a stronger interest in achieving the four above objectives.

These iTC programme efforts, while mostly foreign funded and managed by a private company, were designed to contribute to the resolution of the land and investment-related problems encountered in the early 1990s by demonstrating how to reduce conflicts and establish cooperative agreements among communities and investors for mutual and equitable benefit and improving investments in rural communities through fair agreements.

In 2006 the US Government's Millennium Challenge Corporation approached the Mozambican government with a very large grant proposal for investing in infrastructure and land, which resulted in an expansion of the iTC/G6 effort into three additional provinces. In 2007 agreement was reached on an ambitious investment programme, of which the land project was a central part.

*The Land Project is comprised of three mutually reinforcing activity areas: (a) support for an improved policy environment, including addressing implementation problems for the existing land law and engaging in regulatory review to improve upon it (the “**Policy Activity**”); (b) building the institutional capacity to implement policies and provide quality public land-related services (the “**Capacity Building Activity**”); and (c) facilitating access to land use by helping people and business with (i) clear information on land rights and access; (ii) resolution of conflict with more predictable and speedy resolution of land and commercial disputes – which in turn creates better conditions for investment and business development; and (iii) registering their grants of land use (land titles to long-term or perpetual-use rights) (the “**Site Specific Activity**”)<sup>24</sup>.*

KPMG was also contracted to administer the iTC portion of the MCC grant as managed by the MCA for the land sector, that is, the implementation of the 1997 Land Law as envisioned in the iTC programme. The MCA component contained elements in addition to the iTC/MCA, which added substantial resources for building governmental capacity for its part in community land administration<sup>25</sup> and have been administered by a government agency, the MCA.

Rather than begin from a more abstract and largely linear Theory of Change, the core propositions of our “reconstruction” of the ToC underlying the iTC programme are situated historically (see Figure 2). The core propositions include the following:

- 1) At the close of the civil war, three major problems existed:
  - Low investments in the productivity of agriculture
  - Extensive poverty expressed in the low levels of living of the rural population
  - Tensions were re-surfacing again due to competitive perspectives on land from investors and communities and to the rising demand for land from both sectors.

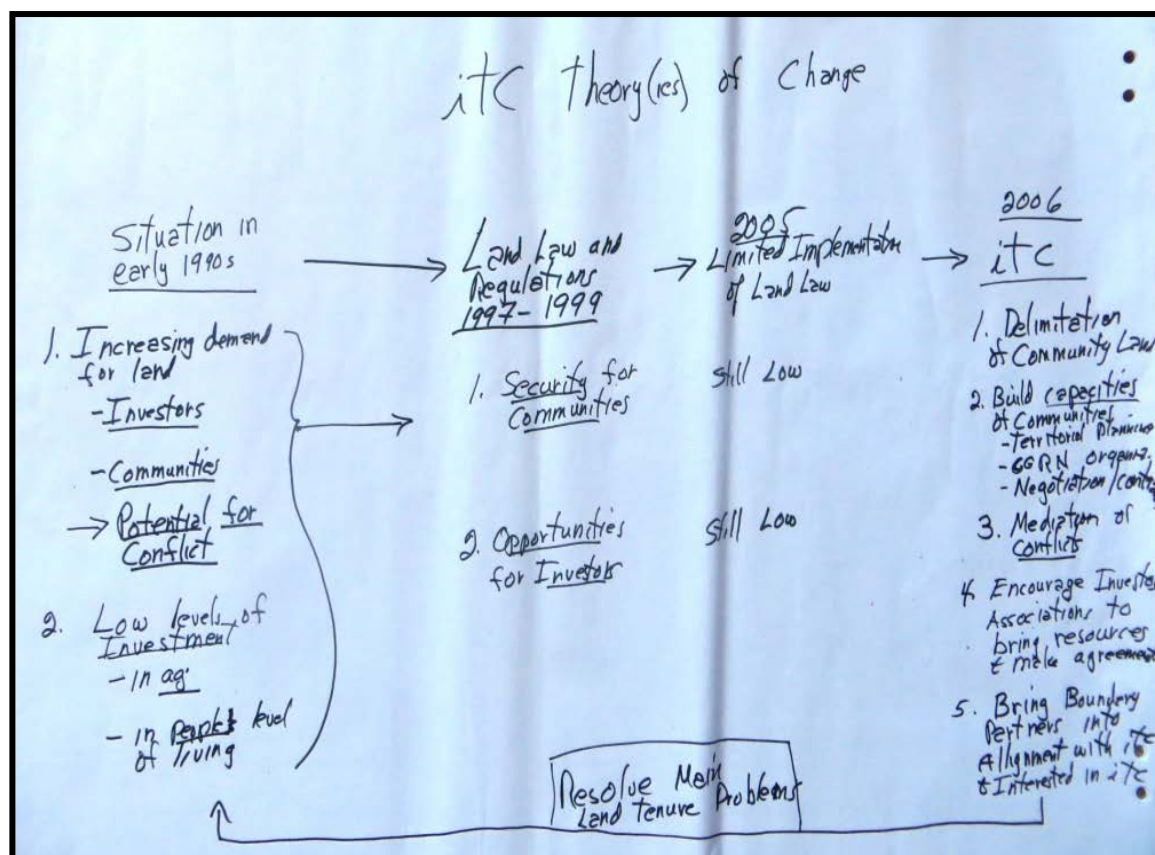
<sup>24</sup> MCC-Government of Mozambique Agreement (2007), Annex, p. 13

<sup>25</sup> The term “land administration” refers to implementation of the Land Law and other legal statements, which define rules of access to and use of community land, the mapping of community boundaries and the natural resources within those boundaries, land use planning, conflict mediation, monitoring of investments and their benefits to the community.



- 2) The Land Law of 1997 and subsequent regulations and modifications proposed the improved security of community customary rights to land and improved community governance of community land in order to encourage mutually beneficial investments from the holders of capital and technology.
- 3) The iTC supported by the G6 donors and various NGOs evolved into a programme by 2005 for supporting the implementation of the Land Law of 1997 beginning in three provinces, administered by a private company, KPMG.
- 4) This iTC was expanded in 2007 into other provinces with funding from the MCC/MCA, also administered by KPMG but with substantially greater involvement of Government agencies.
- 5) These two iTC initiatives (iTC/G6 and iTC/MCA) derive from three interrelated cause-effect relationships:
  - Improved community security of tenure to customary land combined with enhanced community capacity to administer community lands—the social preparation of communities—contribute to more numerous instances of investments in community land based activities which ideally would be beneficial to investors as well as to communities
  - Changes in the behaviour and relationships of Boundary Actors, governmental and non-governmental as well as the private sector toward being more supportive of community social preparation and equitable community-investor agreements also should contribute to increasing investments in the rural sector.
  - Socially prepared communities with successful investment histories and with stronger supportive organizations can become change agents themselves, and become empowered to interact more successfully with Boundary Actors originally orbiting around the iTC change agent.

Our team began to summarize these somewhat idealized components of an iTC Theory of Change in our initial field visit (see Figure 2). We are keeping the graphic in hand written form for the time being to facilitate its improvement through participatory provincial workshops, which cover both the Theory of Change and the applications of aspects of Outcome Mapping to the retrospective evaluation.

**Figure 2: One view of iTC's Underlying Theory of Change<sup>26</sup>**

### 3.4 The Function of a ToC in an OM-based Retrospective Evaluation

The evaluation of the KPMG/iTC activities between 2006 and 2012 focuses on changes in behaviours and in relationships described in the Theory of Change (ToC) of iTC as estimated by the evaluation team<sup>27</sup>. There are three basic areas of focus emerging out of iTC's implementation of the ToC:

- 1) the social preparation of communities (see Boyd and Calengo 2008);
- 2) investments in community land; and
- 3) relationships among social actors important to achieving increased investments in community lands.

<sup>26</sup> We use such "graphics" in paper form in workshops with iTC staff and with Boundary Actors (Boundary Partners), where we are adapting and improving the concepts and methods. In our first such workshop with the iTC management in Chimoio on the 1<sup>st</sup> of April 2013, we substantially improved the expressions of ideas, both in regards to the Theory(ies) of Change underlying the iTC programme and in regards to the application of Outcome Harvesting to the retrospective evaluation of the iTC programme. In Section 4 of the Inception report, we will reflect more on what we learned in our discussions in Chimoio and in subsequent discussions.

<sup>27</sup> The team acknowledges that our historical summary is very simplistic and includes many assumptions, but it is offered as an approximate description of an imputed ToC underlying the iTC, which will be modified as the evaluation evolves.

The Evaluation Team (ET) will gather data to explore what KPMG/iTC has done to influence each of these three focal areas. Within these three focal areas, the ET has identified eight specific Outcome Challenges to address in the Outcome Harvesting data-gathering phase<sup>28</sup>. According to Earl et al. (2001, 56), “An Outcome Challenge describes how the behaviour, relationships, activities, or actions of an individual, group, or institution will change if the programme is extremely successful. Outcome challenges are phrased in a way that emphasises behavioural change rather than specific quantifiable impacts [which are extremely difficult to attribute to a single intervention or programme and to monitor retrospectively]. They should be idealistic but realistic.”

In our evaluation, we intend use Outcome Harvesting to explore to what extent these ToC derived Outcome Challenges have been addressed successfully by the iTC. In this way, these challenges are our reformulation of the original Evaluation Questions listed in the ToR, as discussed in Section 4.1. We have phrased the challenges as statements rather than as questions, but they represent the areas of inquiry central to our evaluation effort—these challenges are the “evaluation questions” of this evaluation effort.

The evaluation will identify where the Outcome Challenges are addressed in different ways by the iTC/G6 and the iTC/MCC/MCA components so as to learn from possibly different methodologies of these two components.

### 3.5 Outcome Challenges of the iTC

The first three Outcome Challenges focus on the social preparation of communities (see Table 1).

As derived from the ToC, the first set of Outcome Challenges addresses the preparation of communities to encourage mutually advantageous negotiations with investors. There are three Community Preparation Outcome Challenges, which we propose to explore through analysing specific outcomes of the iTC program’s two components—iTC/G6 and iTC/MCA

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<sup>28</sup> In standard OM practice, “Outcome Challenges” would have been developed at the design stage of the iTC. In this retrospective evaluation, we are presenting these challenges as a frame of reference and to set the boundaries of the outcomes we will harvest. They will also be of possible use in the design of a new iTC.

**Table 1: Outcome Challenges Concerning *Community Preparation***

Outcome Challenges identified from the ToC		Potential sources of evidence from both iTC/G6 & iTC/MCA programmes
1	Communities improve their security of tenure <sup>29</sup>	KPMG, service provider, SPGC and other archives
		Community assessments (iTC/G6 & iTC/MCA compared)
2	Community Councils for the Management of Natural Resources—CGRNs (or in some communities the “Group of Nine”) — demonstrate improved natural resource management capacities, such as by doing more adequate land use planning, by showing more adept financial and natural resource management (such as use of “ <i>fiscais</i> ” for forest monitoring), by incorporating both genders and various social groupings in the CGRNs, and by demonstrating in other ways improved community natural resource management behaviours.	Oral histories and reconstructed timelines focusing on major events and issues requiring such capacities (both internal to the community and in the case of engagement with outside entities), archival evidence especially from KPMG, SPGC and Service Providers, data collection guide responses reflecting basic knowledge and evidence of application of laws and relevant capacities
3	Communities will demonstrate that conflicts within communities and between communities and investors can be managed successfully.	Interviews and focus groups, KPMG, SP, and SPGC archives regarding prior conflicts, their histories of development and resolution and an awareness of strategies for managing specific categories of future conflicts

The investment-related Outcome Challenges (4-6) are somewhat more specific than the first three (see Table 2):<sup>30</sup>

<sup>29</sup> Factors involved with improved community security of tenure include the community decision to request assistance for carrying out delimitations of community boundaries, actual delimitations and the issuance of community delimitation certificates (*certidões*).

<sup>30</sup> Answering these questions depends on the extent to which progress towards the first three Outcome Challenges in the ToC has been achieved.

**Table 2: Outcome Challenges Concerning Indicators of *Levels of Investment***

Outcome Challenges identified from the ToC		Potential sources of evidence from both iTC/G6 & iTC/MCA programmes
4	Investors (including outside investors, Associations, and individual community families) reach agreements with communities about access to land.	Oral histories and focus groups with relevant communities, interviews with investors where possible and any relevant documentation of meeting minutes.
5	Communities and investors (outside investors, associations, individual community families) successfully apply for formal DUATS for documenting access to specific pieces of land.	SPGC archives and service provider archives (the ET will confirm what parties received copies of the documents for their records)
6	Investors' exploration plans are implemented	Interviews with investors where possible, documentation of taxes paid and other improvements, validation with relevant district and provincial offices regulating such activities, qualitative accounts from local communities, photographic evidence and in select cases where possible, visual observation of key activity sites.

The third theme of the evaluation is to explore how successfully KPMG/iTC has built effective partnerships and relationships with Service Providers and has brought Boundary Actors and KPMG objectives more into alignment. The final two Outcome Challenges captures this theme. (see Table 3). The ET will explore KPMG/iTC investments in Service Provider capacities in service provision and in useful monitoring and evaluation of their performances. This is the one area in which Service Providers also are Boundary Actors because this desired change in their capacity can only be influenced by KPMG.

**Table 3: Outcome Challenges Concerning *Relationships* among KPMG/iTC, Service Providers and Boundary Actors**

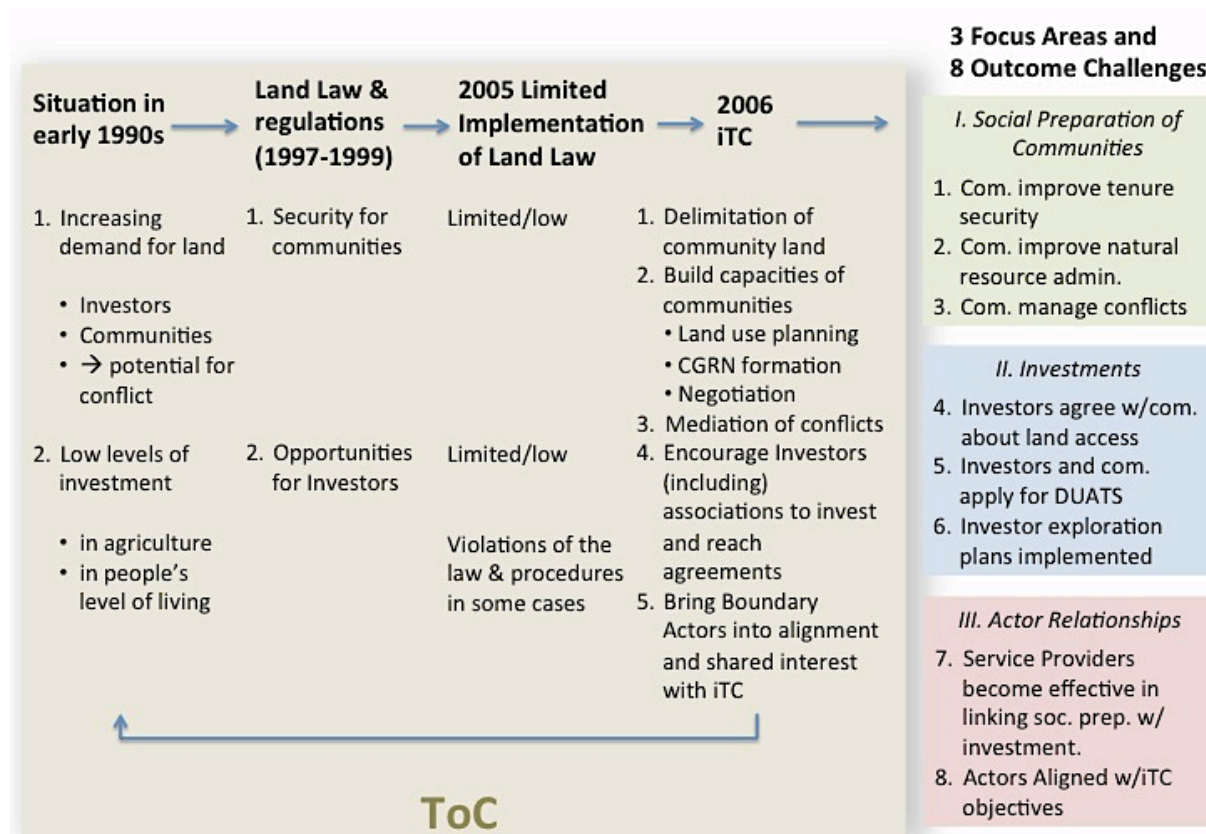
Outcome Challenges identified from the ToC		Potential/G6 & iTC/MCA programmes
7	Service Providers contracted by KPMG/iTC will evolve into effective means of supporting social preparation and investments.	Focus groups with individuals and communities impacted by Service provider activities, archival documentation from Service Providers, qualitative interviews with Service Providers regarding their achievements and concerns/challenges.
8	The objectives and interests of governmental agencies, NGOs, traditional leaders and other BAs as well as KPMG/iTC become more aligned.	Interviews regarding perceived goals and expectations and reflections on collaboration with iTC and select Service Providers.



### 3.6 Limitations and Complications to the ToC (and its underlying assumptions)

The above highly simplified Theory of Change (Figure 2) is currently undergoing modifications as experience has accumulated on the actual implementation of the Land Law, and as conditions have changed (see Figure 3), particularly the dramatic increase in pressures on government from investors for obtaining access to land.

**Figure 3: Linking the ToC to the Outcome Challenges (the ET's Evaluation Questions)**



Changes on the ground in Mozambique are affected by much more than a single iTC programme or national politics and priorities. Global political-economic trends in large-scale land acquisitions, for example, have a major impact in Mozambique (see the positioning of 'External' Actors and Processes in Figure 1).

This line of analysis is more developed in Annex 3, and is based on a preliminary review of literature, to address the question that Salomão and Zoomers<sup>31</sup> present:

In most land governance debates in Mozambique, discussions [of cases where powerful investors get land apparently without following the requirements of the Land Law] revolve around lack of political will, corruption, lack

<sup>31</sup> Salomão, A. and A. Zoomers, 2013. "Large Scale Land Acquisitions and Land Grabbing in Mozambique: Ways Forward in 'Pro-Poor' and Participatory Land Governance," paper presented to the World Bank April 2013 Land Conference in Washington D.C.

of capacity of local communities, weakness of public institutions, etc. But isn't this an oversimplification of a phenomenon that is happening all over the world? Has the Mozambican state simply changed its mind about putting community rights and interests in the top on the development agenda? Has it also changed its mind about being a state that promotes the rule of law and due process in public decisions? Is everybody in government so corrupt, and everybody in communities so ignorant of the laws and procedures that land grabbing cannot be stopped? How much margin of manoeuvre has a state like Mozambique and its citizens to confront and oppose foreign economic powers? (p. 13)

Thus, one of the assumptions driving the historically situated Theory of Change for iTC, was that the core political-economic structures and relations operating in the 1990s were more or less knowable. However, there has been a substantial shift in the global financial landscape and an intensification of international demand for land.

### 3.7 Outcome Harvesting

It is our task in this evaluation to identify and verify major changes that an intervention such as KPMG/iTC and its service providers have influenced in the individuals, groups, communities, organisations or institutions ("boundary actors"<sup>32</sup>) that are the subjects of the KPMG/iTC Outcome Challenges—what are the demonstrated, measurable changes they have undergone and how did KPMG/iTC contribute to them? Outcome Harvesting allows us to identify and formulate these actual outcomes—that is, to gather information about changes in KPMG/iTC's boundary actors. In 1-2 sentences each, we will present up to 25 outcomes per Outcome Challenge:

- **Who** changed and **what** specifically did this boundary actor change, **when** and **where**?
- **How** did KPMG/iTC contribute to the change?
- **Why** is the change in the Boundary Actor important in light of KPMG/iTC?

This information will be the evidence we will use to answer the evaluation questions about meeting the Outcome Challenges.

We identify and formulate outcomes in two steps. First, we will review the KPMG/iTC and service provider archives. Second, we will engage with people (KPMG/iTC field staff, community members, governmental agency staff, investors, and service provider) who are most knowledgeable about what changes KPMG/iTC has influenced in boundary actors. The idea is to identify and formulate in writing the outcomes that these informants consider KPMG/iTC influenced in boundary actors. Please note, that these informants will often themselves be boundary actors and subjects of an outcome. By verification of evidence from more than one source, we aim to increase the credibility of our conclusions.

#### 3.7.1 Identification of the Outcomes

Outcomes describe what the boundary actor that the KPMG/iTC intervention has *directly or indirectly* influenced is doing differently. Outcomes are different from outputs.

<sup>32</sup> Beyond the range of the results that KPMG/iTC controls but within the boundary of what KPMG/iTC can influence.

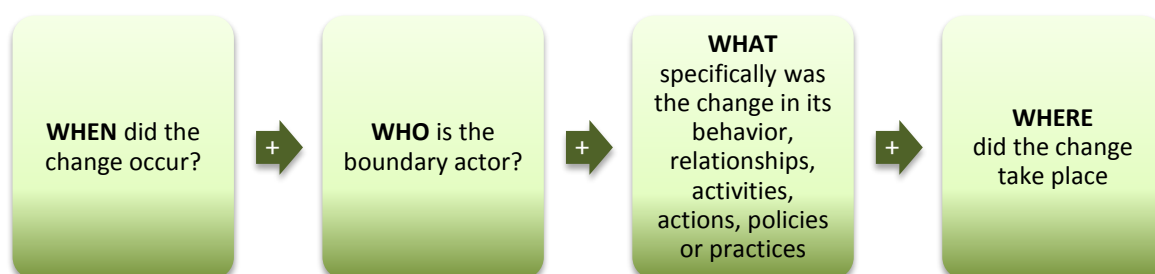
**Outcomes:** Changes in a boundary actor's behaviour, relationships, activities, actions, policies or practices that KPMG/iTC has influenced through its activities and outputs. KPMG/iTC only contributes to outcomes.

**VS.**

**Outputs:** Process, goods or services produced by KPMG/iTC through its activities and those of its service provider. KPMG/iTC controls its outputs.

### 3.7.2 Descriptions of the Outcomes

In 1 to 2 sentences (can be more elaborate if needed) we will describe the change in a Boundary Actor that KPMG/iTC or its Service Provider influenced—**when** did **who** do **what** and **where** that was new or different?



The 1 to 2 sentence descriptions should:

- Start with the date: at least the year and preferably the month or date if applicable.
- State who the Boundary Actor is as the subject of the sentence.
- Describe what the Boundary Actor did or is doing that was or is significantly different than before KPMG/iTC's intervention.
- Use simple language and spell out acronyms so that third parties are able to understand the change and verify it.
- Specify quantitative and qualitative aspects (see SMART guidance below)
- Specify the timeframe for when the change occurred—at least the year but if possible also the month, or the range of dates in which the change happened.
- Identify the institution and geographical location where the change took place.

### 3.7.3 Contribution of KPMG/iTC

In another 1–2 sentences, we will describe KPMG/iTC's contribution to the outcome. How do we know the outcome was a result—partially or totally, directly or indirectly, intentionally or not—of the activities and outputs of KPMG/iTC or one of its service providers? We describe what the activities and outputs of KPMG/iTC did, when and where to influence the outcome. We will be as specific as possible, keeping in mind activities and outputs often will contribute indirectly and partially to one or more outcomes.

To be a KPMG/iTC outcome, there has to be a reasonable cause and effect relationship between what KPMG/iTC did and the change in the boundary actor. That relationship must be clearly verifiable.

### 3.7.4 Significance of the Outcome

In another 1 to 2 sentences, we describe why the outcome is important for KPMG/iTC. What is the outcome's potential to lead to, or has already led to; has it strengthened evidence-based planning and decision making? We recognize that some people who will work with the outcomes may not have country and topic expertise. They must be able to understand the importance of the change solely from what we write.

### 3.7.5 The "Do's and Don'ts" of Outcome Harvesting

DON'T	DO
Describe an outcome as KPMG/iTC's activity or output, such as, <i>"We organized an important conference."</i>	An outcome is a description not of what <i>KPMG/iTC staff or service provider</i> did, but <i>who changed</i> — <i>which boundary actor</i> —because of what KPMG/iTC did.
Force yourself to find direct relationships between an outcome and KPMG/iTC's activity or output.	Realize that KPMG/iTC might have carried out an activity last year or the year before but the outcome may only become visible this year. Or, some things KPMG/iTC does may never lead to outcomes.
Report only positive outcomes or intentional outcomes.	Report outcomes that can be a surprise, unintentional or even negative. These can be important for learning.
Use words that embellish or make too much of a value statement.	Explain and give examples of why the outcome is valuable or successful.
Give vague descriptions of the change that happened.	Give <b>SMART</b> descriptions of the change that happened: <b>S</b> pecific, <b>M</b> easurable, <b>A</b> chieved, <b>R</b> el- <b>e</b> vant, <b>T</b> imely.

### 3.7.6 SMART Guidance

**Specific:** The outcome is formulated in sufficient detail so that a reader without specialized knowledge will be able to understand what changed. *Who did what, when and where, and why?*

**Measurable:** The description of the outcome provides objective, verifiable quantitative and qualitative information, independent of who is collecting data. How much? How many? When and where did the change happen?

**Achieved** (by KPMG/iTC, while not solely attributable to KPMG/iTC): There is a plausible relationship, a logical link between the outcome and what you did that contributed to its achievement.

**Relevant:** The outcome represents a significant step towards the KPMG/iTC goals. The person(s) who identify and formulate the outcome and KPMG/iTC's contribution must be well placed to assess both. They should have experience that gives them the knowledge to describe the outcome and how they contributed to it. Thus, what may appear "anecdotal" becomes critical data because of the informant(s)'s value.

**Timely:** The outcome occurred within the time period being monitored or evaluated, although KPMG/iTC's contribution may have been months or even years before.

## 3.8 Examples of Harvested Outcomes

The following examples of harvested outcomes come from iTC (both G6 and MCA) newsletters. In the actual research, the teams will examine the KPMG/iTC archives for the original formulations of the outcomes, and then will modify them with confirming evidence from Service Providers and Boundary Actors.

### 3.8.1 Example 1—"15 Associations"

In the July 2012 Newsletter of iTC, page 2, the article on 15 Associations formed stated the following:

*Como resultado das grandes pressões de acesso a terra na província de Gaza, a iTC foi solicitada a intervir na demarcação de terras de 15 (quinze) Associações agrícolas no distrito de Guijá.*

*A intervenção consistiu em (i) divulgar a legislação sobre terras, (ii) legalização e registo de associações agrícolas; (iii) capacitação de membros das associações em associativismo e gestão e planificação de negócios.*

We begin the "Outcome Harvest" by recording the following information, and then note the questions that we will discuss with KPMG and its Service Providers:

1. Description of the Outcome: 15 Associations in Gaza requested that iTC assist with the demarcation of their land.

Question to KPMG/iTC: When (which month and year) was this request made?

2. Contribution of KPMG/iTC (activities and outputs):

iTC (KPMG) contributed to each one of the 15 Association in three ways:

- Explained land legislation to the potential members of the Associations
- Legalized and registered the Associations
- Improved the capacities of the Association in business planning and management

Question to KPMG/iTC: Perhaps through your Service Providers? If so, which ones?

Question to KPMG/iTC: There has to be a reasonably plausible relationship between the change in the boundary actor and what you consider you did to influence the outcome. This text from your July 2012 Newsletter describes your general support to the 15 associations. Can you say what you did specifically to influence the 15 associations to request demarcation of their land?

3. Significance of this outcome: To which of the eight KPMG/iTC Outcome Challenges does this outcome primarily correspond?

Outcome Challenge	Check one or maximum two Outcome Challenges
OC1 (Communities delimit boundaries)	
OC2 (CGRNs improve land admin capacity)	
OC3 (Communities manage conflicts)	
OC4 (Investors agree with communities about land access)	X
OC5 (Communities and/or investors)	X



start process of applying for DUATS)	
OC6 (Investors invest for investor and communities benefit)	
OC7 (Service Providers develop effectively)	
OC8 (Govt/Leaders and other Boundary Actors and KPMG align their objectives)	

At face value, it seems that iTC has contributed to achieving Outcome Challenges 3 and 4.

The evaluation will document whether there is sufficient evidence to support this conclusion, and whether there are other Outcome Challenges, which also may be relevant.

As noted in the questions to KPMG in this example, the evaluation team will need to seek out more information about who did what and when and describe the historical sequence of activities under the control of KPMG/Service Providers and the influence of other factors on changes in behaviours of Boundary Actors and relationships among KPMG and these Boundary Actors.

### 3.7.2 Example 2: July 2012 newsletter, Investor-Community Conflict Resolution

*O distrito de Mecuburi, concretamente no posto administrativo de Namina, foi abrangido por um gigantesco projecto de plantação florestal denominado por Lúrio Green Resources, destinado ao sequestro de carbono atmosférico e ao desenvolvimento de projectos de energia renovável, bem como a produção de produtos florestais, numa área total de 90,444 hectares. Devido a elevada dimensão da área requerida pelo investidor e fracas consultas comunitárias, as comunidades abrangidas pelo projecto entraram numa situação de pânico, receando perder as suas áreas de produção, e criando-se assim condições para conflitos.*

*Como forma de mitigar conflitos, a iTC foi chamada a intervir, e financiou a delimitação de terras de 7 (sete) comunidades (total de 30,656 hectares), que foram complementadas com as seguintes actividades: (i) preparação social, divulgação da legislação (de terras e florestas); (iii) criação e capacitação de Comités de Gestão de Recursos Naturais (CGRN).*

*A assimilação de alguns aspectos da legislação sobre terras e floresta, pela comunidade e pelo operador (Lúrio Green Resources), permitiu abertura para iniciar o processo de diálogo e negociação. Esta negociação teve como base a harmonização (participativa), entre os planos de manejo da Lúrio Green Resources, e os planos de desenvolvimento das comunidades (Agendas), elaborados durante a preparação social.*

*Como resultado da negociação, foi possível reestruturar o zoneamento das áreas, com base nas agendas comunitárias. Esta reestruturação implicou, de forma participativa, a*

*identificação de novas áreas para estabelecimento das plantações florestais, deixando para as comunidades as áreas potenciais para a produção agrícola e criação de gado.*

*A resolução de conflitos permitiu igualmente abertura para realização de alguns acordos, para melhorar a vida das comunidades, como por exemplo o comprometimento da Lúrio Green Resources na introdução de tecnologias melhoradas de produção de culturas de rendimento, e facilitação para acesso ao mercado às comunidades. Estes acordos foram assinados depois das comunidades receberem as suas respectivas certidões oficiais.*

*Muitas outras oportunidades são esperadas com esta positiva relação entre as comunidades e a Lúrio Green Resources, que podem ter impacto na gestão de recursos naturais e estimular a partilha de benefícios e responsabilidades, provenientes do negócios do sequestro de carbono.*

#### *Oportunidades para iTC*

*O sucesso da mitigação do conflito acima descrito, através da intervenção da iTC, suscitou mais demanda para delimitação de terras, das comunidades vizinhas. Em resposta, a iTC está a avaliar propostas de projecto, que devem incluir actividade de delimitação de mais seis (6) comunidades.*

1. Outcome 1 Description: Communities or investors decided to ask iTC to mitigate a conflict.

Question to KPMG/iTC: Concretely who requested iTC assistance? Which communities, which investors? If the communities and investors joined together to ask iTC for help, it would be one outcome. If they asked you separately (and especially on different dates) it would be two or more outcomes. We want to flush out outcomes that will reveal the process of change.

Question to KPMG/iTC: When, what date?

Question to KPMG/iTC: What conflict? Where? Please characterize in one sentence.

2. Contribution of KPMG/iTC (activities and outputs):

- KPMG/Service Providers delimited boundaries of 7 communities
- Explanation of land and forestry legislation
- Created and built capacity of communities' CGRNs
- Initiated process of negotiation between communities and investor.

Question to KPMG/iTC: What do these activities have to do with the communities or investors asking iTC to mitigate a conflict? There has to be a reasonably plausible relationship.

