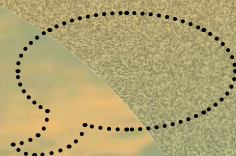




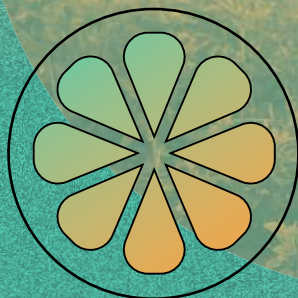
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# SOCIAL ANALYSIS FOR INCLUSIVE AGRIFOOD INVESTMENTS PRACTITIONER'S GUIDE



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TOOLKITS





# **SOCIAL ANALYSIS FOR INCLUSIVE AGRIFOOD INVESTMENTS PRACTITIONER'S GUIDE**

Ida Christensen  
Monica Romano

**Required citation:**

Christensen, I. & Romano, M. 2023. *Social analysis for inclusive agrifood investments – Practitioner's guide*. Investment Toolkits No. 7. Rome, FAO. <https://doi.org/10.4060/cc6498en>

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ISBN 978-92-5-137942-4

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Art direction and design: Elham Namvar and Naz Naddaf

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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).



**Mohamed Manssouri**  
**Director**  
FAO Investment Centre

## Acknowledgements

The *Social analysis for inclusive agrifood investments* guides have been developed by the FAO Investment Centre under the Knowledge for Investment (K4I) programme.

The guides were prepared by Ida Christensen, Senior Rural Sociologist, FAO Investment Centre and Monica Romano, FAO consultant. A special acknowledgement goes to Francesca Galiazzo, FAO Investment Centre, who supported the authors with the collection of online material and the coordination of inputs.

The authors wish to extend their gratitude to the core group of experts in the FAO Investment Centre who reviewed the guides and provided valuable inputs at various stages of their development: Pamela Pozarny, Jim Hancock, Valeria Casavola, Junko Nakai, Toni Glaeser, Sonia Andrianarivelo, Fabrice Edouard and Pascale Sanginga. A special note of recognition goes to colleagues from the FAO Investment Centre's management and K4I teams, who provided strategic direction at crucial points of the guides' finalization: Mohamed Manssouri, John Preissing, Alberta Mascaretti, Wafaa El Khoury, Nuno Santos and Atisha Kumar.

The authors wish to acknowledge and sincerely thank colleagues from FAO technical divisions who contributed their expertise through technical reviews. Colleagues from the Inclusive Rural Transformation and Gender Equality Division included: Flavia Grassi and Ilaria Sisto (gender); Stacey Pollack (inclusion); Francesca Dalla Valle (youth); Serena Pepino (right to food); Birgitte Krogh-Poulsen (child labour); Omar Benamour (safeguards and social protection). Paola de la O Campos from the Agrifood Economics Division provided comments on multidimensional poverty. Colleagues from the Partnerships and UN Collaboration Division provided inputs on issues pertaining to Indigenous Peoples: Anne Brunel, Marianna Estrada, Florian Doerr, Liseth Escobar Aucu, Meerlyn Valdivia Diaz and Elena Aguayo. Indira Joshi and Helen Martinez from the Office of Emergencies and Resilience provided comments on vulnerability in fragile contexts.

We also wish to convey special thanks for the support and guidance provided by the FAO Investment Centre's Communications team, in particular Clare O'Farrell and Davide Garavoglia. Finally, we would like to thank Laura Utsey for final editing, and Naz Naddaf and Elham Namvar for design and layout.

## Abbreviations and acronyms

<b>AfDB</b>	African Development Bank
<b>ADB</b>	Asian Development Bank
<b>AOS</b>	Annual Outcome Surveys
<b>ASC</b>	Agricultural Service Centre
<b>CBO</b>	community-based organizations
<b>CFS-RAI</b>	CFS Principles for Responsible Investment in Agriculture and Food Systems
<b>CSO</b>	civil society organizations
<b>EBRD</b>	European Bank for Reconstruction and Development
<b>FAO</b>	Food and Agriculture Organization of the United Nations
<b>FBS</b>	Farm Business Schools
<b>FFBS</b>	Farmers' Field and Business Schools
<b>FFS</b>	Farmer Field Schools
<b>FHH</b>	female-headed household
<b>FPIC</b>	Free, Prior and Informed Consent
<b>GAFSP</b>	Global Agriculture and Food Security Programme
<b>GALS</b>	Gender Action Learning System
<b>GBV</b>	gender-based violence
<b>GCF</b>	Green Climate Fund
<b>GDP</b>	gross domestic product
<b>GDPRD</b>	Global Donor Platform for Rural Development
<b>GEF</b>	Global Environment Facility
<b>GEWE</b>	Gender Equality and Women's Empowerment
<b>GTA</b>	gender transformative approach
<b>HDI</b>	Human Development Index
<b>HHM</b>	household methodologies
<b>HRBA</b>	human rights-based approach
<b>ICT</b>	information and communications technology
<b>NGO</b>	non-governmental organization
<b>IDPs</b>	internally displaced persons
<b>IFAD</b>	International Fund for Agricultural Development
<b>IFI</b>	international financing institution
<b>ILO</b>	International Labour Organization
<b>IOM</b>	International Organization for Migration
<b>JFFLS</b>	Junior Farmer Field and Life Schools
<b>KAP</b>	knowledge, attitudes and practices
<b>KM</b>	knowledge management
<b>LST</b>	labour-saving technology
<b>LGBTI</b>	lesbian, gay, bisexual, transgender and intersex
<b>MAPS</b>	Mainstreaming, Acceleration and Policy Support
<b>M&amp;E</b>	monitoring and evaluation

<b>MDGs</b>	Millennium Development Goals
<b>MOA</b>	Ministry of Agriculture (Botswana)
<b>MTR</b>	mid-term review
<b>NCD</b>	non-communicable disease
<b>NGO</b>	non-governmental organization
<b>NRRP-1</b>	National Rural Roads Programme
<b>PIM</b>	Project Implementation Manual
<b>PMU</b>	Project Management Unit
<b>PPPs</b>	public-private partnerships
<b>RBA</b> s	United Nations Rome-based Agencies
<b>R-MPI</b>	Rural Multidimensional Poverty Index
<b>RuLIS</b>	Rural Livelihoods Information System
<b>SDGs</b>	Sustainable Development Goals
<b>SEA</b>	sexual exploitation and abuse
<b>SMEs</b>	small and medium enterprises
<b>TOC</b>	theory of change
<b>ToR</b>	terms of reference
<b>TVET</b>	technical and vocational education and training
<b>UN</b>	United Nations
<b>UNDP</b>	United Nations Development Programme
<b>UNDRIP</b>	United Nations Declaration on the Rights of Indigenous Peoples
<b>UNHCR</b>	United Nations High Commissioner for Refugees
<b>UNICEF</b>	United Nations Children’s Emergency Fund
<b>VAM</b>	vulnerability analysis and mapping
<b>WASH</b>	water, sanitation and hygiene
<b>WFP</b>	World Food Programme
<b>WHO</b>	World Health Organization
<b>WUAs</b>	water user associations
<b>WUGs</b>	water user groups



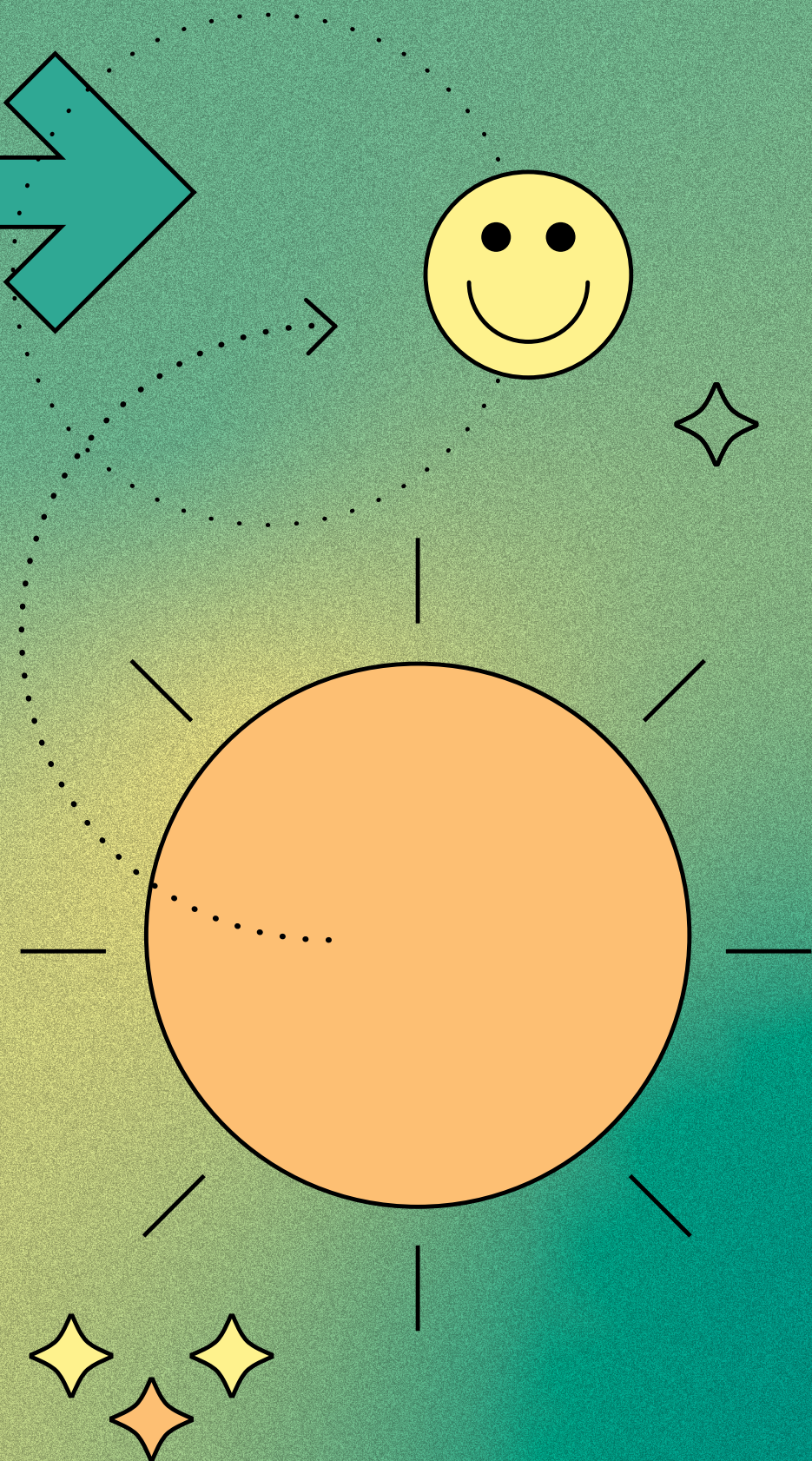








# INTRODUCTION





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.<sup>1</sup> 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 PRACTITIONER'S GUIDE

The purpose of the **Practitioner's guide** is to help analysts carry out a social analysis in the context of agrifood investments. It provides an analytical framework and methodology to guide the analysis conceptually, while it also offers the practical tools and resources needed to support each step of the process.

This guide can be used in conjunction with the Field guide, designed to help the social analyst who is conducting field work in the context of investment missions to generate primary data through field visits at the district and community levels, using a variety of qualitative methods.

## SOCIAL ANALYSIS FOR COUNTRY INVESTMENT STRATEGIES

Module 2

### ANALYSIS

<b>Task 1</b> Assessing the socio economic policy context	<b>Task 2</b> Mapping the social landscape: pre-identification of target groups	<b>Task 3</b> Mapping of the institutional landscape: identification of strategic partners	<b>Task 4</b> Carrying out an upstream social risks assessment
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### OUTPUTS

<b>Task 5</b> Outlining the broad targeting and social inclusion strategy	<b>Task 6</b> Embedding social inclusion aspects into the strategy's theory of change (TOC) and results framework
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## SOCIAL ANALYSIS FOR INVESTMENT PROJECT DESIGN

Module 3

### ANALYSIS

#### Task 1 – Analysing multidimensional poverty and social inequalities

<b>1.1</b> Poverty and livelihoods analysis	<b>1.2</b> Gender analysis	<b>1.3</b> Youth analysis	<b>1.4</b> Analysis of Indigenous Peoples and ethnic minorities	<b>1.5</b> Analysis of community institutions	<b>1.6</b> Stakeholder analysis
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### OUTPUTS

#### Task 2 – Turning analysis results into social inclusion project strategies

<b>2.1</b> <b>Targeting strategy and mechanisms</b> Project target area, Project target groups, Targeting mechanisms	<b>2.2</b> <b>Gender, youth and Indigenous Peoples engagement strategies</b> Gender, Youth, Indigenous Peoples
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#### Task 3 – Defining project activities to meet target groups' needs

<b>3.1</b> Conduct community needs assessments	<b>3.2</b> Assess and manage social risks and adverse impacts	<b>3.3</b> Calculate project costs of social interventions
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#### Task 4 – Defining delivery mechanisms for social inclusion

#### Task 5 – Embedding social aspects into project M&E systems

## SOCIAL ANALYSIS DURING PROJECT IMPLEMENTATION AND EVALUATION

Module 4

<b>4.1</b> Project start-up	<b>4.2</b> Early implementation	<b>4.3</b> Supervision and mid-term review (MTR)	<b>4.4</b> Completion and evaluation
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TOOLS

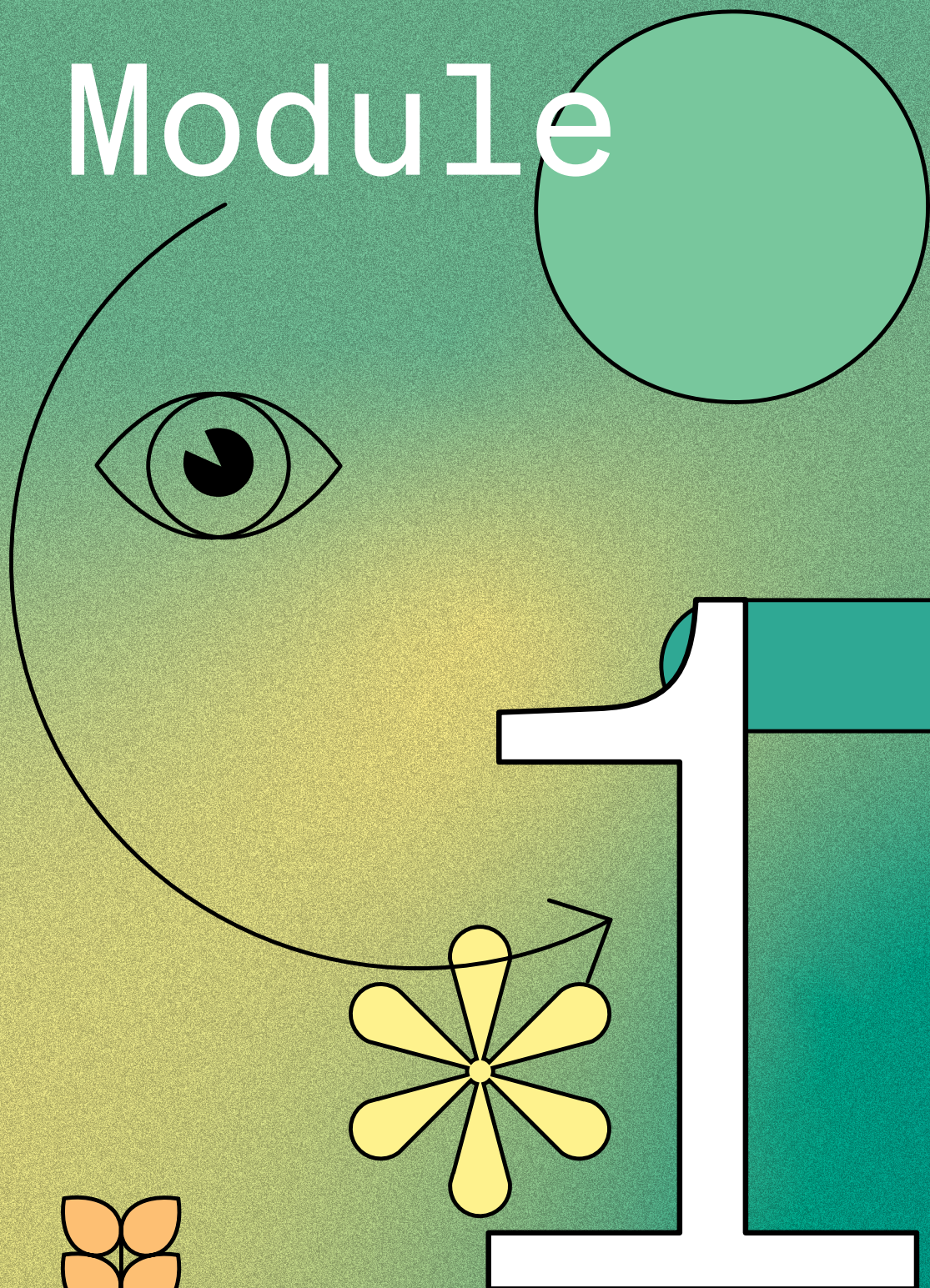
16 quick-reference tools for practitioners  
Useful resources for social analysis







# Module





# Social analysis in the context of agrifood investments

This module describes the importance of the role of social analysis to understand the root causes of poverty, vulnerability, and the risks of social exclusion in the context of global efforts to achieve the SDGs. It also discusses the challenges of making agrifood systems more sustainable, inclusive, and resilient, and presents a conceptual framework for social analysis to assist the work practitioners in support of agrifood investment strategies, programmes or projects.

## 1.1 THE IMPORTANCE OF SOCIAL ANALYSIS IN ACHIEVING SUSTAINABLE DEVELOPMENT GOALS

Investment in agrifood systems can significantly contribute to the achievement of the SDGs, especially SDG 1 – No Poverty, SDG 2 – Zero Hunger and SDG 10 – Reduced Inequalities. Agrifood systems today do not deliver healthy, diversified and affordable diets to people living in situations of poverty, exclusion, marginalization and general vulnerability. In fact, they constitute a key driver of all forms of malnutrition (undernutrition, micronutrient deficiency and overweight and obesity). Experience has also proved that untargeted investments, solely focusing on increasing agricultural productivity and raising rural incomes do not necessarily reduce poverty, nor do they achieve equitable, and hence sustainable development. In order to honour the central tenet of **leave no one behind (Box 1)**, investment in agrifood systems must aim for transformative impacts through adopting more integrated, holistic, and inclusive approaches.

Importantly, the targeting of investments must benefit the poor and those who experience higher levels of vulnerability, exclusion and marginalization, through their livelihoods in agrifood systems, including small-scale producers and family farmers, pastoralists, small-scale fisherfolk, small-scale foresters and forest communities; agricultural wage workers, informal micro enterprises and workers, landless people and migrants. Particular attention should be paid to those groups who 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, and other, or other grounds.

## BOX 1

### LEAVE NO ONE BEHIND

The central tenet of the 2030 Sustainable Development Agenda is “leave no one behind,” 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. Leave no one behind not only entails reaching the poorest of the poor, but requires combating discrimination and rising inequalities within and amongst countries, and their root causes.”

SOURCE: UNSDG (United Nations Sustainable Development Group). 2022. Leave No One Behind. <https://unsdg.un.org/2030-agenda/universal-values/leave-no-one-behind>

Social analysis is fundamental to understanding the complexities of social dynamics and the causes and risks of exclusion in the communities where public and private investments are made (Box 2). Social dynamics relate to: social diversity; gender and age-related roles and relations; sociocultural values, norms, beliefs and practices; organizational structures and capacities; power structures and dynamics; formal and informal institutions; and the multiple dimensions of poverty, manifested through low income, lack of assets, powerlessness, lack of voice and opportunity, social exclusion, and vulnerability to shocks.



A thorough understanding of social dynamics provides the basis for well-targeted investments that promote social inclusion through: identifying and profiling target groups among the poor and those who experience higher levels of vulnerability, exclusion and marginalization; defining gender and youth mainstreaming strategies; designing activities that are tailored to the real needs and capabilities of each target group; putting in place social safeguards and protection measures for the most vulnerable; and collecting disaggregated information to monitor targeting performance and make adjustments during implementation.

## BOX 2

### WHAT IS SOCIAL ANALYSIS?

A process examining the sociocultural, institutional, historical and political context, including social diversity and gender, institutions, rules and behaviour, stakeholder dynamics, participation concerns and social risks. Social analysis is instrumental to understanding project-related opportunities and constraints; defining strategies for social inclusion, cohesion and accountability; incorporating stakeholders' perspectives and priorities; setting up participatory processes; and assess social impact.

SOURCE: World Bank. 2013. Design & Implementation: Economic and Social Analysis. [www.worldbank.org/en/topic/communitydrivendevelopment/brief/cdd-economic-social-analysis](http://www.worldbank.org/en/topic/communitydrivendevelopment/brief/cdd-economic-social-analysis)

The results of social analysis can thus contribute significantly to the strategic direction of sustainable agrifood investments, as it enables planners and practitioners to put the human dimensions – stakeholders, target groups, intended beneficiaries or other affected people – at the centre of their interventions. In addition, the process of social analysis contributes to building local ownership and consensus among the intended beneficiaries, financing agencies, government, private sector partners and other stakeholders around investment strategies and priorities, while at the same time empowering local actors to drive the development process and become agents of change.

## BOX 3

### WHAT IS INCLUSIVITY?

Inclusivity is an approach to ensure that all people, especially the excluded, marginalized and those in situations of vulnerability, participate in and benefit from development processes, through enhanced opportunities, access to productive and natural resources, empowerment, agency, decision-making processes and respect of rights. **Inclusivity is a process, a principle, and an outcome; it is a means to deliver better and more fairly, and an end in itself to ensure no one is left behind.** Inclusion means effective participation in the development process and control over strategic decisions.

SOURCE: FAO Cross Cutting Theme on Inclusivity. (Forthcoming).

#### 1.2 UNDERSTANDING POVERTY, VULNERABILITY AND THE RISKS OF EXCLUSION

Experience of the past decades has shown that, at least in some regions, enhancing agricultural production to feed a growing population was successful, albeit at a high environmental cost, in increasing per capita food availability. Recent FAO data however show that the drivers of persistent food insecurity are not linked to availability alone, but to issues of unequal access to food and asymmetries in the supply chains, combined with external factors such as climate change.

According to the United Nations Development Programme (UNDP), 1.3 billion people (21.7 percent of the global population) live in acute multidimensional poverty (UNDP and OPHI, 2021), as defined by the dimensions and indicators shown in Table 1. About half (644 million) are children under the age of 18 and nearly 85 percent are concentrated in Sub-Saharan Africa (556 million) or South Asia (532 million) (UNDP and OPHI, 2021). The World Bank indicates that the COVID-19 pandemic drove 97 million more people into poverty in 2020, and it estimates that up to 132 million people could fall into poverty by the year 2030, due to the manifold effects of climate change (World Bank, 2022a).



In full acknowledgement of the need to examine poverty in the context of a rural-urban continuum (as per the food systems approach) these guides focus on the rural space, because – despite the rising trends in urban poverty – rural poverty continues to be closely associated with employment in the agricultural sector, given the incidence of extreme poverty being much higher among people employed in agriculture, as compared to those employed in other sectors. The majority of people living in extreme poverty and in highly vulnerable conditions – including those living in conflict, internally displaced peoples (IDPs), and refugees – reside in rural areas and rely on food systems for their food consumption and livelihoods (World Bank, 2020).

About 70 percent of the world's extreme poor (or 467 million people) reside in rural areas, and often have to cope with restricted access to resources and a limited ability to participate in critical policy processes. Indigenous Peoples, who represent 6 percent of the global population but constitute 18 percent of the extreme poor residing in mostly rural areas, face disproportionate pressures from extractive industries and competition from large-scale agricultural production (FAO, 2018a).

While the rapid process of food systems transformation presents an opportunity to accelerate benefits, it carries considerable risks of poverty and exclusion for smallholders, and other vulnerable small-scale actors in the food system, with precarious jobs in related sectors, such as permanent and seasonal agricultural labourers, processors, and informal food sellers. Exclusion (see Box 3) is both economic and sociopolitical, and relates to the lack of access to basic assets (primarily land and water); information; (digital) technologies and services (agricultural and rural advisory services, business development services, financial services); basic services, such as education, health, and social protection; and participation in the development and implementation of relevant policies. Climate change, which is eroding smallholders' already precarious asset base is creating additional risks for the poor and marginalized social groups along the entire food system. Living in a remote, fragile environment with a poorly developed infrastructure bears additional risks of exclusion, while persisting gender inequalities place women at a higher risk. Women are more likely than men to be employed in low-wage, part-time or seasonal jobs without legal or social protection, and are paid less even if they are more educated or qualified (FAO, 2020a). Furthermore, women are subject to gender-based violence (GBV). Youth also face risks of exclusion from gainful decent employment, which has far-reaching socioeconomic consequences not only for them, but for the future of food systems. The risks of exclusion of Indigenous Peoples are of particular concern, due to the complexity and holistic nature of indigenous food systems and the critical importance they have for ways of life and biodiversity conservation.

