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SOCIAL ANALYSIS FOR INCLUSIVE AGRIFOOD INVESTMENTS

FIELD GUIDE



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SOCIAL ANALYSIS FOR INCLUSIVE AGRIFOOD INVESTMENTS

FIELD GUIDE

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Foreword

Investing in inclusive agrifood systems is fundamental to meeting national, regional and global commitments to leave no one behind, the central promise of the 2030 Agenda for Sustainable Development; an “*unequivocal commitment...to eradicate poverty in all its forms, end discrimination and exclusion, and reduce the inequalities and vulnerabilities that leave people behind and undermine the potential of individuals and of humanity as a whole*” (United Nations, 2023).

Inclusivity – as a principle, a process and a result – lies at the core of FAO’s *Strategic Framework 2022–2031*, to ensure that public and private agrifood investments are sufficiently targeted to people who are vulnerable, excluded, or marginalized, empowering them to access productive resources, technologies, financial and other services, business opportunities and decision-making, while respecting human rights.

To support these efforts in an emerging investment context, the FAO Investment Centre has updated its trusted guides entitled *Social Analysis for Agriculture and Rural Investment Projects* (2011), into this three-volume series on *Social analysis for inclusive agrifood investments: a Manager’s guide, a Practitioner’s guide and a Field guide*.

Social analysis plays a crucial role in promoting inclusivity. It builds understanding about the social dynamics that drive inequalities, helping to define appropriate strategies that will make investments more people-centered, demand-driven, inclusive and sustainable.

The guides draw on FAO’s vast operational experience in providing investment and finance solutions to its Members over the past decade. They offer a new analytical framework for social analysis and practical guidance on the approaches, methods and tools to integrate social dimensions into national investments in the agrifood sector. They are addressed primarily to managers and practitioners engaged in the design, implementation and evaluation of public investment strategies, programmes and projects. They may also be consulted by private companies with social responsibility programmes, impact funds, or foundations.

This series will contribute to the design and implementation of investment efforts that can support transformation to more inclusive and sustainable agrifood systems for better production, better nutrition, a better environment, and a better life (FAO, 2021a).



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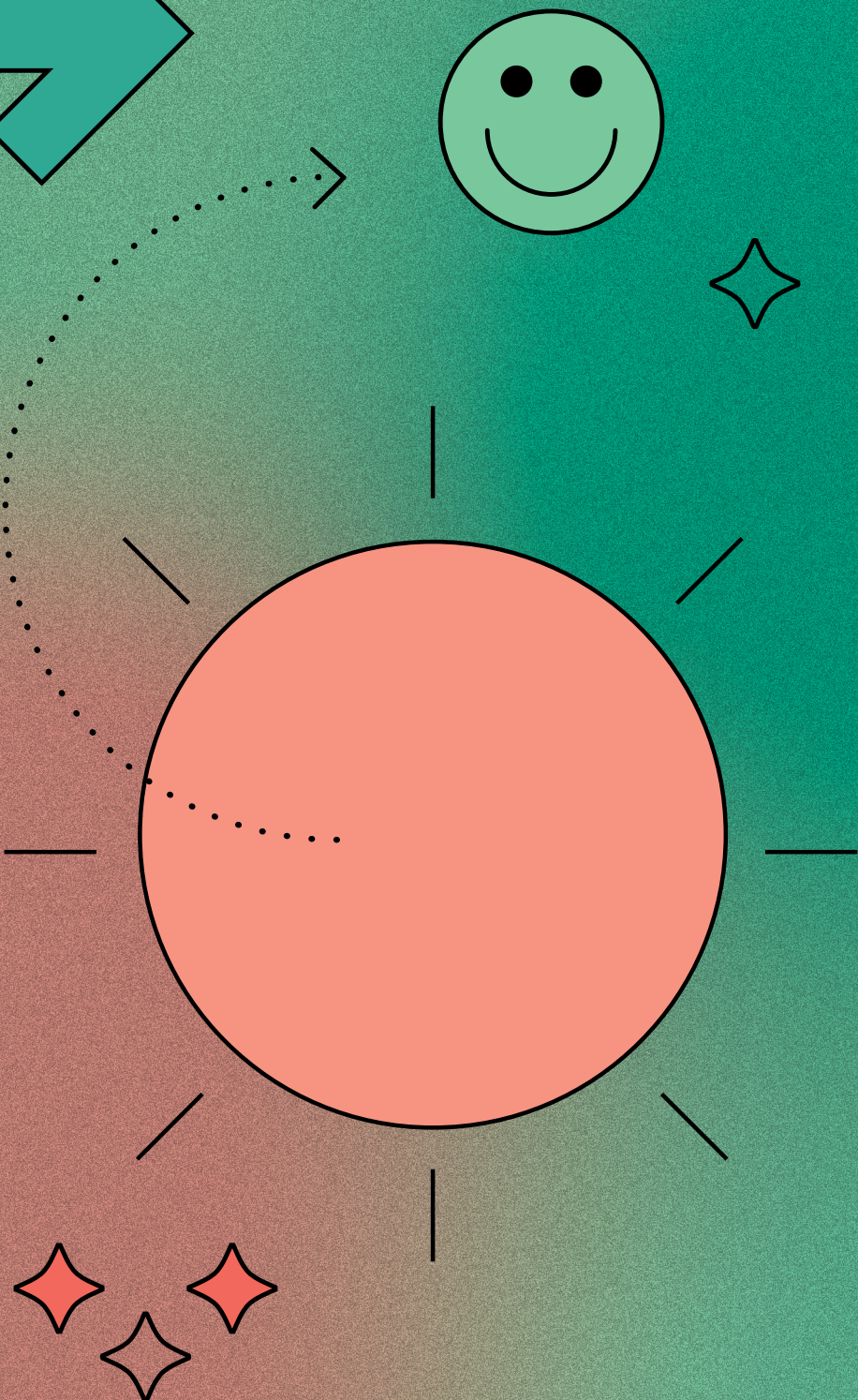
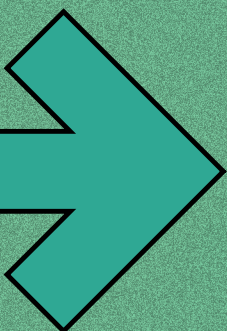
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Abbreviations and acronyms

CBO	community-based organization
CIAC	Community Implementation and Advisory Committee
CSO	civil society organization
FAO	Food and Agriculture Organization of the United Nations
FBS	Farm Business Schools
FFS	farmer field school
FHH	female-headed household
FPIC	free, prior and informed consent
GBV	gender-based violence
IDP	internally displaced person
IFAD	International Fund for Agricultural Development
IFI	international financing institution
JFFLS	Junior Farmer Field and Life Schools
LST	labour-saving technology
MAFFS	Ministry of Agriculture and Food Security
M&E	monitoring and evaluation
MHH	male-headed household
MTR	mid-term review
NCD	non-communicable disease
NGO	non-governmental organization
PPP	public-private partnerships
SDGs	Sustainable Development Goals
SEA	sexual exploitation and abuse
SMEs	small and medium enterprises
SWOT	strengths, weaknesses, opportunities and threats
ToR	terms of reference
UN	United Nations
UNDP	United Nations Development Programme
UNICEF	United Nations Children's Emergency Fund
WFP	World Food Programme
WUAs	water user associations
WUGs	water user groups

INTRODUCTION



More than a decade has passed since the FAO Investment Centre published its three-volume guidance series *Social Analysis for Agriculture and Rural Investment Projects (2011)*. Since then, much has happened. Conflict, climate change and economic turmoil have been driving up poverty, hunger, and socioeconomic inequalities globally. The COVID-19 pandemic and the war in Ukraine have had a serious impact on poverty, hunger and social inequalities, making it difficult to meet the Sustainable Development Goals (SDGs) by 2030.

Prior to COVID-19 and the war in Ukraine, the Food and Agriculture Organization of the United Nations (FAO) had estimated that achieving the Sustainable Development Goal of 'Zero Hunger' (SDG 2) by 2030 would require mobilizing an additional USD 265 billion per year in investment. **To reach the necessary investment levels to ensure sustainable, safe and nutritious food for everyone, the amount and quality of investment into food and agriculture from all sources – public and private, domestic and foreign – must increase dramatically.** Countries and development actors must make a sharp shift from “funding” to “financing,” balancing economic, social and environmental impacts through responsible and sustainable investment practices. To achieve zero hunger or to transform food systems, the quality of investments must increase to apply innovations, build resilience, enhance human and social capital, and improve governance in order to address persistent gender and other inequalities, empower youth, boost all human rights including food, social security and decent employment for all, and target benefits to poor and vulnerable populations.

To address these evolving global challenges over the past years, new analytical concepts, development approaches and thematic focus areas have gained ground and broadened the scope, complexity and cross-sectoral nature of investment operations, calling for ambitious country-driven action towards achieving the SDGs. International financing institutions (IFIs) have been responding to the evolving needs with new project design and implementation features, more engagement with private businesses, and higher requirements for social risk assessments and safeguards. Such responses have increased the need for sound social analysis studies to improve the quality of investment strategies, programmes and projects. They have also created higher demands and expectations on the managers of investment strategies and operations, and on practitioners who carry out social analysis.

The challenges and opportunities we face today create **an important momentum for social analysis to contribute to well-targeted public and private investments** in inclusive, resilient, and sustainable agrifood systems transformation. To achieve this, social analysts are called upon to work closer with their colleagues across multiple disciplines to address a wide range of interlinked dimensions, including: multidimensional poverty; rural–urban linkages; digitalization and e-commerce; food safety, water and sanitation; inclusive and pro-poor value chains; decent employment and child labour risks; social protection; transformative approaches for youth and gender equality; enhanced engagement with Indigenous Peoples and persons with disabilities; hunger and multiple burdens of malnutrition; and the impacts of climate change, conflicts and crises on rural lives and livelihoods.

With these global developments and new strategic directions in mind, and as a contribution to meeting the high demands for social inclusion in today's dynamic context of sustainable food systems transformation, the FAO Investment Centre has updated its older social analysis guides in this new series of three complementary guides – the **Manager's guide**, the **Practitioner's guide** and the **Field guide** – on 'Social analysis for inclusive agrifood investments.'

WHAT ARE THE GUIDES FOR?

Against the backdrop of Agenda 2030 and the United Nations (UN) Food Systems Summit outcomes, the objective of the guides is to improve the design and implementation of public agrifood investments that can support the transformation to more efficient, inclusive, resilient and sustainable agrifood systems for better production, better nutrition, a better environment, and a better life.¹ With little time left until the year 2030, the series ultimately seeks to contribute to the achievement of the principle of *leaving no one behind* that underpins the SDGs.

The guides are primarily intended to support public investment operations funded by governments or financing institutions, aiming to build knowledge and develop capacity for social inclusion in agrifood investments. They are also intended to support national agricultural investment plans and other strategic frameworks related to agriculture and food systems. The guides offer a new analytical framework for social analysis and practical guidance on the approaches, methods and tools to integrate social dimensions into the design, implementation, monitoring and evaluation of national investment projects and programmes. The methodology presented involves studying available secondary data (both quantitative and qualitative) and collecting primary data in the field, using qualitative participatory methods. The guides serve as a comprehensive reference source for social analysis for agrifood investments, providing links to other relevant resources, as well as examples, tools and good practices from different countries and partner agencies. As such, the material presented is intended to be used selectively, to help managers and practitioners meet the specific needs of their assignments: the type of intervention, the concerned sector or thematic focus, the intended target groups, the required depth of the analysis and so on. Considering the context-specificity of the topics examined through social analysis, the various modules, checklists and tools of the guides are meant to be adapted to the sociocultural context of the given investment.

A premise of the guides is that investments are shaped predominantly by the national landscape and enabling environment, and that governments, in collaboration with investment partners, have the primary role and responsibility to catalyse people-centred and inclusive investments, as a priority toward meeting national commitments and global goals.

1 FAO Strategic Framework 2022-2031.

WHAT DO THE GUIDES NOT COVER?

The guides do not intend to directly guide private sector investments from large-scale corporations, national or international businesses. However, the fundamentals of the social analysis process presented in this series are relevant and applicable to private companies and impact investors who aim to include social responsibility programmes in their business models. In addition, the guides acknowledge the crucial importance of enabling policies, promoted by public sector support, which can maximize the outreach and impact of private investments and innovative financial solutions to vulnerable populations. Some guidance is therefore also provided on relevant aspects of enabling private sector investments.

The guides do not cover techniques for conducting analysis using quantitative methods. However, they acknowledge the importance of including all available quantitative survey data (as relevant to each context) in the analysis, complementing them with insights generated through rapid qualitative methods. The guides also recognize the role of the social analyst in contributing to baseline surveys, to ensure that adequately disaggregated data is collected to assess investments' social outcomes and impacts.

Finally, the guides make reference to, but do not provide a detailed exploration of, the wide range of sustainability guidelines, global certifications, and public/private initiatives and technologies that have been developed over the past few years to address social inclusion under the SDGs. A complete review of such new trends in investing for social impact is awaited in a separate series of investment guidelines.

WHO ARE THE GUIDES FOR?

The guides are directed primarily at managers and practitioners engaged in the design, implementation and evaluation of public investment strategies, programmes or projects related to sustainable agrifood systems, working with: governments (ministries and other institutions), national financing institutions, technical partners, non-governmental organizations (NGOs), farmer organizations, and international development agencies, such as the United Nations, IFIs, and bilateral agencies. The guides can also be consulted by private companies with social responsibility programmes, impact funds, and foundations. While different users of these guides (public or private) have different interests, it is assumed that they all have a role to play in promoting social inclusion in agrifood systems.

MANAGER'S GUIDE

For managers of investment operations who are not social analysts.

Focusing on the “why and what” questions of managing social analysis in agrifood investment operations, this guide explains:

- The relevance and benefits of social analysis for improving investment strategy or project design and implementation (Module 1).
- The scope, instruments, process and outcomes of social analysis (Module 2).
- The key considerations for integrating social analysis in the investment cycle (Module 3).
- The demands, responsibilities and operational tasks that need to be managed for social analysis (Module 4).

A glossary is included to explain key social analysis terms. Sample terms of reference (ToR) are also supplied to foster recruitment of suitable experts to carry out the analysis.

PRACTITIONER'S GUIDE

For social analysts working on investment operations

Focusing on the “what and how” questions of social analysis in agrifood investment operations, this guide presents the analytical framework, methodology, tools and concrete tasks for conducting social analysis. It provides guidance on:

- The conceptual framework for social analysis in agrifood investments (Module 1).
- Social analysis in country strategic investment frameworks (Module 2).
- Social analysis in project design (Module 3).
- Social analysis in project implementation and evaluation (Module 4).

Sixteen reference tools and links to additional resources are included to facilitate implementation of the tasks described.



FIELD GUIDE

For social analysts working on investment operations in the field

Focusing on the “how” questions of conducting social analysis in field missions, this guide includes:

- The practical aspects of integrating social analysis into various types of missions (Module 1).
- Data collection activities and checklists for field work at the district level (Module 2).
- Data collection activities and checklists for field at community and household levels (Module 3).
- A toolbox of 20 field tools for social analysis to assist field workers with data collection and analysis (Module 4).

HOW TO USE THE FIELD GUIDE

The purpose of the Field guide is to help the social analyst/field worker generate primary data, using rapid qualitative methods that can help draw a zoomed-in picture of the local social context where investments are being planned or implemented. The Field guide explains what data would typically need to be collected through field visits at the district and community levels, to fill information gaps and complement data sourced from quantitative sample surveys or other available studies. Guidance is provided on how to analyse the data collected in the field to meet the immediate needs of a mission's objectives. Therefore, the approach presented is pragmatic and tailored to the limited time and resources available for typical mission work.

This guide must be used in conjunction with the Practitioner's guide which provides the analytical framework, the methodology, reference tools and guidance on data sources for social analysis in all stages of the investment cycle.

The material included in this guide is to be used flexibly and selectively, to meet the specific project requirements, and the context specificity of local communities. The modules, checklists and field tools are separate entities and can be used independently from the rest of the document, according to the needs of the task at hand. This explains why some content is repeated in the various modules, sections and checklists. The checklists are organized around key relevant areas of investigation, following the conceptual framework and methodical guidelines presented in the Practitioner's guide. These areas of investigation may vary according to the type of project, the objectives it aims to achieve and the country context. In addition to the checklists provided in this guide, a focused collection of twelve sectoral and thematic gender checklists are accessible through the link [here](#) to help practitioners with gender analysis.

Figure 1 presents a workflow chart of social analysis field missions, built around the typical methodological steps of an investment field mission: i) Preparation and field planning; ii) District-level field work; iii) Community-level field work; iv) Analysis of findings; and v) Wrap up. The relevant modules and supporting materials (from this guide and the Practitioner's guide) that can be used for each step in the workflow, are included in the workflow chart.

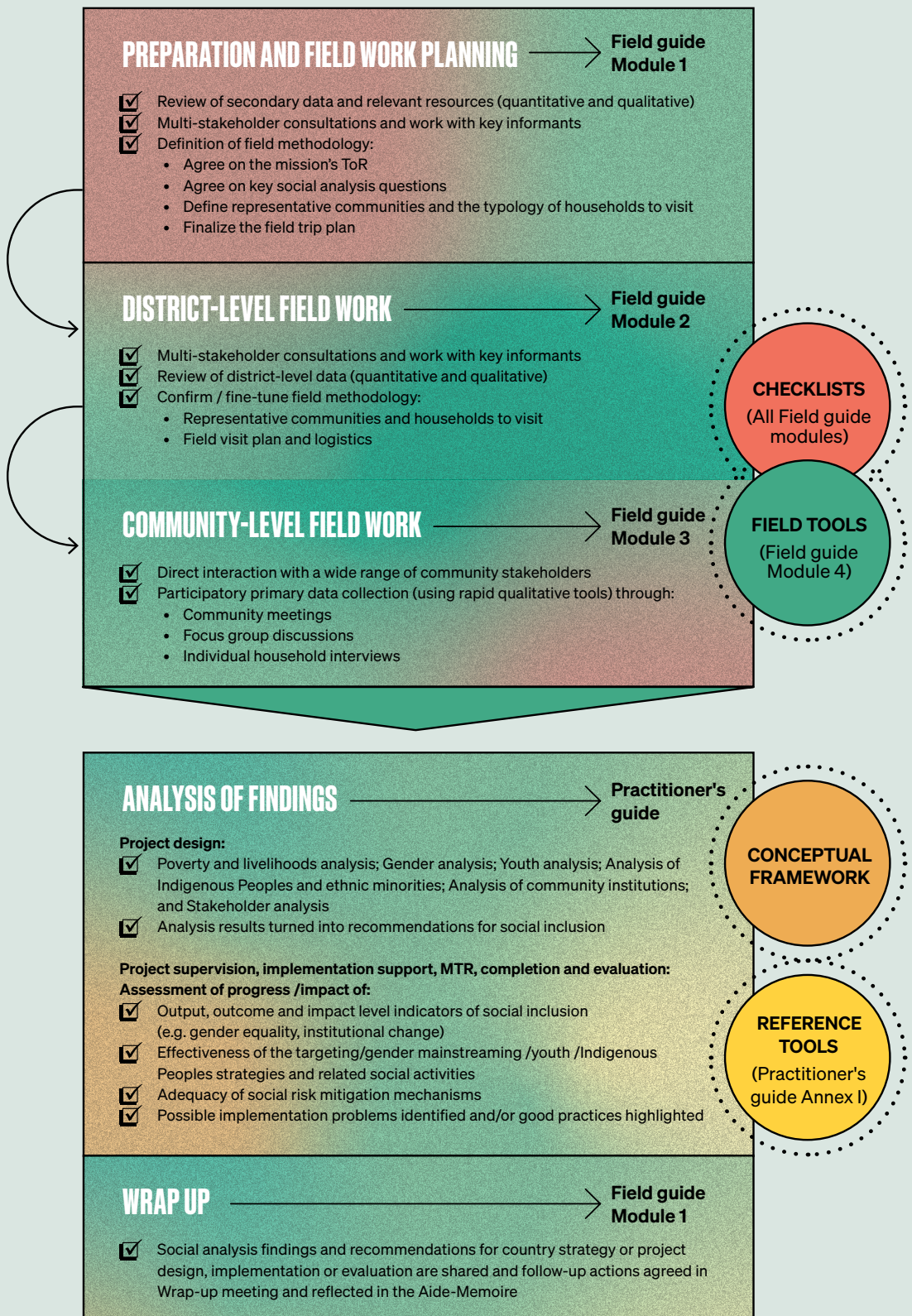
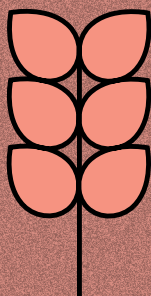
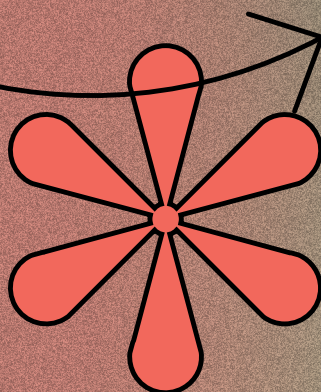
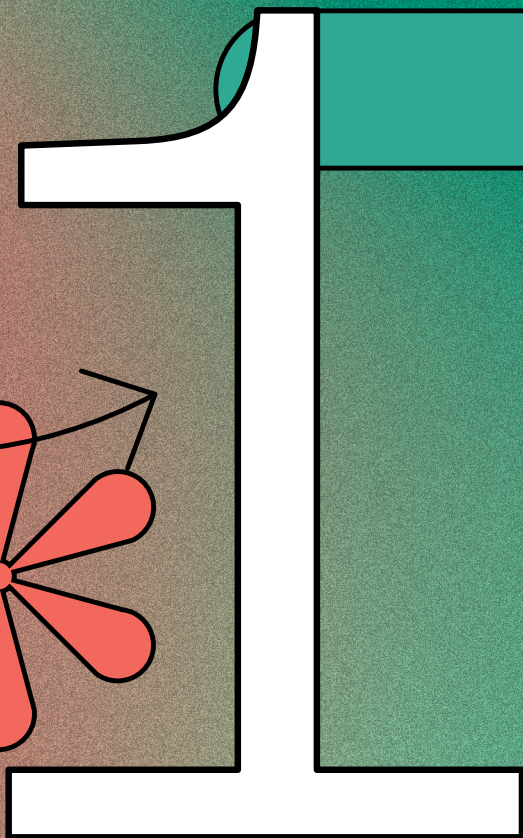
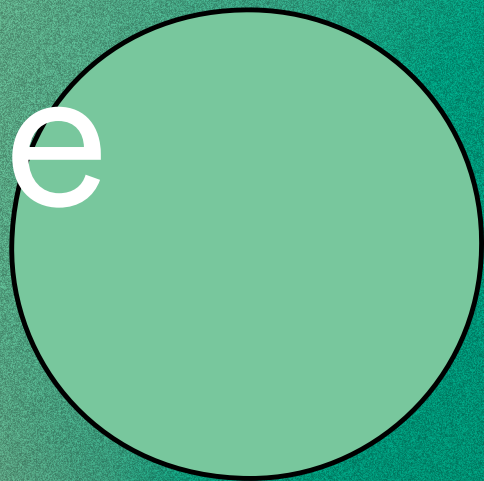


Figure 1
Workflow chart of social analysis field missions

SOURCE: Authors' own elaboration.



Module



Planning and preparing for field missions

This module explains the fundamentals of mission work in the context of agrifood investment design, implementation and evaluation; it outlines the key principles of the **rapid qualitative methods** used in field work. It also provides guidance on how to prepare for field visits through reviewing secondary data prior to the mission, and meeting stakeholders and key informants during the initial stages of the mission.

1.1 SOCIAL ANALYSIS DURING MISSIONS

Much of the work undertaken to design, implement, or evaluate investment projects and programmes is done through short **missions** (see Box 1), involving multi-disciplinary teams of national and international experts, led by a team leader. Carrying out social analysis as part of such missions is very different from undertaking fully-fledged, independent diagnostic studies. It requires intensive field work using **rapid participatory tools** which, even if not statistically representative, **can elicit important qualitative insights that can help investment projects meet their poverty and food security objectives**. It also requires close consultation and coordination across sectors and disciplines, between the social analyst and all other mission members, as well as good team leadership that understands the importance of social inclusion in the context of agrifood systems investments (see the Manager's guide).

Depending on the country leading the process, the financing agency, or the specific project characteristics (sectoral or thematic focus, geographic coverage, complexity and local capacity) design missions can usually take from **two to four weeks**. Supervision and implementation support missions are usually shorter; lasting about **one to two weeks on average**. Mid-term review (MTR), completion and evaluation missions can last between **two to four weeks**, depending on the size of the project, implementation performance and, in the context of evaluation, the defined areas in focus and evaluation questions. **Social analysis is applicable to missions** that are carried out across the investment cycle. Generally, project design, as well as project evaluation require more intensive social analysis.

During missions, the relevant information to support social analysis is collected at all administrative levels in a country, relying on: (i) **secondary data** generated by others using both quantitative and qualitative methods; and (ii) **primary data** generated by the social analyst using rapid qualitative methods in the field. Usually, a social analyst (international or national) on the mission team carries out the social analysis in the field, liaising with other mission members who each have their own technical focus and interest. The length of time spent in the field can be reduced, if virtual means using digital technology (such as video conference meetings) are used for preparation.

BOX 1

SOCIAL ANALYSIS IS APPLICABLE TO ALL TYPES OF MISSIONS

Design missions are fielded for formulation and appraisal of a new investment. Depending on the agency, they may take place in multiple phases, from inception to final preparation of the design document that is submitted for financing approval.

Supervision missions are usually biannual or annual, depending on the agency, stage of project implementation and project performance. Their aim is to support the progress of implementation and identify any issues that may hamper the achievement of project objective.

Implementation support missions are generally arranged on an ad-hoc basis, as needed, deploying a light team (often one or two experts), to fine-tune project implementation arrangements (e.g. on financial management, procurement, monitoring and evaluation (M&E) systems, or support staff to overcome specific bottlenecks).

Mid-term review missions take place halfway through the life of the project, to carry out in-depth assessments of project performance, outcome level results and the likelihood of the project achieving its intended objectives. They may indicate the need to re-design some activities, and/or revise the project's targeting strategies.

Completion missions take place at the end of project implementation to assess impact level results and the achievement of the intended project objectives.

Evaluation missions take place when (or immediately after) project completion, and refers here to agencies' independent function of assessing impact and accountability, and learning lessons for future interventions.

SOURCE: Authors' own elaboration.

1.2 METHODOLOGICAL PRINCIPLES FOR SOCIAL ANALYSIS FIELD WORK

Five key methodological principles can guide the social analyst's field work during missions: (i) participatory and flexible data collection; (ii) data validity and reliability; (iii) data focus and relevance; (iv) diversity, inclusivity and voice; and (v) collaboration and learning. These are described below.

Participatory and flexible data collection

Collecting data in a participatory manner involves using an appropriate mix of methods that allow participants to interact with each other, voice their opinions and reach consensus around potential investment priorities that affect their lives (see more on how to use checklists below and field tools in Module 4). At the core of any engagement with local people during field work lie the values of **honesty, respect and cultural sensitivity**, the bases of trust building. Before engaging into any discussion with community members, it is important to be clear, open and honest about the purpose of the field visit and the limits of its influence on people's possible demands and recommendations. Such honesty will help to avoid raising false expectations that can lead to disappointment, resentment and a breakdown in mutual trust. In addition, being mindful of people's precious time is a crucial part of showing respect. Participants in community meetings have often taken costly time off work, and women in particular have made efforts to find substitutes at home to tend to their household and child care responsibilities. It is therefore important to be on time and to avoid keeping people for too long, especially in peak seasons or during prayer or meal times. **Cultural awareness and sensitivity** (as regards both one's own and that of others) are important to determining how the field worker and participants interact and how the results of field investigations are shaped, minimizing the bias that arises from cultural barriers, different beliefs and values, roles, expectations and power relations (see more on bias in Table 1). Appropriate dress code and body language, for example, are as crucial as respecting local hierarchy, protocols, ceremonies and social rules of hospitality. On these issues, the social analyst and other team members should employ observation and listening skills as well as seek guidance from community-level counterparts.

Collecting data in a flexible manner means considering the enquiry to be a dynamic process, where one discovery may lead to a new literature search that was not envisaged during the preparation stage. It is also important to understand that gathering information during a mission is neither all-encompassing nor definitive: the mission does not need to know everything about a community, and completing a community profile does not imply that nothing more is left to learn about it. Data collection does not always have to be formal or structured. If time and mission logistics allow for travelling from one community to the next, the social analyst should take the opportunity to collect information wherever they are at any given time. Long road trips provide an excellent opportunity for informal discussions with key informants (for example, government officials, project staff, extension officers, service providers, community facilitators, local drivers). To understand core issues relevant to the project, impromptu interviews can be held with people in markets, grain mills, or water points. Conducting interviews in people's homes enables the social analyst to observe all available household assets in addition

to their vulnerabilities, and gain a comprehensive understanding of the relative poverty. In addition, observing people as they work can give valuable insights into age and gender-specific tasks, and related challenges and opportunities. This type of observation cannot be planned, as opportunities often arise unexpectedly, for example, when visiting a beach where boats come in from overnight fishing; visiting fields when farmers are preparing the land; or accompanying forest users while they harvest wild honey.

Data validity and reliability

The availability of good quality and adequately disaggregated data varies considerably from country to country, so any decision regarding what data to collect and from what source, must be made on a case-by-case basis. Triangulation of data is important to strengthen the reliability and validity of data. To ensure this, the social analyst must employ a variety of methodologies and tools to draw information from different sources at different levels (community, district, national), and be strategic *vis-à-vis* the combination of the field tools chosen, in order to maximize the opportunity to cross-check information pertinent to the project (see field tools in Module 4). For example, it is important to test the validity of data by asking similar questions to different types of respondents, both within and outside the community. The findings can then be discussed and cross-checked with other mission members.

Using qualitative methods in the field carries an unavoidable risk of some degree of bias. This is because the social analyst acts as the “instrument” of data collection, using highly interactive methods. In order to ensure the reliability of the social analysis in the field, it is therefore fundamental to be able to identify potential bias and take appropriate preventive measures. Table 1 presents potential types of bias that can emerge during field work, and suggests some appropriate preventive measures for each type.

Table 1
Types of biases in field work and how to avoid them

Type of bias	How to avoid bias	
PARTICIPANT BIAS	Agreement bias: when participants choose positive responses to “agree” with the researcher. They may do this due to fatigue, to complete the interview quickly.	Frame questions that are open-ended to prevent the participant from simply agreeing or disagreeing (replying yes or no), and guide them to provide a truthful and honest answer. Ask the same question in different ways, if you suspect the replies are not truthful.
	Social desirability bias: when participants give answers to questions that they believe will make them likeable, concealing their true opinions or experiences. This may happen especially in cases of sensitive personal or controversial questions.	Phrase the questions in a manner that allows participants to feel accepted no matter what they answer. Opt for indirect questions, for example asking what a third party would say/do in a particular situation. This can help participants to project their opinions onto others and provide more truthful answers.
	Habituation bias: when participants provide the same answers in response to similarly-worded questions.	Ensure that different questions are worded differently and that the questions are engaging and motivating.
RESEARCHER BIAS	Confirmation bias: when the interpretation of information favours or confirms prior beliefs or hypotheses. This may happen unconsciously.	Be aware of your own beliefs and values (cultural, political, etc.) and continually re-evaluate the impressions and responses objectively, avoiding pre-held assumptions. Consider all the information obtained with a clear and unbiased mind.
	Leading questions bias: when questions contain an opinion that prompts participants to respond in a particular way. This is linked to confirmation bias.	Keep your questions simple and neutral, avoiding the use of value laden words that emerge from pre-held assumptions.
	Question order bias: when the order in which questions are asked influences the responses to subsequent questions. This happens when participants compare or judge subsequent questions based on their response to the first question, resulting in inaccurate answers.	Sequence your questions suitably. Ask general questions first, before moving to specific, more sensitive or controversial questions.

SOURCE: Authors’ compilation, adapted from Shivanee, S. 2019. *7 Biases to avoid in qualitative research*. In: Statement of the Problem. www.editage.com/insights/7-biases-to-avoid-in-qualitative-research

Data focus and relevance: using checklists

For the social analysis results to be relevant, useful and specific to the purposes of a given mission, it is crucial to formulate a set of appropriate questions that will guide the work during the various levels of investigation. For this purpose, the Field guide offers a number of different checklists which can assist the work of the social analyst in the three typical types of missions during the investment cycle: (i) design; (ii) implementation support, supervision, or mid-term review; and (iii) completion or evaluation. See Box 2 on how to use these checklists. It is important to note that, during implementation support and evaluation missions, the ability to get adequate answers to the questions, depends heavily on the choice of the social indicators included in the project’s knowledge management and M&E system, and the quality of the mechanisms used to monitor them.

BOX 2

HOW TO USE THE CHECKLISTS IN THIS GUIDE

The checklists are phrased as guiding questions which are by no means meant to be used verbatim. It is up to the social scientist to tailor the questions to the appropriate context and audience, remembering to:

- ✓ Select the questions that are most relevant to the sectoral focus, objectives, and interventions of each specific project or programme.
- ✓ Formulate additional questions as needed.
- ✓ Prioritize the questions, considering logistical constraints (e.g. time) and the likelihood of yielding reliable answers from respondents.
- ✓ Adapt the wording to the local context and the realities (including the educational level) of the respondents.

SOURCE: Authors' own elaboration.



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Checklists are meant to guide the social analyst through the key relevant areas of investigation, in order to ensure that no important information is left out. They contain suggested guiding questions which need to be selected, prioritized and adapted to the appropriate context and audience, based on the social analyst's best judgement.

When using the checklists, the social analyst needs to be mindful of the rights of participants and interviewees (see Box 3) as well as making efforts to mitigate bias (see also Table 1) by paying attention to:

- knowing the audience: ask the right questions to the right people and find ways to help them feel at ease with the process;
- facilitating, listening, observing, probing and learning;
- making questions simple, clear and unambiguous, especially when relying on a translation;
- using visual methods for recording data (such as maps or matrices) to enhance participants' engagement;
- asking open-ended questions phrased in a neutral manner to avoid leading participants to a specific answer;

- keeping discussions focused on the specific mission’s scope and data needs, while at the same time allowing for some degree of diversion from a strict frame of questions, to allow the capture of unexpected but useful insights;
- seeking breadth by asking similar questions to different respondents across the same level;
- seeking depth by asking more specific questions as the enquiry moves closer to rural communities, households and individuals.