3. Significance of the outcome: To which of the eight KPMG/iTC Outcome Challenges does this outcome primarily correspond?

Outcome Challenge	Check one or maximum two Outcome Challenges
OC1 (Communities delimit boundaries)	
OC2 (CGRNs improve land admin capacity)	
OC3 (Communities manage conflicts)	<b>X</b>
OC4 (Communities and investors apply for DUATS)	

OC5 (Investors agree with communities about land access)	
OC6 (Investors invest for communities benefit)	
OC7 (Service Providers develop effectively)	
OC8 (Govt/Leaders and other SPs Buy-In to iTC goals)	

Achiev

ement of Outcome Challenge 3

1. Outcome 2 Description: Communities and investors decided to enter into agreements for investments

Question to KPMG/iTC: Same questions as above. We have to be specific.

2. Contribution of KPMG/iTC or Service Providers (activities and outputs)

- Conflict mitigation

Question to KPMG/iTC: This is all we found in the Newsletter but it is vague. Can you specify what you did that influenced the outcome?

3. Significance of the outcome:

- iTC contributed to OC 4 and 5

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1. Person(s) formulating outcome: \_\_\_\_\_
2. Province of the Outcome: 1-Manica 2-Cabo Delgado 3-Zambezia 4-Nampula
3. District: \_\_\_\_\_ 4. Locality: \_\_\_\_\_
5. Project analyzed: \_\_\_\_\_
6. Service Provider: \_\_\_\_\_

7. Outcome # \_\_\_\_ of \_\_\_\_

8. Description of outcome

[Briefly describe the change in a boundary actor that iTC/KPMG influenced.]

a. Boundary Actor which exhibited change

\_\_\_\_\_

b. What was the change in the Boundary Actor behaviour, relationships, activities, actions, policies or practices:

\_\_\_\_\_

—

\_\_\_\_\_

—

b. when did the boundary actor make the change: MM YYYY \_\_\_\_\_

c. where did the change take place:

\_\_\_\_\_.

\_\_\_\_\_

—

9. Contribution of KPMG-Service Providers to outcome

[Briefly describe what iTC/KPMG with identified Service Providers did, when and where to influence the outcome.]

What did KPMG/SPs do?	When?	Where?
-----------------------	-------	--------

a.	b.	c.
d.	e.	f.
g.	h.	i.

**10. Contributions of other Boundary Actors to the Outcome,**  
*[Briefly describe what other Boundary Actors did, when and where to influence the outcome.]*

<i>Which other B.A.s contributed?</i>	<i>What each did?</i>	<i>When?</i>	<i>Where?</i>
a.	b.	c.	d.
e.	f.	g.	h.
i.	j.	k.	l.
m.	n.	n.	o.

**11. Were there any other important influences on outcome?**

**12. Sources of information about outcome\_\_\_\_\_**

- a. KPMG Final Project Report
- b. Other KPMG Project Report
- c. iTC newsletter
- d. Interviews with KPMG
- e. Interviews with S.P.
- f. Interviews with community members
- g. Other\_\_\_\_\_

**13. About the Project corresponding to the outcome**

- a. Beginning Date: \_\_\_\_\_ b. Ending Date: \_\_\_\_\_
- c. Payment amount: \_\_\_\_\_

**14. Significance of the outcome understood as its relation to iTC's Outcome Challenges**  
*[ In 1–2 sentences explain why the outcome is important for iTC/KPMG. Classify into one or maximum 2 of the Outcome Challenges/]*

- a. Relevant OC \_\_\_\_\_ b. Other Relevant OC \_\_\_\_\_



15. *Comments on verification of outcome:*

16. *What evidence has been found of investment started as influenced by outcome?*

---End of Example Outcome Harvest Form---

#### **4. LINKING THE TOC AND OUTCOME CHALLENGES TO THE RG EVALUATION QUESTIONS**

Gathering and analysing of information regarding the ToC and the Outcome Challenges derived from the ToC will not only enable the ET to assess the ToC, but this will also enable us to assemble information concerning the Evaluation Questions of interest to the Reference Group (RG).

##### **4.1 The RG and Evaluation Team's Approaches to Evaluation Questions**

The Reference Group (RG) is particularly interested in the practical lessons learned from the iTC programme to date, in order to inform the discussion about a potential independent entity for administering the next phase of the iTC. The Evaluation Questions defined by the RG focused first on the need for the evaluation to derive lessons from the implementation of the iTC programming (see Figure 2).

Our reformulation of the Evaluation Questions into "Outcome Challenges" responded to the following analyses of the situation facing the evaluation:

1. This evaluation is retrospective, that is, we have to construct analyses of the iTC starting from the present and extending into the past.
2. A primary interest of the RG is for the evaluation to identify what aspects of both components of KPMG/iTC worked and what aspects did not work as well.
3. Resources (time and money) do not permit large-scale and complex household surveys.
4. Developing a draft Theory of Change as a basis for the evaluation is central in order to derive conclusions as to whether the theory behind the iTC or the implementation of it, or a combination of both, contributed to the observed outcomes.

The RG has agreed that the Outcome Mapping/Outcome Harvest approach to the evaluation, derived from a draft ToC, is appropriate to these conditions.

To be sure that our reformulation of evaluation questions meets the original intent of the RG formulated EQs, we present the following Figures:

First how do the EQ.s get addressed in the proposed evaluation?

**Figure 4: The RG's Evaluation Questions Regarding iTC/G6 and iTC/MCA Activities**

Evaluation Questions		Sources of Evidence for Responding to EQs
1	How has iTC adapted and changed its approach since 2006?	Interviews with KPMG, SPs, BAs, and community members
2	Which types of public outreach and services provided to communities achieved their objectives and which did not and why? What are the key positive and negative external factors?	Interviews with KPMG, SPs, BAs, and community leaders
3	To what extent was iTC successful in building the capacity of service providers?	See Table 3 in Section 3 above.
4	To what extent did service delivery provide Value for Money?	See Tables 1-3 in Section 3 above.
5	How successful was iTC at building relationships between communities, government, service providers and investors and in dealing with key external risks? - understanding community needs and negotiating support from service providers - brokering partnerships between communities and investors - working with government to improve enabling environment for communities	See Tables 1-3 in Section 3 above.
6	How successful was iTC in promoting the participation of women in decision-making?	See Figure 1 in Section 3 above.
7	What impact did the project have on the livelihoods and well being of communities?	Focus will be on investments in communities and in family enterprises, observed through interviews with community leaders and with household members. See the notes on social preparation and intellectual and social assets in Section 3.

Second, The RG asked the evaluation to address several questions about a future iTC programme as described in Figure 5 and which we will answer using various sources (See Figure 5):

**Figure 5: Questions for the Future iTC Programme**

1	To what extent did the Theory of Change for iTC hold? (What changes are required? What evidence gaps remain? How should these be filled?)	See Tables 1-3.
2	How could the monitoring framework and evaluative approach be improved for a future phase of support?	Develop from Outcome Harvesting tool complementing and extending those steps of Outcome Mapping process that are applicable in a retrospective analy-

		sis.
3	How could a future phase of support improve its service delivery approach (especially when working in different contexts and in terms of replication and scaling-up)?	See Tables 1-3.
4	How could a future phase of support improve working relationships between communities, government, service providers and investors?	See Table 3.
5	What sorts of investments provided the best economic benefits and will most improve community livelihoods?	Focus will be on whether investments have been made and at what scale and type. See Table 3.

## 4.2 Notes on Value for Money (efficiency)

The following section examines interventions performed through the iTC programme and their effects on providing communities with stronger land use rights than those enshrined in Mozambican law alone; it also covers the valuable assistance of the support which outside advisors can provide local communities. Some of these interventions may not have led to major investments at this stage in the project but their potential will be discussed in any case since their full development may take much longer than the life of the project to be fully achieved.

As discussed in Section 3.5 and Annex 2, many investors at local, national and global scales are interested in accessing land for a variety of investment purposes. Such actors tend to view the land that they desire as “vacant” and therefore open to allocation. Governments often fail to consult local communities about the land over which they feel they have various types of use rights. This happens even in Mozambique where the rights of communities to consultations are enshrined in the Land Law. During various seasons or multi-year periods, fallow land may in fact appear to be “vacant” when no activities are taking place, while that same land area supports multiple activities at other times of the year or is reused after several years of fallow under the current production system.

The mere fact that a programme like iTC exists should temper the willingness of central authorities to grant rights to land to investors without a process of consultation with the communities affected. Also communities directly targeted are more likely to be consulted in a meaningful way and be more likely to obtain results favourable as a result of such consultations. Benefits from the existence of this project may be even more broadly spread than simply to the communities with which the project chooses to work directly. Other communities are more likely to require consultations to occur when nearby communities served by the project provide an example of favourable outcomes, which can be achieved when communities are delimited and communities have at least some knowledge of their rights. (Circumstantial evidence pointing to increased interest in delimitation was found during testing of data gathering instruments and procedures in Nampula province; the evaluation will establish whether this is a localized phenomenon or a more general benefit which adds value to programme interventions.)

Investors target the best land for agricultural projects. Investors are not seeking land of poor quality but rather land with specific soil characteristics (in the case of agricultural investments) located favourably in many case with respect to surface water sources (rivers, lakes, etc.) for irrigation. This land is often already occupied and utilized by local communities.

Land with improvements on it (such as high-value trees which can be cut for export) is also sought after.

Taking these preferences and likelihood for conflict into account, the evaluation team will pay attention to whether or not the iTC programme targets areas of high value (good soils, probably with access to water, located where there is reasonable access to infrastructure such as roads, covered with valuable timber). Communities located in areas where land is valuable to investors may potentially find that their use rights have been ignored and that lands that they are using may be transferred without their consent and in some cases even without their knowledge to investors and without prior agreement on compensation or the sharing of some part of benefits from the project. Local communities lose their access to the stream of use rights to such land permanently or for a period of years, often with zero compensation. In the case of land with stands of timber, presumably when the land is returned at the end of the lease period (which can be as long as 50 years), all valuable timber will have been cut. Therefore, the evaluation team will assess to the extent possible, whether the iTC programme is targeting lands that are of interest to investors or may become so at some point and which also has some value in current use to the communities. The lands have a value both in their present and potential future uses; in the absence of a land market, it may be difficult to establish the actual value of a specific of land.

The evaluation team will also examine whether the iTC programme helps communities with land use planning delimiting areas that the communities are using now or plan to develop in the future for themselves and those where they would be willing to enter into partnerships with private investors if conditions are right. Communities generally use all land within the areas they consider “community land” in one way or another. All of these different and in some cases multiple uses of the same land area have some value. In many past development projects, rural land was valued at zero value unless it had standing crops, trees or improvements. Thus any value produced by a project was value added and no reduction was made or imputed to the loss of current uses of the land. More recently those designing projects have become more sophisticated in their understanding that land does have a value as an asset with income streams and in-kind benefits derived from its forest and other products, even if these benefits are sometimes hard to quantify.

iTC and its service providers can help communities in a thoughtful way what portion of the land it wishes to leave in its current state to support existing patterns of land use and which can usefully turn over to investor control either temporarily or permanently based on the value from the services that the various types of land produce now, the cost of replacing these services by commercial purchases and the compensation that investors are willing to pay to the community. The fact that iTC has put a community in touch with a service provider means that the community will know someone whom they can seek help from even if an investor or association of community members appears well after the project finishes.

The iTC programme provides services to communities which enhance their ability to operate community or group businesses, associations and the businesses which they are set up to engage in and committees to manage their natural resources and linkages with investors and help in delimiting land to be retained for community use and to be turned over to investors for development. Helping to formalize groups will be of long-term benefit to communities and the members of associations; it should be pointed out that some associations may be composed of important lineage groups or community members who are best connected and their existence may or may not be beneficial to the community as a whole.

The iTC programme will empower the communities to seek out advice when dealing with investors. If carried on for long enough, projects like iTC leave national staff well equipped to continue carrying on the role of advising communities on how to analyse and deal with inves-

tors (internal and external) and find common ground and ways to divide benefits equitably between both parties.

Simply assisting communities to open bank accounts provides them with access to a share of Government revenues from forestry licenses and may lead to other benefits as well. It is possible that having accounts open will provide a long-term benefit in the form of some access to financial services at some time in the future.

Regarding the alignment of iTC interventions with district plans so as to be able to access broader financing opportunities, our interviews thus far indicate that there may be some tension between district plans driven by political incentives, and more independent initiatives meant to support social preparation. Some activities overlap with district plans. Service providers may be of assistance in helping communities navigate local governmental networks and procedures. However, iTC on its own is not a guarantee that community interests will be seriously considered when district development plans are formulated. The evaluation will attempt to provide evidence on this issue.

In summary, many or most of the benefits of a project such as iTC are long-term in nature. Some of them are easily quantified; many of them are more difficult to quantify and are based on expected values for which parameters have not been estimated or established by prior research. In such cases, people's best guesses need to be made and used to estimate these benefits. Just because benefits are difficult to estimate does not justify estimating their value at zero, which is the effect of excluding them entirely.

If the iTC programme is successful, it may inspire other donors and Government entities to dedicate resources to similar efforts. An argument can be made for attributing some of the benefits of these projects to pioneer projects like iTC.

An alternative approach could be to look at a "losses averted" scenario. Some investment schemes of the past have had highly negative consequences for communities. Without some sort of external support, communities are ill prepared to deal with investors and are unable to do so on an equal footing. As a result, community interests can either be completely ignored as has occurred in some investments in the past or the value that the community obtains from an investment may be minimal. Even in terms of employment most benefits may accrue to non-community members who have a different work experience and greater education and experience in working in modern agricultural and logging operations. If the project allows communities to avoid some of these costly disasters, which have occurred in Mozambique, the value of these losses averted qualify as "benefits" and may be measurable or can at least be estimated. Until a community is presented with an opportunity to which is truly attractive, its best option may well be to maintain land in its current uses (improve perhaps by a local land use plan). iTC interventions provide communities with greater security of tenure, a greater ability to protect their land from one-sided take-overs, and a greater ability to achieve closer to fair value in their relations with potential investors when the opportunity presents itself even if that doesn't occur for years to come. Meanwhile, communities can take advantage of investment opportunities of their own which may arise.

### 4.3 Notes on Livelihoods and Well-being of Communities

Members of the Reference Group highlighted that during the inception phase, the consultants will suggest to the Reference Group a suggested set of impact EQs based on the Theory of Change (ToC). However, it is important that during the evaluation the consultants also pick up on positive and negative unintended impacts, the equity of outcomes across key groups, and the various interests of the key beneficiaries. It is also important that investments by women compared to those of men also be covered and disaggregated. The use of



disaggregation by other groups and locations should also be reviewed if feasible and if indicated by qualitative information obtained by the team.

The ToC as presently elaborated focuses on investments in profit producing enterprises located on community lands, which produce benefits for the investors and the communities. These dimensions of “impact” cover some but not all of the possible impacts of interest to the RG.

This evaluation focuses on “investments” in the ToC. We will, therefore, gather data from those who make investments: large-scale outside investors, associations of producers, and smaller-scale individuals/families investing in communities. We will gather data in areas where iTC has worked, asking if there has been a decrease in time and cost to access land for investment in these areas. We will also assess improvements in perception by investors of the security with which they have access to the land and if work by iTC facilitates long-term partnerships with communities. To the extent possible given the low level of investment initially and the slow rate at which this changes, we will examine any changes in patterns, level or types of investments. We will also compare iTC/G6 versus iTC/MCA activities where appropriate and feasible.

#### 4.4 Notes on Gender and the Participation of Women

The evaluation team understands gender dynamics as intersectional. This means that gender intersects with class dynamics, familial status, race and other factors in different ways, which complicates simple men vs. women binaries. Gender is not equivalent to biological sex. Rather, gender refers to socially constructed and practiced differences that affect men and women’s lives differently (again, along intersectional axes that take age, class and other factors into account). The evaluation team will focus on gender dynamics in several ways. First, where the ET engages households with basic interview guides concerning the specific outcomes under investigation, the ‘head of household’ will be treated as a question, not a pre-determined assumption. The team will include, gender disaggregated data collection techniques where relevant (e.g. interviewing both the husband and wife from the same household separately where this applies and conducting focus groups with men’s groups and women’s groups separately in addition to the oral history sessions in which both men and women are present). The evaluation team will also take note of cases in which there is an over-emphasis on securing strict percentages of women’s participation at the expense of focusing on other factors that contribute to changes in gendered power dynamics (with positive and negative outcomes). Attitudes expressed within the documentation or interviews with Service Providers and members of iTC staff will also be examined regarding gender and class dynamics.

#### 4.5 Lessons for Future Support

The RG is also interested in how lessons from this evaluation can be directed to the Feasibility Study for the creation of a new institution and feed into a possible next phase of support, which will start in April 2014 (see also Section 6 of the Inception report).

#### 4.6 Criteria and Standards

In terms of the **criteria and standards** that will be utilized for answering each iTC evaluation question, the **criteria** for assessing iTC’s success in influencing a social actor to change a policy or practice would be outcomes understood as observable changes undergone by a community (with attention to the diversity within communities), governmental agency, an in-

vestor, or Service Provider in: 1) their formal or informal, written or unwritten political, economic, cultural, social or religious norm (i.e., policy) or 2) their consistent application of a norm in a community, district, or province (i.e., practice).

A **standard** would be that these outcomes be described in terms of: 1) the change in the social actor, 2) the significance of the change and 3) how iTC plausibly contributed to such change(s). Written formulations should be sufficiently concrete and specific so that they can be verified (whether or not it is possible with the time and financial limitations of the evaluation to invest in substantiating these formulations).

#### 4.7 Required Information for Ensuring the Accuracy of Findings

All information is relative (and nowadays as well, has a short half-life). This demands attention to what users require in the description of each outcome in order to make the decisions or take the action that their uses require. For example, will one to two sentences describing *who* changed *what*, *when* and *where* suffice for the description of i) the change in the behaviours of Boundary Actors? Or will one to two paragraphs, or one to two pages be necessary?

Similarly, how much information will be useful? The point of departure is that we cannot be exhaustive in analysing all social actors and all outcomes. Even if outcomes had been identified and registered daily from day one of the iTC intervention, there will always be some outcomes that iTC influenced—negatively as well as positively—that were not registered. If outcomes have not been monitored and the evaluation will collect data retrospectively, we should agree to collect only a representative number of the most significant outcomes per source of information (see below). How many would be realistic and useful has to be defined in conjunction with the Reference Group of the evaluation.

#### 4.8 Who or What Should be the Credible Sources of Information?

Nothing is more frustrating than collecting information from a source—people, files, etc.—that the primary intended users know to be unreliable. Who should be the informants? Should perhaps each outcome be formulated by at least two people, or perhaps be substantiated by one (or two or three) independent source with knowledge about the reported outcome? Our team is amenable to considering this key issue with the RG as early as possible in the process.

#### 4.9a Methodology: Who will collect data and how?

The evaluation team has already selected a sample of 3 provinces (Manica, Cabo Delgado and Zambézia provinces) for the evaluation based on regional socio-ecological and geographical variables and analytical factors such as length of programme period and the need for a comparison between iTC/G6 and iTC/MCA activities, as well as cost and time limitations. The evaluation will tabulate clusters of sites of intervention within Manica, Cabo Delgado and Zambézia provinces, focusing on those sites with the greatest level of intervention or sites where outside investors have been involved (this provides a sample of sites with the greatest likelihood of meeting the Outcome Challenges). The evaluation team will select a sample of approximately five to six total sites of intervention in each province. This selection cannot take all variables into account, and will be based on a limited number of variables such as year of intervention, type of natural resource involved, etc. Only projects where interventions have finished (those having a final report) will be chosen. One to two additional intervention sites may be added to the basic group of six if these cases present important contrasting information or offer unique insights to the range of possibilities of outcomes associated with iTC activities.

One evaluation team member will oversee the research activities in each province in the evaluation, with the fourth core team member serving a mobile role of quality control across the three provinces and overseeing the tabulation and entry of data from surveys and data collection guides, archival materials and interview notes.

Based on the Evaluation TOR, the ToC and our adapted OM approach, we are developing a methodology, which requires that we gather data in each of the three provinces on:

- 1) iTC/G6 staff and iTC/MCA staff (primarily OM exercises and interviews on the evolution of the iTC programme in each province)
- 2) A sample of communities where boundaries have been delineated, and within these communities a sample of:
  - Associations
  - Traditional leaders
  - Individual households—20 in each of two communities (gender disaggregated where appropriate), DUAT holders and non-DUAT holders
- 3) Boundary Actors of both components of the iTC programme (DFID et. al, and MCC/MCA), including government agencies, NGOs, etc. (i.e. by definition those entities with NO specific contractual arrangements with iTC/MCA)
- 4) Service Providers contracted by KPMG/iTC/MCA,
- 5) Investors:
  - 'large investors' of which there are very few (national/international or a partnership of national/foreign interests),
  - associations that fulfil many functions/roles of an investor, and
  - wealthier individuals/families (often from nearby district seats or provincial capitals) with small investment initiatives in poorer rural areas)
- 6) A sample of 'areas of iTC/MCA engagement with local actors' (where community boundaries have not been delineated):
  - Associations
  - Traditional Leaders
  - Individual land holders, DUAT holders and non DUAT holders

In summary, we will prepare data collection guides for the following types of respondents, with some questions/themes being the same for different types of respondents:

- 1) KPMG/iTC staff
- 2) Managers of Service Providers
- 3) Community CGNR members and/or community elders
- 4) Traditional Leaders of communities (e.g. Regulos)
- 5) Managers of NGOs working on rural community development
- 6) Surveyors from SPGC and central figures in the Ministry of Agriculture
- 7) Members of households which use agricultural or pasture land
- 8) Investors—companies from outside of community and individuals or businesses from outside the communities but based locally.
- 9) Associations of Producers
- 10) Financial institutions lending to rural projects
- 11) Leaders of Provincial peasant farmer organizations
- 12) Leaders of agri-business and trading companies working in each Province

The core personnel (Ingrid, Esmé, Jeff, David)<sup>33</sup> will direct field teams themselves for the

<sup>33</sup> Ricardo will participate as a "virtual" consultant to help guide the study.

most part to gather data on all 12 "units of analysis" and then the team will analyse those data to produce our final report. Certain types of data collection guides will be very open-ended, such as with the case of oral histories with traditional leaders in a group setting, while focus group work with associations of producers will have a basic set of no more than five discussion questions and household surveys will have more detail with a combination of short questions with limited range of possible answers and more open-ended questions. For the household survey work, enumerators with local language skills will be hired (three, two-person teams comprised of one male and one female, with one person having at least a secondary school degree to facilitate reading and writing, and one person who has experience working with rural communities, with one additional leader supervising the six teams—a total of 7 people working in one community at time, multiplied by three provinces simultaneously).

Before household interviews are begun in a given community site, the core-coordinator and the survey team must sit with the community leaders and members and hold meetings to introduce what we are doing and to work out a mutually agreed schedule between the community members and the team. This is also a good time to develop a rough sketch history from people about the layout of the community (key footpaths, water bodies, churches, other features, etc. and a basic history of outsider engagement in these spaces). The afternoon of the same day can include some interviewing and meeting with the survey team to build a sampling strategy (e.g. selecting where the surveyors walk in the community the following day and how they will select households). Only then can the household survey teams, composed of a supervisor plus six (three male and three female) household interviewers do interviews of two sampled husband wife pairs in three days in each sampled community. The supervisor will work two additional days assuring that the data collection guides are complete and accurate and correctly coded.

The final days in these communities should consist of interviews with key groups in the community, while survey teams can return home until the subsequent community survey (see the schedule in Section 4.10).

Beyond interviews, oral histories, focus groups and surveys in community sites, each core team member will be responsible for conducting interviews with Boundary Actors and Service Providers based in each province.

#### **4.9b Methodology: How will the data be analysed?**

Our team will classify the core analytical outcomes (harvesting) presented in this proposal in a database, which corresponds to key data collection guide questions and topics. This will be done before gathering data in the field in order to make the obtained information more manageable. Descriptive statistics regarding quantitative and some qualitative data will be generated (given the small sample size and the nature of the Evaluation Questions and OM approach, inferential statistics are not appropriate) and qualitative data will be coded according to the key outcome and evaluation question themes.

#### **4.9c Methodology: How will the data be interpreted?**

In determining the meaning of our data in light of the broader findings, we must adopt a strategy for drawing conclusions for answering the Evaluation Questions. The evaluation team consists of specialists in analysing contracts and investor relations with communities, legal considerations, agricultural economics, land tenure dynamics, social dynamics, etc. The Team Leader and Deputy Team Leader are experienced in both inductive (bottom up, observational and ethnographic) and deductive (top down hypothesis-testing) analytical approaches, which in the early stages of analysis should produce ample debate about the

meaning of the results. Towards the end of the analytical phase, they will be responsible for making judgements on the merit (intrinsic value) and worth (extrinsic value) of the outcomes in answering the evaluation questions, and throughout the evaluation, how and when and at what cost these questions can and will be answered given the broader limitations of the evaluation.

#### 4.10 Schedule of Activities

The Inception Phase will continue until the approval of the Final Inception Report. We anticipate completing the fieldwork for the evaluation by June 8<sup>th</sup>, in time to enable the team to travel to Maputo to conduct the third Reference Group meeting on Monday, June 10<sup>th</sup>. We anticipate submitting a draft of the final report by July 5<sup>th</sup>, a presentation of the findings in Maputo on July 12<sup>th</sup> and submission of the final report on July 17<sup>th</sup>. Specifically, the schedule includes:

Date(s)	Activity
April 26 <sup>th</sup> -28 <sup>th</sup>	Jeff, David and Ingrid will arrive in Maputo and meet with Esmé and João to finalize logistics
April 29 <sup>th</sup>	Meeting with the RG for approval of the Inception Report
April 29 <sup>th</sup> - 30 <sup>th</sup>	The ET finalizes draft surveys and data collection guides
May 1 <sup>st</sup>	The ET travels to Nampula
May 2 <sup>nd</sup>	The ET conducts Outcome Mapping exercises with the iTC/MCA office in Nampula and clarifies database content to finalize sample selection
May 3 <sup>rd</sup> -7 <sup>th</sup>	The ET drafts the data collection guides, and trains primary research assistants (for David, Jeff and Esmé), conducts basic pilot of the surveys
May 8 <sup>th</sup>	The members of the ET travel to their assigned provinces
May 9 <sup>th</sup> -10 <sup>th</sup>	The ET set up initial Boundary Actor and Service Provider interviews. Ingrid attends National Land Forum in Chimoio. The ET sends the data collection guides to the RG for approval
May 11 <sup>th</sup> -12 <sup>th</sup>	The ET finalizes surveys and data collection guides. ET members prepare materials for first community visits
May 13 <sup>th</sup>	The ET conducts enumerator training. ET members introduced to district admin. and first sample community where surveys will be carried out. After preliminary meeting, surveys conducted followed by additional focus groups, interviews, oral histories, etc.
May 13 <sup>th</sup> -14 <sup>th</sup>	Ingrid attends and presents at the NAC meeting in Chimoio.
May 14 <sup>th</sup> -17 <sup>th</sup>	ET core member oversees focus groups, interviews and oral histories in 1-2 communities where surveys will not be carried out
May 17-18 <sup>th</sup>	<ul style="list-style-type: none"> <li>• Data entry assistants in central evaluation team office trained for work beginning May 20<sup>th</sup>.</li> <li>• ET core members and assistants conduct interviews with Boundary Actors and Service Providers</li> </ul>
May 20 <sup>th</sup> -23 <sup>rd</sup>	<ul style="list-style-type: none"> <li>• Before travelling, ET members introduced to district administration and first sample community where household surveys will be carried out. After preliminary meeting, surveys conducted followed by additional focus groups, interviews, oral histories, etc.</li> <li>• Data entry assistants entering prior week's data</li> </ul>
May 24 <sup>th</sup> -25 <sup>th</sup>	<ul style="list-style-type: none"> <li>• Data entry on-going, and core ET member conducting Service Provider and Boundary Actor interviews</li> </ul>



May 27 <sup>th</sup> - May 30 <sup>th</sup>	<ul style="list-style-type: none"> <li>• Data entry on-going</li> <li>• ET members introduced to district administration and second sample community where household surveys will be carried out. After preliminary meeting, surveys conducted followed by additional focus groups, interviews, oral histories, etc.</li> </ul>
May 31 <sup>st</sup> - June 1 <sup>st</sup>	<ul style="list-style-type: none"> <li>• Data entry on-going, and core ET member conducting Service Provider and Boundary Actor interviews</li> </ul>
June 3 <sup>rd</sup> -5 <sup>th</sup>	<ul style="list-style-type: none"> <li>• Data entry on-going</li> <li>• ET core member oversees focus groups, interviews and oral histories in remaining communities where surveys will not be carried out</li> </ul>
June 6 <sup>th</sup> -8 <sup>th</sup>	Completion of data entry, last interviews, closing down main ET office
June 9 <sup>th</sup>	ET travels to Maputo
June 10 <sup>th</sup>	ET meets with Reference Group (3 <sup>rd</sup> major meeting)
June 12 <sup>th</sup> - July 3 <sup>rd</sup>	ET leaves Mozambique, continues data analysis and works on drafting the final report
July 5 <sup>th</sup>	ET submits draft Final Report to the RG
Between July 12 <sup>th</sup> and 15 <sup>th</sup>	ET presents findings in Mozambique
July 17 <sup>th</sup>	Submission of the Final Report

The broad targets for each Province, given this short timeframe are:

- Study of a sample of 5 to 6 communities,  
--2 communities where a community data collection guide/survey and 20 husband/wife pairs (where relevant), members of 2 associations and 2 traditional leaders will be interviewed (where appropriate)  
--3 to 4 communities where community and association data collection guides and oral histories will be completed
- Interviews with approximately 4 Boundary Actors including government agencies, NGOs, Banks, etc.
- Interviews with approximately 3 Service Providers contracted by KPMG/iTC,
- Interviews with approximately 2 large outside investors and 2 small outside investors (where these cases exist) who have investments planned, started and/or completed in communities through community agreements or without such agreements.

## 5. KEY ETHICAL STANDARDS AND CONSIDERATIONS

As a basic point of departure, the evaluation team follows a “do no harm” approach despite the fact that many harms generated by any type of action could have unintended and even unnoticed or hidden consequences. The evaluation team follows several ethical guidelines, including those of GRM International. The ET views *consent* to engage with interview subjects (community members, Service Providers and Boundary Actors) as a *process* instead of a single moment of obtaining permission to carry out an interview, etc. Thus, if community members decide to decline participation in surveys, etc. at any point in the process, the ET must respect these wishes and alter respondent sample selection accordingly.

The ET requests support from DFID-Mozambique in terms of providing documentation (a letter) regarding the purpose of the evaluation to be presented upon request by provincial, district and local authorities in the interest of transparency and in an effort to avoid speculation and serious rumours.

Survey, interview and focus group recruitment will involve disclosure of the purpose of the evaluation and include options for participants to refuse participation at any time. Survey and interview responses will be linked to identifiers such as site of intervention (without divulging exact household location), but names of household members in surveys will be coded with random number identifiers and given a pseudonym. It is not possible for the ET to guarantee confidentiality in focus group situations, as opinions and information are shared in a group context beyond the control of ET to ensure confidentiality. The ET reserves the right to keep select names of respondents confidential in any databases or final reporting to DFID in order to encourage freedom of expression without fear of retribution (however the ET is aware of the difficulties of achieving such confidence and trust in such a short time period and does not claim to be able to guarantee that respondents will feel completely free to share their opinion depending on the power dynamics at work in any particular context).

## 6. PROPOSED CONTRIBUTION TO A MONITORING FRAMEWORK BASELINE

The outcomes harvested defined in this evaluation can serve as the baseline documentation of how the Change Agent, Boundary Actors and Service Providers are situated in 2013. This information can be presented to the Transition Team considering the design options for the new iTC. These potential linkages need further discussion within the RG and with the Transition Team, with input from the Evaluation Team.