On the consumption side, people living in poverty, both in rural and urban areas in developing countries, are often unable to access affordable, nutritious and diversified foods in a stable manner. This is mainly due to persistent social and income inequalities; the strong reliance of some developing countries on imported, highly processed foods with low nutritional value; a limited awareness of the importance of a healthy, diversified and nutritious diet; and poor transportation and connection to markets.

**Table 1****Rural Multidimensional Poverty Index (R-MPI): Dimensions and indicators**

Dimensions	Indicators
<b>Food security and nutrition</b>	<ul style="list-style-type: none"> <li>• Food insecurity</li> <li>• Child malnutrition</li> </ul>
<b>Education</b>	<ul style="list-style-type: none"> <li>• Years of schooling</li> <li>• School attendance</li> </ul>
<b>Living standards</b>	<ul style="list-style-type: none"> <li>• Cooking fuel</li> <li>• Improved sanitization</li> <li>• Drinking water</li> <li>• Electricity</li> <li>• Housing</li> <li>• Assets</li> </ul>
<b>Rural livelihood and resources</b>	<ul style="list-style-type: none"> <li>• Agriculture assets adequacy</li> <li>• Low pay rate</li> <li>• Social protection</li> <li>• Child labour</li> <li>• Extension services</li> </ul>
<b>Risk</b>	<ul style="list-style-type: none"> <li>• Credit denial</li> <li>• Risk exposure and coping strategies</li> <li>• Risk of climate shocks</li> </ul>

SOURCE: Fao. 2021a. Rural poverty analysis – From measuring poverty to profiling and targeting the poor in rural areas. Rome. [www.fao.org/3/cb6873en/cb6873en.pdf](http://www.fao.org/3/cb6873en/cb6873en.pdf)

### 1.3 MAKING AGRIFOOD SYSTEMS SUSTAINABLE, INCLUSIVE, AND RESILIENT

The livelihoods of an estimated 4.5 billion people globally depend on agrifood systems, while those directly employed in them range from 1.09 to 1.34 billion (Ambikapathi *et al.*, 2022), many of whom are small-scale farmers or working in the informal sector. Agrifood systems make up 54 percent of total employment in Africa, 36 percent in Asia, and 11 to 17 percent in the Americas, Oceania, and Europe. Over three-quarters of the rural poor engage in agriculture as a primary activity (Castañeda *et al.*, 2016), where employment is generally precarious, hazardous, informal and/or poorly remunerated, with limited access to social protection. Small farms (size under 2 ha) account for 84 percent of all farms globally, but produce only 35 percent of the world's food production (Lowder, 2021). One-third of all food produced is wasted along the supply chain, mainly at post-production stages. Even though the overall share of employment in farming may be declining over time, as long as economies grow and the agribusiness sector expands, agriculture will still offer the main employment opportunities for small-scale actors, including in the off-farm sector, such as food processing, transportation, marketing, and related services. Most importantly, growth in the agriculture sector is two to four times more effective in raising incomes among the poorest compared to other sectors (World Bank, 2022b).



## BOX 4

### INCLUSIVE FOOD SYSTEMS SHOULD GUARANTEE TO ALL

- ✦ The stable access to affordable, safe and nutritious food.
- ✦ Freedom and capabilities to make individual strategic life choices.
- ✦ A fair share of economic benefits associated to food systems and their transformation.
- ✦ Increased knowledge sharing for innovative and sustainable technologies.
- ✦ A more participatory way of decision making and shaping food systems.
- ✦ Fair access to and/or ownership of resources.

SOURCE: International Food Policy Research Institute (IFPRI). 2020. 2020 Global Food Policy Report: Building Inclusive Food Systems. Washington, DC: International Food Policy Research Institute (IFPRI). <https://doi.org/10.2499/9780896293670>

The **UN Food Systems Summit** held in 2021 emphasized the need for agrifood systems to become more inclusive to eradicate poverty and hunger. Smallholders who produce one-third of the world's food, as well as other small-scale actors in the agrifood system, can no longer be excluded from participating in and benefiting equitably from decent, remunerative and equitable employment and income generating opportunities arising from agrifood systems. Three principles emerged from the summit that should be enforced throughout food systems to promote inclusion: (i) human rights must be at the centre of food systems transformation; (ii) institutions at local, national, and international levels must deliver and promote the empowerment and involvement of all individuals and communities; and (iii) a set of underlying conditions should be addressed, many which require redressing historic inequalities, especially *vis-à-vis* access to and tenure of resources, as well as barriers that small-scale actors face in order to participate in and benefit from value chains and markets. The three principles are overlapping and share important pathways for their successful uptake, for example in the areas of inclusive governance, and the support to policy and legal frameworks to enhance participation of local communities.

The summit also called for more attention to gender issues, such as women's rights to land; women's economic empowerment and leadership; women's unpaid care and agricultural labour burden; access to (digital) technologies; addressing gender-unequal norms and institutional barriers; and promoting gender-responsive agricultural and food systems policies (*UN Food Systems Summit 2021–Levers of Change*). Agrifood systems must become healthier, safer, more nutritious, diversified and climate-resilient, and undergo a profound transformation that will carve the path to the realization of the “right to adequate and affordable food for every man, woman and child” (FAO, 2022a).

In the context of investments in agrifood systems transformation, social analysis can help understand and address what undermines poor rural people's access to assets and their participation (on fair and remunerative terms) in the agrifood supply chain. Focusing particularly on marginalized and disadvantaged social groups, it can also help shed light on issues of accessing affordable, nutritious, diversified and healthy foods. This can provide the basis for identifying appropriate interventions to address the underlying causes of poverty, vulnerability, food insecurity and malnutrition, which often lie behind social inequalities.

In this process, it is essential to build the strengths, coping strategies and livelihood opportunities of the poor and vulnerable populations, and identify the key barriers that prevent them from achieving positive livelihood outcomes. The process and the results of social analysis can play a crucial role in promoting social inclusion and empowerment of all actors along all segments of the agrifood chain (smallholder producers, landless agricultural labourers, processors and traders, consumers), contributing to strategies and interventions that bring about inclusive, fair, nutritious and resilient agrifood food systems.

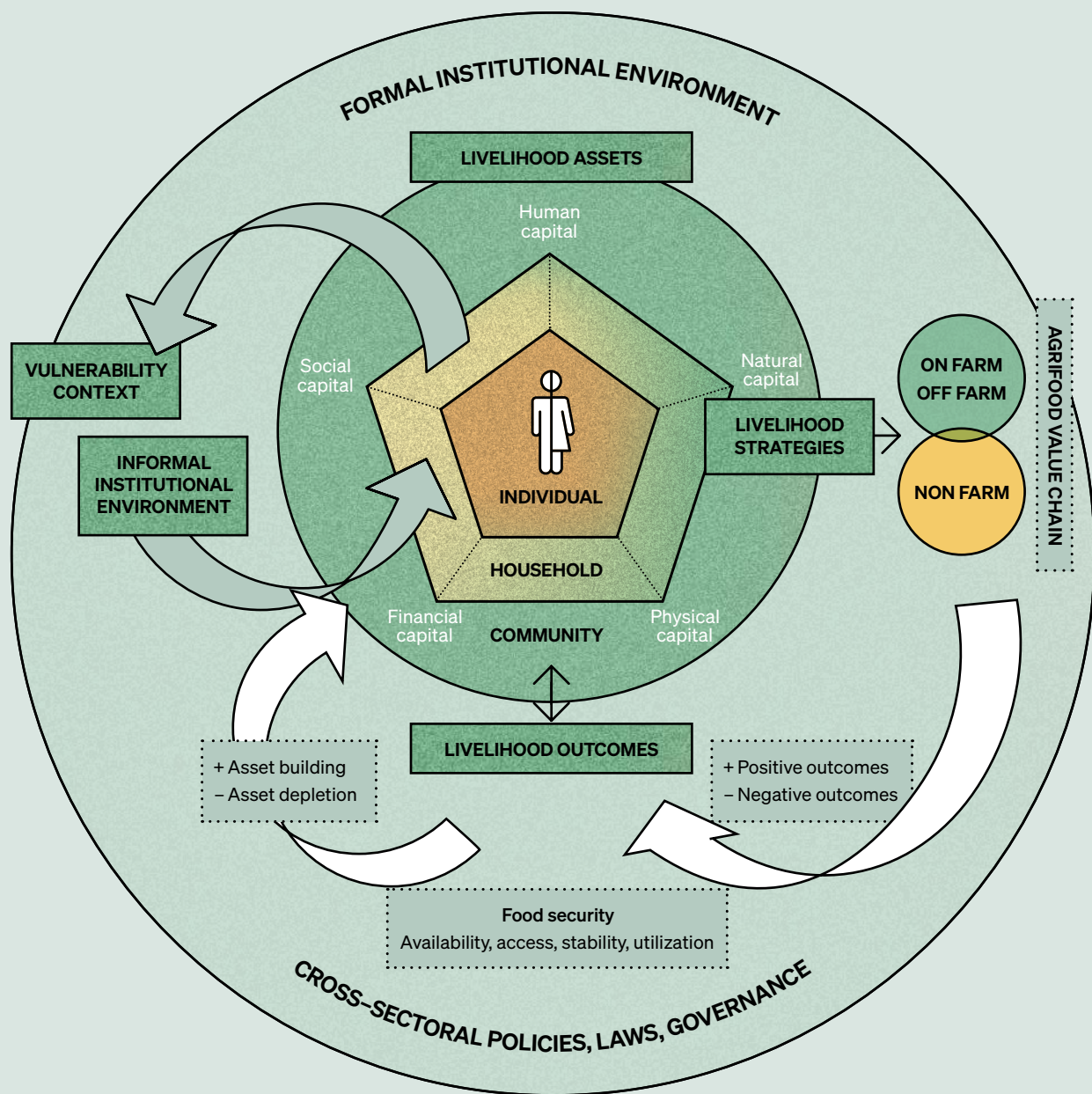
#### **1.4 A NEW CONCEPTUAL FRAMEWORK FOR SOCIAL ANALYSIS**

The new conceptual framework for social analysis that underpins all three guides in the series is illustrated in Figure 1. The framework merges the core elements of two approaches: the sustainable livelihoods approach and the food systems approach. It provides a basis for systemic thinking and understanding around the multiple interconnected factors that affect rural people's lives and livelihoods in the agrifood context, and for identifying sustainable pathways out of poverty, hunger, vulnerability, and food insecurity. The framework is a useful reference for social analysis in the context of supporting the formulation of country investment strategies. In the context of investment project design, it provides a step-by-step guide for practitioners to carry out poverty and livelihoods analysis, as part of examining overall social inequalities. These steps are explained in Module 3, where individual elements of the framework are presented and explained in detail.

As shown in Figure 1, social analysis in agrifood system investments places people at the centre of the analysis. Following the sustainable livelihoods approach, it acknowledges the multiple strategies people employ to improve their livelihoods in a dynamic environment with diverse drivers and actors. It explores how social diversity (gender, age, ethnicity, socioeconomic status) affects people's access to five types of assets (human, social, physical, natural and financial) and how these, in turn, influence people's status (at the individual, household, and community level) as well as their livelihood systems, vulnerabilities, risk of deprivation or exclusion, and their strategies for overcoming constraints. It also examines the role of the vulnerability context (stresses, seasonality, hazards, conflict, shocks), the informal intuitional environment (customary laws, traditional organization, social norms), the formal institutional context (cross-sectoral policy, governance, legal institutions); furthermore, the natural environment that determines people's livelihoods strategies and outcomes, in terms of contributing to and benefiting from the food supply chain (on the right of the figure). The food supply chain lies at the core of the agrifood system,<sup>2</sup> which encompasses "the entire range of actors and their interlinked value-adding activities involved in the production, aggregation, processing, distribution, consumption and disposal of food products that originate from agriculture, forestry or fisheries, and parts of the broader economic, societal and natural environments in which they are embedded" (FAO, 2018a).

<sup>2</sup> Note that Indigenous Peoples' food systems, are distinct and do not fit into this definition. See Box 9 for more details.





**Figure 1**  
**Conceptual Framework for Social Analysis in agrifood system investments**

SOURCE: Authors' own elaboration.



The **food systems approach** helps identify the multiple interlinked drivers and actors that together generate immediate outcomes and longer-term impacts on socioeconomic development, food security in all its dimensions (food access, availability, stability, utilization) and the environment. This approach challenges the narrower view of previous paradigms that tended to be sectoral or limited to sub-systems, for example, farming systems, input supply systems, waste management systems (FAO, 2018a). The food system closely interacts with other systems (such as health, trade, energy, education), in a way that any structural change in the food system might originate from a change in another system. Using a “systems lens” can thus better reveal a comprehensive picture of the complex and interrelated drivers of poverty and food insecurity, some of which are structural (social and income inequalities) and others are the result of trends (environmental degradation and climate change). Addressing the problems of poverty and hunger under such a “systems approach” requires a much closer multi-stakeholder, multi-sectoral, multi-level and cross-policy coherence and coordination, than ever before.

A **sustainable food system** delivers food security and nutrition for all in such a way that: i) it is profitable throughout (economic sustainability); ii) it has broad-based benefits for society (social sustainability); and iii) it has a positive or neutral impact on the natural environment (environmental sustainability) (FAO, 2018a). Within this context, **a sustainable livelihood** can cope with and recover from stresses and shocks and maintain or enhance its capabilities and assets, both now and in the future, while not undermining the natural resource base” (Chambers and Conway, 1992).

Given the multiplicity of dynamics and interlinked actors presented in this framework, the process of conducting social analysis in agrifood system investments requires interaction with a broad range of stakeholders at multiple levels, ensuring to deliberately include those who are excluded/left behind in each specific context. At the macro-level, stakeholders typically include country policy-makers, government, financing institutions, civil society organizations (CSOs), NGOs, other representative bodies (such as Indigenous Peoples’ assemblies) and private sector actors. At the meso- and field levels, stakeholders include community members, community-based organizations (CBOs), village-level formal and informal institutions, district-level line departments, NGOs and CSOs, agribusiness entities and other private sector actors along the agrifood, development agents and a wide range of private and public service providers.

3 The conceptual framework for social analysis presented in this guide focuses primarily on the broad-based benefits for society (social sustainability).

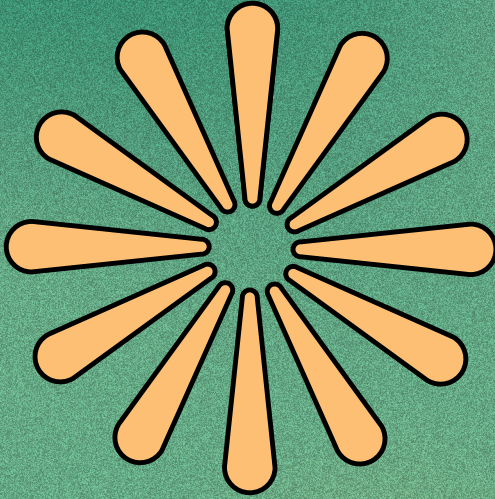
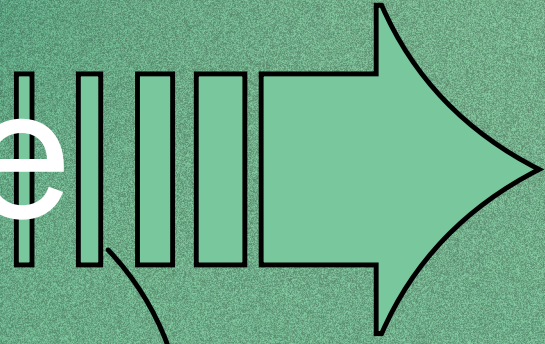








# Module





# Social analysis for country investment strategies

This module provides guidance on how to conduct social analysis for the preparation of country strategic investment strategies in the agrifood sector. These include national agriculture sector investment strategies and plans, as well as international financing agencies' country strategies that are jointly prepared with governments. Such strategies or investment plans (usually of a 5-year duration) lay out medium-/long-term objectives towards improving food systems and ending poverty, in line with national development priorities and global commitments. Country strategies also define a TOC and impact targets, and they constitute the main framework for future public and private investments and related policy dialogue.

From a social and gender perspective, the preparation of country strategies entails a rapid diagnostic of the national socioeconomic and institutional context, which provides the basis for identifying pathways for social inclusion, empowerment, change and transformation. It may also involve localizing poor agroecological zones and fragile environments; profiling poor and vulnerable people; and embedding social considerations into the main sectors of strategic focus.

The analysis and data collection requirements for country strategies are not exhaustive, but must be comprehensive and accurate, as they set the foundation for the overall, macro-level analysis of future country investments.

The main tasks involve:

- 1 assessing the socioeconomic policy context;
- 2 mapping the social landscape: pre-identification of target groups;
- 3 mapping of the institutional landscape: identification of strategic partners;
- 4 carrying out an upstream social risks assessment;
- 5 outlining the broad targeting and social inclusion strategy;
- 6 embedding social inclusion aspects into the strategy's TOC and results framework.



## ASSESSING THE SOCIO-ECONOMIC POLICY CONTEXT

Assessing the socioeconomic policy context involves a thorough review of secondary data that should always be disaggregated (to the extent available) by gender, age, socioeconomic status, ethnicity, disability status, and other parameters as applicable to the specific context. Some international organizations' data sources to consult include: United Nations Development Programme's (UNDP) Human Development Report; FAO's Rural Livelihoods Information System (RuLIS), State of Food Security and Nutrition in the World, State of Food and Agriculture and publications focusing on inclusive food systems; World Bank Annual Report; World Food Programme's (WFP) vulnerability analysis and mapping (VAM); the United Nation's Children's Fund (UNICEF) reports; the International Fund for Agricultural Development (IFAD) Rural Development Report; national social registries or farmer registries; UN agencies country assessments and donor agencies' country strategies; Common Country Analysis Cooperation Framework, humanitarian country teams' protection policies, humanitarian response plans, COVID-19 socioeconomic response and recovery plans; as well as Mainstreaming, Acceleration and Policy Support (MAPS) initiatives and other planning modalities. Where peer-reviewed papers and statistically representative evidence exists on specific areas of relevance, they should also be included in the review of secondary data. Annex II provides a detailed list of useful data sources for macro-level social analysis and for country investment policy and strategy formulation.

A variety of national statistical data sources should also be consulted. Depending on the country, national data can vary considerably in terms of quality and the frequency in which they are updated. For more information on the key secondary data sources to consult at country level, please see the Field guide, under *Review of Secondary Data* (Module 1).

- 4 Throughout this guide, the meaning of "disaggregated data" refers to disaggregation by sex, age, socioeconomic status, ethnicity, disability status and/or any other parameter, as applicable in each country or project context.



The practitioner will draw from the following categories of key indicators, which should be prioritized according to the needs and context of each strategy:

- \* **human development:** status, trends and achievements in human health, schooling and standard of living (using UNDP's Inequality-adjusted Human Development Index; life expectancy at birth; infant, child and maternal mortality; years of schooling; access to water and sanitation; public health issues, such as HIV/AIDS, Ebola, COVID-19, obesity and non-communicable diseases (NCDs);
- \* **demographic characteristics and trends:** rural versus urban population; population growth; average household composition; share of female-headed households (FHH), domestic or international migration, urbanization and remittances; drivers of people's displacement, such as climate change, economic conditions, conflicts, disasters, violation of Indigenous Peoples' rights and restricted access to their traditional territory;
- \* **economic situation:** World Bank's income-level classification (latest and recent trends); per capita gross domestic product (GDP); contribution of agriculture to the GDP; income share of bottom 40 percent of population; employment in agriculture; bank account ownership; credit; unemployment; stage of structural transformation and development of agribusiness sectors;
- \* **poverty:** incidence and prevalence of poverty, using multi-dimensional poverty indicators, as appropriate (Table 1); specific country poverty definitions or characterizations; regional concentrations of poverty, by agroecological zones; characterizations of the poor (see Box 5).



## BOX 5

### POVERTY DEFINITIONS: TYPES AND MEASUREMENTS

**Monetary poverty:** Approach to poverty measurement in which the situation of poverty of an individual or household is determined by comparing its income or consumption with a monetary threshold (the poverty line). The monetary approach is the most common methodology used for measuring poverty.

SOURCE: FAO. 2021a. Rural poverty analysis - From measuring poverty to profiling and targeting the poor in rural areas. Rome. [www.fao.org/3/cb6873en/cb6873en.pdf](http://www.fao.org/3/cb6873en/cb6873en.pdf)

**Poverty line:** In the context of monetary poverty, a poverty line is the minimum amount of income or consumption, expressed in monetary terms, that is considered necessary to purchase goods and services considered essential for well-being. Individuals or households whose income or consumption falls below the poverty line are considered poor.

SOURCE: FAO. 2021a. Rural poverty analysis - From measuring poverty to profiling and targeting the poor in rural areas. Rome. [www.fao.org/3/cb6873en/cb6873en.pdf](http://www.fao.org/3/cb6873en/cb6873en.pdf)

**International poverty lines:** defined and updated by the World Bank to guarantee comparability in between countries. The international extreme poverty line is set at USD 1.90 a day, reflecting the minimum level of welfare for not being considered poor. The international poverty lines of USD 3.20 and USD 5.50 a day reflect the typical standards of living of lower-middle-income and upper-middle-income countries, respectively.

SOURCE: FAO. 2021a. Rural poverty analysis - From measuring poverty to profiling and targeting the poor in rural areas. Rome. [www.fao.org/3/cb6873en/cb6873en.pdf](http://www.fao.org/3/cb6873en/cb6873en.pdf)

**Multidimensional poverty:** An approach to poverty measurement going beyond the monetary dimension, whereby the situation of poverty of an individual or household is determined based on multiple indicators of deprivation, including health, education and living standards.

SOURCE: FAO. 2021a. Rural poverty analysis - From measuring poverty to profiling and targeting the poor in rural areas. Rome. [www.fao.org/3/cb6873en/cb6873en.pdf](http://www.fao.org/3/cb6873en/cb6873en.pdf); FAO & OPHI (Oxford Poverty and Human Development Initiative). 2022. Measuring rural poverty with a multidimensional approach: The Rural Multidimensional Poverty Index. FAO Statistical Development Series, No. 19. Rome, FAO. [www.fao.org/3/cb8269en/cb8269en.pdf](http://www.fao.org/3/cb8269en/cb8269en.pdf)

**Human Development Index (HDI):** is a summary measure of average achievement in key dimensions of human development: health dimension (assessed by life expectancy at birth), education dimension (measured by mean of years of schooling for adults aged 25 years and more and expected years of schooling for children of school entering age) and standard of living dimension (measured by per capita gross national income).

SOURCE: UNDP. Human Development Index. 2022d. <https://hdr.undp.org/data-center/human-development-index#/indicies/HDI>

**Multidimensional Poverty Index (UNDP):** identifies deprivations across three dimensions comprising the 10 indicators, namely: health (nutrition and child mortality), education (years of schooling and school attendance) and living standards (cooking fuel, sanitation, drinking water, electricity, housing, assets). People experiencing deprivation in at least one third of these indicators fall into the category of multidimensionally poor.

SOURCE: UNDP. 2020. Multidimensional Poverty Index. <https://hdr.undp.org/en/2020-MPI>



### **Multidimensional Poverty Measure**

**(World Bank):** combines the monetary and non-monetary dimensions, namely: access to education and basic infrastructure and the monetary headcount ratio at the USD 1.90 poverty line.

SOURCE: Nguyen et al. 2021. March 2021 Update to the Multidimensional Poverty Measure: What's New. Global Poverty Monitoring Technical Note. World Group Bank. <https://openknowledge.worldbank.org/bitstream/handle/10986/35390/March-2021-Update-to-the-Multidimensional-Poverty-Measure-What-s-New.pdf?sequence=1>

### **Rural Multi-dimensional Poverty Index – R-MPI**

**(FAO):** newly developed by FAO, this proposed measure complements existing multidimensional poverty indices adding dimensions and indicators that can better capture rural features, especially in terms of the specificities of livelihoods in rural areas and the peculiarity of the exposure to potential shocks and the associated risk management.

SOURCE: FAO & OPHI (Oxford Poverty and Human Development Initiative). 2022. Measuring rural poverty with a multidimensional approach: The Rural Multidimensional Poverty Index. FAO Statistical Development Series, No. 19. Rome, FAO. [www.fao.org/documents/card/en/c/cb8269en/](http://www.fao.org/documents/card/en/c/cb8269en/)

### **Poverty Measurement for Rural areas (FAO):**

is a measure that combines different multidimensional indices, and the country's own definition and measure of rural extreme poverty, to measure poverty in rural areas, focusing in the two main methodologies used in the measurement of poverty: the monetary and multidimensional approaches.