BOX 3

RIGHTS OF PARTICIPANTS AND INTERVIEWEES

Any interviewee has the right to:

- ⊗ Not be asked personal questions about someone other than a very close dependant.
- ⊗ Not be subjected to behaviour that is ill-mannered, overbearing, threatening or patronizing.
- ⊗ Not have their courtesy, tolerance and patience strained by excessive questioning and visits that are too long or too frequent.
- ⊗ Privacy, including the right to withhold personal information.

SOURCE: FAO. 2011. *Social analysis for agriculture and rural investment projects. Field guide*. Rome. www.fao.org/3/b1183e/b1183e.pdf

Diversity, inclusivity and voice

The understanding of diversity is fundamental to ensuring that all views are captured during field inquiries, paying special attention to the poor and those who experience higher levels of vulnerability, exclusion and marginalization, through their livelihoods in agrifood systems. They typically include small-scale producers and family farmers, pastoralists, small-scale fisherfolk, small-scale foresters and forest communities, agricultural wage workers, informal micro enterprises and workers, as well as landless people and migrants. Among them, some groups face exclusion and marginalization due to race, sex, poverty and socioeconomic status, language, ethnicity, religion, age, disability, caste, sexual orientation, Indigenous self-identification, health status, migrant status, minority status, geographical location (such as urban/rural, conflict affected areas), or other grounds.

Data should be collected from different communities within the same agroecological zone or area covered by a value chain, in order to distinguish between findings that are generic, and those that are specific to a location, or a household. If different pictures are emerging about the same topic, it is important to scrutinize the findings through further enquiries rather than reject conflicting information. Different views and perspectives are welcome and useful to get a genuine picture of the situation, as perceived by different stakeholders. Special attention should be paid to the rights of Indigenous Peoples (see Box 4).

To capture the realities of those who are often overlooked:

- meet women, men and youth and other marginalized groups as applicable/appropriate, in order to generate the broadest range of views and opinions;
- involve all those present in structured discussions (possibly in separate social subgroups, e.g. of women, or youth only) so that quieter people can make contributions and proceedings are not dominated by a few;
- exercise active listening and participant observation; record all viewpoints, not just those of the more articulate;
- ensure that individual households interviewed reflect the diversity within a community; there can be a tendency to visit households that are well-known by village leaders or extension staff. To the extent possible, make random visits to people living in poorer housing or to those with fewer assets;
- make sure to include women in the fieldwork team, such as counterparts from the extension service or community facilitators, to enable women members of the community to feel more at ease and to express themselves more freely;
- ensure that traditional authorities/village leadership as important allies are involved, to prevent possible tensions in the community and to minimize the risk of them feeling threatened and undermining the project;
- engage with any formal or informal community-based organizations (CBOs) present in the village (women groups, youth groups, farmer associations, water user associations [WUAs] and other) to understand local organizational capacities and social cohesion.

BOX 4

PAYING SPECIAL ATTENTION TO THE RIGHTS OF INDIGENOUS PEOPLES

- ➔ Free, prior and informed consent (FPIC) must be ensured when projects affect/could affect Indigenous Peoples and their territories.
- ➔ FPIC is required prior to the approval and/or commencement of any project that may affect the lands, territories and resources that Indigenous Peoples customarily own, occupy or otherwise use in view of their collective rights to self-determination and to their lands, territories, natural resources and related properties.
- ➔ The result of an FPIC process can be any of the following: consent from the Indigenous Peoples' community on the proposed activity; consent after negotiation and change of the conditions under which the project will be planned, implemented, monitored and evaluated; or the withholding of consent.
- ➔ Indigenous Peoples can withdraw their consent at any stage during the life of a project.

SOURCE: Authors' own elaboration.

Collaboration and learning

The social analyst – supported by the team leader – has the responsibility to bring a collaborative approach to fieldwork that cuts across sectors, disciplines and assigned roles in a mission. A close collaboration between international team members and national counterparts enhances the likelihood of understanding the sociocultural environment and reflecting relevant concerns into the design and implementation support process. Brainstorming regularly during fieldwork enables all stakeholders to share insights, triangulate information and strengthen each other's understanding. Through engaging other team members in community focus group meetings or household interviews, the social analysis can also help reduce researcher bias (see Table 1), as this limits the risks of the personal opinions and assumptions of one person influencing the findings. Every mission is unique and provides an opportunity for all parties to learn. For the social analysis it is also important to mentor less-experienced local stakeholders, to strengthen their analytical skills and capacities to carry out social analysis for the benefit of future investment operations.

1.3 REVIEW OF SECONDARY DATA AND RELEVANT RESOURCES

Good preparation is important for determining the quality of the social analysis results and the extent to which they will be able to inform the process of project or strategy design, implementation or evaluation.

Prior to a country strategy or a project design mission, the sociologist will review relevant secondary data on the country's national institutional and socioeconomic context, using a range of data from national and partner agency sources. Table 2 summarizes the key secondary data sources to consult. Considering the time limitations of a mission, a simple survey in the local language could (if feasible) be developed for a small sample of households in the target area. Under the social analyst's guidance, such work can be carried out by a service provider, such as a local institute or NGOs before the mission, to be subsequently triangulated and complemented through focus group discussions in the field.

Early in a country strategy or a project design mission, the social analyst will explore: (i) the social implications of poverty, food insecurity, malnutrition, rural livelihoods, including gender inequalities, and challenges facing rural youth and other disadvantaged groups; and (ii) the policy, social and institutional environment and any gap that should be addressed through policy dialogue and engagement. During such an inquiry, the social analyst will identify how the social considerations in the proposed strategic pillars or project components can contribute to national priorities and plans. The field-work findings can contribute to defining the objectives, target groups and areas of intervention, in accordance with national priorities and with a focus on social inclusion. In cases where target areas, sectoral focus and broad interventions have already been defined, prior to the social analyst's involvement, the findings can contribute to developing activities and measures, within the given parameters, that can ensure maximum benefits to small-scale actors and vulnerable populations.

Early consultations at the national level can serve to identify stakeholders who have an interest and potential to contribute substantially to the social analysis field visits and the wrap-up meeting at the end of the mission (see more in Table 2). They can help identify secondary data sources – if not widely available online. Table 2 includes some of the most important national data sources that are relevant to assessing poverty, vulnerability, food insecurity and social inequality in the agrifood sectors. The Practitioner's guide (Task 1 / Module 2) provides details on the types of indicators and measures that countries use to report progress against SDG targets and relevant global conventions, standards and treaties.

Table 2
Secondary data sources

<ul style="list-style-type: none"> • National data drawn from statistically representative surveys (incl. national censuses, vulnerability surveys, etc.). • Peer-reviewed papers. • SDG Voluntary National Reviews. • National development plans. • Poverty reduction plans and programmes. • National policies/reviews on food security and nutrition. • Public expenditure reviews. • Annual poverty monitoring reports. • National policies, programmes and action plans on: <ul style="list-style-type: none"> • Gender equality and women’s empowerment. • Youth (employment, sports, etc). • Indigenous Peoples or ethnic minorities. • Disability. • Social protection. • Land tenure, ownership and inheritance rights; national land registration/titling. • Decent employment and child labour. • Farmer associations and agricultural / rural cooperatives. • National or regional sectoral policies and investment strategies (agriculture, rural development, education, health) that incorporate issues relevant to the social groups listed above. 	
Multilateral/bilateral agency documents	Country’s global commitments
<ul style="list-style-type: none"> • United Nations Development Programme (UNDP) Human Development Report. • FAO - The State of Food Security and Nutrition in the World. • World Food Programme (WFP) – Vulnerability Analysis and Mapping. • World Bank annual reports. • United Nations Children’s Emergency Fund (UNICEF) and World Health Organization reports. • International Fund for Agricultural Development (IFAD Rural Development Reports). • UN agencies country assessments. • Donor agencies’ country strategies. 	<ul style="list-style-type: none"> • SDGs, particularly SDG 1 (no poverty), SDG 2 (zero hunger), SDG 5 (gender equality) and SDG 10 (reduced inequalities). • Convention on the Elimination of All Forms of Discrimination against Women (CEDAW). • Voluntary Guidance on the Responsible Governance of Tenure of Lands, Fisheries and Forests. • Principles for Responsible Investment in Agriculture and Food Systems. • United Nations Declaration on the Rights of Indigenous Peoples. • Global Compact for Migration, etc.

SOURCE: Authors, based on FAO. 2011. *Social analysis for agriculture and rural investment projects. Field guide*. Rome. www.fao.org/3/b1183e/b1183e.pdf

1.4 MULTI-STAKEHOLDER CONSULTATIONS AND DEFINITION OF FIELD METHODOLOGY

At the start of a mission, the team meets to clarify roles and responsibilities amongst the members, and to explore opportunities for collaboration around key thematic areas, as per their ToR. Social aspects are cross-cutting and hence all mission members should take them into consideration when covering their own specific area of expertise, in close collaboration with the social analyst. At this stage, multi-stakeholder consultations are held, mostly at the central level (the capital), but also at other administrative levels depending on the country's decentralized structure (state, provincial, district, municipal levels). Typically, such meetings include relevant government departments' rural advisory services and other technical staff from relevant sectors, other UN agencies, international and national NGOs, producer associations, and private sector actors.

There are four core aims of the consultations:

- 1 to share and agree on the mission's ToR;
- 2 to agree on the key social inclusion questions to be addressed;
- 3 to define representative communities and the typology of households to visit:
 - representative sites and communities, are selected based on agreed criteria such as: agroecological zones; climate fragility; remoteness; presence of poverty, food insecurity, Indigenous Peoples or ethnic minorities; presence (or absence) of external support; potential linkages with other programmes; market potential;
 - representative households and socioeconomic groups would include potential beneficiary groups (or existing ones, in the case of implementation missions) such as smallholder producers or other small-scale value chain actors, female farmers, rural youth, landless people, Indigenous Peoples and ethnic minority groups; and their organizations, e.g. farmer groups, women's groups, youth groups, rural cooperatives, WUAs, etc;
- 4 to finalize the field visit plan and assign government counterparts to support the mission. Typically, a counterpart will be assigned to support the work of the social analyst, at the central level and/or at the district level.

Table 3 lists some of the key national stakeholders to consult with, for data collection and field mission preparation, especially for country strategy or project design, but also in other project cycle stages. The secondary information obtained from these sources will be triangulated during field work at the district and community levels. At the end of the field work, during wrap-up consultations at the central level, the social analyst will have the opportunity to brief the government and other stakeholders on the findings, seek their insights to fine-tune the assessment, and solicit their feedback on the proposed recommendations emerging from the social analysis work.

Table 3

Who to meet: National stakeholders/key informants for data collection

Sector	Organizations to meet	Focus areas for discussion
Government and national bodies	Ministry of Agriculture (covering all subsectors and issues of natural resources and climate change and/or rural development and/or food security)	<ul style="list-style-type: none"> • Gender aspects, women and youth. • Extension and business development services. • Farmer associations and rural cooperatives. • Agricultural research and development. • Agribusiness, market access and agrifood value chains. • Rural finance. • Food security.
	Ministry of Gender/Women or Community Development/ Social Affairs	<ul style="list-style-type: none"> • Gender issues. • Women, youth, Indigenous Peoples and ethnic minorities, persons with disabilities, internally displaced persons (IDPs). • Social protection. • Development planning. • Decent employment and child labour.
	Ministry of Local Government	<ul style="list-style-type: none"> • Decentralized planning
	Ministry of Land	<ul style="list-style-type: none"> • Land tenure security; land user, ownership and inheritance rights; land registration and titling, including for women and youth. • Security of tenure of ancestral land, territories and forests for Indigenous Peoples; displacements and resettlements.
	Agricultural research institutes, universities and other relevant academic bodies	<ul style="list-style-type: none"> • Rural sociology, ethnology, anthropology, gender and women issues. • Agricultural research and development. • Linking agricultural research with the extension system?
	Ministry of Education	<ul style="list-style-type: none"> • School attendance and drop out trends. • Content of school curricula.
	Ministry of Land	<ul style="list-style-type: none"> • Nutrition (including undernutrition, overweight and obesity). • Public health issues (food-related non-communicable diseases [NCDs], water-borne diseases, etc.). • Water and sanitation.
Quasi-government	Project management unit (if already established)	<ul style="list-style-type: none"> • Responsibilities for targeting, gender, youth, social inclusion and community development. • Knowledge management and/or M&E.
Donors	Multilaterals UN agencies (UNDP, FAO, IFAD, UNICEF, UNFPA, WFP) Bilaterals	<ul style="list-style-type: none"> • Complementarity of mandates around issues of gender, youth, social inclusion and community development. • Potential collaboration/partnership and co-financing opportunities.
Civil society	NGOs, agricultural and rural cooperatives, farmer/producer organizations, apex and umbrella organizations	<ul style="list-style-type: none"> • Social mobilization and community development. • Potential collaboration/partnership as implementing partners.
Private sector	Agribusinesses and associations of small and medium enterprises (SMEs): <ul style="list-style-type: none"> • Agricultural and rural service providers (trade, technologies, digital support, etc.). • Microfinance institutions. • Impact Investors. 	<ul style="list-style-type: none"> • Private service provision, digital solutions and other innovations, business arrangements or public-private partnerships (PPPs).

SOURCE: Authors, based on FAO. 2011. *Social analysis for agriculture and rural investment projects. Field guide*. Rome. www.fao.org/3/b1183e/b1183e.pdf

1.5 WRAP-UP MEETINGS

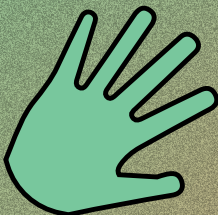
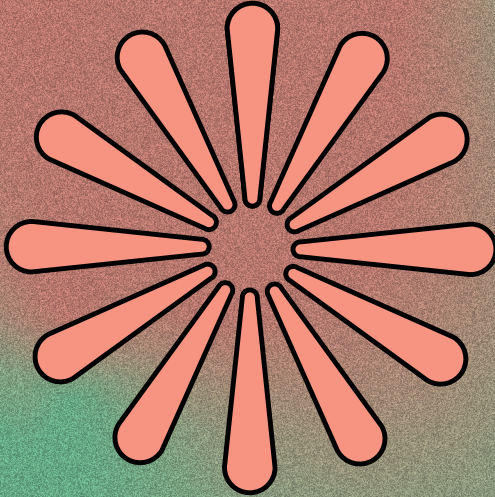
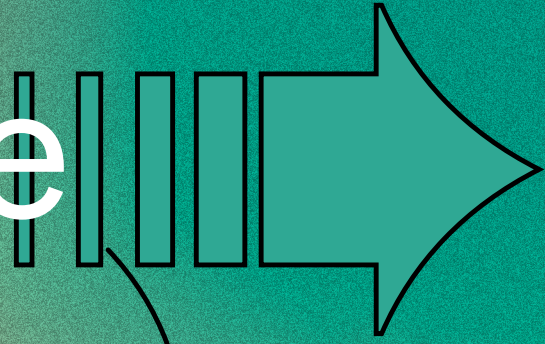
A **wrap-up meeting** is usually held after the field visits, at the very end of a mission, to share, discuss and confirm the key mission findings and recommendations with relevant national stakeholders, led by the main government implementing agency. They also serve to jointly agree on the necessary follow-up actions (from all sides) and the timeframe for further collaboration, in the completion of the mission's assignment and deliverables.

An **Aide Memoire** is usually drafted by the team leader – drawing on contributions from all mission members – summarizing the findings and agreed follow-up actions. This short document is submitted to the lead implementing agency and revisited in subsequent missions pertaining to the same project. For the social analyst, wrap-up meetings and contributions to aide-memoires provide good opportunities to present the most relevant findings and recommendations on the social dimensions of a project and to flag possible issues of social inclusion that require special attention.

Following the end of the mission, the social analyst drafts the social analysis outputs, as agreed in each particular case. These may include: working papers, annexes or other inputs contributing to investment documents submitted for approval by financing or other institutions. See Module 3, Task 2 Practitioner's guide *Turning analysis results into social inclusion project strategies*.



Module



Conducting district-level field work

This Module provides guidance on how to collect information at the district level, through multi-stakeholder consultations with key informants around guiding questions which may vary across the various stages of the project cycle: (i) design; (ii) implementation, supervision, MTR; and (iii) completion and evaluation. For each of these project cycle stages, this module provides: an explanation of the purpose of the consultations and data collection; an indicative list of who to meet; and checklist with the typical questions to cover. See section on data focus and relevance and Box 1 on how to use the Checklists.

2.1 WHO TO MEET

It is important for field missions to interact directly with a **wide range of stakeholders in the districts** where the project's target communities are located. District government staff and other stakeholders can provide valuable information on the programmes that are ongoing in the district and the approaches they adopt to engage various social groups. In addition, they can also inform about the availability and capacity of service providers to promote social inclusion, gender equality and women's empowerment, and community development. To make the best use of time and to avoid overburdening district-level counterparts, the social analyst should seek to limit the information sought at this level to what has not been possible to obtain from statistics and literature online, or through national-level multi-stakeholder consultations. The relevant institutions to liaise with at the district level are similar to those visited at the national (central) level. The key informants for data collection are therefore also similar, but closer to the target communities. The district-level private sector stakeholders will likely differ considerably from the larger national-level players (although linked to them), in terms of influence and service provision. Table 4 offers an indicative list of the institutions to meet at the district level for each focus area of discussion.

Table 4

Who to meet: District-level stakeholders/key informants for data collection

Sector	Organizations to meet	Focus areas for discussion
Government	District staff from Ministry of Agriculture and/or Rural Development and/or Food Security, including extension officers	<ul style="list-style-type: none"> • Agriculture, agribusiness sector, agrifood value chains. • District-level extension and business development services. • Gender aspects, women, youth and other socially excluded groups. • Farmer groups, associations and rural cooperatives. • Agricultural research and development. • Access to rural financial services. • Food security and nutrition.
	District staff from Ministry Gender/ Community Development/ Social Affairs/ Education/ Local Government	<ul style="list-style-type: none"> • Gender issues. • Women, youth, Indigenous Peoples and ethnic minorities, persons with disabilities, migrants and internally IDPs, people living with chronic diseases. • Social protection. • District and community development planning. • Decent employment and child labour. • Civil society organizations (CSOs) and CBOs.
	Health services	<ul style="list-style-type: none"> • Local basic health facilities, including for pregnancies, nurses. • Specific health issues depending on the context (e.g. HIV/AIDS, Ebola, COVID-19, malaria, etc.) particularly access to information, services, and testing.
	Ministry of local government or planning	<ul style="list-style-type: none"> • Decentralized planning
	Ministry of Land	<ul style="list-style-type: none"> • Land disputes, titling, registration, allocation of user rights. • IP issues, including any displacement and resettlement in the district area.
	Ministry of Water	<ul style="list-style-type: none"> • Construction and maintenance of rural infrastructure, including irrigation canal, pumps, wells. • Registration and capacity building of WUAs.
Political	Local government councils	<ul style="list-style-type: none"> • Development planning and implementation. • Community mobilization.
Civil society	NGOs and CBOs, including district-level apex associations, WUAs, etc	<ul style="list-style-type: none"> • Producer organizations. • Income-generating groups. • Self-help groups. • Adult literacy classes. • Input/service provision for member CBOs. • Management and maintenance of rural infrastructure.
Private	Agribusinesses Agricultural and rural advisory services Financial Services	<ul style="list-style-type: none"> • Input supply. • Transport. • Market intermediation: trade, wholesale. • Processing. • Retailing. • Microfinance products and services. • Potentials to link with smallholder producers and other small-scale value chain actors through mutually beneficial business arrangements, or PPPs.

SOURCE: Authors, based on FAO. 2011. *Social analysis for agriculture and rural investment projects. Field guide*. Rome. www.fao.org/3/b1183e/b1183e.pdf

2.2 COLLECTING INFORMATION FOR PROJECT DESIGN

Read Module 3 Practitioner's guide – The objectives of district consultations at the project design stage are to:

- * identify key informants to interview among district-level stakeholders, such as donors, institutions, service providers, or private businesses operating in the area. Some could become future partners or implementers;
- * discuss the proposed project focus and objectives, and their relevance to the local context;
- * seek advice on the identification of target villages for the project and on arrangements for field visits;
- * at the end of community-level field work in the district (see Module 3), share findings with key stakeholders, soliciting their feedback and gaining further insights, in order to strengthen their validity and relevance to the project objectives. The findings are usually also discussed at a final, more formal, wrap-up meeting at the central level, at end of the mission (see section on wrap-up meetings above).

Guided by the conceptual framework presented in Module 1 of the Practitioner's guide and the analytical approaches that serve as entry points for social analysis (presented in Module 3 of the 1 of the Practitioner's guide) the social analyst typically assesses the following social aspects of agrifood systems in the district: demographic trends; farming, agrifood and rural livelihood systems; poverty, food security and nutrition; land access and tenure security; social inclusion, gender equality and women's empowerment issues; specific challenges facing rural youth; Indigenous Peoples and ethnic minorities; migrants, refugees and IDPs; differentiated impacts of shocks and vulnerability; rural institutions and community development, including the role and capacities of CBOs or apex associations; and agricultural/rural advisory services, financial services and social protection.

District-level Checklist 1 aims to help the social analyst in their investigation during project design.

X DEMOGRAPHIC CONTEXT AND TRENDS

- ✦ What is the total number of **villages** within the district and the villages to target? Which criteria can be used for village targeting?
- ✦ What is the total number of **households** at the subdistrict level and the number of households to target – if available?
- ✦ What is the incidence of farming households or **households depending on rural livelihoods**, poor households, single-headed households, households with members with disabilities or affected by chronic diseases (as relevant)?
- ✦ What criteria can be used for **household targeting**?
- ✦ What are the basic **population's characteristics** by rural vs urban context, age, gender and ethnicity (as relevant)?
- ✦ Is there a significant **migration** trend? What kind of migration is it about (rural-to-urban; stress versus voluntary; temporary, seasonal, permanent; outside the country)? What are the main drivers and the positive and negative effects of it?
- ✦ Is there a significant flow of **remittances** due to migration? Are there links with diaspora communities, including flows of funds channelled to the district for investments of common interest?
- ✦ If present, what is the incidence of **specific social groups** such as migrants, refugees and/or IDPs; Indigenous Peoples and ethnic minorities; people affected by chronic diseases; persons with disabilities; and old people engaging in the agrifood sector and/or heads of households (as relevant)?

X FARMING, AGRIFOOD AND RURAL LIVELIHOOD SYSTEMS

- ✦ What are the main **small-scale farming, livelihood and agrifood systems** in the district, including: rainfed crops and irrigated crops; livestock subsectors (i.e. small ruminants, poultry and dairy) and production systems (i.e. sedentary crop-livestock, nomadic pastoral or agropastoral...); forest and non-forest products; and/or small-scale fisheries and aquaculture – as applicable?
- ✦ What are the main **agrifood chains and commodities** produced, marketed and/or having employment generation and market potential as well as nutritional value? What are those involving women, young people and Indigenous Peoples?

- ✦ What are the criteria that qualify a **smallholder producer** in the district (farmland size, livestock size, etc.)?
- ✦ What type of **off-farm and non-farm** activities do smallholders generally perform? What activities do they perform of subsistence nature or commercial level and on seasonal or occasional basis?
- ✦ At which stage of the agrifood chain are smallholder producers involved? What are the main **challenges and barriers** they face to participate and benefit equally?
- ✦ What are the main **differences in livelihood assets, strategies and outcomes** between women, men, young people and other socially excluded groups? Are there any differences for women-headed households or other single-headed households?

✦ POVERTY

- ✦ **How many poor** households or people live in the district and, if available, at subdistrict level (i.e. municipal level, cluster level, village level)? What is the **poverty incidence**?
- ✦ What poverty data are **disaggregated** by urban/rural areas, women/men, male-headed households (MHH) and female-headed households (FHH), youth, Indigenous Peoples/ethnic minority groups and other socially excluded groups?
- ✦ Where are the **poor/poorest villages** of the district located?
- ✦ What are the main causes and **characteristics of rural poverty** in the district? What are the main coping mechanisms?
- ✦ Are there any **gender-based differences** in poverty: characteristics of poor women, sources of vulnerability, coping mechanisms, ability to recover?
- ✦ Was the district affected by any external **shocks** such as conflict, climatic hazards, large-scale land acquisitions? Which villages were hit in particular? Has it recovered?
- ✦ What have been **district responses** to poverty: programmes, support mechanisms, safety nets? Are there currently or were recently implemented in the district public, donors' or NGO poverty reduction programmes that project could link up and/or complement?



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FOOD AND NUTRITION SECURITY

- ✦ What is the number and/or incidence of **food insecure people** or households in the district and, if available, at subdistrict levels? What is the prevalence of malnutrition (including overweight and obesity) and diet-related NCDs, particularly for women (including pregnant and lactating women), adolescent girls, children, the elderly, and people with chronic diseases – as relevant?
- ✦ What is the prevalence of **under-5 children stunting and wasting**, maternal malnutrition and women suffering from anaemia (especially pregnant and lactating women), if relevant?
- ✦ What are the main **causes of food insecurity/malnutrition** in the district?
- ✦ What is the **food availability** and supply situation at the district level? Do individuals have adequate incomes or other resources to purchase or barter food?
- ✦ Are people able to consume an **adequate, nutritional and diversified diet** throughout the year? How is this defined?
- ✦ What are the **challenges** in accessing adequate, nutritional and diversified household diets?
- ✦ Are there **social groups** facing more challenges in accessing food? If so, which ones and why?
- ✦ Are there **markets or food distribution points** at the district level? If so, are they well connected, or can they easily be reached by district villages? Do women face restrictions in **mobility** to reach the market or distribution point?
- ✦ How do smallholder producers generally sell their produce? Individually, through middlemen or traders or through CBOs?
- ✦ What is the level or incidence of **post-harvest losses** at district level? What are the main causes? Are post-harvest storage and processing facilities and transportation available at the district level? Do farmers and their organizations use them? If not, why?
- ✦ What is the percentage of people communities with access to **water and sanitation** facilities and health care? What ongoing water, sanitation and health programmes are being promoted in the district, if any?
- ✦ Are there **schools or community vegetable gardens** in the district and if so, are they grown and used to conduct nutrition education activities?

X LAND ACCESS AND TENURE SECURITY

- ✦ What is the average household's **farmland size** at district level? Who can access and use the land? What is the cause and the incidence of **landlessness**?
- ✦ What are the customary norms and institutions to access land and affecting land use, property and inheritance rights and tenure, particularly for women and young people?
- ✦ What are the existing **land rights** – registered and unregistered – especially for women? Are women aware of their land rights? Do they access to legal and paralegal services to claim their rights?
- ✦ **How is land generally acquired?** For example, through purchase, inheritance, distribution/titling programmes, leasehold, sharecropping, customary rights? Who can acquire the land?
- ✦ Was/is a **land registration/titling** programme implemented in the district? Is it implemented in a gender-equitable manner?
- ✦ What are current **trends** occurring in the district with respect to landholdings: land fragmentation, landlessness, large-scale land acquisitions, involuntary resettlements, and land conflicts?

X SOCIAL INCLUSION AND GENDER EQUALITY

- ✦ What are the main **social and gender equality** issues at district level?
- ✦ What are the existing customary laws, **cultural norms** and/or informal institutions perpetuating social and gender inequalities, discrimination and exclusion? How do they influence the roles and opportunities that women and men can have at both household and community level? How do they inhibit women's social and economic empowerment?
- ✦ What are the main **disparities** (based on gender or other criteria) and the specific challenges of women (and other disadvantaged groups) in access to assets, markets, (digital) technologies, training, employment, income-generating opportunities? What is the situation with respect to women's control over benefits and income deriving from their different livelihood sources?
- ✦ What is the level of **participation** of women (and other disadvantaged groups) in CBOs and/or small and SMEs, including in leadership positions? What is the extent to which such groups enjoy equal labour conditions, including equal wages or pay?

- ✦ What are the main **intra-household gender disparities**? For example, imbalanced workloads, unequal food allocation and lack of women's decision-making?
- ✦ What are the main **district responses** to social and gender inequalities and to promote social inclusion and women's empowerment?

X YOUTH INCLUSION

- ✦ **Who is considered "young"** in the district? Based on what criteria (e.g. age, gender, marital status, employment condition...)?
- ✦ What is the level of **education** by gender and age, and the incidence of school dropouts in the district?
- ✦ What is the incidence of **unemployed** young people, by gender, age and other social criteria?
- ✦ Are there particularly **vulnerable groups of youth** at risk in the district and if so, who are they (rural migrants, young people with disabilities, young girls)?
- ✦ What are young people's **food consumption habits** and patterns by gender, age and other social criteria (for example, consumption of locally-grown, traditional foods versus imported, highly processed food)?
- ✦ What are the main challenges encountered by young people who work (or wish to work) in the **agrifood sector and the rural economy**?
- ✦ Do young people working in the agrifood sector generally perform on-farm or off/non-farm activities? Do they engage in **agribusiness** and access agrifood chains? Do they work in producer associations, cooperatives or SMEs? What is the incidence of self-employment and wage **employment**?
- ✦ Do young people have opportunities to develop business and **entrepreneurial skills** in the district? Are there vocational training or other entrepreneurship development centres?
- ✦ What are the main coping strategies of **unemployed youth** (e.g. migration)?
- ✦ Is there community **land** available at the district level that could be allocated or leased to young people to engage in farming?
- ✦ Are there **financing institutions** channelling financial services to young people? What are the barriers (if any) for young people accessing these products and services?
- ✦ What is the presence of **youth groups** or councils in the district? What is the level of participation of young women and men in CBOs as members or leaders of CBOs, including in district-level apex/umbrella associations?

- ✦ What is the incidence of **households headed by children or young people** (by gender and age)?
- ✦ What is the incidence of **child marriage** and early pregnancies in the district? What are the reporting and protection mechanisms put in place at the district level, if any?
- ✦ What have been the **district's responses** to youth issues, particularly unemployment, lack of access to farm land, limited access to financial services – as applicable? What are the ongoing programmes or social protection schemes implemented in the district, if any, the project could link up/build on?

X INDIGENOUS PEOPLES AND ETHNIC MINORITIES

- ✦ Which Indigenous Peoples, ethnic minority groups, scheduled tribes or castes reside in the district? Where are they concentrated what is their relative **population number**?
- ✦ Do they live together with other **communities** and what kind of relationship, exchanges do they have? Are there conflicts among the different groups and if so, why and how are these addressed?
- ✦ What are the Indigenous Peoples' or ethnic groups' **distinctive characteristics** in terms of social, cultural, farming, livelihoods, food, land and natural resource management?
- ✦ What are their territorial, **land and ecological management** practices and to what extent do they contribute to environmental conservation and biodiversity protection?
- ✦ What are the main **livelihoods sources** of Indigenous Peoples? Have they maintained their traditional livelihoods or are they shifting to market-oriented activities?
- ✦ What are Indigenous Peoples' local/**traditional crops**, plants, breeds, seeds and how are they used (e.g. for food, medicine, and other)? What are their traditional non-farm activities?
- ✦ What are the main government or **donor programmes** in support to Indigenous Peoples or ethnic minorities, if any?
- ✦ Do Indigenous Peoples have full access to their **ancestral territories**? If not, what are the challenges related to displacement? What have been district responses and how can the issue be addressed in the context of the project?
- ✦ What **type of support** would be more appropriate to extend to these groups through the project, including Indigenous women and Indigenous youth in particular?

X MIGRANTS, REFUGEES AND IDPs


- ✦ How does migration affect households' **livelihoods** (e.g. positive impact form of remittances or additional income; negative impact of agricultural workforce scarcity, increased workloads for women)?
- ✦ What are the main **adverse effects of migration** at the district level – if relevant: shortages in labour supply, aging population, feminization of agriculture, left-behind children?
- ✦ What is the **incidence of refugees and/or IDPs** in the district? From where and why? What are the specific programmes social protection schemes in support of them? What kind of activities can the project implement to target them?

X SHOCKS

- ✦ What are the main **shocks, sources of vulnerability** and/or epidemics in the district – as relevant? What is their incidence and who are affected (by gender, age, and other factors as relevant)?
- ✦ What are the main **drivers** of the shocks? How do they impact different socioeconomic groups? What are the coping mechanisms and how successful and sustainable are they?
- ✦ When it comes to **epidemics** (e.g. HIV/AIDS, malaria, COVID-19, Ebola), what is the number of new infections and related deaths, orphans and vulnerable children left behind?
- ✦ To what extent have these shocks had an **impact** on the availability and effectiveness of service providers, including the extension system and agricultural and rural advisory services?
- ✦ What kind of **support** has the district provided to help households respond to these shocks?
- ✦ How adequately do existing **safety nets**, informal social networks and CBOs provide support to the affected communities?

INSTITUTIONAL AND STAKEHOLDER MAPPING

- + What are the main institutions in the district that would be relevant to engage or that can influence the project?
- + Which **institutions are involved in the agrifood sector** and the rural economy: what do they do (economic, social, political, level)? Are they public, private, CSOs, NGOs? How can they collaborate with the project?
- + What are CBOs present at the district level, including apex/umbrella associations, if any? What services do they offer and what is their development status?

 See relevant field tool from the Module 4: [Field Tool 6 \(Stakeholder analysis\)](#)

COMMUNITY DEVELOPMENT

- + Are district **planning process** regularly conducted and if so, how (e.g. in a consultative and participatory manner or mainly driven by district staff) and to what extent are they socially inclusive? How can this be improved?
- + What are **good examples** of district planning processes, if any, implemented by district- level government, NGOs, private sector, which could be built on, consolidated or replicated by the project? Any **bad examples** and ideas on how to address the reasons for failure?
- + What type of **capacity building is required** at the district level in the area of community planning and development?

X ACCESS TO INFORMATION, FINANCIAL AND AGRICULTURAL AND RURAL ADVISORY SERVICES

- ⊕ What **microfinance** institutions are available at the district level, if any? What kind of financial products do they offer specifically tailored to the needs and conditions of small-scale value chain actors, including women and youth, if any?
- ⊕ To what extent do these institutions equally accept women's and men's applications for saving and lending products? What type of collateral they require and to what extent does this, or other factors, constitute a **barrier to access credit**?
- ⊕ How does the **public extension system** work at the district level? What are its gaps and problems?
- ⊕ How are the agricultural and rural advisory services **tailored to the specific needs** of women, youth, Indigenous Peoples and ethnic minorities, and other socially excluded groups? For examples, in terms of availability of female extension workers, training arrangements matching the needs and mobility restrictions of women, language and contents of extension materials, adequacy of instruments used (rural radios, mobile phones, leaflets with pictorial contents, and other.)?
- ⊕ How are **farmer field schools (FFSs)** if available, organized to ensure equal participation?
- ⊕ What are good examples of **private-led extension** (e.g. through private extension workers, CBOs, private sector engagement, PPPs) at the district level, if any, that the project could learn from and/or replicate?
- ⊕ What services are available in the district for **market information** (e.g. on prices) business development and entrepreneurship? What are the **gaps** (if any) in accessing these services? How are they addressed?
- ⊕ Do the extension and advisory systems incorporate information or **education messages** related to gender and social equality, importance of a diversified and nutritional diet, disaster risk preparedness and prevention, HIV/AIDS prevention and stigma – as relevant).