In OM and OH, the notion of a baseline is implicit in the formulation of the outcome challenges and the definition of progress markers and how the data is gathered over time as part of the iTC's monitoring and evaluation scheme.

In this evaluation we will demonstrate how to specify progress markers in a retrospective way, which can be extended for the future work of iTC.

## 7. DRAFT COMMUNICATIONS PLAN

Our communication plan involves several levels of discussion:

- 1) In the elaboration of the imputed Theory of Change underlying the iTC, the evaluation themes that the ToC suggests, and the introduction of OM concepts into the planned evaluation, the evaluation team will extend the discussions begun in Chimoio with the iTC/G6 team to the iTC/MCA team in Nampula.
- 2) These same themes will be discussed with key Strategic and Boundary Partners, such as Centro Terra Viva, Pro-Parcerias being implemented by the National Directorate for Promoting Rural Development (DNPDR), SPGC, DNTF (National Directorate for Land and Forests) ORAM, LUPA, Centre for Legal and Judiciary Training (CFJJ), Provincial Administrators and others as desired by the RG.
- 3) The design of the evaluation will be discussed at the national iTC meeting between the 13<sup>th</sup> and 15<sup>th</sup> of May if time permits and if this is desired by the RG.
- 4) The findings and recommendations of the evaluation will be presented to audiences as prioritized by the RG, but the principle audience will be the RG and the Transition Team charged with designing the options for a new iTC.

- 5) For future communication especially between communities and the iTC management and supporting organizations, a variant of the community-based journalism idea will be explored, based on the ORAM sponsored experiences in Zambézia and Nampula.

## ANNEX 1: DFID TOR

## Evaluation of the Mozambique Community Land Use Fund (iTC - Iniciativa para Terras Comunitárias)

### 1. BACKGROUND

Rural Mozambique is sparsely populated with an average density of 29.7 person/km<sup>2</sup> <sup>34</sup>. Poverty in rural areas increased between 2003 and 2009 from 55.3% to 56.9% <sup>35</sup>. Land is commonly held communally by rural communities. Along with associated natural resources, such as forests, grazing and water, it forms the major source of livelihoods for most Mozambicans, with more than 75% of the population employed in agriculture.

Agricultural productivity in Mozambique is the lowest in southern Africa, with hardly any use of modern technology (improved seeds, fertiliser, extension services, animal traction or irrigation). Indeed only 4% of farms use fertilisers, 3% pesticides and 5% irrigation <sup>36</sup>.

Of the total arable land area of 36 million hectares in Mozambique only 5.6 million hectares is currently in production <sup>37</sup>, leaving substantial room for expansion. Agricultural extension is currently a priority for the Government of Mozambique (GoM).

Only 3% of land in Mozambique has legal status. The vast majority of agreements on land ownership are informal and often result in overlapping claims. Even when there is clear legal demarcation of land, there can be informal settlement due to informal past agreements. Rural communities also face difficulties over ownership of common property resources (such as forests, water, grazing), which is often overlooked by GoM when providing legal agreements and approving private investment. A lack of reliable and accurate land use information and maps weakens the community and government's ability to effectively carry out land use planning and resource management.

To respond to these challenges the Community Land Use Fund – known as *Iniciativa para Terras Comunitárias* (iTC) in Portuguese, was started by six donors (DFID, SIDA, SDC, Irish Aid, Netherlands and Denmark) <sup>38</sup> in 2006. iTC is due to finish in March 2014.

The aim of iTC is to secure community rights and benefits to and from land and natural resources, for the purpose of rural economic development.

The programme follows an innovative demand-driven approach to securing community land and resource rights, as well as playing a facilitative role in linking communities and producer associations with potential investors. The programme has three key outputs:

- Delivering cost effective services (including public outreach) to rural communities on a case-by-case basis;
- Developing the capacity of public services and NGO/private service providers (including investors) to deliver responsive services to communities; and
- Supporting the establishment of a new institution by the end of the project that can manage and continue to provide sustainable services to communities.

<sup>34</sup> 2010 figure

<sup>35</sup> National Poverty Line figures

<sup>36</sup> Censo Agro-Pecuario 2009-10 (Agriculture Census). Note: the vast majority of those using modern technology are believed to be tobacco farmers in Tete province

<sup>37</sup> Ibid

<sup>38</sup> DFID is currently the lead donor

The programme was piloted in the provinces of Gaza, Manica (headquarters), and Cabo Delgado during 2006-2011. Based on a 2010 Mid-Term Review (MTR) of the programme, it was agreed to extend the programme until March 2014, to include Sofala and Tete provinces within the programme from 2012, and to create a Mozambican institution to manage the programme by April 2014.

The MTR concluded that iTC was “highly relevant to Mozambique’s policy framework and development challenges, in particular given the increased pressure on land due to the rise of large-scale private investments in agriculture, tourism and forest exploitation”. It also recommended a “thorough impact assessment study”, to better inform the lessons learning process.

In 2008, the Millennium Challenge Corporation (MCC), through the Land Tenure Services Project, also started to support land delimitation and demarcation in the three provinces of Nampula, Niassa and Zambézia. This programme uses the same approach as iTC. MCC funding is due to end in September 2013 and no decision has yet to be made on if continued funding will be provided in the future.

A DFID commissioned ‘Strategic Review of Land Issues in Mozambique’ was finished in June 2012. It recommended an “independent evaluation of iTC later in 2012/early 2013, with sufficient resources for solid fieldwork”. It also pushed for an evaluation to be “undertaken jointly with the MCC component, to learn lessons from both”.

It is acknowledged that in the short-term the new institution that will be formed in April 2014 will not be self-financing and will require continued donor support. Design work for a possible next phase of iTC funding is currently envisaged to start in June 2013.

## Purpose, Scope and Evaluation Questions

The purpose of this evaluation is three-fold:

- Learn lessons on what worked and didn’t work well during the implementation of iTC (including a comparison with MCC implementation);
- Understand the impact iTC had on the livelihoods of participating communities; and
- Provide input into the design of possible future iTC support from April 2014, including development of a monitoring and evaluative baseline.

The scope of this evaluation covers the iTC programme from 2006 to 2012.

- The principal target audiences for this work are:
- GoM (central and provincial level);
- Donors (principally, DFID, Sweden, SDC, Irish Aid, Netherlands, Denmark and MCC); and
- Project Implementation Unit and a future independent institution.

The work will be overseen by a Reference Group<sup>39</sup> and the recommendations will be targeted at the iTC donor group.

The Evaluation Questions (EQs) for this evaluation are listed below. OECD-DAC evaluation criteria<sup>40</sup> are highlighted in bold.

<sup>39</sup> The Reference Group will consist of: MCC, MCA, FAO, other key donors and key civil society groups and private sector organisations

<sup>40</sup> OECD-DAC evaluation criteria are: relevance, effectiveness, efficiency, impact and sustainability



### **Implementation Lessons**

1. What lessons can be learned on how the iTC has adopted and changed its approach since 2006? (RELEVANCE/COHERENCE)

2. Which types of public outreach and services provided to communities achieved their objectives and which didn't and why? What are the key positive and negative external factors? (EFFECTIVENESS)

3. To what extent was iTC successful in building the capacity of service providers? (EFFECTIVENESS /SUSTAINABILITY)

4. To what extent did service delivery provide value for money? (EFFICIENCY)

5. How successful was iTC at building relationships between communities, government, service providers and investors and in dealing with key external risks?

- understanding community needs and negotiating support from service providers

- brokering partnerships between communities and investors

- working with government to improve enabling environment for communities

(EFFECTIVENESS/SUSTAINABILITY)

6. How successful was iTC in promoting the participation of women in decision making?

Note: all EQs should include a comparison of iTC and MCC models of delivery

### Impact on Community Livelihoods

#### 7. What impact did the project have on the livelihoods and wellbeing of the communities? (IMPACT/COVERAGE)

During the inception phase, a Theory of Change (ToC)/Programme Logic will be developed that will highlight the key intended outcomes of the project. Based on this the consultants will suggest to the Reference Group a set of impact EQs. However, it is important that during the evaluation the consultants also pick up on positive and negative unintended impacts, the equity of outcomes across key groups, and the various interests of the key beneficiaries.

It is important that the livelihoods of women in relation to men are also covered and disaggregated. The use of disaggregation by other groups and locations should also be reviewed.

Community impacts could include:

- Did iTC improve the income of communities supported? If so, to what extent?
- Did iTC improve land utilization, agricultural productivity and production of communities supported? If so, to what extent?
- Did iTC reduce land conflict and improve land security for communities, especially concerning land grabs?
- Did iTC lead to increased investments on community land?
- Did iTC improve land values or land development?
- As well as community impacts it might be useful to also cover the impact on other beneficiaries, such as investors (note: this would require a new EQ).

Investor impacts could include:

- Decrease in time and cost to access land for investment in iTC areas?
- Was there an improvement in perception of tenure security?
- Changes in level/type of investments?

Any possible comparisons with the MCC project would be useful.

### Lessons for Future Support

#### 8. How can lessons from this evaluation and Feasibility Study for the creation of a new institution feed into a possible next phase of support, which would start in April 2014? (SUSTAINABILITY/COORDINATION)

- To what extent did the Theory of Change for iTC hold? (What changes are required? What evidence gaps remain? How should these be filled?)
- How could the monitoring framework an evaluative approach be further improved for a future phase of support?
- How could a future phase of support improve its service delivery approach? Especially when working in different contexts and in terms of replication and scale-up.
- How could a future phase of support improve working relationships between communities, government, service providers and investors?
- What sorts of investments provided the best economic benefits and will most improve community livelihoods?

## 2. EXISTING INFORMATION SOURCES

The logical frameworks for the iTC and MCC programmes are attached as Annex A.

The key project documentation is as follows:

1. iTC Donor Project Funding Documents
2. MCC Land Tenure Services Project Funding Document
3. 2010 iTC Mid Term Review
4. 2012 DFID Strategic Review of Land Issues in Mozambique
5. iTC Extension Proposal
6. iTC Monitoring Reports
7. MCC Monitoring Reports
8. Mozambique Land Law

A list of additional bibliography is attached as Annex B.

### 3. EVALUATION METHODOLOGY AND PROCESS

This evaluation will need to mainly use retrospective evaluation methodology techniques, as no evaluative baseline exists. This will probably require a greater focus on qualitative data collection, such as beneficiaries' perceptions of change. However, wherever possible quantitative data and analysis should be employed to obtain a good mix of methods and triangulate data.

The evaluation of impact is especially challenging given this context and will require some innovative evaluation approaches. Although a randomized control trial (RCT) is no longer possible, it may be possible for the evaluation to use rigorous quantitative evaluation methods. Suggestions could include the use of TIA data, allowing a comparison of non-iTC areas with iTC areas (matching with similar communities or comparison with neighbouring communities). Another option is to compare pre/post iTC in the same area.

Some issues with these approaches are that iTC areas receiving site specific access to land are also affected by all other 'higher level' interventions like policy, cadastral and institutional strengthening. The above should give household level data, although will not capture overall community-level benefits. Key informant interviews with communities and investors should be able to provide additional data to the TIA household data on commercial investments from Mozambique (CPI), including demand for investment.

There also should be data and related economic investments from the companies into the communities.

A range of data collection techniques should be employed to ensure that the following key evaluative elements are covered:

- A rigorous sampling strategy, in terms of which communities are chosen for evaluation;
- That the evaluation can provide clear evidence of change;
- To understand, as much as possible, the contribution of iTC towards changes at project outcomes;
- The evaluation allows for an assessment of alternative explanations for the outcomes that are observed (i.e. those outside the influence of iTC); and
- That the evaluation can distinguish and analyse the difference between "theory failure" and "implementation failure".

It is the responsibility of the contracted firm to identify the most appropriate evaluation methodology given available data, timeframe and sample and to provide an outline of this approach in the Inception Report.

The evaluation should ensure that it adheres to the ethical evaluation policies of the donors supporting this work and the evaluation principals of accuracy and credibility.

In terms of evaluation process, the primary activities and milestones of the evaluation, with corresponding deadline dates are set out below. All milestones must be agreed by the Reference Group:

Primary Activities and Milestones	Deadline
<b>1st Reference Group Meeting</b> Introductions. A discussion and agreement on the scope of ToR and Inception Report (based on tender document). Ensure that there is common agreement on the focus for the evaluation.	18 March 2013
<b>Draft Inception Report</b> Evaluation Team to draft a report covering the following key points: <ol style="list-style-type: none"> <li>1. Theory of Change (ToC)/Programme Logic (disaggregated as appropriate)</li> <li>2. Evaluation Questions (EQs) with -               <ul style="list-style-type: none"> <li>- rationale</li> <li>- judgment criteria</li> <li>- indicators (with a good mix of qualitative and quantitative indicators)</li> </ul> </li> <li>3. Assessment of existing data (including TIA data)</li> <li>4. Proposed evaluation methodology</li> <li>5. Methodological Approach to data collection and analysis to answer EQs               <ul style="list-style-type: none"> <li>- desk review</li> <li>- field work</li> </ul> </li> <li>4. Key ethical standards that will be observed during the evaluation.</li> <li>5. Approach to the collection of baseline data for the monitoring framework (and a suggested evaluative approach) for the next phase of support post March 2014.</li> <li>6. Draft Communications Plan (that can meet the needs of all stakeholders)</li> </ol> This phase will include a short field visit to complement the desk review.	Start of April 2013
<b>2nd Reference Group Meeting</b> Evaluation Team to present the draft Inception Report to the Reference Group for discussion and comments. Additional written comments may also be provided.	Early April 2013
<b>Final Inception Report</b> Provided that the Final Inception Report responds adequately to Reference Group comments on the draft. Reference Group will issue a formal letter of acceptance of the Final Inception Report to the Evaluation Team.	Mid April 2013
<b>Field Work</b> In-country collection of qualitative and quantitative data both for the evaluation and baseline. Note: any field survey questionnaires will need to be tested and approved by the Reference Group.	Mid April to Mid May 2013
<b>3rd Reference Group Meeting</b> Presentation to Reference Group of: <ol style="list-style-type: none"> <li>1. Results of Desk Review</li> <li>2. Initial feedback on Field Work</li> <li>3. Draft response to EQs (i.e. EQ findings, conclusions and recommendations)</li> <li>4. Draft General Findings, Conclusions and Recommendations for:               <ul style="list-style-type: none"> <li>- implementation</li> <li>- impact</li> <li>- future support</li> </ul> </li> <li>5. Updated Communications Plan</li> <li>6. Baseline monitoring data for the next phase of support post March 2014.</li> </ol>	Mid May 2013
<b>Draft Final Report</b>	Mid May 2013

Evaluation Team to draft a report covering the following key points (overview of report contents in Annex ?): 1. Purpose of evaluation 2. Evaluation approach and methodology 3. Limitations of evaluation 4. Finalised ToC/Programme Logic (including analysis of evidence gaps) 5. Finalised response to EQs - findings - conclusions - recommendations 6. General findings, conclusions and recommendations for: - implementation - impact - future support 7. Final Communications Plan 8. Baseline data	
4th Reference Group Meeting Evaluation Team to present the draft Final Report to the Reference Group for discussion and comments. Additional written comments may also be provided.	Start of June 2013
Presentation of Draft Final Report The Evaluation Team will make an audio-visual presentation of the draft Final Report in Mozambique to key stakeholders. After approval the report will also be disseminated in line with the communications plan.	Mid June 2013
Final Report The Final Report must take account of, or respond to, the comments on the Draft Final Report from the Reference Group. The Evaluation Team may either accept or reject the comments but in case of rejection they must justify the reasons for rejection.	End of June 2013. (Contract end date planned for 17 July 2013).

Key stakeholders to be consulted at each stage of the evaluation process (including specific attention to voices of minorities and the marginalised):

- the communities who have received support;
- service providers who have supported communities;
- investors;
- government representatives (at both the central and provincial level) working in the area of land; and
- donors supporting this work.

Note: these should be specified in more detail during the inception phase.

The evaluation process must be transparent and ensure that stakeholders have access to evaluation related information in forms that respect people and honour promises of confidentiality.

## 4. EVALUATION OUTPUTS

The Evaluation Team will deliver the following outputs:

- Inception Report;
- Final Report (maximum 50 pages with a maximum 4 page Executive Summary);
- Communications Plans, including a presentation of Final Report; and
- Baseline monitoring data for support post March 2014.

Reporting will be in English but with Portuguese versions of the Executive Summary and final presentation.



Deadlines for the above outputs can be found in section 5. Dates can only be amended with the agreement of the Reference Group.

The recommendations of the evaluation should be directed at the iTC Management Committee, who will be responsible for implementing them.

## 5. SKILLS AND QUALIFICATIONS

The competencies and experience that the contractor will need to deliver the work are:

- Extensive knowledge of evaluation methods and techniques (especially using retrospective methods of analysis);
- Strong qualitative and quantitative research skills;
- Extensive understanding of land reform issues;
- Good knowledge of community participation and empowerment;
- Good knowledge of gender, social and poverty analysis;
- Good knowledge on cost-efficiency calculation techniques;
- Strong analysis, report writing and communication skills; and
- Good understanding of Mozambique (especially issues around rural development).

The team should be fluent in English and Portuguese language skills (i.e. the team is able to conduct desk and field work in Portuguese). The Team Leader will act as the lead point for communications between the contractor and the Management Team.

There should be a good mix of local and international expertise within the team. The team should also maintain a good gender balance.

## 6. EVALUATION MANAGEMENT ARRANGEMENTS

The evaluation will be overseen by a Reference Group. This group will be responsible for approving the evaluation outputs and commenting on draft reports.

The Reference Group will contain the following:

- MCC
- MCA
- FAO
- Other key donors
- Key civil society groups and private sector organisations

The iTC Management Committee will formally invite a set of Reference Group meetings before the inception phase starts.

In addition, the iTC Management Committee will act as the Management Team and will coordinate the evaluation and act as a point of contact for the Evaluation Team. The Management Team will also be responsible for choosing the Evaluation Team (through a tender process) and overseeing the financial management of the evaluation.

## 7. CONTRACTING ARRANGEMENTS

A call down contract will be issued through a mini-tender under the DFID Global Evaluation Framework in December 2012.

It is expected that the Evaluation Team will start work on 4 February 2013 and their work will run until 31 May 2013.

The Evaluation Team are expected to deal with all logistical issues. However, the Management Team will facilitate access to some key contacts in-country, including members of the Reference Group.

The ownership of the findings and recommendations will principally rest with the iTC Management Committee. The iTC Management Committee will also be responsible for drafting a Management Response<sup>41</sup> to the report.

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Table 1. Logical Frameworks for ITC (Annex B of ToR)

PROJECT NAME	COMMUNITY LAND USE FUND						
IMPACT (long term)	Impact Indicator 1		Baseline	Milestone 1	Milestone 2	Target (date)	
Reduced vulnerability of natural resource-based livelihoods of rural communities in Mozambique	International indicator of land access (includes policy and practice)	Planned	4 (2010) (!!)				
		Achieved					
			Source				
			IFAD Land Indicator for Mozambique performance-based allocation system (PBAS) and rural sector performance assessments. Expert opinion - 0-5(5 best) (Replace with World Bank land governance indicator if available)				
	Impact Indicator 2		Baseline	Milestone 1	Milestone 2	Target (date)	Access to land continues to be a significant predictor of the income and vulnerability of poor rural people.
	Inequality adjusted human development indicator for Mozambique	Planned	2011 data				
		Achieved					
			Source				
			Use MIMAS and IOF				
OUTCOME	Outcome Indicator 1		Baseline	Milestone 1	Milestone 2	Target (date)	Assumptions
Improved security and benefits from land and natural resources, for rural communities	Number of men and women with their communal land rights secured (delimited in national register)* <i>Contribution to DFID standard indicator on land tenure security</i>	Planned	186,142 (approx 52% women) in 2011			442,000 (approx 53% women) in 2014	Land delimitation provides effective protection of communities from land grabbing. All projects must have baseline data at Outcome level before being sent for approval
		Achieved					
			Source				
			PARP; DNTF reports				
	Outcome Indicator 2		Baseline	Milestone 1	Milestone 2	Target (date)	Assumptions

	Number of hectare of community land secured by delimitation (5 in hot spots)	Planned	284,066 ha in April 2011 (% in hotspots tbd)Cabo Delgado 0, Manica 226.3, Gaza 447.8, National 6734.3 (000) DNTF data Feb 09			551,048 ha (in Mar 2014)	Process of delimitation does not result in negative effects over the rights of communities	
		Achieved						
			Source					
			ITC reports and PARP					
	Outcome Indicator 3		Baseline	Milestone 1	Milestone 2	Target (date)	Assumptions	
	Number of community-investors partnerships in target provinces	Planned	0 in 2008 (pre ITC phase 1??), 8 in 2011			30 (?) in 2014 (?)	Investor interest continues	
		Achieved						
			Source					
			ITC reports					
	Outcome Indicator 4		Baseline	Milestone 1	Milestone 2	Target (date)	Assumptions	
	Number of communities benefiting from the 20% of Forests and 5% Tourism Revenues	Planned	Forest tax: National 436 - Cabo Delgado 79, Manica 32, Gaza 35 (source DNFFB 2010 - data from 2007-9)				Benefits will be fairly distributed within communities	
		Achieved						
			Source					
			ITC gender audit and subsequent ITC reports					
	Outcome Indicator 5		Baseline	Milestone 1	Milestone 2	Target (date)	Assumptions	

	Proportion of women on land committees and related community groups	Planned	Approx 20% female participants (to be detailed based on iTC info held)	Gender plan includes specific funding and monitoring measures on gender by end of Q1 (November 2011) operational in new SP contracts by end of Q2 (February 2012)	Improved SP gender performance and increased women's participation evident in SP and iTC monitoring reports by end of Yr 7 (April 2013)	At least 30% female participants, 35% or more wherever possible, plus examples of specific women - led projects. Note: iTC adopts specific gender targets in each province because of differing social and gender conditions	Participation gets real power and influence over negotiations and distribution of assets.	
		Achieved						
			Source					
			iTC reports and monitoring data / service provider reports					
	Outcome Indicator 6		Baseline	Milestone 1	Milestone 2	Target (date)	Assumptions	
	Average time for the government to process community land registration requests (As a proxy indicator for a supportive policy environment)	Planned	90 days in 2010				Capacity constraints are not a limiting factor for processing time.	
		Achieved						
			Source					
			DNTF/ MINAG reports					
	Outcome Indicator 7		Baseline	Milestone 1	Milestone 2	Target (date)	Assumptions	
	NOW DELETED AS AN OUTCOME INDICATOR: Public resources devoted to community land consultative forum (As a proxy indicator for a supportive policy environment)	Planned	TBC				The Land Consultative Forum continues to be the focal point of dialogue.	
		Achieved						
			Source					
INPUTS (£)	DFID (£)		Govt (£)	Other (£)	Total (£)	DFID SHARE (%)		
INPUTS (HR)	DFID (FTEs)							

OUTPUT 1	Output Indicator 1.1		Baseline	Milestone 1	Milestone 2	Target (date)	Assumption	
Community Land Use Fund supporting cost-effective and gender sensitive services to rural communities in the target provinces	Number of iTC assisted communities and producer associations that have registered land and natural resources rights (% in hot spots)	Planned	118 communities benefiting by end of Yr 5, of which: 32 have land delimitations: (26 certificates issued, 6 in progress); 6 further delimitations initiated; 66 have Producer Association demarcations (29 titles issued and 37 in process); 14 more demarcations initiated	Additional 25 Community delimitations Additional 60 PA demarcations by end of Q5 November 2012	Additional 25 Community delimitations Additional 60 PA demarcations by end of Q9 November 2013	March 2014: 130 additional communities including: Additional 50 land delimitations: total 82 Additional 130 land demarcations: total 196 by July 2012 Plus Outreach and preparation complete for projects for land delimitation and demarcation	Unusual delays in registration; A clear definition on "hot spots" is agreed within the project structure.	
		Achieved						
		Source						
	Output Indicator 1.2		Baseline	Milestone 1	Milestone 2	Target (date)	Assumption	
	average costs of delimitation and demarcation per hectare assisted by iTC	Planned	GBP 16.12 per hectare (average Management and Fund cost per ha over Years 1 - 5)	Falling annual Fund and iTC management costs per ha demonstrated in Year 7 Annual report (April 2013)		UKP 11.25 per hectare at EoP NB: estimate only for combined Management and Fund costs per Ha over whole extension period: not a target)	Costs outside project control do not increase (e.g. average distances and fuel costs) Unexpected changes in policy for registration costs	
		Achieved						
		Source						
		KPMG for iTC projects; iTC Reports						
	Output Indicator 1.3		Baseline	Milestone 1	Milestone 2	Target (date)	Assumption	

	Number of communities assisted in negotiations with investors or other economic partnerships	Planned	30 in 2011				Continuation of demand from communities for services; Service providers are able to maintain an economic level of business.
		Achieved					
		Source					
		ITC Reports					
OUTPUT 2	Output Indicator 2.1		Baseline	Milestone 1	Milestone 2	Target (date)	Assumption
Effective policy influencing to create a supportive policy environment for land and natural resources related issues	Plan for lessons learning and policy dialogue developed and implemented	Planned	Ad-hoc plan	Advocacy plan designed with concrete indicators by May 2012			ITC Governance structure to agree on key advocacy objectives.
		Achieved					
		Source					
	Output Indicator 2.2		Baseline	Milestone 1	Milestone 2	Target (date)	Assumption
		Planned					
		Achieved					
		Source					
OUTPUT 3	Output Indicator 3.1		Baseline	Milestone 1	Milestone 2	Target (date)	Assumption
Bases established for a new national institution to deliver sustainable service provision for rural communities	Number of service providers in each province for land rights training, survey, legal and paralegal services	Planned	844 people trained as service providers, community facilitators and technicians by end Year 5 (23.7% women)	Service Providers training needs assessment undertaken by XXXXX?		Additional 550 people trained by end of project, at least 30% female; Service provider professional development and training / incentive scheme proposed for new ITC agency. At least 30% female	
		Achieved					
		Source					

	Output Indicator 3.2		Baseline	Milestone 1	Milestone 2	Target (date)	Assumption
	Number of service providers trained with iTC support	Planned					Appropriate and sufficient local expertise exists
		Achieved					
		Source					
	Output Indicator 3.3		Baseline	Milestone 1	Milestone 2	Target (date)	Assumption
	Legal and organisational basis for new institution prepared	Planned	iTC Team and Governance Structure, 2011	Basic institutional construction agreed (at national level)	Consultation and buy-in by Nov 2012.	Legal and institutional basis for the new institution created by March 2014	National agreement of an institution outside the government taking up iTC functions; Legal requirements completed on time.
		Achieved					
		Source					



## ANNEX 2. ARTICULATION OF A THEORY OF CHANGE UNDERLYING THE ITC

### A Brief Look at a Theory of Change

Drawing on an extensive review of existing iTC documents, the broader literature regarding land tenure and natural resource management and policies in Mozambique and interviews during our initial field visit (25 March to 3 April 2013), we identified the main components of a possible ToC, including: 1) key historical precedents, 2) legislative achievements, modifications and weaknesses, 3) intended changes for iTC to achieve during the period 2006-2007, 4) the revised expectations for the period 2009-2012, 4) the function of a ToC in an OM-based retrospective evaluation, and 5) limitations to and complications affecting the ToC (including its assumptions).

### Some Key Issues Facing Mozambique in the Early 1990s

As the extended civil war drew to a close in 1992, Mozambique faced a critical situation of massive poverty—especially in rural areas—and a largely subsistence-based agricultural sector. As in several previous periods of its history, the country's political debates about what strategy to follow to emerge from the disaster bounced between two perspectives on what sort of land tenure system should be encouraged: 1) commercial, capital intensive, large scale enterprises or 2) a revitalized peasant based agriculture. The land was to be again Mozambican, but with what strategic vision?

In the 1990's, two very different perspectives were vying for influence on land tenure policy: that of investors looking for profitable opportunities, and that of local communities<sup>42</sup>. In terms of the two different notions of the *meaning of land*, **investors** argued that land (along with capital and labour) is necessary for economic growth, accumulation of capital and poverty reduction. Those supporting or from **local communities** argued that land is a main source of income and day-to-day sustenance or livelihood (for approximately 80% of Mozambique's population).

The land debates in the 1990s also focused on two different concepts of *access to land*. **Investors** argued that securing long-term and secure, legally protected access to land was necessary to encourage investment by insuring that investments made today could be recovered in the future. From **local community** perspectives, most Mozambicans already had access to land, but in some cases they needed to secure this access in the face of competition from within or among households and communities and in some cases, ensure protection from predatory investors. The local family's survival depends on maintaining their secure access to land.

In the context of post-conflict recovery, policy-makers anticipated an inevitable *increase in the demand for land*. **Investors** needed land to meet demands of expanding markets for agricultural and forestry products and other land based ventures and land served as a vital component of investment portfolios. From the perspective of some **local community** members (and many development experts), the return of displaced persons to their lands after the war had the potential to create conflict in rural communities since there were few opportunities for employment in non-farm sectors in Mozambique.

These very different meanings of land held by investors and communities—differing means for getting access to land, using the land, and valuation of land—and increased demand for land from investors and communities led to tensions and at times conflicts. The devastation from the war and the continued tensions over land combined to produce low investments in agriculture and forestry production and low investments in the level (or standard) of living of the majority of Mozambicans living in rural areas.

<sup>42</sup> This debate considered urban land questions, but focused primarily on rural lands

## Propositions for a New Beginning

An ingenious solution was crafted through the discussions leading up to the approval of the 1997 Land Law and its subsequent regulations and technical annex (1999). One part of the solution was the legal recognition of already existing community rights to land due to customary occupation and use of identified community land, and the definition of community governance structures for administering community land. A central proposition was that through legal definition of community customary rights to land, investors would know with whom to negotiate access to land and what lands communities might agree to make available to investors. Community land tenure security, therefore, would encourage investors and communities to negotiate for new investments requiring access to land and would provide equitable benefits to communities and investors as part of negotiated investment agreements.

A second proposition was that by protecting local rights to community lands, community members would be more likely to make investments of their capital and labour, since they would not fear the arbitrary taking of their lands by outside investors without their approval.

However, after a series of pilot efforts to test and implement the law through the early 2000's, scholars and practitioners identified several key weaknesses in the law. First, the implementation of one of its key features, the actual delimitation of the boundaries of community lands was very limited, costly and slow, mostly through the efforts of NGOs and without adequate State funding for the certification of those boundaries<sup>43</sup>. Second, while the law was not being implemented in significant scale the demand for land from investors and communities escalated, especially from the capital investor sector<sup>44</sup>.

The situation was described in a 2006 review of the Land Law:

*Ten years after its approval, there are signs of structural problems that could imply the need to consider some alterations in the legal framework. There exists a growing level of conflict, not in structural terms, but rather amongst distinct groups and individual interests: communities versus investors and/or the State, conflicts between investors that want to occupy the same areas, abuses of power and the consequences of mistakes on the part of the still-weak public services.*<sup>45</sup>

Land boundary delimitation and certification activities for documenting community rights to land had not been sufficiently extensive so as to reduce tensions. Nor were certified delimitations sufficient to stimulate increased investments in productive agricultural enterprises or other forms of production and to stimulate investments and thus raising rural standards of living.