SOURCE: <https://www.fao.org/publications/card/en/c/CB3237EN/>



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- \* **gender inequalities** in various social and economic dimensions and the gender gap (see Box 6) with specific indices to use;
- \* **other social inequalities** *vis-à-vis* accessing to basic services, agricultural, rural and financial services, digital technologies, and social protection; determined by age, ethnicity, disability, language, socioeconomic status, educational level, migration status, and so on. Inequalities are measured by adequate disaggregation of data, paying due consideration to aspects of intersectionality (Box 7);
- \* **food insecurity and nutrition:** prevalence and severity of food insecurity, and malnutrition (for example, stunting, wasting, overweight, obesity for children under 5 years and adults, micronutrient deficiencies); location and characteristics of food insecure and malnourished people; trends related to food imports, exports and food shortages. Draw on data from the World Health Organization (WHO), UNICEF, the Food and Agriculture Organization (FAO) Food Insecurity Experience Scale (FIES), or the WFP VAM;
- \* **livelihoods and agrifood systems:** main smallholder farming, production and agrifood systems; rural livelihoods (including off-farm and non-farm); Indigenous Peoples' food systems, if relevant; prevalent land tenure and governance systems (both customary and statutory); average landholdings and farm sizes; structural or emerging land issues (such as land shortages, landlessness and fragmentation; large-scale land acquisitions); existing producer organizations and cooperatives; small and medium rural/agrifood enterprises;
- \* **major risks and vulnerabilities:** political instability (coups, conflict); climate-related risks (weather extremes, hazards, disasters); health risks (disease outbreaks); economic risks (hyperinflations, recessions); food price variability, food shortages, inadequate coverage of social protection and related impacts on poor rural communities and smallholder producers;
- \* **institutional, policy and regulatory framework:**
  - **national policies, strategies and programmes**, as well as regional priorities, related to: poverty reduction; food security and nutrition; food sovereignty; family farming; gender and women's issues – including under-age marriage, and GBV; social protection; land governance, tenure and property rights; recognition of ethnic minorities and Indigenous Peoples; youth issues, including employment; disability; farmer associations, cooperatives and rural small and medium enterprises (SMEs); decent employment and child labour; agricultural and rural advisory services;
  - **the country's commitments to global guidance, standards and conventions on social justice**, such as: the Right to Food; the International Labour Organization's (ILO) International Labour Standards, (including related to decent work, social protection and child labour); and to Indigenous Peoples (ILO 169); the United Nations

Declaration on the Rights of Indigenous Peoples; the Convention on the Elimination of All Forms of Discrimination against Women; the Convention on the Rights of Persons with Disabilities; SDG 5 on gender equality; the *CFS Voluntary Guidelines on Gender Equality Food Security and Nutrition*; and the *Voluntary Guidelines on the Responsible Governance of Tenure of Lands, Fisheries and Forests*; The *Voluntary Guidelines to support the progressive realization of the right to adequate food in the context of national food security*; the *Voluntary Guidelines for Securing Sustainable Small-Scale Fisheries in the Context of Food Security and Poverty Eradication*; the *Principles for Responsible Investment in Agriculture and Food Systems (RAI)*; the *Global Compact for Migration*, The *International Covenant on Civil and Political Rights*; The *International Covenant on Economic, Social and Cultural Rights*;

- **relevant sector policies** (including beyond agriculture, for example employment, social protection, environment, education, health and nutrition) integrating social and gender concerns;
  - **national or subnational institutions and stakeholders** mandated to work on gender equality, women's empowerment and, more broadly, social inclusion, for example: public/private entities, CSOs or NGOs, producer organizations, research/academia, and service providers. Focus on those with whom partnerships can be established in the context of the country strategy;
  - **private sector entities** willing and able to engage smallholder producers and other small-scale actors in mutually beneficial inclusive business arrangements. (*For the identification of relevant stakeholders for strategic partnerships, see Task 4 in this module.*)
- ✿ **sectoral or thematic aspects**, as relevant to the country strategic focus areas for future investment (if defined), approached from a social and gender perspective, such as livestock sector, poultry sub-sector, value chains.



## BOX 6

### GENDER INDICATORS

**The Gender Inequality Index** measures gender inequalities in three dimensions, namely: reproductive health; empowerment; and economic status. The index ranges from zero (highest disparities) to one (greatest equality).

SOURCE: FAO Term Portal/IFAD; UNDP, 2015.

**The Gender Development Index** measures gender gaps in human development achievements by accounting for disparities between women and men in three basic dimensions of human development, namely: health, knowledge and living standards.

SOURCE: UNDP. 2022a. Gender Development Index. <https://hdr.undp.org/en/content/gender-development-index-gdi>

**The Gender Social Norms Index** measures how social beliefs obstruct gender equality in areas like politics, work, and education.

SOURCE: UNDP. 2022c. UNDP Gender Social Norms Index (GSNI). <https://hdr.undp.org/gender-social-norms-index>

**The Women Empowerment in Agriculture Index** measures how men and women are empowered differently in five dimensions: decisions on agricultural production; access to and decision-making power over productive resources; control over use of income; leadership in the community; and time use. It also measures women's empowerment relative to men within their households.

SOURCE: FAO Term Portal/IFPRI. 2012. Women's empowerment in agriculture index, 2012.

**Social Institutions and Gender Index** measures discrimination against women in social institutions, by taking into account laws, social norms and practices, capturing the underlying drivers of gender inequality. This index is one of the official data sources used for monitoring SDG 5.1.1 on "whether or not legal frameworks are in place to promote, enforce and monitor gender equality and women's empowerment."

## BOX 7

### EXAMPLES OF SECTORAL ANALYSIS FROM A SOCIAL/GENDER PERSPECTIVE

- ✦ Analysing different responsibilities and roles of women and men in livestock sub-sectors.
- ✦ Identifying opportunities and challenges of women's participation in the fishery sector; exploring the potential of Indigenous Peoples' food systems (which are based on traditional knowledge, reciprocal labour and traditional agricultural calendars) in terms of providing for biodiversity and ecosystems).
- ✦ Mapping poor producers' integration into key/target value chains.
- ✦ Assessing the level of social inclusiveness of producer organizations.
- ✦ Assessing the potential participation of young men and women (of different age-brackets) in employment-focused interventions in the agrifood sector.

SOURCE: Authors' own elaboration.





## MAPPING THE SOCIAL LANDSCAPE: PRE-IDENTIFICATION OF TARGET GROUPS

The mapping provides an overview of the country's social and cultural systems, including norms, beliefs, attitudes, formal/informal institutions that contribute to existing inequalities and exclusionary practices. It is instrumental to the preliminary identification and profiling of possible target groups, as it aims to promote a broad understanding of key factors that: (i) influence people's access to and control over livelihoods assets and economic opportunities; (ii) expand or inhibit their voice and participation at the household and community level; and (iii) shape people's food access, choices and dietary patterns. The broad issues to be covered across all the categories include food insecurity, nutrition, level of income, prevalence of poverty (if feasible), and access to various types of social protection, such as health insurance and livelihood/employment support.

Depending on the context, the mapping would typically examine:

### \* participation of small-scale actors in agrifood chains:

- who the smallholder producers and other small-scale actors in the agrifood chain are, to be prioritized by country- level investments: smallholder farmers, herders and livestock keepers, pastoralists, fisherfolk and aquaculture farmers, forest dwellers and non-timber forest collectors, seasonal and permanent workers, processors, retailers; rural entrepreneurs managing or working in SMEs;
- what commodity or value chain are they engaged in (particularly those to be in focus in the context of the country strategy);
- small-scale actors' engagement in post-production activities (such as food processing, dairy production, transportation or sale of fish, meat, vegetables and fruit);
- small-scale actors' constraints at each stage of the agrifood chain (such as access to finance, land, advisory services, digital technology, and infrastructure).

### \* gender issues and socioeconomic status of women:

- education levels;
- prevailing gender inequalities, disaggregated by age, ethnicity, rural/ urban, socioeconomic status and other parameters, as relevant;
- access to land and ownership/user/inheritance rights;
- access to employment opportunities, markets and agrifood supply chains;
- access to finance;
- gender-based roles and division of labour, in the agrifood sector and the rural economy;

- access to inputs, information, (digital) technologies, and agricultural/ rural advisory and financial services, by gender;
- participation and voice at household and community levels, by gender;
- gender-based vulnerabilities affecting men and women (such as unequitable workloads, under-age marriage, GBV, sexual exploitation and abuse (SEA), homophobia);
- specific issues affecting primarily young women such as early marriage and pregnancy.

## BOX 8

### WHY FOCUS ON WOMEN'S WELL-BEING?

Agrifood system investments have often focused on the economic empowerment of women, increasing their access to inputs, technical advice and markets. While such initiatives have shown significant results, they have only produced short-term economic gains, because they have contributed little to improving rural women's overall well-being, reducing their heavy workloads, or enhancing their voice and ability to make decisions over their own and their families' lives.

Gender analysis can help us understand – and strategically address – the social complexity of rural communities, where **women are not only resource-poor and time-poor, but are also burdened by a series of other life-challenges**, for example restricted mobility, poor reproductive health, domestic violence, or low self-esteem, that reduce their well-being and render them economically inactive.

SOURCE: Authors' own elaboration.



### **youth issues, particularly in rural areas:**

- who the youth are, including country definition of youth;
- representation of young men and women in total rural population and migration patterns;
- youth heads of households; presence of orphan-headed households;
- schooling and educational attainment;
- young people's access to education and vocational education and training, information, (digital) technologies, land, and agricultural/ rural advisory and financial services;
- employment (formal and informal, self- and wage employment), especially in the agrifood sector and the rural economy; child labour issues, if existing;
- youth participation and voice at community levels;
- issues of violence and early marriage.

### **characteristics and trends of the elderly populations:**

- country definition of elderly and average age;
- brief description of: i) whether they are generally economically active and in which type of activities; ii) whether there is an ageing population/young exodus in rural areas leaving the elderly behind; and iii) whether they are heads of households taking care of left-behind children in absence of migrant parents.

### **recognition of and engagement with Indigenous Peoples**

- country definitions, recognition in national legislation and normative frameworks, and adoption of the United Nations Declaration on the Rights of Indigenous Peoples (UNDRIP) , ILO 169 and any other regional instrument for the protection of Indigenous Peoples' rights;
- total population and geographical concentration;
- brief description of Indigenous Peoples (if applicable and as relevant);
- specific environments and agroecological zones where they live;
- relevant distinctive cultural aspects that may shape their production and agrifood systems (that is, gathering, hunting, fishing and farming); Indigenous Peoples' seeds and breeds; crop choices and uses; traditional livelihoods (mobile and semi-mobile); communal land and territorial management/tenure systems; food choices and preferences; specific gender and age–determination issues;



- recognition and respect for their collective rights, particularly the right to self-determine their future and development. Issues affecting access to their ancestral territories and common property resources, and related causes, such as conflict with the dominant society, government restrictions to specific areas or to their own governance systems, climate change; land expropriations, large-scale private investments.

#### **inclusion of persons with disabilities and/or chronic illnesses:**

- country definition of persons with disabilities;
- incidence of persons with disabilities out of total population, including in rural areas;
- the nexus between poverty, food insecurity and disability in rural areas;
- rural livelihoods and income sources of persons with disabilities and associated challenges;
- government social protection schemes or ongoing development agencies' programmes to support these people;
- economic and social implications of disability and illness for rural households;
- impact on the availability of agricultural workforce and the provision of rural advisory services;

#### **human displacement: migrants, refugees, IDPs:**

- country migration trends, both domestic and/or international, permanent or temporary (seasonal or circular), voluntary or forced;
- trends on refugees and/or IDPs (gender, age, status);
- main drivers of any type of human displacement (conflict, persecution, natural disasters, poverty, food insecurity, unemployment, lack of opportunity);
- right to employment for refugees, as protected by law;
- positive/negative, short or long term, impact of migration on rural areas (labour supply, skills gaps, aging population, social and gender and age dynamics to capture also youth mobility);
- impact of displacement on rural livelihoods and assets of both refugees and host communities;
- remittance flows to rural areas and/or diaspora engagement (such as for infrastructure and agribusiness development);
- current or potential risks and vulnerabilities (GBV, social conflicts);
- government social protection schemes or ongoing development agencies' programmes in support to refugees and IDPs;

- possible areas of future engagement at place of origin, transit or destination, including prospects of return of refugees and IDPs to place of origin, local integration, or resettlement.

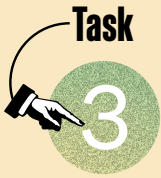
**\* identification and inclusion of the extreme poor:**

- characteristics of the extreme poor, and related country definitions;
- representation of the extreme poor in total rural population;
- concentration of the extreme poor by geographic areas, ethnic groups, or by other criteria;
- drivers of extreme poverty;
- social protection coverage.

**\* other issues relevant to specific population groups**, either due to fragility of the environments where they live (such as armed conflict, disasters, climate change impacts) or due to systematic social discrimination, stigma and marginalization such as, for example, sexual orientation and identity.



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## MAPPING OF THE INSTITUTIONAL LANDSCAPE: IDENTIFICATION OF STRATEGIC PARTNERS

The identification of relevant country-level institutions, stakeholders (including from the private sector) and programmes requires a mapping of the institutional landscape (see Task 2), to understand the role of multiple actors and the potential opportunities in order to partner strategically with them.

It is important to explore stakeholders that work (or could potentially work) on mutual priorities of social inclusion and pro-poor development, to enable partnerships to focus on sharing visions, approaches and commitments. Furthermore, it is critical to build synergies and identify convergence opportunities and complementarities with other entities or programmes with different mandates or areas of work (that is, social protection, digitalization, infrastructure development, education). Good partnerships will ensure the coordination of development efforts and will maximize impact and outreach of investments. Potential partners typically include:

- \* **Relevant line ministries, government agencies, public entities:** the public sector is critical to ensure that the enabling, the institutional and policy environment is conducive and the strategic objectives around social inclusion, institutional change and gender transformation can be achieved. Government ownership will also translate into clear directions, sensitization and capacity building of lower decentralized structures in the context of implementation of future investments.
- \* **International and local NGOs:** local NGOs are generally knowledgeable of the social context and cultural sensitivities and have experience working with the communities. To the extent possible, it is recommended to consult local NGOs in the context of the country strategy formulation and to work with them during the implementation, with a view to strengthening a capacity that will remain in the country after the end of project financing. International NGOs should be engaged when: (i) local capacity is missing or should be built; (ii) when there is a need to implement new complex approaches or specific innovations; or (iii) when bringing in experiences from other countries or regions.
- \* **CBOs, apex associations and cooperatives:** when institutionally strong or when properly capacitated, these organizations can enhance their members' access to inputs; agricultural, rural and financial services; markets; and business arrangements with private actors in value chains, including through public-private partnerships (PPPs). Some CSOs and apex organizations can also engage in advocacy and influence policy; participate in project design, supervision and evaluation; and be contracted as service providers. To the extent possible, and depending on their capacities, CSOs should be sought as an active partner in investment strategies, as they can ensure sustainability of benefits at the community level.



\* **Private sector actors:** private sector actors can fill the gap of the public sector's extension system and provide farmers with much needed access to inputs, training, financial services and a secure market for their produce. Engaging with the private sector requires good mediation skills to explore and secure mutually beneficial business arrangements between businesses and smallholder producers or other small-scale actors. Benefits can extend to the broader community – beyond those employed or connected directly to firms – through leveraging investments in rural infrastructure and the revitalization of the rural economy. Private sector entities range from large businesses operating at a national or regional level (supermarkets, agribusinesses, or information technology companies), to SMEs, vocational training centres, and business development service providers. PPPs constitute a good avenue for enhancing inclusion and bringing together different stakeholders.

\* **Indigenous Peoples and Indigenous Peoples' organizations.** Indigenous Peoples hold unique systems of food, knowledge and territorial management. They are rooted in the ecosystem they inhabit. Indigenous Peoples' food and knowledge systems are dynamic and evolve with time. Indigenous Peoples can contribute to decision-making processes and should be represented in the policy making that affects their lives and their communities.

\* **UN agencies, IFIs, and other development actors.** Using financial resources efficiently to maximize their returns is crucial in the context of competing development partners' needs and priorities, including for strategy and project formulation. It is therefore critical to build synergies with actors that have a strong country presence and who can bring global experiences relevant to social inclusion objectives. This is particularly important in view of the complexity of rural poverty and food insecurity problems that need to be addressed in a holistic and multi-disciplinary manner. Such partnerships are instrumental to expanding outreach, while ensuring the adoption of multi-sectoral, integrated interventions that can maximize benefits and impacts.

To advance on social development objectives, partnerships should be pursued especially with: UN agencies such as FAO, the ILO, International Organization for Migration (IOM), UNDP, United Nations High Commissioner for Refugees (UNHCR), UNICEF, UN Women, WFP; IFIs such as the African Development Bank (AfDB), Asian Development Bank (ADB), the European Bank for Reconstruction and Development (EBRD), IFAD, the World Bank and other regional banks to leverage financial resources and expertise; selected bilateral development agencies with a strong social agenda, the European Union, the Green Climate Fund (GCF) and the Global Environment Facility (GEF).



## Task

# CARRYING OUT AN UPSTREAM SOCIAL RISKS ASSESSMENT

An upstream assessment of risks should be carried out to inform the strategy formulation of potential negative social impacts and to identify broad actions for their prevention, mitigation, and management (See Box 9: Examples of rural vulnerabilities, risks and shocks in Task 5). The social risk assessment and management exercise at this stage, involves:

- ✦ assessing the adequacy of existing policy frameworks and social standards for preventing and minimizing pre-identified risks and adverse impacts;
- ✦ assessing the implementation of country's international commitments to the protection of social rights;
- ✦ assessing the country's institutional, implementation and contract enforcement capacity, which may constitute a risk for delivering results;
- ✦ defining measures to anticipate, prevent, mitigate, manage and/or minimize risks and adverse impacts;
- ✦ Identifying potential/anticipated socioeconomic impacts of planned investments on the target groups and rural communities.

The specific risks and potential impacts, together with their corresponding mitigation measures are identified in more in detail at the project design stage (see Module 3, Task 2 on assessing and managing social risks) through specific financing agency's social safeguard procedures and guidelines.





## **OUTLINING THE BROAD TARGETING AND SOCIAL INCLUSION STRATEGY**

Drawing on the analysis of the socioeconomic and institutional context; the mapping of the social and institutional landscape; and the assessment of social risks (Tasks 1 to 4), it is possible to define the broad elements of a targeting and social inclusion strategy, which will provide a framework for future investment projects in the country. It is also possible to do a pre-identification of target groups, based on socioeconomic status, individual or group characteristics (gender, age, ethnicity); and rural livelihoods in the agrifood sector.

At this stage, decisions are made regarding geographical focus, sector, value chain, type of interventions that will be at the core (or among the priorities) of the country investment strategy. Such decisions have fundamental implications for the types of population groups that will benefit from the interventions under the investment strategy, through future projects. The choice depends on the overall objective of the strategy, as agreed with the government and other country stakeholders, in full alignment with national priorities and programmes.

Often, however, country investment strategies in agrifood value chains may not have poverty or vulnerability as their prime targeting criteria, as other criteria may be more relevant to achieving the set objectives, for example increased productivity, commercialization, or healthy diets. The challenge for the social analyst is to seek out mechanisms – within the scope of the defined investment priorities – to ensure the maximum possible benefits to small-scale actors and vulnerable populations, so as to honour the tenet of “leave no one behind” and the principle of “Do No Harm.” This requires finding a balance and a reconciliation between targeting criteria that, on the one hand, would consider the potential for returns on investment calculated on the basis of financial prices; and on the other, the potential to address unmet needs that can translate into longer term social benefits.

Box 9 presents an example of social returns on investment in rural roads in Morocco.



## SOCIAL RETURNS ON INVESTMENT IN RURAL ROADS: AN EXAMPLE FROM MOROCCO

During the formulation of Morocco's first National Rural Roads Programme (NRRP-1), the criteria for defining priorities for the country's rural road strategy were economic efficiency, the degree of accessibility of the areas served by the road, the important role of the road in serving social and administrative centres, and the agricultural potential of the roads' area of influence. The second phase of the programme aimed to accelerate and scale up efforts, by enhancing the participation by the local government and defining the programme's objectives in terms of the population served, rather than the kilometres of roads built. Morocco's highway agency conducted surveys to assess the returns of their investments, both in terms of social and economic benefits. These benefits were found in four main areas:

- 1 **Transport:** improved roads meant less time to reach markets and services, reduced costs, and increased quality and frequency of services.
- 2 **Agriculture:** increased overall levels of agricultural activity and a land-use shift by farmers from low-value cereals toward higher-value fruits and orchards.
- 3 **Health and education:** doubled enrollment in primary education over ten years and a significant increase in visits to primary health care facilities and clinics. The quality of education and health services also improved, as greater accessibility made it easier to recruit teachers and medical staff. Effects on gender inequality were also found: enrollment of girls in primary education increased significantly more than that for boys; women gained the most in the increased number of visits to health services.
- 4 **Welfare of women:** employment opportunities for women increased, while the introduction of butane gas for cooking was made possible by better roads, which ended their daily two-hour chore of collecting firewood.

SOURCE: Referring to the World Bank funded National Rural Roads Programmes (NRRP-1 and NRRP-2) in Morocco, reported in: World Bank. 2004. Case Studies in Scaling Up Poverty Reduction: Rural Roads and Poverty Alleviation. In: Morocco, Scaling Up Poverty Reduction: A Global Learning Process and Conference. Shanghai. World Bank Document. <https://documents1.worldbank.org/curated/en/420301468756995092/pdf/308170MOR0Rural0Roads01see0also0307591.pdf>

\*Box 9 provides examples of such criteria for broad targeting of country investment strategies.

By following the definition of the broad targeting and social inclusion elements of the country strategy, the social analyst will be able to identify some of the main **entry points for promoting social inclusion** and women's empowerment (summarized in Box 10).



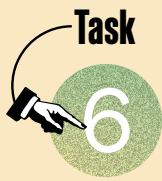
## EXAMPLES OF ENTRY POINTS FOR ADDRESSING SOCIAL/GENDER ISSUES IN COUNTRY STRATEGIES

- ✦ Selecting agrifood supply chains that are of interest to women, youth or other disadvantaged groups; do not require considerable land and capital; and offer employment opportunities.
- ✦ Supporting and strengthening the capacities of CBOs that have the potential and interest to promote inclusivity, gender-sensitive and pro-poor approaches.
- ✦ Identifying agrifood chain nodes that offer opportunities for women's entrepreneurship.
- ✦ Promoting home gardening and nutrition education, targeting women in particular, including young women, pregnant and lactating women, to prevent and address malnutrition.
- ✦ Enhancing the capacity of extension services in addressing gender, youth and Indigenous People's issues.
- ✦ Mobilizing and training women, youth and people from ethnic minorities to become community-based service providers for more pluralistic, demand-driven and responsive service provision.
- ✦ Supporting landless people to access land for agriculture (for example through sharecropping arrangements, and allocation of unused communal land).

SOURCE: Authors' own elaboration.

Defining these broad targeting and social inclusion elements requires close engagement in policy dialogue, as a key pre-requisite for sustainable change, for example around promoting economic and social empowerment of women (land property/user/inheritance rights) and bringing about social impact and transformation. Dialogue should not shy away from "sensitive" issues and it should also engage non-government stakeholders, including the private sector, to reach consensus. Ownership of the strategy is essential for successful country-level engagement and sustainability of benefits.

Module 3, provides more details on how to define a project target area, identify target groups and design appropriate targeting mechanisms in the context of project design.



## **EMBEDDING SOCIAL INCLUSION ASPECTS INTO THE STRATEGY'S THEORY OF CHANGE AND RESULTS FRAMEWORK**

While supporting the development of the strategy's TOC, it is important to identify the ultimate change that a strategy is aiming to achieve at the human level. Whose lives will change as a result of the strategy, and how? Clear pathways should be identified that lead to social inclusion, empowerment and transformation, for example through enhancing women's leadership in CBOs; promoting youth entrepreneurial development; reducing the digital divide (between rural/urban, men/women, young/old); ensuring more equitable workloads between men and women.

Linked to the TOC, a results framework should be developed to assess achievement of strategic objectives and aggregated impact, including at the social, institutional and policy levels. The M&E systems of future investment projects, designed in the country, should be aligned to this framework, to enable managers and policy makers to monitor how each investment contributes to achieving the country's overall, long-term strategic objectives. Box 10 provides an illustrative example of a well-formulated poverty and gender analysis in the context of a country strategy preparation.

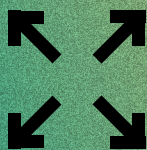
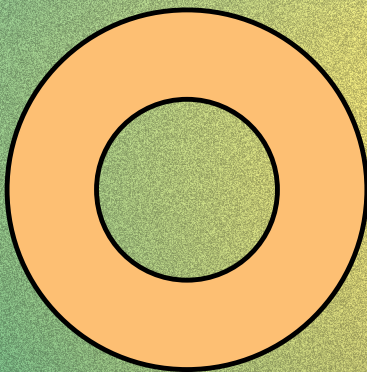
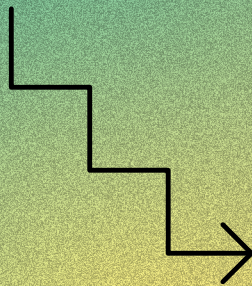
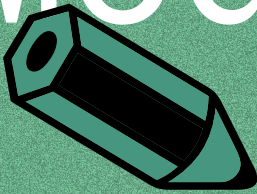
Reference Tools 13 and 14 present examples of a TOC and a results framework.