2.3 COLLECTING INFORMATION FOR PROJECT IMPLEMENTATION, SUPERVISION, OR MID-TERM REVIEW

Read Module 4 Practitioner's guide – The purpose of the district-level consultations during implementation is to gain insights into the project's performance relevant to social issues, particularly around possible problems encountered in the following areas:

- * **relevance** of project activities to the interest and capacities of the target groups;
- * **outreach** of project benefits to vulnerable populations, assessing the implementation of appropriate mechanisms that ensure social inclusion in project interventions and minimize discrimination or elite capture;
- * **strengthening of CBOs** to become more inclusive, demand-driven and responsive to the needs of their members;
- * **coordination** between different implementing partners and service providers in gender mainstreaming and the integration of other social inclusion issues (youth, etc.);
- * **planning, reporting, knowledge management and M&E of activities** related to gender and youth mainstreaming, social inclusion and mobilization and community development.

The District-level Checklist 2 aims to help the social analyst in their investigation during project implementation, supervision, or MTR. It is important to note that the ability of district-level counterparts to answer the questions in Checklist 2 depends heavily on the choice of the social indicators included in the project's knowledge management and M&E system, and the quality of the mechanisms used to monitor them. More methodological details on how to conduct social analysis during project implementation and evaluation are provided in Module 4 of the Practitioner's guide.

A number of questions listed in District-level Checklist 1 above, may also be relevant to include in the investigation.

X PROJECT MANAGEMENT AND IMPLEMENTATION ARRANGEMENTS

- ✦ Have adequate project management and **implementation arrangements** at the district level been put in place?
- ✦ Is the **institutional set-up and capacity** in place adequate for project execution and delivery at the district and subdistrict levels?
- ✦ Do project staff and service providers at the district level receive adequate **guidance and support** from project management unit and other implementing partners?
- ✦ Has the **recruitment** of competent district-level staff and the contracting of service providers responsible for social inclusion, been completed?
- ✦ How familiar are district-level staff and service providers with project **activities that aid in improving social inclusion** (e.g. community development approach, targeting strategy, gender/youth mainstreaming strategy)? Have related district-level action plans been developed and implemented accordingly? With what achievements or difficulties?
- ✦ What are the **outstanding procurement issues**, if any? Particularly those related to service providers and NGOs responsible for community-level activities, which would require action or follow-up from national or district government.
- ✦ What kind of **training** did district-level staff and service providers receive on project management aspects (planning, reporting, disaggregated M&E, gender issues, community development and participatory approaches)? How well was the training taken up and reflected in reports prepared to incorporate social and gender issues?
- ✦ How well does the **project M&E system** reflect an adequate disaggregation of outcome-level indicators to monitor social change and impact?
- ✦ What are the **success stories, good practices and innovations** on promoting gender equality and women's empowerment, social inclusion, youth engagement, etc. that could be documented and replicated?



X FARMING, AGRIFOOD AND RURAL LIVELIHOOD SYSTEMS

- ✦ What are the **main criteria** adopted by the project to support farming, livelihood and agrifood systems and value chains in the district?
For example: i) matching needs, interests, and capabilities of small-scale value chain actors; ii) suitability to agroecological conditions; iii) economic profitability; iv) market demand or potential; and iv) employment generation, especially for the poor and socially excluded groups.
- ✦ What kind of **cash income generating opportunities** is the project generating or enhancing (e.g. on-farm, off-farm and non-farm sectors; wage and self-employment; rural cooperatives and SMEs)?
- ✦ How is the project contributing to **diversify households' livelihood strategies**, adopt sustainable coping mechanisms and strengthen resilience to shocks, including climatic variability and hazards?
- ✦ What kind of **business arrangements** between smallholders and the private sector has the project established (e.g. out-grower schemes, contract farming, PPPs)?

X POVERTY AND FOOD INSECURITY

- ✦ What kind of interventions is the project implementing to reduce **poverty, food insecurity, malnutrition and social inequalities**?
- ✦ What are project interventions to promote a **diversified, nutritious and healthy diet**? For example, setting up home, school and community gardens; nutrition education; school meals programmes, etc.
- ✦ How effective is the project in improving **food security and nutrition of the target group** (e.g. changing dietary habits; increased in quantity and quality of foods consumed and daily meals).



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X SOCIAL INCLUSION AND GENDER EQUALITY

- ✦ How is the project contributing to **reducing social and gender disparities** and enhancing women's access to inputs, assets, services, information, employment opportunities, (digital) technologies, markets and value chains?
- ✦ What kind of support is the project extending specifically to **women, young people and socially excluded** as relevant, to enhance their access to and security over land? For example, supporting the implementation of land certification/titling programmes; changing or enforcing land-related policy; providing legal or paralegal advisory services on land issues...
- ✦ What kind of support is the project extending to **small value chain actors**, including women, young people and other socially excluded people as relevant, to enhance their access to financial services (e.g. linkages with financial institutions; support to CBOs providing rural finance)?
- ✦ How effective is the project in enhancing **women's control over incomes** from new livelihood sources and employment?
- ✦ How is the **participation** of women and other socially excluded groups being enhanced at household and community levels?
- ✦ How effective are project interventions in reducing **women's workloads** – both domestic and in farming – (e.g. introducing labour saving technologies, sensitizing men at household level to more equitable workloads, etc.)?
- ✦ What are the **specific interventions** implemented by the project to reach different social groups, including the poor and socially excluded?
- ✦ What interventions are implemented by the project targeting specifically **vulnerable women** (e.g. women heads of households, young women and girls, women from Indigenous Peoples and ethnic minorities, pregnant and lactating women...)?²
- ✦ In what ways, and with what results, has the project linked up with **social protection** /safety net programmes targeted to vulnerable people?

X YOUTH INCLUSION

- ✦ Which different **age segments** (14-17 and 18+), subgroups and vulnerable youth is the project targeting?
- ✦ Is there a project **youth engagement strategy**, and is it being implemented adequately? Is it gender sensitive?

² See Practitioner's guide Module 2.1 on the importance of intersectionality with gender: age, ethnicity, marital status, health status, dis/ability, socioeconomic condition, and others, which may exacerbate inequalities, social exclusion and poverty.

- ✦ How successful is the project in **removing the barriers** for young men and women to access decent and meaningful employment opportunities in the agrifood value chains? What kind of interventions specifically targeting youth has the project implemented (e.g. facilitating their access to community land, sharecropping arrangements, linkages with financial institutions...)?
- ✦ What kind of **wage employment** or self-employment opportunities in the agribusiness and agrifood sector are young men and women able to access thanks to the project?
- ✦ What is the level of **youth participation** in community needs assessment and development planning process?
- ✦ Has the project facilitated the formation of **youth groups** or young women and men's participation in groups and associations, including those for the protection of rural workers? To what extent has the project strengthened existing youth groups, cooperatives and SMEs?

✦ INDIGENOUS PEOPLES AND ETHNIC MINORITIES

- ✦ In what ways is project **engaging with Indigenous Peoples, ethnic minorities** and/or scheduled tribes and castes present in the district?
- ✦ How is the project **valuing, supporting or strengthening** their distinctive social, cultural, farming, livelihoods, food and territorial management systems as relevant?
- ✦ Is Indigenous Peoples' knowledge respected following principles of intellectual property rights and the **application of FPIC**?
- ✦ How has the project enhanced **land access and tenure security** for Indigenous Peoples and ethnic minorities? For example, through policy dialogue on issues such as restrictions over access to territories, forced displacements, etc.).
- ✦ How has the project engaged **Indigenous youth** to enhance their livelihood opportunities?
- ✦ How is the project valuing and supporting Indigenous Peoples' **practices for the sustainable management of natural resources**, and environmental protection?
- ✦ How successful is the project in promoting healthy diets, based on **local and traditional foods** which are increasingly being replaced by highly processed foods?

X COMMUNITY DEVELOPMENT

- ⊕ How effectively has the project provided **capacity building** to district-level stakeholders in community planning and development?
- ⊕ In what ways has the project supported **district-level CBOs** and apex/umbrella associations? Is their strengthened capacity evident in areas of inclusiveness, and improved services to their membership)?

X ACCESS TO INFORMATION, FINANCIAL AND AGRICULTURAL AND RURAL ADVISORY SERVICES

- ⊕ To what ways has the project strengthened microfinance institutions' outreach, inclusiveness, responsiveness to the needs of small actors in the agrifood value chains?
- ⊕ How has the project built capacity for existing and the public agricultural and rural advisory service system?
- ⊕ In which way is the project facilitating or enhancing **women's and youth's access to financial services**? For example, support in the development of specific financial products, provision of literacy and numeracy training...
- ⊕ Is the project promoting and capacitating **private-led or farmer-to-farmer extension services** and if so with which institutional models (e.g. private community-based extension workers, CBOs, FFSs, Junior Farmer Field and Life Schools (JFFLS), Farm Business schools (FBS), contract farming or PPP arrangements) at the district level?
- ⊕ In which way is the project working to make extension and advisory services **better tailored and responsive to the target groups**? For example, by mobilizing women, young people, Indigenous Peoples and ethnic minorities to become community-based extension workers/service providers; ensuring that training arrangements match the needs and mobility restrictions of women; using indigenous languages and adjusting the contents of extension materials; improving the tools adopted (e.g. rural radios, mobile phones, leaflets with pictorial contents, etc.); incorporating market business and entrepreneurial development services.
- ⊕ To what extent is the project **enhancing the capacity of the extension system** to sensitize or inform around gender and social equality, nutritional aspects, disaster risk preparedness and prevention, and HIV/AIDS prevention and stigma?

2.4 COLLECTING INFORMATION FOR PROJECT COMPLETION AND EVALUATION

Read Module 4 Practitioner's guide. At project completion and evaluation, the team meets with district-level implementers, including service providers, to assess the project's higher-level indicators (outcome and impact), guided by the standard parameters for evaluations: relevance, effectiveness, efficiency, impact, sustainability, and replication and scaling-up. Around these parameters, the social analyst focuses on the extent to which the project:

- * **reduced poverty** and food insecurity among the target population, particularly socially excluded groups;
- * **increased assets**, incomes and livelihood sources of the target groups in a sustainable manner;
- * **enhanced access to information, services, employment opportunities, technologies and markets**, particularly for poor people and socially excluded groups;
- * **improved access to and consumption of nutritious, safe and diversified foods**, including for pregnant and lactating women, girls and children;
- * **reduced social inequalities**, women's socioeconomic empowerment and gender transformative impacts;
- * **strengthened CBOs** to become more inclusive and responsive to the needs of their members; and
- * **strengthened resilience to shocks** among rural households and communities.

A well-designed investment project should include adequate indicators in its M&E systems to ensure a suitable measurement of the above outcomes, including through end-line surveys. To enable the assessment of a project's success in reducing social inequalities, survey data must be sufficiently disaggregated along the lines of the social groups examined.

District-level Checklist 3 aims to help the social analyst during the investigation.

X FARMING, AGRIFOOD AND RURAL LIVELIHOOD SYSTEMS

- ⊕ To what extent has the project enhanced or secured **smallholder producers'** access to inputs, assets, information, training, (digital) technologies, mechanization, services and markets?
- ⊕ To what extent has the project contributed to better integration of small-scale actors into agrifood value chains, in a way that they **participate and benefit equally**?
- ⊕ How effective has the project been in creating **decent and gainful employment** (including in non-farm sectors and in SMEs) for the target group?
- ⊕ How has the project contributed to strengthen households' **resilience to shocks** (including climate change), coping mechanisms, and disaster risk preparedness and management capacity?
- ⊕ What benefits have the **business arrangements and PPPs** introduced by the project brought to smallholders? What other benefits have these arrangements delivered to the whole community (e.g. development of infrastructure, employment generation)?

X POVERTY, FOOD INSECURITY AND MALNUTRITION

- ⊕ Is there **evidence of poverty reduction** among the target population? How may this be attributed to the project's interventions?
- ⊕ Is there **evidence of improved food security and nutrition** in the district (i.e. reduced stunting and wasting, micronutrient deficiencies, anaemia, overweight and obesity and/or diet-related NCDs)? How may this be attributed to the project's interventions?
- ⊕ Has poverty, food insecurity and malnutrition been reduced consistently across target villages, households and target groups in the district? If not, **who remains behind and why**?

X SOCIAL INCLUSION AND GENDER EQUALITY

- ⊕ What benefits has the project brought to the **targeted women and other socially excluded groups**, as relevant? (e.g. greater access to inputs, assets, services, information, digital technologies, employment opportunities, markets; land tenure security and land rights; greater voice and decision-making power at household and community levels; ability to control income deriving from their farming, marketing and income-generating; more equitable workloads)
- ⊕ What measures have been taken by the project to challenge and **change existing social norms** and informal institutions that perpetuate social and gender inequalities? How successful have they been?

X YOUTH INCLUSION

- ⊕ What benefits has the project brought to targeted **young women and men**? (e.g. better access to education, vocational training, and skills development, coaching and mentoring opportunities; access to decent employment opportunities in the agrifood sector (including wage employment and self-employment in producer associations, cooperatives and SMEs; access to land and financial services; increased youth groups/CBOs and young members and leaders).
- ⊕ What positive trends have been recorded at the district level, as a result of project interventions, relevant to rural–urban migration of unemployed youth; and increased school attendance by girls and boys).

X INDIGENOUS PEOPLES OR ETHNIC MINORITIES

- ⊕ How has the project contributed to **improving the living conditions** of Indigenous Peoples, ethnic minorities and/or scheduled tribes and castes present in the district?
- ⊕ How successful was the project in **respecting and valuing** Indigenous Peoples' distinctive social, cultural, farming, livelihoods, food and territorial management systems?
- ⊕ Are Indigenous Peoples' knowledge and views respected following principles of intellectual property rights and the **application of FPIC**?
- ⊕ In what ways were these distinctive characteristics **strengthened** for the benefit of preserving natural and cultural environments, promote recognition of rights over land and territories; and ensuring peaceful integration and coexistence?

X COMMUNITY DEVELOPMENT AND CBOs

- ⊕ How well did the project contribute to **enhancing local capacity** in district planning process (e.g. making processes more consultative, inclusive, participatory and relevant to local needs; and integrating into national development planning)?
- ⊕ How successful was the project in **strengthened district-level CBOs** and apex/umbrella associations (e.g. making CBOs more inclusive, better managed, and able to provide responsive and financially sustainable services)?
- ⊕ How does the level of **development and maturity of CBOs** compare to the baseline assessment (if conducted) at project design?

X ACCESS TO INFORMATION, FINANCIAL AND AGRICULTURAL AND RURAL ADVISORY SERVICES

- ⊕ How has the project supported **microfinance institutions** and the public extension system? How are the result evident in enhanced capacity, outreach and responsiveness to demand?
- ⊕ What alternative mechanisms for **service provision** did the project create or strengthen to fill the gaps of public extension? How likely are they to continue supporting communities after project closure?

2.5 COLLECTING ADDITIONAL INFORMATION FOR SOCIAL RISKS ASSESSMENT

Read Module 3, Task 3 of the Practitioner's guide (Assess and manage social risks and adverse impacts). Social risk is understood both as an external risk to project success and as a risk created by the project itself, which negatively affects the project objectives. Social risks and possible adverse impacts must to be assessed during project design and monitored during implementation. At the design level, the social analyst identifies what risks may be expected and defines the adequate preventive management measures to be adopted. Mitigation measures must be put into place for each of the risks identified. During project supervision or MTR, the social analyst will assess whether there are any adverse impacts arising from project implementation, assess potential new risks, and identify mechanisms to mitigate or address such impacts. At project completion and evaluation, the social analyst will review project impact, including any adverse impact on the target group, as well as the project's performance in implementing effective safeguards in a timely manner.

To inform the risk assessment process, the social analyst will complement the data gathered at district levels with additional elements, without necessarily carrying out a separate activity. The guiding questions provided here can be used in this process, bearing in mind that these can also be used during community-level fieldwork. It is important to note that the checklists include the main risks that are typically included under the social safeguard policies of governments, development agencies and IFIs. There are many more risks associated with rural people's vulnerabilities and poverty, which are addressed under the broader tasks, described in Modules 2 and 3 of this guide. These include risks such as social exclusion, elite capture, or low performance of country institutions and implementing partners. For detailed methodological guidance on assessing and managing social risks and adverse impacts, see Module 3 and Resource tools 10 and 11 in the Practitioner's guide.

District-level Checklist 4 aims to help the social analyst collect the information needed to carry out social risks assessment during project design, and to assess the effectiveness of safeguard measures put in place to prevent and mitigate those risks.

✘ RISKS OF SOCIAL EXCLUSION AND GENDER INEQUALITY

- ✚ What are specific **risks and vulnerabilities affecting women** (e.g. gender-based violence [GBV], child marriage, sexual exploitation and abuse [SEA])? What are the prevention, mitigation, reporting and redressing mechanisms available at the district level the project could link to? Who manages them (government, CSOs, NGOs, other donors)?
- ✚ What are the main types of **GBV** in the district (e.g. socioeconomic, physical abuse, sexual violence, emotional and psychological abuse, or harmful traditional practices)? How is the project responding to them? Are there risks that the project may exacerbate GBV or SEA during implementation? If so, how?
- ✚ Is **child marriage** a common practice in the district? What is its incidence? Does it affect both boys and girls? What are the main reasons behind this practice? Are there programmes addressing this issue in the district? How can project interventions contribute to preventing or reducing GBV and child marriage?
- ✚ What project activities are likely to **exacerbate social discrimination and gender inequalities**? Why?
- ✚ Are project activities likely to **increase women's workloads**, for example, through the introduction of new targeted income-generating activities? How may this affect the whole household (e.g. declining nutrition, girls' schooling interrupted due to need for house help, etc.)? What are the measures adopted to counter these effects (e.g. gender transformative approaches for equitable household workloads, labour-saving technologies, mechanization)?

✘ RISKS RELEVANT TO DECENT RURAL EMPLOYMENT

- ✚ Are **labour standards** respected in the rural working environment in the district? What are the main sectors where such risk is higher (informal/casual agricultural labour, value chains...)?
- ✚ Do smallholder producers and rural workers access **social protection** schemes? How can these be extended to employments generated/supported by the project?

- ✦ Are employees organized in **informal workers' networks** and associations also dealing with decent employment and child labour? Do they have the adequate capacity, information and skills? To what extent are women, young people and other socially excluded groups represented?
- ✦ Are some investments (e.g. in infrastructure construction) likely to lead to exploitative labour conditions?

X CHILD LABOUR RISKS

- ✦ What **forms of child labour** (e.g. forced, hazardous, and other) are common in the district, according to data (if available) and counterparts' assessment?
- ✦ What is the prevalence of boys and girls engaging in agricultural labour? Are girls and boys exposed to **different risks and hazards**?
- ✦ What is the most common **sector or subsector** of work and the typical tasks of boys and girls?
- ✦ What mechanisms are available at the district level to **prevent** child labour that the project could link to? Who manages them (government, CSOs, NGOs, other donors)?
- ✦ Are investments in certain value chains likely to increase the demand for child labour? In what ways?

X RISKS RELEVANT TO ACQUISITION/INVOLUNTARY RESETTLEMENT, ESPECIALLY FOR INDIGENOUS PEOPLES

- ✦ Did involuntary displacements or resettlements occur in the past in the district and/or in the potential project areas? Where and to what extent (size of the area, number of people involved)? **Why, by whom and who are the affected people?**
- ✦ What was the ownership status and use of the **land**? Did displacement lead to loss in individuals', households' or community assets?

- ⊕ Did any land acquisitions lead to loss of **vital natural resources or assets** (e.g. agricultural land, crops, trees, housing, facilities, services and households' income, livelihoods sources and socioeconomic activities, Indigenous Peoples' ancestral land, territories, cultural heritage, production, or livelihoods systems)?
 - ⊕ What type of land will be affected (e.g. private, commonly managed or government's land) and what are its current use and users (e.g. tenants without land titles or sharecroppers)?
 - ⊕ Will the acquisition permanent or temporary?
 - ⊕ Whether effective mitigation or compensation mechanisms have been put in place.
 - ⊕ Whether the transaction happened without coercion, and based on FPIC.
- ⊕ Are there disputes around **past or potential** involuntary displacements or resettlements? Why?
- ⊕ Is the project likely to cause disputes, involuntary displacements or resettlements in the project areas? How high is this risk and where (to what extent) might it occur? (size of the area, number of people at risk)

X OTHER RISKS

- ⊕ Are project investments in new market opportunities likely to affect **local food production** to the detriment of food security?
- ⊕ Are project investments in expanded livestock raising likely to affect **land access and use**? Who will be affected?
- ⊕ Are investments in certain subsectors (e.g. water) likely to increase public health risks, such as waterborne diseases or malaria?
- ⊕ What are the risks of increasing competition for scarce natural resources (e.g. land, water) and exacerbating conflict within the community? What are the dispute resolution mechanisms in place (if any) to address such risks?

+ DURING PROJECT DESIGN, FOR EACH OF THE RISKS IDENTIFIED, THIS FOLLOW-UP QUESTION MUST BE ASKED:

- + What prevention and mitigation mechanisms can be put in place (including dispute resolution, compensation mechanisms, etc.)?

+ DURING PROJECT IMPLEMENTATION SUPPORT (SUPERVISION, MTR), COMPLETION AND EVALUATION, FOR EACH OF THE RISKS IDENTIFIED THIS FOLLOW-UP QUESTIONS MUST BE ASKED:

- + What relevant mechanisms were be put in place by the project and were they effective in preventing, mitigating or compensating for the identified risks?
- + For Indigenous Peoples: were all project decisions based on FPIC?

District level data sourced from across sectors can provide evidence of ineffective prevention and mitigation mechanisms, for example: reporting of poor or discriminatory or labour conditions, sexual abuse (to the extent reported), inspection reports, school drop-out rates, adverse public health impacts, hospital referrals, etc.

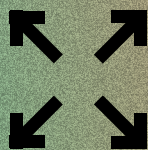
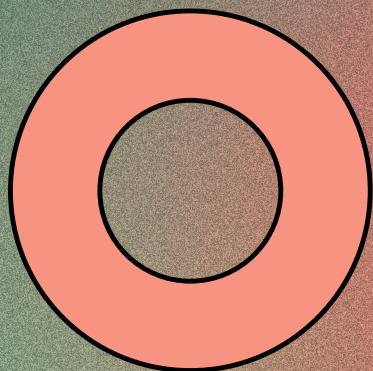
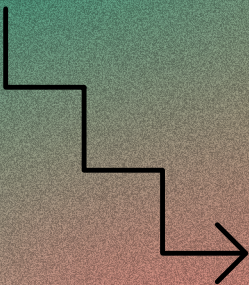


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Module



Conducting community-level field work

It is essential for field missions to interact directly with a wide range of community stakeholders to gain as comprehensive as possible an understanding of community-level realities. Perspectives may vary considerably among individuals within the same household, groups of people within the same community, and between community and district-level leaders.

This module provides guidance on how to collect information in communities, using three key methods:

- 1 community meetings;
- 2 focus group discussions; and
- 3 individual household interviews.

The findings from the community-level field work will serve to triangulate and complement the information gathered at the district and national levels to inform the overall analysis, which is usually discussed at a wrap-up meeting at the end of the mission (see section on Wrap-up meetings in Module 1).

BOX 5

DEFINITION OF "COMMUNITY"

A "community" refers to the locus where all members of a group of people who know each other, have some form of collective claim over a territory and recognize some form of collective governance, and that can be given the opportunity to influence decisions on matters of public choice that affect their livelihoods.

SOURCE: FAO. 2011. *Social analysis for agriculture and rural investment projects. Field guide*. Rome. www.fao.org/3/bl183e/bl183e.pdf

3.1 COMMUNITY MEETINGS

Community meetings are the first entry-point into the community and they provide the team members with the opportunity to interact with local leaders and representatives from key groups and associations (both formal and informal) on issued of general concern. Table 5 provides and indicative list of who to involve in such meetings.

3.1.1 Who to meet

Table 5

Who to meet (indicative)

Community stakeholder groups	People to meet
Frontline government staff	<ul style="list-style-type: none"> • Agriculture and extension staff. • Staff in charge of water, forests and other natural resources. • Community development staff. • Education staff. • Health staff.
Elected officials	<ul style="list-style-type: none"> • Village chairperson. • Members of village committees (e.g. village development, agriculture, irrigation, infrastructure, women, youth, health).
Traditional leaders	<ul style="list-style-type: none"> • Cultural leaders. • Religious leaders.
CBOs: leaders and members	<ul style="list-style-type: none"> • Producer groups. • Income-generating activity leaders/participants. • Self-help groups, saving and credit groups. • Women groups, youth groups, IP groups, refugee groups. • Adult literacy class members. • Home-based care groups, social safety networks. • WUAs. • Other groups managing community natural resources or infrastructure.
Private / Public Service providers	<ul style="list-style-type: none"> • Agrodealers, traders, middlemen, processors, transporters, retailers • NGOs Extension workers, facilitators or social mobilizers.
General public (including people from different socioeconomic conditions and engaging in different livelihoods activities)	<ul style="list-style-type: none"> • Women • Men • Young men and women • Indigenous Peoples and ethnic minority groups • Persons with disabilities • The extreme poor and any other marginalized groups

SOURCE: Authors, based on FAO. 2011. *Social analysis for agriculture and rural investment projects. Field guide*. Rome. www.fao.org/3/b1183e/b1183e.pdf

Due to broad participation and time limitations, community meetings aim only at capturing indications, general responses, trends and concerns, rather than diverse and detailed information. They do not usually provide an appropriate forum for inclusive dialogue, as the views expressed tend to be those of leaders or powerful representatives of the community. Nevertheless, they give the social analyst and other mission members the opportunity to identify smaller groups and key informants for separate follow-up discussions. These could be district staff, extension officers, NGOs staff, social mobilizers, or community

facilitators who can help confirm (triangulation) some of the information collected at the community meeting.

When planning for community meetings, the social analyst should seek the support of local counterparts to ensure that there is adequate representation of women, youth and other social groups as relevant. Criteria may be set to ensure the desired composition (see Box 6). Frontline government staff, or service providers in the case of ongoing investments, can assist in liaising with community leaders to encourage attendance. During community meetings, their role is to facilitate, rather than lead, the discussions. Depending on the context, a typical community meeting may have 20–30 members. A community meeting should last no more than two hours. Ideally, they should be organized with the participation of all mission members, to generate insights across disciplines. In this context, the social analyst can better link social issues to other technical areas, while helping other mission members integrate social concerns into their areas of expertise.

Box 6 provides an example of a criteria that could be used for selecting participants to attend community meetings.

BOX 6

EXAMPLES OF CRITERIA FOR SELECTING PARTICIPANTS TO ATTEND COMMUNITY MEETINGS, MALAWI

Characteristics	Desired proportion of total participants (percentage)
Farmers with irrigated/wetland (where such land is present)	25–30
FHHs with irrigated/wetland (where such land is present)	5–10
Farmers with no irrigated/wetland	20–25
FHHs with no irrigated/wetland	10–15
Traders, input dealers and agribusiness entrepreneurs	10–15
Representatives of formal and informal groups (e.g. farmers' clubs, associations, income-generating groups), in addition to those who may be represented in the groups listed above	10–20
Vulnerable households caring for orphans, chronically ill or the elderly	5–10
Women in all categories	40

SOURCE: FAO. 2011. *Social analysis for agriculture and rural investment projects. Field guide*. Rome. www.fao.org/3/b1183e/b1183e.pdf

Community meetings can be conducted using some of the general guidance provided below. Note that it is usually the mission leader who prepares and opens community meetings.

Preparing the community meeting

- To the extent possible, clear guidance must be given to the frontline staff or community leaders, who invite participants to attend regarding:
 - the purpose of the meeting and its format;
 - the preferred number and composition of participants (e.g. maximum of 30 participants, at least half of whom are women, including wives from households headed by men, women heading their own households and young single women);
 - the approximate duration of the meeting.
- The venue must be accessible to all (e.g. location, suitability).
- The timing must be suitable, taking into account people's daily work schedule and seasonal activities.
- Provisions must be made for interpretation, if necessary.
- Provisions must be made for child care, if possible.

Opening the community meeting

- The purpose and scope of the enquiry must be clearly explained to avoid raising false expectations among community members.
- Team members and their areas of interest should be introduced.

Forming break-out groups

- It is advisable to divide the large community meeting into small break-out groups to allow for more focused discussions. The social analyst would typically meet with women, youth, ethnic minority or other vulnerable subgroups.
- There are great benefits to holding break-out groups jointly with other mission members, to ensure that cross-disciplinary insights are reflected in the investigation. If this is not possible, the social analyst can ask other team members to raise some questions of particular social interest in their respective groups. This can help bring more perspectives into discussions and triangulate the collected data.

Using time effectively and efficiently

- Using selected field tools (see Module 4) can help focus the discussion on the most critical and relevant issues for the mission.
- Information prioritization is crucial. The choice of the field tool to use (max 2 per meeting) will depend on the context and the time available. Note that discussions take much longer when working through interpreters.

* Closing the community meeting

- Findings from break-out groups must be shared with the broader community meeting for feedback.
- Before ending the meeting, it is important to reiterate the purpose of the mission, thank the community for their cooperation and invite them to ask questions.
- It is advisable to supplement the information collected in community group discussions with subsequent follow-up focus group discussions, or individual household interviews. Some participants from the large group can be selected for this (see sections 2 and 3 below).

3.1.2 Project design

For the purpose of social analysis at the project design stage, community meetings allow the social analyst to:

- understand the trends, seasonality and dynamics of production and broader relevant agrifood system dimensions;
- appraise the rural livelihoods assets and strategies, including for off-farm and non-farm activities;
- understand the institutional, cultural, socioeconomic and agroecological context in which smallholder producers, processors and traders live and operate;
- identify existing community resources, assets and their access to infrastructure and technologies relevant to the project;
- explore the role, the maturity, and governance structures of formal and informal CBOs and identify their institutional and capacity gaps;
- get feedback from the communities on any ongoing programmes supported by government, NGOs, donors and development agencies the project could link up with/complement; and
- increase the project's relevance to the needs, capabilities and aspirations of the target groups.

The community-level checklists below provide a menu of the typical considerations to be covered during community meetings. It is not feasible to cover all questions in one meeting, as no one group can possibly provide all the answers. The social analyst will need to exercise judgement during the selection of the most pertinent areas to be covered in each situation, taking into account what other possible sources are available (such as village geo-data, key informants such as village leaders or institutions). The questions are divided into three broad areas of investigation:

- 1 **Community Checklist 1:** community situation;
- 2 **Community Checklist 2:** poverty, social inequalities and livelihoods; and
- 3 **Community Checklist 3:** institutional and stakeholder analysis.

X COMMUNITY HISTORY AND TRENDS

- ⊕ How long has the community been in **existence** and how was it founded?
- ⊕ How has the community changed over time and what has caused those **changes**?
- ⊕ What kind of external **shocks** has the community faced in its past or recent history (e.g. conflict, IDPs and resettlements, climatic hazards, natural disasters, disease outbreaks)?
- ⊕ What are the different **sociocultural and ethnic groups** in the community? Which of them settled on a later stage? Are the groups living peacefully or is there any tension or even conflict?
- ⊕ What government or donor **programmes** have been or are being implemented in the community? If so, what was the sectoral focus, type of interventions and target groups? What benefits were brought to the community?

X COMMUNITY NATURAL RESOURCES

- ⊕ What are the main **natural resources** (e.g. land, animals, water sources, timber and non-timber forest products, aquatic resources) available to the community? Where are they located?
- ⊕ Who **access/use** them and how? Who does not access or use them and why?
- ⊕ Who makes **decisions** about access and use of natural and physical resources in the community and how are those decisions reached?
- ⊕ Do **different wealth groups** (e.g. by typical farm size, range of variation, landlessness) or social groups (e.g. women, youth, ethnic minorities, persons with disabilities) have different access to and control over common property resources (e.g. land, fishery resources and water bodies, forestry resources, trees, and other)?
- ⊕ How do the institutional and **social contexts influence** access to assets? What are the customary tenure rights and entitlements or sociocultural norms enabling or inhibiting people's access to, tenure security over commonly owned/managed resources?

- ⊕ Who manages **common property resources**? How sustainably and equitably are they managed?
- ⊕ To what extent are there **conflicts** around land, water or other natural resources within the community?

X COMMUNITY INFRASTRUCTURE AND AGRICULTURAL/RURAL ADVISORY AND FINANCIAL SERVICES

- ⊕ What **infrastructure** is available to the community (e.g. rural roads, irrigation pumps and canals, wells, transport, storage facilities, power and water supply, markets, health, water and sanitation facilities, schools, community halls)?
- ⊕ Who has **access** to them? Who uses them the most and why?
- ⊕ How expensive are the user **fees**? Who are the community members or households that cannot afford them?
- ⊕ What are the community views on the relevance, quality, timeliness and affordability of **services**?
- ⊕ To what extent are the public **extension** system/agricultural and rural advisory services available in the community? How frequently do they visit the community? Who in the household do they talk to? What are their major gaps?
- ⊕ What institutions, or mechanisms are available at the community level providing **credit and saving** services (e.g. CBOs; moneylenders; rural banks and cooperatives; microfinance institutions; NGOs; self-help groups and saving-credit rotating groups; traders or input dealers; private sector entities, including through PPPs)? Who benefits from their services?
- ⊕ To what extent are **farmer-to-farmer** approaches (e.g. FFS etc.) implemented/ adopted?
- ⊕ What type of alternative, **private-led extension** service provision systems available in the community (e.g. CBOs or apex associations; community-based private service providers offering basic assistance; private sector providing inputs, training, credit and other services; PPPs)?
- ⊕ What are the mechanisms in place for the management and **maintenance** of community infrastructure, including for collection of user fees, even if at informal level (e.g. water user groups [WUGs] or WUAs)?