## Rescue Proposals

In 2006, the G6 agreed to fund the experimental iTC programme administered through KPMG (or the "Change Agent" in OM terms) to address both local community and investor concerns regarding land access and increased demand for land, while also addressing the problem of the weak implementation of the law. The main outcomes envisioned for the KPMG/iTC contract were:

<sup>43</sup> In the CTC study of 2003, it was observed that "out of the 180 delimitations, just 74 have received their Certificates and only 24 have gone on to get a demarcated title document"

<sup>44</sup> The CTC study found evidence of substantial demand for private titles: "In Zambézia there have been only 137 consultations with rural communities... But 1141 new [private] titles have been issued for 570,012 ha," p. 26

<sup>45</sup> "Porém, dez anos depois da sua aprovação, há sinais de problemas estruturais que possam implicar a necessidade de considerar algumas alterações no quadro jurídico. Existe um nível crescente de conflitualidade, não em termos estruturais até agora, mas sim entre distintos grupos e interesses individuais: comunidades versus investidores e/ou o Estado, conflitos entre investidores que querem ocupar o mesmo espaço, abusos de poder e consequências de erros por parte de serviços públicos ainda bastante fracos." (Southern African Development Community, 2006, p14)

1. Certified delimitation of community boundaries had to be increased where community demand exists
2. Capacities of communities for the management of natural resources must be improved in order for them to respond to increased investor demand to access their land, to engage in territorial planning, governance and other organizational activities
3. Many (though not all) conflicts within and among communities and between communities and investors regarding land, required mediation services
4. Investments should be encouraged through agreements between communities and outside investors as well as with community based investors (associations of producers) whose access to specific pieces of community land would be through formal DUATs<sup>46</sup>.

Additionally, the entities which the Change Agent (KPMG/iTC) must influence in order to achieve its objectives—such as communities, associations, traditional leaders, units of local government, governmental agencies, investors, financial institutions and NGOs—must gradually be brought into alignment with and develop a stronger interest in achieving the four above objectives.

These iTC programme efforts, while mostly foreign funded and managed by a private company, were designed to contribute to the resolution of the land and investment-related problems encountered in the early 1990s by demonstrating how to reduce conflicts and establish cooperative agreements among communities and investors for mutual and equitable benefit and improving investments in rural communities through fair agreements.

In 2006 the US Government's Millennium Challenge Corporation approached the Mozambican government with a very large grant proposal for investing in infrastructure and land, which resulted in an expansion of the iTC/G6 effort into three additional provinces. In 2007 agreement was reached on an ambitious investment programme, of which the land project was a central part.

*The Land Project is comprised of three mutually reinforcing activity areas: (a) support for an improved policy environment, including addressing implementation problems for the existing land law and engaging in regulatory review to improve upon it (the “**Policy Activity**”); (b) building the institutional capacity to implement policies and provide quality public land-related services (the “**Capacity Building Activity**”); and (c) facilitating access to land use by helping people and business with (i) clear information on land rights and access; (ii) resolution of conflict with more predictable and speedy resolution of land and commercial disputes – which in turn creates better conditions for investment and business development; and (iii) registering their grants of land use (land titles to long-term or perpetual-use rights) (the “**Site Specific Activity**”)<sup>47</sup>.*

KPMG was also contracted to administer the iTC portion of the MCC grant as managed by the MCA for the land sector, that is, the implementation of the 1997 Land Law as envisioned in the iTC programme. The MCA component contained elements which added substantial resources for building

<sup>46</sup> See Norfolk, S. and H. Liversage, 2001. “Land Reform and Poverty Alleviation in Mozambique, Paper for the S. Africa Regional Poverty Network Human Sciences Research Council, p. 14: “The nature of the right acquired by community and good faith occupants (through their occupation of land) and the right that can be applied for by private investors is the same in both instances: that is, a *Direito de Uso e Aproveitamento de Terra* (DUAT). As such, it is only possible for one legal entity (a community, a company, a private individual) to possess the legal right to a single piece of land at any one time”

<sup>47</sup> MCC-Government of Mozambique Agreement (2007), Annex, p. 13

governmental capacity for its part in community land administration<sup>48</sup> and have been administered by a government agency, the MCA.

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<sup>48</sup> The term "land administration" refers to implementation of the Land Law and other legal statements, which define rules of access to and use of community land, the mapping of community boundaries and the natural resources within those boundaries, land use planning, conflict mediation, monitoring of investments and their benefits to the community

## ANNEX 3. GENERAL NOTE ON OUTCOME HARVESTING

### Note on Retrospective Evaluation and Outcome Harvesting

*Ricardo Wilson-Grau, with Esme Joaquim, David Stanfield, Jeff Dorsey and Ingrid Nelson  
September 2013*

Outcome Harvesting is a tool for monitoring and evaluating the results of development and social change interventions operating in dynamic situations of considerable uncertainty. Outcome Mapping, the planning and monitoring methodology created by the Canadian International Development Research Centre (IDRC)<sup>49</sup> and now in use for over ten years around the world, is the methodological inspiration of the tool. Outcome Harvesting<sup>50</sup> can be used in developmental as well as in formative and summative evaluations, as well as for monitoring their progress.

The tool is especially well-suited for assessing innovative interventions that seek to influence other social actors to change and which are themselves complex systems and operate in complex circumstances. (Thus, the tool is inappropriate for tracking and interpreting the achievements of infrastructure projects, delivery of services or other interventions that roll-out, replicate or scale-up tried and true models or strategies.) Evaluators, grant makers, and managers who use the tool are able to identify, formulate, verify, and make sense in real time of the outcomes they have influenced. Unlike some monitoring and evaluation methods, the tool does not measure progress towards predetermined outcomes or objectives. Rather, the harvester collects evidence of changes, positive as well as negative, and works backwards in time collecting evidence and establishing plausible cause-effect explanations for how the intervention contributed — directly or indirectly, partially or (rarely) wholly, intentionally or not. Thus, methodologically the process is analogous to the approach in forensics, criminal justice, epidemiology, anthropology, archaeology, and geology.

A dozen or so colleagues specializing in evaluation developed Outcome Harvesting over the past ten years. The tool consists of six iterative steps:

1. Design the harvest to generate findings that meet the needs of its primary intended users.
2. Review existing data to draft potential outcomes.
3. Engage with informants to complete (or discard) outcomes and formulate additional ones.
4. Substantiate with independent, knowledgeable and authoritative third parties the veracity and accuracy of a credible portion of the outcomes harvested.
5. Analyse and interpret the findings in order to answer in the most useful way possible the actionable harvesting questions that have guided the harvest.
6. Support use of the harvest's findings by its intended users.

The process has been applied successfully to evaluate the multi-year work of a dozen international social change networks such as the Global Platform for the Prevention of Armed Conflict (GPPAC) and the programmes of major development donors in North America — the Ford Foundation, the Open Society Institute and IDRC — and around the world — Oxfam Novib, Hivos, ActionAid, the UN Trust Fund to End Violence against Women and most recently, the World Bank Institute, amongst others. In addition, the tool has been used in other evaluations of development work, such as the 2013 evaluation of the *Iniciativa para Terras Comunitárias* (ITC) in Mozambique.

<sup>49</sup> Earl, Sarah, Carden, F. and T. Smutylo. 2001. *Outcome Mapping: Building Learning and Reflection into Development Programs*, International Development Research Center (IDRC), Ottawa (available in Portuguese). Further information is available at the IDRC-sponsored but self-governed Outcome Mapping Learning Community: [www.outcomemapping.ca](http://www.outcomemapping.ca)

<sup>50</sup> Wilson-Grau, Ricardo. and H. Britt. 2012. *Outcome Harvesting*, Ford Foundation, MENA Office

The **goal** of the iTC programme is to increase rights of rural people in selected Provinces over land and other natural resources and thereby stimulate increased investment and more sustainable and equitable use of these resources for poverty reduction and economic growth<sup>51</sup>. The evaluation team purposely did not set out in this evaluation to determine iTC's *impact*<sup>52</sup> in these areas. The reason is simply that what iTC does contributes to these types of changes, in IDRC's words, only "via long, busy, discontinuous pathways... [in which] tracing the connections is at best unreliable and at worst impossible."<sup>53</sup>

Instead, the Reference Group and the evaluation team decided to focus on generating evidence and assessing the merit and worth of iTC's outcomes: achievements within iTC's sphere of influence but downstream from the activities and outputs which iTC controls while upstream from impact. Adapted from the Outcome Mapping methodology developed by the Canadian International Development Research Centre evaluation network, outcomes are observable changes in the behaviour, relationships, activities and actions of individuals, groups, organisations or institutions that verify qualitative and quantitative progress towards the objectives in the iTC programme<sup>54</sup>. To qualify as an outcome, the change had to have been influenced in a small or large way, directly or indirectly, intentionally or not by iTC.<sup>55</sup>

To focus on outcomes instead of instead of impact was one important decision for this evaluation.

Another was not to assign *attribution* understood as "isolating the key factors that caused the desired results and attributing them to a particular agency or set of activities."<sup>56</sup> Why? As IDRC explained ten years ago in its rationale for its Outcome Mapping methodology:

*...experience tells us that development is a complex process that takes place in circumstances where a programme cannot be isolated from the various actors with which it will interact (for example, other donors, partner organizations, government departments, communities, organizations, and groups within the community). Nor can it be insulated from the factors by which it will be influenced (these include social, political, cultural, economic, historical, and environmental factors)*<sup>57</sup>.

Therefore, we agreed we would seek to identify causality in iTC's activities or outputs as *contributing* in a small or large way, directly or indirectly, and intentionally or not to the outcomes.

In Mozambique the donors recognized that iTC had not been designed using an explicit theory of change and that there had been significant changes in the programme implementation following a couple of years' experience. Under such conditions, to conduct an evaluation of iTC, it made sense to make explicit a draft theory of change and use Outcome Harvesting evaluation techniques to focus retrospectively on the changes in the behaviours and/or relationships of key social actors which we called key boundary actors as suggested by the theory of change. These key boundary actors are those social actors whose changes in behaviours and/or relationships are of central importance to the iTC programme. In the iTC case the key boundary actors include communities and their leaders, as-

<sup>51</sup> Project Memorandum—Final, June, 2005

<sup>52</sup> Definitions for "impact" in international development vary little. They range from the World Bank's "long-term, widespread improvement in society" and the OECD's "longer term or ultimate result attributable to a development intervention" to the UNDP's "long-term and national-level development change" and the Gates Foundation's "ultimate sustainable changes, sometimes attributable to action"

<sup>53</sup> Sarah Earl, Fred Carden, and Terry Smutylo Outcome mapping: building learning and reflection into development programs, IDRC, 2001, page 17. See [http://www.idrc.ca/en/ev-26586-201-1-DO\\_TOPIC.html](http://www.idrc.ca/en/ev-26586-201-1-DO_TOPIC.html)

<sup>54</sup> The Canadian International Development Research Centre (IDRC) developed this definition of outcomes about ten years ago. Subsequently it has become widely used by development and social change programmes. See [http://www.idrc.ca/en/ev-26586-201-1-DO\\_TOPIC.html](http://www.idrc.ca/en/ev-26586-201-1-DO_TOPIC.html) and the Outcome Mapping Learning Community website at [www.outcomemapping.ca](http://www.outcomemapping.ca)

<sup>55</sup> "While, at first glance, this appears to suggest concentrating on easier, less important, short-term achievements, in fact it does the opposite. It focuses attention on incremental, often subtle changes, without which the large-scale, more prominent achievements in human well-being cannot be attained or sustained." Sarah Earl, et al, op. cit., page 21

<sup>56</sup> Sarah Earl, et al, op.cit., page 21

<sup>57</sup> Sarah Earl, et al, op.cit., page 18



sociations and their managers since iTC aims to prepare these boundary actors for channelling investments into the rural sector. Other boundary actors influence outcomes desired by iTC, such as investors, governmental agencies, local government units, traditional leaders, NGOs, financial agencies, local development programmes. The iTC works with these boundary actors and attempts to align its objectives and activities with theirs through coordination.

In some other programmes, the option has emerged of using Outcome Harvesting evaluation concepts and methods when programme designers have realized that they faced programmes of sufficient complexity that they could not predefine exactly what the programmes were going to do, and much less what outcomes it would achieve, to circumscribe them in the detail required for conventional monitoring and evaluation tools to work. The Outcome Harvesting tool recognizes and is quite comfortable with such uncertainty, since it takes the present definitions of desired programme achievements and works backwards in time to reconstruct the factors that influenced those achievements.

Furthermore, Outcome Harvesting demonstrates that while significant change often cannot be predetermined, once outcomes emerge they can be rigorously measured, quantitatively and qualitatively. The tool generates descriptions of outcomes with sufficient specificity for accountability and learning. Furthermore, the harvested information goes through a winnowing process during which it is validated by knowledgeable, independent sources. The resultant substantiated outcomes are then analysed and interpreted through the lenses of their mission, goals, strategies, theories of change, action models, or other appropriate lens and used to answer the actionable evaluation questions.

In the iTC case, the evaluation questions were redefined to be about achieving progress toward meeting general programme objectives — called in Outcome Mapping terminology “Outcome Challenges” (OCs). These OCs were derived initially from the reconstructed theory of change but modified during the initial stages of the OH field work. These OCs allowed the team to judge the significance of each harvested outcome according to whether the outcome contributed in some way to meeting one or two of the OCs.

The discipline of harvesting outcomes and verifying them in the field, and judging their significance provided an added benefit of uncovering systematic weaknesses in various relationships required for iTC to meet its challenges. Of critical importance in the verification process has been the identification of boundary actors which contribute to the outcomes desired by the iTC, and the exploration of the constraints on these boundary actors which need more iTC attention.

While the Outcome Mapping concepts have been instrumental in the definition of Outcome Harvesting, another methodological pillar is Michael Quinn Patton’s utilisation-focused approach to evaluation.<sup>58</sup> An outcome harvest is designed to meet the principal *uses* of primary intended *users* of the harvesting process and findings. The harvest is guided by useful harvesting questions, which serve the orienting function of a hypothesis in scientific research.

Methodologically, the developers of the OH tool have also been informed by complexity thinking. The tool applies insights derived from the work of Brenda Zimmerman and her matrix inspired by Ralph Stacey<sup>59</sup> and David Snowden’s Cynefin.<sup>60</sup> Outcome Harvesting was developed evaluating interventions in which there has been, or is, considerable *disagreement* about the challenge or what to do about it. Or, if there is agreement on the problem and action to be taken, there is *uncertainty* about what will be the results because the principal relationships of cause-effect are unknown. Thus, the tool

<sup>58</sup> Developmental Evaluation: Applying Complexity Concepts to Enhance Innovation and Use, Guilford Press, 2010 and Essentials of Utilization-Focused Evaluation, Sage Publications, 2012

<sup>59</sup> Getting to Maybe: How the World Is Changed, Random House Canada, 2007

<sup>60</sup> <http://cognitive-edge.com/library/more/video/introduction-to-the-cynefin-framework/>

is least useful to monitoring and evaluating interventions and their outcomes in the simple and chaotic domains and most useful to those operating in the complicated and especially complex domains.

Furthermore, Outcome Harvesting adapts systems concepts from the work of Bob Williams and Richard Hummelbrunner<sup>61</sup> that also have proven relevant to identifying and understanding unplanned action and results by development and social change actors.

They focus on the identification of *inter-relationships*, the assessment of different *perspectives* and the need to deliberate on *boundaries*. Outcome Harvesting strives for clear boundaries. A few are identified but not deliberated on, such as the definition of “outcome”: a change in the behaviour (writ large) of a social actor. More often, however, the tool requires that boundaries be critically assessed throughout the harvest. For instance, which social actors will be considered in and out and what manifestations of behaviour represent a change and which do not? Furthermore, the tool’s application is highly participatory in order to bring to bear multiple perspectives on who, what, when and where there has been change and how it was influenced. The analysis and interpretation of the outcomes harvested are designed to reveal the processes and patterns of interrelationships in and between the outcomes and the intervention’s contribution to them.

Two-dozen evaluations have been commissioned by organizations providing technical and financial support to development, and through this pioneering work, Outcome Harvesting has been forged as an effective evaluation tool. Outcome Harvesting has proven to be a useful alternative for a wider, richer diversity of organisations — the affiliates of the networks and the grantees of the donors — who have used Outcome Harvesting to identify and formulate verifiable changes they have influenced in other social actors and describe their plausible contributions. Therefore, through the work with my colleagues, we have harvested more than 3,000 outcomes achieved by over three hundred associations, NGOs, community-based organisations, universities, research institutes and government agencies spread across the seven continents. In addition, other practitioners are increasingly using the tool.

In the past year, the Ford Foundation published a brochure on how to use the tool; CLEAR-CIDE Latin America translated the brochure into Spanish to make it accessible to more practitioners. Outcome Harvesting was chosen as an American Evaluation Association weekly Coffee Break Webinar (6 September 2012) and presented at the AEA’s 2012 Conference and will again be presented at this year’s conference. It has also been presented at the Evaluation Interest Group at USAID (December 2012) in workshops at the Universidad de Santiago de Chile (January), the Outcome Mapping Master Class in Leuven (March), the Oxfam International Gender and Feminist workshop and the University of Bologna (both in June).

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<sup>61</sup> See Systems concepts in evaluation: An expert anthology, Edge Press of Inverness, 2007 and Systems Concepts in Action: A Practitioner’s Toolkit, Stanford University press, 2010

## ANNEX 4. DETAILS OF OUTCOME HARVESTING FOR THIS EVALUATION

This Annex provides some details on the methods used for harvesting outcomes in three provinces during May 2013.

### 1. IDENTIFICATION OF THE OUTCOMES

Outcomes describe what the boundary actor that the KPMG/iTC intervention has *directly or indirectly* influenced is doing differently. Outcomes are different from outputs.

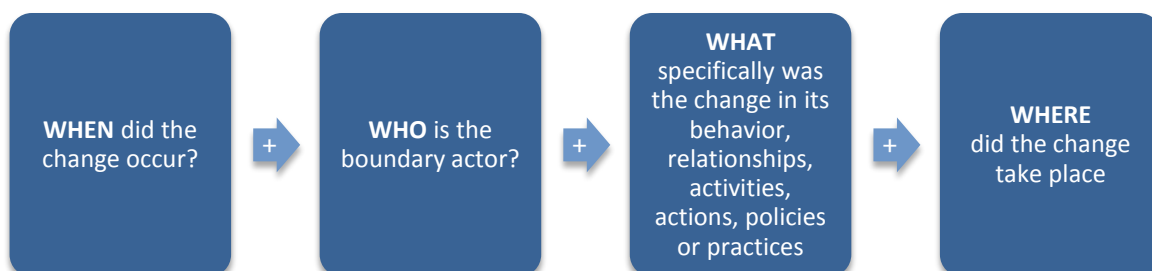
*Outcomes: Changes in a boundary actor's behaviour, relationships, activities, actions, policies or practices that KPMG/iTC has influenced through its activities and outputs. KPMG/iTC only contributes to outcomes.*

VS.

*Outputs: Process, goods or services produced by KPMG/iTC through its activities and those of its service provider. KPMG/iTC controls its outputs.*

### 2. INSTRUCTIONS FOR IDENTIFYING AND DESCRIBING OUTCOMES ON THE OH FORMS (ONE OUTCOME PER FORM)

In 1 to 2 sentences (can be more elaborate if needed) on each Outcome Harvest form we describe the change in a boundary actor that KPMG/iTC or its service provider influenced—**when** did **who** do **what** and **where** that was new or different?



The descriptive elements on the form are:

- State who the boundary actor is.
- Describe what the boundary actor did or is doing that was or is significantly different than before KPMG/iTC's intervention.
- Use simple language and spell out acronyms so that third parties are able to understand the change and verify it.
- Specify quantitative and qualitative aspects (see SMART guidance below)
- Specify the timeframe for when the change occurred—at least the year but if possible also the month, or the range of dates in which the change happened.
- Identify the site (institution and geographical location) where the change took place.

### 3. DESCRIBING THE CONTRIBUTIONS OF KPMG/ITC

In short sentences, we describe KPMG/iTC's contribution to the outcome. How do we know the BA's outcome was a result—partially or totally, directly or indirectly, intentionally or not—of the activities and outputs of KPMG/iTC or one of its service providers? We describe what the activities and outputs

of KPMG/iTC did, when and where to influence the outcome. We are as specific as possible, keeping in mind activities and outputs often will contribute indirectly and partially to one or more outcomes.

To be a KPMG/iTC outcome, there has to be a reasonable cause and effect relationship between what KPMG/iTC did through its service provider and the change in the boundary actor. That relationship must be clearly verifiable.

#### **4. WHAT OTHER BOUNDARY CONTRIBUTED TO THE OUTCOME?**

In most cases, the KPMG/iTC service providers encourage the participation of other boundary actors in order to bring about an outcome. We note who these other boundary actors are, what they contributed, when and where.

#### **5. SIGNIFICANCE OF THE OUTCOME**

We describe why the outcome is important for KPMG/iTC by showing how it contributes to achieving one or more of the Outcome Challenges.

#### **6. WHAT OTHER INFLUENCES HAVE CONTRIBUTED TO THE OUTCOME?**

In some cases the combined efforts of the iTC key boundary actor with iTC support and the contributions of other boundary actors are not the only influences on the outcome. Changes in climatic conditions, market prices and demand, governmental policies may overwhelm the iTC efforts or may make the iTC efforts appear to be more influential than is really the case. We note the evidence for such external factors and attempt to assess their importance.

#### **7. SUMMARIZED EVIDENCE ON VALIDITY OF THE OUTCOME.**

From the field verification work, is the evidence clear as to the validity of the claimed outcome, or is there some ambiguity in the evidence? Or is there evidence that the claimed outcome has no validity.

#### **8. INVESTMENTS**

From the field verifications, what evidence is there that some sort of investment (from investor external or internal to the community) has occurred which can be plausibly linked to the outcome? If there has been an investment, did it have an effect or was it a wash-out?

## 9. THE “DO’S AND DON’TS” OF OUTCOME HARVESTING

DON'T	DO
Describe an outcome as KPMG/iTC's activity or output, such as, <i>"We organized an important conference."</i>	An outcome is a description not of what <i>KPMG/iTC staff or service provider</i> did, but <i>who changed</i> – <i>which boundary actor</i> —because of what KPMG/iTC did.
Force yourself to find direct relationships between an outcome and KPMG/iTC's activity or output.	Realize that KPMG/iTC might have carried out an activity last year or the year before but the outcome may only become visible this year. Or, some things KPMG/iTC does may never lead to outcomes.
Report only positive outcomes or intentional outcomes.	Report outcomes that can be a surprise, unintentional or even negative. These can be important for learning.
Use words that embellish or make too much of a value statement.	Explain and give examples of why the outcome is valuable or successful.
Give vague descriptions of the change that happened.	Give <b>SMART</b> descriptions of the change that happened: Specific, Measurable, Achieved, Relevant, Timely.

## 10. SMART GUIDANCE

Here is some guidance for describing each part of the outcome harvesting form for each outcome.

**Specific:** The outcome is formulated in sufficient detail so that a reader without specialized knowledge will be able to understand what changed. *Who did what, when and where, and why?*

**Measurable:** The description of the outcome provides objective, verifiable quantitative and qualitative information, independent of who is collecting data. How much? How many? When and where did the change happen?

**Achieved** (by KPMG/iTC, while not solely attributable to KPMG/iTC): There is a plausible relationship, a logical link between the outcome and what KPMG and its service providers did that contributed to its achievement.

**Relevant:** The outcome represents a significant step towards the KPMG/iTC Outcome Challenges. The persons who formulate the outcome and KPMG/iTC's contribution must be well placed to assess both. They should have experience that gives them the knowledge to describe the outcome and how the KPMG team as well as other boundary actors contributed to it.

**Timely:** The outcome occurred within the time period being monitored or evaluated, although KPMG/iTC's contribution may have been months or even years before.

## 11. SELECTION OF OUTCOMES (SAMPLING ISSUES) (SEE ANNEX 6 FOR DETAILS ON SITE SELECTION)

In the iTC evaluation, we first identified "outcomes" by reviewing project reports done by KPMG/iTC service providers. In this project report review, we looked for changes in the behaviours and relationships of the boundary actors that we considered to be important changes that represent progress towards the iTC Outcome Challenges and its programme goal of "increasing the rights of rural people...over land and other natural resources, increased investment and more sustainable and equitable use of these resources for poverty reduction and economic growth". Of course, these outcomes had

to be changes to which the SPs during their very short periods of intervention in a particular site had contributed in one way or another.

Except in one very specific way (see Outcome Challenge 7 in Table 5), we do not consider the service providers to be boundary actors, since they are formally contracted by KPMG or MCA and are under the direct control of KPMG or MCA, at least in regard to their contracted activities with KPMG.

Second, the outcomes harvested from reports were then consulted with the authors of the reports and other people (KPMG/iTC field staff, community members, governmental agency staff, investors, and service provider) who are most knowledgeable about what changes KPMG/iTC has influenced in boundary actors. The purpose was two-fold. First, we obtained answers to questions we had about the potential outcomes and correct any misinformation. Second, in these interviews we were attentive to additional outcomes that might be added to the document derived ones.

The results of this harvesting ARE somewhat dependent on time spent in analysing the reports. If the analysts spend a lot of time digging into the reports and checking with the authors, they could develop many important outcomes that represent progress towards our set of 10 Outcome Challenges. But time and budget constraints forced us to prioritize and limit ourselves to identifying what we considered the most important 3-8 outcomes per site where the SP intervened.

So we have two outcome harvest sampling questions:

- Did we select the most representative sites/interventions to examine?
- Did we harvest the most important outcomes from a particular site/intervention?

Regarding the selection of the sites/interventions, in the Manica Province we selected sites using the following criteria:

1. Where the SP intervention had been completed. There were 74 sites identified as completed, out of 100 initiated 2007-2012.
2. Sites from different geographic areas of the Province,
3. Where the intervention fit within one of the two main types of site/interventions: 1) communities for community land delimitation and 2) associations for association land titling-DUAT with demarcations of land claimed by the associations.
4. From the service providers who did the most sites/interventions.

These criteria overlapped, happily, and the harvest team was able to identify 12 sites/interventions that met these criteria out of 74 possible sites/interventions in Manica Province which had been concluded by the end of 2012 (there were 26 site/interventions still in process). A 17% sample of the concluded interventions seems small, but we do not know the variability of sites and intervention experiences. Our sampling objective was to generate a wide variety of outcomes within the limited time available for their harvest.

As for the second question, we verified each outcome identified mostly through reviews of project reports through interviews with local community/association members and directors and with local government officials and with other contributing boundary actors. We also added outcomes when these subsequent interviews yielded that information.

In sum, the evaluation team considers that it has harvested a body of 59 outcomes that represent the most important changes influenced by KPMG/iTC service providers in 12 sites where the iTC programme was active in 2007-2012.



But, again under time constraints we had to press in the interviews by asking questions, and could not devote the time to permit the informants/respondents explain what they considered the most important changes in the BAs behaviours and relationships.

A possible check on this outcome selection process is for two people to do independent harvests at the same site and intervention. However, again the time and resource monsters reared their ugly heads, and precluded such a methodological check.

Another OH methodological issue arises from harvesting outcomes in the first instance from service providers' reports. We may have obtained a distorted picture of only "successful" outcomes, which reflected well on the SPs and on iTC. One check on this possible bias was our verification of the outcomes through actual field visits and interviews with local people, which provided details for the OH forms and which in some instances produced new outcomes.

But if the SPs report only on positive outcomes, we have very limited evidence for such a bias actually operating from our field work. We recognize that most of the outcomes we have harvested do not include negative outcomes, which could be equally or more significant, with one major qualification. Namely, we did verify the validity of the outcomes already harvested through field visits. If outcomes harvested were "rosy pictures", we would have found evidence that the claims in the reports and previous interviews were not valid through this field verification. We actually found only 5 outcomes where the evidence was ambiguous, and no outcomes where the evidence in the field was completely lacking for the outcome.

## 12. EXAMPLES OF HARVESTED OUTCOMES

The following examples of harvested outcomes come from the harvesting done in Manica, Cabo Delgado and Zambézia Provinces during May of 2013. The evaluation teams examine the KPMG/iTC archives for the original formulations of the outcomes, and then modified them with confirming evidence from service providers, governmental officials and boundary actors.

### EXAMPLE OF COMPLETED MANICA OUTCOME HARVEST FORM

#### Outcome Harvest Evaluation of iTC in Mozambique May-June 2013

1. Person(s) formulating outcome: 1-JDS \_ 1 \_
2. Province of the Outcome: 1-Manica 2-Cabo Delgado 3-Zambézia 4-Nampula \_ 1 \_
3. District: 1-Manica 2- Gondola 3-Moussarize 4—Sussendenga \_ 1 \_
4. Community/Association: 1-Munharai 2-Irmaos Unidos 3-Nhamaonha 4-Nharaunga  
5—Mukuha Assn 6-Gunhe 7- Rotanda AIR 8-Badza Rotanda Assn  
9—Gudza Community 10-Mukai Kwaedza-Gudza Assn 11-Perai Community \_ 11 \_
5. Service Provider: 1-Caritas 2-ORAM 3-MCB \_ 3 \_
6. Outcome 2 of 5 \_ 25 \_
7. Unique identification number assigned to outcome: 17

Sequential

## 8. Description of outcome

[Briefly describe the change in a boundary actor that iTC/KPMG influenced.]

- a. Boundary actor which exhibited change Perai Community
- b. What was the change in the boundary actor behaviour, relationships, activities, actions, policies or practices. The Perai community joined in the delimitation of Perai community boundaries with regulos, SPGC, leaders of the neighbouring community Nov, 2012
- c. when did the boundary actor make the change: MM YYYY \_\_Nov, 2012
- d. *where did the change take place:* \_\_Perai Community—Mavonde locality\_\_\_\_\_.

## 9. Contribution of KPMG-service providers to outcome

[Briefly describe what iTC/KPMG with identified service providers did, when and where to influence the outcome.]

What did KPMG/SPs do?	When?	Where?
a. Arranged with SPGC technician in Manica and regulos of Perai and neighbouring communities to help conduct the delimitation of Perai community boundaries activities.	b. Nov 2012	c. Perai Community

## 10. Contributions of other boundary actors to the outcome

[Briefly describe what other boundary actors did, when and where to influence the outcome.]

Which other B.A.s contributed?	What each did?	When?	Where?
a. Chief of Movande Localidad	b. Supported delimitation	c. Nov, 2012	d. Movande
e. Regulo of Perai	f. Participated in delimitation.	g. Nov, 2012	h. Perai community
i. Tecnico of Cadaster in Manica	j. participated in delimitation, made measurements and sent them to SPGC in Chimoio	k. Nov 2012	l. Perai community
m. Regulos of neighbouring communities	n. participated in delimitation	o. Nov 2012	p. Perai
q. Perai leaders, especially elders	r. participated in delimitation	s. Nov 2012	t. Perai

## 11. Were there any other important influences on outcome?

None detected.

## 12. Sources of information about outcome

\_\_1\_\_

1-. KPMG Final Project Report 2- Other KPMG Project Report

3- iTC newsletter 4-. Interviews with KPMG

\_\_5\_\_

5-. Interviews with S.P. 6-. Interviews with community members

7. \_\_\_\_\_ 8-

\_\_\_\_\_ 6 \_\_\_\_\_

9- \_\_\_\_\_ 10-

**13. Significance of the outcome** understood as its relation to iTC's Outcome Challenges

[In 1–2 sentences explain why the outcome is important for iTC/KPMG. Classify into one or maximum 2 of the Outcome Challenges/]

a. Relevant OC \_\_\_\_ OC-1 \_\_\_\_ b. Other Relevant OC \_\_\_\_\_

**14. Note the following information about the Project corresponding to the outcome**a. *Beginning Date:* \_\_\_\_ April 2012 \_\_\_\_ b. *Ending Date:* \_\_\_\_ to Nov 2012 \_\_\_\_\_c. *Payment amount:* \_\_\_\_ \$64,341 (for 4 AAP and 4 Community delimitations) \_\_\_\_\_**15. Comments on verification of outcome:** [Note on reverse side of this page how the outcome has been verified through checking with various sources of information about the outcome]

This outcome appears to be valid, since the community and the local leaders have strongly supported the delimitation and associated activities.

**16. Investments influenced by outcome?**

The delimitation of boundaries coincided with the resolution of a conflict with a neighbouring community, over whether the land being used by an investor was in Perai or not. The issue was decided in the favour of Perai, which means technically that an investment has been influenced by outcome. Weak but technically true.