# Module





# Social analysis for investment project design

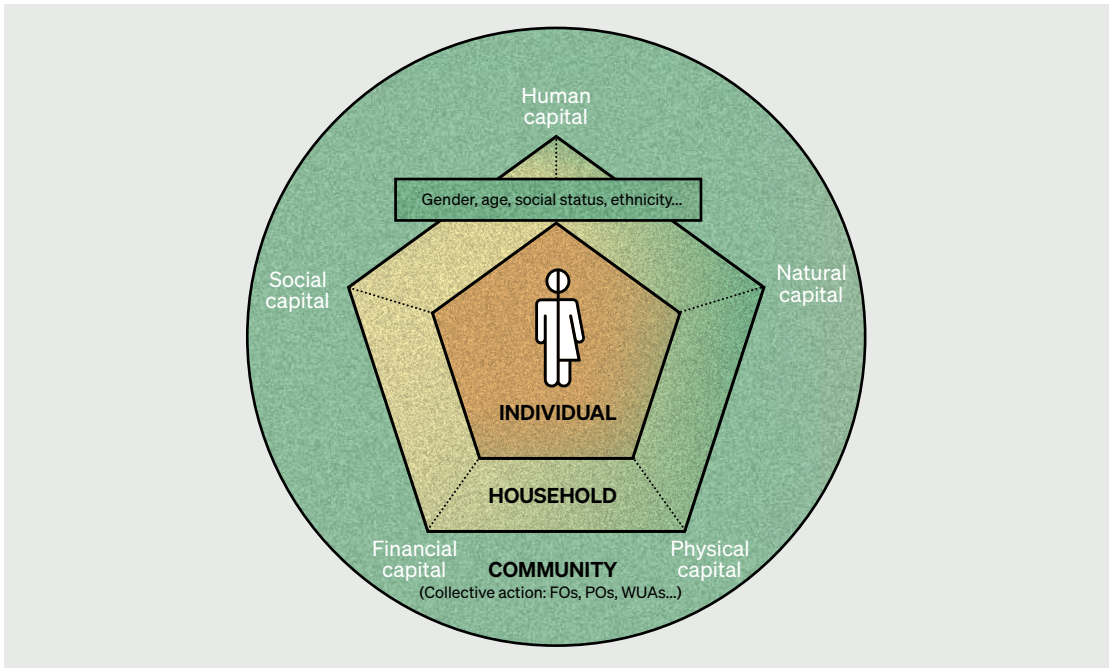
Guided by the conceptual framework presented in Module 1 (see Figure 1) and the broad parameters of the rural livelihoods and agrifood systems that social analysis seeks to understand (presented in Module 2), this module provides detailed guidance for practitioners on how to conduct social analysis in the context of investment project design and how to turn that analysis into targeting strategies for social inclusion. The first section presents the principal types of social analyses while the second section explains the main uses and users of the results of the analysis: targeting; gender and youth mainstreaming; identification of project activities tailored to beneficiaries; project management and implementation arrangements; and M&E and learning.

It is important to note here that investment programme design is not a linear process. The social analyst is often called upon to support a design process, at a time where key decisions have already been made – in alignment with country priorities and nationalized SDG targets – regarding area targeting, the selection of value chains or other interventions. There are therefore no one-size-fit-all tasks to be undertaken in any particular order. Rather, the scope and focus areas of the social analysis must be adapted, based on the social analyst's appreciation of each particular case.

The module presents the key associated tasks that would typically be carried out during the design process, depending on the objectives, technical focus and target area of the project. For each, the key topics of investigation are described, providing links to data sources and relevant reference tools, (see Annexes). The Field guide provides checklists and field tools to assist the social analyst in data collection during field visits at the district and community levels.

Generally, the outcomes of such analyses will feed into a project design report for financing approval and, in some cases, into a Project Implementation Manual (PIM).<sup>6</sup>

6 This instrument, generally developed during project design or early implementation, aims to operationalize the project components, provide concrete guidance to implementers.



**Figure 2**  
**Capital Assets Pentagon**

SOURCE: Authors' own elaboration.

## Task

# 1

## ANALYSING MULTIDIMENSIONAL POVERTY AND SOCIAL INEQUALITIES

There are multiple analytical approaches that serve as entry points for conducting social analysis. This guide will focus on the six principal ones that are used in investment operations, to analyse the multiple dimensions of rural poverty and social inequalities and to define opportunities and pathways to sustained investment solutions. Not all approaches will be relevant to all project situations, and the order in which they are presented does not imply sequencing or prioritization.

- ✦ poverty and livelihoods analysis;
- ✦ gender analysis;
- ✦ youth analysis;
- ✦ analysis of Indigenous Peoples and ethnic minorities;
- ✦ analysis of community institutions; and
- ✦ stakeholder analysis.



### 3.1.1 POVERTY AND LIVELIHOODS ANALYSIS WITHIN THE AGRIFOOD SYSTEM

As illustrated in the conceptual framework (Figure 1), rural livelihoods comprise the capabilities, assets (both material and social resources) and activities required for a means of living. A livelihood is sustainable when it can cope with and recover from stresses and shocks and maintain its capabilities and assets now and in the future, while not undermining the natural resource base (Chambers and Conway, 1991). The rural poverty multidimensional analysis (within the agrifood system) explores the interconnections between the livelihood assets and strategies of poor rural people, households and communities. It also assesses food security and malnutrition issues and the roles of stresses, risks and shocks in perpetuating poverty and hunger, within the overall policy and institutional framework. In addition, the analysis sheds light on the dynamics of poverty in the region by identifying different internal and external factors that cause rural people to fall in or out of poverty at different points in time.

Livelihoods analysis examines the systematic differences between categories of households or social groups in terms of their access to and control of livelihood assets. It also assesses different households' livelihoods strategies, such as how to cope with external shocks, as a basis to define interventions to diversify and strengthen their rural livelihoods.

#### Livelihood assets

**Livelihood assets** are interlinked and lie at the core of livelihoods analysis. As shown in Figure 2, they are grouped into human, natural, financial, physical, and social, and refer to the resource base of the community and different categories of individuals and households.

Rural livelihood assets typically include:

- ⊕ **human capital:** household members, active labour force, education (years of schooling and school attendance, knowledge and skills, health status;
- ⊕ **natural (and agricultural) capital:** farm land, fertile soils, common grazing lands, forests, vegetation, water resources (including irrigation), crops, tree crops, livestock, fish, wild products and biodiversity;
- ⊕ **physical capital:** farm inputs, tools and equipment; cooking fuel; improved sanitation; drinking water; irrigation pumps; processing equipment (including relevant technical advice); electricity; vehicles; houses; roads; warehouses; markets, health centres; community halls; digital technologies;
- ⊕ **financial capital:** savings, debts, physical assets (such as jewellery or land), income, credit, remittances, insurance, grants, cash;
- ⊕ **social capital:** kin networks, farmer groups and CBOs (self-help groups, or cooperatives) socio-political voice and influence, power, governance, social protection/safety nets.

Each asset group is represented on a different axis of the Capital Assets Pentagon (see Figure 4), a simple tool for analysis to be used for each identified socioeconomic group (based on wealth status, gender, age, ethnicity, disability status, as relevant) and/or household category (women-headed households, poor households, households with members suffering from chronic diseases). As illustrated by the example in Mali (Box 11), the shape of the pentagon visualizes the variation in people's access to assets in communities, and among households within the same community. The centre of the pentagon represents no access, while the outer perimeter represents maximum access to assets, as defined by the concerned social groups.

It is important to note that a single physical asset can generate multiple social benefits. For example, livestock may generate social capital (prestige and connectedness to the community) while at the same time being used as productive physical capital (animal traction) and financial capital (savings). Asset endowments are constantly changing and it is therefore also important to incorporate a time dimension into the analysis, to capture trends in overall asset availability (with climate change, the overall natural capital might be declining) as well as on which groups are accumulating or losing assets and why. Where social exclusion processes are at play, those who are already poorly endowed may gradually become more marginalized. While specific, quantifiable indicators can be developed where useful to measure asset accumulation or depletion, there is no suggestion that the social analyst should quantify all the assets, or develop a common metric that allows direct comparison between them. A generic appreciation of livelihood assets, visualized with the asset pentagon, can be useful for identifying suitable entry points for investment. It can also help understand the types of interventions that may serve the needs of different social groups and the ways such interventions could be tailored to target groups, while also considering the likely trade-offs between different assets.

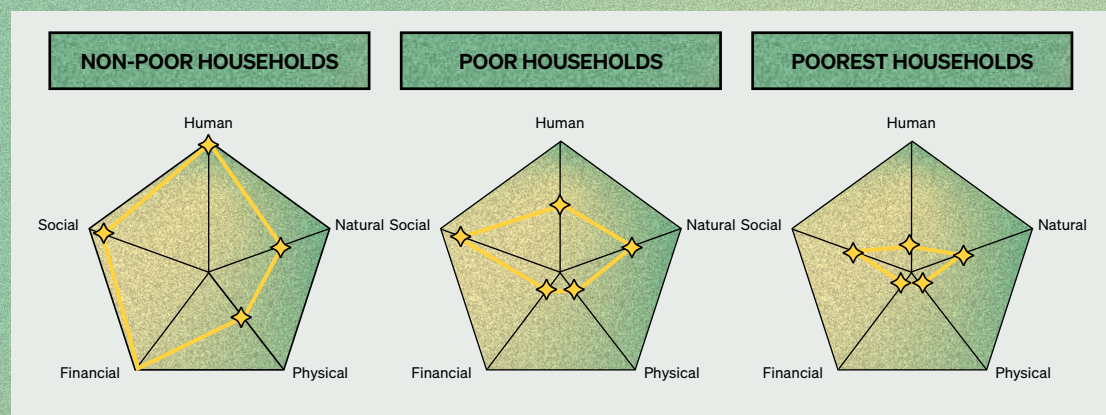


*Reference Tool 8 presents examples of possible interventions based on poor people's asset base and livelihoods strategies Field Tool 10 (Field guide) is a livelihoods matrix, developed using the information collected during community meetings and focus group discussions.*



## UNDERSTANDING OWNERSHIP AND CONTROL OVER ASSETS USING THE CAPITAL ASSETS PENTAGON IN MALI

Assets were measured among three poverty groups, according to criteria defined and agreed with the community, and their relative strength was recorded on the appropriate axis:



- ✦ **Human capital:** Non-poor households rank very high as human capital because they have very large compounds with many wives and a large number of able-bodied adult workers who have better education and skills. The poorest households are often headed by women. They have very few household members, with little or no formal education, a single able-bodied worker and a high proportion of members who are unable to work because of old age or disability.
- ✦ **Natural and agricultural capital:** The non-poor typically control most of the higher quality irrigable land along the rivers and the more fertile rainfed farmland. They own many animals including cattle and small ruminants. The poor have access mainly to poor quality rainfed land at a greater distance from the village; IP communities often live in the most fragile environments. They typically own a couple of cattle for ploughing and some sheep and goats. The poorest – especially FHHs – typically have limited access to any kind of farmland. They may only own a donkey or some chickens or a goat. Access to land is one of the greatest challenges young people face and among them, young women are particularly disadvantaged.
- ✦ **Physical capital:** The non-poor have large compounds with permanent housing and tend to own more modern types of agricultural equipment such as vehicles, boreholes and irrigation pumps in addition to animal-drawn carts and ploughs, large granaries and motorbikes. The poor are mostly limited to animal-drawn equipment. The poorest have small compounds with mud houses, thatched roofs and no farm equipment. Some social groups such as women, young people and persons with disabilities face considerable constraints to use agricultural tools and equipment, which are not customized to them.



- ✦ **Financial capital:** The non-poor are more likely than the poor to have cash savings as well as access to remittances from relatives working in urban areas and abroad. The poorest have only debts. Due to gender inequalities and low socioeconomic status, women generally do not have access to and control over household's financial resources. Access to credit and savings remains a considerable barrier for women and young people in particular.
- ✦ **Social capital:** The non-poor generally have greater social capital than other households as a result of their membership in strong kinship networks and their leadership roles in village organizations. The poorest have weak kin networks and are unlikely to belong to any community-based organizations or to participate in village self-government.

SOURCE: Authors, based on FAO. 2011a. Social analysis for agriculture and rural investment projects. Practitioner's guide. Rome. [www.fao.org/3/bl182e/bl182e.pdf](http://www.fao.org/3/bl182e/bl182e.pdf)

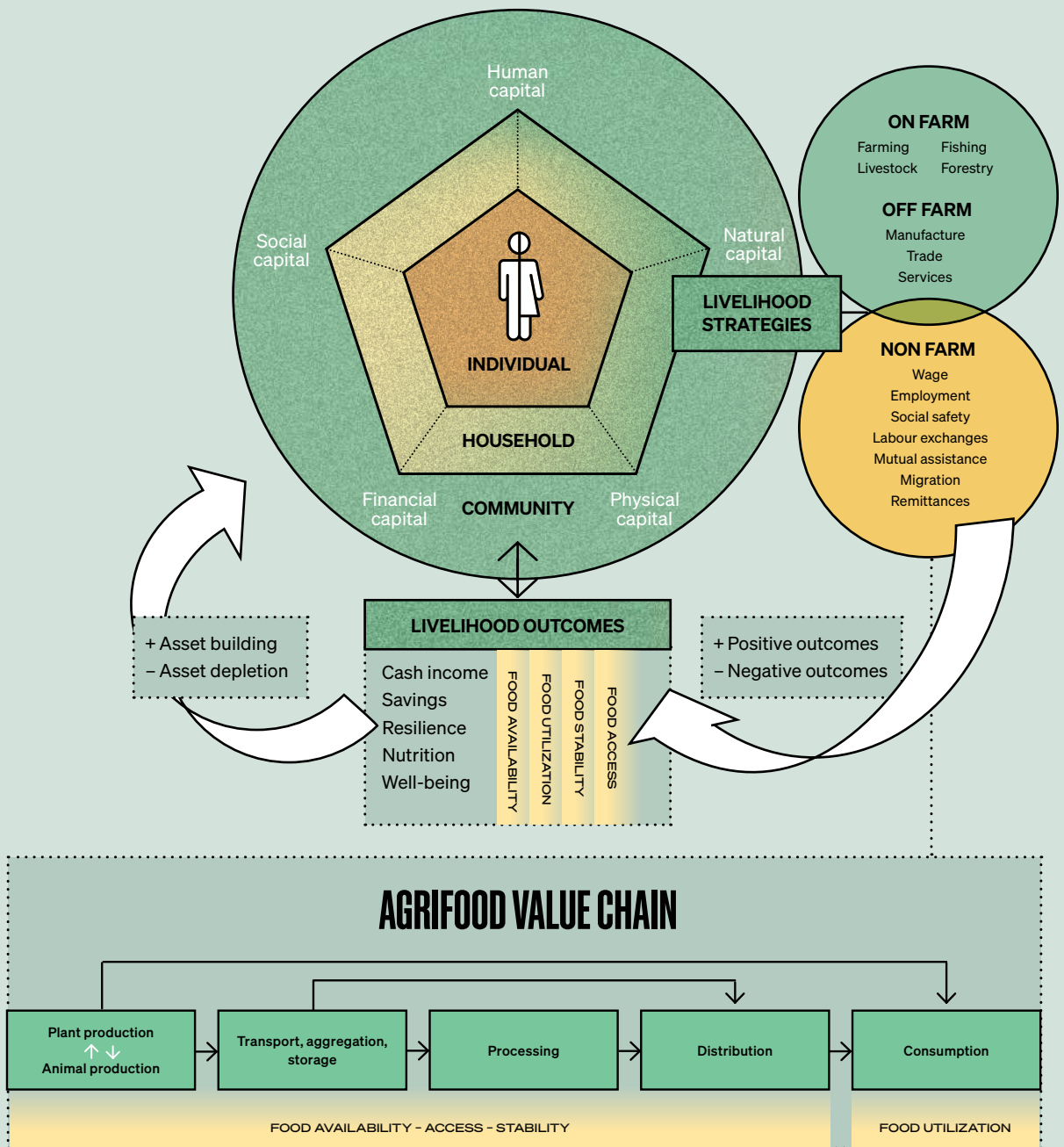
### **Livelihood strategies and outcomes**

**Livelihood strategies** refer to the range and combination of options (farm, off-farm, non-farm, along the agrifood chain) that people pursue in order to achieve their livelihood goals, on the basis of their asset base and their understanding of the options available (see Figure 3). In the context of food systems in an urbanized world, **rural livelihood strategies** are closely connected to, and influenced by urban livelihoods strategies, including: i) short-term solutions, such as ways of coping with shocks and managing risk; and ii) longer-term aspirations to enable their children to marry well, to become self-supporting and to look after their parents when they become too old to earn a living.

Rural households typically have income earners who pursue a combination of crop and livestock, farm, off-farm and non-farm activities in different seasons, contributing to (and benefiting from) agrifood value chains. Better-off households are usually able to diversify their strategies, allowing them to build resilience to shocks and achieve positive outcomes. The less strategies a household are able to employ, the poorer it is, and the more vulnerable it becomes to distress and shocks. The poorest and most vulnerable households often have no choice but to pursue short-term coping strategies to deal with recurrent shocks, to the detriment of protecting their assets. This results in negative livelihood outcomes, a depletion of assets and a cycle of poverty.

It is important to take into consideration the wide range of vital household tasks that are carried out in the rural context (such as fetching water and fuel, cooking, cleaning and caring for children, the elderly and the sick) as well as the community-level sociocultural and political activities, all of which can be directly or indirectly associated with the various agrifood value chain segments, from production to consumption.





**Figure 3**  
Livelihoods strategies and outcomes

SOURCE: Authors' own elaboration.

## Food security and nutrition

A food security and nutrition assessment are carried out in close consultation with a nutrition expert, and guided by the four dimensions of food security (see Box 12), focusing on:

- ✦ **food consumption (part of utilization):** quantity, quality/safety and diversity of food consumed; adequate food intake and micro-nutrients; food changes in dietary habits; food waste;
- ✦ **food policies (stability/access):** main national or local food policies or price-related measures influencing consumers' demand and preferences, in support of healthy diets, and for preventing overweight, obesity and NCDs;
- ✦ **malnutrition issues (see Box 13) and NCDs, particularly:** prevalence of malnutrition among children under five years and maternal malnutrition; prevalence of micronutrient deficiencies among children under five years and women; prevalence of anaemic women.

The box below includes some indicators that could be used by the social analyst to make food security and nutritional assessments.

## BOX 12

### THE FOUR DIMENSIONS OF FOOD SECURITY

"Food security exists when all people, at all times, have physical and economic access to sufficient, safe and nutritious food that meets their dietary needs and food preferences for an active and healthy life" (World Food Summit, 1996). Food security consists of four main dimensions, namely:

- ✦ **Food availability:** The amount of food physically available for consumption over a reference period, including through: domestic food production; import capacity; food stocks; food distribution, exchange and trade; wild foods; food aid.
- ✦ **Food access:** ability to acquire food based on factors such as gender issues and social norms; intra-household allocation dynamics; purchasing power; transport and market infrastructure.
- ✦ **Food utilization:** use of food through adequate diet; food safe preparation, handling and conservation; clean water, hygiene and feeding practices; as well as based on nutrition information and education and cultural and religious traditions.
- ✦ **Food stability:** secure and regular access to sufficient, nutritious and safe food physically, economically and socially at all times.

SOURCE: FAO Term Portal; FAO. 2019. *State of Food Security and Nutrition in the World*. Rome, FAO. WHO. [www.who.int/health-topics/malnutrition#tab=tab\\_1](http://www.who.int/health-topics/malnutrition#tab=tab_1); [www.who.int/news-room/fact-sheets/detail/obesity-and-overweight](http://www.who.int/news-room/fact-sheets/detail/obesity-and-overweight)



## FOOD SECURITY AND NUTRITION INDICATORS

### ➔ Diet quality – individual level

**Minimum Dietary Diversity for Women of reproductive age:** A measure of dietary quality, which reflects overall nutrient adequacy and dietary diversity, among women of reproductive age (15-49 years). It shows the proportion of women who consumed at least five out of ten food groups in the previous 24 hours. Women consuming foods from five or more food groups are more likely to meet their micronutrient needs than women consuming foods from fewer food groups. The indicator does not reflect quantitative food intake and adequacy of specific target nutrients.

SOURCE: FAO. 2016a. *Compendium of Indicators for Nutrition-Sensitive Agriculture*, p. 15. [www.fao.org/3/i6275en/I6275En.pdf](http://www.fao.org/3/i6275en/I6275En.pdf); FAO/FANT. 2014. *Introducing the Minimum Dietary Diversity- Women (MDD-W) Global Dietary Diversity Indicator for Women*, Washington, DC, 2014, no pages.

**Minimum Dietary Diversity for young children:** A measure of dietary quality, which reflects overall nutrient adequacy and dietary diversity, for children aged 6–23 months. It refers to the number of food groups (out of seven food groups) consumed by a child in the previous 24 hours. Consuming at least four food groups is an indication of a low risk of a nutrient inadequate diet.

SOURCE: CGIAR. *Glossary Food System*. 2020. FAO, *Compendium of Indicators for Nutrition-Sensitive Agriculture*, p. 16. <https://a4nh.cgiar.org/2020/01/26/glossary-food-systems/>

**Individual Dietary Diversity Score:** A measure of dietary quality, which reflects nutrient adequacy and dietary diversity, usually for children over 2 years of age. It consists of either an 8-question list (one for each food group), or a qualitative 24-hour food list (i.e. what was eaten by the child yesterday, without amounts).

SOURCE: CGIAR. *Glossary Food System*. 2020. FAO, *Compendium of Indicators for Nutrition-Sensitive Agriculture*, p. 16. <https://a4nh.cgiar.org/2020/01/26/glossary-food-systems/>

### Food access and utilization – individual or household level

➔ **Food Insecurity Experience Scale (FIES):** A measure of the severity of food insecurity at household or individual level in a twelve-month period. It consists of 8-question surveys, with thresholds set on the score to classify the severity status of respondents.

**Household Dietary Diversity Score:** It consists of counting how many food groups out of 12 a household or an individual consumed over the preceding 24 hours. This helps assess whether each household member has consumed items from different food groups.

**Food Consumption Score:** A measure of household' consumption of diverse food, weighted by nutrient density. The score is calculated using as indicator the frequency of consumption of different food groups during the previous seven days.

SOURCE: CGIAR. *Glossary Food System*. 2020. FAO, *Compendium of indicators for nutrition-sensitive agriculture*, pp. 21-23. <https://a4nh.cgiar.org/2020/01/26/glossary-food-systems/>



## Vulnerability, resilience and rural poverty dynamics

As illustrated in Figure 4, 'vulnerability' is defined as exposure to shocks and risks of different types and magnitudes that can have an enormous impact on rural people's livelihood assets and capacities to cope. These can be weather-related (floods, storms) or man-made (conflicts), originating from inside or outside the community. Others are recurrent and seasonal (hungry seasons); or they can be idiosyncratic (death of a family member), affecting only individual households. Some are fast acting (earthquakes) and others are slower acting (soil erosion, deforestation).

### BOX 14

## EXAMPLES OF RURAL VULNERABILITIES, RISKS AND SHOCKS

**Weather-related shocks and natural calamities:** drought, earthquakes, hurricanes, cyclones, tidal waves, floods, heavy snow, early frost, extreme heat or cold waves, climate change.

**Pest and disease epidemics:** insect attacks, predators and diseases affecting crops, animals and people (e.g. Ebola, COVID-19, avian flu, etc.).

**Economic shocks:** drastic changes in the national or local economy and its integration in the world economy, affecting prices, markets, employment and purchasing power.

**Civil strife:** war, armed conflict, failed states, displacement, destruction of lives and property.

**Political instability:** uncertainty and change.

**Seasonal stresses and food gaps:** hungry season food insecurity.

**Environmental stresses:** land degradation, soil erosion, low soil fertility, bush fires, pollution, climate change.

**Idiosyncratic shocks:** illness or death in family, job loss or theft of personal property, land grabbing.

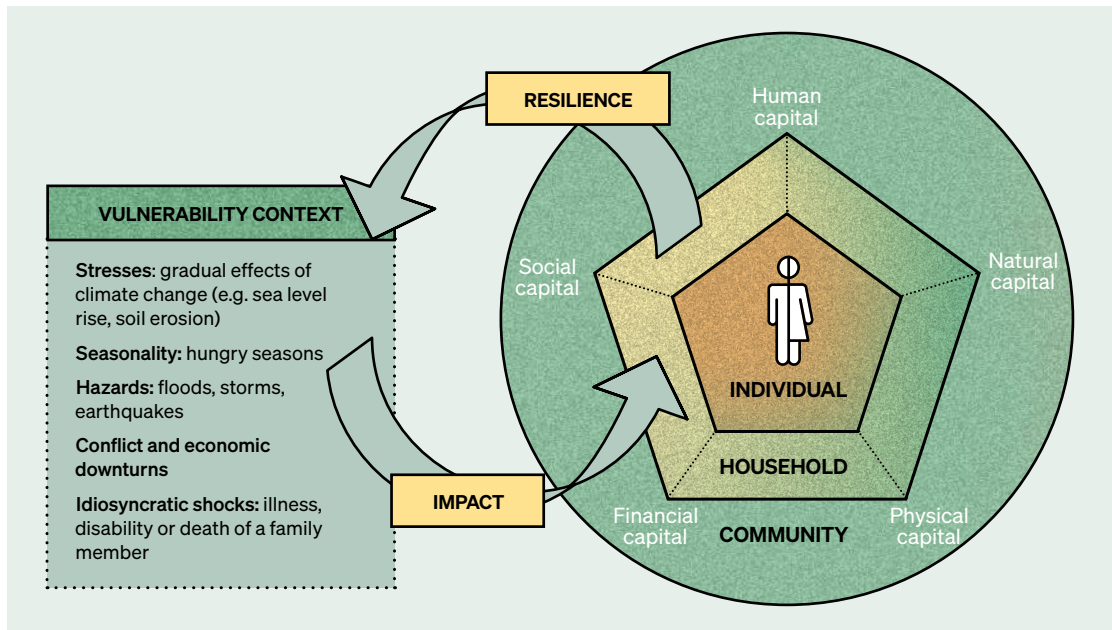
**Structural or long-term vulnerabilities:** landlessness, frequent crop failure, lack of livestock, lack of voice or power, illiteracy, labour shortage.