X COMMUNITY POPULATION

- ✦ How many people and households live in the community?
- ✦ What is the **gender composition**, age and socioeconomic structure of the community and households?
- ✦ What **Indigenous Peoples** or **ethnic minority groups** are present in the community, if any? Where?
- ✦ Are there **poor** and socially excluded groups present? How much do they account out of the total households? Where are they located?

👁️ Some relevant field tools from Module 4 are: Field Tool 1 (Historical timeline), Field Tool 2 (Resource and Livelihoods map), Field Tool 3 (Transect walk).



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X POVERTY, FOOD INSECURITY AND SOCIAL INEQUALITIES

- ✦ What are the **main** causes of poverty (as seen by the locals)? Who are the poor and the poorest in the community? Why?
- ✦ How are households **categorized** (e.g. based on wealth/poverty status)? What different characteristics do they have (e.g. assets, livelihoods, economically active or sick members, isolation, etc.)?
- ✦ Are there households that continuously fall in and out of poverty? What are the reasons for these **poverty dynamics**? Which processes lead to impoverishment or to the accumulation of wealth?
- ✦ How does **food insecurity** manifest itself (e.g. time of the year where food is not sufficient, insufficient number of meals per day, poorly nutritional food, poorly diversified foods consumed...)? Who suffer from malnutrition the most?
- ✦ What are the main **causes** to food insecurity (e.g. food is not available in the market or not affordable; food is not accessible to certain groups; lack of education and understanding of what a nutritious and diversified diet entails; diets based on highly processed foods of poor nutritional value, etc.). Has the community received any support to enhance food security? What kind of support?

X LIVELIHOOD ASSETS AND SERVICES


- ✦ What are the main **livelihood assets** owned or accessed by wealth group and differences with poor or poorest groups:
 - ✦ Inputs (fertilizer, seeds, vaccines).
 - ✦ Productive assets (e.g. land, water, capital, livestock, poultry, fish, trees).
 - ✦ Digital technologies (e.g. internet, smartphones, computers).
 - ✦ Equipment for production and postharvest uses, (e.g. ploughs, draught animals, tractors, harvesting machines, fishing boats, etc.).
 - ✦ Equipment for household uses (e.g. improved stoves, water pumps, etc.).
 - ✦ Information and training; and
 - ✦ Markets and services (including financial, rural advisory, extension, breeding, veterinary, business development, climate services; FFS)?
 - ✦ Health care, water and sanitation, education (including basic literacy and numeracy)?

LIVELIHOOD STRATEGIES

- ✦ What **activities** do different households in the community engage in to support their livelihoods? Are they on-farm, off-farm and/or non-farm? Permanent, seasonal or occasional? Wage or self-employment, including in producer associations, cooperatives and SMEs?
- ✦ Do Indigenous Peoples/ethnic minority groups have different livelihoods (mobile, semi-mobile)?
- ✦ When do those activities take place (e.g. time of day/month/season) and where? How do the **assets of different wealth categories** affect their livelihood strategies?
- ✦ What are the patterns of in- and out-**migration**? Are remittances flowing into the community? How important are they to the local economy?
- ✦ Which **agrifood chains** are small-scale actors involved and at which segments of the chains?
- ✦ How are the **labour conditions** in the agrifood and rural sector? What are the main issues (e.g. unfair wages, poor or hazardous conditions, social discriminations, child labour, GBV and SEA)? *For a more in-depth exploration of such issues, use District-level Checklist 4 on: Social risks assessment throughout the project cycle (Module 2)*

VULNERABILITY CONTEXT

- ✦ What are the main **sources** of vulnerability (e.g. social inequalities and discrimination, conflict, climate change, disease outbreaks)?
- ✦ How often do **shocks** hit the community?
- ✦ How do people **cope** with shocks? How effective are these coping mechanisms? Is there a difference in how households or different social groups (men, women, youth) cope?
- ✦ Which **socioeconomic groups** or households that are most vulnerable/exposed to shocks?


 Some relevant field tools from Module 4 are: [Field Tool 9 \(Wealth ranking\)](#), [Field Tool 10 \(Livelihood matrix\)](#).

X INSTITUTIONAL AND ORGANIZATIONAL ANALYSIS

- ✦ Who are the traditional **authorities and leadership** in the community? How can they promote community ownership and participation?
- ✦ What **cultural norms** and social systems of organization (formal or informal) are prevalent in the community (e.g. inheritance laws and systems, marriage customs, gender roles, spheres of decision-making around important issues, etc.)? Who is affected by them and how? Who may face exclusion or marginalization because of them?
- ✦ What different social, economic, producer/commodity-based, ethnic and cultural **groups** or CBOs are there in the community? What are the relationships among these groups? Are they formal or informal? Who can become members of them? How?
- ✦ What are the main **characteristics of CBOs** in terms of size, membership and leadership composition (e.g. by gender, age, ethnicity, and other), governance structure, years of existence, registration status? What are the membership eligibility criteria and related fees?
- ✦ What are **functions of existing CBOs** (e.g. commodity production and marketing; savings and credit services; management and allocation of water infrastructure or common property resources; mutual help; women's rights etc.)? To what extent do exist women-only or youth-only groups or groups with members with the same ethnic composition?
- ✦ What is their **maturity**/development status and capacity (e.g. effectiveness in service provision to the membership, governance and management mechanisms, and financial sustainability) and what are their gaps? What types of capacity building is required for local CBOs?
- ✦ Have CBOs received or are they receiving any **support** from a programme/ NGO or any form of facilitation? Are there CBOs that have been operational without external support?
- ✦ Do CBOs aggregate form **apex** or umbrella associations? What services do they offer to their membership?
- ✦ Do CBOs enter into **informal or formal business agreements** or PPPs with private entities? How are they working? Are these arrangements mutually beneficial? What benefits are they bringing to CBOs and their members?
- ✦ Are Apex associations (if any) represented in **policy or decision-making** platforms in a way that they can influence policy?

STAKEHOLDER ANALYSIS

- ✦ Who are the major **stakeholders** in the project? What are their **interests**? How much influence do they exert?
- ✦ What are their (likely) reactions to the proposed project activities? What is at **stake** for each of them?
- ✦ Which actors stand to **win and/or lose** from the project and by how much?
- ✦ Which social **groups will likely be disadvantaged**? How can risk of **elite capture** be minimized?

 Some relevant field tools from Module 4 are: Field Tool 4 (SWOT analysis), Field Tool 5 (Organization and group profile), Field Tool 6 (Stakeholder analysis), Field Tool 7 (Problem analysis), Field Tool 8 (Pairwise ranking), Field Tool 10 (Closing the gap methodologies), Field Tool 11 (Vision journey).

3.1.3 Project implementation, supervision and MTR

During project implementation, the purpose of community meetings is to:

- get feedback from various social groups on whether and how the project is relevant to their needs and capabilities and what could be improved;
- assess progress with the effectiveness, social inclusiveness and gender-sensitivity of project activities, including in the provision of training and capacity building;
- assess performance of project implementers and service providers responsible for social inclusion, targeting, gender and youth mainstreaming and community development;
- ascertain that the project is implemented with broad-based community participation and consultation, particularly in the community needs assessment and planning process;
- assess the development status of project-supported CBOs and apex associations, particularly their inclusiveness, demand-drive, and sustainability;
- assess whether the appropriateness of the sequencing of social, gender and youth mainstreaming activities and their integration across the project's components;
- identify any socially adverse impact arising from project activities and suggest appropriate mitigation measures as necessary (e.g. loss of land or assets, social tensions, conflict);
- validate information provided in project annual plans, progress reports and M&E system in relation to poverty targeting, social inclusion, gender and youth mainstreaming strategies;
- collect stories from the field to document project innovations, good practices and successful approaches in promoting social inclusion and gender transformative impacts.

Community Checklist 4 aims to help the social analyst with the investigation during implementation, supervision and MTR. As mentioned in Module 2, the ability to get adequate answers to the questions in this Checklist depends heavily on the existence of a participatory project M&E system that has succeeded in monitoring project output and outcomes indicators at the community level. More methodological details on how to conduct social analysis during project implementation and evaluation are provided in Module 4 of the Practitioner's guide. A number of questions listed in Community Checklist 3 may also be relevant to include in the investigation.

X COMMUNITY NATURAL RESOURCES AND INFRASTRUCTURE

- ⊕ How is the project supporting communities to sustainably manage natural resources (e.g. by promoting agroecological approaches, climate-smart farming and through CBOs)?
- ⊕ How is the project contributing to strengthen community assets, facilities and productive or social infrastructure (e.g. through rural infrastructure improvements)?
- ⊕ How is the project enhancing people's access to and use of community natural and physical resources, especially for socially excluded groups (e.g. through accessible water and sanitation)?

X AGRICULTURAL, RURAL ADVISORY AND FINANCIAL SERVICES

- ⊕ How is the project supporting and enhancing the capacity of the public extension system/rural advisory services to make them more inclusive, demand-driven and responsive to the needs of the target group (e.g. through training or recruitment of female extension agents)?
- ⊕ How is the project supporting community-based private service mechanisms and financial service providers to meet the needs of target groups (e.g. through support in loan management and de-risking mechanisms)?
- ⊕ How is the project facilitating access to these services for smallholder producers, including socially marginalized groups?

X FARMING, AGRIFOOD AND RURAL LIVELIHOOD SYSTEMS

- ⊕ How is the project enhancing rural communities' farming, livelihood and agrifood systems?
- ⊕ What new remunerative income-generating and decent employment opportunities are emerging for the target group in the farm and non-farm sectors (i.e. wage employment in cooperatives, or self-employment in SMEs)? To what extent are such opportunities reducing youth unemployment, rural-urban migration and school dropouts?
- ⊕ How is the project helping smallholder producers to better integrate into agrifood value chains? Which value chains? To what extent are they offering employment to youth and women; providing nutritional value; contributing to climate-resilience?

X POVERTY AND FOOD INSECURITY

- ⊕ How effective are project interventions in reducing overall poverty, food insecurity, malnutrition and social inequalities in the community?
- ⊕ Are some social groups left behind and if so who and why?

X COMMUNITY DEVELOPMENT, CBOs AND INFORMAL INSTITUTIONS


- ⊕ Is the project improving community need assessment and planning processes? In what way are these becoming more consultative, participatory and inclusive?
- ⊕ How have CBOs and apex/umbrella associations been strengthened through project support? To what extent are they providing better access to markets and agrifood chains and linkages with private entities for their members?
- ⊕ What could be done further to enhance their inclusiveness, management, governance, service provision, and financial sustainability?
- ⊕ How is the project challenging the prevailing social norms and informal institutions that often perpetuate gender and social inequalities? How is this translating in reducing social and gender inequalities and women's socioeconomic empowerment?

X VULNERABILITIES

- ⊕ What measures are implemented to strengthen the community's resilience to shocks, including climatic variability and hazards (e.g. through better climate information and training in disaster preparedness and management; promotion of resilient agrifood systems; building or rehabilitating climate-smart infrastructure etc.)?
- ⊕ How does the project ensure that these measures are inclusive of the poorest populations (e.g. through provision of social safety nets)?

PROJECT MANAGEMENT AND IMPLEMENTATION ARRANGEMENTS

- ✚ To what extent are community-based service providers, including community-based facilitators and social mobilizers, clear about the project and their roles and responsibilities? Do they receive adequate guidance and support from project management unit and district-level staff?
- ✚ Are community-based service providers adequately equipped to carry out their duties (e.g. project orientation and training received; allowances; means of transportation such as a bicycle if needed; mobile phones or other information and communications technology tools; facilities; stationery for community meetings...)? Are their working conditions safe and secure, including for female workers?
- ✚ What are the main issues faced by community-based service providers in implementing project activities on the ground? How can they be resolved?
- ✚ Have community-based service providers received project training in the areas of social inclusion, participatory and community development approaches, gender issues, women's empowerment, youth engagement, participatory M&E? What are the capacity gaps that require refresher or follow-up training?

 Some relevant field tools from Module 4 are: Field Tool 2 (Resource and Livelihoods map), Field Tool 3 (Transect walk), Field Tool 9 (Wealth ranking), Field Tool 10 (Livelihood matrix), Field Tool 20 (Closing the gap methodologies).

3.1.4 Project completion and evaluation

At this final stage of the investment cycle, community meetings provide an opportunity to validate information related to project impact and sustainability, particularly with respect to: community natural resources and environments as well as infrastructure and facilities; services, institutions and CBOs; poverty, food insecurity and vulnerabilities. These meetings can also help assess whether any project activity has inadvertently caused harm to the target communities and if so, whether established mitigation mechanisms were able to respond, and if not, recommend mechanisms to redress or compensate the situation. Community Checklist 5 aims to help the social analyst during the investigation.

X COMMUNITY NATURAL RESOURCES AND INFRASTRUCTURE

- ✦ To what extent have communities adopted project recommended climate-resilient food production and sustainable natural resource management practices? How has this contributed to increasing food availability, environmental conservation, sustainable management of natural resources and resilience to climate change?
- ✦ How effectively has project-supported improvement of community assets, facilities and infrastructure been in enhancing the livelihoods opportunities of people in the community?
- ✦ How successfully are project-supported CBOs managing common resources and infrastructure in an equitable and sustainable manner?

X AGRICULTURAL, RURAL ADVISORY AND FINANCIAL SERVICES

- ✦ To what extent have the public extension system, rural advisory and/or financial services been strengthened and provide more inclusive and responsive services in the community?
- ✦ What alternative private service provision mechanisms have been supported and how have they been able to fill service gaps to meet the communities' needs? Are these services sustainable?

X FARMING, AGRIFOOD AND RURAL LIVELIHOOD SYSTEMS

- ✦ To what extent has the project enhanced rural communities' livelihood and agrifood systems, decent and remunerative employment, rural cooperatives and SMEs?
- ✦ What are the associated benefits accrued to the communities (e.g. increased incomes and livelihood assets; sustainable and diversified livelihood sources; more inclusive, nutritious and resilient agrifood systems; reduced unemployment and rural-urban migration)?

POVERTY, FOOD INSECURITY AND SOCIAL INEQUALITIES


- ✚ To what extent has poverty in the village been reduced as a result of project interventions? Are some social groups left behind and if so who?
- ✚ Does the community experience greater food availability and diversity in a stable manner as a result of project support? Do the groups identified as “socially excluded” have greater access to food?
- ✚ Have basic nutrition indicators in the community improved (e.g. stunting and wasting, malnutrition and anaemia among women, including among pregnant and lactating women, over-weight and obesity, and diet-related NCDs)?

COMMUNITY DEVELOPMENT, CBOs AND INFORMAL INSTITUTIONS

- ✚ How and to what extent has the project brought about changes in the prevailing social norms, which shape the gender roles, power structures and decision-making processes in the community? How has this translated into women’s socioeconomic empowerment?
- ✚ To what extent has the project-consolidated community need assessment and consolidated an inclusive, consultative and participatory planning process? Is it likely to continue to be adopted by communities after project closure?
- ✚ What is the development/maturity stage of project-supported CBOs? To what extent have CBOs enhanced their capacity and are better able to provide services to their members? What is the likelihood of their post-project sustainability and continued service provision?

VULNERABILITIES

- ✚ To what extent and how have communities strengthened their disaster risk preparedness, resilience and coping capacity to external shocks, including climate change?

 Some relevant field tools from Module 4 are: [Field Tool 2 \(Resource and Livelihoods map\)](#), [Field Tool 3 \(Transect walk\)](#), [Field Tool 9 \(Wealth ranking\)](#), [Field Tool 10 \(Livelihood matrix\)](#), [Field Tool 20 \(Closing the gap methodologies\)](#).

3.2 FOCUS GROUP DISCUSSIONS

Focus group discussions are used to explore specific topics in depth, which cannot be elicited through broad-based community meetings. They allow the social analyst to get a better insight into existing situations of social exclusion and are also useful for disaggregating information by age, sex, ethnicity and other dimensions as relevant.³ Furthermore they help people, who may otherwise be overlooked in larger forums, to express their points of view. Focus groups can include:

- members or leaders of CBOs;
- selected actors along the agrifood chain (e.g. processors, transporters, market intermediaries...);
- specific ethnic minority groups or Indigenous Peoples;
- separate groups of women and men (see focus group Checklist 1 for separate focus group discussions);
- young men and women (see focus group Checklist 2), separately or together, as appropriate.

This section gives guidance on how to prepare and conduct **focus groups discussions** in the context of social analysis field work at the community level. It provides checklists around the typical areas of interest to be covered.

3.2.1 Who to meet

The composition of the focus group depends on a number of sociocultural factors and the topic under discussion. A focus group, typically with 5–15 participants, may be selected based on the specific activities relevant to the project. Box 7 gives some examples of the types of focus groups that can be organized.

³ Throughout the document, “disaggregated” will mean disaggregation by sex, age, ethnicity, dis/ability and any other parameter, as applicable.

BOX 7

EXAMPLES OF FOCUS GROUPS

- Women/men smallholders (married, single, youth, from Indigenous Peoples/ethnic minorities, heads of households, persons with disabilities, etc.)
- Small producers in a given agrifood chain.
- Market traders, buyers, wholesalers.
- Processors, employees, sharecroppers.
- Landless people.
- Harvesters of natural produce from forests.
- Women/men fisherfolks.
- Women/men livestock keepers.
- Member of producer group or association.
- Members of apex marketing association or SME.
- Members of an outgrowers schemes or participants in a PPP scheme.
- Members of irrigation or water user group.

SOURCE: Authors, based on FAO. 2011. *Social analysis for agriculture and rural investment projects. Field guide*. Rome. www.fao.org/3/bl183e/bl183e.pdf

3.2.2 Project design

Focus Group Checklist 1 on Gender and the complementary Focus Group Checklist 2 on Youth aim to help the social analyst during the investigation.

X OVERALL ACCESS AND CONTROL OF PRODUCTIVE ASSETS

- + What are the differences between women and men, including young men and women, in access to and control over productive assets, resources and services required for production, storage, processing and marketing?

X FARMING

- + What are the typical crops grown by men and women, including young men and women?
- + What is the division of specific farming responsibilities (e.g. ploughing, sowing, weeding, irrigating, fertilizing, harvesting, storing, threshing) and the time allocated to each?
- + Are women excluded from certain tasks? Which ones and why?

X LIVESTOCK

- + Which livestock is reared by men and which by women, including young men and women?
- + What are the main differences between men and women in livestock husbandry and management and animal care? What is the division of tasks with respect to livestock (collection and fodder preparation; feeding; watering, milking; animal health, cleaning and vaccination; etc.) between men, women, boys and girls?
- + What are the roles and responsibilities of men and women in livestock processing and marketing?

X SMALL-SCALE FISHERIES AND AQUACULTURE


- + What are the different roles and responsibilities of women and men, including young men and women, in small-scale fisheries and aquaculture sectors? Are women's activities performed at home or also outside?
- + What activities do women engaging in aquaculture perform (e.g. feeding, harvesting and processing fish and shellfish)?
- + To what extent are women responsible for fish processing and marketing? Is this work remunerated?
- + Do women manage fish enterprises? With what level of success?

FORESTRY AND AGROFORESTRY

- ✚ What are the different roles and responsibilities of women and men, including young men and women, in forestry and agroforestry?
- ✚ Who is generally responsible for collecting fuelwood? How many hours and time is it required for that? To what extent does this increase workloads and reduce the time for other activities?

WORKLOADS AND GENDER DIVISION OF LABOUR

- ✚ What is the division of labour between women and men, including young men and women, in the productive and reproductive spheres (the latter includes unpaid household work, and caregiving)? How do these vary by socioeconomic status, household type (e.g. MHHs or FHHs) and household composition (e.g. due to labour migration)?
- ✚ What are the perceptions of masculinity in the community and how does it affect/perpetuate unequal gender divisions of labour?
- ✚ What are the existing workloads and time allocations of women and men, including young women and men, in the slack season and peak season, in productive/income generating/training activities and in reproductive/household roles?
- ✚ What is the contribution of children (girls/boys) to productive and reproductive tasks? How does this vary by socioeconomic status?
- ✚ What is the nature of children's labour contribution (unpaid family labour, paid labour)? Who decides on children's participation in farming or household chores? For a more in-depth exploration of such issues, use the District-level Checklist 4 on 'Social risks assessment throughout the project cycle' (Module 2).
- ✚ How much external labour is hired in busy periods? For which tasks? Who decides on the hiring, for which tasks? Can both men and women be hired? Do they receive the same wages? Are there differences between men and women on the types of labour contracts and working conditions?
- ✚ What (if any) are some income-generating activities that are male dominated and not socially accepted for women?
- ✚ Do women have access to labour-saving technologies (LSTs) and/or agricultural mechanization?

 *Reference Tool 16 of the Practitioner's guide provides some examples of indicators to assess gender-discriminatory norms.*

X INCOME AND EXPENDITURE

- ✦ Who controls the family purse? To what extent do the husband and wife have separate purses? To what extent do the husbands and wives pool income? What proportion of his income does the husband retain for his own personal expenditures? What proportion does the wife retain for her own personal uses?
- ✦ What are the responsibilities of the husband versus the wife as providers of food and non-food items for family members? Who – wife or husband – is expected to grow or buy the staple food? The non-food items?
- ✦ What are the main income sources of women and men?
- ✦ What are the main expenditure items bought by women and men?

X DECISION-MAKING

- ✦ What are women's and men's roles in decision-making in the household? What is the gender profile of the membership of various CBOs? What is the proportion of women in managerial or leadership roles?
- ✦ To what extent have women received training in life and decision-making skills?
- ✦ To what extent are women represented and/or hold leadership positions in project-related committees and community-level decision-making bodies?

X SKILLS, KNOWLEDGE AND INFORMATION

- ✦ Are women's production priorities and needs (e.g. crops, livestock) reflected in agricultural research and technology transfer activities?
- ✦ What is the relative focus of existing agricultural and rural advisory services on male-dominated versus female-dominated agricultural activities?
- ✦ How readily can women access such services? To what extent are they relevant to their needs and tailored to their conditions (e.g. in terms of contents, meeting time and venue, restrictions in mobility, need to look after children...)?
- ✦ What proportion of the members of community-based agricultural extension groups (including FFS, JFFLS and FBS) are women?
- ✦ What proportion of walk-in clients of agricultural service centres are female?

X SINGLE-HEADED HOUSEHOLDS

- ✦ What percentage of households in the different socioeconomic strata or wealth groups is headed by women?
- ✦ What percentage of FHHs is headed by young women or old women or women with disabilities?
- ✦ How does access and control over livelihood assets compare between FHHs and MHHs? Older and younger women?
- ✦ What proportion of FHHs would have difficulty participating in the project because of a shortage of land, labour, livestock, equipment, financial assets, technical know-how or cultural constraints?


X FOOD SECURITY AND NUTRITION

- ✦ To what extent do women, including young women and girls, have equal access to adequate and nutritious food in the household?
- ✦ To what extent do women take care of a small vegetable garden near the house? What kind of fruits and vegetable are grown? How much of them are consumed in the household and by whom? How much is it sold to the market?
- ✦ To what extent do women have access to safe water, hygiene and sanitation facilities?
- ✦ To what extent have women participated in nutrition education and behavioural change campaigns? Are they aware on the importance of a diversified, nutritious and healthy diet?
- ✦ To what extent have women been trained in practices that can preserve food safety and nutritional value (such as safe handling, processing, conservation and transportation)?



X ACCESS TO MARKETS AND AGRIFOOD CHAINS

- ✦ To what extent do women face mobility restrictions that prevent them to go to markets as buyers and sellers?
- ✦ What proportion of traders in various agricultural markets are female? Who are they? (local direct producers or wholesale traders)
- ✦ What is women's share in the agrifood chains and at which stages are they integrated? What are the main entry barriers and challenges for the women? How can these be removed?
- ✦ What are the main commodities and agrifood chains women are mostly involved in and why?
- ✦ What is the proportion of female entrepreneurs along the agrifood chain and working in rural cooperatives or SMEs?
- ✦ To what extent did women acquire the necessary marketing and entrepreneurial skills? Do they need to upgrade their skills?
- ✦ How are the labour conditions in the value chains? Are there health and safety risks or GBV, SEA or any discrimination in the workplace affecting women in particular?

 *Reference Tool 15 of the Practitioner's guide provides some guiding questions for inclusive and gender-sensitive value chain selection.*

X PRIORITIES, NEEDS AND OPPORTUNITIES

- ✦ What are the most important **problems** faced by the community, as seen by women and men as well as young women and men?
- ✦ What are the main **opportunities** as seen by women and men as well as young women and men to overcome problems?
- ✦ What are the main **priorities** as seen by women and men as well as young women and men to improve lives and livelihoods in the community?

(This checklist is supplementary to the gender checklist)

X ROLE OF YOUTH IN FARMING, AGRIFOOD AND RURAL LIVELIHOOD SYSTEMS


- ✦ What variations exist in gender roles by age and status within the household; differences between the roles of girls, young women, mature women and old women and between boys, male youths and mature men?
- ✦ What types of assets and resources are typically accessed, controlled and/or owned by male and female youths in their own name? For example, land and credit.
- ✦ What are the roles of sons and daughters as income earners and as providers of food and non-food items for the household? What differences exist between poor and non-poor households? To what extent do sons and daughters pool their earnings with those of their parents?
- ✦ Are there reported cases of forced or hazardous labour conditions for children?
- ✦ What are the main income sources of young women and young men in different types of households and in different seasons?
- ✦ At what age do male youths start to farm or engage in off-farm or non-farm employment on their own account (as opposed to doing so for their parents)? Does it typically happen before or after marriage or when?
- ✦ What are the livelihood aspirations of young people? What proportion of them aspire to a job in the agrifood sector? What proportion of them aspire to a wage employment, self-employment (including in their SME) or to migrate to cities or abroad?
- ✦ To what extent do young people have access to agrifood chains and at which stage? What are their main entry barriers and challenges?
- ✦ What proportion of Indigenous youth aspire to engage in Indigenous Peoples' traditional livelihood activities as opposed to those willing to shift to more market-oriented ones?
- ✦ Have young men and women had the opportunity to attend vocational training or training for business skills and enterprise development? With what results?
- ✦ Are traditional/ artisanal skills and knowledge being transmitted to the younger generation? By whom and to whom?
- ✦ How well are young women and young men represented in project-related committees and community-level decision-making bodies?

- ✦ What is the proportion of young men and women as members and leaders of CBOs? To what extent have they received any training in life and leadership skills?
- ✦ What is the level of awareness of gender equality issues, the importance of having a healthy, nutritious and diversified diet and of HIV/AIDS prevention among male and female youths of different ages?

X INHERITANCE AND TRANSFER OF PROPERTY

- ✦ What are the rules governing inheritance of land and property on the death of the head of the household? What share typically accrues to the first-born son? To other sons? To daughters?
- ✦ Can daughters inherit land in their own name? What types of land and from whom (father's or mother's relatives)? If so, do daughters who inherit land have full control over it?
- ✦ At what age do men (or women) typically inherit land?
- ✦ Do parents typically divide the property among heirs before they die (for instance, when they are too old to farm in their own right)? How do they allocate property to children of different genders (e.g. bigger portion of land to boys, dwellings to girls, etc.)?
- ✦ Who (i.e. the elder or younger son or daughter) typically looks after the parents when they are too old to support themselves? When the spouse dies, does the remaining parent typically move in with one of the sons or daughters? Or does one of the sons or daughters move in with the parents and take over the family farm?

X YOUTH-HEADED HOUSEHOLDS

- ✦ What percentage of households in the different socioeconomic strata or wealth groups are headed by orphan youth (girls/boys) or children? Why?
 - ✦ What proportion of households that are headed by young women or young men would have difficulty participating in the project? Why (e.g. shortage of land, labour, livestock, equipment, financial assets, technical know-how or other constraints)?
-  *Some relevant field tools from Module 4 are: [Field Tool 7 \(Problem analysis\)](#), [Field Tool 8 \(Pairwise ranking\)](#), [Field Tool 13 \(Seasonal calendar and gender division of labour\)](#), [Field Tool 14 \(Daily activity schedule\)](#), [Field Tool 10 \(Livelihood matrix\)](#), [Field Tool 10 \(Closing the gap methodologies\)](#), [Field Tool 16 \(Access and control of resources\)](#); [Field Tool 17 \(Sources and use of money\)](#), [Field Tool 18 \(Decision-making matrix\)](#)*

3.2.3 Project implementation, supervision and MTR

The main **purpose** of focus group discussions during implementation is to understand whether and how the project was relevant to target groups' needs, capabilities and aspirations and if it was effective in bringing a positive change in their lives. In particular, the focus group discussions offer an opportunity to assess what has (or has not) worked in promoting social inclusion and gender equality, and to identify more suitable approaches to extend benefits to the intended target groups. The discussions can also clarify whether vulnerable groups were exposed to any social risk or adverse impact from project activities, and they can help adopt adequate countering measures in a timely manner. Focus Group Checklist 3 on Gender and Youth aims to help the social analyst in the course of the investigation during project implementation, supervision and MTR.


FOCUS GROUP CHECKLIST 3

PROJECT IMPLEMENTATION, SUPERVISION AND MTR: GENDER AND YOUTH

X GENDER

- ⊕ How is the project contributing to more equitable workloads between women and men?
- ⊕ How is project enhancing women's access to and/or control over inputs, assets (including land), services, information, (digital) technologies, employment opportunities, markets and/or agrifood value chains?
- ⊕ To what extent have women expanded their income-generating, employment and/or business opportunities, including as entrepreneurs and in SMEs?
- ⊕ How is project enhancing women's voice, decision-making power and participation at the household and community level? To what extent is the project reaching out to more vulnerable women through tailored interventions (e.g. women heads of households, widows, young women and adolescent girls, women from Indigenous Peoples and ethnic minorities, pregnant and lactating women...)? How are such interventions improving women's economic and social condition and wellbeing?

YOUTH

- ✦ To what extent is the project enhancing young people's self-employment and wage employment opportunities in the farm, off-farm and non-farm sector and the agrifood chains?
 - ✦ To what extent are young people supported to start up their own income-generating activities, particularly rural SMEs? How is this done (e.g. through some start-up capital, mechanisms to secure land access and provision of vocational training, business and entrepreneurship development skills).
 - ✦ To what extent is the project reaching out and promoting activities tailored to the needs and condition of different young subgroups, including vulnerable ones?
 - ✦ To what extent and how is project enhancing young people's participation and voice in the community need assessment and planning process? To what extent are their concerns incorporated?
 - ✦ To what extent and how is the project targeting young people, particularly young, pregnant and lactating women through nutrition education to promote healthy, safe and diversified diets and address women's micronutrient deficiencies and stunting children?
-  *Some relevant field tools from Module 4 are: [Field Tool 13](#) (Seasonal calendar and gender division of labour), [Field Tool 14](#) (Daily activity schedule), [Field Tool 10](#) (Livelihood matrix), [Field Tool 10](#) (Closing the gap methodologies), [Field Tool 16](#) (Access and control of resources), [Field Tool 17](#) (Sources and use of money), [Field Tool 18](#) (Decision-making matrix)*

3.2.4 Project completion and evaluation

Focus group discussions at the point of completion or evaluation provide an opportunity to assess the impact of the project, as perceived by specific groups of people among the intended target groups.

Focus Group Checklist 4 on Gender and Youth aim to help the social analyst in the course of the investigation during completion and evaluation.

X GENDER

- ⊕ In what ways has the project empowered women (especially vulnerable women) economically and socially and improved their wellbeing?
- ⊕ How has the project enhanced women's secure access to inputs, assets, services, information, (digital) technologies, employment opportunities, markets and/or agrifood value chains? To what extent have women set up or expanded their businesses and SMEs?
- ⊕ To what extent did the project help women exercise more control over the income they earn and benefits/returns they accrue?
- ⊕ To what extent has women's voice and decision-making power been strengthened at the household and community level? Can women participate more actively in community decision-making processes, village development councils, or CBOs as members and leaders? Do they enjoy a larger share of the benefits?
- ⊕ Have household workloads become more equitable between men and women as a result of project activities? What kind of benefit did this bring to the life of the both men and women? To what extent is food allocated more equitable as a result? Is this visible in a reduction in women's malnutrition and anaemia, and in children's malnutrition?
- ⊕ How has the project enhanced women's access to, rights over and security of land? How?

X YOUTH

- ⊕ Did young people's access to decent self- or waged employment in the farm, off-farm and non-farm sectors increase, as a result of the project? How were young women and men integrated into agrifood chains to access equal benefits?
- ⊕ Have young men and women engaged in more income-generating activities, particularly in producer associations, cooperatives or rural SMEs? Have they accessed secure employment and a sustaining income? How?

- ✦ What impact and benefits did the project bring to different young subgroups, including the most vulnerable ones?
- ✦ How did young women's and men's participation in the community needs assessment and planning process increase? What were the concrete outcomes of such increased participation (if any)?
- ✦ To what extent has the participation of young men and women in groups and associations (including those for the protection of rural workers), increased, both as members and leaders? What benefits are they accruing?

👁️ Some relevant field tools from Module 4 are: Field Tool 5 (Organization and group profile), Field Tool 13 (Seasonal calendar and gender division of labour), Field Tool 14 (Daily activity schedule), Field Tool 10 (Livelihood matrix), Field Tool 10 (Closing the gap methodologies), Field Tool 16 (Access and control of resources), Field Tool 17 (Sources and use of money), Field Tool 18 (Decision-making matrix)



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3.3 INDIVIDUAL HOUSEHOLD INTERVIEWS

This section describes the process of conducting individual household interviews at different investment stages.

Household interviews enable the social analyst to interact with categories of households who do not participate in community meetings or focus group sessions. For instance, women and men in the poorest households may have difficulty reaching community meetings and focus groups because they are too resource poor to participate (i.e. too busy working for meals), they practise self-exclusion and they dare not speak up in public. During household interviews the social analyst engages in conversation with family members in their home surroundings. A household interview typically last 30-45 minutes. Some of the main benefits of household interviews are:

- They enable the social analyst to observe living conditions, domestic animals, housing, farms and social networks, often leading to unexpected discoveries. The focus of household interviews can be strengthened with an accompanying transect walk (see Field Tool 3) in the compound or the surrounding fields.
- They facilitate a better understanding of the linkages between livelihood assets, livelihood strategies and livelihood outcomes (see conceptual framework Practitioner's guide Module 1).
- They can help understand how policies and institutions (including interventions of national/international NGOs, IFIs, UN, bilateral agencies, large private businesses) affect the asset base and resilience of non-poor, average and poor households.
- They elicit life histories which help understand the drivers behind poverty, vulnerability and social exclusion.
- They allow triangulation of information, especially on wealth ranking, provided by leaders and other key informants.