**EXAMPLE OF COMPLETED CABO DELGADO OUTCOME HARVEST FORM**
**Outcome Harvest Evaluation of iTC in Mozambique**  
**May-June 2013**

- |   |                   |    |
|---|-------------------|----|
| 1. Person(s) formulating outcome:   | ____ Esmè Joaquim | 2  |
| 2. Province of the Outcome: 1-Manica 2-Cabo Delgado 3-Zambézia 4-Nampula    |                   | 2  |
| 3. District: 1. Mecúfi 2. Pemba-Metuge, 3 Ancuabe, 4 Meluco, 5 Mueda        |                   | 4  |
| 4. Community/Association: 1.Community Fishing Council of Natuco;            |                   |    |
| 2 Uhuwerie N'Rima, of Bandari; 3. Tratara, 4. Salaue, 5 Minhanha, 6 Nanhala |                   | 5  |
| 5. Service Provider: 1.Community Fishing Council of Natuco (CCP); 2 CATE,   |                   | 5  |
| 3. Forum Terra, 4 Diocese of Pemba & Geographic Setting; 5. Oram Nampula;   |                   |    |
| Soc. Comercial Mesalo & Associação para o Meio Ambiente                     |                   |    |
| 6. <i>Outcome</i>   |                   |    |
| 6 of 9  |                   |    |
| 7. Unique identification number assigned to outcome:                        |                   | 31 |

Might be sequential within a Province, or might be a composite number (Province, District, Community/Assn, Outcome). Has to be unique for each outcome.

#### 8. 8. Description of outcome

[Briefly describe the change in a boundary actor that iTC/KPMG influenced.]

In 2012, the Association Vida Nova de Minhanha, successfully applied for a DUAT for the machamba that they cultivate as an association.

- a. Boundary actor which exhibited change Association Vida Nova de Minhanha
- b. What was the change in the boundary actor behaviour, relationships, activities, actions, policies or practices:
  - i. The Association Vida Nova de Minhanha reached an agreement with the community to use land specifically for cultivating a machamba jointly.
  - ii. The Association Vida Nova de Minhanha applied for the DUAT over their machamba
  - iii. The Association Vida Nova de Minhanha understands the usefulness of working together as a group for specifically cultivating cash crops.
  - iv. The Association Vida Nova de Minhanha work together and share in the results of their joint efforts (crop harvested)
- c. when did the boundary actor make the change: MM YYYY) March 2012
- d. where did the change take place:

In Minhanha

#### 9. Contribution of KPMG-service providers to outcome

[Briefly describe what iTC/KPMG with identified service providers did, when and where to influence the outcome.]

What did KPMG/SPs do?	When?	Where?
Assisted with the demarcation of the plot of land to be used by the Association Vida Nova de Minhanha	March 2012	Minhanha

#### 10. 10. Contributions of other boundary actors to the outcome,

[Briefly describe what other boundary actors did, when and where to influence the outcome.]

Which other B.A.s contributed?	What each did?	When?	Where?
The Community of Minhanha	Approved the use of a specific machamba to the Association	? 2012	Minhanha

District Administration	Approved the land application and assisted with the demarcation	? 2012	Minhanha
SDAE	Assisted with the demarcation	2012	Minhanha
SPGC	Demarcation	2012	Minhanha

11. Were there any other important influences on outcome?

12. Sources of information about outcome

- |                                      |    |
|--------------------------------------|----|
| 1. KPMG Final Project Report         | 1  |
| 2. Other KPMG Project Report         | 2  |
| 3. iTC newsletter                    | 4- |
| 4. Interviews with KPMG              |    |
| 5. Interviews with S.P.              |    |
| 6. Interviews with community members | 6  |
| 7. Interview with Provincial SPGC    | 7  |
| 8. Interview with Association        | 8  |

13. **Significance of the outcome** understood as its relation to iTC's Outcome Challenges

[In 1–2 sentences explain why the outcome is important for iTC/KPMG. Classify into one or maximum 2 of the Outcome Challenges/]

The Association Vida Nova of Minhanha have successfully applied for a DUAT over the land that they jointly cultivate d thereby contributing to outcome challenge 5

a. Relevant OC 5 b. Other Relevant OC

14. Note the following information about the Project corresponding to the outcome

- a. *Beginning Date*: December 2011
- b. *Ending Date*: December 2012
- c. *Payment amount*: 1,762,118.05Mt

15. **Comments on verification of outcome**: [Note on reverse side of this page how the outcome has been verified through checking with various sources of information about the outcome]

The information contained herein has been verified by the final report dated January 2013 (which has not been approved yet by iTC/KPMG) and a report dated March 2011.

As well as a meeting (on 16 May) with the Provincial Director of SPGC who confirms that the DU-AT has been approved and only requires signature, as well as at a meeting with some of the members of the association on 31 May 2013.

16. **What evidence has been found of investment started as influenced by outcome?** [Note on reverse side the evidence obtained about the outcome having influenced investments of any sort in land use, purchases of capital items for the home or enterprise, acquisition of trees, resource protection, etc]

The members of this association had planted beans in the field last year (2012) and this year the Aga Khan Foundation provided sesame seeds for them to plant as a cash crop. However they have not seen the Técnico since he left them with the seeds.

## EXAMPLE OF COMPLETED ZAMBEZIA OUTCOME HARVEST FORM

### Outcome Harvest Evaluation of iTC in Mozambique May-June 2013

- |  |                   |    |
|--|-------------------|----|
| 1. Person(s) formulating outcome:  | _Ingrid L. Nelson | 4  |
| 2. Province of the Outcome: 1-Manica 2-Cabo Delgado 3-Zambézia 4-Nampula |                   | 3  |
| 3. District: 10 - Maganja da Costa 11 - Namacurra 12 - Ile               |                   | 11 |
| 4. Community/Association: 27. Muceliua CLGRN                             |                   |    |
| 28. Voabil CLGRN   |                   | 27 |
| 5. Service Provider: 5. CCM-Zambézia; 6. ORAM-Zambézia; 7. AEMZ-SERCON;  |                   |    |
| 8. SIDE Lda; 9. Radeza; 10. Prodea                                       |                   | 5  |
| 6. Outcome (x) of (y)..._2_of_3_   |                   |    |
| 23   |                   |    |
| 7. Unique identification number assigned to outcome: _z5-2_              |                   |    |

Might be sequential within a Province, or might be a composite number (Province, District, Community/Assn, Outcome). Has to be unique for each outcome.

8. Description of outcome

[Briefly describe the change in a boundary actor that iTC/KPMG influenced.]

- Boundary actor which exhibited change \_ Muceliua Comité Local de Gestão de Recursos Naturais
- What was the change in the boundary actor behaviour, relationships, activities, actions, policies or practices:

The Muceliua Comité Local de Gestão de Recursos Naturais (CLGRN) delimited a mangrove forest in Muceliua community (also included in the activities were a forest inventory and a management plan).



c. when did the boundary actor make the change: MM YYYY \_between October 2010 and October 2011

d. where did the change take place: \_ Muceliua povoação

9. Contribution of KPMG-service providers to outcome

[Briefly describe what iTC/KPMG with identified service providers did, when and where to influence the outcome.]

What did KPMG/SPs do?	When?	Where?
a. CCM facilitators: 1) held 26 meetings (dates not specified) to explain the SP's agenda, 2) held 14 social preparation meetings, 3) created 4 CLGRNs for forest management members of four povoacoes (Mazuão, Voabil, Muceliua and Manonga), later registered them, 4) held 19 meetings concerning the land, forest and environmental and fishing laws, 5) trained members of the CLGRNs and local leaders in more advanced concepts regarding laws, including the Lei dos orgaos locais do estado (LOLE), organizational management, gender and participatory planning, 6) created forest inventories through DRP techniques, 7) trained 1 para-legal per community, 8) delimited 4 community forests, 9) conducted a natural resource management training	b. October 2010-October 2011, report lacks specific dates, community does not remember all meetings	c. Povoacao of Muceliua
d. ORAM was involved in other activities at the same time involving the APRODAM association and demarcating de-annexed land for this association.	e. October 2010-August 2011	f. Macuse-sede and other local meeting sites (principally povoacoes of Mazuão, Voabil, Muceliua and Manonga)

10. Contributions of other boundary actors to the Outcome,

[Briefly describe what other boundary actors did, when and where to influence the outcome.]

Which other B.A.s contributed?	What each did?	When?	Where?
a. SPFFB - Zambézia, Serviços Provinciais de Florestas e Fauna Bravia da Zambézia	b. Participated in the explanation of the land, environmental and forestry laws and in the forest inventories and management plans.	c. Unknown	d. Unknown
e. Local community regulos	f. Participated and permitted all meetings to take place	g. Various	h. Various
i. Chief of the Locality and members of District Government	j. Participated in select meetings, particularly the Chief of the Locality, Regalado Rofil Adolfo.	k. Various	l. Various
m. District SPGC Services	n. Participated in the DRP process by providing technical information and the delimitation	o. Between October 2010 and October 2011	p. Various as multiple sites engaged at once

11. Were there any other important influences on outcome?

ORAM was working in this area at the same time to establish APRODAM association to demarcate and obtain a DUAT for 101 hectares of de-annexed land from MADAL SARL. These activities may have influenced one another and/or confused locals about different aspects of the law and different kinds of new groups created, although in my meeting, local members of these committees seemed to understand the boundaries and distinctions between these entities, while focusing on land conflicts in neighbouring areas that they felt they were part of and that had not been resolved after 3 separate iTC contracts in the area.

## 12. Sources of information about outcome

2- Other KPMG Project Report: (KPMG Concept Note, June 2010)

2- Other KPMG Project Report: (KPMG Contract with CCM, August 2010)

2 - Service Provider Project Report: (Final Report, Projecto de Protecção e Conservação de Florestas Comunitárias de Macuse, March 2012)

3 - Interviews with SP (CCM) - May 29 with Dra. Faustina and Sr. Lucas at CCM offices in Quelimane.

6 - Interviews with community members and leaders, 24 May, 2013 next to Macuse locality administrative building (continued select topics on 25 May)

7. Interviews with CLGRN leadership and other members, 25 May, next to Macuse locality administrative building

8. Interview with Chief of Macuse-Sede Locality, Regalado Rofil.

## 13. **Significance of the outcome** understood as its relation to iTC's Outcome Challenges

[In 1–2 sentences explain why the outcome is important for iTC/KPMG. Classify into one or maximum 2 of the Outcome Challenges/]

a. Relevant OC 2 b. Other Relevant OC     

This outcome contributes to Outcome Challenge 2, in that a CLGRN delimited forest land in Muceliua and created a management plan and inventory, which is part of the initial stage of engaging in more formal natural resource management practices.

## 14. Note the following information about the Project corresponding to the outcome

a. *Beginning Date:* October 2010 b. *Ending Date:* October 2011

c. *Payment amount:* \$61,600.73

Note: Contract signed 20 August 2010 with MCA, KPMG and CCM.

## 15. **Comments on verification of outcome:**[Note on reverse side of this page how the outcome has been verified through checking with various sources of information about the outcome]

The outcome was verified through documents listed above, interviews with the service provider, association members and others.

## 16. **What evidence has been found of investment started as influenced by outcome?** [Note on reverse side the evidence obtained about the outcome having influenced investments of any sort in land use, purchases of capital items for the home or enterprise, acquisition of trees, resource protection, etc]

No evidence of investments by anyone other than SP.

## CODING THE OUTCOME HARVEST FORM DATA:

### Re-Coding Instructions of the Outcome Harvest Forms

The purpose of this re-coding of the Outcome Harvest Forms is to make available data of prime importance for the final report. We start with the structure of the data base created for inputting all of the data from the OH form, and then code a sub-set of that data, with some re-coding of fields which were too detailed in the original forms.

Each column of the Excel Spread Sheet of the database contains information about a single Outcome harvested. Each row contains data about that Outcome, as indicated below, where the Variable Name is the question number on the OH form (Annex A to this Coding Manual has the form used in Manica Province, and contains the identification codes (questions 1 through 7) for that Province. The id codes for the other provinces will have to be added):

Variable Name	Variable label	Codes	Code Labels
V1	ID control	1-62	Manica OHs. Unique sequential id
		101-145	Cabo OHs unique sequential id
		300-362	Zambézia OHs unique sequential id
V2	Outcome Formulator	1	David
		2	Esme
		3	Jeff
		4	Ingrid
		5	Jeff and Ingrid
V3	Province of Outcome	1	Manica
		2	Cabo Delgado
		3	Zambézia
		4	Nampula
V4	District	1	Manica (Manica Province)
		2	Gondola (Manica Province)
		3	Moussarize (Manica Province)
		4	Sussundenga (Manica Province)
			[add codes and labels for other provincial districts]
		1	Mecufi
		2	Pemba-Metuge
		3	Ancuabe
		4	Meluco
		5	Mueda

		6	Entire province of Cabo Delgado
		10	Maganja da Costa (Zambézia)
		11	Namacurra (Zambézia)
		12	Ile (Zambézia)
V5	Site Name	1	Munharai Assn(Manica Province)
		2	Irmaos Unidos Assn
		3	Nhamaonha Community
		4	Nharaunga Community
		5	Mukuha Assn
		6	Gunhe Community
		7	Rotanda AIR Assn
		8	Badza Rotanda Assn
		9	Gudza Community
		10	Mukai Kwaedza Assn
		11	Peraí Community
		12	Manhane Community
		13	Entire Manica Province
			[ Enter codes and labels for other Provinces]
		1	CCP Natuco
		2	Assoc Uhuwerie N'Rima
		3	Tratara
		4	Salaue
		5	Minhanha
		6	Nanahla
		7	Associação dos Para Legais de Cabo Delgado
		20	Okalela Omugawa Associacao
		21	Erive/Mugawa Community
		22	Erive/Mugawa CGRN
		23	APRODAM Assn (Mazooa, Nam)
		24	Mazuão Community
		25	CLGRN Mazuão (CCM)

		26	CLGRN Manonga (CCM)
		27	CLGRN Muceliua (CCM)
		28	CLGRN Voabil (CCM)
		29	Bonifacio Gruveta Assn (Voabil, Nam)
		30	Vuruka Locality Communities
		31	COGRN Vuruka
		32	Agro-pecuaria Nizuzumele de Nipera Assn.
		33	Agro-pecuaria Amizade Vuruka
		34	Lagoa Ruguria 'Community' (5 povoacoes within Bala Locality)
		35	ADETUR Association
		36	Malei Locality group of 4 communities
		37	Samora Moises Machel Assn (Eruthu & Roldao communities)
		38	Wiuana Association, Malei locality
		39	A group of 5 Povoacoes in Chiraco Locality (Breu, Cohiwa, Malolo, Cunguru, Muitxahopa) and 1 in Namigonha Locality (Tuturo)
		40	ACOMAO Association (Breu, Mulevala)
		41	ACEMA Assn, Malolo, Chiraco Locality
		42	ACWAC Assn, Muitxahopa, Chiraco
		43	Cunguru & Malolo CGRNs
		44	Forum dos CLGRNs de Macuse
V6	Service Provider	1	Caritas
		2	ORAM-Manica
		3	MCB
		4	Forum Terra
		5	Conselho Cristao de Mocambique (CCM) Zambézia
		6	ORAM-Zambézia
		7	AEMZ-SERCON
		8	SIDE Lda.
		9	Radeza
		10	Prodea
			[Enter codes from other provinces]
		1	CCP

		2	CATE
		3	Forum Terra (Cabo Delgado)
		4	Diocese of Pemba & Geographic Setting Lda
		5	Oram Nampula
		6	Soc Comercial Mesalo & Assoc o Meio Ambiente (AMA)
		20	KPMG itself
V7	Outcome x of y		16 means outcome 1 of 6, etc
V8	Unique id number of outcome		Within a Province, this number is unique so that no two outcomes have the same id number
V9	Boundary Actor Influenced, Collaborated with		Copy the name from question 8a
V10	Type of BA influenced, collaborated with	1	Community as whole
		2	CGRN of a community
		3	Community members
		5	Association as a whole
		6	Assn Officers
		7	Association members
		10	Govt agency
		20	Ag-cattle producers—not local
		30	Service Provider
		21	Conselho or group of CGRNs
V11	Outcome--Change in the Boundary Actor behaviour/relationships		Copy 8b if short and clear enough in the OH form; if necessary edit to make wording clearer.
V12	Year when outcome occurred	yyyy	Copy year from 8c
V13	Primary Significance of Outcome	1	OC 1: Security of community land tenure is improved
		2	OC2: CGRN natural resource management is improved
		3	OC3: Conflicts over land are managed
		4	OC4: Approvals are secured of surrounding land holders, communities, local govt. for carving DUATs out of community land
		5	OC 5: Completed the application for, DUAT
		6	OC 6: Investments are made by investors (from inside or outside of community/association)
		7	OC 7: Service Providers are strengthened
		8	OC 8: Boundary Actors' objectives become more



			aligned with iTC
		9	OC 9: Wider involvement of women and men is achieved in the governance of the CGRN/association
		10	OC 10: People in communities/associations become more empowered through coordinated action
		99	Don't Know
V14	Secondary Significance of Outcome	0	No secondary OC
		1	OC 1
		2	OC2
		3	OC3
		4	OC4
		5	OC 5
		6	OC 6
		7	OC 7
		8	OC 8
		9	OC 9
		10	OC 10
		99	Don't Know
V15	Validity of Outcome (from Q 15)	0	No evidence found that the claimed outcome actually happened
		1	Evidence is ambiguous about whether outcome actually happened
		2	Yes, evidence indicates that outcome did happen
		9	Don't Know
V16	Has any investment started as influenced by outcome?	0	No investment detected which has been influenced by outcome
		1	Investment from inside community, local has happened, influenced by outcome
		2	Investment from outside community has happened, influenced by outcome
		9	Don't Know
V17	Did Investment Work?	0	No investment detected as influenced by outcome

		1	Investment detected, but did not work
		2	Investment detected and has had effect
		9	Don't Know
V18	Type of iTC intervention site	1	Community where land is delimited and natural resource governance is strengthened
		2	Association (ag and/or livestock) strengthened and land is demarcated in name of the association
		3	Other non-ag association strengthened, where land is demarcated for association
		4	Other Non-ag association, no land involved
		5	Both community delimitation-strengthening and association strengthening
		6	Service Providers for Province
		7	Association (ag and/or livestock) strengthened and land allocated but no DUAT
		8	Other
		9	Don't Know
V19	Number of other BAs which influenced outcome		Enter the number of lines with entries under Question 10
V20	Was BA in the list in Q 10 a Local Govt unit?	0	No
		1	Yes—One local govt unit
		2	Yes—two or more local govt units
		9	No info in Q 10
V21	Was SDAE on list?	0	No
		1	Yes
		9	No info in Q 10
V22	Was SPGC on list?	0	No
		1	Yes
		9	No info in Q 10
V23	Was Community leader on list?	0	No
		1	Yes
		9	No info in Q 10
V24	Was Community as a whole on the list	0	No

		1	Yes
		9	No info in Q 10
V25	Was a neighbouring community on the list?	0	No
		1	Yes
		9	No info in Q 10
V26	NGO involved?	0	No
		1	Yes, one NGO
		2	Two NGOs
		9	No info in Q 10
V27	Community development group	0	No
		1	Yes
		9	No info in Q 10
V28	Community fiscal agents	0	No
		1	Yes
		9	No info in Q 10
V29	Company (commercial)	0	No
		1	Yes
		9	No info in Q 10
V30	CGRN of Community	0	No
		1	Yes
		9	No info in Q 10
V31	Journalists-Media	0	No
		1	Yes
		9	No info in Q 10
V32	District Development Fund	0	
		1	
V33	SPFFB Mentioned?	0	No
		1	Yes
V34	Community paralegals mentioned?	0	No
		1	Yes
V35	Ministry of Tourism Mentioned?	0	No
		1	Yes
		9	



## ANNEX 5. REFLECTIONS ON LARGE-SCALE LAND ACQUISITIONS: MOZAMBIQUE AND WORLDWIDE

One important set of complications to the Theory of Change (ToC) is the recent surge in Large-Scale Land Acquisitions (LSLA), mostly foreign in origin but often also reflecting involvement of local investors.

While investors interested in LSLAs have diverse investment strategies, one common element in actually making such investments is the land that investors acquire or wish to acquire is almost always already occupied by other people. In some cases investors or their governmental sponsors simply assume that the land is “empty” (e.g., that there are no occupants who have to be considered), or is underutilised by the present occupants<sup>62</sup> and that costs incurred for removing present occupants need not be considered or that the loss of their current income and products from the land will be compensated by future benefits from the LSLA<sup>63</sup>. Under either scenario, the investors typically proceed with their business activities.

Assumptions such as these can result in conflict between investors and local people for whom the land is vital to their survival. Conflicts can then manifest themselves as sabotage, strikes, political turmoil, and violence. Such resistance reflects the negative effects of investments on local people's livelihoods and on the natural environment that they depend upon<sup>64</sup>. Such resistance also impacts the investors' expected profits and the governmental hopes for employment, environmental protection, and other results which politicians and development agencies often portray as potentially flowing from LSLAs.

In other cases, in order to establish the LSLA with the cooperation of local people, investors or governmental or NGO sponsors of investors get “free, prior and informed consent” of the existing holders of the land for the LSLA to go ahead, or they conduct “consultations”, and at times they prepare agreements between investors and “communities”<sup>65</sup>. However, in many parts of the world, including Mozambique, the quality of this process is often superficial, shaped by the interests of more powerful corporate and government actors and frequently in practice exhibits limited downward accountability. The provisional community consent is often only partial (e.g., representing only some interests, with insufficient attention to assuring benefits for the majority of local people, or particularly for vulnerable members of communities involved), resulting in subsequent conflict between the investor and these communities, which can threaten the viability of the investment<sup>66</sup>.

Why is it so difficult to get agreements, which lead to beneficial participation for the communities in LSLAs? The investor is typically a well-organised entity intent on achieving its business purposes as quickly as possible. The investor has access to capital, possesses internal expertise on the evaluation

<sup>62</sup> Deninger, K. et al, 2011. Rising Interest in Farmland: Can it Yield Equitable and Sustainable Results? Washington DC: The World Bank

<sup>63</sup> Where investment activities are financed by the World Bank or one of the regional financial institutions, if the investor requires the expulsion of present users of the land, resettlement policies require compensation and incorporation of residents into proposed projects such that their general welfare is improved over the pre-project state. The World Bank Resettlement policy had been broadly accepted by the development community and offers some protection to existing land and forest users. Bank policy has been adopted by IFIs and other donors around the world

<sup>64</sup> Alden Wily L. (2010) Whose land are you giving away, Mr. President? Paper presented to the Annual World Bank Land Policy & Administration Conference, Washington DC., 26th -27th April

<sup>65</sup> See the following for consideration of communities within LSLA: Corbera, E. et al. (2011). Rights to Land, Forests and Carbon in REDD+: Insights from Mexico, Brazil and Costa Rica. Forests. 2:301-342; Cotula, L. and J. Mayers (2008). Tenure in REDD: Start-point or Afterthought?. IIED, Natural Resource Issues, No. 15; FAO, IFAD, UNCTAD and WB, 2010. Principles for Responsible Agricultural Investment that Respects Rights, Livelihoods and Resources. Discussion Note; German, L et al. (2010) The local social and environmental impacts of biofuel feedstock expansion. CIFOR Info Brief, No. 14, December, 2010, Bogor, Indonesia; Instituto Socioambiental and Forest Trends (2010). Avoided Deforestation (REDD) and Indigenous Peoples: experiences, challenges and opportunities in the Amazon context. September, 2010. Instituto Socioambiental, Sao Paulo, Brazil; Karsenty, A. (2010). Large-Scale Acquisition of Rights on Forest Lands in Africa. Washington DC: Rights and Resources Initiative; Land Tenure and Development Technical Committee (under the auspices of the French Development Agency (AFD) and the French Ministry of Foreign and European Affairs (MAEE)). 2010, “Large Scale Land Appropriations”, Paris; Molnar, A. et. al., 2011. Large acquisition of rights on forest lands for tropical timber concessions and commercial wood plantations. Washington DC: Rights and Resources Initiative in cooperation with the International Land Coalition, Rome, Italy; Rights and Resources Initiative (2009). The End of the Hinterland: Forests, Conflict and Climate Change. Washington, D.C : Rights and Resources Initiative

<sup>66</sup> See Salomão and Zoomers (2013) and Mei and Alabrese (2013) for recent assessments based on case studies of the trends in community-investor relations in Mozambique

of investment opportunities, the marketing of products, and the negotiation of agreements, and has detailed knowledge of laws and policies, deriving from extensive experience with implementing investments. Despite these advantages, investors usually lack knowledge concerning the complex environmental and social realities on the ground. Investors, often relying on limited mapping technology and over-generalized data, hurriedly and superficially gathered fail to develop meaningful and trusting connections with local social networks and a broad spectrum of community views.

In contrast with the outside investor, the local population is often dispersed, without secure rights to the lands they use. The local land occupants in many instances are isolated households struggling to survive from small-scale forest product extraction, small-scale production of local food and cash crops and low levels of wage labour. They generally have little or no knowledge about the value of their land and other natural assets, which find their way to the international market; by the same token, they are unaware of the consequences of losing them to outside investors. They know little or nothing about the substantive or legal underpinnings of binding agreements with outside investors. Local people's rights to use the land often also involve complex mixtures hunting, collection of non-timber forest products, fishing and small-scale exploit of timber products for local use or sale.

Local families and clans may have worked out customary rules for using forest and agricultural land resources, which the local community abides by. When faced with offers from outsiders of new schemes for using lands and resources, local families may have different, conflicting interests<sup>67</sup> since not all families make the same use of the various natural resources available to the community. Furthermore, they are usually not well versed in the business types of collective action or formal means of governance of their resources or are they experienced in how to resolve problems, which arise with market oriented collective action<sup>68</sup>. In summary, the local population's educational assets and their social organisation have developed for survival in a household oriented economy; they are usually not adequate for dealing with outside investors and their market transactions, especially in comparison with the investor's experience, education and social assets. Consent, consultation, and agreement between two such unequally prepared entities are highly unlikely to be lasting and mutually beneficial.

Local populations and their supporting organizations exemplified in Mozambique such as iTC, Pro-Parcerias, Centro Terra Viva (CTV), Centre for Legal and Judiciary Training (CFJJ), and other initiatives have been attempting to improve local capacities to negotiate agreements and enforce them, so that equitable agreements can function effectively through periods of discord<sup>69</sup>. The efforts have been limited in scope and often have not been adequately supported by government or by international donors.

While the ToC may be correct in its expectations, it may be the case that in most of Mozambique there are too few effective efforts at improving local population legal understanding and social assets for

<sup>67</sup> See the following for analyses of internal community factors affecting ability to deal with LSLAs: Borras Jr., S. and J. C. Franco. (2010). Towards a Broader View of the Politics of Global Land Grab: Rethinking Land Issues, Reframing Resistance. ICAS Working Paper Series No. 001, Published jointly by Initiatives in Critical Agrarian Studies, Land Deal Politics Initiative and Transnational Institute: The Hague, Netherlands; Cotula, L. and J. Mayers (2009). op cit.; Englert, B. & E. Daley (Eds.) (2008) Women's Land Rights & Privatization in Eastern Africa. Suffolk; Rochester, NY: James Currey; German, L et al. (2010), op cit; Hanlon, J. (ed.) (2011). Land Moves up the Political Agenda. Mozambique Political Process Bulletin, 48(1), 22 February; Hilhorst, T. et al. (2011). Agrarian change under the radar screen: Rising farmland acquisitions by domestic investors in francophone West Africa. Paper presented at the International Conference on Global Land Grabbing, April 6-8 2011, Brighton, UK.; Karsenty, A. (2010). Large-Scale Acquisition of Rights on Forest Lands in Africa. Washington DC: Rights and Resources Initiative; Molnar, A. et. al., 2010, "Small Scale, Large Impacts: Transforming Central and West African Forest Tenure and Industry to Improve Sustainable Development, Growth and Governance". Washington DC: Rights and Resources Initiative in cooperation with UK Department for International Development; Ribot, J. and N. L. Peluso, (2003). "A Theory of Access". Rural Sociology. 68(2): 153-181; Sulle, E. And F. Nelson. (2009). Op cit

<sup>68</sup> Members of the community who are better connected through commercial or political ties with the national economy make their private interests appear to represent those of the entire community, which often is not the case.

<sup>69</sup> Some good examples of communities dealing with foreign land and resource claims in developing regions using their own knowledge of the environment and producing their own 'science', see Escobar, A. (2008). Territories of difference: place, movements, life. Durham, NC: Duke University Press. Another good essay is: Rocheleau, D. (2011). Rooted Networks, Webs of Relation and the Power of Situated Science: Bringing the Models Back Down to Earth in Zambrana. In M.J. Goldman, P. Nadasdy and M.D. Turner (eds.) Knowing Nature: Conversations at the Intersection of Political Ecology and Science Studies. Chicago, IL: University of Chicago Press.



dealing with outside investors<sup>70</sup> with overwhelming assets. The iTC evaluation explored the dimensions of “Social Preparation”, which improve local people’s intellectual and social assets for the negotiation and administration of agreements with investors; it did so in general and not only in relation to LSLAs.

The evaluation team generally found that communities understand their land and natural resource rights and their right to be consulted. It was interesting that the Nanhala community in Cabo Delgado, referred to their forest as ‘a nossa riqueza’<sup>71</sup>,

However faced with an outside investor who has ‘political sponsors’<sup>72</sup>, it may behave local communities to accept what is being offered given their limited ability to analyse deals that they are offered and to resist deals which, objectively analysed, are not favourable to community interest writ large. The same community mentioned above explained that MOVID (a concession holder in the neighbouring community of Chapa) has a large concession in that area and had employed someone from Chapa as the manager who was then guiding people into their area. They managed to resolve this issue with the help of the person who is licence holder in their area (Mr Faruk Jamal). Apparently this gentleman is from Pemba and he spoke to people and made MOVID understand that they were in fact poaching timber from the Nanhala community. It seems that Mr Jamal had also objected to MOVID being granted a concession that included the Nanhala forest area.

However, in terms of LSLAs Mozambique has legislation in place which, at least on paper considers local communities’ land rights and the value they attach to their land. In accordance with Resolution No. 70/2008 of 30 December all land applications of 10,000 ha or more have to submit an investment proposal which has to include a community consultation report<sup>73</sup> and the terms of the partnership or joint venture between the holders of the Land Use and Benefit Rights (DUAT) by occupation of the land sought and the investor<sup>74</sup>. What is of greater importance is Part E, which involves social and economic aspects and requires the following information to be submitted by the applicant:

- A. Demographics: Population within the area of the project
- B. Programme for relocation of the persons affected by the project
- C. Social infrastructure to be provided by the project
  - Education
  - Health
  - Roads
  - Electricity
  - Water
  - Others
- D. Impact on food production
- E. Involvement of local farmers (Development)
  - Technical assistance
  - Provision of primary inputs

<sup>70</sup> For more on the topic of social movements and LSLAs see: Afrol News, 2011. Ethiopian “sacred forests” sold to Indian tea producer. 18 February; Alden Wily, L. (2008). Commons and Conflict States: Why the Ownership of the Commons Matters in Making and Keeping Peace. Washington DC: Rights and Resources Initiative; Andrianirina-Ratsialonana, R. et al. (2011). After Daewoo? Current status and Perspectives of large-scale land acquisitions in Madagascar. Rome: International Land Coalition. See also the work by GRAIN and La Via Campesina as social movements

<sup>71</sup> Our wealth

<sup>72</sup> Not much different if we compare a small company negotiating against a large multinational

<sup>73</sup> Part C (c)

<sup>74</sup> Part C(g)

- Provision of means of production
- Access to markets

However from experience obtained outside of this evaluation, some investors are now moving away from LSLAs and opting to establish various companies with each company applying for adjoining land and thereby circumventing the onerous requirements established by Resolution No. 70/2008.