SOURCE: Adapted from FAO.2011a. Social analysis of agriculture and rural investment projects – Practitioner's guide. Rome, FAO. [www.fao.org/3/bl182e/bl182e.pdf](http://www.fao.org/3/bl182e/bl182e.pdf)

Shocks can disrupt agrifood systems and rapidly push households into poverty and food insecurity. Their differentiated impact on the livelihood assets of different categories of households and individuals (poor, poorest) should be carefully analysed to identify their coping capacities and future resilience. FAO defines resilience as "the ability to prevent disasters and crises as well as to anticipate, absorb, accommodate or recover from them in a timely, efficient



and sustainable manner. This includes protecting, restoring and improving livelihoods systems in the face of threats that impact agriculture, nutrition, food security and food safety" (FAO, 2018b). Resilience of rural households and communities can be built through taking measures to avoid (prevention) or limit (mitigation and preparedness) the adverse effects of hazards and to provide timely and reliable hazard forecasts, that is, disaster risk reduction (FAO, 2018b). More details are provided on how to assess and manage social risks and adverse impacts under Task 2 in Module 3.



**Figure 4**  
**Vulnerability**

SOURCE: Authors' own elaboration.

The analyses above are instrumental in understanding poverty dynamics, for example, whether poverty is chronic or transient and whether poor people/ households move in and out of poverty conditions under different periods and as a consequence of specific shocks. Box 15 provides some quick guidance on assessing poverty dynamics across the following classification socioeconomic groups:

**chronic poor** – people or households whose level of consumption in the long term lies below the poverty line;

**persistent poor** – the chronic poor who never escape from poverty;

**transient poor** – those who are poor in some periods, but not on average; and

**the never poor** – those who never fall into poverty (FAO, 2003).



## ANALYSING THE DYNAMIC NATURE OF RURAL POVERTY

Understanding the dynamics of moving in and out of poverty, requiring an examination into why and how household vulnerabilities vary and what features and coping strategies are key to building their resilience and livelihood base.

### Carry out a stratification of population:

- ✦ Population stratification by relative wealth or livelihood security; households may be identified as living in "upper," "middle," or "lower" economic conditions by consensus in their own village.
- ✦ Comparisons of households with different wealth levels to analyse the process of socioeconomic differentiation and to explain why some households manage to get rich while others remain poor.

### Pay attention to the process of impoverishment, distinguishing between:

- ✦ Factors that exert a constant, downward spiralling "screw" effect on household incomes (e.g. repeated crop failures, successive years of drought, collapsing producer prices, perpetuated social exclusion and exploitative practices).
- ✦ Immediate precipitating factors that trigger the fall into poverty (e.g. natural calamities, illness or death of main breadwinner).

### Propose responses to escaping from poverty:

- ✦ Mechanisms that enable households to start a process of capital accumulation.
- ✦ Strategies used by non-poor households in the area – and could be replicated.
- ✦ Removal of specific barriers and constraints that could contribute to breaking the poverty cycle.
- ✦ Address systematic practices of exploitation, to ensure participation of those living in poverty and who are vulnerable, takes place on remunerative rather than on extractive terms.

SOURCE: Author drawing from FAO. 2011a. Social analysis for agriculture and rural investment projects. Practitioner's guide. Rome. [www.fao.org/3/b1182e/b1182e.pdf](http://www.fao.org/3/b1182e/b1182e.pdf)



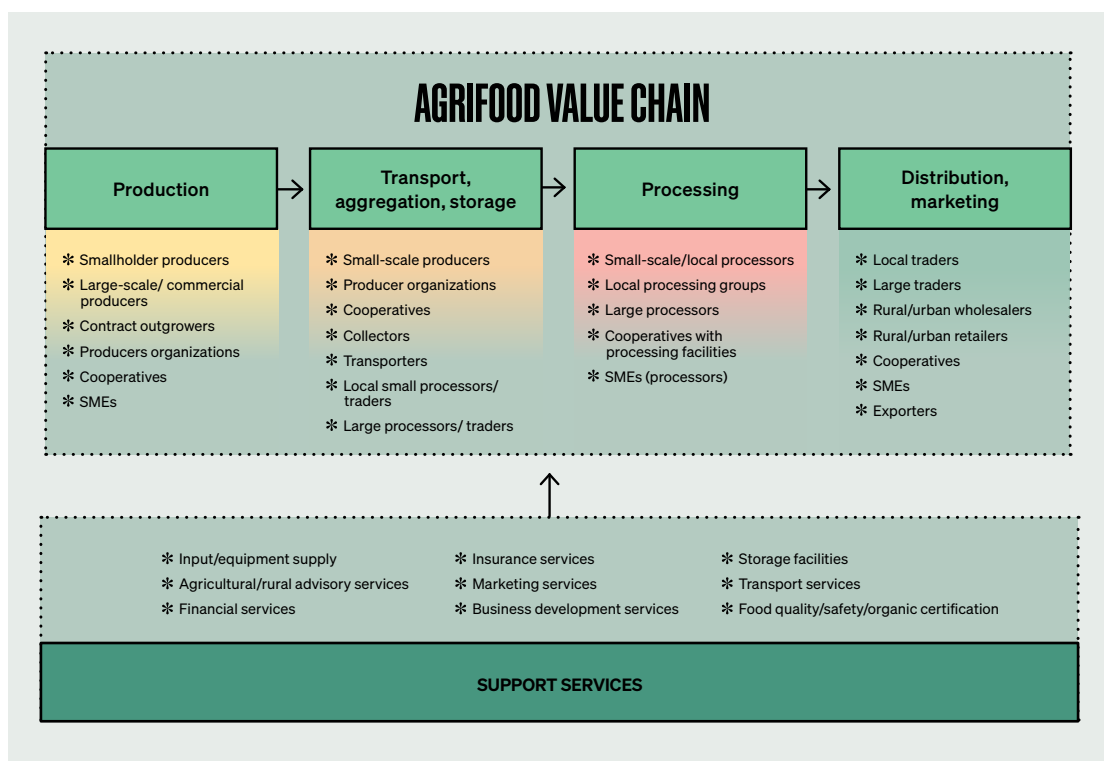
### **Agrifood value chains mapping**

Rural livelihood strategies should be analysed within the dynamic context of agrifood systems, where diverse actors have different roles and competing interests (National Academies Press, 2015). Given the time available to practitioners and data constraints, the mapping of agrifood value chains cannot be detailed or exhaustive, but it should focus on factors of inclusivity and social sustainability, involving the following tasks:

- ✦ *mapping the key value chain actors* (public and private), particularly small-scale actors at each segment of the supply side of the agrifood chain, and the activity they perform, or the service they provide. Some actors may be engaged in more than one segment. Small-scale actors and poor people can be found across the entire chain (See Figure 5);
- ✦ *assessing the assets, skills and socioeconomic factors* (e.g. gender, ethnicity, location, age) that affect people's entry and participation in the chain, and the implications for different social groups;
- ✦ *assessing the constraints* faced by small-scale actors and poor rural people, including entry barriers they face (e.g. costs of membership in producer associations, required collateral for loans, required assets, technologies and skills for training); food losses at post-harvest; or unavailability of transportation to reach urban markets. Specific attention should be paid to gender-based constraints, such as mobility restrictions, and women's workloads that may impede their participation in the agrifood chain or even add to their workloads;
- ✦ *assessing risks*, for example poor labour conditions, unequal distribution of benefits, adverse impact on or exacerbating social exclusion of certain groups; identifying the key public and private service providers, some of which may also be actors in the chain, such as input dealers (e.g. seed producers), providers of financial services, traders, transporters, and so on;
- ✦ *exploring the relationships* between the actors in the agrifood chain, particularly: (i) horizontal linkages (collaboration or competition within one segment of the chain, such as between producers or processors) and their organization (e.g. into groups, associations, cooperatives, platforms or SMEs) and (ii) vertical linkages (dynamics across different segments of the chain, for example between producers and processors or processors and buyers, which may entail inputs or service provision, information exchanges, price determination, business arrangements such as contract farming). Assessing access to social protection services that promote economic inclusion and environmental sustainability by providing adequate and timely benefits, social protection programmes/policies can reduce vulnerability and help manage risk in the short-term, while strengthening the economic inclusion of value chains in the long term, through diversifying income sources, increasing access to inputs and markets, and building human capital.

Reference Tool 15 provides some guiding questions for inclusive and gender-sensitive value chain selection.

On the basis of this analysis, potentially inclusive, resilient and nutrition-sensitive agrifood chains will be selected, through inter-disciplinary consultations with other subject matter specialists (agronomists, value chain experts). From a social analysis and poverty targeting standpoint, it is important to ensure that value chain selection criteria do not only focus on agroecological suitability, productive or market potential, or alignment with government priorities, but that they also take into consideration the poverty targeting dimension. It is crucial for the sustainability of selected value chains that they are based on a market proof business model and they reach competitiveness. At the same time, it is important that they offer maximum livelihood options for poor smallholders and other small-scale actors, while prioritizing local or indigenous chains that have nutritional value, are climate-smart, and require little land and capital investment.



**Figure 5**  
**Mapping actors in a generic agrifood chain (supply side)**

SOURCE: Author's own elaboration.

- 8 Indigenous Peoples' food systems are distinctly different from this dominant conceptualization of the agrifood value chain. Indigenous Peoples' food systems emphasize circularity, and comprise many ways of obtaining, preparing, storing and sharing, which practitioners need to explore and understand through a focused analysis (see a more detailed description on pp. 35-36).



### 3.1.2 GENDER ANALYSIS

Gender analysis examines the different and multiple social roles and responsibilities of women and men (including girls and boys) in target areas of investment. It focuses on their differentiated access to and control over resources; their knowledge base and access to information and services; and their involvement in decision-making processes and leadership roles in local institutions, organizations and networks. By including a thorough gender analysis at the design stage, a project is better able to identify and address gender gaps and inequalities as a basis to support activities that promote gender-equitable outcomes and benefits. As noted in FAO's State of Food and Agriculture 2010–2011, women suffer more disadvantages compared to men in most rural communities worldwide. Gender analysis therefore typically focuses primarily (but by no means exclusively) on barriers to women's economic and sociopolitical participation and empowerment.

For the social analyst, it is important to remind team members and other stakeholders that gender refers to the culturally constructed identities of women and men (unlike sex, which refers to a biological trait). The differentiated expectations, behaviours, relations and roles of women and men in rural communities are shaped by gender norms, that are highly context-specific, dynamic, and changeable over time. Changes in gender roles often occur in response to evolving economic, natural or political circumstances, including development efforts. It is also important to underline that gender identities – hence relevant social roles and expectations – are heavily influenced by factors such as age, class, race, ethnicity, sexual orientation, religion and the geographical, economic and political environment (see Box 17 on intersectionality with gender and Figure 8 on intersectionality more broadly).

A collection of 12 sectoral and thematic gender checklists are accessible through the link [here](#) to help practitioners with gender analysis.

#### BOX 16

### GENDER ANALYSIS

It is the analysis of a social process or phenomenon from the point of view of the roles played by men and women. Key issues include the division of labour (productive and reproductive activities), access to and control over resources and benefits, and social, economic and environmental factors that influence both of the above.

SOURCE: IFAD. 2012a. Gender Equality and Women's Empowerment. Policy. Rome.  
[www.ifad.org/documents/38711624/39417906/genderpolicy\\_e.pdf/dc871a59-05c4-47ac-9868-7c6cf-c67f05c?t=1507215182000](http://www.ifad.org/documents/38711624/39417906/genderpolicy_e.pdf/dc871a59-05c4-47ac-9868-7c6cf-c67f05c?t=1507215182000)



## INTERSECTIONALITY WITH GENDER

Intersectionality is a way of thinking about identity and its relationship to power. People's lives are shaped by their identities, relationships and social factors, which combined, to create advantages and disadvantages. Intersectionality is the acknowledgement that everyone has their own unique experiences with discrimination and oppression and we must consider everything and anything that can marginalize people – gender, race, class, sexual orientation, physical ability, etc. Social factors such as patriarchy, ableism, colonialism, imperialism, homophobia and racism affect individuals.

SOURCE: UNPRPD (Partnership on the Rights of Persons with Disabilities) and UN Women. 2021. Intersectionality resource guide and toolkit. An intersectional approach to leave no one behind. [www.unwomen.org/sites/default/files/2022-01/Intersectionality-resource-guide-and-toolkit-en.pdf](http://www.unwomen.org/sites/default/files/2022-01/Intersectionality-resource-guide-and-toolkit-en.pdf)

Women and men are not homogeneous groups. In addition to gender, they can be subject to other forms of social discrimination, for example on the basis of race/ethnicity, religion, sexual orientation, marital or socioeconomic status, age, disability, etc. For example, being a young woman from an ethnic minority group may carry a triple burden of social marginalization and exclusion to the person. Policies and programmes should take these “intersectional” forms of discrimination into account and take special measures to address them effectively.

SOURCE: FAO Term Portal/FAO, Strengthening sector policies for better food security and nutrition results, 2017.

Drawing on the information available from the country strategic framework (see Module 2 task 1) and other sources, the first step of the gender analysis involves a rapid scan of:

- \* the **socioeconomic context**, looking at the national indicators and exploring the drivers of inequality (see Field guide, under Review of Secondary Data – Module 1);
- \* the **legal, policy and institutional framework**, including:
  - existing policies related to gender equality and women's empowerment;
  - sectoral policies incorporating gender issues;
  - policies related women's land tenure and inheritance rights, education, labour rights and employment standards, health, under-age marriage, and GBV;
  - key ministries/line departments responsible for gender and women issues...).



- \* **(sub)sectors or thematic areas** of special relevance to the project from a social/gender perspective (e.g. livestock sector, poultry sub-sector, fisheries, value chains).

As a second step, the gender analysis will examine:

- \* **access to and control of resources:**
  - women's and men's access to and control over productive and household assets;
  - women's and men's main sources of income and items of expenditure;
  - women's and men's control of income and benefits from different livelihoods sources, savings and financial resources;
  - women's and men's access to and use of rural finance, and (digital) technologies.
- \* **gender roles, responsibilities and division of labour in agrifood systems:**
  - typical men's and women's crops, livestock, fisheries and forestry activities and in the off/non-farm sectors;
  - existing workloads and time use of women and men in productive and reproductive roles (time-use surveys may be available to consult); and
  - access to and use of labour-saving technologies and practices (see Box 18), by women and children in particular.
- \* **access to and participation in agrifood chains:**
  - women's and men's participation at each stage of the agrifood chain;
  - employment and/or entrepreneurial opportunities for women and men throughout the chain;
  - any barrier for women to participate in the agrifood chain (e.g. mobility or cultural restrictions, heavy workloads, lack of skills, lack of start-up capital);
  - women's and men's equal sharing or benefits from the agrifood chain.
- \* **access to nutritious, affordable and diversified foods:**
  - intra-household food allocation;
  - any barrier to access food by specific socioeconomic groups of women;
  - women's food processing, preparation and storage practices.

- \* **skills, knowledge and information:**
  - women’s and men’s production priorities and needs in agricultural research and technology transfer activities;
  - women’s and men’s access to (gender-sensitive) agricultural and rural advisory services, extension systems, business development services, training and capacity building opportunities;
  - women’s and men’s access to information (e.g. financial, market, climate) and to nutrition education, gender sensitization, GBV;
  - prevention and awareness raising;
  - women’s and men’s access to disaster risk preparedness and management information and training.
  
- \* **gender roles in decision-making:**
  - women’s and men’s participation in decision-making at household and community level;
  - women’s and men’s membership and/or representation in local government, producer and CBOs;
  - women’s and men’s access to leadership positions in local government, producer and CBOs and decision-making bodies;
  - capacity building of women as members and leaders of organizations.
  
- \* **priorities, needs, opportunities, and challenges:**
  - main problems faced by households and communities, as seen by women and men;
  - main opportunities and priorities, as seen by women and men;
  - main challenges at household and community levels, as seen by women and men.
  
- \* **intersectionality with gender:** age, ethnicity, marital status, health status, disability, socioeconomic condition, and others, which may exacerbate inequalities, social exclusion and poverty (See Box 17 and Figure 8).

Reference Tool 16 provides some examples of indicators to assess gender-discriminatory norms.



## LABOUR-SAVING TECHNOLOGIES/ PRACTICES

Technologies/practices that address specific labour constraints and can reduce the time and effort needed in carrying out specific tasks.

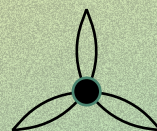
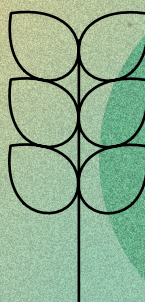
Examples of labour-saving technologies include:

- ✦ Mechanization (shellers, drum seeders, weeders, jab planters; food processors).
- ✦ Inputs (drought resistant seeds; trees for woodlots).
- ✦ Infrastructure (milk coolers, rainwater harvesting reservoirs; biogas units; improved stoves; livestock pens).
- ✦ Transport (animal or energy-based: bicycles or carts).
- ✦ Mobile technology with apps for service provision (veterinary, weather, insurance).

Examples of labour-saving practices include integrated practices that support women's work with improved inputs and management processes (integrated pest management; watershed management; land management) such as:

- ✦ Agroforestry.
- ✦ Crop/livestock.
- ✦ Rice-fish.
- ✦ Fish-livestock.

SOURCE: FAO. 2019a. Fostering the uptake of labour-saving technologies and practices. Rome. [www.fao.org/3/CA2731EN/ca2731en.pdf](http://www.fao.org/3/CA2731EN/ca2731en.pdf)



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## WOMEN'S ACCESS TO AND CONTROL OVER ASSETS

Although women may have access to a wide range of assets required to fulfil their tasks within the home and community, they may exercise full control over only a few – usually those most closely associated with their domestic roles (e.g. cooking utensils and hand-operated maize mills) and basic technologies (e.g. hand hoes).

There are also differences between women and men regarding their control over the benefits of production. This partly reflects men's and women's labour input within an enterprise, but it also reflects the use of produce in the home or for sale, cultural norms regarding women's and men's enterprises, and the dominance of men as the household head and, consequently, their entitlement to the most important resources like land.

Decision-making, both within the household and within the public arena – such as enterprise groups, community decision-making bodies, district and regional committees, apex bodies – often reflects gender roles. Men are more likely to belong to productive as well as social associations and assume leadership positions, whereas women tend to belong to a narrower range of associations reflecting their household and community roles.

SOURCE: Authors, based on FAO. 2011a. Social analysis for agriculture and rural investment projects. Practitioner's guide. Rome. [www.fao.org/3/b1182e/b1182e.pdf](http://www.fao.org/3/b1182e/b1182e.pdf)

### 3.1.3 YOUTH ANALYSIS

Young people are generally defined based on age. However, depending on countries and contexts, a person can be defined as young based on other criteria, such as biological change; cultural or religious rituals; ethnical or tribal traditions; educational, employment or marital status; affiliation to groups or institutions. While in this guide the UN definitions for youth and children are used (see footnote under Task 2 Module 2), the specific criteria could also be identified that may be used locally to shape the youth identity.

Secondly, young people are not a homogenous group, hence the analysis should also examine gender, ethnicity, disability status, marital status, socioeconomic status and location (living in rural or urban areas). For example, being a young woman from an ethnic minority group often carries a higher risk of social exclusion and marginalization.



The youth analysis, which complements the gender analysis, involves:

- drawing from and/or complementing the country strategy and/the overall assessment, describing the legal, policy and institutional framework related to youth issues, including cross-sectoral strategies;
- Profiling of youth, based on two main **age segments**: ages 15–17, and ages 18 and above (see Box 20). Youth in the 15–17 age bracket may risk being overlooked in programmes, however it is critical to invest in them as they represent the future of the rural communities. Profiling youth and the main sub-groups, including those more likely to be marginalized or stigmatized: illiterate or out-of-school people; unemployed youth; young women and girls (including pregnant and lactating women); orphans; children heads of households; young people with disabilities or chronic diseases; young people from ethnic minorities/ Indigenous communities; lesbian, gay, bisexual, transgender, and intersex (LGBTI) youth; and young migrants, refugees or displaced persons;
- outlining the engagement of young men and women in the agrifood system, particularly in the sectors/subsectors in focus in the project, both at formal and informal levels, including: i) self-employment, wage employment, seasonal employment; ii) engagement in the supply chain and at which stage(s); and iii) what kind of activities /on-farm, off-farm or non-farm are performed;
- assessing young people's participation in youth groups, exchange groups, advocacy groups and CBOs with different kind of interests and activities;
- assessing young people's opportunities and challenges in socioeconomic empowerment, including in terms of:
  - access to education, vocational education and training and/or participation in incubation programmes, technical and vocational education and training (TVET), Farmer Field Schools (FFS), Farmer Business Schools (FBS) and Junior Farmer Field and Life Schools (JFFLS), as described in Box 21, public and private sector's programme aiming to enhance young people's skills and employability;
  - access to land, assets, financial services, digital solutions, training, skills-development opportunities and information, particularly for young women and girls;

- access to decent and profitable employment opportunities – both self-employment, wage employment and rural entrepreneurship;
  - membership, employment or leadership in producer groups, associations or cooperatives and in SMEs;
  - food allocation at household level, including any bias against young women and level of awareness on the importance of a diversified and nutritional diet.
- Identifying risks and vulnerabilities, including:
    - exposure to poor or hazardous labour conditions, including child labour (see Box 22);
    - excessive burden of household chores, restrictions on personal freedom and mobility, and exposure to sexual harassment and GBV for young women and girls in particular; and
    - child or under-age marriage, especially for girls.
  - identifying any national or other donor programmes or social protection schemes targeting young people the project can link up/build on;
  - Identify specific opportunities to enhance youth access to appropriate digital solutions provided by private sector companies.

## BOX 20

### YOUTH

For statistical purposes at global level, practitioners can follow the UN youth age-frame (15–24). However, at operational level in countries, they need to follow the specific Member Countries’ youth definition.

Special attention should be paid to the needs of younger youth who are still minors (age-frame 15–17). Although they might have reached the legal working age (around 14–15 in most countries), they are still within the “child” age-frame definition and hence under legal protection as per the United Nations Convention on the Rights of the Child, which is a legally-binding international agreement.

SOURCE: Author’s own elaboration.



## BOX 21

### JUNIOR FARMER FIELD AND LIFE SCHOOLS

Focus on both agricultural and life skills, but specifically target children and young people. JFFLS was developed in response to the increasing number of orphans and vulnerable children due to HIV/AIDS impact. Participating young people and children acquire agricultural and entrepreneurial skills, but also focus on life skills, including self-confidence and problem-solving. Through songs, theatre, dance and role-playing, JFFLS also deals with a number of other integrated and sensitive topics that affect youth, such as gender roles, land property rights, child labour, GBV, etc.

SOURCE: FAO. 2022. Global Farmer Field School Platform. Youth and Junior Farmer Field and Life Schools. Rome. [www.fao.org/farmer-field-schools/ffs-overview/youth/en/](http://www.fao.org/farmer-field-schools/ffs-overview/youth/en/)

## BOX 22

### CHILD LABOUR AND CHILD MARRIAGE

**Child labour** is work carried out by children under the minimum legal age, to their detriment and endangerment, in violation of international law and national legislation. It is still one of the main causes for students missing school, or it forces children to assume the dual burden of schooling and work. The worst forms of child labour involve slavery, prostitution or engagement in illicit activities as well as exposure to hazards or unsafe working conditions. International conventions stipulate that in developing countries children should be 14 years old and must have completed their compulsory, basic education to work full-time. Hazardous work is only allowed from the age of 18. From the age of 12/13 years children can work part time, outside school hours, in non-hazardous work. Child labour is often associated with under-age or child marriage, as young brides are most likely to drop out of school to carry out domestic work.

According to UNICEF, **child marriage** refers to any formal marriage or informal union between a child under the age of 18 and an adult or another child. While it applies to both boys and girls, child marriage is often the result of profound gender inequalities, where girls are disproportionately affected. Child marriage negatively influences children's rights to education, and threatens their health and well-being. Children who are married, particularly girls, are more likely to be out of school and not to have access to employment or income-generating opportunities. Married girls are more likely to experience domestic violence and become infected with HIV/AIDS. They are also more likely to have children and have higher risks of complications during pregnancy and childbirth, for themselves and their children.

