

## **Terms of Reference for Baseline & Endline Assessments of the Community-Smart Consultation and Consent (CSCC) Project: Improving Land Governance in the KSC Grower Expansion Zone**

### **Background**

Landesa is an international nonprofit, founded in 1981, and dedicated to ending global poverty by securing land rights for the world's rural farmers. Landesa has worked in 50 countries throughout the world, with a home office in Seattle, WA, and field offices in Monrovia, Dar es Salaam, Beijing, and multiple offices in India. The organization is widely supported by partners, including NGOs, foundations, donor agencies (USAID, World Bank, etc.), world leaders, educational institutions, and individual supporters throughout the world. Landesa is known for its advancement of pro-poor, gender-sensitive land rights reforms that have helped alleviate poverty, reduce hunger, and ease conflict over land for more than 540 million women and men.

The Community-Smart Consultation and Consent (CSCC) Project aims to strengthen inclusive and effective land and natural resource governance by developing, testing, and amplifying tools and approaches to scale understanding, capacity, and implementation of good consultation and consent practices among local communities, civil society, government, and the private sector. Through the CSCC Project, Landesa, PELUM-Tanzania, and Kilombero Sugar Company (KSC) will support communities in the Kilombero Valley to (1) draft or update village land use plans in collaboration with relevant government authorities; (2) strengthen capacities of village authorities and villagers on inclusive land rights and land use planning, and (3) develop and implement KSC's community consultation and engagement plan to engage new cane growers aligned with international best practices for free, prior, and informed consent and existing company guidelines on land rights.

### **Scope of Work**

Anticipated period of performance: April 1, 2023 – November 30, 2024 with the possibility of extending through April 2025 depending on project activities.

Mixed methods baseline and endline assessments will identify communities' initial capacities and land use priorities; identify changes in community, government, and KSC consultation and consent capacities and processes over time; and understand community members' experience and satisfaction with the land use planning process, with attention to women and pastoralist community members. The assessment will consist of

- Baseline and endline quantitative surveys of community members to understand women's and men's knowledge of land rights and governance, participation in and perceptions of community and household decisions about land use, and land use priorities and
- Qualitative focus group discussions (FGDs) and key informant interviews (KIIs) at baseline and endline with community members, local leaders, and actors in the sugar value chain to understand important uses of land and natural resources, how communities make decisions about land use, prior experiences with land use planning and private sector investment, and gender dynamics of agricultural production and earnings.

The assessment will take place in 10 communities associated with Ifakara Town Council (Kilombero District) and Kilosa District Council. It is anticipated approximately 6 of the communities will engage in project activities in 2023 and approximately 4 communities will engage in project activities in 2024. The baseline will be conducted in all 10 communities in May-June 2023, prioritizing communities scheduled to begin activities earlier. It is expected that the endline will be conducted for all 10 communities in September-October 2024, though timing may change depending on project activities and community engagement. Landesa and PELUM-Tanzania have already developed draft baseline instruments for FGDs, KIIs, and the survey.

Landesa anticipates that the sample for the community surveys will be approximately 200 women and 200 men from 10 project villages. The planned sample design is to randomly select one adult man and one adult woman from 20 households within each village at baseline – prior to training and sensitization activities around land use planning and other capacities – and return to the same respondents at endline in late 2024 after the 10 project villages have completed land use planning, training, and CCRO issuance as relevant.

The qualitative FGDs and KIIs will take place in 4 of the 10 villages as well as with local government officials, sugar cooperative personnel, and personnel from KSC. In each of the selected villages, at baseline and endline, there will be at least 2 and up to 4 FGDs to allow for separate discussions among women and among men as well as separate discussions with persons whose land use may be more vulnerable, such as young people or pastoralists. Where there are not separate FGDs for young people, FGDs should aim for approximately half of participants to be between 18-35 years-old. An additional FGD will engage Grower Managers from KSC.