Nonetheless, it is submitted that Decree 31/2012 of 8 August – Regulations regarding the resettlement process resulting from economic activities, does protect communities when resettlement is required by the ‘investor’. It is of particular interest that this Decree does not indicate a particular size of a community, and can therefore only be intended that any resettlement has to conform to this Decree. This could be quite onerous on small investment projects.

The resettlement regulations aim to boost socio-economic development of the country and guarantee that the people affected have a better quality of life, social equity taking into account the sustainability of physical, environmental, social and economic aspects<sup>75</sup>.

However with LSLAs that are currently being undertaken in Mozambique, such as ProSavana there is little proof that any consultations with communities are being undertaken. In discussions with certain NGOs in Nampula Province, it was noted that nobody knew what the ProSavana project was about specifically and that even though civil society groups in the province were requesting information, such information was not forthcoming.

It is therefore important that a future ITC should do data gathering on strengthening the local population’s knowledge assets, which can include the following themes:

- Ability to carry out economic evaluation of current pre-project benefits of forest, fishing and agricultural benefits provided to the community by areas proposed for investment as well as *ex-ante* economic evaluation of forest and agricultural investment options to the community after the investment gets established.
- Understanding of production techniques investors may want to use for realizing the production opportunities and their implications for ecology and social organization of communities
- Awareness of the relevant laws and governmental rules which regulate customary and formal access to land and the use of land and water as they pertain to investor proposals
- Techniques for the negotiation of agreements with investors
- Knowledge about agreement drafting
- Abilities to monitor the implementation of an agreement
- Capacities for negotiating resolution of failures to implement an agreement
- Ability to anticipate changes in the use of water or access by the local community to water resources which the investment may require to be profitable

Data gathering on the improvement of local population’s social assets can include the following themes:

- Local rights established by law and custom, and knowledge of community land’s natural resources
- Local resource governance structures with experience in collective action so that the term “community” has practical meaning.
- Family and clan leaders with experience in participating in governance structures
- Availability to local people of inventories of natural and human resources in the LSLA area.
- Capacity of “community” to communicate with government and investors as to what they have to offer for future investments and what they have achieved through collective efforts in the past.

<sup>75</sup> Article 5



## ANNEX 6. SITE SELECTION

In terms of our team's decision to work in Cabo Delgado, Manica and Zambézia Provinces, there were several key factors. Our original proposal indicated that we could conduct fieldwork in 4 provinces, but due to cost considerations this was reduced to 2 and then negotiated up to 3. This allowed for fieldwork in two provinces engaged by iTC/G6 (Manica and Cabo Delgado) and in one province within the iTC/MCA programme (Zambézia). Tete and Sofala were excluded due to iTC/G6 only recently working there while Gaza was excluded because of the aftermath of the recent severe flooding in the area. Zambézia was chosen because of its centrality, economic and agricultural sector history. We recognize that all provinces have unique ecological, cultural, economic, historical, political and other dynamics, and our results do demonstrate different land tenure and natural resource management dynamics.

In each province our team started with a goal of sampling 6 contracts out of the total contracts listed in the iTC databases and then selecting specific sites of iTC intervention within these contracts, which often included multiple communities, associations, CGRNs or other entities.

Within Manica, 7 contracts provided the sites selected involving the following considerations.

1. We eliminated the communities involving the generation of DUATs for associations which have not yet completed the approval process. These associations do not yet have a legal DUAT; they are "in process". This category includes 13 associations supported by Forum Terra in Machaze, and 7 associations supported by Fundacao Micala in Guro and Tambara Districts. The associations affected of Forum Terra are in the far south, in very arid landscapes, most with severe water shortage problems, and probably not of as much agricultural significance as in other Districts. Similarly the Fundação Micala districts with affected associations being not finalized yet, are in the far north. Finally, there has been no iTC activity in Macossa District. So, we eliminated Machaze, Macossa, Guro and Tambara Districts from the preliminary sample.
2. Of the remaining 6 Districts, one service provider, Pambery, has closed down, and would not be available to introduce our team to its Districts and localities in Barue and Sussundenga which were done in the pre-2010 period, affecting six association demarcations and 3 community delimitations. While other service providers have worked in Sussundenga, Pambery was the only one to have worked in Barue District, so that by eliminating Pambery, that District will not be represented in the sample, along with Machaze, Macossa, Guro and Tambara Districts.
3. Since Caritas-Messica and ORAM have done demarcations and delimitations in Manica, Gondola, and Mossurize, and since MCB has done association demarcation in Sussundenga, we decided to include those four Districts in the preliminary sample.

Through discussions with ORAM, Caritas-Messica and MCB, we chose the final sample of sites from the preliminary sample of four Districts by selecting 6 communities (which experienced delimitation, social preparation, and CGRN formation), three done pre-2010 and 3 done post-2010, and 6 associations (involving legal constitution of the associations and the demarcation of the lands they claimed), all post -2010:

- ORAM—1 community from Mossurize with delimitation completed pre-2010, Gunhe, which would be a "household sample" site, plus one association (Mukuhu),
- ORAM—1 community with associations close by in Gondola (Nhauranga) also completed pre-2010, near Association Irmaos Unidos post-2010.

- Caritas-Messica—1 community/association cluster in Manica, pre-2010, Nhamaonha and Mahane community added to get an example of community-investor agreements plus one association (Munharai), and 1 community/association cluster in Manica post-2010, Perai, with Nhamaonha community being a “Household sample” community.
- MCB—2 clusters of associations and 1 Community CGRN strengthening completed post-2010 in Sussundenga.

	Caritas-Messica	ORAM	MCB
Manica pre-2010	Nhamaonha -Delimitation [+Household Sample] plus Manhane community and Munharai Assn		
Manica 2010+	Perai-Delimitation +Assn		
Gondola pre-2010		Nhauranga-Delimitation + Irmaos Unidos Assn.	
Mossurize pre-2010		Gunhe Community [Household sample] + Mukuhu Assn.	
Sussundenga +2010			1. Two associations with DeVanduze connections 2. CGRN of ORAM delimited community
Total sites	2	2	2

The final samples of sites and outcomes harvested in Manica Province are shown in the following Table:

### Summary of Outcome Harvesting in Manica Province May - June 2013

iTC Manica Project ID	District	Posto Administrativo	Site	Site Code	No. of Outcomes Harvested	Sequential ID Number	Date Harvested
12	Manica	Vanduzi	Munharai Assn	1	7	1-6,22	24/5
	District	Vanduzi	Nhamaonha Community	3	7	7-13	3/6
		Marendé	Perai Community	11	5	16-21	1/6
		Messica	Manhane Community	12	3	23-25	11/6
5	Gondola	Macata	Nhauranga Community	4	7	26-32	25/5
	District	Macata	Irmaos Unidos Assn	2	8	34-41	26/5
14	Sussundenga District	Rotanda	AIR-Rotanda Sede Assn	7	4	46-49	31/5
			Badza Assn-	8	5	53-57	1-6

			Rotanda Sede				
18			Gudza Community	9	2	61-62	1/6
			Mukai Kwaedza Assn--Gudza	10	2	66-67	2/6
9	Mossurize District	Dakata	Mukuha Association	5	3	71-73	2/6
			Gunhe Community	6	6	80-85	2/6
			Province of Manica	13	3	92-94	
			total harvested		62		

Within Cabo Delgado, five sites were selected by reviewing the iTC database in Cabo Delgado. The selection criteria used was:

- Age of the project, with one being one of the first projects.
- Projects that included some synergies or investments with third parties.
- Not repeating service providers
- Provided at least 4 outcomes based on available reports submitted by the service providers



Association demarcated land (ha)	0	0	5	2	2
No. of Associations legalised	0	2	1	2 <sup>76</sup>	2
CGRN legalized	Yes	Yes	No	Yes	Yes
Delimitation (ha)	4406.5	8440	No	13000	19984
Name of Community	Natuco	Tratara	Bandari	Salaue	Minhanha
Posto administrativo	Mecufi sede	Metuge sede	Metuge sede	Metoro	Meluco
District	Mecufi	Metuge	Metuge	Ancube	Meluco
End year	2010	2011	2011	2011	2013
Service Provider	Conselho Comunitário de Pescas	Forum Terra	CATE	Diocese & Geographic Setting	Oram Nampula
Title	Gestão de Recursos Naturais com enfoque nos Marinhos	Desenvolvimento comunitário em terras delimitadas nas comunidades de Tratara, Nacuta, Unidade e Pulo	Apoio a produção e comercialização de produtos de Olaria em Bandari	Delimitação de terras da comunidade, capacitação e apoio ao reflorestamento	Preparação social, Delimitação de terras Comunitárias e Legalização dos CGRN, Legalização de AAPs e Demarcação
Start year	2009	2010	2010	2011	2011
Project No as given by iTC	9	16	17	18	19

<sup>76</sup> There are 3 associations in this community, one claims that the SP did not legalize it and it is this one that is the second DUAT applicant

1	2008	Delimitação das comunidades de Nanhala, Lipelua e Chapa	SC Mesalo & AMA	2010	Mueda	Mueda	Nanhala	9118	Yes	2	0
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## General Overview of Cabo Delgado Projects

There were 23 contracts entered into with service providers in the province. The table below shows the contracts in which both CGRNs and associations were created.

Contract no.	Community name	Year established	Name of CGRN	Name of association
1	Chapa	2008	CGRN de Chapa sede	Associação 3 de Fevereiro
				Associação Agrícola 25 de Junho
				Associação Armando Guebuza
	Lipelua	2008	CGRN	
	Nanhala	2008	CGRN de Nanhala	
2	Ngapa	2008	CGRN de Ngapa	Associação agrícola 3 de Fevereiro
				Associação Costa do Rovuma
				Associação Mangoche
				Associação Miguel Nkaima
3	Navara	2008	CGRN de Navara	
	Negomano sede	2008	CGRN de Negomano	
	Ninga	2008	CGRN de Ninga	
5	3 de Fevereiro	2009	CGRN Nachinene	
	Catapua	2009	CGRN de Catapua	
	Mancuaia	2009	CGRN Wiwanana	
	Mbau	2009	CGRN de Mbau	
	Namagico	2009	CGRN de Namagico	
	Naquitengue	2009	CGRN de Naquitengue	
8	Citate	2009	CGRN de Muaguide	
	Imbada	2009	CGRN de Muaguide	
9	Natuco	2009	CGRN de Natuco	
11	Bangala 1	2009	CGRN de Bangala 1	
	Ntapuala	2009	CGRN de Intapuala	
13	3 de Fevereiro	2010	CGRN Nachinene	
	Mancuaia	2010	CGRN Wiwanana	
15	Ngapa	2010	CGRN de Ngapa	
16	Nacuta sede	2010	Wiwanana	
	Pulo	2010	CGRN de Pulo	

	Tratara	2010	Upavela	
	Unidade	2010	CGRN de Mareja	
18	Salaue	2011	CGRN de Salaue	19 de Outubro
				25 de Junho
				A vida começa assim
				Associação Chama da Unidade
				Associação Clube de Camponeses
				Força da mudança
				Futuro Melhor
				Otheca
19	Minhanha	2011	CGRN de Minhanha	Associação 7 de Abril
	Xachacha 1	2011	CGRN de Xachacaha 1	Associação vida Nova
	Xachacha 2	2011	CGRN de Xachacaha 2	Associação 7 de Abril
20	Nipataco	2012	CGRN de Nipataco	1 de Junho
				11 de Maio
				1º de Maio
				7 de Junho
				A vida começa assim
				Josina Machel
				Noviane
				Rápida
21	Moge	2012	CGRN Moge	Mone
	Namarapala	2012	CGRN de Namarapala	
	Napulimuiti	2012	CGRN de Nápulimuite	1º de Maio
22	Muinde	2012	CGRN de Muinde	Nova sociedade
	Nanguasse	2012	CGRN Nanguasse	Muamine
				Quem trabalha não passa fome
	Nimanro	2012	CGRN de Ninmaro	
	Sambene	2012	CGRN de Sambene	Combate a pobreza
17	Bandari	2010		Associação Uhuwerie N`rima

The contracts that were excluded from the table above and from the selection:

- Contract nº 4 which was for the evaluation of the quantity of firewood needed to make charcoal
- Contract nº 6 and nº 7 were for a land use plans for the whole districts of Mueda and Macomia respectively
- Contract nº 12 was for the preparation of a forest inventory and a management plan for community forests
- Contract nº 14 was for the land delimitation of the same group of communities in contract nº 13
- Contract nº 23 was only started in February 2013

Total CGRNs created by all	Total CGRNs interviewed by	Total Associations by all	Total Associations inter-
----------------------------	----------------------------	---------------------------	---------------------------

projects	ET	projects	viewed by ET
37	5	33	9
Percentage	13.5%		27.3%

As it was not possible interview each community where projects were clustered only one community was chosen from each of the projects or the sites. The communities that were interviewed are in blue in the table above. In some instances the chosen communities were selected purely on the basis of proximity to the district capital. In Tratara and in Salaue households were also interviewed for the household survey.

In Zambézia, there were 13 iTC contracts, of which 6 were complete at the time of our case selection. One site had no logistical possibility for us to visit, so we then chose a 6<sup>th</sup> almost complete contract that was closest to completion (legalizations, certidões delivered in June).

Of note: Zambézia had an interesting situation in which a single povoação (Mazuão) had been affected by 3 separate iTC contracts, the first with ORAM (the first iTC contract awarded in Zambézia), the second with CCM and the third with ORAM again. This site was selected to see what the effects of longer term and more consistent iTC engagement in a space might be. Unfortunately, this case was quite problematic because first a de-annexed parcel of old MADAL company land was awarded a DUAT to an association in Mazuão, before conducting any community delimitations. Then community delimitation and natural resource management (of fishing and mangrove forests) were split into separate contracts with 2 different SPs (CCM and ORAM), which resulted in the creation of 2 sets of CGRNs, one for delimited forests and one for delimited communities (resulting in the case that I presented over email with some communities having their forests delimited separately from their community lands).

As for selection of specific communities (povoações or larger localidades), associations and CGRNs, it is important to note that Zambézia iTC only lists the associations that they legalize or that they assist with demarcating land. Thus associations that have already existed and been legalized before, that already have their land demarcated or that do not intend to demarcate land **but that have been engaged by iTC** are not listed in their database. We discovered several of these cases in the course of our work, but did not analyse them.

### Zambézia data vs. our sample selection:

Type of 'Site' or Boundary Actor Engaged	Total in Zambézia iTC database	Total engaged by Jeff and Ingrid (individual povoacoes irrespective of grouping)	Total engaged by Jeff and Ingrid (as grouped for OH analysis)
Povoacao or locality (1 or more communities treated together)	79	22	6
Association	52	11	11
CGRN	78 (note, some communities have 2 CGRNs)	7	6
Conselho of CGRNs	no data	2	2
Total 'Sites' or Specific boundary actors engaged at local level:			25

iTC Zam-bézia Contract No.	Service Provider	District	Posto Administrativo	Locality	Sub-Site of Engagement/ Boundary Actor	Number of Outcomes Harvested
1, 2 & 4	ORAM/CCM	Namacurra	Macuse	Macuse-Sede	Mazuão com. (part of Macuse-sede)	3
1	ORAM				APRODAM Association	2
2	CCM				CGRN Mazuão (CCM)*	2
					CGRN Manonga (CCM)*	2
					CGRN Muceliua (CCM)*	3
					CGRN Voabil (CCM)*	2
					Forum dos CLGRNs de Macuse	1
4	ORAM				Bonifacio Gruveta Association (Manonga)	3
11	SIDE, Lda	Maganja da Costa	Maganja da Costa-Sede	Bala	Erive/Mugawa Community	1
					CGRN Erive	3
					Okalela Omugawa Association	1
12	AEMZ-SERCON	Ile (sites soon to be in new Mulevala District)	Mulevala	Chiraco & Namigonha	A group of 5 Povoacoes in Chiraco Locality (Breu, Cohiwa, Malolo, Cunguru, Muitxahopa) and 1 in Namigonha Locality (Tuturo)	3
					ACOMAO Association	3
					ACEMA Association	2
					ACWAC Association (Muitxahopa)	1
					Cunguru & Malolo CGRNs	1
3	RADEZA	Maganja da Costa	Maganja da Costa-Sede	Bala	Lagoa Ruguria 'Community' (5 povoacoes within Bala Locality)	4
					ADETUR Association	4
5	SIDE, Lda	Namacurra	Namacurra-Sede	Malei	Malei Locality group of 4 communities	3
					Samora Moises Machel Assn (Eruthu & Roldao communities)	3
					Wiuanana da Muodo Association	3
7	Prodea	Namacurra	Namacurra-Sede	Malei	Vuruka Locality communities	3
					Vuruka COGRN	4
					Agro-pecuaria Nizuzumele de Nipera Assn.	3
					Agro-pecuária Amizade Vuruka	3
			Province of Zambézia			
			TOTALS			63

In the iTC evaluation, we first defined "outcomes" to harvest by reviewing service provider project reports. We searched for indicators of changes in the behaviours and relationships of the boundary actors engaged by the SPs during the period of their intervention in a particular site. Service provider interventions were typically very short, with most contracts between 9 and 12 months and with select sites and contracts extending for longer periods.

The results of our Outcome Harvesting approach depends in part on the time spent in analysing the SP reports. Extended time devoted to such analysis would produce many outcomes that would fit within our revised set of Outcome Challenges. But time constraints forced us to limit the initial harvest to 3 to 8 outcomes per site where the SP intervened. Sites were selected from contracts, which normally included multiple communities within the same contract.

In Zambézia and Cabo Delgado six contracts were selected and within these one or more communities were selected depending on the time and other resources available. In Manica the sampling was done of completed delimitation interventions (involving community boundary delimitation, social preparation, CGRN formation) and of demarcation interventions (involving legalization of associations, social preparation, and demarcation of association claimed land) across all contracts, stratifying the sampling frame into the interventions pre-2010 and post-2010.

Outcomes were harvested from associations, CGRNs and entire communities. In Manica, because of the way contracts were composed, it was occasionally necessary to go to nearby iTC areas to find associations or other types of boundary actors and this was done in order to cover the diverse types of boundary actors. A community can consist a single *povoação* or of an entire locality depending on many variables and local contextual factors.

Selection criteria included:

- Projects that had been concluded or which were, at least, close to conclusion,
- Projects completed earlier or later (in Manica where iTC started earlier),
- Geographical dispersion of sample sites similar to that of iTC contracts themselves.
- Typology of intervention: land delimitation, natural resource management committees, associations and land titling-DUAT with demarcations of land claimed by the associations, and
- Service providers: providers responsible for the largest number of contracts and interventions in a province were selected and those with lesser numbers of sites were sampled.

In Manica, the team thus focused on 12 sites/intervention areas out of 74 possible sites/interventions in Manica Province, which had been concluded by the end of 2012; 26 site/interventions from contracts which were still in process were not included in the sample. An additional community site was included specifically because it was a case where the CGRN had developed three agreements with outside investors (and hence was of major interest for the evaluation). The team feels the sample adequately covers the diversity of the situations emerging from project interventions in Manica.

Thirteen contracts in Zambézia had been awarded, of which only 6 contracts had been completed. Our goal was to confirm outcomes in all six of these contract areas. However, one of these finished contracts was in Pebane and the service provider who had carried it out no longer had staff in the area and was unable to provide an introduction to the communities involved; therefore, this contract was removed. Another area was substituted where all activities in the associated contract were close to completion. In all, the team carried out field work in 29 out of the 79 communities covered by the 13 contracts. In the process it derived 63 outcomes.

## Sampling Questions

We emphasize 2 key Outcome Harvest sampling questions below:

Did we harvest the most important outcomes from a particular site or intervention? And,

Did we select the most representative sites/interventions to examine?

As for the first question, we verified each outcome through interviews with local community/ association members and directors, leaders of natural resource management organizations, and local gov-



ernment officials and other contributing boundary actors. Because of the time constraints which were under we had to direct the themes of the interviews more than we would otherwise; left to their own devices, the informants/respondents could have presented their own definitions of what they considered the most important changes in different boundary actor behaviours and relationships. Nevertheless, informants/respondents were given an opportunity to elaborate on themes they felt important for their community or the institutions they were answering for, and to the extent possible, the team followed up on new themes introduced. Still, a more open-ended style of feedback and information-gathering should be considered in developing future evaluation techniques for the new iTC foundation. Another approach would be to allow two professionals to carry out independent harvests at the same site and intervention and compare their results.<sup>77</sup> However, in this evaluation, time and resource constraints precluded such a methodological check. For future evaluations, sufficient time and other resources would need to be allotted for this approach (Ways of finding the time and resources necessary to allow this approach are covered elsewhere in this report.)

Another methodological issue arises from harvesting outcomes initially from service providers' reports. Within the limits of meeting contractual obligations on what they were required to report, SPs could tend to highlight the most positive aspects of their work. Furthermore, community residents are grateful for any support they receive and in general have a positive view of service providers. However, the team did find some criticism of work allegedly not properly done by service providers in the past outside the framework of the iTC programme. We also were able to find that some of the outcomes reported were not substantiated by other evidence, including discussions with communities and which we report as being "unsubstantiated." Overall, these questionable outcomes amounted to less than 10% of all outcomes harvested. These same discussions did in some instances produce new outcomes not included in SP reports.

We are therefore aware of the possibility of a bias toward reporting favourable rather than unfavourable outcomes and believe that it is something to watch for in future evaluations using Outcome Harvesting. Field visits to verify the report-derived outcomes are an important check on any bias, as well as the efforts of the iTC management to verify results before paying the SPs. We do not believe that bias is present in the work presented here, which in the team's opinion fairly depicts the changes in behaviour and relationships of boundary actors.

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<sup>77</sup> Some checks were incorporated in that in coding outcomes, team members exchanged outcomes with colleagues who often pointed out outcomes, which had been missed or passed over.

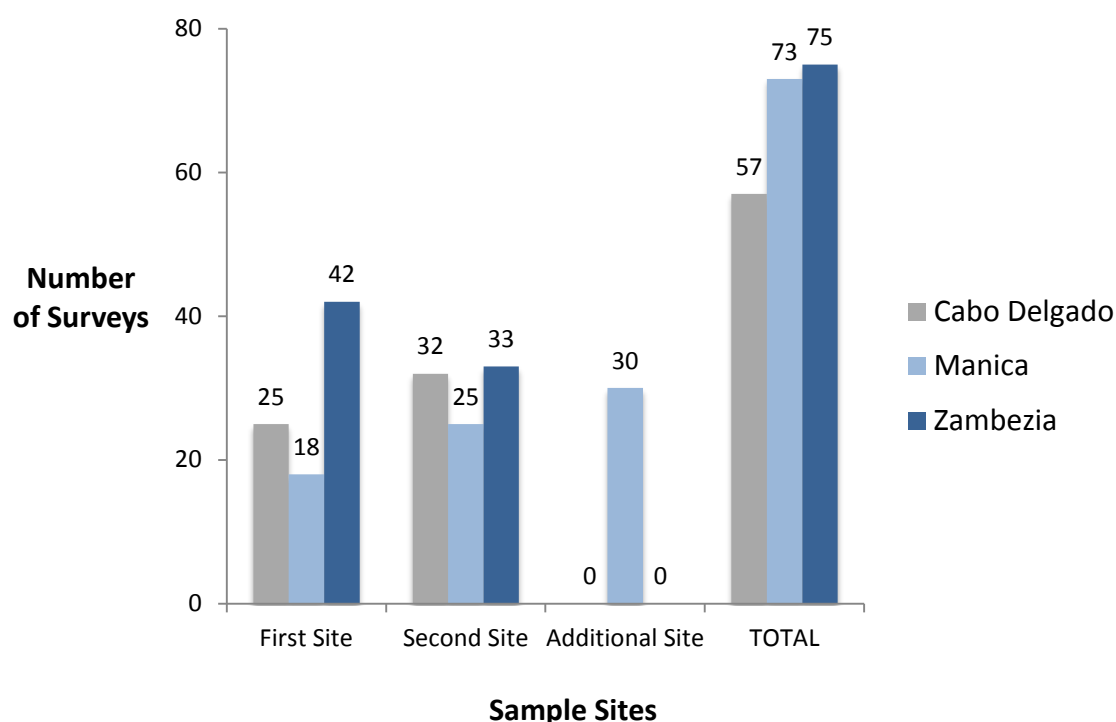
## ANNEX 7. TRIANGULATION AND SURVEY TECHNIQUES

The Outcome Harvesting methodology was the primary methodology applied in this evaluation. If the future iTC Foundation incorporates an Outcome Mapping design, then at various stages of monitoring it may be useful to conduct limited and very specific surveys of households involved in and excluded from membership in particular boundary actor groups (e.g. communities, associations, CGRNs, etc.). Such surveys could gather basic information on investments at the household scale or participation levels in iTC-related or other activities such as consultations with investors.

However, to gain a deeper insight into household socio-economic status, power-relations vis-à-vis local leaders, association and other entities, it may be more cost effective to conduct selective short ethnographies in key sites. Ethnographic data would provide much more in-depth data with important nuances for learning lessons than the broader outcome harvest tool or expensive surveys that generate low accuracy quantitative data typically geared towards measuring outputs.

Due to funding and time limitations and the outcome harvesting emphasis of the evaluation, our team gathered limited secondary data with a survey (household interviews) in 2 to 3 community sites in each province (see Figure 1). This activity served as a form of triangulation and basic assessment of participation in iTC-related or other group activities and exploration of the types of investments in children, land and other long-term improvements (see Annex 8 for a copy of the household interview guide). The data gathered was not intended to be comparative or to be analysed with inferential statistics, as this would be inappropriate.

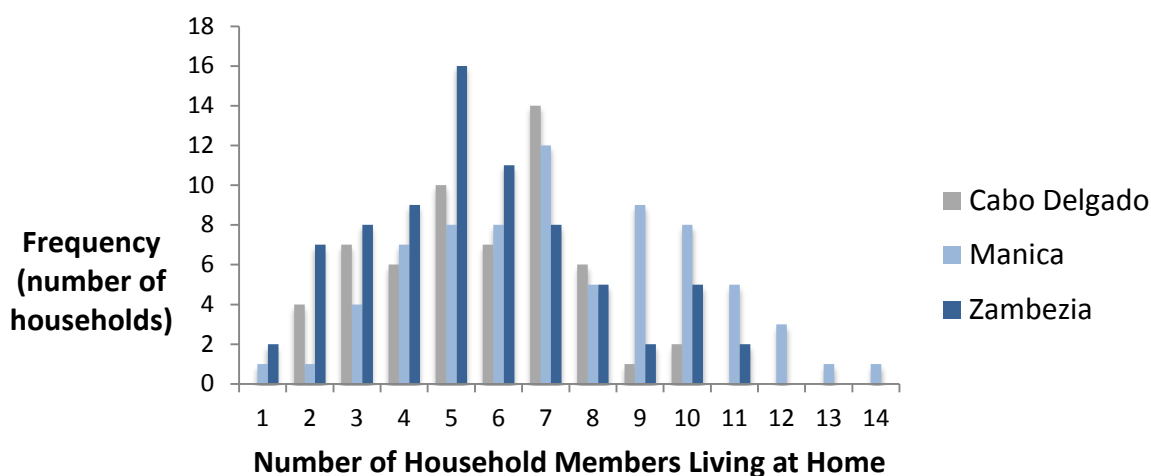
Figure 1. Survey Sample Sites



The intention of the survey was to open up potential spaces for conversations about local life and events with people who may or may not have the opportunity to participate in community meetings. After a first page of interview metadata, the second page of the household guide organizes basic demographic data on household composition, including household size (see Figure 2), sex and relationship to others in the household.



Figure 2. Household Size



A third page of the survey included a filter to determine if the household had arrived in the area before or after iTC's intervention, thus indicating where we do not have both 'before' and 'after' the iTC intervention data (see Table 1). Many of the contract completion dates in the sampled sites for the household interviews were fairly recent. Thus, it is likely that it is too soon to gauge the effects of the iTC interventions in terms of household investments in land, education and durable goods.

Table 2. Interviewed Households that Arrived After the iTC Activities in the Area

Site	N (Total Households)	Year of intervention (contract completed)	Number of Interviewed Households that Arrived <u>during</u> the year of the iTC intervention	Number of Interviewed Households that arrived <u>after</u> the iTC intervention
Cabo Delgado - Site 1	25	2011	1	1
Cabo Delgado - Site 2	32	2011	1	2
Manica - Site 1	18	2009	0	0
Manica - Site 2	25	2011	1	0
Manica - Site 3	30	2012	0	0
Zambézia - Site 1	42	2013 <sup>78</sup>	0	0
Zambézia - Site 2	33	2013	3	0

The third page of the survey also attempted to track older children who had left the household for purposes of higher-level study, work, marriage or other reasons. If the child (often in mid- to late teen-aged years) had left the home to study after the iTC interventions, then upon further investigation this might signal a positive influence of iTC in enabling further study. In many rural communities, studying past 6<sup>th</sup> grade requires travelling long distances to schools that provide more advanced learning. A family that supports a child to pursue higher-level study is making an investment in that member of the family. However, due to the fact that the sample included sites of relatively recent intervention, very few households had children that meet these 'significant investment in education criteria' (see Table 2).

<sup>78</sup> Note, the contract began in 2011.

Table 3. Interviewed Households with Older Children Who Have Left the Household to Study

Site	N (Total Households)	Year of intervention (contract completed)	Number of Households with one or more Children who Left the Household to Study	Number of Households with one or more Children who Left the Household for other reasons (predominantly marriage)
Cabo Delgado - Site 1	25	2011	1	1
Cabo Delgado - Site 2	32	2011	1	2
Manica - Site 1	18	2009	0	0
Manica - Site 2	25	2011	1	0
Manica - Site 3	30	2012	0	0
Zambézia - Site 1	42	2013 <sup>79</sup>	0	0
Zambézia - Site 2	33	2013	3	0

The seventh page of the survey elaborates any information provided concerning conflicts over any parcels<sup>80</sup> owned, lent or borrowed by the household, and serves as a follow-up to the diagramming activity of each household's land parcels on the sixth page. Table 3 details the number of households reporting land conflicts before and after the iTC intervention years for each site. The numbers might deceptively be interpreted to show reduction in number of land conflicts after the iTC intervention. However, the 'before' refers to any point in time after the end of the civil war in 1992 until the year of the iTC intervention (broken down into pre-2000 and after 2000 yet before the year of the iTC intervention), and the 'after' can be as little as less than one year depending on the site. Out of all 32 conflicts reported across the 7 sites, 19 concerned the boundaries/limits of parcels, 5 concerned the ownership/control of a portion of a parcel, 3 involved entire parcels, 1 involved trees, 1 involved animal conflicts and 1 was not elaborated. Out of the 32 reported conflicts, 20 had been resolved by the time of the interview, predominantly with the help of local leaders. The majority (21) of conflicts involved neighbours or others within the community, while 5 households reported conflicts with 'privados' or outside private parties (but did not elaborate names, etc.). **These results indicate that in 4 out of 7 sites, land conflicts continue to occur; however, rates of change or magnitude were not possible to measure.** They are predominantly localized and addressed within communities by local leaders, thus any training that local leaders receive due to iTC's activities concerning land and resource rights may inform such decisions in the future.

Table 4. Households Reporting Conflicts on their Land

Site	N (Total Households)	Year of intervention (contract completed)	Number of Households Reporting Land Conflict	
			Before iTC Int.	After iTC Int.
Cabo Delgado - Site 1	25	2011	7	2
Cabo Delgado - Site 2	32	2011	3	2
Manica - Site 1	18	2009	1	0
Manica - Site 2	25	2011	2	0
Manica - Site 3	30	2012	5	1
Zambézia - Site 1	42	2013 <sup>81</sup>	4	0

<sup>79</sup> Note, the contract began in 2011.<sup>80</sup> Parcels differ in land area and are defined by households themselves.<sup>81</sup> Note, the contract began in 2011.