SOURCE: FAO. 2020b. FAO Framework on Ending Child Labour in Agriculture. Rome. [www.fao.org/3/ca9502en/ca9502en.pdf](http://www.fao.org/3/ca9502en/ca9502en.pdf); FAO2020c. Gender dimensions of child labour in agriculture. Background paper. Rome. [www.fao.org/3/ca9502en/ca9502en.pdf](http://www.fao.org/3/ca9502en/ca9502en.pdf); UNICEF: Ending child marriage and adolescent empowerment: [www.unicef.org/india/what-we-do/end-child-marriage](http://www.unicef.org/india/what-we-do/end-child-marriage); <https://www.unicef.org/protection/child-marriage>



### 3.1.4 ANALYSIS OF INDIGENOUS PEOPLES AND ETHNIC MINORITY GROUPS

If applicable, the social analyst will undertake a rapid analysis of the country's situation with respect to the presence of Indigenous Peoples and/or ethnic minorities, regardless of whether or not they are formally recognized. Generally, these groups have their own distinctive cultural, social and customary governance systems and live in remote, fragile, marginal locations, often separate from mainstream communities. However, it may also happen that some of these groups live together with the rest of society, while maintaining certain distinct practices and lifestyles.

This analysis mainly involves examining:

- the presence of Indigenous Peoples or ethnic minorities in the country and their recognition in the national legislation and normative frameworks, as per the United Nations Declaration on the UNDRIP in the case of Indigenous Peoples;
- the main distinctive characteristics of the Indigenous Peoples and ethnic minorities, if more than one group exists;
- Indigenous Peoples and ethnic minorities' relationship of social, cultural, economic nature with existing or nearby communities (even if conflictual);
- Indigenous Peoples access to ancestral territories and communal natural resources (including land, forests, lakes and seas) and their use or ownership rights over them (generally, they are collective rights);
- Indigenous Peoples territorial and ecological management practices linked to their traditional knowledge systems (e.g. fallow practices, adaptation practices, native seed systems, shifting cultivation...) and whether and how these are sustainable, leading to ecosystem protection and biodiversity conservation (see Box 23);
- Indigenous Peoples' food systems and livelihoods strategies (also mobile and semi-mobile ones), such as hunting, fishing and farming, fishing, gathering); the use of native seeds and breeds, non-forest timber products, wild, semi-domesticated and domesticated species of plants for food and medicine, and neglected and underutilized species;
- current food consumption and preferences (e.g. local foods based on traditional crops and breeds or highly processed and imported foods), including among the younger generations;
- existing traditional safety nets and solidarity mechanisms based on social organization and customary governance systems;
- if in the past or recent history there has been any encroachment of external actors (such as large-scale agricultural investments, extractive industry) leading to the reduced availability of land or even forced displacements;



- whether there is any government directive restricting Indigenous Peoples' access to their ancestral territories (usually for environmental protection and preservation);
- whether the Indigenous Peoples' rights and good practices for other communities are respected *vis-à-vis* investments in agrifood systems;
- whether due to these adverse impacts on their territories and livelihoods, Indigenous Peoples resorted to unsustainable natural resource management and farming practices;
- any other change or adverse impact occurred on Indigenous Peoples' traditional food systems, livelihoods and/or territories and the reasons behind that (climate change; loss of biodiversity; shift to market-oriented activities; changes in food habits towards imported, highly processed foods; decline in traditional knowledge transmission; youth migration; mechanization and introduction of new technologies and inputs in agriculture and fisheries).

## BOX 23

### TOOLS TO INCLUDE IN ANALYSIS OF INDIGENOUS PEOPLES

The identification, monitoring and conservation of agrobiodiversity (animal/plant/seeds) is key to preserving indigenous food systems. These tools can be helpful during social analysis at the design stage:

- ✚ Participatory Mapping (GIS) for Agrobiodiversity-local names identification
- ✚ <http://food.berkeley.edu/wp-content/uploads/2017/10/Agro-Biodiversity-Hotspots-in-Urban-Food-Deserts-Web-1.pdf>
- ✚ Payments for Agrobiodiversity Conservation Services (PACS)  
<https://ageconsearch.umn.edu/record/117623/>
- ✚ <https://www.slideshare.net/BioversityInternational/payments-for-agrobiodiversity-conservation-services-towards-an-instrument-for-environmentally-effective-costefficient-and-socially-equitable-agrobiodiversity-conservation-36012107>
- ✚ Indigenous Vegetables. [www.fao.org/sustainable-food-value-chains/library/detail/es/c/1371414/](http://www.fao.org/sustainable-food-value-chains/library/detail/es/c/1371414/)



The key principles to be aware of when working with Indigenous Peoples have been summarized.



## **WORKING WITH INDIGENOUS PEOPLES**

Seven key principles are presented here to help practitioners understand Indigenous Peoples' rights and tools to support their implementation. Further guidance materials are included in the reference section of this guide under 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. Consent, once given, can be withdrawn at any stage during the life of a project.
- The budget of a project should ensure adequate resources for a FPIC process.

### **Indigenous Peoples are "rights-holders" (not only stakeholders).**

- Indigenous Peoples have rights that pertain to them, which are different to other stakeholders.
- There is a risk of non-recognition of Indigenous Peoples in the country of implementation of the project. When Indigenous Peoples are referred to as ethnic minorities, local communities, smallholder farmers, rural populations, or any other denomination, it can lead to a lack of implementation of their rights.

### **Indigenous Peoples live in a situation of vulnerability because of systematic violation of their rights.**

- Indigenous Peoples are not vulnerable *per se*, they are put into situations of vulnerability because of the continuous violation of their rights.
- Having maintained for centuries a high level of biodiversity and healthy diets in their territories, they possess some of the answers for sustainability and resilience that humanity is seeking today. Indigenous Peoples are knowledge holders.

### **Indigenous Peoples territories host a myriad of ecosystems that support diverse food generation activities.**

- Indigenous Peoples often do not live in rural areas where agriculture is the dominant food production activity.



- Indigenous Peoples have a strong connection with the ecosystems in their territories, and their livelihoods are based on a mosaic of food generation activities that go beyond crop production, including hunting and gathering, nomadic pastoralism, and fishing.

**Indigenous Peoples’ food systems are distinct from dominant conceptualizations of “food systems.”**

- Indigenous Peoples’ food systems hold unique characteristics that are distinct from linear value-chains food systems.
- Understanding, acknowledging and respecting these differences is critical, in particular in the context of projects that may affect their food systems directly or indirectly.
- Integrity and access to their territory, lands, waters and natural resources is the first driver of food security for Indigenous Peoples. It needs to be guaranteed through their territorial rights, and supported through their food generation activities, traditional knowledge systems, and associated culture, spirituality and cosmogony.

**Indigenous women face higher risks of discrimination compared to non-Indigenous women and Indigenous men.**

- Indigenous women and Indigenous youth play a crucial role in the food systems.
- Indigenous women face a triple burden of discrimination due to being indigenous, female and living in a situation of poverty.
- Indigenous women have been particularly exposed to serious forms of GBV (such as forced sterilization; trafficking and sexual violence) in the context of displacement, migration of conflict.
- Gender and age disaggregated data must be used, to the extent possible, to address the specific issues of Indigenous women and youth.

**Development interventions have harmed – and are still harming – Indigenous Peoples’ food systems and their nutritional outcomes.**

**How to address this:**

- Applying the principle of “Nothing about Indigenous Peoples without Indigenous Peoples” at all stages of the investment cycle is key. Participation must take place through the Indigenous Peoples’ own governance systems and decision-making processes.
- Through their traditional knowledge and practices within the rich biodiversity of their territories, Indigenous Peoples can provide sustainable investment solutions to some of today’s key environmental challenges. They should be involved in all stages of the investment cycle, following the FPIC principles.
- Indigenous Peoples’ knowledge needs to be respected following principles of intellectual property rights and the application of FPIC.
- Indigenous Peoples must be given a choice regarding sharing their knowledge.

SOURCE: Author’s own elaboration.



### 3.1.5 ANALYSIS OF COMMUNITY INSTITUTIONS

This analysis entails identifying and assessing rural institutions and CBOs, looking in particular at their inclusiveness and pro-poor focus.

**Rural institutions and organizations** can be both formal and informal. Using North's definition (Herbel *et al.*, 2012) they are distinct in that institutions are the "rules of the game" while organizations are the "players of the game" (See Table 2).

**Table 2**

**Examples of rural institutions and community-based organizations (formal/informal)**

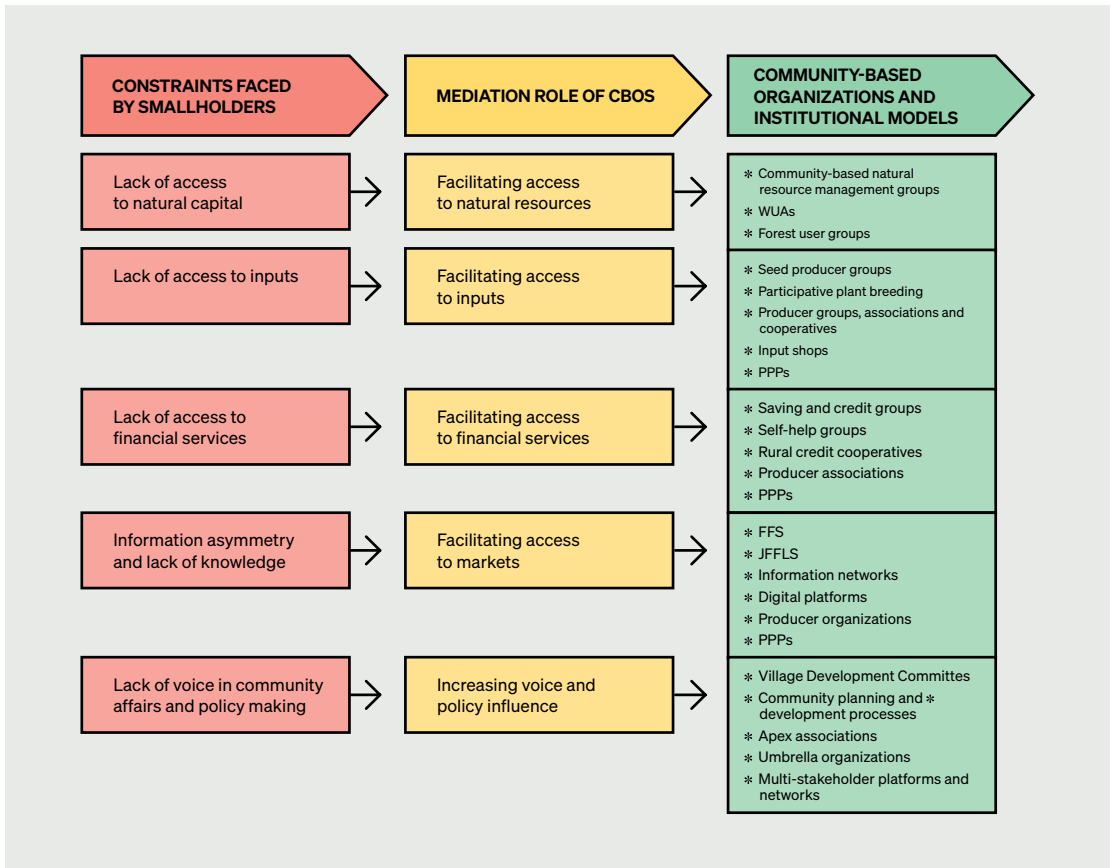
	Institutions ("rules of the game")	Organizations ("players of the game")
<b>Social and cultural</b>	Families, kinship, marriage, inheritance, religion, beliefs, value system, customs, traditions, gender roles, land tenure systems, power dynamics at household and community level.	Solidarity groups, mutual-assistance groups, exchange labour groups, rotating savings groups, self-help groups, women groups, youth groups.
<b>Political</b>	Policies, norms, rules, regulations, constitutions, laws.	District/local-level public institutions; village, municipality and district councils and development committees.
<b>Economic and natural resource management based</b>	Land rights, tax system, market systems, value chain systems, natural resource regulations.	Rural SMEs, private companies, micro-finance institutions and banks, markets; community-based financial organizations such as self-help groups, rotating and savings groups, rural credit cooperatives.  Producer groups and agricultural/rural cooperatives (i.e. crop, livestock or fisheries).  Forest, land or water management committees, such as water user associations (WUAs), or land administration groups.

SOURCE: FAO. 2011a. Social analysis for agriculture and rural investment projects. Practitioner's guide. Rome. [www.fao.org/3/b1182e/b1182e.pdf](http://www.fao.org/3/b1182e/b1182e.pdf)

When well-managed and well-governed, rural institutions and organizations can be powerful platforms to reduce rural poverty and to foster sustainable development, while bringing about institutional and social change, gender transformation and community empowerment. For example, equitable gender roles at household and community levels can enhance women's access to food and education, control over assets (including financial resources) as well as their voice and power. CBOs can provide a wide range of assets and services to their members (such as technologies, inputs, credit, and equipment), which are often out of their reach. Conversely, poorly performing CBOs (that is, due to political interference, poor governance structures or inefficient management) can do considerable harm to social capital and perpetuate inequalities.

Figure 6 illustrates the mediating role that mature CBOs can play to respond to smallholders' constraints in accessing assets, resources, services and opportunities.

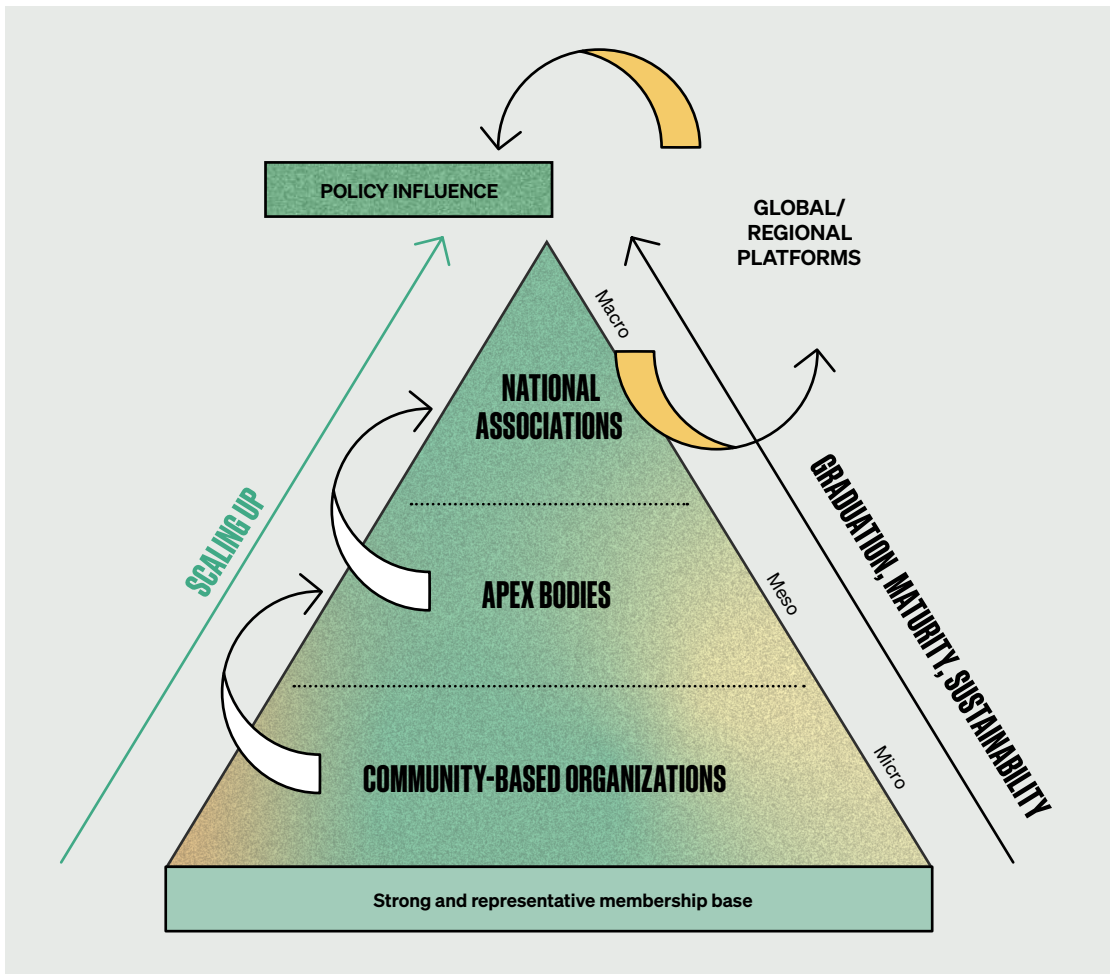




**Figure 6**  
**Smallholders' constraints and mediating roles of CBOS**

SOURCE: Authors, based on: Herbel, D. et al. 2012. Good Practices in Building Innovative Rural Institutions to Increase Food Security. FAO and IFAD. Rome. [www.fao.org/3/a-i2258e.pdf](http://www.fao.org/3/a-i2258e.pdf)

Figure 7 shows how investing in CBOs can support their process of maturity and graduation to higher levels of independence and sustainability. With a strong and representative membership base, well-developed CBOs can facilitate small-scale actors' access to markets by linking them effectively to private businesses and helping them accrue economies of scale. At the same time, by aggregating into higher-tier apex bodies (at the meso-level) and ultimately to national associations (at the macro-level), CBOs can influence policies and contribute to building an enabling environment for the benefit of their members.



**Figure 7**  
Vertical aggregation of CBOs

SOURCE: Authors' own elaboration.

To assess existing formal and informal institutions and CBOs, project designers should review secondary data (such as ongoing or previous projects, from NGOs or local/district officers). During field investigations, a quick scan of community-level institutions can be carried out, to be elaborated in-depth during the baseline survey or early implementation stage. Specifically, institutional analysis at community level entails the following (see reference Tool 2 in this guide for Indicators to assess CBOs).



See also Field guide tools 5 and 6 (relevant for stakeholder analysis):

- map out formal and informal groups that are present in the community;
- select representative groups with different characteristics and for each of those collect information about:
  - years of existence and, if applicable, of registration/ formalization;
  - main functions (e.g. provision of credit and savings services;
  - bulk purchase of inputs and marketing; management of common property resources, etc.);
  - linkages with the private sector;
  - membership base and leadership (disaggregated);
  - membership trends (increasing/decreasing or stable);
  - level of inclusiveness; and
  - operational status (active or not);
  - financial resources and any external assistance received (financial, training, capacity building);
  - activities performed (only for members and/or more broadly for the community).
- for active groups, assess their development or maturity stage and sustainability, based on key indicators, namely: membership base, governance, internal management, financial sustainability, service delivery, external relations and linkages;
- assess any horizontal and vertical aggregation.

### **3.1.6 STAKEHOLDER ANALYSIS**

Stakeholder analysis identifies the main stakeholders (namely institutions, agencies and individuals) that can influence, or may be (positively or negatively) impacted by a development intervention in particular. This is helpful for identifying potential differences and conflicts among stakeholders and potential resistance and threats to proposed interventions. This type of analysis also sheds light on shared interests, partnerships and opportunities for collaboration among stakeholders towards meeting development objectives. Stakeholder analysis focuses on identifying different categories of stakeholders (see Box 24); their relative stake in a given intervention or project, programme or policy reform; the likely impact of the project, both positive and negative, on their livelihoods; and their relative power and influence over project outcomes. It is important to use a gender lens when carrying out a stakeholder analysis.

Stakeholders could be classified as:

- key stakeholders, or those that have a key interest in the project and can influence it;
- primary stakeholders, or those that are directly affected by the project, positively or negatively;
- secondary stakeholders, or those that have some interest but are not affected or affected directly;
- enabling agencies, generally governments;
- delivery agencies, generally private sector companies, service providers, NGOs, CSOs; and
- user/client agencies, which could be individuals or their organizations (IFAD, 2014a).

Some stakeholders from the above categories – especially among the enabling and delivery agencies – will be selected at the project design or early implementation stage, to act as implementing institutions, following a capacity assessment (see Task 4 in this Module).

## BOX 24

### EXAMPLES OF STAKEHOLDERS

- ✦ **The government.**
- ✦ **The donor(s).**
- ✦ **Intended target groups:** these can be vulnerable women, men or youth in remote households.
- ✦ **Indirectly affected people:** these can be people who may indirectly benefit from project interventions (e.g. through the development of community infrastructure), or people who may experience adverse impacts from the project (e.g. being displaced from their land due to dam construction).
- ✦ **Front-line development workers** (e.g. extension workers, NGOs and private service providers).
- ✦ **Private sector entities** interested in investing in the project area.
- ✦ **Other service providers** operating in the project area.

SOURCE: FAO. 2011. Social analysis for agriculture and rural investment projects. Practitioner's guide. Rome. [www.fao.org/3/bl182e/bl182e.pdf](http://www.fao.org/3/bl182e/bl182e.pdf)





## **TURNING ANALYSIS RESULTS INTO SOCIAL INCLUSION PROJECT STRATEGIES**

Translating the results of the analysis, described in the previous sections, into inclusive investment projects requires the formulation of targeting strategies and mechanisms, including specifically on gender, youth and Indigenous Peoples engagement, depending on the project's objectives and context. Social analysis results should be analysed, compiled and presented in the best possible way to present the choice of investment options and a definition of interventions that integrate social considerations throughout all project components and activities. To this end, the social analyst is also called upon to contribute to fine-tuning the project TOC, embedding pathways to achieve social inclusion, empowerment and transformation.

### **3.2.1 TARGETING STRATEGY AND MECHANISMS**

As investments have become more demand-driven, project design processes have changed with stakeholders participating actively together with service providers and technical assistance to identify the priorities and interventions that will be most relevant to meeting countries' SDGs. Demand-driven agrifood system investments have also changed the way in which project target groups are identified, with communities and beneficiaries self-selecting on the basis of their interest and the strength of local initiative to access what the project offers along food value chains. Projects may have limited control over the participation of women, for example, because members of farmer groups are self-selecting. To address the risk of a disconnect between the stated target groups (such as poor smallholders) and actual project participants, targeting strategies usually include multiple mechanisms as a means of reaching beneficiaries and limiting errors of exclusion. Public information and communication campaigns have also become more important in demand-driven projects, to inform potential beneficiaries about the project and the steps they need to take to access the activities that interest them. Similarly, there is more emphasis on local institutional development (such as CBOs) and capacity building as vehicles for empowering small-scale actors and vulnerable groups to participate and benefit.

In this context, the social analyst contributes to a number of targeting tasks, depending on the type of investment project: definition of the project target area ("geographic targeting"); identification and profiling of target groups for project interventions; and design of the targeting strategy and related mechanisms.

Reference Tool 6 presents examples of targeting strategy and mechanisms.

### **Define project target area**

The broad parameters of the project target area are often pre-defined in country strategies, based on the government's priorities and IFI's financing objectives. As illustrated in Box 9 (Module 2, Task 3), the criteria typically used are a mix of agroecological, economic, productive and/or market potential; and levels of poverty and vulnerability (see also Box 25). At the project design stage, teams would proceed to a more detailed definition of target areas for agrifood investments, following close consultation and consensus-building with government, extension officers, staff of ongoing or past projects, NGOs, and/or other development agencies present in the area.

Geographical selection criteria should be objective and data-driven, as far as possible.

A number of factors can contribute to appropriate area targeting, including economic growth, environmental impact or institutional capacity considerations. From the perspective of social impacts, the following conditions are most important to consider:

- there are opportunities for linking smallholder producers with private sector companies and/or there are private companies willing to invest in the area (in terms of outsourcing from small producers, infrastructure development, training and input provision, etc.);
- there are opportunities to develop or enhance rural-urban linkages;
- local communities have adequate skills and experience to take up project-proposed interventions (such as in terms of in crops, varieties, value chains, etc);
- logistics aspects, geographic proximity between areas or villages, and economies of scale;
- security or connectivity of the area including infrastructure; and
- absence of internal conflicts (e.g. over land, among farmers and pastoralists, etc.).



## BOX 25

### POVERTY INDICATORS FOR GEOGRAPHIC TARGETING

Indicators of poverty which are particularly useful for geographical targeting include:

**Incidence of poverty:** the percentage of people in a region or socio-occupational category whose per capita consumption is below the poverty line.

**Poverty density:** the absolute number of poor people in a region.

**Depth of poverty:** the extent of the gap between the average income and the poverty line.

SOURCE: Authors, based on FAO. 2011c. Social analysis for agriculture and rural investment projects. Practitioner's guide. Rome. [www.fao.org/3/b1182e/b1182e.pdf](http://www.fao.org/3/b1182e/b1182e.pdf)

## BOX 26

### COLLECTING DATA ON PROJECT TARGET AREA AND SELECTED SITES

- ✚ Total population.
- ✚ Number of villages.
- ✚ Number of (rural) households.
- ✚ Average household size and dependency ratio.
- ✚ Number and/or percentage of (rural) households classified as poor.
- ✚ Number and/or percentage of young people.
- ✚ Number and/or percentage of stunted or underweight children.
- ✚ Percentage of unemployment, seasonal/permanent migrants, and/or refugees/IDPs.
- ✚ Presence of Indigenous Peoples in the area.
- ✚ If applicable/available, percentage of persons with disabilities and affected by chronic diseases.