There will also be up to 26 KIIs in each of baseline and endline as follows:

- From each of the 4 villages selected for the qualitative assessment, 3-4 village officials, opinion leaders or customary, women leaders, youth leaders, or pastoral leaders (as relevant). Teams should always aim to interview leaders of local women’s groups.
- Up to 4 Ward or District officers working on land, the environment, agriculture, or gender issues
- Up to 4 sugar cooperative officials
- Up to 2 KSC personnel

The organization will collaborate with Landesa and PELUM-Tanzania in the finalization of data collection tools, selection of communities, sampling approach, and outreach to and preparation of communities and stakeholders for data collection. Landesa and the organization will co-lead training on the data collection tools and Landesa’s Ethical Guidelines for Research for interviewers, FGD facilitators and notetakers, and survey enumerators.

The organization will be expected to oversee all aspects of the data collection including, but not limited to:

- Recruitment, hiring, and management of survey enumerators, interviewers, facilitators, notetakers, field supervisors/coordinators, and staff needed for data management
- Carrying out the logistics of data collection, including transportation and community preparation and provision of supplies (ex. notebooks, recorders), in coordination with PELUM-Tanzania and Landesa
- Translation of data collection tools into local languages Kiswahili
- Equipping the data collection team to collect and transmit survey data electronically using Kobo Toolbox
- Inputting the survey questionnaires into Kobo Toolbox for data collection and programming automatic data consistency and quality checks
- Pre-testing data collection instruments before baseline, contingent on resources, timing, and community participation
- Coordination with Landesa/PELUM-Tanzania and local officials to recruit and identify participants in both the qualitative and quantitative research who meet sample requirements
- Deployment of the surveys, FGDs, KIIs, and quality assurance in the field
- Holding and documenting daily debrief sessions with the qualitative data collectors on days when KIIs or FGDs are conducted
- Transcribing and translating all KIIs and FGDs into verbatim transcripts in English. Transcripts should be verbatim transcripts in English that differentiate respondents as they are speaking.
- Ensuring that all activities related to data collection and management and conduct of their staff follow Landesa’s Ethical Guidelines for Research, including

- Ensuring the integrity, accuracy, and security of data throughout collection, transmission, and storage in all electronic and hard copy forms
- Securely retaining contact information and consent to be re-contacted for baseline respondents for participation in the endline and protecting personally-identifiable information.

The organization will communicate regularly with Landesa and PELUM-Tanzania, including check-in meetings every two-weeks throughout the course of the engagement and at least twice weekly during data collection. Additionally, the organization will coordinate with Landesa and PELUM-Tanzania so that at least one of their representatives is able to attend debriefs from qualitative data collection. The organization may also be invited to participate in CSCC Project learning sessions.

The organization is expected to assemble a field team that allows for women to consistently interview female survey respondents, key informants, and women-only FGDs and men to consistently interview male survey respondents, key informants, and male-only FGDs and also abide by Landesa's and local government guidance for protecting communities and personnel from COVID-19.

The organization will not sub-contract any or all parts of the scope to another firm.

The project anticipates the following timeline within March 2023 – November 2024, dependent on project activities:

- Selection and contracting –March/April 2023
- Finalize baseline tools & sampling plan & sampling frame – April 2023
- Interviewer training – April/May 2023
- Pre-test, contingent on resources, timing, and community participation– May 2023
- Baseline data collection –May-June 2023
- Full de-identified baseline survey dataset, transcripts, qualitative debrief summary, and field report to Landesa – August 2023
- Review of endline survey tool + interviewer training – August 2024
- Coordination with community authorities, Landesa, and PELUM-Tanzania on community entry – August 2024
- Endline data collection – September – October 2024
- Full de-identified endline survey dataset, transcripts, qualitative debrief summary, and field report to Landesa – November 2024

## **Deliverables**

The organization will submit the following deliverables to be reviewed and approved by Landesa:

- Final translated data collection tools for both baseline and endline
- Sampling plan for FGDs, KIIs, and the survey
- Documentation of training for all members of the data collection team on data collection and research ethics
- Baseline field report
- Baseline survey dataset
- Baseline verbatim transcripts of all FGDs and KIIs translated into English in Microsoft word or other format compatible with coding in Dedoose software
- Baseline qualitative debrief summary
- Endline field report
- Endline survey dataset