BOX 8

DEFINITION OF "HOUSEHOLD"

All the persons, kin and non-kin, who live in the same dwelling and share income, expenses and daily subsistence tasks. A basic unit for sociocultural and economic analysis, a household may consist of persons (sometimes one but generally two or more) living together and jointly making provision for food or other essentials elements of the livelihood.

SOURCE: FAO Fisheries and Aquaculture Department, FAO, 2014 (FAO Term Portal).

3.3.1 Who to meet

To ensure adequate representation of social categories in household interviews, the social analyst needs to identify the desired composition of a sample to include for example households headed by women or youth, households with numerous dependents or with members with disabilities. Households may be selected from different wealth groups as identified through a community wealth ranking exercise, or from locally available poverty profiles collected during field-level investigations (Field Tool 3).

Depending on the project's data needs, households can also be selected due to their participation in a specific value chain, as adopters of a new technology, while also selecting non-participants and non-adopters. During household interviews it is important to ensure that women and young members have an opportunity to express their opinions alongside their male heads of household. To avoid that one family spokesperson dominates the conversation, it can be necessary to interview household members separately, at least for selected questions.

The community wealth ranking tool (Field Tool 9) can help select households from each identified wealth category in a community. Box 9 gives an example of a selection of FHHs and MHHs across such wealth categories.

3.3.2 Project design

Household interview Checklist 1 aims to help the social analyst in investigation during project design. The questions are organized around assessing livelihood assets, vulnerabilities and opportunities for improved livelihood strategies, in line with the conceptual framework Practitioner's guide Module 1).

BOX 9

EXAMPLE OF HOUSEHOLD SELECTION FOR INTERVIEWS

Household wealth	FHHs	MHHs	Total
Rich	1	1	2
Middle wealth	1	1	2
Poor	2	1	3
Very poor	2	1	3
Total	6	4	10

SOURCE: FAO. 2011. *Social analysis for agriculture and rural investment projects. Field guide*. Rome. www.fao.org/3/bl183e/bl183e.pdf

X HOUSEHOLD COMPOSITION AND RESOURCE BASE

- ✚ Who are the household members (including migrant members) and what are their main livelihood and other types of activities?

X HUMAN CAPITAL

- ✚ What is the educational status of resident and non-resident household members?
- ✚ What skills, capacity, knowledge and experience do different household members have?

X NATURAL CAPITAL

- ✚ What land, water, livestock and plant or forest resources do household members use inside and outside the village? For what do they use them (consumption, sales, social exchanges)?
- ✚ What is the typical farm land size, irrigated, rainfed; area under different crops; produce for home use/sale; distance from the household; soil quality. What is the land status in terms of user rights and ownership? Is the land on lease or share arrangements? Who will inherit the land? Does the household enjoy security of land tenure? Does it have a land certificate? If so, is it under which name (husband, wife, both)? Is the land titling process ongoing? Are there or have there been disputes around land?
- ✚ What is the typical herd/flock size by species; production system (e.g. sedentary crop-livestock, nomadic pastoral or agropastoral, etc.); main reasons for keeping livestock; produce for home use/sale/social exchanges; gender-based labour division in livestock management; how much livestock activities account for total household's incomes?
- ✚ Who can use the water? Who can decide on the use and management of water resources? Are water rights connected to land rights/ownership? Are there differences between men and women?
- ✚ How is water used by men and women and for what (e.g. agricultural production, drinking water and/or sanitation)?
- ✚ Is water used in the household for human consumption safe?

X PHYSICAL CAPITAL

- ✦ What tools and equipment do household members use for different livelihood activities? Do they use LSTs and mechanization?
- ✦ What are the terms of access to them (e.g. ownership, hire, sharing)?
- ✦ What productive and soft infrastructure do household members have access to and use (e.g. transport, marketing facilities, storage facilities, health services, schools, water supply, irrigation facilities)? What infrastructure do they not have access to and why?
- ✦ What are the terms of access to and maintenance of different types of infrastructure (e.g. payment, open access, individual or “pooled”)? Are there CBOs responsible for management or maintenance of community infrastructure (e.g. WUGs or WUAs)? Is each household member of the CBO or in which way it is involved?
- ✦ What services do household members access: agricultural and rural advisory services, financial services, technical training, market and climate information, nutrition education, disaster risk properness and management. Who provides these services?

X FINANCIAL CAPITAL

- ✦ What sources of finance are available and how important are they?
- ✦ Who has access to credit? What collateral is required? Can women and young people have access to credit? If so, can they do so at their own name?

X SOCIAL CAPITAL

- ✦ What links does the household have with other households or individuals in the community (e.g. kinship; social groups; mutual help or safety networks; membership in social, economic and religious organizations; political contacts; patronage)?
- ✦ In what CBOs do household members participate and what role do they play in them (as members, as leaders)?
- ✦ In what situations those social networks and CBOs become important and how (e.g. mutual assistance, pooling labour, shocks)?
- ✦ What social norms, laws, institutions, rules and regulations (formal and informal) affect the household?

X FARMING, AGRIFOOD AND RURAL LIVELIHOOD SYSTEMS


- ⊕ What are the main livelihood activities for men and women in the household in the agrifood system? On-farm, off-farm and non-farm, including migration?
- ⊕ Do men and women have access to employment in rural SMEs, markets and value chains?
- ⊕ What are the earnings of the household from different sources?

X VULNERABILITY CONTEXT

- ⊕ What are the seasonal patterns of different activities in which household members are engaged?
- ⊕ What shocks has the household faced in the past (e.g. health crises, natural disasters, crop failures, civil unrest, legal problems, indebtedness)?
- ⊕ What are the food insecurity periods? What are the main causes? What are the household's coping mechanisms?
- ⊕ What coping strategies does the household use to minimize risk (e.g. diversify livelihoods, sell assets) or strengthen resilience to climatic variability and hazards? Are they sustainable or further getting the household in the spiral of poverty?

X PRIORITIES, NEEDS AND OPPORTUNITIES

- ⊕ What are the key livelihood problems, opportunities and priorities as seen by men and women in the household?

 Some relevant field tools from Module 4 are: [Field Tool 10 \(Livelihood matrix\)](#), [Field Tool 11 \(Vision journey\)](#), [Field Tool 12 \(Gender balance tree\)](#), [Field Tool 15 \(Proportional piling\)](#), [Field Tool 16 \(Access to and control of resources\)](#), [Field Tool 17 \(Sources and use of money\)](#), [Field Tool 19 \(The diamond dreams\)](#).

3.3.3 Project implementation support, supervision and MTR

Household interviews held during project implementation help assess the extent of the project's impact on: livelihood assets and strategies; household food security and diets; household's vulnerability to shocks; women's decision-making power and control over assets and resources within the family; and women's work burden. These interviews are also instrumental in determining whether any project activity is inadvertently exacerbating household's poverty, food insecurity and vulnerability, or generating unexpected risks.

Household interview Checklist 2 aims to help the social analyst with the investigation during project implementation, supervision and MTR.

HOUSEHOLD INTERVIEW CHECKLIST 2

PROJECT IMPLEMENTATION, SUPERVISION AND MTR

X HOUSEHOLD ASSETS

- ⊕ Are project activities improving household's food security, healthy diets and the building up of assets? How?
- ⊕ How is project enhancing household's land access, tenure security and user rights? For example, land titling process, issuing land certificates with both names of husband and wife; engaging in policy dialogue to secure women's land property and inheritance rights, etc.
- ⊕ Is the project introducing farming tools and equipment, including LSTs and mechanization? How?
- ⊕ How is the project enhancing access to quality and responsive extension, agricultural and rural advisory services, and financial services?
- ⊕ How is the project providing households with greater opportunities of education, training, and capacity building, for examples, through FFS; technical advice; business and entrepreneurship development training; vocational training; literacy, numeracy and financial training; nutrition education?
- ⊕ Is project supporting or strengthening CBOs and safety networks households belong to? How?

X LIVELIHOOD, FARMING AND AGRIFOOD SYSTEMS

- ⊕ How is project supporting and strengthening households' livelihoods strategies, farming and agrifood systems?
- ⊕ How is project enhancing households' access to agrifood chains and decent employment opportunities?

X VULNERABILITIES

- ⊕ To what extent is the project helping households to be prepared to face shocks? For example, by providing households with sustainable and diversified employment or income generating opportunities; promoting resilient agrifood systems and agroecological practices; providing training in disaster risk preparedness and management?
- ⊕ How is the project monitoring and addressing risks that may arise from project implementation (poor or hazardous labour conditions, GBV, child labour, etc.)? What mechanisms have been put in place if such risk emerged? For a more in-depth exploration of such issues, use District-level Checklist 4 on 'Social risks assessment throughout the project cycle' (Module 2).

👁 Some relevant field tools from Module 4 are: Field Tool 10 (Livelihood matrix), Field Tool 12 (Gender balance tree), Field Tool 15 (Proportional piling), Field Tool 16 (Access to and control of resources), Field Tool 17 (Sources and use of money), Field Tool 19 (The diamond dreams).



3.3.4 Project completion and evaluation

At project completion or evaluation, household interviews are useful for assessing whether the project has met its stated social objectives, with a view to also examining future sustainability, possible follow-up interventions and replication/upscaling of potential good practices. Unlike the interviews during project implementation, at this closing stage of the project cycle, the focus is on the achievement of higher level outcomes, typically assessing the extent to which a project: enhanced household members' wellbeing and socioeconomic condition; created sustainable income-generating and employment opportunities for household members, particularly for women and young people; reduced intra-household gender disparities and achieved more equitable workloads among household members; and strengthened household resilience to shocks and its adaptation capacity to climatic impacts.

Household interview Checklist 3 aims to help the social analyst with the investigation during project completion and evaluation.

HOUSEHOLD INTERVIEW CHECKLIST 3

PROJECT COMPLETION AND EVALUATION

X HOUSEHOLD ASSETS

- ⊕ To what extent have households built their assets as a result of project interventions?
- ⊕ To what extent do households now have secure land access, tenure and user rights, for both women and men, including young women and men? How has the policy or institutional framework changed, especially to secure women's land property, user and/or inheritance rights?
- ⊕ Do households have access to more inclusive and responsive agricultural and rural advisory services and services and rural financial services?
- ⊕ What has been the project's impact on households' enhanced access to education, training, and capacity building?
- ⊕ To what extent have households' agrifood systems become more resilient to shocks?

X LIVELIHOOD, FARMING AND AGRIFOOD SYSTEMS

- ✚ What was project impact on household's poverty, food security and malnutrition? Were they reduced compared to project design? Did it happen for all household members?
- ✚ To what extent have households enhanced their production, productivity, income and decent employment opportunities?

X VULNERABILITIES

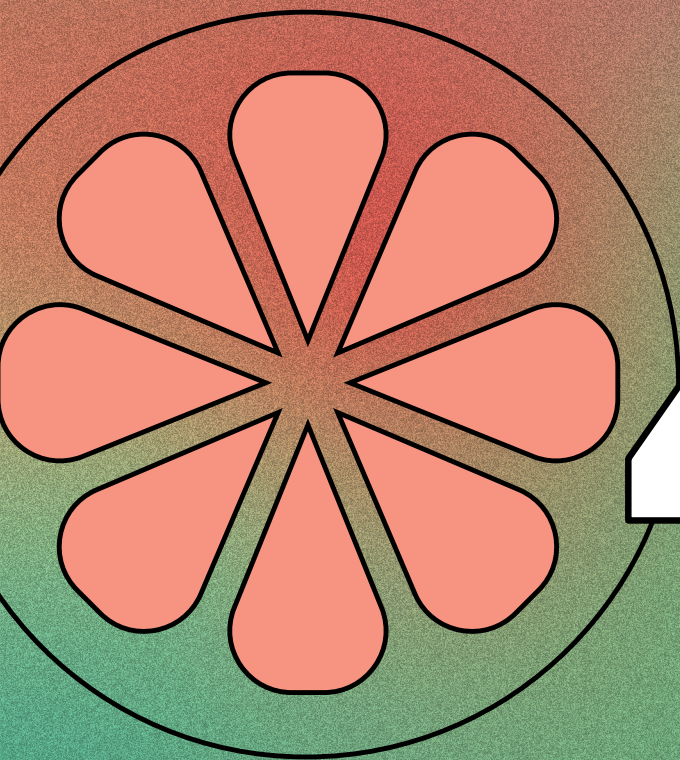
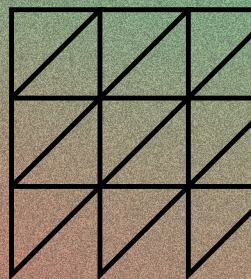
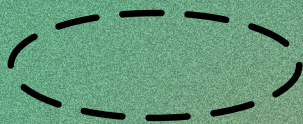
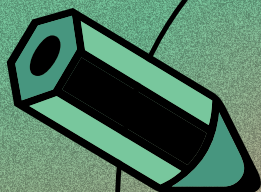
- ✚ To what extent have target households become less vulnerable to shocks and risks?

👁 Some relevant field tools from Module 4 are: [Field Tool 10 \(Livelihood matrix\)](#), [Field Tool 11 \(Vision journey\)](#), [Field Tool 12 \(Gender balance tree\)](#), [Field Tool 15 \(Proportional piling\)](#), [Field Tool 16 \(Access to and control of resources\)](#), [Field Tool 17 \(Sources and use of money.\)](#)



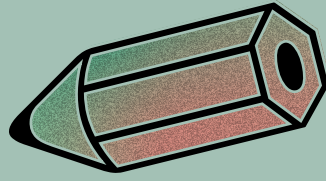


Module



4

Field



tools for

missions

An array of different tools has been developed over the past decades, which include participatory rural appraisal techniques and broader institutional diagnostic and strategy tools adapted for use in rural development.

This module includes a selection of 20 such tools that have been used extensively and successfully in the context of investment field missions. Table 6 presents an overview of all the tools, indicating the broad thematic areas for which they can be used and the most appropriate method for collection: community meetings, focus groups or household interviews. The social analyst should be strategic when choosing and combining the tools to be selected from the menu below,

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based on the data needs for the specific project, the local context and the time available for field work. Using a combination of more than one tool can help triangulate the data collected. When choosing a tool, it is also important to balance trade-offs between: (i) the importance of the information gathered, (ii) the time available, and (iii) the potential for effective engagement and empowerment of participants.

It is key to prepare adequately and to allow time to use each field tool, which can take from one to three hours to complete. The time depends heavily on participants' level of engagement, their mutual collaboration, the need for translation, the quality of the social analyst's facilitation and the number of counterparts assisting in the process.

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Before using the field tools, please read Module 1, Methodological principles for social analysis field work

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Table 6

A menu of 20 field tools for social analysis field work

Thematic area of focus	Name of field tool	Community meetings	Focus groups	Household Interviews
GENERAL CONTEXT	1 Historical timeline	Main achievements and setbacks over last 15 years.	Thematic focus on historical data.	
	2 Resource and livelihoods map	A map view of a given locality, with a focus on natural and other resources, important to rural livelihoods.	The map can be developed by different focus groups with a view to compare differential perceptions and priorities.	
	3 Transect Walk	A cross sectional view of the different agroecological and social zones in a community.		
	4 SWOT analysis	Strengths, weaknesses, opportunities and threats of institutions, processes, programmes or policies.	This tool can be also used in the context of focus group discussions to gain more specific insights on a specific topic.	This tool can also be used at household level to understand the views of different households or household members.
PLANNING AND ORGANIZATION	5 Organization and group profiles (with option of Venn diagram)	Overview of the main characteristics of organizations and groups active in community.	Follow-up in-depth enquiry with members of specific groups.	
	6 Stakeholder analysis (with Venn diagram and matrix)	A map of the main internal and external stakeholders and their interest or stake in an activity or the project.		
	7 Problem analysis (with option of problem tree) Link: Pairwise ranking	Main strengths and problems facing community, causes and effects.	Differences in perspectives on problems between women and men, youth and elderly etc.	This tool can also be used at the household level.
	8 Pairwise ranking	Prioritized list of problems with reasons (follow-up to problem analysis) (can also be used to examine preferences between other variables).	Differences between women and men in problem ranking (or preferences between other variables).	This tool can also be used at the household level.
SOCIOECONOMIC CONDITIONS	9 Wealth ranking	Main socioeconomic groups in community and their livelihood characteristics.		Follow-up wealth ranking with visits to individual households representing different wealth groups and household types, (e.g. MHH, FHH).
	10 Livelihoods matrix	Collate information for livelihoods analysis.	Collate information for livelihoods analysis.	In-depth discussion about livelihoods at the household level.
	11 Vision Journey Link: Diamond dreams	A visual tool helping the community to reflect on and "visualize" what is the development pathway it wants to take (for example when preparing a community development plan).		For household members to visualize what each of them would like to achieve in the future and develop a shared plan.

Thematic area of focus	Name of field tool	Community meetings	Focus groups	Household Interviews
GENDER ANALYSIS	12 Gender balance tree Link: Proportional piling			Identification of each household member's activities and opportunities as a basis to be aware of and act upon intra-household gender-based inequalities in access and workloads.
	13 Seasonal calendar and gender division of labour Link: Daily activity schedule	Seasonal variations that affect pattern of life throughout the year.	Thematic discussion on workloads and use of time between women and men.	This tool can also be used at the household level.
	14 Daily activity schedule		Differences in daily activities of women and men at the busiest and quietest times of the year (follow-on from seasonal calendar).	This tool can also be used at the household level.
	15 Proportional piling Link: Gender balance tree			Understanding inequalities in workloads between women and men at household level.
	16 Access to and control of resources (with option of resource and benefit flow diagram)		Differences between women and men in their access to and control over resources.	This tool can also be used at the household level.
	17 Sources and use of money		Differences in main sources and uses of money between women and men.	This tool can also be used at the household level.
	18 Decision-making matrix		Differences between women and men in their participation in decision-making.	This tool can also be used at the household level.
	19 The diamond dreams Link: Vision journey			Facilitate reflection upon and discussion of gender inequalities and relations as a basis to make a change.
	20 Closing the gap methodology	Assessment of whether and to what extent CBOs are gender sensitive.		

SOURCE: Authors own elaboration.



1

HISTORICAL TIMELINE

Purpose

To discuss the main achievements and setbacks, both economic, environmental and social, experienced in the community during the last 10–15 years, with reference to project focus, if relevant (e.g. specific commodities – arable, tree crop, livestock, irrigation, fisheries, forestry).

Source of information

Community meeting of key informants including community leaders, religious leaders and representatives of local organizations. Ensure a balance of women, men and youth.

How to conduct a historical timeline

STEP 1: CONTENT

Ask the group to discuss how the community has changed over the last 10–15 years, particularly with respect to resource availability, land tenure, cropping patterns, livestock rearing, environmental change, administrative changes, mobility and migration.

STEP 2: DISCUSSION

Key questions:

- How and why have things improved?
- Have any aspects of life become more difficult and, if so, why?
- Have the roles of women and men changed over time?
- Have the workloads of women and men changed over time?

Note when these changes occurred, identify their causes and follow through their effects on gender roles, poverty and livelihoods in the community.

Visualization: Draw a column down the middle of a sheet of flip chart paper. Record positive events on the left side and negative events on the right side, noting the approximate time period of each in the central column. See the example presented in Table 7.

Example of a historical timeline

Table 7

Example of historical timeline from Metuge District, Cabo Delgado Province, Mozambique

Positive events	Date	Negative events
Colonial period Maize, rice, beans, sorghum and vegetables were grown mainly by women because of a shortage of male labour and women controlled all aspects of food production and utilization.	1940s to 1975	<ul style="list-style-type: none"> Men had no time to produce their own food, as they were required to do forced labour on colonial estates. Men were forced to work at low wages for the landowners to earn enough money to pay taxes.
Independence war Led to independence from Portugal.	1964 to 1975	<ul style="list-style-type: none"> War disrupted farming and trade. Infrastructure was destroyed. Lives were lost.
Independence (FRELIMO period) <ul style="list-style-type: none"> Farmers were freed from forced labour. Men had time to grow food. Farmers could keep their entire crop for themselves. Farmers sold to state stores (lojas) or bartered for consumer goods. 		<ul style="list-style-type: none"> Government gave low priority to the family farm sector; public expenditure on smallholder agriculture was limited (Ministry of Agriculture weak). Means of production (hand tools) were in short supply. Low prices were paid to farmers.
Civil war (FRELIMO versus RENAMO) There was nothing good.	1978 to 1992	<ul style="list-style-type: none"> Infrastructure was destroyed (bridges, roads, schools, clinics). Property was looted, destroyed. Farming and marketing were disrupted. Farmers were afraid to clear new land because RENAMO rebels might be hiding in the forest.
Peace/Economic liberalization <ul style="list-style-type: none"> Roads, schools and hospitals were reconstructed. The economy grew. Consumer goods were readily available (but very expensive). 	1992 to 2002	<ul style="list-style-type: none"> Lack of state stores. Lack of farm produce buyers. Shortage of means of production (tractors, hoes, slashers). No market. No public transport (necessary to headload products). High prices for transport and farm inputs. Price of farm output does not keep pace with rising cost of consumer goods. Shortage of fishing gear (nets, hooks, lines). Shortage of rice dehullers.

SOURCE: FAO. 2011. *Social analysis for agriculture and rural investment projects. Field guide*. Rome. www.fao.org/3/b1183e/b1183e.pdf



RESOURCE AND LIVELIHOODS MAP

Purpose

To obtain a bird's eye view of a given locality, with a focus on natural and other community resources, that are important in rural livelihoods, including land types, livelihood activities on each land type, and physical infrastructure (for example, roads, public transportation, irrigated areas, water points, schools, health posts, nearest market, electricity, banks, agricultural extension). Mapping is a good tool to use as a starting point in a field mission, because it is an easy exercise that initiates dialogue between the community and mission members.

This tool can be combined with [Field Tool 3](#) (Transect walk) for a more comprehensive and in depth understanding of the natural and social environment at community level.

Source of information

Community meeting of key informants including community leaders, religious leaders and representatives of local organizations. Ensure a balance of women, men, youth, ethnic groups, castes, as appropriate.

How to prepare a resource and livelihoods map

STEP 1: DRAWING A LOCAL RESOURCE AND INFRASTRUCTURE MAP

- A. Find a large open space with clear ground.
- B. Start by placing a rock or leaf to represent a central and important landmark.
- C. Ask the participants to draw things on the map that are important in the village, such as infrastructure, houses, arable land, irrigated land, grazing lands, water sources, fuelwood, mills, etc. Use local materials (e.g. sticks, pebbles, leaves, sawdust, flour), flip chart paper and markers. See Figure 3.
- D. Participants should not be interrupted unless they stop drawing, in which case questions can be asked such as whether there is anything else of importance that should be added.

STEP 2: INTERPRETING THE MAP

- A. When the map is completed, facilitators should ask the participants to describe it and to discuss the features represented.
- B. Ask questions about anything that is unclear.

- C. Ask participants to indicate some things they would like to see in their village that are not currently on the map – in other words, to draw a picture of what they would like the future to look like. This allows for some preliminary planning ideas and encourages people to begin contributing their thoughts at an early stage in the participatory process.

STEP 3: OTHER USES

- Maps can also be used to reveal different people's mobility and resource use in the community; they can record journeys by sex and age of traveler, mode of travel, frequency and purpose of journey, distance travelled and destination.
- Similarly, maps can be used to show marketing channels and different actors in the value chain.
- Maps can also be used to identify HIV hotspots in local communities and the bridging populations who link low and high HIV-prevalence communities.

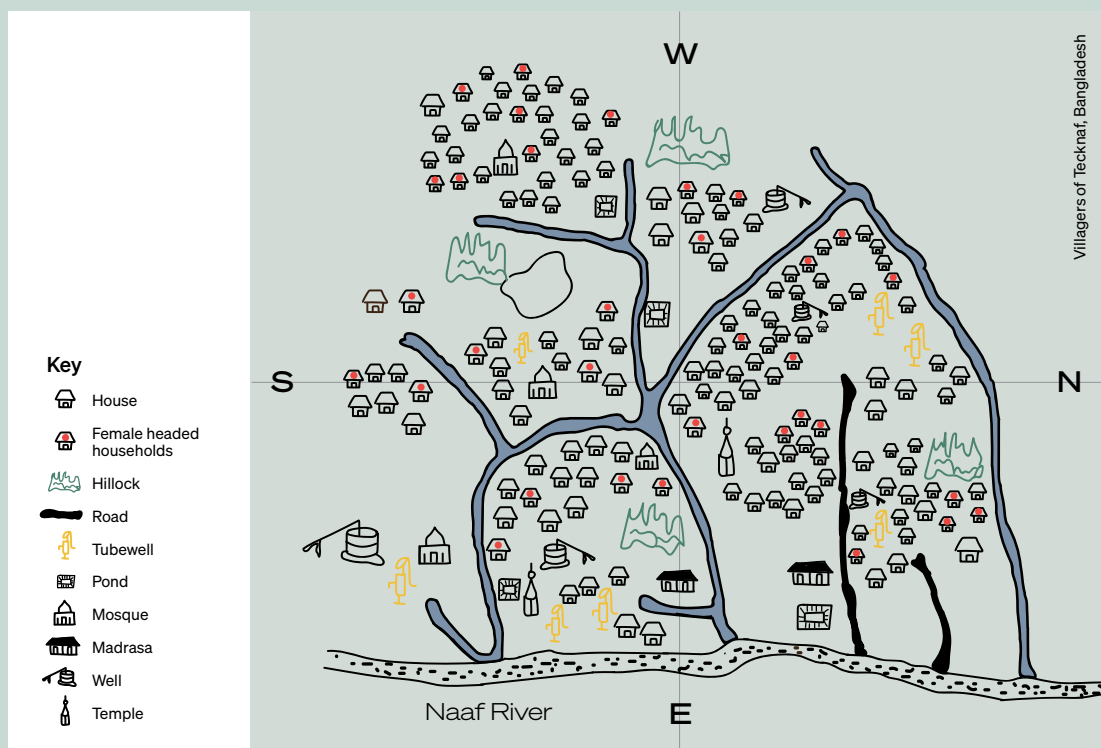


Figure 2
Example of a resource map

SOURCE: Adapted from Villagers of Tecknaf, Bangladesh. Published in: Community Eye Health Journal Vol. 26 No. 82 2013. www.cehjournal.org

**Purpose**

To provide a cross sectional view of the different agroecological zones in a community and the various social subdivisions of a village. This allows for a comparative assessment of the zones of different parameters. Transect walk (or a series of walks) provides mapping information beyond what is collected during broad community meetings and the Resource and livelihoods map exercise ([Field Tool 2](#)). It should be used in combination with [Field Tool 2](#), which should be its starting point and allow to observe first-hand the specific resources (slope drainage, vegetation, water, soils, etc.) and social infrastructure (water and sanitation, schools, community centres) of the community, providing a holistic view of people's lives and livelihoods.

Source of information

Community representatives and local extension staff would typically lead the walks, while people encountered along the route can be casually interviewed to provide information on the observed conditions. Households can also be selected, during the walk, for subsequent household interviews.

How to conduct a transect walk**STEP 1: SELECT THE ROUTE**

- Once the community focus group has finalized the resource map ([Field Tool 2](#)), debate about which route to take, looking for a line with the greatest diversity.
- Agree on the route. The transect route can be subdivided and assigned to two or three smaller teams, so that a single team need not to walk the entire length.

STEP 2: WALK

- As the social analyst, walk with selected community members and other mission team members following the agreed route, preferably on the same day the map is drawn.
- While walking, focus your observation and take notes on socioeconomic indicators (housing, social infrastructure, water and sanitation, women and men working, etc.), while other members observe areas of their expertise (soils, cropping patterns, water points, scope, and drainage, etc.).

- Take time for stops in order to engage in brief and informal conversations with residents in each of the ecological zones, or areas of a village (poor and less poor areas).
- Identify household which may be visited subsequently, for more in depth household interviews.

STEP 3: REPORT

Based on your notes construct a chart similar to the example shown below, and share with participants for further discussion and validation.

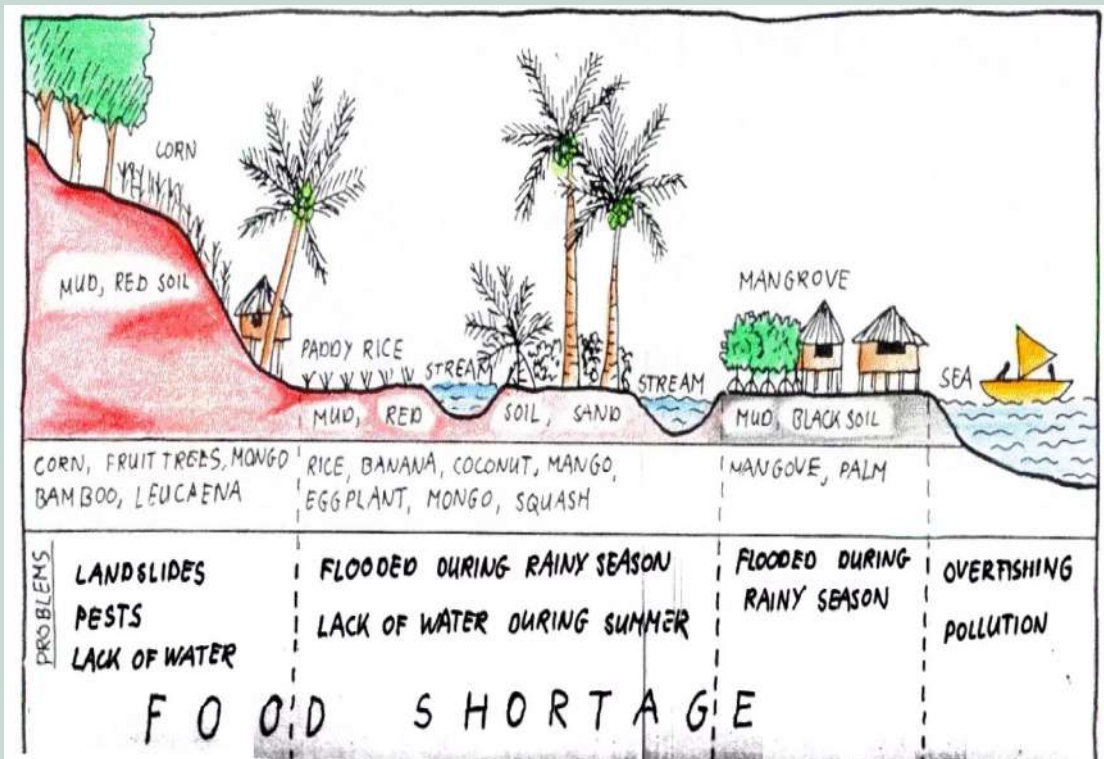


Figure 3
Example of a transect walk

SOURCE: National Disaster Risk Reduction Centre Nepal (NDRC Nepal) - DRR Research and Development Training (2010) Risk Assessment and Planning (RiPRAP). www.slideshare.net/NDRCNepal/hazard-vulnerability-capacity-assesment-b



4

STRENGTHS, WEAKNESSES, OPPORTUNITIES AND THREATS (SWOT) ANALYSIS

Purpose

To identify strengths and opportunities (internal factors) or weaknesses and threats (external factors) of an organization, process, programme or policy, as a means to prioritize and have greater chances of success. When used to assess CBOs, it could be followed up with [Field Tool 5](#) (Organization and group profiles).

Source of information

National or local counterparts; community or household members; CBOs leaders and members.

How to conduct a SWOT analysis

The SWOT analysis is a brainstorming exercise guided by a framework that helps bring forward suggestions as to how to improve effectiveness and overcome constraints.

STEP 1: IDENTIFYING STRENGTHS AND WEAKNESSES

- Ask participants to identify main strengths or advantages associated to a given situation to analyse. Some key questions could include: What are your advantages? What do you do well? What relevant resources do you have? What do other people see as your strengths?
- Subsequently invite them to focus on main existing weaknesses, obstacles or problems that may negatively affect the ability to achieve the desired impact or successful outcome. Some key questions could include: Weaknesses – What could you improve? What do you do badly? What should you avoid?
- Facilitate a discussion among participants in a way that all inputs can be consolidated into a few, main broad areas on which to reach consensus.

STEP 2: IDENTIFYING OPPORTUNITIES AND THREATS

- Ask participants to identify opportunities to value or maximize strengths as well as short-term or long-term solutions to the issues. Some key questions could include: What are the interesting trends you are aware of? Where are the good opportunities facing you?

- Finally, invite participants to put on the table any potential or existing threat. Some key questions could include: What obstacles/limitations do you face? What is your competition doing? What external factors are threatening your position? What do you foresee as future challenges?

STEP 3: FINDING A WAY FORWARD TOGETHER

Give space to open discussion to enable participants exchange views, debate and brainstorm together. In this way, they can reach consensus and propose a way forward to take advantage of strengths and opportunities and to minimize issues and threats.

Examples of SWOT analysis

Table 8
SWOT with members of Community Implementation and Advisory Committees (CIACs) in Saint Lucia

STRENGTHS	WEAKNESSES
<ul style="list-style-type: none"> • Contributing to community based institutional growth. • Ability to manage programmes. • Ability to plan work and mobilize community members. • Meeting the needs and requests of our beneficiaries. • Alleviate poverty. • Motivate and educate the community. • Learning experience for CIAC members. • Bringing all CBOs under one umbrella. • Taking part in project decision making. 	<ul style="list-style-type: none"> • Institutional growth and personal development. • Accessing funds to develop businesses (incl. Tourism). • Create linkages to donors or private sector in order to sustain our work. • Meeting other CIAC members to exchange experiences. • Increase our capacity and experience in working within the community. • Involve more community members in project decisions and benefits. • To follow up projects and ensure the goals are fulfilled.
OPPORTUNITIES	THREATS
<ul style="list-style-type: none"> • Institutional growth and personal development. • Accessing funds to develop businesses (incl. Tourism). • Create linkages to donors or private sector in order to sustain our work. • Meeting other CIAC members to exchange experiences. • Increase our capacity and experience in working within the community. • Involve more community members in project decisions and benefits. • To follow up projects and ensure the goals are fulfilled. 	<ul style="list-style-type: none"> • Duplication of activities with other CBOs. • Lack of funding leading to lack of commitment. • Lack of commitment leading to break-up of CIACs. • Projects remain incomplete and needs are not met before DREP phases out. • Close of project can mean that projects in the pipeline will not be realized. • Disappointing the poor in the community and reinforcing lack of trust.

SOURCE: Authors' own elaboration.