SOURCE: Authors, based on FAO. 2011c. Social analysis for agriculture and rural investment projects. Practitioner's guide. Rome. [www.fao.org/3/b1182e/b1182e.pdf](http://www.fao.org/3/b1182e/b1182e.pdf)



For the project area identification, it may be pertinent (if feasible and depending on the alternatives) to prioritize, areas where ongoing or recently closed programmes have been implemented. This can offer opportunities to build on an existing base, consolidate activities initiated and bring them to scale. These could include interventions that have helped strengthen the capacity of producer organizations and local NGOs, or introduced successful approaches to engage with communities, including gender transformative approaches (GTAs). It is also important to seek opportunities for linkages or partnerships with agencies that have a comparative advantage in highly specialized social areas (for example, those targeting specific groups, such as children or refugees; investing in social protection, infrastructure, education or water and sanitation; addressing GBV).

Using existing data from a number of sources at national, provincial, district, municipal and village levels (for example, poverty assessments, social registries or farmer registries, population censuses, UN reports, project completion reports or impact assessments), the social analyst will contribute to: (i) identifying the project target area; (ii) selecting specific project sites; and (iii) assessing the estimated number of (direct and indirect) beneficiaries, disaggregated as relevant.

Box 26 summarizes some core data that need to be collected on the project target area and selected sites.

Examples of project area identification conducted through field work are provided in Reference Tool 4. Box 27 includes an example showing how social analysis was instrumental in project area identification in the context of project design.



## EXAMPLE OF HOW SOCIAL ANALYSIS AT PROJECT DESIGN HELPED IDENTIFY TARGET AREAS AND PREVENT CONFLICT

A social analysis study was undertaken as part of the design process for a community-driven development project in Latin America, whose objective was to improve the livelihoods of about 100 000 rural people, living in the 500 poorest highland villages. The study included a close examination of social diversity in the project area and local institutions and leadership. It showed that, as per long-established traditional practice, the Indigenous communities living in the project area were organized in administrative units that did not match the official government-defined “village” units. The indigenous administrative unit – headed by a powerful and highly respected traditional leadership council – was often larger than the typical “village” and covered a larger geographical area, cutting across more than one village.

This finding highlighted a potential risk (not previously considered) of social conflict within those Indigenous communities that would likely find themselves split into two parts during the project’s village-selection phase. This risk was found to be very high, given that: (a) the selection of beneficiary villages was to be carried out by municipal authorities whose interest was to spread the scarce project resources broadly across the municipality, not necessarily targeting neighbouring villages; (b) local indigenous norms dictate that all families in a community must benefit indiscriminately from any assistance; and (c) over half of the project beneficiaries were Indigenous Peoples.

In response, several mechanisms were introduced into the project targeting strategy to ensure that clear criteria and guidelines for the selection and prioritization of beneficiary communities were in place, based not only on vulnerability ratings, but also on considerations of indigenous administrative boundaries. A requirement was also introduced to include both indigenous and municipal authorities in the village selection process. In addition, the project decided to opt for a system of direct transfer of funds to communities, without the intermediation of municipalities. This inevitably carried political implications, as well as adding the administrative burden of officially registering new social investment units under national law. Nevertheless, the project design team and national partners were convinced by the social analysis findings that without such measures in place, the project would fail to reach its stated objectives and carry social and economic costs that would be too high to justify.

SOURCE: Authors’ own elaboration.



### **Identify and profile project target groups**

The project target groups will be identified according to the project objectives and focus, based on their socioeconomic, poverty and food insecurity status, prioritizing groups that are particularly at risk of social exclusion and vulnerability to shocks. Considering the strong interdependence among different agrifood system actors of varying socioeconomic status, it is important to also include better-off stakeholders in the target group, who can bring about direct benefits to these prioritized groups, for example, through wage employment, or increased market access.

A menu of criteria for selecting priority target groups is provided in Box 28.

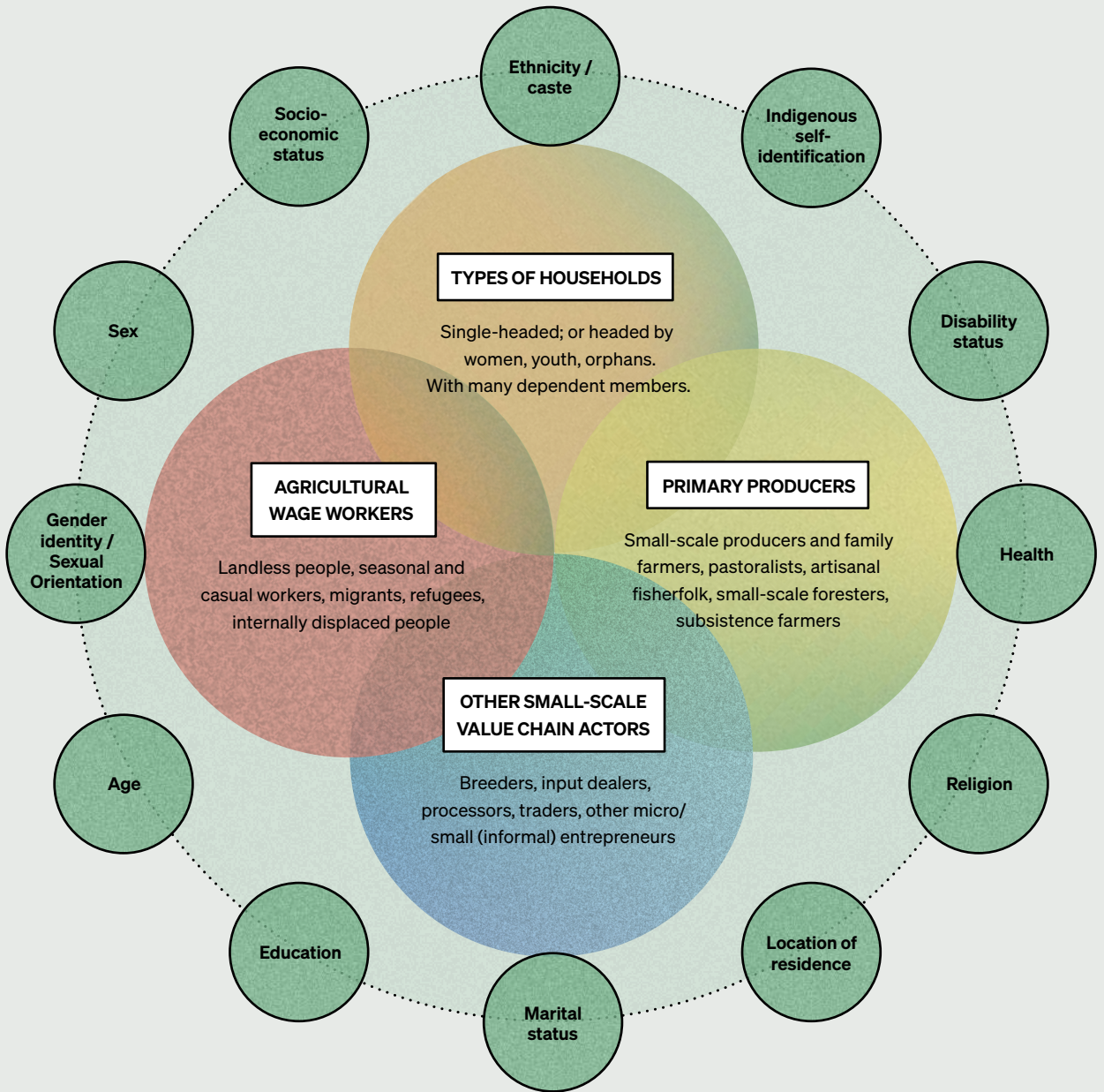
Based on the target group identification and depending on the project's focus, different groups can be targeted with different project activities, tailored to their priorities and needs. By using Module 2 Task 2 as a reference for target groups profiling, and a combination of field tools (Field guide), target groups can be described in some detail, each with relevant pathways for change as part of the overall project TOC. Box 33 at the end of this Section illustrates how pathways out of poverty and different project interventions can be formulated for specific target groups.

It is essential to bear in mind that target groups are rarely homogeneous and that different group characteristics can intersect with each other (see Figure 8). A group simply labelled “women” can face social discrimination based on a number of characteristics that go beyond gender alone, for example, race/ethnicity, religion, sexual orientation, socioeconomic status, age and disability. For example, being a young woman from an ethnic minority group or being a widowed smallholder female producer may carry a triple burden of social exclusion. Investment programmes must take these “intersectional” forms of discrimination into account and the necessary measures to address them effectively.

Where time and resources are available, rapid assessment surveys can be undertaken at design stage to identify target groups, making use of available poverty data in the concerned areas. The Field guide provides a number of qualitative tools that can be used in combination with surveys and other methods for this purpose.

It is important to note that the identification of target groups is not always the basis on which a project team can develop project activities. Key decisions regarding targeting in agrifood investments are often made before the involvement of the social analyst in the design process, as they are often linked to a pre-defined selection of value chains or other interventions negotiated with financial agencies, in alignment with country priorities and SDG targets. The challenge for the social analyst here is to seek out the best targeting mechanisms to ensure the maximum possible livelihood options and benefits to small-scale actors and vulnerable populations.





**Figure 8**  
Examples of target groups and their intersectionality

SOURCE: Authors' own elaboration.

## **Design targeting mechanisms**

The main targeting measures include: self-targeting; direct targeting; empowering measures; procedural measures; and enabling measures. Examples of the targeting strategy and mechanisms in the context of specific projects are provided in Reference Tool 6.

**Self-targeting** is achieved by providing goods and services that respond to the priorities, assets, capacities and livelihood strategies of the identified target groups, but which are of less interest to those who are better off. Self-targeting is more likely to be successful when development activities have been designed in conjunction with the poor themselves, around their needs, livelihood constraints and risks, and when the activities are perceived by the poor to be relevant and affordable. Box 28 provides some examples of self-targeting measures.

**Direct targeting** consists of setting eligibility criteria for different types of activities and interventions that are to be channeled to specific members of the community. Graduated packages with certain eligibility criteria tune the project activities to the specific conditions and contexts of different categories of the poor (such as the most vulnerable, poor and less poor) in order to broaden their opportunities for participation. Direct targeting measures that can be adopted are provided in Box 29.

Ideally, direct targeting should be carried out through community-based participatory processes whereby the choice of prioritizing vulnerable groups is made by the communities themselves, and facilitated by the project. In this approach, community-based wealth ranking can be used together with demographic criteria or other forms of predetermined or locally-determined eligibility criteria, such as women-headed households, households caring for orphans, child-headed households or households with members with disabilities.



## EXAMPLES OF SELF-TARGETING

- ✦ Select crops, livestock and agrifood chains that are suitable for women, youth, poor people and other vulnerable groups, focusing on those that have potential not only of economic returns but also of creating employment opportunities, enhancing food security and nutrition as well as climate resilience.
- ✦ Support Indigenous Peoples traditional agrifood systems, including through the use of native seeds and breeds; non-forest timber products; wild, semi-domesticated and domesticated species of plants used for food and medicine; and neglected and underutilized species.
- ✦ Select non-farm enterprises of interest to women, youth, poor people and people living with disabilities and chronic diseases such as HIV/AIDS that have a low capital investment, quick return and low risk.
- ✦ Select labour-saving technologies which ease women's and other vulnerable groups' workloads and are suitable to women, youth, elderly, persons with disabilities and people living with chronic diseases such as HIV/AIDS.
- ✦ Introduce microloans for small business ventures, with no collateral requirements.
- ✦ Promote group approaches which tend to be of less interest to wealthier households. These include rotating savings and credit groups providing small loans to each member on a rotational basis, derived from members' regular savings.
- ✦ Support village banks or rural credit cooperatives to develop smallholder producers' financial products, including women-friendly and youth-friendly ones.
- ✦ Set upper limits or ceilings on grant assistance available to a group or individual.
- ✦ Establish modest rates of remuneration for work programmes (such as construction of community access roads) and payments in the form of cash or food-for-work at or slightly below market wages, which may be of interest only to the poorest groups, women and female household heads.
- ✦ Introduce vouchers for work that are redeemable for inputs of interest to women, youth etc., such as improved tools, improved seeds, fertilizer and small livestock.
- ✦ Use self-help labour input as a condition for accessing certain types of project support; this reaches poorer households in settings where upper classes see manual labour as socially degrading.
- ✦ Support functional literacy classes which will be of interest to the illiterate but of little or no interest to the literate; these classes may be used as an entry point for targeting other types of assistance.
- ✦ Promote home gardens and nutrition education to address malnutrition of poor people, targeting young women in particular, especially pregnant and lactating women.
- ✦ Promote vocational training opportunities for unemployed rural youth, tailoring it to young girls and persons with disabilities, also through the use of digital technologies.

SOURCE: Authors, based on FAO. 2011c. Social analysis for agriculture and rural investment projects. Practitioner's guide. Rome. [www.fao.org/3/bl182e/bl182e.pdf](http://www.fao.org/3/bl182e/bl182e.pdf)



## EXAMPLES OF DIRECT TARGETING

- ✦ Set quantitative targets for participation in project activities for each of the target group.
- ✦ Use quotas to ensure women, youth, Indigenous Peoples, persons with disabilities, poor people and other marginalized groups as relevant are represented among the membership and leadership of the various CBOs.
- ✦ Specifically target persons with disabilities, people living with chronic diseases, and migrants/refugees/IDPs in social protection activities and programmes.
- ✦ Promote access to employment and entrepreneurship opportunities in agrifood systems for migrants in destination areas.
- ✦ Establish ceilings (e.g. on income, land size or number of livestock assets) as a basis for selecting project beneficiaries for productive or value chain activities.
- ✦ Remove (entry) barriers to participation of the poor and disadvantaged groups (e.g. reduce membership fees to CBOs; requirements to open a bank account or take a loan...).
- ✦ Introduce technical training / extension service provision specifically targeting women, youth, Indigenous Peoples, persons with disabilities, agricultural and rural migrants, and other groups as relevant.
- ✦ Select women to demonstrate their capabilities by leading demonstrations and discussions, making presentations and participating in project-related activities.
- ✦ Provide entrepreneurship awards specifically for women and young farmers.
- ✦ Provide training grants, basic equipment and opportunities of exchange programmes and attendance at trade fairs for women and young extension staff and community-based service providers.
- ✦ Provide vouchers to enable women, youth and other poor and disadvantaged groups as relevant to access business incubation centres.
- ✦ Earmark funds and/or promote safety net/ social protection measures (such as conditional or non-conditional cash or food transfers, relief work schemes, animal pass-on schemes, school meals, etc.) to particularly poor and vulnerable groups and households.
- ✦ Select orphans and vulnerable children, unemployed youth, girls and young women heads of households, young people affected by HIV/AIDS and young persons with disabilities to participate in JFFLS and/ or link them to school meals programmes.
- ✦ Provide poor and vulnerable people with opportunities to be employed in basic construction and/or maintenance work of project-supported infrastructure (e.g. village roads, irrigation canals, etc.).
- ✦ Provide IDPs with agricultural inputs, training in production and post-harvesting, and e-vouchers to enhance consumption of nutritious foods.
- ✦ Build disability-smart infrastructure (both physical and virtual).

SOURCE: Authors, based on FAO. 2011c. Social analysis for agriculture and rural investment projects. Practitioner's guide. Rome. [www.fao.org/3/b1182e/b1182e.pdf](http://www.fao.org/3/b1182e/b1182e.pdf)



**Empowering measures** refer to ways to build the capacity and self-confidence of those who traditionally have less voice and power. These measures enable the poor and other vulnerable groups to voice their needs, to participate in planning and decision-making, and to influence programmes and policies. A crucial issue here is to ensure that participation takes place on remunerative terms, with fair economic return, and not on extractive terms. As shown in Box 30, empowering measures can take many forms, which all aim to level the playing field and allow the target groups to have at least an equal chance to access project activities. They also serve to limit opportunities for the elite to exercise control over project resources.

## BOX 30

### EXAMPLES OF EMPOWERING MEASURES

#### Household level

- ✦ Promote rural household planning for resource use, livelihood strategies and benefits sharing (using household mentoring is recommended to develop a joint vision and development pathway within the household).
- ✦ Promote labour-saving technologies, water and sanitation facilities, improved infrastructure, sharing workloads and workplace child care facilities to reduce the workloads of poor women, children and/or elderly engaging in agriculture or taking care of left-behind children.
- ✦ Encourage skills transfer among household members (e.g. men and women or different generations).
- ✦ Encourage equitable intra-household food allocation, which is often to the detriment of women and young girls.
- ✦ Encourage both husband and wife take loans or register their land under both names.

- ✦ Support young people in taking loans to rent land or be allotted common land to work in agriculture.
- ✦ Mobilize women, including girls and lactating or pregnant women, to participate in nutrition education training.
- ✦ Support women's participation in the agrifood chain (e.g. as small processors) and access to market (e.g. allocating women market spaces in rural markets).
- ✦ Promote access to training and capacity building opportunities, including through digital technologies, to enhance vocational skills and employability of socially marginalized people, including women, young people and persons with disabilities.

#### Community

- ✦ Initiate or strengthen community-led development planning (e.g. identify eligibility criteria, targets, activities), ensuring participation of socially marginalized groups (e.g. women, youth...) to enhance their voice and decision-making power.



- ✦ Promote Indigenous Peoples traditional knowledge as key contributors to the resilience and sustainability of other food systems.
- ✦ Facilitate the formation or strengthening of CBOs, enhancing the participation of women, youth, and other socially marginalized groups as members and leaders.
- ✦ Conduct community conversations/ awareness raising campaigns to address social norms and behaviours that can marginalize women and certain social groups or hamper their socioeconomic empowerment (e.g. on gender issues, child rights, HIV/AIDS...).
- ✦ Mobilize women and youth to become leaders and innovators in their communities (e.g. as advanced farmers, agents of change in groups they participate in, community facilitators...).
- ✦ Offer beneficiary shareholding in parent company (e.g. outgrowers in value chain development).
- ✦ Mobilize and train women and youth to become community-based service providers or social workers, including those serving Indigenous Peoples/ethnic minority communities.
- ✦ Offer non-formal education/mobile schools and functional adult literacy and numeracy classes (including mobile classes for pastoralists and their children).
- ✦ Conduct training for small-scale actors, women and youth and their organizations in life skills, basic business skills, record-keeping, negotiating skills, financial literacy and management, planning and savings, conflict resolution.
- ✦ Work with the private sector to provide skills development for its employees in the agrifood sector, including women and young people.
- ✦ Offer vocational training for unemployed youths in rural areas, supported by seed money for enterprise start-up and linkages to schemes for community land allocation or lease.

### Service delivery

- ✦ Promote Farmer Field Schools (FFS), JFFLS and Farm Business schools (FBS) to enhance access to information, agriculture advisory and business services for smallholder producers – see Box 21 for details on these successful approaches introduced by FAO.
- ✦ Integrate gender equality aspects into agricultural and rural advisory services and farmer/business training programmes, skills development and materials. Ensure that these are provided in local language and/or using culturally-appropriate approaches and suitable materials especially for young people and Indigenous Peoples/ethnic minorities.
- ✦ Ensure that resilience and disaster risk management projects are disability-inclusive.
- ✦ Facilitate linkages between smallholder producers and private entities through mutually-beneficial partnership arrangements, involving provision of inputs, training and services to participating farmers and a guaranteed market at competitive price. This would empower smallholders and enhance their negotiation power with local traders.

SOURCE: Authors, based on FAO. 2011c. Social analysis for agriculture and rural investment projects. Practitioner's guide. Rome. [www.fao.org/3/bl182e/bl182e.pdf](http://www.fao.org/3/bl182e/bl182e.pdf)



**Procedural measures** establish transparency in the selection criteria, administrative procedures and implementation of project activities. They also identify and remove possible obstacles (such as a lack of literacy and numeracy skills, financial contributions or legal requirements) that may have the unintended effect of making it difficult for poor women and men and other marginalized groups to access project services and resources. For some examples of procedural measures, see Box 31.

## BOX 31

### EXAMPLES OF PROCEDURAL MEASURES

- ✦ Reduce transaction costs of registering an income-generating group as a cooperative or an NGO.
- ✦ Remove the requirement that eligible CBOs should be legally registered.
- ✦ Avoid high up-front community contribution to access matching grant funds or accept contributions in kind.
- ✦ Simplify and streamline the procedures and record-keeping relevant to applying for project services.
- ✦ Translate application forms, project documents and training materials into the languages of Indigenous Peoples and ethnic minority groups; use visual images to the extent possible.
- ✦ Provide free technical support to assist groups to complete application forms or prepare and cost subproject proposals, business plans, etc.
- ✦ Reduce key entry barriers for accessing microfinance, such as the need for a land title, or a co-signature of male guarantors. This requires negotiating solutions with microfinance providers on how to lower their risks and incentivize their engagement.
- ✦ Make beneficiary contribution requirements (e.g. the provision of labour or cash) realistic, rather than inadvertently excluding some categories of resource-poor people.
- ✦ Communicate clearly the criteria for participating in the project to community.
- ✦ Provide childcare facilities to facilitate women's participation in project activities (e.g. public works schemes).

SOURCE: Authors, based on FAO. 2011c. Social analysis for agriculture and rural investment projects. Practitioner's guide. Rome. [www.fao.org/3/b1182e/b1182e.pdf](http://www.fao.org/3/b1182e/b1182e.pdf)



**Enabling measures** refer to investments aimed at creating and sustaining a policy and institutional environment that is favourable to pro-poor development, community participation, inclusive and equitable social and gender transformation (see Box 32).

## BOX 32

### EXAMPLES OF ENABLING MEASURES

#### Policy strengthening

- ✦ Engage in policy dialogue with government to address pre-identified policy gaps of relevance to the project, in areas related to: gender and women's issues (including land tenure, ownership and rights; under-age marriage, GBV); youth issues; Indigenous Peoples and ethnic minority groups (e.g. recognition within the country legislative framework, access to ancestral territories, land expropriations...); persons with disabilities and affected by HIV/AIDS; smallholder agriculture (e.g. farmer organizations and cooperatives); equitable and decent employment and child labour (particularly in agriculture); and other social inclusion issues as appropriate.
- ✦ Support national level authorities to influence the vulnerability context favourably by reducing exposure to shocks or by increasing preparedness for shocks.
- ✦ Use communication channels that are accessible to poor small-scale actors, women, youth, Indigenous Peoples and ethnic minority groups, other marginalized groups for extension messages, market information, gender sensitization, nutrition education, HIV/AIDS awareness raising etc. These channels include: rural radios, digital technologies, FFS, FBS, JFFLS, local traditional media (songs, storytelling, dances, theatre, etc), involvement of religious leaders and institutions...
- ✦ Ensure that communication, training, extension and information materials and knowledge packages are gender and youth sensitive (i.e. in language, literacy level, topics), are translated into the languages of Indigenous Peoples and ethnic minorities and are culturally appropriate.

#### Service provision

- ✦ Identify agriculture research issues of relevance to the target group and ensure linkages with agriculture and rural advisory services as well as the public extension system. In this way, agricultural research will be grounded to the field and more demand-driven and responsive.
- ✦ Ensure gender-sensitive training delivery (e.g. by selecting a suitable location, timing and duration; training couples rather than just one spouse; ensuring language and literacy levels reflect the abilities of the participants; and providing child care facilities).



- ✦ Mobilize and capacitate community-based service providers or social workers (especially among women and youth) to help the project deliver at the village level; reach out to the poor, marginalized, most vulnerable and disadvantaged segments of the population; and provide communities with much needed basic services that public extension is often unable to offer on a regular basis. Put in place a post-project exit strategy so that this arrangement can be sustainable and on full cost-recovery basis, while providing women and young people with employment and leadership opportunities.
- ✦ Facilitate PPPs between smallholder producers and private sector as a means to promote a more pluralistic, efficient, market-oriented and demand-driven service provision (for inputs, training, extension, credit, market outlets...).
- ✦ Promote revolving savings and credit groups, village banks and linkages with micro-finance institutions or rural cooperatives for smallholder producers, including women and youth.
- ✦ Create commitment to pro-poor development, gender equality and women's empowerment as well as social inclusion among leadership at all levels, including senior management, partners, local leaders (political, civil society, religious) and community and household members.
- ✦ Train project-related staff and core implementation partners in participatory development planning and implementation as well as participatory M&E.
- ✦ Incorporate pro-poor and gender issues into an agricultural curriculum and other training events for extension staff and develop their capacity to mainstream poverty and gender perspectives into their activities.
- ✦ Encourage female and youth extension staff to participate in training and field visits, both to develop their capacity and to encourage women farmers to attend.
- ✦ Establish a training fund to recruit women and young professionals.

### Capacity building

- ✦ Sensitize and train government staff (i.e. national, district and front-line), agricultural and community development departments, service providers, microfinance institutions, the Project Management Unit (PMU) and implementing partners in pro-poor development, gender equality and women's empowerment, participatory approaches, community mobilization and social inclusion issues.
- ✦ Engage with all actors along the agrifood chain and agribusiness enterprises to enhance opportunities of participation of marginalized groups including women and youth.