- Endline verbatim transcripts of all FGDs and KIIs translated into English or other format compatible with coding in Dedoose software
- Endline qualitative debrief summary

Field reports should be approximately 8 pages and include:

- A summary of the intended and actual samples, response rates, and composition by gender, age, and other relevant characteristics
- A summary of survey sample attrition, reasons for attrition, and how attrition was addressed
- Challenges or questions that arose during data collection and how they were addressed (if applicable)
- Data collection questions or approaches that did/not work well, suggestions for improvement, and other lessons
- Highlights from qualitative debrief notes
- Any concerns or incidents of violation of participants' privacy or potential harm from participating in the survey

Survey datasets and qualitative transcripts should include

- All survey data after initial cleaning and pre-programmed quality checks, with personal identifiers removed
- Unique identifiers for each respondent that allow them to be identified over time (as relevant for qualitative participants).

### **Submission Guidelines**

**Qualified organization may submit proposals by March 31, 2023 to Samantha Pickett**

**([samanthap@landesa.org](mailto:samanthap@landesa.org)) and Queen Mrema ([queenm@landesa.org](mailto:queenm@landesa.org)).** Proposals should provide the following information:

1. A statement of the organization's qualifications for the assignment, demonstrating quantitative and qualitative research expertise and experience (3 pages maximum)
2. Descriptions of past projects relevant to the assignment, including contact information of clients for at least two projects (3 pages maximum)
3. CVs of up to 3 personnel who would lead/coordinate activities
4. Staffing plan, including the roles and responsibilities of each team member
5. Logistics, including proposed approaches to training, management of data collection in the field, data management, quality assurance, risk mitigation, and any other relevant logistical information (4 pages maximum)
6. Estimated budget (in USD). The budget should include all costs for data collection, data cleaning, translation, staffing requirements, travel costs, office expenses, fees, and otherwise carrying out the scope of work. The budget should be priced in USD and incorporate a proposed payment schedule aligned with the baseline and endline phases of the data collection. Payment will be made upon approval of completed milestones, though an initial payment upon contract signature is possible.

If you have any questions, please contact Samantha Pickett ([samanthap@landesa.org](mailto:samanthap@landesa.org)) and Queen Mrema ([queenm@landesa.org](mailto:queenm@landesa.org)). During the review process, applicants may be contacted by Landesa for more detailed information.

# Appendix A: Summary of Landesa’s Ethical Guidelines for Research

## Our Guidelines are Grounded on Three Widely Accepted Principles of Ethical Research

### I. RESEARCHERS MUST...

**Principle 1  
Respect for Persons**

**Research subjects are autonomous agents**—our research should respect their opinions, choices and actions unless they are clearly detrimental to others.

**Persons with diminished autonomy should be protected**—our research should acknowledge their vulnerability and grant them adequate protection.

- Implement protocols based on informed consent and assent.
- Identify and employ socially and culturally appropriate ways to interact with research participants.
- Explain what you will do with the data and whether and how it will be helpful to participants.
- Respect confidentiality of responses and anonymity of participants.

**Principle 2  
Beneficence**

**Do not harm.** Our research should not harm anybody physically, mentally, or socially, regardless of the benefits that it might bring to others.

**Maximize benefits to participants and reduce risk or harm.** Our research should carefully weigh likely benefits and risks to all involved in deciding whether and how to proceed.

- Protect the physical, mental, and social well-being of participants.
- When necessary, register research with formal authorities and/or work with partners to ensure authorities of communities where the research will take place are engaged.
- Reduce risks to minimum.
- Retain the individual and the community perspective & present the researcher’s own view separately from this.
- Collect data when is necessary: when there is a gap and that knowledge will be beneficial directly or indirectly for the participants.

**Principle 3  
Justice**

**Participation, benefits, and risks should be fairly distributed even if some categories of participants are easier to recruit, manipulate or benefit.** Assessments of interventions or settings to influence policy, laws, or programs expected to affect many types of people should include all these categories to ensure they are safe, effective, and acceptable for all.