Table 9

SWOT with field extension workers of the Ministry of Agriculture and Food Security (MAFFS), Bo District, Sierra Leone

STRENGTHS	WEAKNESSES
<ul style="list-style-type: none"> • Knowledge and skills – adequate training in agriculture. • Communication skills – language. • Familiarity with attitudes of the farming community – able to relate - sympathy with the rural life. • Field experience in agriculture. • Trustworthiness in inputs delivery to farmers. • Respect for elders in the farming community. 	<ul style="list-style-type: none"> • Inadequate salary and incentives. • Lack of mobility: long and exhausting walking hours, inability to reach all communities. • Non-compliance with general order by some extension staff, low supervision to enable rectification of non-compliance. • Bureaucracy of agricultural administration. • Low promotion and career development opportunities in MAFFS. • Difficulty in observing local cultural requirements in the rural setting: pressure to join secret societies, or else leave the area in the period where secret initiation rites take place.
OPPORTUNITIES	THREATS
<ul style="list-style-type: none"> • Access to scholarships and training (in-service courses). • Job security. 	<ul style="list-style-type: none"> • Lack of family welfare support. • Political interference/intervention. • Fear of local culture in the rural setting (secret societies) during initiation period. • Inability to receive remuneration corresponding to efforts.
SUGGESTED WAYS TO OVERCOME WEAKNESSES	
<ul style="list-style-type: none"> • Salary increases for MAFFS staff. • Provision of motorized mobility for MAFFS staff. • Effective supervision and spot checks to ensure quality control. • Decentralization of decision making to avoid time-consuming bureaucratic procedures. • Field staff to respect cultural norms and values of the community and train community-based group promoters to do the job and reduce reliance on external help. 	
SUGGESTED WAYS TO MITIGATE THREATS/RISKS	
<ul style="list-style-type: none"> • Need to train communities and committees to take more proactive roles in decision making. • Train staff in the same skills to help do more work. • Build more confidence with spouses and allow them to visit periodically or grant more days for home visits. 	

SOURCE: Authors' own elaboration.



ORGANIZATION AND GROUP PROFILES

Purpose

To identify different organizations and groups active in the community; their origins and current status; the socioeconomic and gender composition of their membership and leadership; and to establish their potential role as entry points for project activities. To complement the analysis [Field Tool 4](#) (SWOT analysis) and [Field Tool 20](#) (Closing the gap methodology) could be used to assess gender sensitivity.

Source of information

This information may be collected from two sources: (i) in a community meeting of key informants such as community leaders, religious leaders and representatives of local organizations, ensuring a balance of women, men and youth; or (ii) in focus groups for follow-up discussions with members and leaders of selected groups.

How to prepare a profile of organizations and groups

STEP 1: ORGANIZATIONAL PROFILES

A. Identify all formal and informal groups active in the community.

They may include:

- Reciprocal labour groups.
- Farmers' groups.
- Savings and credit associations.
- Interest groups.
- Income-generating groups.
- Adult literacy classes.
- FFS.
- Water user associations.
- Beach management committees.
- Welfare/bereavement groups.
- Forest management committees.
- Water and sanitation committees.
- Informal self-help groups.
- Women's clubs or associations.
- Youth groups.
- CBOs.
- Faith-based organizations.
- People living with AIDS self-help groups.
- Home-based care groups.

B. For each group, gather the following information: date of formation, origins, purpose of formation, official registration (if any), external assistance received, activities, operational status and, if they have stopped operating recently, the reasons why. See example presented in Table 5.

- C. For each group, determine the membership criteria, current membership and leadership by sex (female/male) and socioeconomic group. Note whether any members also belong to other organizations.
- D. For informal groups, find out how they work (e.g. with respect to pooling labour, sharing implements or draught animals, saving collectively).

STEP 2: SIGNIFICANCE OF GROUPS

- A. Which parts of the community are served by these groups?
- B. Are some members of the community being overlooked? Why?
- C. Do any of these groups provide an entry point for addressing social development issues, such as gender or HIV/AIDS (e.g. by providing opportunities for information, education and communication activities, or access to credit or skills development)?

STEP 3: FOLLOW-UP

- A. Organize follow-up discussions with members and leaders of selected groups.
- B. It may be appropriate to interview external organizations (such as NGOs) that have supported any groups if they appear to be suitable entry points for project activities.

Examples of organization and group profiles

Table 10

Example of organization and group profiles, Southern Province, Zambia

Type of group and date formed	Status and activities	Membership			Leadership			Potential entry point for addressing, for example, HIV/AIDS
		Female	Male	Socio-economic composition	Female	Male	Socio-economic composition	
Village committee, 2000	Operational; village administration	2	8	Richer households	2	8	Richer households	<ul style="list-style-type: none"> Coordinates village administration. Provides a forum for calling people together for HIV/AIDS discussions. Knows vulnerable households.
Women's irrigation group, 2004	Encouraged by Agricultural Extension Officer; operational and very active; members see group as very relevant, enabling women to grow cash crops, and a basis for developing skills in irrigated agriculture and new technologies	25	3	Mainly middle wealth households	6	2	Middle wealth households	<ul style="list-style-type: none"> Enables women to earn income and gives them some independence. Opportunity to include nutrition/home garden component. Basis for HIV/AIDS information, education, and communication.
Youth group: bee-keeping, 2003	Operational; active membership; top bar hives and training	5	20	Middle wealth households	1	4	Middle wealth households	<ul style="list-style-type: none"> Provides alternative employment. Keeps youth gainfully employed in village. Basis for HIV/AIDS information, education and communication.
Under 5s club, 1995	Operational; formed by Home Economics Officer. Focus on nutrition and home care for under 5s	50	-	Middle wealth and poorer households	8	-	Middle wealth households	<ul style="list-style-type: none"> Basis for HIV/AIDS information, education and communication. Nutrition education. Preventative steps regarding mother-to-child-transmission.
Reciprocal labour groups, 1980	Operate informally between mixed groups of women and men; leader is the person on whose land the group is working; assist each other at busy times of year	15	15	Poorer households and widows	-	-		<ul style="list-style-type: none"> No formal structure so may be difficult to mobilize. Limitation that most vulnerable households unable to participate when severely labour stressed.
Bereave-ment groups, 1985	Households offer each other mutual support in times of crisis including food, cash and labour	40	20	Middle wealth and poorer households	5	5	Middle wealth households	<ul style="list-style-type: none"> Route to reach vulnerable households. Group being over-stretched during times of crisis. Basis for HIV/AIDS information, education, and communication. Basis for home-based care training and support.
Savings and credit group, 2000	Group supported by microfinance institution; members make monthly savings; access short-term and medium-term credit through group	15	45	Middle wealth households	2	6	Middle wealth households	Source of credit for livelihoods diversification.

SOURCE: FAO. 2011. *Social analysis for agriculture and rural investment projects. Field guide*. Rome. www.fao.org/3/bl183e/bl183e.pdf

**Purpose**

To identify the main stakeholders (institutions, agencies and individuals) relevant to a given activity, project or programme, their relationships and their relative importance in influencing the outcomes. This knowledge is helpful for identifying actions to minimize the risks and challenges and promote the opportunities in implementing an activity. Stakeholders include direct beneficiaries and communities and also people and institutions external to communities at meso and macro levels (such as regional and national government officers, policy-makers, private sector and other civil society actors). Other people and institutions affected but not directly involved in the intervention are also stakeholders. Stakeholder analysis could complement [Field Tool 5 \(Organization and group profile\)](#) to better identify strengths and weaknesses of a CBO or group.

Source of information

National or local counterparts; community or household members; CBOs leaders and members.

BOX 10**EXAMPLE OF STAKEHOLDERS IN A LIVESTOCK DIPPING POST****Local stakeholders**

- * Wealthy cattle owners with more than 200 head of cattle.
- * Poor men who each own 5 to 15 head of cattle.
- * Female heads of household who own 1 to 3 head of cattle.
- * The owner of the land where the dipping post will be located.

External stakeholders

- * The veterinary extension service.
- * The meat marketing board.
- * Neighbouring villagers which may be impacted negatively by an increase in the livestock population dependent on common grazing areas.

SOURCE: FAO. 2011. *Social analysis for agriculture and rural investment projects. Field guide*. Rome. www.fao.org/3/b1183e/b1183e.pdf

STEP 1: IDENTIFYING STAKEHOLDERS

- A. List all the people, groups, organizations and agencies that have an interest in and/or will be positively or negatively affected, directly or indirectly, by the activity.
- B. Include stakeholders external to the community, such as regional or national government, policy-makers, private sector and civil society.

STEP 2: CREATING A VENN DIAGRAM

- A. Before the meeting, cut out circles of paper of different sizes and colours.
- B. Ask participants to indicate whether each stakeholder should have a small, medium or large circle (to represent its relative stake or the extent to which that stakeholder will be affected by the decision) and record its name on the circle. Use a different colour for individuals or groups who are likely to be affected negatively.
- C. Draw a large circle on the ground or flip chart and explain that it represents the community.
- D. Ask the participants to place their stakeholder circles within the community boundary (see Figure 3) in relation to each other according to the nature of their relationship and degree of contact with respect to the proposed activity:
 - separate circles = no contact;
 - touching circles = exchange of information between institutions;
 - small overlap = some support and partnership, shared interests;
 - large overlap = a lot of synergy and collaboration, as well as shared interests.
- E. Discuss and reposition the circles until consensus is reached.
- F. Draw broken lines to demonstrate conflict, competition and disagreement among stakeholders.
- G. Repeat the process with the external stakeholders, placing their circles outside the community boundary.

STEP 3: DEVELOPING A STAKEHOLDER MATRIX

- A. Prepare a matrix on a flip chart in order to deepen the understanding of the various players and their positions.

- B. List the main stakeholders (people and institutions) with potential relevance to the development intervention in the left-hand column; list as many as are important.
- C. Take time to discuss the various topic headings of the matrix and fill in the boxes of the first five column headings sequentially for each stakeholder:
 - services and assistance provided;
 - interests in the activities;
 - potential influence in the activities;
 - relationships with other stakeholders;
 - potential threats.

STEP 4: CONDUCTING THE ANALYSIS

- A. Identify potential differences and conflicts between stakeholders.
- B. Identify potential resistance and threats that may arise to proposed interventions.
- C. Identify possible partnerships and opportunities for collaboration between stakeholders.
- D. Identify proposed actions to be integrated into an action plan and record the information in the final column of the stakeholder matrix.

Example of a Venn diagram and a stakeholder matrix

The Venn diagram shows institutions, organizations, groups and important individuals found in a target village of a livestock project. The diagram shows the villagers' view of those groups' importance in the community, which depends on livestock-raising as its main livelihood. Participants can visualize who participates in these groups and how close the contact and cooperation between those groups are. Some of the questions that facilitated the development of those diagrams included: Which organizations/institutions/groups are working in or with the community? Which institutions/groups do the villagers regard as most important for livestock raising, and why? Which groups are addressing household food security and nutrition issues? Which organizations work together? Are there groups which are meant for women or men only? Are some particular groups or kind of people excluded from being members of or receiving services from certain institutions?

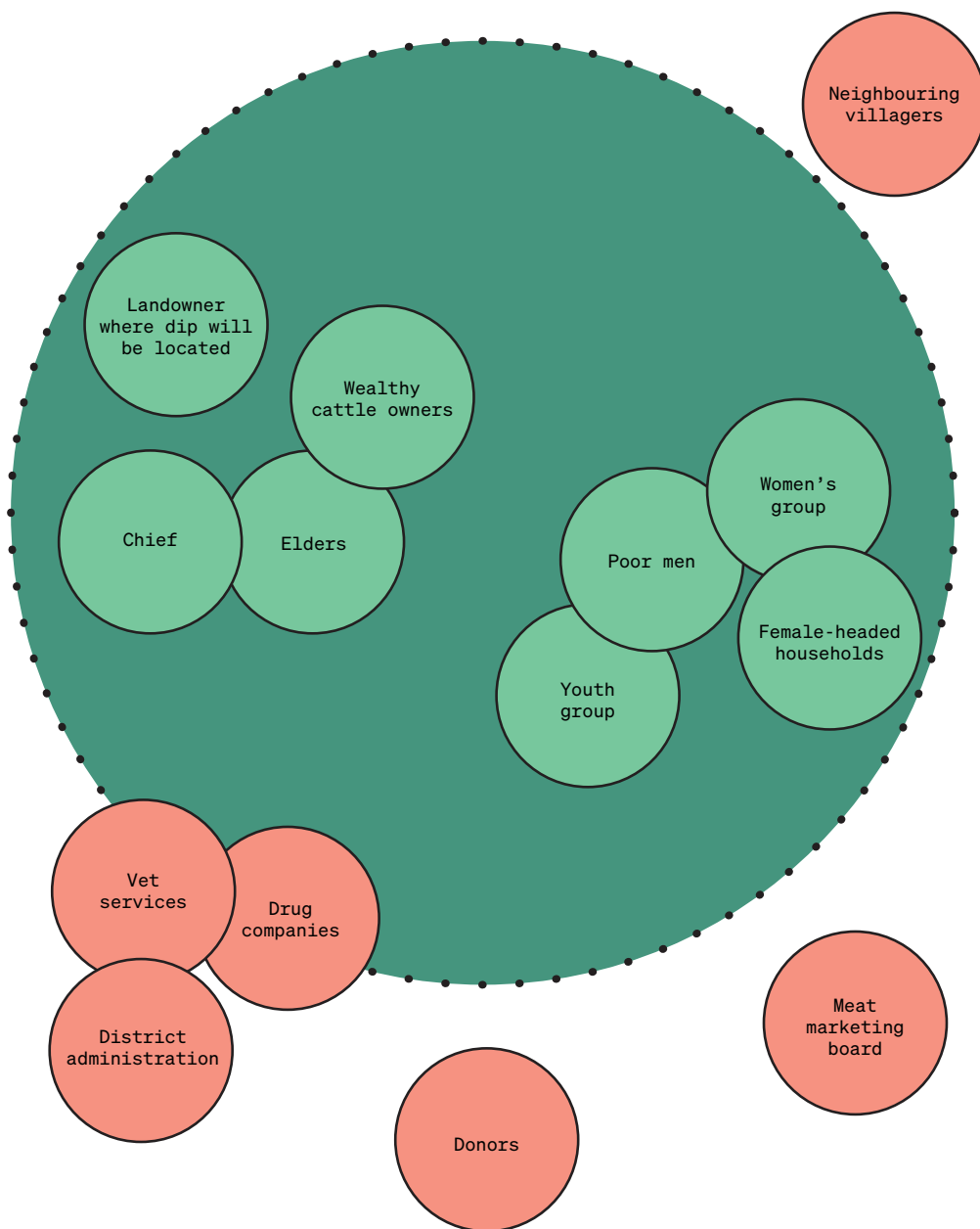


Figure 4
Venn diagram of village depending on livestock-raising

SOURCE: FAO. 2011. *Social analysis for agriculture and rural investment projects. Field guide*. Rome. www.fao.org/3/bl183e/bl183e.pdf

The analysis of the Venn diagram, complemented with triangulation of information, helped identify the most important stakeholders with potential relevance to the establishment of a livestock dipping post in the area. Their type of involvement, level of interest in the project and other parameters were scored as shown in Table 11.

Table 11
Stakeholder matrix, livestock dipping post

Stakeholder	Type of involvement/ interest (roles/ responsibilities)	Level of interest (score 1-3)*	Degree of influence (score 1-3)*	Relationships	Potential threats	Proposed action to mitigate threat
Landowner	Provider of land	3	3	Close	Withhold land	Form dipping post committee
Chief	Decision-maker	2	3	Close	Change location	
Elders	Decision-makers	2	3	Close	Change location	
Wealthy cattle owners	Livestock owners	3	3	Close	Misuse power to influence location and access to post	Establish by-laws
Poor men	Livestock owners	3	1	Middle	Unable to access post	Form dipping post user group
Youth group	Herders	2	1	Middle	Unable to access post	
FHH	Some own livestock	2	1	Distant	Unable to access post	
Women's group	Some own livestock	1	1	Middle	Unable to access post	
Neighbouring villagers	Users of common grazing lands	3	1	Very distant	Common lands become overgrazed	Form grazing lands committee Give right to use post
Vet extension service	Service provider	3	3	Middle	Not aware of services required	Join dipping post committee
Drug companies	Supplier of drugs	2	2	Distant	Withhold drugs	
District administration	Oversight role	1	2	Distant	Reallocate funds	
Donors	Source of finance	2	2	Distant	Withhold funds	Provide committee reports
Meat marketing board	Quality of meat	2	1	Very distant	Retailers buy meat from cheaper sources	Undertake advertising campaign to promote local meat

*Score: 1 = low, 3 = high

SOURCE: FAO. 2011. *Social analysis for agriculture and rural investment projects. Field guide*. Rome. www.fao.org/3/bl183e/bl183e.pdf

**Purpose**

To explore the main strengths and problems facing the community (as perceived by different groups), their causes and effects and how the problems may be overcome. [Field Tool 8](#) (Pairwise ranking) could be used as a follow-up tool to assess different problem perceptions between women and men.

Source of information

Community meetings and group discussions (with women, men and youth separately or also in mix groups as appropriate) in order to understand their different perspectives.

How to conduct a problem analysis**STEP 1: IDENTIFYING STRENGTHS**

Ask the village leaders and key informants/group members to describe the good things about their community.

STEP 2: IDENTIFYING PROBLEMS

- A. Ask group members to note down individually, on separate pieces of paper, two or three problems they are facing at present.
- B. Make a list of all problems noted and count the number of times each problem has been cited. Use this list to rank the problems facing the community/focus group in order of importance.

STEP 3: DEVELOPING A PROBLEM TREE (OPTIONAL)

- A. Prepare a problem tree to explore the interrelationships between problems. Often several of the problems are interrelated; for example, one person may note low yields as a problem, while another may note a lack of fertilizer or poor soil fertility.
- B. Develop the problem tree around a core problem, its principal causes, the factors that give rise to those causes and, ultimately, the root causes. Examine up to five levels of causes.
- C. Note both the immediate effects of the core problem and their linkages to subsequent effects.
- D. Use the problem tree to identify the main root causes of problems facing the community/focus group and rank them in order of importance.

Visualization: Draw the trunk of a tree with roots and branches; stick the pieces of paper with problems noted on the roots, and identify the relationships and hierarchy among the different problems. Repeat the process for solutions. See Figure 5.

STEP 4: ANALYSING PROBLEMS

Select four or five problems that may be addressed through the proposed project and for each one identify:

- its causes;
- its effects;
- coping mechanisms (how have people responded to date); and
- other possible solutions at the community level that may or may not require external assistance. Where relevant, draw on the strengths identified in step 1.

Visualization: Prepare outline matrix (see Table 12) and record information in the relevant cells.

STEP 5: CONSOLIDATING

- A. How do the rankings differ among different groups within the community?
- B. How can the views of poorer households, women and the youth be reflected among the priorities?
- C. Ensure that the results can be used as a basis for community action planning.
- D. In the village, village leaders should go back to the problem ranking. Which problems affect the most people? Which are the most urgent? Which problems are the easiest for the villagers to solve with their own resources and which are the most difficult?

Examples of problem analysis tools

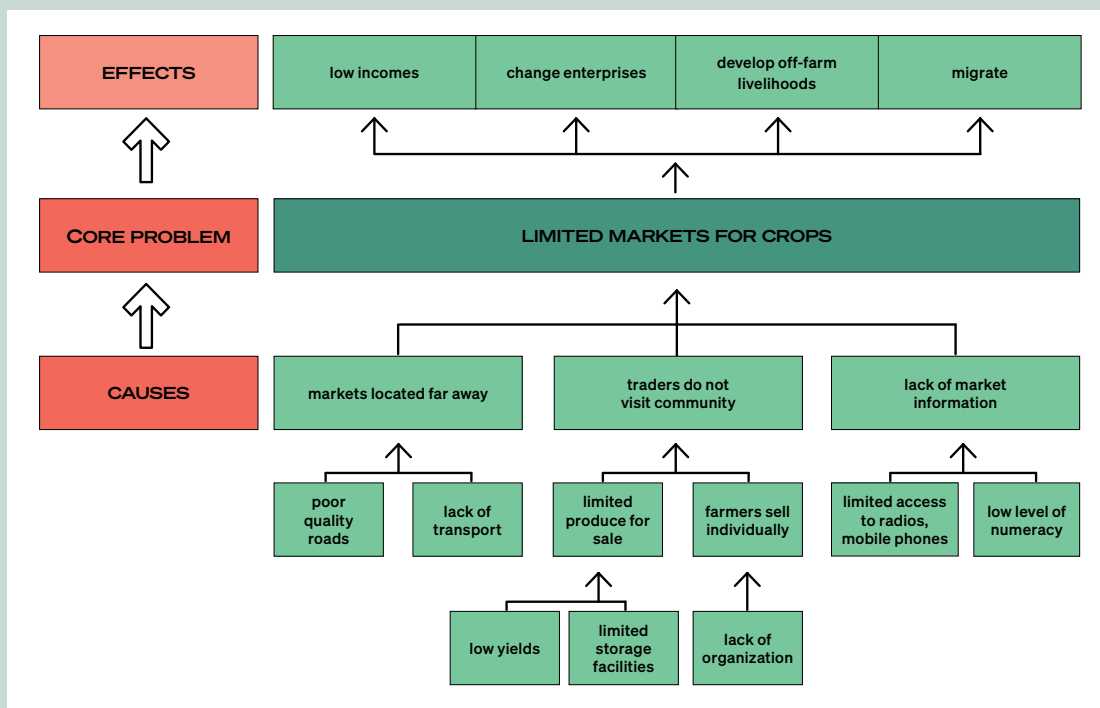


Figure 5
Example of problem tree

SOURCE: FAO. 2011. *Social analysis for agriculture and rural investment projects. Field guide*. Rome. www.fao.org/3/bl183e/bl183e.pdf

Table 12
Example of problem matrix from Southern Province, Zambia

Problem	Cause of problem	Coping mechanism	How can village solve it?
No proper organized market for crops [13 votes]	<ul style="list-style-type: none"> Markets are far. Traders cannot come – poor road. Local people have no money to buy produce. 	<ul style="list-style-type: none"> Sell crops jointly (maize marketing coop). Grow crops with high demand. 	<ul style="list-style-type: none"> Complete produce shed constructed by maize marketing cooperative. Improve knowledge – learn to grow crops in high demand; develop marketing skills.
Shortage of cash/ no money for farm inputs [9 votes]	<ul style="list-style-type: none"> Laziness. Lack of start-up capital for business. Lack of knowledge on how to farm as a business. 	<ul style="list-style-type: none"> Piecework on other farms. Sell firewood. Sell chickens or goats. 	<ul style="list-style-type: none"> Produce goats and chickens for sale. Improve cooperative organization.
Transport expensive and in short supply [2 votes]	<ul style="list-style-type: none"> Few transporters. High cost of transport. Bad road. 	<ul style="list-style-type: none"> Bicycle, hire ox cart. Grow crops to sell to nearby hospital. 	<ul style="list-style-type: none"> Cooperate with people who own animal-drawn cart.
Debts [1 vote]	<ul style="list-style-type: none"> Poor money management; lack of budgeting. Did not repay fertilizer loan. Diverted loan to a use that generated little income. 	<ul style="list-style-type: none"> Repay little by little. 	<ul style="list-style-type: none"> Learn to manage money. Learn how to manage credit.

SOURCE: FAO. 2011. *Social analysis for agriculture and rural investment projects. Field guide*. Rome. www.fao.org/3/bl183e/bl183e.pdf



Purpose

To enable a group or a community to prioritize problems, and to understand the underlying reasons for the ranking. The same technique may be used to examine any choices (for example, different crops or livestock, different varieties of a crop, different modes of rural transport). This tool could be preceded by [Field Tool 7](#) (Problem analysis) to first get an overall picture of the main problems and then analyse different perspectives between men and women. It could also be followed up with [Field Tool 19](#) (The diamond dreams).

Source of information

Community meetings and group discussions (with women, men and youth separately) in order to understand their different perspectives.

How to conduct pairwise ranking

STEP 1: RANKING PROBLEMS

- A. Ask the group to identify from four to six problems they are facing. If this is a follow-on activity to the problem analysis ([Field Tool 7](#)), use the list of problems already identified.
- B. Write the problems along both the vertical and horizontal axes of a pairwise ranking matrix (see Table 8).
- C. Also write each of the problems on a separate card.
- D. Present a pair of cards (showing two different problems) to the group and ask them to choose the more important one.
- E. Record their choice on the prepared matrix.
- F. Ask them also to explain the reasons for their choice and record this information.
- G. Repeat the process until all combinations of problems have been presented and decided upon.

STEP 2: ANALYSIS

- A. Once the matrix has been completed, count the number of times each problem was selected and rank them in order.
- B. The three problems selected the highest number of times are the priority problems of the group.

STEP 3: COMPARING DIFFERENT PERSPECTIVES

- A. Organize a follow-up meeting, for example, according to socioeconomic or age group. Make sure that both women and men are in all groups.
- B. Repeat the exercise.
- C. Compare the findings from the different focus groups with the results from the community group.

Example of a pairwise ranking matrix

Table 13
Example of completed pairwise ranking

Problem	Poor market infrastructure	Limited access to improved seed and fertilizer	Limited farm power in household	Ranking
Poor market infrastructure		Market: need market to stimulate production	Farm power: ill health of adults and children at school creates labour shortage	2
Limited access to improved seed and fertilizer	-		Farm power: without labour unable to farm	3
Limited farm power	-			1

SOURCE: FAO. 2011. *Social analysis for agriculture and rural investment projects. Field guide*. Rome. www.fao.org/3/bl183e/bl183e.pdf



WEALTH RANKING

Purpose

To identify the main socioeconomic groups in the community and their characteristics; to review the distribution of households among the groups; to identify any factors associated with movement between groups; and to discuss the causes and effects of poverty.

Source of information

STEP 1: IDENTIFICATION OF SOCIOECONOMIC GROUPS IN THE COMMUNITY AND THEIR CHARACTERISTICS

- A. What terms do community members use to describe the different socioeconomic groups?

Visualization: Note each term at the top of a column of a chart in the local language (with the terms used to describe the “rich” in the left-hand column, declining to those for the very poor in the right-hand column).

- B. Ask for a description of each socioeconomic group. Using the livelihood assets framework (i.e. human, natural, physical, financial and social), what criteria do they use to distinguish between the different groups (e.g. land, livestock, labour, household composition, ability to send children to school or buy medicine)? Which groups and organizations do female and male household members belong to and lead? Record their descriptions in the appropriate columns; try to avoid being too quantitative and record the qualitative ways in which they describe the households.

Visualization: Start recording the information at the extremes of the “rich” and very poor, then complete the middle columns. See Table 3.

- C. What are the livelihood strategies (in terms of the balance between farm and off-farm work, coping mechanisms, other sources of support such as remittances) and the outcomes achieved (e.g. food security, standard of housing, savings)? Estimate the percentage contribution of farm and non-farm activities to household cash income; note the contribution of different farm enterprises independently.
- D. How are decisions made regarding the enterprise mix, livelihood strategies and use of income for men, women, other people and joint decisions?

- E. What challenges does each group face, if any, in developing their livelihoods?
- F. Are there any special relationships between the different groups? What do the poor do for the less poor? What do the less poor do for the poor and very poor?

STEP 2: DISTRIBUTION OF HOUSEHOLDS

- A. Note the approximate total number of households in the community. Define a household to be the unit in which people eat together in the evening.
- B. Use [Field Tool 15](#) (Proportional piling) to determine the distribution of total households across the socioeconomic categories. Take a large number of seeds or stones (about 100) and explain that this represents the total number of households in the community. Ask a volunteer to distribute the seeds among the different socioeconomic groups. Allow other group members to adjust the distribution until all are satisfied with the result. Add the number of seeds in each group and divide by the total number of seeds in order to calculate the percentage distribution.
- C. Note the approximate number of FHHs in the community. Use [Field Tool 15](#) (Proportional piling) to determine the distribution of FHHs across the socioeconomic categories.
- D. Note the approximate number of MHHs in the community. Use [Field Tool 15](#) (Proportional piling) to determine the distribution of MHHs across the socioeconomic categories.
- E. Note the approximate number of male and female youth who have left school in the community.

STEP 3: MOVEMENT BETWEEN GROUPS

- A. Are there any movements between the socioeconomic groups?
- B. Note any factors associated with households whose positions are improving, deteriorating or remaining stable.

STEP 4: IDENTIFICATION OF INDIVIDUAL HOUSEHOLDS

After the end of the community data collection process, ask one or two of the village leaders to select two or three households from each of the socioeconomic groups in preparation for the individual household interviews. Ensure that FHHs, MHHs and households whose position is improving or deteriorating are included in the sample.

Example of a wealth ranking matrix

Table 14
Example of wealth ranking, Kweneng North District, Botswana

Charac- teristics	Rich (5 households in total)	Middle (emerging) (35 percent households)	Poor (50 percent households)	Very poor (10-20 percent households)
ARABLE	<ul style="list-style-type: none"> • Cultivate 150-250 ha (buy land, lease land, compensate people for improvements). • Use own tractors and implements (1 tractor per rich household). • Use hybrid seeds and fertilizer. • Maize yield 500 kg or more per ha. 	<ul style="list-style-type: none"> • Cultivate 15-21 ha. • Some hire land. • Use own old tractors or hire tractors from others including rich. • Majority use donkey/ tractor mix (e.g. donkeys for 3 ha, tractors for 3 ha). • Some row plant with tractors, others with donkeys. • Plant open-pollinated varieties of certified seed from government. • Some use fertilizer. • Maize yield with fertilizer 200 kg per ha; without fertilizer 100 kg per ha. 	<ul style="list-style-type: none"> • Own 10-15 ha. • Cultivate 5-7 ha. • Use own donkeys and ploughs. • Sometimes hire tractors. • Broadcast open-pollinated varieties certified seed from government. • No fertilizer. • Maize yield 50 kg per ha. • Maize and sorghum for household use. • Sometimes sell watermelons, sweettreet (cash crops). 	<ul style="list-style-type: none"> • Majority landless. • Borrow 2-3 ha to cultivate. • Work with others to pool donkeys for ploughing. • Broadcast recycled seed. • No fertilizer.
LIVESTOCK	<ul style="list-style-type: none"> • Cattle: only one rich household has cattle (hundreds in another locality). 	<ul style="list-style-type: none"> • Cattle: 20 (kept at nearby cattle post.) • Donkeys: 6-10 • Goats: 30-50 	<ul style="list-style-type: none"> • Cattle: 6-10 (kept at nearby cattle post). • Donkeys: 6-8. • Goats: 10. • Chickens. 	<ul style="list-style-type: none"> • Donkeys: a few • Goats: 5-6 • Chickens
LABOUR	<ul style="list-style-type: none"> • 2-3 permanent labourers. • Hire 10-15 casual labourers for weeding, bird scaring, harvesting (mainly women). 	<ul style="list-style-type: none"> • Labour groups for weeding 	<ul style="list-style-type: none"> • Family labour 	<ul style="list-style-type: none"> • Family labour
OFF-FARM ACTIVITIES	<ul style="list-style-type: none"> • Trading. • Hire out lodges for accommodation. • Own petrol filling stations. 	<ul style="list-style-type: none"> • Some have activities – trading, small shops/ kiosks (selling airtime, sweets, etc.). • Receive remittances. 	<ul style="list-style-type: none"> • Majority work on drought relief programme (temporary), cash for work. • Work on own plots • Work as hired labourers. • Might also receive government food basket. • Receive remittances. 	<ul style="list-style-type: none"> • Work on drought relief programme (temporary), cash for work. • Work as casual labourers. • Receive government food basket.
LOCAL GROUPS AND COMMITTEES	<ul style="list-style-type: none"> • Not involved as members. • Some involved as leaders. 	<ul style="list-style-type: none"> • Involved as members and leaders. 	<ul style="list-style-type: none"> • Involved as members 	<ul style="list-style-type: none"> • Not involved

RESIDENCE	<ul style="list-style-type: none"> • Live in nearby town (Molepolole). • Accommodation on plot for farm manager, labourers. 	<ul style="list-style-type: none"> • Most live in Molepolole. • No house in village. • Housing structure on plot. 	<ul style="list-style-type: none"> • Majority live in village. • Simple housing structure in field. 	<ul style="list-style-type: none"> • Most live in village. • Might have simple housing at fields.
OTHER	<ul style="list-style-type: none"> • Not traditionally from area. • Invest earnings from off farm in agriculture. • Acquired wealth in present generation. 	<ul style="list-style-type: none"> • Not traditionally from area 	<ul style="list-style-type: none"> • Indigenous 	<ul style="list-style-type: none"> • Indigenous

SOURCE: FAO. 2011. *Social analysis for agriculture and rural investment projects. Field guide*. Rome. www.fao.org/3/bl183e/bl183e.pdf



LIVELIHOODS MATRIX

Purpose

To collate all the information required for conducting a livelihoods analysis.

Source of information

Community meetings and focus group discussions, supplemented by in-depth discussions at the individual household level.

How to develop a livelihoods matrix

STEP 1: REVIEW INFORMATION COLLECTED THROUGH OTHER FIELD TOOLS

Complete parts of the matrix (see Table 15) using livelihoods information collected during community meetings and focus group discussions using a combination of field tools, amongst:

- **Field Tool 5:** Organization and group profiles: information about membership leadership of groups by socioeconomic group.
- **Field Tool 9:** Wealth ranking: information about asset base, livelihood strategies and outcomes of different socioeconomic groups; factors causing movement between groups.
- **Field Tool 13:** Seasonal calendar and gender division of labour: information about livelihood strategies.
- **Field Tool 16:** Access to and control of resources: information about household asset base.
- **Field Tool 17:** Sources and use of money: information about livelihood strategies and outcomes.

STEP 2: CONDUCT INDIVIDUAL HOUSEHOLD INTERVIEWS

- A. Select households to represent a cross-section of socioeconomic groups and household types (e.g. headed by men, women, youth, elderly, persons with disabilities, as relevant). This usually takes place after the wealth ranking exercise.
- B. Conduct household interviews using individual household checklist, and complete matrix.