Zambézia - Site 2	33	2013	4	1
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The final page of the survey asked what is often considered the most sensitive questions: those concerning changes in durable household goods. Few families are willing to respond truthfully to questions about family possessions. This is due to fears that interviewers will steal listed items, or share this information with neighbours (who might become jealous or steal items or report the information to the local chief), or that responses indicating possession of fewer possessions will result in outsiders coming back to distribute such items in the future. Despite clarifications to the contrary of these ideas, including an initial set of theatre pieces to explain the objectives of the questions, many of these ideas and concerns persist. One of the strategic reasons for asking this information last, is to ensure that as much of the other questions have been asked in case a household becomes angry or refuses to respond to household possession questions. Thus, these questions do typically evoke strong reactions and often do not lead to reliable responses or any responses at all.

Table 4 demonstrates the difficulty of obtaining responses to these questions and to obtaining responses about household goods held before versus after the year of iTC intervention. Sites with a low occurrence of non-response may still have a high occurrence of the provision of false information (but this is more difficult to verify, especially in a quick interview period as opposed to longer-term ethnographic work). In Zambézia, the most common gain in durable goods involved placing a wooden door on the house or adding an additional door. Other improvements might reflect the increasing availability of items such as bicycles, radios, cell phones and in some cases, motorcycles. Very few home improvements (increased size, number of rooms, adding of a stronger roof, or a granary) were reported as compared with gains in the items mentioned above. Households in the Cabo Delgado and Zambézia sites reported losses in durable goods more frequently than reported gains (again, this is difficult to verify and underreporting is common), and many households reported no change in goods. In Manica, reported gains were much more common, but non-response was low, indicating that these numbers should be viewed with caution.

Table 5. Interviewed Households: Number of responses to Durable Household Goods

Site	N (Total Households)	Year of intervention (contract completed)	Number of Households Reporting Durable Goods				
			Gain only	Both Gain and Loss	Loss only	Same	Non-response
Cabo Delgado - Site 1	25	2011	1	0	12	9	3
Cabo Delgado - Site 2	32	2011	2	2	7	9	12
Manica - Site 1	18	2009	10	1	1	6	0
Manica - Site 2	25	2011	10	3	4	7	1
Manica - Site 3	30	2012	13	3	5	9	0
Zambézia - Site 1	42	2013 <sup>82</sup>	9	1	13	7	12
Zambézia - Site 2	33	2013	4	3	10	4	12

Our team is happy to discuss how surveys could be strategically developed within an Outcome Mapping-based design for the new iTC, as such surveys would be limited and highly targeted for specific issues. Broad survey data for inferring outputs such as income, however, may not produce the most essential or cost-effective information for future monitoring and evaluation of the new iTC. Such tools

<sup>82</sup> Note, the contract began in 2011.

should be viewed critically, as investing in smaller teams doing longer-term ethnographic work would provide much richer information to compliment Outcome Harvesting data.



## ANNEX 8. INTERVIEW GUIDES

### ENTREVISTAS COM OS MEMBROS DOS CGRNs

#### Comité de Gestão dos Recursos Naturais

#### AVALIAÇÃO DA INICIATIVA PARA TERRAS COMUNITÁRIAS (iTC)

Maio e Junho de 2013

Código do Caso (Q1-Q18): \_\_\_\_\_

Nome da Comunidade: \_\_\_\_\_ Data da entrevista: \_\_\_\_\_

Nome do(s) entrevistadore(s): \_\_\_\_\_

Posto Administrativo: \_\_\_\_\_

Distrito: \_\_\_\_\_ Província: \_\_\_\_\_

#### 1. Informação sobre os membros do CGRN:

Nome	Posição	Sexo (m/f)	A pessoa recebeu formação?	Quem fez a formação? (instituição)	Quando?
1.1a.	1.1b.	1.1c.	1.1d.	1.1e.	1.1f.
1.2a.	1.2b.	1.2c.	1.2d.	1.2e.	1.2f.
1.3a.	1.3b.	1.3c.	1.3d.	1.3e.	1.3f.
1.4a.	1.4b.	1.4c.	1.4d.	1.4e.	1.4f.
1.5a.	1.5b.	1.5c.	1.5d.	1.5e.	1.5f.
1.6a.	1.6b.	1.6c.	1.6d.	1.6e.	1.6f.

2. Quando CGRN foi criado? dd/mm/aa: \_\_\_\_\_

3. Quem participou na delimitação das limites da comunidade?

Nomes	
3a.	3d.
3b.	3e.
3c.	3f.

4. Quando a delimitação aconteceu? dd/mm/aa: \_\_\_\_\_

5. Quais organizações ajudaram na delimitação?

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6. Quais são as razões dessa comunidade para fazer a delimitação?

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7. Houve conflitos com comunidades vizinhos que foram resolvidos durante a delimitação?

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8. Esta CGRN ou outro comitê produziu mapas da comunidade, água, árvores ou outros recursos naturais?

8a. Se sim, em que ano? \_\_\_\_\_

8b. Aonde (ou com quem) fica o mapa? \_\_\_\_\_

8c. Podemos ver uma cópia? \_\_\_\_\_

8d. Podemos ter uma cópia? \_\_\_\_\_

8e. Quais organizações ajudaram no mapeamento dos recursos naturais?

---

9. Nos últimos 5 anos, essa comunidade contribuiu mão de obra ou dinheiro para fazer os seguintes atividades/melhoramentos na comunidade?

Mudança/melhoramento	A comunidade contribuiu nas últimos 5 anos?	A comunidade contribuiu mas do que 5 anos antes de agora? (ano?)
8.1a. Caminhos/estradas	8.1b.	8.1c.
8.2a. Poço	8.2b.	8.2c.
8.3a. Escola	8.3b.	8.3c.
8.4a. Clínica	8.4b.	8.4c.
8.5a. Outro: _____	8.5b.	8.5c.

10. Existe associações daqui que utilizem terra da comunidade? \_\_\_\_\_

Nome \_\_\_\_\_ Ano criado \_\_\_\_\_ Área utilizada \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

11. Desde a criação do CGRN, os membros do CGRN, líderes ou comités analisarem pedidos de DUATs para parcelas de terras dentro dos limites da comunidade? \_\_\_\_\_

\_\_\_\_\_

12. A comité ou lidere ja autorizou alguns DUATs na terra da comunidade?

12a. Sim/Não \_\_\_\_\_ 12b. A quem?: \_\_\_\_\_ 12c. Ano: \_\_\_\_\_

12d. Sim/Não \_\_\_\_\_ 12e. A quem?: \_\_\_\_\_ 12f. Ano: \_\_\_\_\_

13. A comité ou lidere ja autorizou alguns DUATs dentro das limites (na terra) da comunidade?

\_\_\_\_\_

13a. O CGRN tem um horário dos encontros/reuniões bem planificado? \_\_\_\_\_

13b. Explica por fa- vor: \_\_\_\_\_

14. O CGRN escreve notas (minutes) de cada reunião? \_\_\_\_\_

14a. Os membros do CGRN sao escolhidos pelos eleições? \_\_\_\_\_

14b. Se sim, quando foi a ultima eleição? \_\_\_\_\_

15. Este CGRN ja negociou com investidores/exploradores potenciais sobre o acesso ao recurso naturais? \_\_\_\_\_

Investidor contactado	Ano do Inicio de Contacto	Ano de acordo	Tipo de Investimento
15.1a	15.1b.	15.1c.	15.1d.
15.2a.	15.2b.	15.2c.	15.2d.
15.3a.	15.3b.	15.3c.	15.3d.

16. a. Este CGRN ja recebeu dinheiro/apoio de alguém para efeitos aqui na comunidade? \_\_\_\_\_

b. Se sim, de que instituição? \_\_\_\_\_

17. Este CGRN começou de receber dinheiro desde quando? (aaaa) \_\_\_\_\_

18. o CGRN paga/compra o que com este dinheiro? \_\_\_\_\_

19. a. Se **alguém que vem de fora da comunidade** quer utilizar os recurso naturais aqui (peixe, lenha, bamboo, capim) dentro das limites da comunidade, essa pessoa tem que pedir permissão de quem?

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- b. Se **alguém desta comunidade** quer utilizar os recurso naturais aqui (peixe, lenha, bamboo, capim) dentro das limites da comunidade, essa pessoa tem que pedir permissão de quem?

---



---

20. a. A essa comunidade tem fiscais comunitárias? (sim ou não?) \_\_\_\_\_
- b. Se sim, quantos? \_\_\_\_\_
- c. Eles receberam formação? \_\_\_\_\_
- d. Se sim, a onde eles fizeram a formação? \_\_\_\_\_
- e. Quem fez a formação? \_\_\_\_\_
- f. Essas fiscais comunitárias tem uniformes ou transporte? \_\_\_\_\_

21. Finalmente, vocês tem algumas perguntas para nós?

## ENTREVISTAS COM OS MEMBROS DO GOVERNO

(Administrador do Distrito, SDAE, Técnico Distrital do SPGC, Agricultura, Florestas e Fauna Bravia, Diretores Provinciais)

### AVALIAÇÃO DA INICIATIVA PARA TERRAS COMUNITÁRIAS (iTC)

Maio e Junho de 2013

Código do Caso (Q1-Q18): \_\_\_\_\_

Nome do membro do Governo: \_\_\_\_\_

Instituição e Posição: \_\_\_\_\_ Data da entrevista: \_\_\_\_\_

Posto Administrativo: \_\_\_\_\_

Distrito: \_\_\_\_\_ Província: \_\_\_\_\_

1. a. Quando é que você conhecia o trabalho da iTC? \_\_\_\_\_  
When did you hear about the work of iTC?
- b. E o \_\_\_\_\_ (Provedor do Serviços)? \_\_\_\_\_  
And the Service Provider?
2. Qual foi a sua experiencia sobre o trabalho que a iTC/PS faz com as comunidades?  
What has your experience been concerning what they do?
3. Qual é a sua opinião sobre o trabalho que a iTC/PS faz?

What do you think of the work they do?

4. a. Você acha que os serviços prestados pela iTC/PS são úteis?  
Do you think the services they provide are useful?
- b. iTC/PS devem continuar o trabalho no futuro?  
Should they continue in the future?

5. Se você pudesse o que fazia diferente do que tem sido feito?

What would you do differently, if you were in charge of iTC?

## ENTREVISTAS COM OS INVESTIDORES

### AVALIAÇÃO DA INICIATIVA PARA TERRAS COMUNITÁRIAS (iTC)

Maio e Junho de 2013

Código do Caso (Q1-Q18): \_\_\_\_\_

Nome do Investidor (e empresa): \_\_\_\_\_ Data da entrevista: \_\_\_\_\_

Nome da Comunidade: \_\_\_\_\_

Posto Administrativo: \_\_\_\_\_

Distrito: \_\_\_\_\_ Província: \_\_\_\_\_

1. a. Qual foi o investimento na comunidade?  
\_\_\_\_\_  
\_\_\_\_\_
- b. Qual foi o valor do investimento (MZN)? \_\_\_\_\_
2. Quando é que foi feito? \_\_\_\_\_
3. Como é que você escolheu/localizou esta comunidade (quem foi o seu primeiro contacto)?  
\_\_\_\_\_
4. Quais foram as suas percepções a respeito de encontros com a comunidade?  
\_\_\_\_\_
5. a. Um acordo foi alcançado? \_\_\_\_\_
- b. Em caso de não, porquê? \_\_\_\_\_
- c. Com que é que voce celebrou o contrato? \_\_\_\_\_
- d. Quem é que elaborou os acordos/contrato? \_\_\_\_\_
- e. Podemos ver uma cópia? \_\_\_\_\_
- f. Podemos ter uma cópia? \_\_\_\_\_
- g. Você teve assistência na negociação do acordo? Se sim, de quem?  
\_\_\_\_\_
6. a. O acordo esta a funcionar como esperado?  
\_\_\_\_\_
- b. Houve algumas alterações no acordo?  
\_\_\_\_\_

7. Você faria algo diferente se tivesse outra oportunidade?

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8. Qual foi o papel do \_\_\_\_\_ (*provedor do Serviço*) nas suas atividades de investimento?

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9. Na sua opinião, o que é que \_\_\_\_\_ (*provedor do Serviço*) podia melhorar?

## ENTREVISTAS COM AS ASSOCIAÇÕES

### AVALIAÇÃO DA INICIATIVA PARA TERRAS COMUNITÁRIAS (iTC)

Maio e Junho de 2013

Código do Caso (Q1-Q18): \_\_\_\_\_

Nome da Associação: \_\_\_\_\_ Data da entrevista: \_\_\_\_\_

Nome da Comunidade: \_\_\_\_\_

Posto Administrativo: \_\_\_\_\_

Distrito: \_\_\_\_\_ Província: \_\_\_\_\_

1. Quantos membros tem a sua Associação? (total /mulheres / homens)? \_\_\_\_\_; \_\_\_\_\_; \_\_\_\_\_

2. Quando é que a sua Associação foi legalizada/registada?? dd/mm/yyyy \_\_\_\_\_

3. Quem é que sugiriu que a associação devia ser constituída? Porquê?

---

4. a. Toda comunidade aceitou/aprovou/gostou da criação da Associação? \_\_\_\_\_ -

b. Quem aprovou a Associação e quando? \_\_\_\_\_

5. Que tipo de associação é que vocês pertence? (agrícola, agro-pecuária, aquacultura, apicultura)?

---

6. O que é que essa associação faz para os membros? \_\_\_\_\_

7. A Associação tem as suas próprias machambas? \_\_\_\_\_

Em caso de sim:

7a. Como é que escolhem aonde é que culturas da associação são plantadas e quem é que faz (ou como é que fazem) a decisão?

7b. A associação já pediu o DUAT? \_\_\_\_\_

7c. Quantos hectares pertence ao DUAT da associação? \_\_\_\_\_

7d. Pode descrever a qualidade da terra (no DUAT)?  
\_\_\_\_\_

7e. Porque a associação pediu um DUAT? \_\_\_\_\_

8. Houve algumas alterações na maneira que vocês comprem insumos ou vendem os seus produtos, desde que a associação foi constituída?

9. a. A associação investiu em qualquer edifício/obra, sitio de processamento, poço, irrigação, armazem, ou outro investimento?

9b. Se sim, qual é o valor do(s) investimento(s)  
(Meticais) \_\_\_\_\_

*Tenta a actividade seguinte com todo o grupo entrevistado:*

*Voces podem explicar a importancia de uma Associação (ou...tenta me convencer de faz parte desta associação (trabalha em grupo e escolha uma pessoa para responder)*

10.

11. Como é que a associação funciona (em termos de governação e ligações com terceiro pessoas/outros membros da comunidade, etc.)?

11a. Quem toma decisões?

11b. Como é que a associação aproxima uma pessoa ou pede apoio com a comercialização dos produtos agrícolas ou outros serviços?

11c. Se a associação recebe algo, como seria distribuída entre os membros?

11d. Como é que vocês tomam essa decisão?

*Please note that we need to check if people think that when they receive something (seeds/tree, money etc) that it is for them personally or whether they understand that it becomes an asset of the association.*

11e. Quem toma a decisão sobre como o dinheiro que receberam foi utilizado?

12. a. A associação pediu apoio/dinheiro do Distrito ("os 7 milhões")? \_\_\_\_\_

b. Se sim e se recebeu, quantos Meticais recebeu ("os 7 milhões")? \_\_\_\_\_

c. Se não foi um sucesso, porque? \_\_\_\_\_

13. Quem são os gerentes/líderes da associação?

Nome	Posição	Recebeu Formação? De quem?	Sexo (m/f)?

13b. Como é que os gerentes/líderes da associação foram escolhidos?



13c. Quem foi o/a primeiro/a presidente da associação? Se o/a primeiro/a president mudou, escreve uma lista dos/das presidentes e os anos dos seus termos.

14. Quem são os membros do Conselho Fiscal da associação?

Nome	Posição	Recebeu Formação? De quem?	Sexo (m/f)?

14b. Como era que os membros do Conselho Fiscal da associação foram escolhidos?

15. a. A associação tem uma conta bancaria ? \_\_\_\_\_

b. Se sim, qual é o saldo? \_\_\_\_\_

	Recebeu um empréstimo de um banco?	Recebeu um empréstimo de uma empresa?
16a. A associação recebeu um empréstimo (banco ou empresa ?)		
16b. Se sim, preenche o valor (MZN)		
16c. Para o que?		

17. Finalmente, vocês tem algumas perguntas para nós?

POVO\_\_\_\_\_ AF\_\_\_\_\_

## AVALIAÇÃO DA INICIATIVA PARA TERRAS COMUNITÁRIAS (ITC)

Maio e Junho de 2013

### AVISO

Este questionário deveria-lo entre 30 minutos e uma hora. A participação do/a Sr./Sra. neste questionário será voluntária e não obrigatória. Caso o/a Sr./Sra. não queira participar, pode comunicar nós e pode parar a qualquer momento. As respostas serão completamente anónimas. O seu nome não estará no relatório final e será usado um pseudónimo. Será acordada a sua participação no questionário.

A1. Nome (só Apelido s) do/a Entrevistado/a \_\_\_\_\_

A2. Número do Membro (veja página 2) \_\_\_\_\_

A3. Número do Agregado Familiar \_\_\_\_\_

A4a. Povo/Aldeia \_\_\_\_\_

A4b. Comunidade \_\_\_\_\_

A4c. Associação \_\_\_\_\_

A5. *Localidade* \_\_\_\_\_A6. *Distrito* \_\_\_\_\_A7. *Província* \_\_\_\_\_A8. *Entrevistadores/as* \_\_\_\_\_A9. *Linguas da Entrevista* \_\_\_\_\_A10. *Data da entrevista* **DIA** \_\_\_\_\_ **MES** \_\_\_\_\_A11. **HORAS DE COMEÇAR** \_\_\_\_\_A12. **HORAS DE CONCLUIR** \_\_\_\_\_

ASSINATURA DO CHEFE DA EQUIPE: \_\_\_\_\_

LISTA DOS MEMBROS DO AGREGADO FAMILIAR (PODE PEDIR AS CÉDULAS PESSOAIS DA CADA MEMBRO DA FAMÍLIA PARA AJUDAR. PEDIR A LISTA DAS CRIANÇAS/FILHOS COMEÇANDO COM O MAIS VELHO ATÉ O/A MAIS NOVO/A)

[illegible]

POVO\_\_\_\_\_ AF\_\_\_\_\_

**ESPOSA E MARIDO**

		Esposa (F)	Marido (M)
Nome			
Nasceu nesta povoação/aldeia? 1 - sim (se sim, → FILHO1) 0 - não	MEM6		
Se não nasceu aqui, em que ano chegou aqui para viver?	MEM7		
Se não nasceu nesta aldeia/povoação, porque veio para esta povoação/aldeia? 1 - casamento 2 - acompanhar o marido ou esposa 3 - ficar perto de outros membros de família 4 - obter terra 5 - obter emprego 6 - outro (esp.)	MEM8		

**FILHOS/AS DO CASAL QUE NÃO SÃO MEMBROS DO AGREGADO FAMILIAR**

O senhor/A Senhora tem filhos que já saíram da casa? Se "sim", preenche o seguinte:

		1º Filho/a	2ª Filho/a	3ª Filho/a	4ª Filho/a
Nome					
Em que ano que saiu de agregado familiar ( <i>antes/depois das atividades de ITC</i> )	FILHO1				
Sexo 1- M 2 - F	FILHO2				
Idade (anos)	FILHO3				
Saiu para: 1 - estudar 2 - trabalhar 3 - casar 4 - outra razão?	FILHO4				
Está a estudar agora? 1- Sim, 0 - Não	FILHO5A				
Se sim, em que classe?	FILHO5B				
Se não, completou que classe?	FILHO5C				
Tem machambas neste povoação? 1- sim, 0 - não	FILHO6A				
Se sim, quantos hectares?	FILHO6B				
Tem machambas fora desta povo? 1 - sim, 0 - não	FILHO7A				
Se sim, quantos hectares?	FILHO7B				
Como adquiriram as machambas? 1 - recebeu deste AF ou AF de esposa/marido 2 - comprou 3 - alugou 4 - como empréstimo, não pagou o dono	FILHO8				

5 - outro 6 - era mato					
Esta filho/a ajuda vocês com as despesas? 1 - sim, 0 - não Se sim, quantos Meticais mandaram nas ultimas 12 meses?	FILHO9A				
	FILHO9B				

POVO \_\_\_\_\_ AF \_\_\_\_\_

**USO DE MÃO-DE-OBRA DOS FILOS/FILHAS RESIDENTES**

(registre o nome de cada filho/a que tenha mais do que 14 anos (veja página 2) antes de preencher esta tabela)

Nome	Este/a filho/a trabalha nas machambas da família...		Este/a filho/a trabalha nas machambas das outras pessoas que vivem na comunidade (canho canho, para dinheiro, comida, etc.)...		Este/a filho/a trabalha nas machambas das outras pessoas fora da comunidade (canho canho para dinheiro, comida, etc.)...		Este/a filho/a trabalha nas actividades não-agrícolas a conta própria do AF (se sim, dentro ou fora da comunidade)?	
	Registe o ano da atividade de iTC (Provedor do Serviço)  Antes de ____? Depois de ____?		Registe o ano da atividade de iTC (Provedor do Serviço)  Antes de ____? Depois de ____?		Registe o ano da atividade de iTC (Provedor do Serviço)  Antes de ____? Depois de ____?		Registe o ano da atividade de iTC (Provedor do Serviço)  Antes de ____? Depois de ____?	
	1 - sim 0 - não	1 - sim 0 - não	1 - sim 0 - não	1 - sim 0 - não	1 - sim 0 - não	1 - sim 0 - não	1a - sim, dentro 1b - sim, fora 0 - não	1a - sim, dentro 1b - sim, fora 0 - não
	MAO1_A	MAO1_B	MAO2_A	MAO2_B	MAO3_A	MAO3_B	MAO4_A	MAO4_B

MAO5. O Senhor/A Senhora paga alguém (com comida, bebidas, dinheiro, etc.) fora da família para trabalhar nas suas machambas? (1 - sim, 0 - não) \_\_\_\_\_

MAO6. O Senhor/A Senhora trabalha nas machambas das outras pessoas (e.g. vizinhos) para receber comida ou bebidas ou dinheiro, etc.)? (1 - sim, 0 - não) \_\_\_\_\_

POVO \_\_\_\_\_ AF \_\_\_\_\_

## PARTICIPAÇÃO NAS ATIVIDADES DOS PROVEDORES DE SERVIÇOS

O senhor/A Senhora (ou quem participou) nas atividades seguintes?

Sómente registe o nome de cada membro que tenha mais do que 14 anos

Nome								TOTAL
Reuniões sobre o uso de terra e RN	PAR01							
Delimitação	PAR02							
É/era membro da CGRN?	PAR03							
É/era membro da Associação? ___(qual?)___	PAR04_A							
	PAR04_B							
É/era membro dos outros comités ou grupos? (igreja, paralegais, fiscais, etc.) ___(qual/quais?)___	PAR05_A							
	PAR05_B							
PAR06 Tabulação do TOTAL do AF								

Porque essa família participou ou não participou? (AFs com um TOTAL (PAR06) de menos de 4 atividades)	PAR07	
---	-------	--

O Senhor/A senhora ou um membro da AF estava envolvido em negociações com investidores/exploradores <u>antes</u> das atividades do ITC/Provedor de Serviço (aqueles que vem de fora)? 1 - Sim, 0 - Não Registe o ano da atividade de ITC _____	PAR08_A	
O Senhor/A senhora ou um membro da AF estava envolvido em negociações com investidores/exploradores <u>depois</u> das atividades do ITC/Provedor de Serviço (aqueles que vem de fora)? 1 - Sim, 0 - Não	PAR08_B	

Se sim (PAR08\_A ou PAR08\_B) o que aconteceu com este investidor/explorador (aquele que vem de fora)?

PAR08\_C \_\_\_\_\_

POVO\_\_\_\_\_ AF\_\_\_\_\_

**DIAGRAMA DAS PARCELAS DO AF (SEGURANÇA DE TERRA E CONFLITOS)**

**1)** Instruções: Indique no chão onde fica a casa do agregado familiar e todas as suas machambas / parcelas deles.

**3)** Com base na figura desenhada:

D) indique nesta folha onde fica cada parcela do qual o AF é dono;

E) pergunte sobre parcelas que a família emprestou de outra pessoa 1) antes de iTC e 2) depois de iTC;

L) pergunte sobre parcelas que a família emprestou à outra pessoa 1) antes de iTC e 2) depois de iTC;

**2) LEGENDA:**

CASA

Número da parcela - *P1, P2...*

Área da parcela - *A1...(ha)*

Culturas produzidas - *A2: Área (ha) de culturas de prazo curta e A3: Área (ha) de culturas de prazo longa*

Indica se a parcela tem árvores (e **quantos**) - *CAJUEIROS, MANGEIRAS, COQUEIROS...*



MAC01: TOTAL ha das machambas\_\_\_\_\_

MAC02: TOTAL ha das culturas de prazo curto\_\_\_\_\_

MAC03: TOTAL ha das culturas de prazo longa \_\_\_\_\_

POVO\_\_\_\_\_ AF\_\_\_\_\_

**CONFLITOS DE TERRA SOBRE AS PARCELAS MENCIONADAS**

Das parcelas que pertencem a este agregado familiar, tem tido algum conflito sobre um(s) deles?

**TER1** \_\_\_\_\_ 1 - sim 0 - não (se não, → próxima página)

(Esta tabela só pode ser preenchida para as parcelas do AF que perderem (estiveram) ou estão em conflitos.)

Parcela	Quando é que começou este conflito?  1- antes de 2000 2- depois de 2000 mas <u>antes</u> da intervenção do ITC (SPs) 3- depois da intervenção do ITC (SPs)	Com quem?  1- vizinho 2- outro membro da com. 3- privado 4- companhia 5- outro (esp.)	A natureza do conflito era/é sobre?  1- a posse da toda parcela 2- a posse da parte da parcela 3- os limites 4- as árvores 6- outra (esp.)	Este conflito já está resolvido?  1- sim 0- não	Quando o conflito aconteceu, a quem se dirigiu imediatamente?  1- líder religioso 2- secretário 3- regulo 4- CGRN ou G9 5 - paralegal 6- outro (esp.)	Esta pessoa conseguiu resolver a problema?  1- sim 0- não	Se não, a quem consultou depois?  1- líder religioso 2- secretário 3- regulo 4- CGRN ou G9 5 - paralegal 6- outro (esp.)
PAR	TER2	TER3	TER4	TER5	TER6	TER7	TER8

POVO\_\_\_\_\_ AF\_\_\_\_\_

**INVESTIMENTOS (PECUARIA)**

O agregado familiar faz criação de animais? 1- sim 0- não (se não, passa para próxima tabela)

INP1\_\_\_\_\_

	Quanto tinham antes de _____(iTC)?	Quanto tem agora?	Voce protege contra doencas agora? (injeccao, etc)	Voce protegeu contra doencas antes de _____iTC?
INP	INP2A	INP2B	INP3A	INP3B
1- cabrito				
2- gado/boi/vaca				
3- porcos				

## INVESTIMENTOS (BENS DA CASA)

Tenha cuidado com essas perguntas (muitas pessoas tem medo...que a equipa pode roubar os bens)

Bem	Quantidade (número) que tem AGORA	Quantidade (número) que tinham ANTES da iTC...
BEM	BEM1	BEM2
1- Porta de madeira		
2- Construção da casa		
A) Chapa (aluminio, capi)- B) Paredes (blocos, tijolos...)		
C) Tamanho (m cuadrados) -		
D) Celeiro(s) (diametro)		
3- Rádio		
4- Maquina de costura		
5- Bicicletas		
6- Motas		
7 - Telefone (celular)		
8- Redes		
A) pesqueiras -		
B) de caça -		
9- Equipamento p'ra fazer cachasso		
10 - Outras observações Antes vs. agora:		

Agradecimentos

## ANNEX 9. PROVINCIAL OUTCOME HARVEST ANALYSIS FOR ALL 3 PROVINCES

### MANICA PROVINCE

See Annex 6 for a description of how we selected the sample of 12 sites in Manica Province (coming from 7 iTC contract IDs) and then the sample of 59 harvested outcomes from those 12 sites, plus 3 outcomes harvested in reference to the entire Province. The evaluation team considers that has it harvested a body of 62 outcomes that describe the important changes influenced by KPMG/iTC service providers in the sites from around the Province where they worked in 2007-2012.

Looking at the harvested outcomes by district, we see that nearly half of the outcomes come from the Manica District with the rest in nearly equal numbers coming from Gondola, Moussarize and Sussundenga Districts.

Table 1. Outcomes Harvested by District

		Frequency	Percent	Valid Percent	Cumulative Percent
	Entire Province	3	4.8	4.8	4.8
	Manica District	29	46.8	46.8	51.6
	Gondola	8	12.9	12.9	64.5
	Moussarize	10	16.1	16.1	80.6
	Sussundenga	12	19.4	19.4	100.0
	Total	62	100.0	100.0	

Table 2 shows that the outcomes harvested come in almost equal numbers from sites serviced by Caritas-Messica and Oram, with MCB having the fewest.

Table 2. Outcomes Harvested by Service Provider

		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	Caritas-Messica	22	35.5	35.5	35.5
	ORAM	24	38.7	38.7	74.2
	MCB	13	21.0	21.0	95.2
	KPMG	3	4.8	4.8	100.0
	Total	62	100.0	100.0	

Table 3 shows that despite our attempt to include in the sample outcomes from pre-2011, just about 37% of the outcomes come from that period of time, which could reflect a) the gradual building up of the iTC programme during those years or b) a clearer and more effective system for defining and achieving the objectives of iTC.

Table 3. Year of Outcome

		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	2007	1	1.6	1.6	1.6

	2008	7	11.3	11.3	12.9
	2010	15	24.2	24.2	37.1
	2011	10	16.1	16.1	53.2
	2012	29	46.8	46.8	100.0
	Total	62	100.0	100.0	

Table 5 shows that the sample of outcomes is evenly balanced between community sites and association sites.

Table 4. Type of ITC Intervention Site

	Frequency	Percent	Valid Percent	Cumulative Percent
Community land delimited and NR Management improved	30	48.4	48.4	48.4
Ag association strengthened and its land demarcated	29	46.8	46.8	95.2
Service Providers for Province	3	4.8	4.8	100.0
Total	62	100.0	100.0	

As for the outcomes harvested which derive their significance from the different Outcome Challenges (OCs), the coding allowed for up to two OCs to be cited as providing significance to the outcomes, so we have more OCs mentioned (82) than outcomes (62) in the sample, as shown in Table 6.

It is encouraging to see that for only 5 of the outcomes did the field research find ambiguous evidence about their validity. Apparently the service providers are for the most part providing accurate descriptions of the outcomes they help influence.

If we group the OCs cited into four focus themes, and use only the valid OHs for analysis, we get Table 6:

Table 5. Manica Province: Valid Citations of Outcome Challenges

ITC Themes	OC	Ambiguous Validity	Valid Outcomes	
			Number of Citations OC	Subtotal
1. Prepare Communities	OC1	0	10	
	OC2	0	11	
	OC3	1	9	
Subtotal				30
2. Prepare Associations	OC4	0	7	
	OC5	2	1	

Subtotal					8	12.9%
3. Investment	OC6			1	1	1.6%
4. Empowerment	OC9	1		5		
	OC10	0		6		
Subtotal					11	17.7%
5. iTC Effectiveness	OC7	1		5		
	OC8	0		7		
Subtotal					12	19.4%
TOTAL					62	100.0%

iTC themes	% of Citations in OHs of the 5 main themes of iTC *
1-Community Preparation—OCs1, 2, 3	48
2—Association Preparation—OCs 4, 5	13
3. Investments Arranged –OC 6	2
4—Empowerment--OCs 9, 10	18
5—Effectiveness of iTC—OCs7, 8	19

\*Some outcomes correspond to more than one OC and so the total is more than the total 59 outcomes.

We see that iTC is having success with Community Preparation to help communities get ready for negotiating with potential investors. About 34.9% of the outcomes cite the Community Preparation OC's as being furthered by these outcomes.

Concerning the preparation of associations, fewer outcomes were harvested. However, iTC did contribute to the empowerment theme with 18% of the OC citations having to do with this theme.