- Use sound methods to select participants.
- Ensure that the participants in your research are not always the same.
- When possible, report back to the participants and ensure that the research specifically produces lessons applicable for the participants and their communities/countries.

These guidelines align with international standards to protect research subjects and adhere to broader ethical standards for research. The Belmont report provides the framework for the US. The legal background includes the Federal Policy for the Protection of Human Subjects or the “Common Rule”, published in 1991, and codified in separate regulations by 15 US Federal departments and agencies. The HHS regulations, 45 CFR part 46, includes four subparts: subpart A, also known as the Federal Policy or the “Common Rule”; subpart B, additional protections for pregnant women, human fetuses, and neonates; subpart C, additional protections for prisoners; and subpart D, additional protections for children. Each agency includes in its chapter of the Code of Federal Regulations [CFR] section numbers and language that are identical to those of the HHS codification at 45 CFR part 46, subpart A. <https://www.hhs.gov/ohrp/regulations-and-policy/regulations/common-rule/index.html>.

## **WHY DOES LANDESA REQUIRE THAT ITS RESEARCH ADHERES TO ETHICAL GUIDELINES?**

- Intrinsic power dynamics of development work may cause subjects to believe their participation in a research project or their responses are tied to their ability to benefit from goods, services, or opportunities.
- We often work with populations who may need protection or special consideration.
- We often conduct research on sensitive topics that may put research participants at risk.
- We want to ensure our work adheres to federal and international research ethics standards as well as specific policies or guidelines our funders/partners might have to protect human subjects and “do no harm”.

## **WHAT RESEARCH SHOULD BE COVERED BY LANDESA’S ETHICAL GUIDELINES?**

All research conducted by Landesa or by consultants, contractors, or collaborators on behalf of Landesa.

**Research** includes:

- Systematic and generalizable qualitative or quantitative studies to describe a certain population or situation.
- Systematic qualitative assessments or quantitative evaluations to determine whether and how certain activities, pilots, projects, programs, or policies have worked.
- Systematic monitoring and tracking of progress.
- Geographic mapping that connects with personally identifiable information.

**Anyone generating, handling, or reporting data for research and monitoring** is responsible for respecting and protecting research subjects as follows:

- Paper-based information: surveys, field notes and transcripts shall use identification numbers not respondents’ names. Note that attendance lists include names and other identifiable information that should not be linked to opinions or information given by meeting participants in the same file. Lists with respondents’ names, addresses and IDs should be saved in a separate password protected file and kept separate from their responses.
- Upon return from the research site, all paper data must be secured in a locked filing cabinet in Landesa’s or the contractor’s office and destroyed once the data has been saved in an electronic database.
- All personal identifiable information should be encrypted at all points of the data flow process, from point of origin (interview) to storage on local devices or cloud-based storage.
- Landesa staff and contractors should ensure that respondents’ information is stored in folders with restricted access. Landesa’s lists containing personal identifiable information of respondents should be stored on the data storage teams folder that is only accessible to the Research Activity Lead and Landesa’s IT administrators. In the case of survey data, the researcher should use software that can be encrypted and stored in a folder that is password protected. The password should protect opening or editing the files. Excel and Word allow the user to create passwords.
- When receiving or sending data, request that passwords are sent separately from the links to the encrypted databases. Password can be sent by email, WhatsApp, or other applications that allow the exchange of encrypted information privately.
- Do not share data with personal identification unless specifically agreed upon in a contract. This obligation includes potential government requests to provide names and contact information of participants. Contact the Human Protections Administrator, currently [HPAdmin@landesa.org](mailto:HPAdmin@landesa.org), if you need support to respond a request of that type.
- Recordings during research should start after respondents’ have shared their names and avoid any mentions of their names during the interview. Recordings should be destroyed once an electronic transcript of the conversation exists. Transcripts should not include respondents’ names but should contain identifiers relevant for the research such as gender, age, district.
- During research, do not take photos in which research respondents can be recognized. If photos are needed, researchers can take photos of other people who are from the area but did not partake in the interviews, request their permission to be photographed and add their name, location, and disclosure note to each photo.