Example of a Livelihoods matrix

Table 15

Example of livelihoods matrix for analysing farming systems and use of farm power, Nigeria

Characteristics	Hand power households (58 percent households)	Labour/tractor-hiring households (30 percent households)	Tractor-owning households (12 percent households)
Livelihoods Asset Base			
Human assets Household head: age/sex	<ul style="list-style-type: none"> Elderly, over 60 years. Proportionally more FHHs (widows). 	<ul style="list-style-type: none"> 50–60 years. Proportionally more FHHs (widows). 	<ul style="list-style-type: none"> Middle aged (40–50 years)/ No FHHs.
Average household size	<ul style="list-style-type: none"> Live with extended family (> 40 members). 1 to 2 wives in MHHs. FHHs have smaller families. 	<ul style="list-style-type: none"> Live with extended family (>40members). 2 to 4 wives in MHHs. FHHs have smaller families. 	<ul style="list-style-type: none"> Live with nuclear family (15 to 20 members). At least 4 wives + many concubines.
Skills and knowledge	<ul style="list-style-type: none"> Low, mainly illiterates. 	<ul style="list-style-type: none"> Low, some educated. 	<ul style="list-style-type: none"> High, more educated than other groups.
Health threats	<ul style="list-style-type: none"> Malaria 	<ul style="list-style-type: none"> Malaria 	<ul style="list-style-type: none"> Malaria
Use of hired labour	<ul style="list-style-type: none"> Only family labour. 	<ul style="list-style-type: none"> Hired and family labour. 	<ul style="list-style-type: none"> Mainly hired labour.
Natural assets Rainfed area	<ul style="list-style-type: none"> 1–3 ha; not always cultivate it all. 	<ul style="list-style-type: none"> 20–40 ha including land rented in. 	<ul style="list-style-type: none"> 80–100 ha including land rented in.
Irrigated area	<ul style="list-style-type: none"> Small area on fadama. 	<ul style="list-style-type: none"> Medium area on fadama. 	<ul style="list-style-type: none"> Large area on fadama.
Fallow	<ul style="list-style-type: none"> 2–3 years. 	<ul style="list-style-type: none"> 5 years. 	<ul style="list-style-type: none"> 5–6 years.
Trees	<ul style="list-style-type: none"> Communal ownership. 	<ul style="list-style-type: none"> Communal ownership. 	<ul style="list-style-type: none"> Communal ownership.
Livestock	<ul style="list-style-type: none"> Many poultry, goats and sheep. 	<ul style="list-style-type: none"> Average number of poultry, goats and sheep. 	<ul style="list-style-type: none"> Few poultry, goats and sheep.
Physical assets Seeds and fertilizer	<ul style="list-style-type: none"> Animal manure. Seeds acquired on loan from richer farmers. 	<ul style="list-style-type: none"> Chemical fertilizers. Improved seeds. Some herbicides. 	<ul style="list-style-type: none"> Chemical fertilizers. Improved seeds. Some herbicides.
Farm tools	<ul style="list-style-type: none"> Average number of hand tools 	<ul style="list-style-type: none"> Highest number of hand tools. 	<ul style="list-style-type: none"> Fewest hand tools. Tractor and implements.
Post-harvest equipment	<ul style="list-style-type: none"> Manually operated. 	<ul style="list-style-type: none"> Improved manually operated. 	<ul style="list-style-type: none"> Improved manually operated or motorized groundnut + maize shellers, cereal mills.
Other HH assets	<ul style="list-style-type: none"> Kitchen utensils, sleeping mats Mud houses, thatch roofs. 	<ul style="list-style-type: none"> Beautified kitchen utensils, beds. Mud/brick houses, iron sheet roofs. Bicycles or motorcycles. 	<ul style="list-style-type: none"> Radio, furniture, electrical goods. Brick houses, iron sheet roofs. Commercial vehicles, motorcycles. Shops to let.

Financial assets Access to credit	<ul style="list-style-type: none"> FHHs have no access. Some MHHs have access through societies and relatives. 	<ul style="list-style-type: none"> FHHs and MHHs have access through credit associations and money lenders. 	<ul style="list-style-type: none"> Access through credit associations and money lenders.
Remittances	<ul style="list-style-type: none"> Some 	<ul style="list-style-type: none"> From family members working in cities. 	<ul style="list-style-type: none"> From family members working in cities.
Savings	<ul style="list-style-type: none"> None 	<ul style="list-style-type: none"> Monetary savings with various associations. 	<ul style="list-style-type: none"> Savings in form of investments (farm produce).
Social assets Membership	<ul style="list-style-type: none"> FHHs not members. MHHs have some membership. 	<ul style="list-style-type: none"> FHHs and MHHs have access through credit associations and money lenders. 	<ul style="list-style-type: none"> Access through credit associations and money lenders.
Leadership	<ul style="list-style-type: none"> No leadership role 	<ul style="list-style-type: none"> Limited leadership role 	<ul style="list-style-type: none"> Lead the associations
Reciprocal labour groups	<ul style="list-style-type: none"> Men belong 	<ul style="list-style-type: none"> Only a few belong 	<ul style="list-style-type: none"> No
Livelihoods strategies and outcomes			
Farming Rainfed food crops	<ul style="list-style-type: none"> Millet, maize, yams, guinea corn. 	<ul style="list-style-type: none"> Maize, guinea corn, yams, sweet potatoes, cassava. 	<ul style="list-style-type: none"> Maize, guinea corn, beans, yams, sweet potatoes, cassava.
Rainfed cash crops	<ul style="list-style-type: none"> Melon, groundnuts. 	<ul style="list-style-type: none"> Melon, groundnuts, yams. 	<ul style="list-style-type: none"> Melon, groundnuts, beans, yams.
Irrigated crops	<ul style="list-style-type: none"> Rice, vegetables 	<ul style="list-style-type: none"> Rice, vegetables 	<ul style="list-style-type: none"> Maize, yam
Livestock for home use	<ul style="list-style-type: none"> Poultry 	<ul style="list-style-type: none"> Poultry, sheep, goats 	<ul style="list-style-type: none"> Poultry, sheep, goats
Livestock for sale	<ul style="list-style-type: none"> Goats, sheep 	<ul style="list-style-type: none"> Goats, sheep 	<ul style="list-style-type: none"> Cattle
Livelihood strategies in declining order of importance	<ul style="list-style-type: none"> FHH: livestock, crops, off-farm activities, remittances. MHH: crops, off-farm activities, livestock, remittances. 	<ul style="list-style-type: none"> FHHs and MHHs: crops, remittances, livestock, off-farm activities. 	<ul style="list-style-type: none"> Crops, non-farm activities, remittances, livestock.
Shocks/changes and coping strategies	<ul style="list-style-type: none"> Death of household member (especially FHHs). Farm fires, livestock epidemics, pests Coping with power shortages: work longer hours. Other coping strategies: borrow/acquire items on informal credit. 	<ul style="list-style-type: none"> Death of household member (especially FHHs). Farm fires, livestock epidemics, pests. Coping with power shortages: use reciprocal labour groups, use labour as bride price. Other coping strategies: use credit. 	<ul style="list-style-type: none"> Migration of children for education. Removal of subsidy on tractors and farm inputs. More difficult to contact extension service. Coping with power shortages: use savings to hire labour, purchase second hand tractors.
Livelihood outcomes	<ul style="list-style-type: none"> Food insecure during hungry months. Small income. Heavy workloads. Rely on local herbs for health care. Children not able to attend tertiary institutions. Some children in MHHs receive vocational training. 	<ul style="list-style-type: none"> Food self-sufficient throughout year. Use modern medical facilities. Children attend tertiary institutions. Children receive vocational training. Many have been on religious pilgrimage. 	<ul style="list-style-type: none"> Food self-sufficient. Use modern medical facilities. Children attend tertiary institutions. Children receive vocational training. Many wives (a sign of wealth). Dress well, eat well. Use better quality products. Influential, high esteem and social status.
Livelihood outlook	<ul style="list-style-type: none"> A few households stable, majority of households improving. 	<ul style="list-style-type: none"> A few households stable, majority improving. 	<ul style="list-style-type: none"> Improving

SOURCE: FAO. 2011. *Social analysis for agriculture and rural investment projects. Field guide*. Rome. www.fao.org/3/b1183e/b1183e.pdf



THE VISION JOURNEY

Purpose

To visualize what participants would like to achieve in the future starting from their current situation. The “visioning” will allow participants to make a time-bound plan with milestones, identifying opportunities and constraints as well as steps or activities that would help achieve their vision. This tool could serve as a follow-up to [Field Tool 19](#) (The diamond dreams).⁴

Source of information

It could be individuals, household members, institutions, groups, small businesses or communities). Ideally, they should engage in discussion and reach consensus on common goals and vision.

How to facilitate a vision journey

STEP 1: FIRST CIRCLE - FUTURE

Ask participants to draw a large circle at the top right-hand corner of a piece of paper, which represents the future. The circle is placed at the top because it is like a sun you aim at reaching.

STEP 2: SECOND CIRCLE - PRESENT AND DRAFTING THE ROAD

- A. Ask participants then draw a second large circle at the bottom left-hand corner, which represents the present situation.
- B. Have participants draw two straight lines to link both circles. This represents the road to walk from the present situation to the future objective to achieve.
- C. In the bottom circle draw how your current starting situation is for the different things in your vision.

STEP 3: OPPORTUNITIES AND CONSTRAINTS

On either side outside the road, ask to draw: i) at least ten opportunities at the top of the road and ii) at least ten constraints under the road, including those that can be controlled (nearest the road) and those that cannot be controlled (furthest from the road).

⁴ This field tool has been extracted and adapted from: Mayoux, L. 2014. Rocky Road to Diamond Dreams - GALS phase 1: *Visioning and catalyzing a gender justice movement implementation manual*, Oxfam Novib, pp. 44-53.

STEP 4: TARGET AND MILESTONES

- A. Ask participants to draw a circle next to the vision, depending on how far they think they can get in one year, and three circles at equal distance indicating milestones every three months.
- B. Leave enough space in between – that is where you will put the actions.

STEP 5: ACTION PLANNING

Ask participants to include the actions needed to move from one milestone to the next, towards the vision. Explain that milestones and targets can be revisited over time, if necessary.

[www.oxfamnovib.nl/redactie/Downloads/English/SPEF/140701_RRDD_manual_July_small\(1\).pdf](http://www.oxfamnovib.nl/redactie/Downloads/English/SPEF/140701_RRDD_manual_July_small(1).pdf)

Steps to creating a vision journey

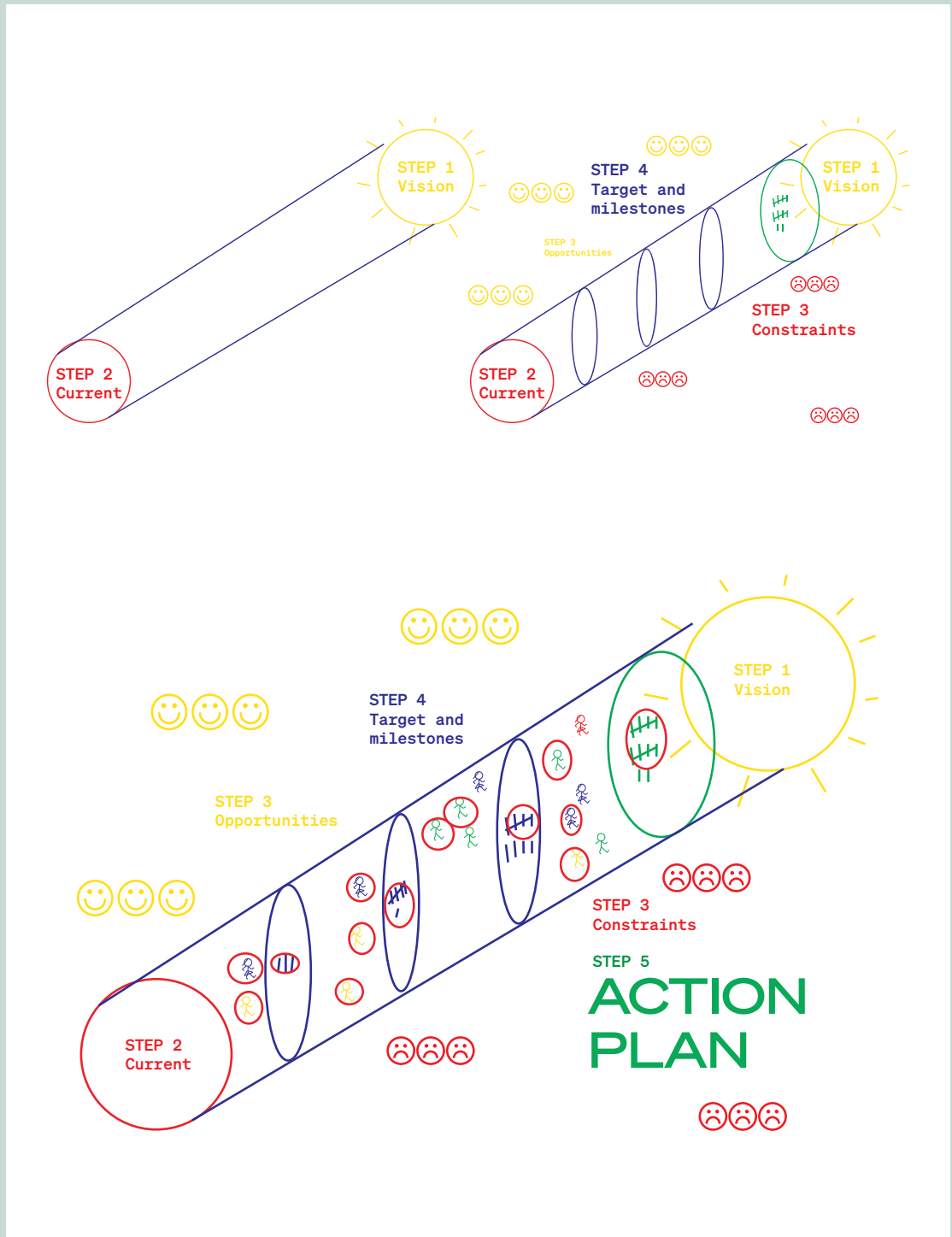


Figure 6
Vision journey steps

SOURCE: Author's own elaboration based on Mayoux, L. 2014. *Rocky Road to Diamond Dreams - GALS phase 1: Visioning and catalyzing a gender justice movement implementation manual*, Oxfam Novib. For detailed guidance and real life examples of vision journeys, consult: [https://www.oxfamnovib.nl/redactie/Downloads/English/SPEF/140701_RRDD_manual_July_small\(1\).pdf](https://www.oxfamnovib.nl/redactie/Downloads/English/SPEF/140701_RRDD_manual_July_small(1).pdf)



GENDER BALANCE TREE

Purpose

To identify intra-household gender-based inequalities in access to, ownership of and control over resources and incomes as well as in workloads at household level. The advantage of this tool is that it enables users get information often collected through different tools by using one tool only.⁵ This tool is complementary to [Field Tool 14](#) (Proportional piling), [Field Tool 13](#) (Seasonal calendar and gender division of labour) and [Field Tool 15](#) (daily activity schedule). It could be used to deepen the analysis emerging from [Field Tool 16](#) (Access to and control of resources) and [Field Tool 17](#) (Sources and use of money).

Source of information

Household members, including girls and boys.

How to develop a Gender Balance Tree

STEP 1: TRUNK: WHO IS IN THE HOUSEHOLD?

Ask participants to draw two lines in the middle of the paper for the trunk. Then put symbols for each household member on either side inside the trunk. Working women (including co-wives living in the same family) should go on the left side of the trunk, working men on the other, with dependents in the middle to the side of their respective sex.

STEP 2: ROOTS: WHO CONTRIBUTES WHAT WORK?

- A. Ask participants to draw two roots for women and two roots for men on the respective sides of the trunk in their respective colours. The central root is for joint activities, but the line is in the colour for women/men.
- B. On the outside root on each side, ask them to place the activities performed by people of that sex individually for themselves. Those activities taking the most time should be marked in black as something to change; those earning the most income marked in blue, with a thicker mark indicating a relative amount of income and something that is to be kept as it is. Activities performed individually for the family by people of that sex should be included in the inside roots.

⁵ This field tool has been extracted and adapted from: Mayoux, L. 2014. Rocky Road to Diamond Dreams - GALS phase 1: *Visioning and catalyzing a gender justice movement implementation manual*, Oxfam Novib, pp. 54-65.

- C. Finally, ask participants to include in the central root activities what both women and men undertake, with a symbol on the side for the sex that does the most.

STEP 3: BRANCHES: WHO GETS WHAT FRUIT?

- A. Ask participants to then draw four branches corresponding to each root, women, men and central trunk for joint household expenses.
- B. On the outside branch on each side, symbols for personal expenditure that each sex makes for itself should be included. The larger personal expenditures should be marked in black with the thickest line for the largest expenses as something to change.
- C. Household expenditures which only one person pays should be on the inside branch on each side. Again, the largest expenditures should be marked in black as something to change, with the thickest line for the largest expenses.
- D. Similarly ringed symbols should be included for joint expenditures in the middle of the top branch – adding the symbol to the side of the sex that contributes the most. Necessary expenditures should be marked in blue but the largest expenditures in black, as things to keep.

STEP 4: WHAT IS PUSHING THE TREE?

Ask women and men to put on their respective side of the trunk symbols for: i) assets that women and men own, e.g. land, livestock, house; and ii) types of decisions that women and/or men make – individually and/or jointly.

STEP 5: WHAT DO WE WANT TO CHANGE?

- A. Ask the participants to analyse the tree, in particular whether it is balanced; ask questions such as “are women doing most of the work while men own most of the property?” A symbol representing the degree of gender balance should be placed at the top of the trunk.
- B. Ask the participants to put rings in blue for things that help the tree to balance, for example tasks that should be done jointly, expenditures that could be cut, property that should be shared.
- C. Ask participants to identify five action commitments that can help the tree balance – tuber fruits on the roots, mango fruits on the branches or cocoa fruits on the stem. Have these marked in green or have the original symbol flagged with a black cross and a new green symbol drawn in the appropriate place – as unripe fruits to change.

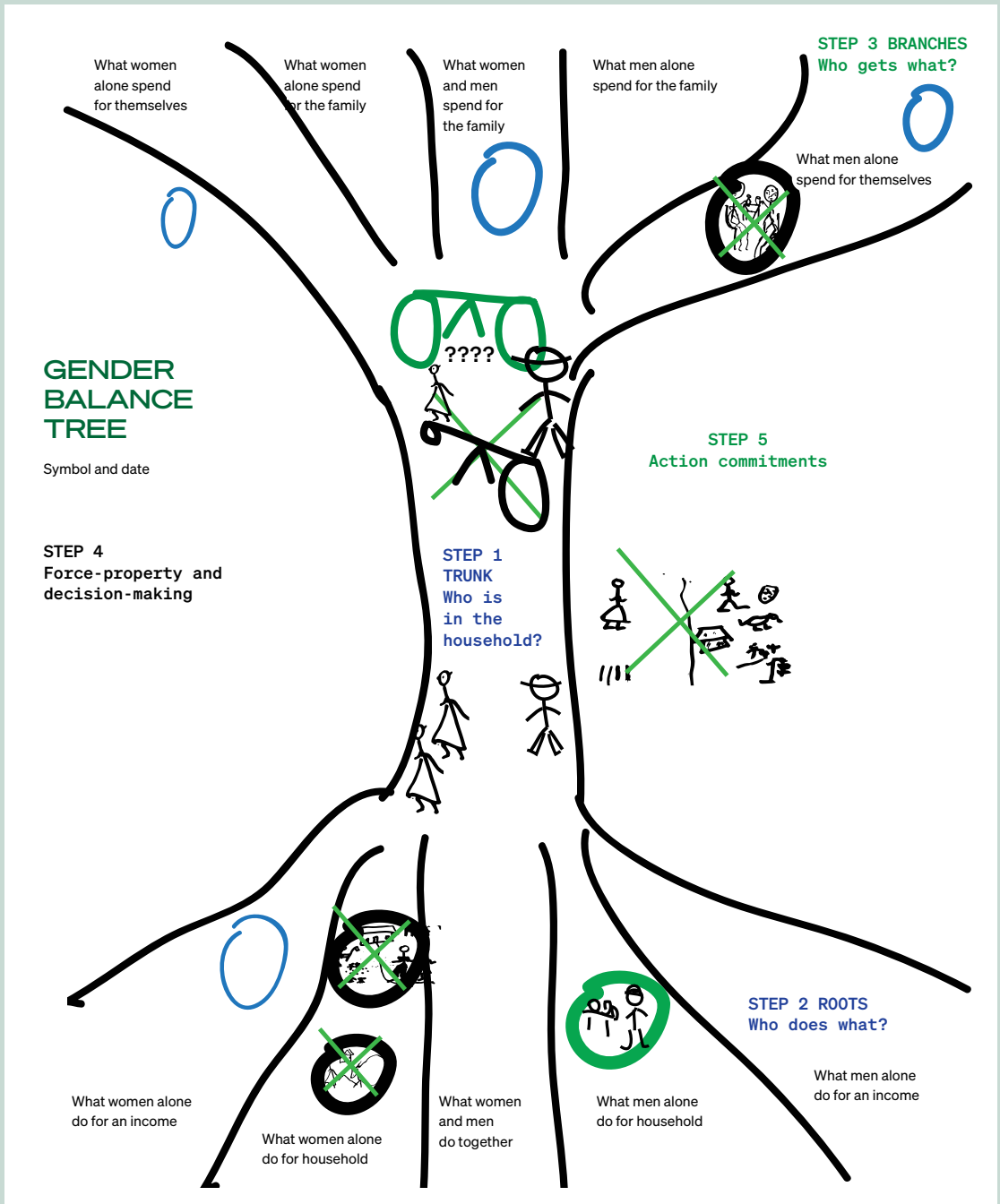


Figure 7
Example of a gender balance tree

SOURCE: Mayoux, L. 2014. *Rocky Road to Diamond Dreams - GALS phase 1: Visioning and catalyzing a gender justice movement implementation manual*, Oxfam Novib. [www.oxfamnovib.nl/redactie/Downloads/English/SPEF/140701_RRDD_manual_July_small\(1\).pdf](http://www.oxfamnovib.nl/redactie/Downloads/English/SPEF/140701_RRDD_manual_July_small(1).pdf) (p. 56)



SEASONAL CALENDAR AND GENDER DIVISION OF LABOUR

Purpose

To explore how seasonal variations affect the pattern of life throughout the year in terms of the principal agricultural and non-agricultural activities and the division of tasks among family members, or groups in a community. In addition to revealing livelihoods over the year, the tool also shows the seasonality of food availability, human diseases, gender-specific income and expenditure, water, forage, credit and holidays.

Key questions that can be answered through conducting a seasonal calendar include: What are the busiest months of the year? At what time of the year is food scarce? How does income vary over the year for men and women? How does expenditure vary over the year for men and women? How does rainfall vary over the year? How does water availability for human consumption vary over the year? How does livestock forage availability vary over the year? How does credit availability vary over the year? When are holidays and how many days in which month? When are most agricultural work carried out by women? When are most agricultural work carried out by men? When is most non-agricultural work carried out by women? When is most non-agricultural work carried out by men? Which could be the most appropriate season for additional activities for men and women? What time constraints do exist and for what reason?

This tool is complementary to [Field Tool 12](#) (Gender balance tree), [Field Tool 14](#) (Daily activity schedule), and [Field Tool 15](#) (Proportional piling).

Sources of information

This information may be collected from two sources: (i) in a community meeting of key informants such as community leaders, religious leaders and representatives of local organizations, ensuring a balance of women, men and youth; or (ii) in focus groups for targeted enterprises or commodities.

How to prepare a seasonal calendar

STEP 1: NOTE THE PATTERN OF RAINFALL

- A. Identify rainy seasons and the local name for each season.
- B. Note the appropriate start of the year. It is not necessary to start with January; if the main rains start in October, and land preparation starts prior to the rains in September, list the months starting with September and finishing in August.
- C. Note the months in which it rains and the number of days of rainfall or the intensity of rainfall per month.

Visualization: Record the information on a chart (see Table 9). Use local materials or symbols to represent different activities.

STEP 2: DESCRIBE FARMING ACTIVITIES

- A. Record the principal activities associated with the targeted commodity or activity in the left-hand column (e.g. rainfed farming: land clearance, land preparation, planting, fertilizing, weeding). Avoid over-aggregation of activities: if a particular crop is relevant to the project, list the activities associated with that crop separately from the others.
- B. Note the timing of each activity (in terms of months) on the calendar.
- C. Indicate the intensity of the workload. For example, if symbols are used to represent a particular activity, add extra symbols to reflect greater intensity.
- D. Focus in detail on those activities relevant to the enquiry (e.g. irrigated farming, dairying, open-water fishing, non-timber forest products) but also include other livelihood activities, especially those with a seasonal dimension (e.g. off-farm activities).

STEP 3: DESCRIBE GENDER DIVISION OF LABOUR

In the right-hand column, note who performs each of the tasks listed in step 2. Using ten stones to represent ten points, ask the group to indicate the relative contribution of women and men to the performance of each task. For example, ten points for women and none for men indicates that women are entirely responsible for doing a particular task, while five points each indicate that women and men share the task equally.

STEP 4: OTHER ACTIVITIES

- E. Repeat steps 2 and 3 for irrigated farming, livestock and non-farm activities (e.g. brick-making, house-building, thatching, charcoal-making, selling wild fruit or making mats).
- F. Other information that has a seasonal dimension (e.g. food shortages, patterns of income and expenditure, diseases or workloads) may also be recorded on the calendar, when relevant to the study.
- G. Key questions:
 - Are there times of the year when women's labour is not fully utilized?
 - Are there times of the year when men's labour is not fully utilized?
 - Which is the most appropriate season for additional activities? For whom?
 - What time constraints exist throughout the year and what causes them?

Examples of seasonal calendars

Table 16

Example of seasonal calendar and gender division of labour, Southern Province, Zambia

Months	A	S	O	N	D	J	F	M	A	M	J	J	Gender division of labour	
													Women	Men
Rainfall														
Dryland – rainfed														
Land preparation using oxen													2	8
Land preparation by hand													5	5
Planting													10	0
Applying fertilizer													4	6
Weeding using oxen													2	8
Weeding by hand													10	0
Harvesting													5	5
Digging groundnuts													10	0
Transporting harvest using oxen													2	8
Transporting harvest by hand													10	0
Storage													10	0
Marketing													0	10
Gardens														
Land preparation													5	5
Planting													7	3
Weeding													9	1
Watering													6	4
Harvesting													5	5
Livestock (all year)														
Cattle-grazing													1	9
Milking cows													4	6
Goat grazing													2	8
Chicken rearing													10	0
Other seasonal patterns														
Food availability													-	-
Hungry season													-	-
Expenditure (festivals, school fees)													-	-
Casual labouring													5	5
Human diseases													-	-

SOURCE: FAO. 2011. *Social analysis for agriculture and rural investment projects. Field guide*. Rome. www.fao.org/3/b1183e/b1183e.pdf



DAILY ACTIVITY SCHEDULE

Purpose

To identify the different kinds of activities carried out in one day by women and men and the proportion of time allocated to each. Daily activity schedules are particularly useful for looking at relative workloads among different groups of people in the community, such as women, men, rich, poor, young and old. They can also be used to illustrate seasonal variations. This tool could be used as a follow-up of [Field Tool 13](#) (Seasonal calendar and gender division of labour) to go deeper into the different responsibilities and workloads by gender. It could also be complemented by [Field Tool 12](#) (Gender balance tree), [Field Tool 15](#) (Proportional piling), which show gender inequalities and imbalances in household workloads.

Sources of information

Separate focus groups of women and men, including people from different socioeconomic groups.

How to prepare a daily activity schedule

STEP 1: PREPARING THE CLOCK

- A. Identify the busiest and quietest time of the year from the seasonal calendar ([Tool 12](#)) usually occurring during the rainy and dry season, respectively).
- B. On flip chart paper, prepare a timesheet with the hours listed in the centre column, and a space to record women's information on the left side and men's information on the right side.

Visualization: An alternative to recording the information in a list is to record it on a 24-hour clock (i.e. a circle divided into 24 hours). Participants may draw pictures to represent different activities.

STEP 2: RECORDING THE DAILY ACTIVITY SCHEDULE

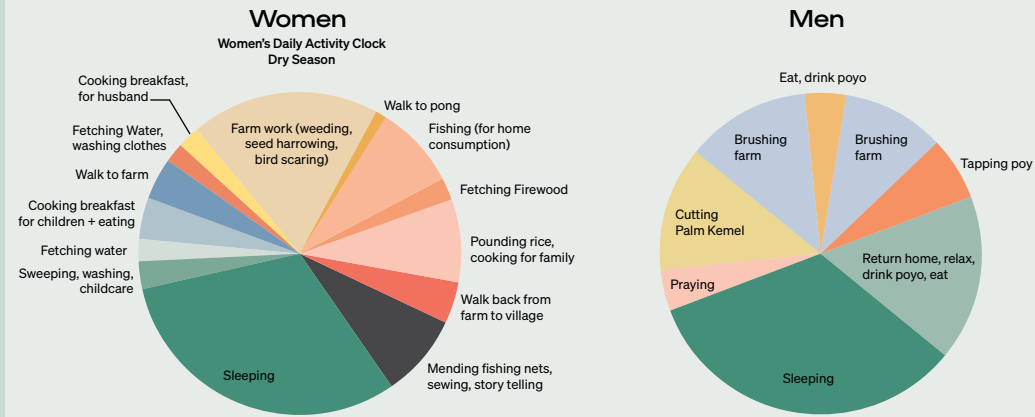
- A. Ask women and men separately to produce their own clock, recording what they do in a typical day during the busiest time of year.
- B. They should identify all the activities carried out at different times of day and indicate the proportion of time they spend on them.
- C. Activities that are carried out simultaneously, such as child care and gardening, can be noted within the same spaces.
- D. Ask the group to repeat the process for the quietest time of the year.

STEP 3: INTERPRETING THE SCHEDULE

- A. With the groups, compare the differences in overall workloads between the busiest and quietest times of the year.
- B. Identify the time spent in each season on either household, productive or community activities. Who works the longest hours, who concentrates on a small number of activities, who divides their time among a multitude of activities and who has the most leisure time and sleep?
- C. Compare the results with the participants and ask them to draw conclusions.

Note that the concept of hours/minutes is context specific, as is the notion of a clear work-leisure distinction.

Gender-differentiated use of time in dry season



Gender-differentiated use of time in wet season

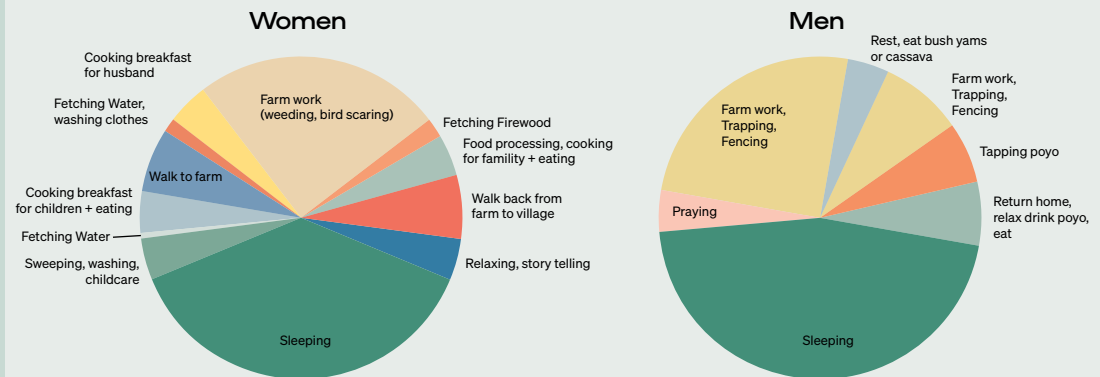


Figure 8
Daily activity clocks - Men's and women's daily activities by season in Bo District, Sierra Leone

SOURCE: Authors' own elaboration.



PROPORTIONAL PILING: INEQUALITIES AT A GLANCE

Purpose

To better understand differences and inequalities in workloads between women and men at household level.⁵ The ultimate objective is to promote more equitable allocation of responsibilities and enhance women's position and leadership. This tool could be used after [Field Tool 13](#) (Seasonal calendar and gender division of labour) and [Field Tool 14](#) (Daily activity schedule), to better assess gender-based workload imbalances. This tool is complementary to [Field Tool 12](#) (Gender balance tree).

Source of information

Household members, both women and men, including girls and boys.

How to use this tool

STEP 1: SELECTING HOUSEHOLDS

- A. In each village to be visited, select households to conduct this exercise.
- B. To the extent possible, identify households based on different socioeconomic characteristics (e.g. poor, women-headed, with a high number of dependents, receiving remittances, etc.). This would offer additional insights based on different households' conditions.
- C. Make sure the concerned households be informed well in advance as all members should be present.

STEP 2: QUANTIFYING WORK BURDENS

- A. Provide participants with a fixed number of beans (50 or 100).
- B. Ask the participants to draw illustrations representing productive and reproductive activities performed in the household on the ground or on cards.
- C. Ask each household member to allocate to each activity a number of beans in proportion to their responsibility for each productive and reproductive activity previously identified

⁵ This field tool has been adapted from: FAO and IFAD. 2015. *Promoting the Leadership of Women in Producers' Organizations: Lessons from the experiences of FAO and IFAD*, pp. 68-69. www.ifad.org/documents/38714170/40706239/Promoting+the+leadership+of+women+in+producers%27+organizations+-+Lessons+from+the+experiences+of+FAO+and+IFAD.pdf/47a9d7cc-c3db-4282-a9c5-23ef83be5c4a?t=1531733946000

STEP 3: ANALYSING AND SHARING THE OUTCOMES

- A. When the process is completed, facilitators will encourage each participant to briefly describe their responsibilities and share views and concerns with the other household members.
- B. Encourage the participants to compare the different household chores and to make together a plan for more balanced workloads.

STEP 4: OTHER USES

Proportional piling is an interactive and visual approach that can also serve as a baseline and monitoring tool, particularly in contexts where illiteracy rates are high.



ACCESS TO AND CONTROL OF RESOURCES

Purpose

To examine the differences between men and women in terms of their access to and control over resources. This tool could be used to complement an analysis carried out through [Field Tool 10](#) (Livelihood matrix) and subsequently [Field Tool 17](#) (Sources and use of money) and [Field Tool 12](#) (Gender balance tree).

Sources of information

Community meetings or group discussions, meeting women and men separately in order to collect different perspectives of women's and men's access to and control over resources.

How to examine gender differences in access to and control over resources

STEP 1: RESOURCES

- A. With the group, draw up a list of all resources available to people in the village (e.g. articles for domestic use, farming or off-farm work). The list need not be exhaustive but it should include items relevant to the project. See Table 12.
- B. Record the list in the left-hand column of the matrix.
- C. Explain the difference between access and control:
 - Access represents the opportunity to use a resource (such as an axe, or to work on the land) without having the authority to make decisions about its use.
 - Control represents the full authority to make decisions about the use of a resource.

Visualization: An alternative to recording the information initially in a matrix format would be to prepare a resources and benefits flow diagram (see Figure 5). Draw the household in the middle of a piece of paper. Identify the activities with which household members are engaged. Identify what resources are used to undertake those activities and the benefits that are generated.