Direct influencing of investments has been minimal in Manica, although there is some evidence that the community and association preparations have subsequently to the iTC interventions produced 11 successful investment effects (about 20% of the Outcomes Harvested<sup>83</sup>).

We can conclude from this data that iTC has had significant success in getting communities ready for negotiations with investors, and more limited success with preparing associations. While the sample of outcomes, which can plausibly be linked to subsequent investments, is small, the internal investors and external ones are almost equally represented.

Table 6. OC Cited by Validity of Outcome

	Ambiguous Validity	Valid	% of valid	Total	Valid Combined Total
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<sup>83</sup> OC 6 actually had only one outcome linked to it from the OH data set, but the subsequent field research identified 12 investments, 11 of which came after the outcomes were achieved, which could be plausibly linked to Outcomes.

OCs mentioned as showing significance of Outcome (first and second choices)	OC1	0	10	11.36%	10	
	OC2	0	14	15.91%	14	
	OC3	1	6	6.83%	7	
						34.9%
	OC4	0	8	9.09%	8	
	OC5	2	10	11.36%	12	
	OC6*	0	12	13.64%	12	
						34.9%
	OC7	1	5		6	
	OC8	0	8		8	
TOTALS						14.77%
	OC9	1	4		5	
	OC10	0	11		11	
		5	88	100.00%	93	17.05%

\*The 12 outcomes tied to OC6 are investments as of May 2013, 11 of which are derived from past outcomes

Table 7. Investment influenced by Outcome by the Effect of Investment

		Effect of Investment		
		No investment detected	Did not work	Had an effect
Investment influenced by Outcome	No investment detected	48	0	0
	Internal investment	0	2	7
	External investment	0	0	5
Total		48	2	12

For the OCs which have to do with the iTCs building positive relationships with boundary actors, including in this case the service providers, the harvested outcomes represent about 14.8% of all outcomes. These two OCs are the least represented by outcomes. Assuming that building these relationships are important for all iTC's interventions, this is an area where iTC might put more emphasis in the future.

The Empowerment OCs, rank in third place in terms of OCs harvested (about 17%) which indicates that while these OCs may be new in terms of our theory articulation, they also may be new in the cultures of rural areas<sup>84</sup>. For the future development of these communities, heightened attention in the future by the iTC on moving toward these empowerment OCs seems warranted.

## CABO DELGADO PROVINCE

See Annex 6 for a description of how we selected the sample of 6 projects<sup>85</sup> in the Province and the 46 harvested outcomes from those projects, including the 1 outcome harvested in reference to the entire province.

<sup>84</sup> Particularly the gender equality aspect of OC9 is also relatively new to the iTC, being formally adopted into its strategy in 2010 (Community Land Initiative (iTC), "Gender and Diversity Strategy", of August, 2010)

<sup>85</sup> The selection in Cabo Delgado was done slightly differently to that of the other provinces and therefore the reference to projects instead of sites

Looking at the harvested outcomes by district (Table 1), bearing in mind that there were two communities interviewed in the district of Pemba-Metuge, the harvested outcomes in average are 7 per project. The outcome harvested for the entire province relates to the legalization and official launching of the Cabo Delgado Association of Paralegals.

Table 8. Districts Cabo Delgado

		Frequency	Percent
Valid	Mecufi	6	13.0
	Pemba-Metuge	11	23.9
	Ancuabe	11	23.9
	Meluco	9	19.6
	Mueda	8	17.4
	Entire Province	1	2.2
	Total	46	100.0

This is verified in Table 2 below, which indicates the number of outcomes harvested by each service provider, due to the fact that each project had a separate service provider. CCP Natuco is the Natuco Community Fishing Council, which when it heard about iTC approached iTC and became the service provider for the land delimitation, the land and natural resource legislation capacity building.

Table 9. Service Providers in Cabo Delgado

		Frequency	Percent
Valid	CCP Natuco	6	13.0
	CATE	6	13.0
	Forum Terra	5	10.9
	Diocese of Pemba & Geo Set	11	23.9
	Oram Nampula	9	19.6
	Mesalo & Ama	8	17.4
	iTC/KPMG	1	2.2
	Total	46	100.0

Table 3 below, provides an indication of the outcomes harvested in each year. Account must be taken when reviewing the date indicated, that the outcomes harvested in 2009 reflect two separate projects, as does those reflected for all the other years except for 2013. Further that the one outcome harvested in 2008 was due to the fact that the project only commenced in December 2008

Table 10. Year of Outcome Cabo Delgado

		Frequency	Percent
Valid	2008	1	2.2
	2009	11	23.9
	2010	5	10.9
	2011	15	32.6



	2012	13	28.3
	2013	1	2.2
	Total	46	100.0

Table 4 below, provides an overview of the type of intervention was carried out by the service providers in each of the projects. The majority of the interventions relate to community land delimitations, improved natural resource management and strengthening of agricultural associations. It is of some interest that just under 11% of the associations that were strengthened were allocated land, but had not applied for DUATs. This is because these associations did not feel the need to do this as they already had the consent of the community to use the land.

Table 11. Type of intervention site Cabo Delgado

		Frequency	Percent
Valid	Community land delimited and NR Management improved	18	39.1
	Ag association strengthened and its land demarcated	22	47.8
	Service Providers for Province	1	2.2
	Ag association strengthened and land allocated but no DUAT	5	10.9
	Total	46	100.0

Table 5 below provides an overview of the harvested outcomes in the province, and the secondary outcomes harvested, which are directly related to the primary outcome harvested. The invalid outcome harvest relates to a community which has a problem with a cattle breeder where the conflict although resolved to an extent seems to be continuous. In a meeting with the SDAE and with an investor in the community, it was obvious that the conflict has not been fully resolved.

Table 12. OC frequencies Cabo Delgado

Primary OC	Other relevant OC	Ambiguous	Valid	Total	Percent of Valid
1	0	0	2	2	
1	2	0	1	1	
1	3	0	2	2	
Subtotal			5	5	9.8%
2	0	0	3	3	
2	1	0	1	1	
2	3	0	1	1	
2	10	0	1	1	
Subtotal			6	6	
3	0	1	2	2	
Subtotal				3	
4	0		2	2	
4	5		3	3	

4	6		1	1	
4	10		1	1	
Subtotal				7	
5	0		2	2	
5	6		3	3	
5	10		1	1	
Subtotal				6	
6	0		5	5	
Subtotal				5	
7	0		1	1	
Subtotal				1	
8	0		4	3	
8	10		1	1	
Subtotal				4	
9	0		2	2	
Subtotal				2	
10	0		4	4	
10	2		2	2	
Subtotal				6	

Investment influenced by Outcome is shown in Table 6 below. The majority of investments found to be influenced by Outcomes are internal but it is encouraging to see that over a quarter of the investments that were found were external investments, meaning that they were from outside of the community being interviewed. In defining internal investment we considered issues such as people building extra silos, actually investing in seed to plant common fields, specifically when interviewing associations. Money received for the exploration of natural resources by concessionaires or forestry licences was considered when defining external investment.

Table 13. Investment Influenced by Outcome

		Frequency	Percent
Valid	No investment detected	1	2.2
	Internal investment	29	63.0
	External investment	13	28.3
	No information	3	6.5
	Total	46	100.0

The table below provides an indication of whether the investment made was effective, it is encouraging to note that 71.7% of the investments made showed a positive effect. During the fieldwork it became clear that people were taking on the projects that they were buying into. Many of the associations interviewed were actively pursuing their objectives and attempting to find buyers for their produce. In some instances (such as the association Uhuwerie N'rima) they would trade people for products that they wanted instead of just wanting to sell their products for cash.

Table 14. Effect of investment in Cabo Delgado

		Frequency	Percent
Valid	No investment detected	1	2.2
	Did not work	1	2.2
	Had an effect	33	71.7
	Uncertain (don't know)	11	23.9
	Total	46	100.0

## ZAMBEZIA PROVINCE

See Annex 6 for a description of how we selected the sample of 25 sites of iTC intervention in the Province and the 63 harvested outcomes from those sites.

Looking at the harvested outcomes by district (Table 1), there were 2 contracts analysed in Maganja da Costa district (numbers 11 and 3 in the iTC database) across 5 sites of intervention, which yielded a total of 13 outcomes. In Namacurra, we analysed 15 sites of intervention, linked to 5 iTC contracts and these sites yielded 40 total harvested outcomes. In Ile we examined 5 sites of intervention pertaining to 1 contract with a total of 10 harvested outcomes.

Table 15. Outcomes per Districts Sampled in Zambézia

		Frequency	Percent
Valid	Maganja da Costa	13	20.6
	Namacurra	40	63.5
	Ile	10	15.9
	Total	63	100.0

Table 2 below indicates the number of outcomes harvested by each service provider, with some intervention sites interacting with more than one service provider (specifically the community of Mazuão)

but it should be clarified that each harvested outcome pertains to only one primary service provider's intervention.

Table 16. Outcomes per Service Provider in Zambézia

		Frequency	Percent
Valid	CCM Zambézia	11	17.5
	ORAM-Zambézia	7	11.1
	AEMZ-SERCON	10	15.9
	SIDE Lda.	14	22.2
	Radeza	8	12.7
	Prodea	13	20.6
	Total	63	100.0

Table 3 below, provides an indication of the year that the outcomes were achieved. This means that some outcomes pertain to the same year as the contract and intervention and other outcomes occurred after the completion of the contract with ITC. Many potential outcomes were not observable at this stage because ITC's activities in a particular site have only recently been completed.

Table 17. Year of Outcome Zambézia

		Frequency	Percent
Valid	2010	2	3.2
	2011	19	30.2
	2012	22	34.9
	2013	20	31.7
	Total	63	100.0

Table 4 below, provides an overview of the type of intervention that was carried out by the service providers in each of the projects.

Table 18. Type of intervention site Zambézia

		Frequency	Percent
Valid	Community land delimited and NR Management improved	7	11.1
	Ag association strengthened and its land demarcated	12	19.0
	Both community delimitation-strengthening and association strengthening	21	33.3
	Other	23	36.5
	Total	63	100.0

Table 5 below provides an overview of the harvested outcomes in the province, and the secondary outcomes harvested, which are directly related to the primary outcome harvested. Invalid outcome harvests refer to outcomes, which are mostly complete, but facing conflicts that are still unresolved or

situations in which a community invested labour or other energy into the outcome, but the output or impact did not yield tangible results.

Table 6 provides an overview of both primary and secondary outcomes harvested in relation to the themes of the Outcome Challenges, with the highest percentage of outcomes harvested relating to social preparation of communities.

Table 19. Overview of Outcome Challenges by Validity of Outcome for Zambézia

Outcome Challenges Cited		Validity of Outcome		Total		
		Ambiguous	Valid			
	1	1	12	13	15.0%	
	2	2	14	16	17.5%	
	3	1	10	11	12.5%	
	4	1	12	13	15.0%	
	5	2	13	15	16.3%	
	6	2	9	11	11.3%	
	7	1	2	3	2.5%	
	8	0	0	0	0.0%	
	9	1	2	3	2.1%	
	10	4	6	10	7.5%	
Total		15	80	95	100.0%	

Table 7 below illustrates investments that were influenced by outcomes. The majority of investments found to be influenced by Outcomes are internal. Part of this is due to the fact that most outcomes are fairly recent in Zambézia in comparison with Manica and Cabo Delgado. In defining internal investment we considered issues such as people building extra silos, actually investing in seed to plant common fields, investing time in the cultivation and in seeking buyers for their crops, specifically relating to associations, that were legalized through an iTC contract or that had received capacity building. Money received for the exploration of natural resources by concessionaires or forestry licenses and district development funds was considered when defining external investment.

There was only 1 external investment influenced by an outcome in Zambézia that we found in our sample. This was a case of a recent agreement with the Peace Corps to send a new volunteer to work with this association, although the volunteer will not arrive until the new group of volunteers do their training in October/November 2013. There were other instances in which boundary actors were in the process of applying for external funding, such as the Conselho of CGRNs in Macuse Locality, Namacurra who submitted an application for a small grant to support the activities of the new CGRNs in the area.

Table 20. Investment Influenced by Outcome, Zambézia

		Frequency	Percent
Valid	No investment detected	29	46.0
	Internal investment	32	50.8

	External investment	1	1.6
	No information	1	1.6
	Total	63	100.0

The table below provides an indication of whether the investment made was effective. In Zambézia there were very few investments made, and those that were made did not yield tangible results (e.g. all fish escaped from freshly dug aquaculture ponds, cashew trees or other crops planted did not produce, etc.). Three investments still have a possibility of yielding results, but this is yet to be seen at this stage, thus they received an 'uncertain' score from the team.

Table 21. Effect of investment in Zambézia

		Frequency	Percent
Valid	No investment detected	55	87.3
	Did not work	5	7.9
	Had an effect	0	0.0
	Uncertain (don't know)	3	4.8
	Total	63	100.0

## ANNEX 10. ADDITIONAL OH TABLES (CUMULATIVE FOR ALL 3 PROVINCES)

Type of Boundary Actor			
		Frequency	Percent
Valid	1	33	19.3
	2	32	18.7
	3	19	11.1
	5	56	32.7
	7	15	8.8
	10	4	2.3
	21	5	2.9
	30	7	4.1
	Total	171	100.0

Type of ITC Intervention Site			
		Frequency	Percent
Valid	Community land delimited and NR Management improved	55	32.2
	Ag association strengthened and its land demarcated	63	36.8
	Both community delimitation-strengthening and association strengthening	21	12.3
	Service Providers for Province	4	2.3
	7	5	2.9
	Other	23	13.5
	Total	171	100.0

Local Government Involvement			
		Frequency	Percent
Valid	No Local Government Unit Mentioned	69	40.4
	1 local govt unit mentioned	45	26.3
	2 local govt units mentioned	39	22.8
	3	16	9.4
	4	2	1.2
	Total	171	100.0

SDAE Involvement			
		Frequency	Percent
Valid	No SDAE Involvement	107	62.6
	SDAE Involved	64	37.4
	Total	171	100.0



SPGC Involvement			
		Frequency	Percent
Valid	No SPGC Involvement	104	60.8
	SPGC involved	67	39.2
	Total	171	100.0

Community Leader-Regulo Involvement			
		Frequency	Percent
Valid	No mention of community leaders-regulo	93	54.4
	Community leaders-regulo mentioned	78	45.6
	Total	171	100.0

Community as a Whole Involvement			
		Frequency	Percent
Valid	No mention of involvement of whole community	91	53.2
	Community as a whole involved	80	46.8
	Total	171	100.0

Neighbouring Communities Involvement			
		Frequency	Percent
Valid	No mention of neighbouring communities	98	57.3
	Neighbouring communities mentioned	73	42.7
	Total	171	100.0

NGO Involved - other than SP			
		Frequency	Percent
Valid	No mention of other NGO being involved	113	66.1
	Another NGO is mentioned	50	29.2
	2	8	4.7
	Total	171	100.0

Community Development Group			
		Frequency	Percent
Valid	0	155	90.6
	1	16	9.4
	Total	171	100.0

Community Fiscals			
		Frequency	Percent
Valid	0	162	94.7
	1	9	5.3
	Total	171	100.0

Company Markets Inputs			
		Frequency	Percent
Valid	0	134	78.4
	1	37	21.6
	Total	171	100.0

CGRN of Community			
		Frequency	Percent
Valid	0	136	79.5
	1	35	20.5
	Total	171	100.0

Journalists/Media			
		Frequency	Percent
Valid	0	169	98.8
	1	2	1.2
	Total	171	100.0

District Development Fund			
		Frequency	Percent
Valid	0	44	25.7
	1	2	1.2
	Total	46	26.9
Missing	System	125	73.1
Total		171	100.0

SPFFB mentioned			
		Frequency	Percent
Valid	0	47	27.5
	1	16	9.4

	Total	63	36.8
Missing	System	108	63.2
Total		171	100.0

Community paralegals mentioned			
		Frequency	Percent
Valid	0	57	33.3
	1	6	3.5
	Total	63	36.8
Missing	System	108	63.2
Total		171	100.0

Ministry of Tourism Provincial mentioned			
		Frequency	Percent
Valid	0	60	35.1
	1	3	1.8
	Total	63	36.8
Missing	System	108	63.2
Total		171	100.0

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- Land Law nº 19/1997 of 1 October
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- Regulations to the Land Law Decree nº 66/1998 of 8 December
- The Environmental Law 20/97 of 1 October
- The Mining Law – Law 14/2002 of 26 June
- The Regulations to the Mining Law – Decree 62/2006 of 26 December



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## Lagão de Ruguruia Community

Sr. Pequeninino Muketa, Secretary ADETUR (Association)

Associação para o Desenvolvimento e Eco-Turismo na Lago de Luguria (ADETUR):

### Board of Directors:

Mr. Franque Pequeninino President  
Ms. Esuina Alenguena Vice-President  
Mr. Elder Vicente  
Mr. Emilio Antonio Vocal  
Ms. Odette Rafaele, Treasurer

### ASSEMBLY:

Mr. Elias Casimane President  
Mr. Aurelio Agosto Vocal 1  
Mr. Abdul Armando Vocal 2

### CONSELHO FISCAL:

Ms. Dina Abili, Presidente e Fiscal  
Ms. Saina Laureano, Vice-President  
Mr. Angelo Marapuda

## Cabo Delgado

### KPMG

Angleo Levi & Zaida Bilale

Irma Pilar  
Diocese of Pemba (Service Provider)

Paulo Marques  
Sociedade Com. Mesalo (Service Provider)

Sr. Assane  
Forum Terra (Service Provider)

### SDAE

Njaime Ntepa  
Director SDAE Pemba-Metuge

### SPGC

Tiago Chirene  
Head of SPGC Cabo Delgado

Francelino Vendu  
Tecnician SPGC

### Mecufi

Mateus E. Inkatha  
Head SDAE Mecufi

## CHIMOIO/Manica

### KPMG

Jose Argola

## Government Manica

Adelina Landinha  
Permanent Secretary  
Manica District

### SPGC

Lazaro Gomende, Head of SPGC

Sr. Caindi  
Head of Gestao de Terras, Manica District

## Academics

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## Service Providers

ORAM

Armando Mendocen

Caritas (Service Provider)

Paulo Jose Jossene paulojossene@hotmail.com

Araujo Moreira, araujomoreira.arauo@yahoo.com.br

Forum Terra

Manuel Passar, Director

## Macate

Estrela Enosse Mboe (ORAM)

Audissene Almeida (ORAM)

Agusto Rafai VP of Association member CDLMC Association

Castigo Patricia Portao, member of Senze Uganque Association

Pedro Ogombo Boera, Pres Kutama

Ishur Association, Head of Posto Administrativo Macate

## Espungabera

Jamal Janviero, Permanent Secretary

Ruben Murombo, Head of SDAE

## Sussundenga

Chico Mateos, Permanent Secretary of Sussundenga District

Lucky, Representative of Vanduzi in Rotanda

Lourenco Langa, representative of IFLOMA-Rotanda

Arao Matova, barley merchant

Sr. Aceite, SDAE Sussundenga posto administrative head

## Rotanda

Joao Albano, Head of Rotanda posto administrative

Lucas Taudge Gudza, Community President

Godi Jambo, Vice-President and head of Gudza Assn

Lidio Fernandez, Technician of SPGC

## Peraí Community

David Jose Alpin, President of CGRN

Ms. Gloria Felipe, Vice-President

Joao Freitas, Treasurer

Ricardo Chade

## ANNEX 13. NON-PRINTED DATABASE - HAREVESTED OUTCOMES

(code book plus Excel file of the coded data plus SPSS 21 system file)

### Re-Coding Instructions of the Outcome Harvest Forms for the Final Report

The purpose of this re-coding of the Outcome Harvest Forms is to make available data of prime importance for the final report. We start with the structure of the data base created for inputting all of the data from the OH form, and then code a sub-set of that data, with some re-coding of fields which were too detailed in the original forms.

Each column of the Excel Spread Sheet of the data base contains information about a single Outcome harvested. Each row contains data about that Outcome, as indicated below, where the Variable Name is the question number on the OH form (Annex A to this Coding Manual has the form used in Manica Province, and contains the identification codes (questions 1 through 7) for that Province. The id codes for the other provinces will have to be added):

Variable Name	Variable label	Codes	Code Labels
V1	ID control	1-62	Manica OHs. Unique sequential id
		101-145	Cabo OHs unique sequential id
		300-362	Zambézia OHs unique sequential id
V2	Outcome Formulator	1	David
		2	Esme
		3	Jeff
		4	Ingrid
		5	Jeff and Ingrid
V3	Province of Outcome	1	Manica



		2	Cabo Delgado
		3	Zambézia
		4	Nampula
V4	District	1	Manica (Manica Province)
		2	Gondola (Manica Province)
		3	Moussarize (Manica Province)
		4	Sussundenga (Manica Province)
			[add codes and labels for other provincial districts]
		1	Mecufi
		2	Pemba-Metuge
		3	Ancuabe
		4	Meluco
		5	Mueda
		6	Entire province of Cabo Delgado
		10	Maganja da Costa (Zambézia)
		11	Namacurra (Zambézia)
		12	Ile (Zambézia)
V5	Site Name	1	Munharai Assn(Manica Province)
		2	Irmaos Unidos Assn
		3	Nhamaonha Community
		4	Nharaunga Community
		5	Mukuha Assn
		6	Gunhe Community
		7	Rotanda AIR Assn
		8	Badza Rotanda Assn
		9	Gudza Community
		10	Mukai Kwaedza Assn
		11	Peraí Community
		12	Manhane Community
		13	Entire Manica Province
			[ Enter codes and labels for other Provinces]
		1	CCP Natuco
		2	Assoc Uhuwerie N'Rima
		3	Tratara
		4	Salaue
		5	Minhanha
		6	Nanahla
		7	Associação dos Para Legais de Cabo Delgado

		20	Okalela Omugawa Associacao
		21	Erive/Mugawa Community
		22	Erive/Mugawa CGRN
		23	APRODAM Assn (Mazooa, Nam)
		24	Mazuo Community
		25	CLGRN Mazuo (CCM)
		26	CLGRN Manonga (CCM)
		27	CLGRN Muceliua (CCM)
		28	CLGRN Voabil (CCM)
		29	Bonifacio Gruveta Assn (Voabil, Nam)
		30	Vuruka Locality Communities
		31	COGRN Vuruka
		32	Agro-pecuaria Nizuzumele de Nipera Assn.
		33	Agro-pecuaria Amizade Vuruka
		34	Lagoa Ruguria 'Community' (5 povoacoes within Bala Locality)
		35	ADETUR Association
		36	Malei Locality group of 4 communities
		37	Samora Moises Machel Assn (Eruthu & Roldao communities)
		38	Wiuana Association, Malei locality
		39	A group of 5 Povoacoes in Chiraco Locality (Breu, Cohiwa, Malolo, Cunguru, Muitxahopa) and 1 in Namigonha Locality (Tuturo)
		40	ACOMAO Association (Breu, Mulevala)
		41	ACEMA Assn, Malolo, Chiraco Locality
		42	ACWAC Assn, Muitxahopa, Chiraco
		43	Cunguru & Malolo CGRNs
		44	Forum dos CLGRNs de Macuse
V6	Service Provider	1	Caritas
		2	ORAM-Manica
		3	MCB
		4	Forum Terra
		5	Conselho Cristao de Mocambique (CCM) Zambézia
		6	ORAM-Zambézia
		7	AEMZ-SERCON
		8	SIDE Lda.
		9	Radeza
		10	Prodea
			[Enter codes from other provinces]
		1	CCP

		2	CATE
		3	Forum Terra (Cabo Delgado)
		4	Diocese of Pemba & Geographic Setting Lda
		5	Oram Nampula
		6	Soc Comercial Mesalo & Associação Meio Ambiente (AMA)
		20	KPMG itself
V7	Outcome x of y		16 means outcome 1 of 6, etc
V8	Unique id number of outcome		Within a Province, this number is unique so that no two outcomes have the same id number
V9	Boundary Actor Influenced, Collaborated with		Copy the name from question 8a
V10	Type of BA influenced, collaborated with	1	Community as whole
		2	CGRN of a community
		3	Community members
		5	Association as a whole
		6	Assn Officers
		7	Association members
		10	Govt agency
		20	Ag-cattle producers—not local
		30	Service Provider
		21	Conselho or group of CGRNs
V11	Outcome--Change in the Boundary Actor behaviour/relationships		Copy 8b if short and clear enough in the OH form; if necessary edit to make wording clearer.
V12	Year when outcome occurred	yyyy	Copy year from 8c
V13	Primary Significance of Outcome	1	OC 1: Security of community land tenure is improved
		2	OC2: CGRN natural resource management is improved
		3	OC3: Conflicts over land are managed
		4	OC4: Approvals are secured of surrounding land holders, communities, local govt. for carving DUATs out of community land
		5	OC 5: Completed the application for, DUAT
		6	OC 6: Investments are made by investors (from inside or outside of community/association)
		7	OC 7: Service Providers are strengthened
		8	OC 8: Boundary Actors' objectives become more aligned with ITC
		9	OC 9: Wider involvement of women and men is achieved in the governance of the CGRN/association
		10	OC 10: People in communities/associations become more empowered through coordinated action

		99	Don't Know
V14	Secondary Significance of Outcome	0	No secondary OC
		1	OC 1
		2	OC2
		3	OC3
		4	OC4
		5	OC 5
		6	OC 6
		7	OC 7
		8	OC 8
		9	OC 9
		10	OC 10
		99	Don't Know
V15	Validity of Outcome (from Q 15)	0	No evidence found that the claimed outcome actually happened
		1	Evidence is ambiguous about whether outcome actually happened
		2	Yes, evidence indicates that outcome did happen
		9	Don't Know
V16	Has any investment started as influenced by outcome?	0	No investment detected which has been influenced by outcome
		1	Investment from inside community, local has happened, influenced by outcome
		2	Investment from outside community has happened, influenced by outcome
		9	Don't Know
V17	Did Investment Work?	0	No investment detected as influenced by outcome
		1	Investment detected, but did not work
		2	Investment detected and has had effect
		9	Don't Know
V18	Type of ITC intervention site	1	Community where land is delimited and natural resource governance is strengthened
		2	Association (ag and/or livestock) strengthened and land is demarcated in name of the association
		3	Other non-ag association strengthened, where land is demarcated for association
		4	Other Non-ag association, no land involved

		5	Both community delimitation-strengthening and association strengthening
		6	Service Providers for Province
		7	Association (ag and/or livestock) strengthened and land allocated but no DUAT
		8	Other
		9	Don't Know
V19	Number of other BAs which influenced outcome		Enter the number of lines with entries under Question 10
V20	Was BA in the list in Q 10 a Local Govt unit?	0	No
		1	Yes—One local govt unit
		2	Yes—two or more local govt units
		9	No info in Q 10
V21	Was SDAE on list?	0	No
		1	Yes
		9	No info in Q 10
V22	Was SPGC on list?	0	No
		1	Yes
		9	No info in Q 10
V23	Was Community leader on list?	0	No
		1	Yes
		9	No info in Q 10
V24	Was Community as a whole on the list	0	No
		1	Yes
		9	No info in Q 10
V25	Was a neighbouring community on the list?	0	No
		1	Yes
		9	No info in Q 10
V26	NGO involved?	0	No
		1	Yes, one NGO
		2	Two NGOs
		9	No info in Q 10
V27	Community development group	0	No
		1	Yes
		9	No info in Q 10
V28	Community fiscal agents	0	No
		1	Yes
		9	No info in Q 10

V29	Company (commercial)	0	No
		1	Yes
		9	No info in Q 10
V30	CGRN of Community	0	No
		1	Yes
		9	No info in Q 10
V31	Journalists-Media	0	No
		1	Yes
		9	No info in Q 10
V32	District Development Fund	0	
		1	
V33	SPFFB Mentioned?	0	No
		1	Yes
V34	Community paralegals mentioned?	0	No
		1	Yes
V35	Ministry of Tourism Mentioned?	0	No
		1	Yes
		9	
V36	Combination Code for OC Cited for OH significance—First citation plus second citation		Recode: (first OC) * 100 + (second OC)
		100	OC 1 only
		102	OC 1 plus OC 2
		103	OC 1 plus OC 3
		105	OC 1 plus OC 5
		200	OC 2 only
		201	OC 2 plus OC1
		203	OC 2 plus OC 3
		210	OC 2 plus OC 10
		Etc.	
V37	Number of Other BAs		
		0	No other BA mentioned
		1	One other BA mentioned
		2	2-3 other BAs mentioned
		4	4-5 other BAs mentioned
		6	6 plus other BAs mentioned

## Outcome Harvest Evaluation of iTC in Mozambique May-June 2013

### Manica Province Outcomes

1. Person(s) formulating outcome: 1-JDS \_ 1\_
2. Province of the Outcome: 1-Manica 2-Cabo Delgado 3-Zambézia 4-Nampula \_1\_
3. District: 1-Manica 2- Gondola 3-Moussarize 4—Sussendenga \_\_\_
4. Community/Association: 1-Munharai association 2-Irmaos Unidos  
3-Nhamaonha community 4-Nharaunga community 5—Mukuha Assn  
6-Gunhe community 7- Rotanda AIR 8-Badza Rotanda Assn  
9—Gudza Community 10-Mukai Kwaedza-Gudza Assn 11-Perai Community  
\_\_\_  
12—Manhane community 13—Entire Province
5. Service Provider: 1-Caritas 2-ORAM 3-MCB 4-Forum Terra \_\_\_
6. Outcome \_\_\_ of \_\_\_ \_\_\_ \_\_\_
7. Unique identification number assigned to outcome: \_\_\_\_\_  
Sequential
8. Description of outcome  
[Briefly describe the change in a boundary actor that iTC/KPMG influenced.]
  - a. Boundary actor which exhibited change \_\_\_\_\_
  - b. What was the change in the boundary actor behaviour, relationships, activities, actions, poli-  
cies or practices:  
\_\_\_\_\_
  - c. when did the boundary actor make the change: MM YYYY \_\_\_\_\_
  - d. *where did the change take place:* \_\_\_\_\_.
9. Contribution of KPMG-service providers to outcome  
[Briefly describe what iTC/KPMG with identified service providers did, when and where to influ-  
ence the outcome.]

What did KPMG/SPs do?	When?	Where?
a.	b.	c.
d.	e.	f.
g.	h.	i.

10. Contributions of other boundary actors to the outcome,

[Briefly describe what other boundary actors did, when and where to influence the outcome.]

Which other B.A.s contributed?	What each did?	When?	Where?
a.	b.	c.	d.
e.	f.	g.	h.
i.	j.	k.	l.
m.	n.	n.	o.

11. Were there any other important influences on outcome?

12. Sources of information about outcome

\_\_\_\_\_

1-. KPMG Final Project Report 2- Other KPMG Project Report

3- iTC newsletter 4-. Interviews with KPMG

\_\_\_\_\_

5-. Interviews with S.P. 6-. Interviews with community members

7. \_\_\_\_\_ 8-

9- \_\_\_\_\_ 10-

13. **Significance of the outcome** understood as its relation to iTC's Outcome Challenges

[In 1–2 sentences explain why the outcome is important for iTC/KPMG. Classify into one or maximum 2 of the Outcome Challenges/]

a. Relevant OC \_\_\_\_\_ b. Other Relevant OC \_\_\_\_\_

14. Note the following information about the Project corresponding to the outcome

a. *Beginning Date*: \_\_\_\_\_ b. *Ending Date*: \_\_\_\_\_

c. *Payment amount*: \_\_\_\_\_

15. **Comments on verification of outcome**: [Note on reverse side of this page how the outcome has been verified through checking with various sources of information about the outcome]

**What evidence has been found of investment started as influenced by outcome?** [Note on reverse side the evidence obtained about the outcome having influenced investments of any sort in land use, purchases of capital items for the home or enterprise, acquisition of trees, resource protection, etc]



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January 2014

[www.edgroup.com.au](http://www.edgroup.com.au)