STEP 2: ACCESS TO RESOURCES

Using ten stones to represent ten points, ask the group to indicate the relative access of women and men to a resource. For example, ten stones allocated to women and zero to men indicates that women have exclusive access to a particular resource, while five stones to women and five to men indicates that both have equal access. Two stones allocated to women and eight to men indicates that men have more access to a resource than women. In some instances, the control lies beyond the household.

STEP 3: CONTROL OVER RESOURCES

- A. Repeat step 2 to determine who has control over each resource, again allocating ten points between women and men.
- B. In some cases, control of a resource may lie outside the household. For instance, an institution may determine who receives credit or attends a training course. Such situations are indicated by the term “other.”

Visualization: On the diagram, record who has access to and who has control over each of the resources and benefits, using appropriate symbols to indicate women, men, access and control.

STEP 4: ANALYSIS

- A. Once it is established who has access to and control over all the different resources on the list, rank the top five resources. Note who has access to and who has control over these five resources and discuss the reasons why.
- B. Ask the group to note the types of resources women and men tend to have either access to or control over, or both.
- C. Will the pattern of access and control have any implications for the uptake of proposed project activities?

STEP 5: DIFFERING PERSPECTIVES

- A. Conduct the above analysis in separate groups of women and men.
- B. Compare the different resources recorded by women and men, and any differences in perceptions regarding access and control between the two groups.

Examples of recording and visualization of access to and control of resources

Table 18

Example of access and control over livelihood assets, South Province, Zambia

Asset	Access		Control	
	Women	Men	Women	Men
Hoe	8	2	8	2
Axe	3	7	1	9
Sickle	10	0	9	1
Oxen	3	7	0	10
Plough	2	8	0	10
Ox cart	4	6	0	10
Maize	5	5	2	8
Groundnuts	10	0	9	1
Vegetables	6	4	9	1
Cattle	3	7	0	10
Goats	5	5	2	8
Chickens	9	1	8	2
Pigs	6	4	3	7
Dryland	5	5	0	10
Gardens	9	1	1	9
House	5	5	2	8
Hand grinding mill	9	1	2	8
Granaries	9	1	3	7
Kitchen utensils	8	2	9	1
Radio	4	6	0	10
Bicycle	3	7	1	9
Hired labour	2	8	1	9
Children – girls	7	3	3	7
Children – boys	4	6	2	8
Agricultural extension officer	1	9	Other	Other
Community health worker	8	2	Other	Other
Meetings	4	6	Other	Other
Credit	1	9	Other	Other

SOURCE: FAO. 2011. *Social analysis for agriculture and rural investment projects. Field guide*. Rome. www.fao.org/3/b1183e/b1183e.pdf

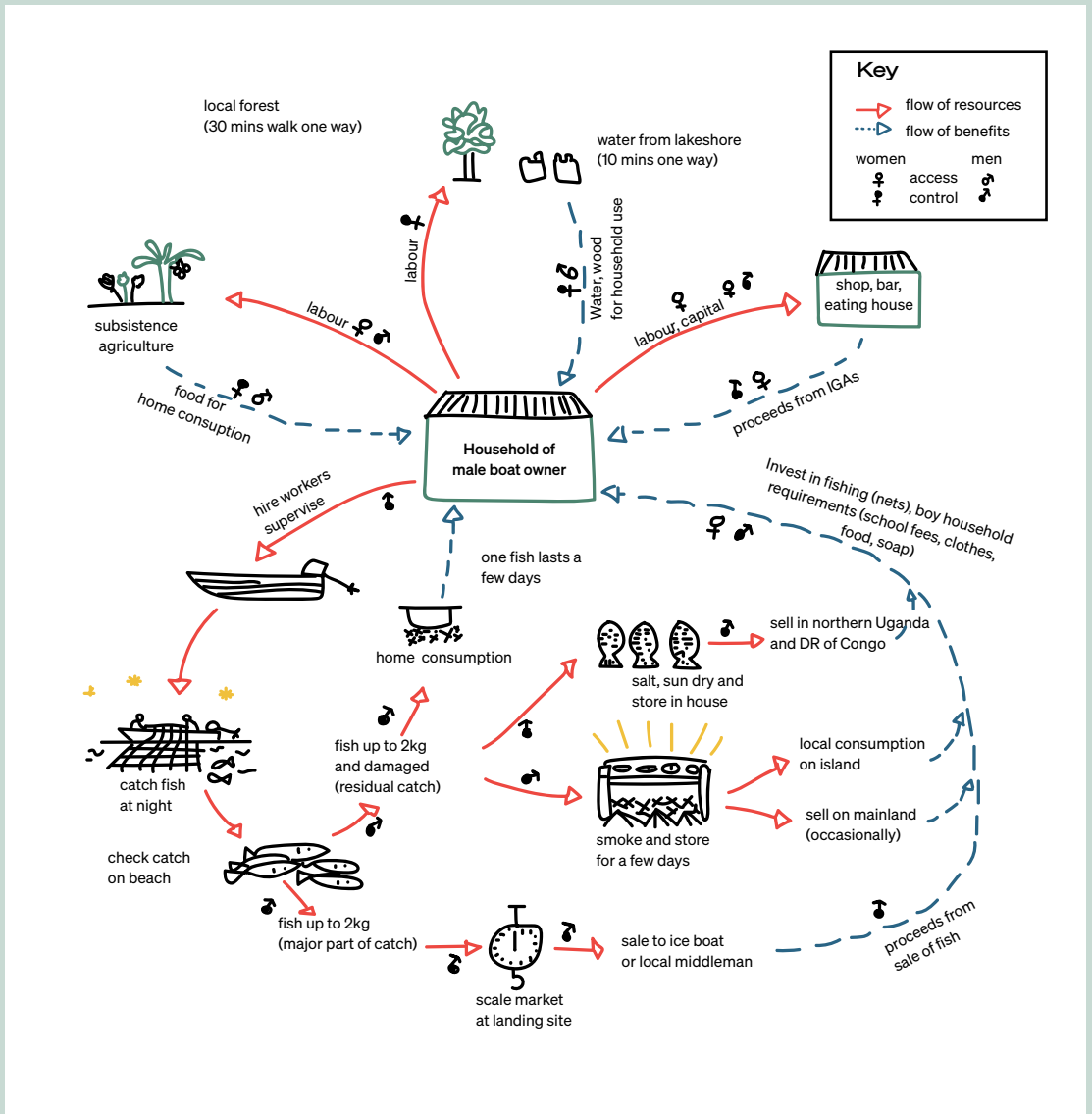


Figure 9
Example of resource and benefit flows in a fishing community, Lake Victoria, Uganda

SOURCE: FAO. 2011. *Social analysis for agriculture and rural investment projects. Field guide*. Rome. www.fao.org/3/b1183e/b1183e.pdf



SOURCES AND USE OF MONEY

Purpose

To identify the main sources and uses of money, and to explore how they differ between women and men. The same tool could be used to examine these differences between richer and poorer households, livestock and cropping households, etc. This tool could complement [Field Tool 10](#) (Livelihood matrix), [Field Tool 16](#) (Access to and control of resources) and [Field Tool 12](#) (Gender balance tree).

Sources of information

Separate group meetings with women and men in order to collect their different perspectives on the sources and uses of money.

How to examine gender differences in sources and use of money

STEP 1: SOURCES OF MONEY

- A. Ask a group of women to identify their own (i.e. women's) main sources of money and rank the five most important sources in order of importance (see Table 13).
- B. Ask the group to list what they think are men's main sources of money and rank the five most important sources in order of importance.

STEP 2: EXPENDITURE

- A. Ask the group to list the ways in which they spend money and rank the five most important ways in order of importance (see Table 14).
- B. Ask the group to list what they perceive as men's main items of expenditure and rank the five most important items in order of importance.

STEP 3: ANALYSIS

- A. Repeat steps 1 and 2 with a men's group.
- B. Put the results together and ask the group to reflect on any patterns that may emerge when comparing women's and men's perceptions.

Examples of matrices on sources and use of money

Table 19

Example of sources of income, Southern Province, Zambia

Source of income	According to women	According to men
For women	<ol style="list-style-type: none"> 1. Chickens 2. Vegetables, groundnuts 3. Goats 4. Maize, sweet potatoes, pigs 	<ol style="list-style-type: none"> 1. Groundnuts 2. Chickens, handicrafts (knitting, weaving) 3. Goats, pottery
For men	<ol style="list-style-type: none"> 1. Cattle 2. Goats 3. Maize 4. Pigs 5. Vegetables 6. Construction, brick-making, working for others 	<ol style="list-style-type: none"> 1. Maize 2. Sunflower 3. Vegetables 4. Chickens, cattle

NOTE: 1 = highest; more than one item listed indicates those items were ranked equally

SOURCE: FAO. 2011. *Social analysis for agriculture and rural investment projects. Field guide*. Rome. www.fao.org/3/bl183e/bl183e.pdf

Table 20

Example of items of expenditure, Southern Province, Zambia

Item of expenditure	According to women	According to men
For women	<ol style="list-style-type: none"> 1. Food 2. School fees 3. Clothes 4. Medical expenses 5. Kitchen utensils, household items 	<ol style="list-style-type: none"> 1. Kitchen utensils 2. Clothes 3. Food 4. School fees, household items, small livestock (chickens, goats)
For men	<ol style="list-style-type: none"> 1. Marrying a new wife/girlfriends 2. Cattle, fertilizer, food 3. Seed, farm implements 4. School fees 5. Beer 	<ol style="list-style-type: none"> 1. Fertilizer 2. Clothes, school fees 3. Farm implements 4. Medical expenses 5. Household items

NOTE: 1 = highest; more than one item listed indicates those items were ranked equally

SOURCE: FAO. 2011. *Social analysis for agriculture and rural investment projects. Field guide*. Rome. www.fao.org/3/bl183e/bl183e.pdf



DECISION-MAKING MATRIX

Purpose

To examine the differences between men and women in terms of their participation in decision-making at household, group and community levels. This tool could be followed up by [Field Tool 19](#) (the diamond dreams) and [Field Tool 11](#) (Vision journey) to help men and women reflect on their different aspirations and develop a common pathway of development based of balanced and shared decisions.

Source of information

Community meetings or group discussions, meeting women and men separately in order to collect different perspectives of women's and men's participation in decision-making.

How to examine gender differences in decision-making

STEP 1: IDENTIFYING DECISIONS MADE AT VARIOUS LEVELS

- A. Ask the group to identify the different types of decisions made at household, group and community levels.
- B. Record the list in the left-hand column of the matrix (see Table 15).

STEP 2: DECISION-MAKING BETWEEN WOMEN AND MEN

Using ten stones to represent ten points, ask the group to indicate the relative contribution to decision-making by women and men. For example, ten stones allocated to women and zero to men indicates that women exercise complete control over the decision, whereas five stones to women and five to men indicates that they undertake the decision-making jointly. Two stones allocated to women and eight to men indicate that men have more say than women in the decision.

STEP 3: ANALYSIS

- A. Note who plays the dominant role in decision-making in the home, groups and community.
- B. Will the pattern of decision-making have any implications for the uptake of proposed project activities?

Examples of decision-making matrix

Table 21

Example of decision-making matrix

Types of decisions	Decision-making	
	Women	Men
At household level²		
Daily budget	4	6
Education of children	5	5
Use of family planning service	3	7
Health service	4	6
Construction and maintenance of home	1	9
Purchasing of farm inputs	2	8
Area of crops to grow	3	7
Selling of farm produce	1	9
At group level²		
Membership of farmers' group	5	5
Membership of home-based care group	8	2
Membership of savings and credit group	4	6
Leadership of farmers' group	5	5
Leadership of home-based care group	5	5
Leadership of savings and credit group	5	5
At community level²		
Participate in general discussion and make suggestions	3	7
Elect leaders	5	5
Make decisions	5	5
Leadership of community	3	7
Chair community meetings	1	9

SOURCE: FAO. 2011. *Social analysis for agriculture and rural investment projects. Field guide*. Rome. www.fao.org/3/b1183e/b1183e.pdf



THE DIAMOND DREAMS

Purpose

To have women and men openly share respective concerns and openly discuss gender inequalities and relations based on their personal experiences.⁷ This would provide women and men with an opportunity to reflect on the way forward and what they wish to achieve. This tool can complement [Field Tool 8](#) (Pairwise ranking), [Field Tool 18](#) (Decision making matrix) to best highlight different perceptions of concerns between men and women and [Field Tool 11](#) (Vision journey).

Sources of information

Household members, both women and men.

How to use this tool

STEP 1: DRAWING THE DIAMOND SHAPE

- A. Ask participants to choose three things that they like about being men or women and three things they dislike.
- B. Ask each participant to draw a diamond – diamonds are as precious as our dreams are.
- C. Ask participants to draw two vertical lines within the diamond. The left side will be for women and right side for men. Things that are common among women and men should be placed in the middle.

STEP 2: DRAWING LIKES/DISLIKES

- A. Ask participants to group things they like and dislike as follows: “best,” “good,” “bad,” or “worst” and to place them within the diamond, in the women’s or men’s section as appropriate, as follows: on top what they like the most, or what they would like it to be; at the bottom the things they like the least, and in the middle what they mildly like or dislike.

⁷ This tool has been adapted from: Reemer, T. and Makanza, M. 2015. *Gender Action Learning System: Practical Guide For Transforming Gender And Unequal Power Relations In Value Chains*. The Hague: Oxfam Novib, p. 60; Mayoux, L. 2014. *Rocky Road to Diamond Dreams - GALS phase 1*, pp. 103-105 and 121-123; https://gamechangenetwork.org/wp-content/uploads/2020/03/3_2_GJDiamond_2020_1.pdf

- B. On the side of the diamond for the opposite sex, ask participants to draw five symbols to show how they want people of the same sex to behave towards them, the things they most like at present and/or most want in future. Put the two most desirable things right at the top, the other three in the middle.
- C. Finally ask participants to put in the middle the things most common among women and men.

STEP 3: DRAWING LIKES/DISLIKES

Ask participants to circle in green at least five things they would like to change over the next few months.

STEP 4: PAIRWISE DISCUSSION

Invite participants to choose a partner of the same sex and discuss their respective vision.

STEP 5: PLENARY PRESENTATION AND PRIORITIZATION

- A. Ask each pair to present the vision of their own partner and, at the end, to place their cards on the wall, grouping similar cards together.
- B. When all cards have been placed on the wall, invite people to move them around based on their priorities, until a general consensus is found.
- C. Ask each group to place their cards in the pre-prepared group diamond, placing the “best” cards with the most votes to the top of the diamond and the “worst” cards with the most votes to the bottom.
- D. Ask two participants from each group to present the top and the bottom part of their diamond.
- E. As long as each card is presented, ask to move the card to the Mother Diamond so that both women’s and men’s perceptions and views can be seen in parallel.
- F. Ask participants to discuss women’s and men’s different perceptions and visions. Facilitators should help participants understand gender beliefs, practices and gaps that are deeply rooted in the society and culture, which generally include issues such as access to or property of resources, division of labour/workloads, domestic violence, alcoholism etc.

Steps to creating a diamond dream

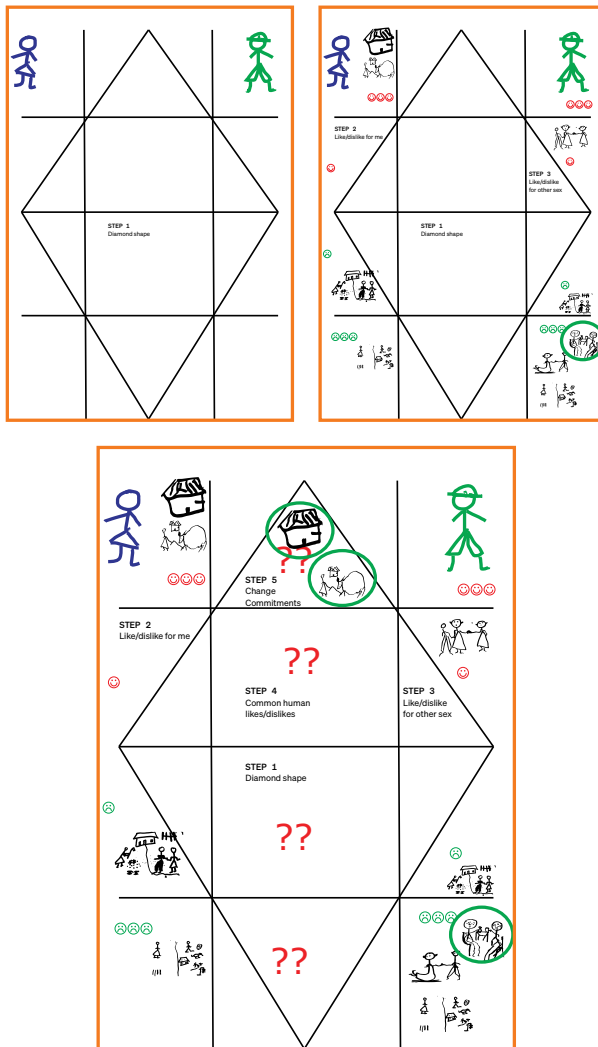


Figure 10
Diamond dream steps

SOURCE: Author's own elaboration based on Mayoux, L. 2014. *Rocky Road to Diamond Dreams - GALS phase 1: Visioning and catalyzing a gender justice movement implementation manual*, Oxfam Novib. For detailed guidance and real life examples of the Diamond Dreams tool, consult: [www.oxfamnovib.nl/redactie/Downloads/English/SPEF/140701_RRDD_manual_July_small\(1\).pdf](http://www.oxfamnovib.nl/redactie/Downloads/English/SPEF/140701_RRDD_manual_July_small(1).pdf) (p. 118)



CLOSING THE GAP METHODOLOGY

Purpose

To assess the gender sensitivity of CBOs, at both membership and leadership levels, and promote or enhance women's participation.⁸ This tool should complement [Field Tool 5](#) (Organization and group profile), to inform the organizational analysis in a way that it incorporates gender considerations.

Sources of information

Leaders and members of the CBOs, both women and men.

How to use the closing the gap methodology

The process involves 4 steps:

Step 1: Rapid assessment of CBOs

Step 2: Focus group discussions

Step 3: Data analysis

Step 4: Comparing outcomes

STEP 1: RAPID ASSESSMENT OF CBOs

Following indications provided in Module 3 (Analysis of community institutions) of the Practitioner's guide and Field Tool 5, conduct a rapid assessment of the concerned CBOs. This entails looking at their membership base, level of inclusiveness, operating status and main functions, services offered, management and governance, and financial resources.

STEP 2: FOCUS GROUP DISCUSSIONS

Arrange separate interviews with the CBO leadership first and subsequently with membership, splitting members into two separate male and female groups. A list of questions is provided below, with a simple template that can be used to record scores and recommended action, if necessary, for each of them.

⁸ The Closing the Gap methodology was developed by IFAD as part of its Regional Programme to Consolidate Gender-Mainstreaming Strategies in IFAD-Financed Projects of Latin America and the Caribbean (PROGENDER, 2000-2003). It is now widely used across IFAD's portfolio throughout the region.

Table 22

Questions for leadership

Questions	Answers with related scores*	Score obtained	Recommended action
<p>1</p> <p>Is the CBO proactive in integrating new members, both men and women?</p>	<ul style="list-style-type: none"> • Yes, and CBO proactively works towards gender equality of its membership: 3 • Yes, but CBO does not proactively work towards gender equality of its membership: 2 • Yes, but CBO aims to integrate only new male or female members: 1 • No: 0 		
<p>2</p> <p>How do women participate in the election of the leadership?</p>	<ul style="list-style-type: none"> • Women are always among candidates: 3 • Women are generally among candidates: 2 • Women sometimes are among candidates: 1 • Women are never among candidates: 0 		
<p>3</p> <p>Are women elected to be part of the leadership?</p>	<ul style="list-style-type: none"> • Always: 3 • Often: 2 • Sometimes: 1 • Never: 0 		
<p>4</p> <p>How are the organization's decisions made?</p>	<ul style="list-style-type: none"> • By always considering both male and female members' opinion: 3 • By generally considering both male and female members' opinion: 2 • By considering sometimes both male and female members' opinion: 1 • By never considering both male and female members' opinion: 0 		
<p>5</p> <p>To what extent does the leadership provide information to the women members?</p>	<ul style="list-style-type: none"> • Leadership always meets with male members to share information: 3 • Leadership generally meets male women members to share information: 2 • Leadership sometimes meets with female members to share information: 1 • Leadership never meets with female members to share information: 0 		
<p>6</p> <p>To what extent does the leadership provide information to the men members?</p>	<ul style="list-style-type: none"> • Leadership always meets with male members to share information: 3 • Leadership often meets with male members to share information: 2 • Leadership sometimes meets with male members to share information: 1 • Leadership never meets with male members to share information: 0 		
<p>7</p> <p>Are topics of interest to the women members addressed during meetings?</p>	<ul style="list-style-type: none"> • Always: 3 • Generally: 2 • Sometimes: 1 • Never: 0 		
<p>8</p> <p>Are topics of interest to the men members addressed during meetings?</p>	<ul style="list-style-type: none"> • Always: 3 • Generally: 2 • Sometimes: 1 • Never: 0 		
<p>9</p> <p>How do you plan the date and time of the meetings?</p>	<ul style="list-style-type: none"> • Meetings are always held on days and at times that are convenient to female members: 3 • Meetings are generally held on days and at times that are convenient to female members: 2 • Meetings are sometimes held on days and at times that are convenient to female members: 1 • Meetings are never held on days and at times that are convenient to female members: 0 		
<p>10</p> <p>How do you plan the date and time of the meetings?</p>	<ul style="list-style-type: none"> • Meetings are always held on days and at times that are convenient to male members: 3 • Meetings are generally held on days and at times that are convenient to male members: 2 • Meetings are sometimes held on days and at times that are convenient to male members: 1 • Meetings are never held on days and at times that are convenient to male members: 0 		

Questions	Answers with related scores*	Score obtained	Recommended action
11 How are tasks allocated among female and male members?	<ul style="list-style-type: none"> • Always in an equitable manner: 3 • Generally, in an equitable manner: 2 • Sometimes in an equitable manner: 1 • Never in an equitable manner: 0 		
12 To what extent are the objectives of the organization shared with members?	<ul style="list-style-type: none"> • All female members are aware of and understand the objectives of the organization: 3 • Most female members are aware of and understand the objectives of the organization: 2 • Some female members are aware of and understand the objectives of the organization: 1 • None of the female members is aware or understands the objectives of the organization: 0 		
13 To what extent are the objectives of the organization shared with members?	<ul style="list-style-type: none"> • All male members are aware of and understand the objectives of the organization: 3 • Most male members are aware of and understand the objectives of the organization: 2 • Some male members are aware of and understand the objectives of the organization: 1 • None of the male members is aware or understand the objectives of the organization: 0 		
14 To what degree are services and activities offered by the organization of interest to female members?	<ul style="list-style-type: none"> • Services and activities are always of interest to female members: 3 • Services and activities are generally of interest to female members: 2 • Services and activities are sometimes of interest to female members: 1 • Services and activities are never of interest to female members: 0 		
15 To what degree are services and activities offered by the organization of interest to male members?	<ul style="list-style-type: none"> • Services and activities are always of interest to male members: 3 • Services and activities are generally of interest to male members: 2 • Services and activities are sometimes of interest to male members: 1 • Services and activities are never of interest to male members: 0 		
16 How is access to services provided by the organization for both female and male members?	<ul style="list-style-type: none"> • Services are used by the same number of female and men members: 3 • Services are used by a higher number of female or male members: 2 • Services are used by female or male members only: 1 • Services are neither used by female members nor by male members: 0 		
Total score			

*SCORES:: 3 (action is not needed); 2 (action needed but not a priority); 1 or 0 (affirmative action needed towards greater equality).

SOURCE: Adapted from FAO and IFAD. 2015. *Promoting the Leadership of Women in Producers' Organizations: Lessons from the experiences of FAO and IFAD*. Rome, pp. 68-69; IFAD, ProGénero and CODERSA. 2003. Cerrando Brecha. *Manual Para Orientar a Organizaciones Rurales hacia la Equidad de Género*

Table 23

Questions for male or female members

Questions	Answers with related scores*	Scores (women)	Scores (men)	Recommended action
<p>1</p> <p>How are the organization's decisions made?</p>	<ul style="list-style-type: none"> • By always considering female or male members' opinion: 3 • By generally considering female or male members' opinion: 2 • By considering sometimes female or male members' opinion: 1 • By never considering female or male members' opinion: 0 			
<p>2</p> <p>Are decision made really implemented?</p>	<ul style="list-style-type: none"> • Always: 3 • Generally: 2 • Sometimes: 1 • Never: 0 			
<p>3</p> <p>How is information managed within the organization?</p>	<ul style="list-style-type: none"> • All female or male members are well informed about plans, projects, trainings and activities: 3 • The majority of female or male members are well informed about plans, projects, trainings and activities:2 • Some female or male members are well informed about plans, projects, trainings and activities: 1 • Female or male members are not well informed about plans, projects, trainings and activities: 0 			
<p>4</p> <p>How is financial information managed within the organization?</p>	<ul style="list-style-type: none"> • All female or male members are well informed and involved in financial decisions: 3 • Most female or male members are well informed and involved in financial decisions: 2 • Some female or male members are well informed and involved in financial decisions: 1 • Female or male members are not well informed and involved in financial decisions: 0 			
<p>5</p> <p>How many female or male members are willing to take up leadership roles or responsibilities?</p>	<ul style="list-style-type: none"> • Most of them: 3 • A quarter / half of them: 2 • Only one or two of them: 1 • None of them: 0 			
<p>6</p> <p>How many female members are willing to take up leadership roles or responsibilities?</p>	<ul style="list-style-type: none"> • Always: 3 • Generally: 2 • Sometimes: 1 • Never: 0 			
<p>7</p> <p>Are topics of interest to all female or male members addressed during meetings?</p>	<ul style="list-style-type: none"> • Always: 3 • Generally: 2 • Sometimes: 1 • Never: 0 			
<p>8</p> <p>What is the level of autonomy of female or male members when participating in meetings?</p>	<ul style="list-style-type: none"> • All female or male members are free to express themselves and are not afraid, participating actively in the discussion: 3 • Most female or male members are free to express themselves and are not afraid, participating actively in the discussion: 2 • Some female or male members are free to express themselves and are not afraid, participating actively in the discussion: 1 • Female or male members are not free to express themselves and are afraid, so they do not participate actively in the discussion: 0 			
<p>9</p> <p>How many female or male members generally attend the meetings?</p>	<ul style="list-style-type: none"> • On average 90% of them: 3 • On average 60%-90%: 2 • On average 40%-60%: 1 • On average less than 40%: 0 			

Questions	Answers with related scores*	Scores (women)	Scores (men)	Recommended action
10 How do you plan the date and time of the meetings?	<ul style="list-style-type: none"> Meetings are always held on days and at times that are convenient to female or male members: 3 Meetings are generally held on days and at times that are convenient to female or male members: 2 Meetings are sometimes held on days and at times that are convenient to female or male members: 1 Meetings are never held on days and at times that are convenient to female or male members: 0 			
11 How do female members participate in the discussion?	<ul style="list-style-type: none"> The discussion is always participatory and balanced, nobody dominates the discussion: 3 Sometimes there is a predominance of some female members: 2 Generally, there is a predominance of some female members: 1 There is always a predominance of some female members: 0 			
12 How do male members participate in the discussion?	<ul style="list-style-type: none"> The discussion is always participatory and balanced, nobody dominates the discussion: 3 Sometimes there is a predominance of some male members: 2 Generally, there is a predominance of some male members: 1 There is always a predominance of some male members: 0 			
13 How is the relationship among female or male members?	<ul style="list-style-type: none"> Always cordial and of mutual support: 3 Mostly cordial and of mutual support: 2 Sometimes cordial and of mutual support: 1 Never cordial and of mutual support: 0 			
14 How are tasks allocated among female and male members?	<ul style="list-style-type: none"> Always in an equitable manner: 3 Generally, in an equitable manner: 2 Sometimes in an equitable manner: 1 Never in an equitable manner: 0 			
15 How do domestic chores influence the active participation of female or male members?	<ul style="list-style-type: none"> Domestic chores do not make active participation difficult: 3 Domestic chores sometimes make active participation difficult: 2 Domestic chores generally make active participation difficult: 1 Domestic chores always make active participation difficult: 0 			
16 How do male members support female members to look after children and in household tasks?	<ul style="list-style-type: none"> All female members receive support by men: 3 Most of female members receive support by men: 2 Some female members receive support by men: 1 Female members do not receive support by men: 0 			
17 How do the workloads outside home influence the active participation of female or male members?	<ul style="list-style-type: none"> Workloads outside home do not make active participation difficult: 3 Workloads outside home sometimes they make active participation difficult: 2 Workloads outside home generally make active participation difficult: 1 Workloads outside home always make active participation difficult: 0 			
18 To what extent does language influence the participation of female or male members?	<ul style="list-style-type: none"> Language is not the main barrier: 3 Language is sometimes a barrier: 2 Language is generally a barrier: 1 Language is always a barrier: 0 			
19 To what extent are the objectives of the organization understood by female or male members?	<ul style="list-style-type: none"> All female or male members understand the objectives: 3 Most of female or male members understand the objectives: 2 Some female or male members understand the objectives: 1 None of the female or male members understand the objectives: 0 			

Questions	Answers with related scores*	Scores (women)	Scores (men)	Recommended action
20 How do female or male members contribute to the organization work through equipment or labour?	<ul style="list-style-type: none"> All female or male members contribute when needed: 3 Most of female or male members contribute when needed: 2 Some female or male members contribute when needed: 1 None of the female or male members contribute when needed: 0 			
21 To what degree are services and activities offered by the organization of interest to female or male members?	<ul style="list-style-type: none"> Services and activities are always of interest to female or male members: 3 Services and activities are generally of interest to female or male members: 2 Services and activities are sometimes of interest to female or male members: 1 Services and activities are never of interest to female or male members: 0 			
22 To what extent do female or male members comply with contribution requirements (quotas) to the organization?	<ul style="list-style-type: none"> The contributions of female or male members always comply with requirements: 3 The contributions of female or male members generally comply with requirements: 2 The contributions of female or male members sometimes comply with requirements: 1 The contributions of female or male members never comply with requirements: 0 			
23 Do women or men members receiving training share the new knowledge acquired with others?	<ul style="list-style-type: none"> Always: 3 Generally: 2 Sometimes: 1 Never: 0 			
24 Are female or male members satisfied with the functioning of the organization and the benefits obtained?	<ul style="list-style-type: none"> Yes, all female or male members do: 3 Yes, most female or male members do: 2 Yes, some female or male members do: 1 No, none of female or male members do: 0 			
Total score (women)				
Total score (men)				

*SCORES: 3 (action is not needed); 2 (action needed but not a priority); 1 or 0 (affirmative action needed towards greater equality).

SOURCE: Adapted from FAO and IFAD. 2015. *Promoting the Leadership of Women in Producers' Organizations: Lessons from the experiences of FAO and IFAD*. Rome, pp. 68-69; IFAD, ProGénero and CODERSA. 2003. *Cerrando Brecha. Manual Para Orientar a Organizaciones Rurales hacia la Equidad de Género*

STEP 3: DATA ANALYSIS

- A. Sum up the scores to come up with a figure that will provide an indication of the level of gender equity attained by the rural organization (see the table below with indicative ranges to classify the CBO):

Table 24
Leaders' answers

Score range	Equity level
0-15	Low
16-32	Medium
33-48	High

SOURCE: Authors' own elaboration.

Table 25
Members' answers

Score range	Equity level
0-23	Low
24-48	Medium
49-72	High

SOURCE: Authors' own elaboration.

- B.** The following formula can also be applied to get a coefficient that will give an indication of the level of equity: total scores divided by highest scores that can be obtained. The coefficient obtained will be between 0 (lowest equity level) and 1 (highest equity level) – refer to the table below with indicative ranges:

Table 26
Coefficient range

Score range	Equity level
0-0.3	Low
0.4-0.6	Medium
0.7-1	High

SOURCE: Authors' own elaboration.

STEP 4: COMPARING OUTCOMES

- A. Facilitate a discussion between female and male members by comparing the scores for each or selected/priority questions, based on women's and men's answers (see table below with all possible combinations of answers among women and men).
- B. Engage both leaders and members for them to discuss their respective scores, especially if there is a big divergence. This will provide the basis for finding consensus on the way forward, towards greater gender equity within the organization.

Table 27
Members' answers

Female members' scores	Male members' scores	Recommended action
2	3	There is no total equity but action is not a priority
3	2	
3	3	No action is needed
2	2	
1	1	Action is needed to improve the situation for both women and men members
0	0	
0	1	
1	0	
3	0	Affirmative action is needed for women members
3	1	
2	0	
2	1	
0	3	Affirmative action is needed for men members
1	3	
0	2	
1	2	

SOURCE: Adapted from FAO and IFAD. 2015. *Promoting the Leadership of Women in Producers' Organizations: Lessons from the experiences of FAO and IFAD*. Rome, pp. 68-69; IFAD, ProGénero and CODERSA. 2003. *Cerrando Brecha. Manual Para Orientar a Organizaciones Rurales hacia la Equidad de Género*.

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More than a decade has passed since the publication of the series entitled *Social Analysis of Agriculture and Rural Investment Projects*, which comprises three complementary manuals – the Manager’s, Practitioner’s and Field guides. During this time, conflict, climate change and economic downturns have been driving up poverty, hunger, and socioeconomic inequalities, reducing the resilience of agrifood systems. In response, the FAO Investment Centre has updated the Social Analysis guides to address the evolving and volatile rural transformation context, providing programme managers, practitioners and field workers with a set of enhanced tools for the design, implementation and evaluation of inclusive investments in agrifood systems. Today’s investments must prioritize more demand-driven, people-centred, culturally sensitive and locally owned sustainable approaches, with increased attention to reducing gender and other inequalities. Operationalizing these principles contributes to FAO’s and financing agencies’ objectives of **ending poverty, improving food security and nutrition, and reducing inequalities**. The goal of the updated guides is to support investments that contribute to inclusive, resilient and sustainable agrifood systems, aligned with the outcomes of the UN Food Systems Summit, the Sustainable Development Goals (SDGs), and the core principle of **leaving no one behind**. This publication is part of the Investment Toolkits series under the FAO Investment Centre's Knowledge for Investment (K4I) series. The contents of this publication have also been developed into three courses, which are accessible [here](#) for free through the FAO E-learning Academy.

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