### Institutional design

- ✦ Promote the use of participatory processes for project delivery (e.g. participatory needs assessment, community action planning and participatory implementation processes).
- ✦ Strengthen the interface among CBOs, local government and service providers.
- ✦ Pay particular attention to institutional design for community-based natural resource management, watershed management, small-scale irrigation, rangeland management, community-driven development, group income-generating activities and PPPs.

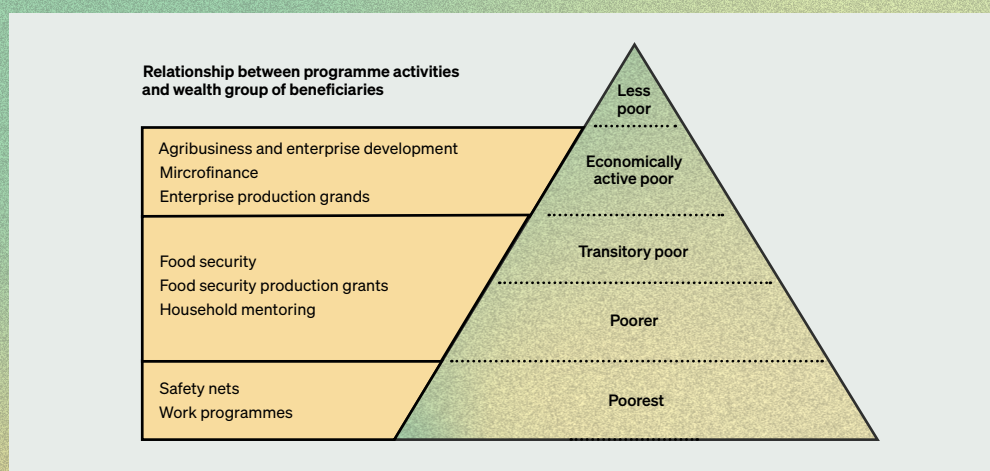
SOURCE: Authors' own elaboration.



## EXAMPLES OF DIRECT TARGETING

A poverty and livelihoods analysis in Uganda identified many levels of poverty within rural communities, including the poorest and poorer households, the transitory poor moving into or out of poverty, the economically active poor and the less poor. Categorization is based on the household size and characteristics of household members (in particular, educational status, living conditions, level of exclusion from community affairs, vulnerability in terms of health and food security, source of income, and access to and ownership of assets). Many people move in and out of poverty depending on their livelihood cycles.

These different categories were represented in the wealth pyramid below, which stratifies households by their wealth category.



Drawing on the results of the analysis, the programme introduced graduated activities to address the needs of specific groups of smallholder farmers, and other small-scale actors. Activities included:

- Agribusiness and enterprise development, supported by microfinance, for the economically active.
- Enterprise production grants to strengthen agricultural productivity of the economically active and transitory poor.
- Food security production grants and one-to-one household mentoring for the transitory poor and poorer households.
- Safety nets and work programmes for the poorest households.

In addition, the programme introduced several activities which would be of interest to all, including participatory planning at the community level, the development of community access roads and initiatives to clarify land tenure rights and arrangements.

SOURCE: FAO. 2011a. Social Analysis of Agriculture and Rural Investment Projects – Practitioner’s Guide. [www.fao.org/3/bl182e/bl182e.pdf](http://www.fao.org/3/bl182e/bl182e.pdf)



### 3.2.2 GENDER, YOUTH AND INDIGENOUS PEOPLES ENGAGEMENT STRATEGIES

This section provides guidance on how to develop gender mainstreaming and transformation strategies; youth mainstreaming strategies; and strategies to engage Indigenous Peoples and ethnic minorities. These three types of strategies have strong links to each other and are therefore often developed together, in an effort also to address intersectionality. They are turned into action plans with well-defined activities that cut across all project components, to be carried out as part of projects' annual workplans and budgets.

#### **Develop a gender mainstreaming and transformation strategy**

Within the social category of “women” it is important to prioritize target groups taking into consideration how gender intersects with other social identities. Similarly, young men and women should receive special attention in agrifood investments, with specific interventions aiming to enhance their skills and employability, and capitalizing on their potential as agents of innovation and change.

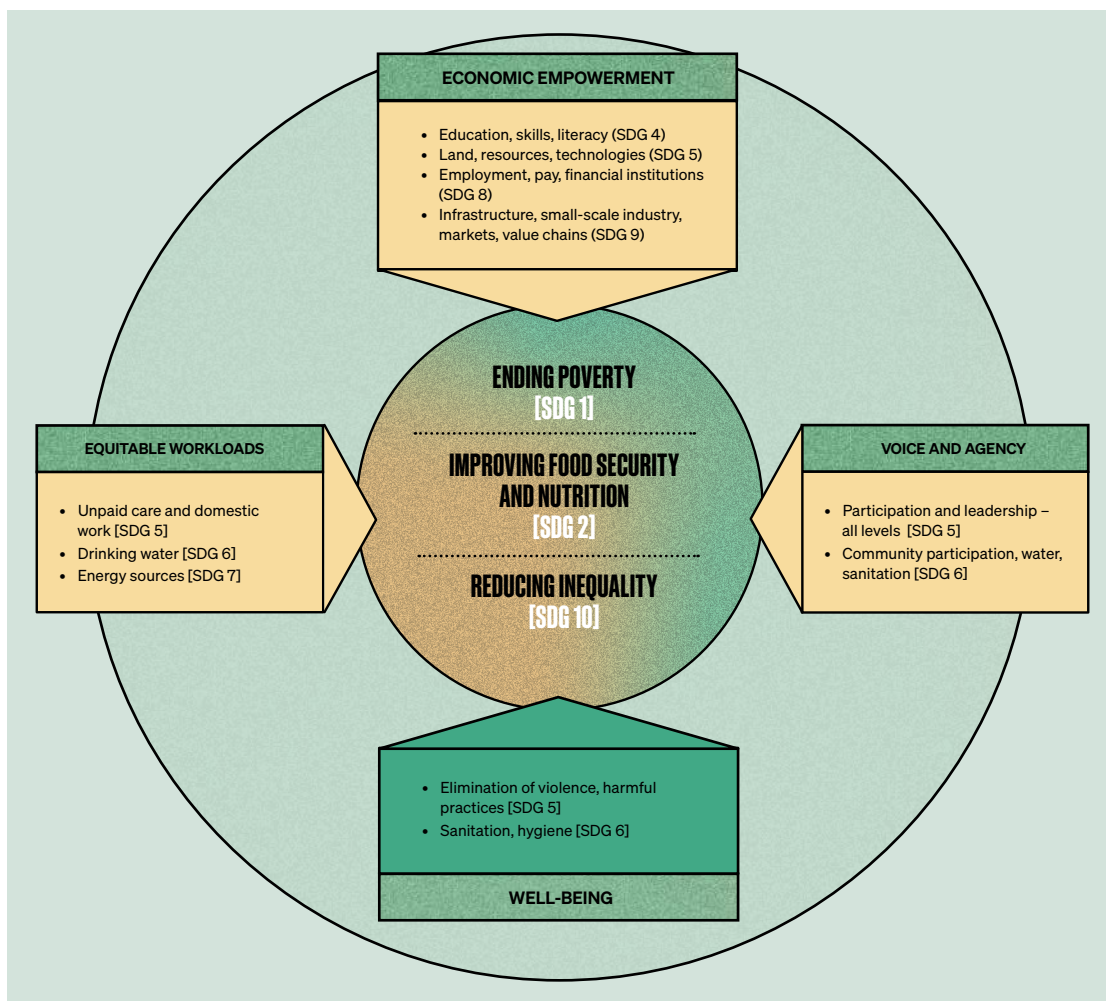
The purpose of a gender mainstreaming strategy is to provide women and men with equal opportunities to participate in agrifood systems, through equal access to and control over resources, shared benefits and decision-making power, and equitable workloads at the household level. GTAs should be incorporated into the strategy to accelerate social, institutional and gender transformation. GTAs directly address the underlying social norms, value systems, behaviours, and institutions that constitute the root causes of gender inequalities and women's lower socioeconomic status at household and community levels.

To have transformative and sustainable impacts, a gender strategy must promote an inclusive approach where men and boys, alongside women, are active partners of change. Projects focusing exclusively on benefiting women may fail to consider appropriate roles and benefits for men, and may not be accepted by either men or women in their household or entire communities.

Guided by the core objectives of most agencies' gender equality policies, a project's gender mainstreaming strategy will typically be structured around three main pillars:

- I. women's economic empowerment** through enhanced access to assets, resources, markets and decent employment opportunities and control over income and benefits;
- II. women's voice and agency**, through political and social empowerment, including equal voice and decision-making power, at household and community levels; and
- III. equitable workloads**, through reducing women's work burden, especially at the household level.

Given the cross-sectoral nature of the food systems approach and the need to accelerate action from many fronts to achieve the SDGs, the gender mainstreaming strategy needs to also address areas of sanitation, hygiene, GBV and other harmful practices that impact on women's overall well-being. Figure 9 illustrates the core elements of a gender mainstreaming strategy for agrifood systems investments and how they link to SDGs.



**Figure 9**

**Core elements of gender mainstreaming in food systems investments to achieve SDGs**

SOURCE: Authors' own elaboration.

As part of the gender mainstreaming strategy, specific sub-target groups among women (for example, widows, women heads of households, landless women, young girls, pregnant and lactating mothers, Indigenous women, and female migrants) may be identified and profiled as a basis to tailor activities to their particular needs and priorities.

### **I. Economic empowerment**

- **increasing women's access to and control over assets and benefits:**
  - promote measures, policy dialogue and gender awareness raising to strengthen women's ownership, user and inheritance rights as well as enhance their access to rural finance;
  - enhance women's access to inputs, credit, training, agricultural and rural advisory services, (digital) technologies, markets and value chains;



- **increasing women's access to skills and knowledge:**
  - adopt different approaches to increase women's participation in training opportunities (e.g. training husband and wife couples; providing separate training for women; increasing the use of women extension staff and trainers; selecting appropriate materials, language and media; and ensuring that the timing and venues are convenient for women);
  - develop women's skills in areas that are not traditionally considered to be women's domain;
  - deliver gender awareness training targeted to both men and women, starting from young age;
  - train women, including girls and at young age in life skills, self-confidence, leadership, negotiating skills, conflict resolutions, legal matters, human and women's rights; functional literacy and numeracy; and business and entrepreneurship skills.

## II. **Voice and agency**

- **strengthening women's voice and decision-making:**
  - conduct gender awareness training at the community level to increase general understanding about the importance of including women in community decision-making processes and development planning;
  - define mechanisms to enhance women's participation in community affairs (such as community planning and development processes) and CBOs (as both members and leaders);
  - set specific targets in terms of the proportion of women participants in decision-making bodies and CBOs.

## III. **Equitable workloads and well-being**

- **improving well-being and easing workloads:**
  - promote gender training and household mentoring that can contribute to more equitable distribution of workloads and responsibilities between women and men at the household level;
  - promote labour-saving technologies targeted to women to ease their time and energy devoted to household tasks, farming and income-generating activities;
  - adopt specific measures, including social protection or social safety nets, to target vulnerable women (e.g. women heads of households, women caring for households with a high number of dependants and/or people with disabilities or with long-term illness; old women taking care of left-behind children, etc.);
  - improve access to services to improve the well-being of women and other family members (nutrition education, water and sanitation, health services including maternal health care);
  - when planning community infrastructure building, ensure that poor and vulnerable households, including those headed by women, are prioritized (e.g. in terms of proximity of facilities such as water sources).



A number of GTAs have been tested and validated over the past years with important results that can be replicated or upscaled (see Box 34).

## BOX 34

### GENDER TRANSFORMATIVE APPROACHES

**Dimitra Clubs** is a participatory and community-led approach that proved successful in bringing about gender equality, women's socioeconomic empowerment and leadership, and more equitable workloads and power relations between women and men. The entry point of this approach is constituted by village-level voluntary informal groups or "clubs." Depending on the cultural context, Dimitra Clubs can be only-women/only-men or mixed clubs (but gender balanced in terms of membership and leadership) and are open to all community members. The Dimitra Clubs partner with rural radio stations to share information, experiences and good practices, give a voice to club members; and organize debates around issues that are of interest to local communities. The approach is highly adaptable to local needs and conditions and can easily and cost-effectively be implemented by local partners (e.g. CSOs, CBOs, government units etc.). Dimitra Clubs led to major improvements in gender relations and women's decision-making power at the household and community levels. It also contributed to build social capital and make local institutions more inclusive. The approach was also instrumental in reducing women's work burden, GBV, early marriage, while enhancing women's self-esteem, confidence and opportunities for income generation.

SOURCE: FAO, IFAD & WFP. 2020a. Gender Transformative Approaches for food security, improved nutrition and sustainable agriculture – A compendium of fifteen good practices. Rome. [doi.org/10.4060/cb1331en](https://doi.org/10.4060/cb1331en)

**Gender Action Learning System (GALS)** is a community-led empowerment methodology developed under Oxfam Novib's WEMAN programme with Linda Mayoux and local partner civil society partners in Uganda, Sudan, Peru and India. It aims to enhance income, food security and nutrition while addressing underlying causes of social and gender inequalities. Using GALS involves adopting visual tools such as graphics and concept mapping to encourage participants to articulate their own vision for a development and change pathway. GALS proved effective in empowering vulnerable people and bringing about transformation of social norms, changes in unequal gender relations, and addressing issues such as gender-based violence, property rights and women's participation in economic decision-making.

SOURCE: FAO, IFAD and WFP. 2020b. Gender transformative approaches for food security, improved nutrition and sustainable agriculture – A compendium of fifteen good practices. Rome. [doi.org/10.4060/cb1331en](https://doi.org/10.4060/cb1331en); WEMAN & OXFAM. Gender Action Learning System. <https://empoweratscale.org/wp-content/uploads/2020/08/GALS-2-pager-Oxfam.pdf>



**Household methodologies** is a participatory approach aiming to enhance gender equality and improve intra-household gender relations, for the empowerment and enhanced well-being of all members. While implementation modalities may vary in terms of typologies, timeline and costs, household methodologies share the same, key principles. The core approach envisages facilitating a process whereby family members define a joint development plan based on a common vision, through intense mentoring by community facilitators. Household mentoring helps family members better appreciate intra-household dynamics and bring about change towards joint decision-making, more equitable workloads and shared benefits. Requiring considerable support and capacitation at early stage, household methodologies can easily be internalized at household and community level and adopted as a regular mechanism for household's planning and problem solving.

SOURCE: IFAD. 2014d. Teaser. Household Methodologies: Harnessing the family's potential for change. Rome. [www.ifad.org/documents/38714170/40198517/Household+methodologie+-+harnessing+the+family%27s+potential+for+change.pdf/cb0ab278-bfb4-4b4c-a237-e7841bc9e9aa?t=1555415062000](http://www.ifad.org/documents/38714170/40198517/Household+methodologie+-+harnessing+the+family%27s+potential+for+change.pdf/cb0ab278-bfb4-4b4c-a237-e7841bc9e9aa?t=1555415062000)

**Farmer Field and Life Schools (FFLS)** and **JFFLS** approaches were successful in achieving transformation of intra-household gender relationships and reduction of GBV in Uganda among women and girls of reproductive age. Participating households also achieved more balanced workloads that resulted in increased free time for women and joint decision-making over income use and allocation. Other benefits accrued include enhanced livelihoods, assets and income-generating activities.

SOURCE: FAO, IFAD & WFP. 2020b. Gender transformative approaches for food security, improved nutrition and sustainable agriculture – A compendium of fifteen good practices. Rome. <https://doi.org/10.4060/cb1331en>

**Farmers' Field and Business Schools (FFBS)** were implemented by CARE USA together with CARE International in various countries in Africa and Asia. The FFBS approach proved effective in promoting gender equality; transformation of gender relations; and women's social, economic and political empowerment. Specific achievements include enhanced women's decision-making power over assets and income; increased women's leaders in local government bodies; improved intra-household relations; and changed policies on gender issues, including to address GBV.

SOURCE: FAO, IFAD & WFP. 2020a. Gender Transformative Approaches for food security, improved nutrition and sustainable agriculture – A compendium of fifteen good practices. Rome. <https://doi.org/10.4060/cb1331en>



Some of the above-mentioned interventions, particularly those addressing the root causes of gender inequalities and women's discrimination, are themselves "gender transformative" or have potential to bring about gender transformation. These include securing women's land ownership, using rights and inheritance, and/or tenure security; promoting women's and girls' access to education, agricultural and rural advisory services, (vocational) and business training, and life skills development opportunities; facilitating women's decision-making roles in village-level institutions and leadership in CBOs; and enhancing women's economic opportunities in agrifood chains and SMEs and employment opportunities, for example as community facilitators or service providers.

### **Develop a youth mainstreaming strategy**

Guided by the core objectives of national, IFI's and other agencies' youth policies, the project's youth strategy needs to identify opportunities to value young men and women as innovators and creative resource persons, willing to adopt and try new models and approaches. A youth mainstreaming strategy helps to identify project activities to address the main challenges and entry barriers faced by young men and women and their potential to contribute to sustainable agrifood systems.

As with the case of gender described above, the youth mainstreaming strategy should be built into all project components and interventions aiming to reduce households' poverty and vulnerability. Depending on the context, the strategy could also serve as a guide to prevent and address hazardous and unsafe child labour in agriculture (especially for young men and boys) and the risks of abuse and violence (especially for young women and girls).

The following interventions may be:

- **mechanisms to facilitate young people's access to productive assets,** primarily land, including through alternative arrangements such as:
  - share-cropping or short-term land leases for young people to cultivate unused land belonging to households not using the land or with limited labour capacity;
  - allocation of communal land on lease to youth groups, with local government facilitating their access to credit;
  - land transfers from elderly farmers who cannot grow their land or portions of it to young people.
  
- providing young men and women with opportunities of:
  - **education,** including informal education (basic functional literacy and numeracy skills and life skills) for people who have not completed basic education;
  - **TVET;**
  - **marketing, business and entrepreneurship development training;**
  - participation in **incubation programmes, FFS/FBS/JFFLS,** and public and private sector's programme aiming to enhance young people's skills and employability;
  - developing **soft and life skills;**



- **coaching, apprenticeship, mentorship and on-the-job training programmes** in schools, through non-formal education and/or by engaging local youth leaders, lead farmers and successful entrepreneurs;
- access to **social protection schemes and social services**, including for vulnerable people (e.g. persons with disabilities, orphaned children, migrants...).
- **facilitating young people's access to savings and credit** through:
  - development and provision of low-interest financial products that are tailored to youth needs and priorities, combined with financial literacy and other relevant training;
  - provision of low-interest start-up loans or equity financing for youth-owned enterprises;
  - facilitating the formation of saving and credit groups of young people or their membership into this kind of CBOs;
  - creation or capacity building of local micro-finance institutions and rural credit cooperatives, which should ideally employ young people, including in leadership roles;
  - removing any barrier that may impede young people to open and keep a saving account or taking loans (e.g. low or no fees on saving accounts; adjusting the loan size and repayment terms; providing group loans rather than individually...);
  - mobilizing or channelling funds coming from diaspora for young people;
  - promoting the use of information and communication technology (ICT) and digital technologies among youth, which can enhance their financial inclusion.
- **enhancing decent self-employment or wage opportunities in the agrifood system and value chains** (farm, off- farm and non-farm) for young people;
- raising awareness on the risk of child labour, including forced or hazardous labour conditions as well as of SEA;
- implementing **youth-sensitive nutrition education campaigns**, envisaging:
  - aware raising on the importance of a nutritious and diversified diet and of local food systems versus imported, high processed foods, which are often of poor nutritional value;
  - sensitizing households on the need for equitable food allocation as a means to reduce young women micronutrient deficiencies, anaemia and future delivery of stunted children;
  - setting up school and community gardens and school meals programmes;
  - providing training to women and girls in particular on food safe preparation, handling, conservation and safe water, hygiene and sanitation (WASH).

- organizing **behavioural change** campaigns targeted specifically to young men and women to educate, and sensitize them to the persisting gender inequalities, vulnerabilities and risks (e.g. child labour, GBV, sexual exploitation, homophobia) that may harm young people, including girls;
- promoting youth's **access to climate-resilient and innovative technologies** (such as renewable energy technologies and digital technologies) as well as to labour-saving technologies (LST) and mechanized equipment;
- facilitating young people's **membership in CBOs** (including in cooperatives and rural enterprises). This will enhance their access to inputs, credit, training, markets, self or wage employment while strengthening their voice and organizational capacity, including through trade unions;
- **providing support to young people's agrifood associations, cooperatives and SMEs** and linking them with national or other donors' programmes or the private sector;
- **addressing gender-specific barriers preventing young women from starting a business** (e.g. training location and duration; heavy household chores; lack of access to land and credit...);
- strengthening the **capacity of the extension system and business development services** to cater to the needs of young producers and entrepreneurs (e.g. through JFFLS, mobilizing young people to become community-based service providers, identifying opportunities of linkages with private sector...);
- facilitating the **establishment and capacitation of youth groups** or identifying opportunities for creating or finding platforms for policy dialogue where young small producers can participate and contribute to.



### **Develop strategies to engage Indigenous Peoples and ethnic minorities**

Depending on the local context and target area, the social analyst may define a specific strategy to engage Indigenous Peoples and ethnic minorities.

The following are the minimum requirements that should be included:

- identify activities in both the on-farm and off-farm sectors and/or value chains that are of specific interest to target Indigenous Peoples and ethnic minorities. As appropriate, promote Indigenous Peoples' traditional agroecological and farming practices, food systems and livelihoods strategies, and local seeds, breeds, plants and food systems;
- in compliance with relevant social safeguards (as applicable), assess whether any of the project-supported activities will impinge on Indigenous ancestral domains. If so, arrange for the FPIC process to take place during the early stages of implementation;<sup>9</sup>
- ensure project support and capacity building to respect Indigenous Peoples rights, including in advisory service provision (e.g. in terms of language and cultural aspects);
- facilitate the formation or development of CBOS solely with IP/ethnic minority membership or mixed, as culturally and socially appropriate in the project context;
- engage institutions and representatives of the concerned indigenous communities and make sure they are consulted before, during and after project implementation, so that Indigenous Peoples' concerns, interests and needs are adequately addressed in accordance with national regulations and international standards;
- do no harm: ensure that the project does not have adverse impacts on Indigenous Peoples' food and knowledge systems, whether unintentional or not.

The key principles to be aware of when working with Indigenous Peoples are summarized in Box 9 in Module 3, Task 4.

<sup>9</sup> A specific right that pertains to Indigenous Peoples. It allows them to give or withhold consent to a project, proposal or measure that may affect them or their territories (Gabena, 2020).



## DEFINING PROJECT ACTIVITIES TO MEET TARGET GROUPS' NEEDS

On the basis of the analysis carried out so far, project activities should, to the extent possible, be identified in a way that they are tailored to the specific needs, conditions, priorities and aspirations of the target groups. In cases where broad interventions, for example, as part of value chain support have already been pre-defined, the social analyst will seek to introduce activities and measures, within the defined parameters, that can ensure maximum benefits to small-scale actors and vulnerable populations. To make sure that the activities are appropriate and demand-driven, consultations must be organized at the field level, where the social analyst works closely with other technical/thematic experts and national counterparts in the design team (see Field guide). The process involves: (i) conducting a participatory needs assessment and community planning; (ii) assessing and managing risks and adverse impacts; and (iii) defining project costs of social interventions.

Reference Tools 8 and 9 present examples of possible interventions to meet target groups' needs, based on their livelihood asset base and examples of interventions to enhance the social impact of projects objectives.

### 3.3.1 CONDUCT COMMUNITY NEEDS ASSESSMENTS

As an important step in defining project activities that meet target groups' needs, the social analyst, jointly with the rest of the design team, will conduct community needs assessments in representative target areas.

Through consultations with selected community groups or individual households, the social analyst seeks 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 ongoing programmes supported by government, NGOs, donors and development agencies the project could link with or complement.

*For more details on how to conduct community-level field work, please see Field guide, Module 3.*



In community-driven projects, the social analysis will focus on ways that the project might provide opportunities to support local empowerment and ownership, through strengthening local capacity for community participatory planning and promoting the principles of inclusivity, gender-sensitivity and social accountability. The types of community consultations and planning processes would typically include: participatory mapping; land use planning; seeking FPIC from Indigenous communities; integrating with refugee populations in host communities; working on climate-related action plans (such as disaster risk reduction or plans). On the basis of these consultations, the project team formulates community planning processes, or strengthens existing ones. Led by community facilitators, community development plans are designed to address capacity gaps at various levels, and include activities to be implemented within the project's framework. Such plans can be used as a tool to regularly collect community inputs and to mobilize public and private resources for the community, well beyond the project framework.

### 3.3.2 ASSESS AND MANAGE SOCIAL RISKS AND ADVERSE IMPACTS

During the project design process, the social analyst needs to carry out a social risk assessment, based on the identification of existing, potential or anticipated risks and adverse impacts. Such risks are usually pre-identified, in broad terms, during country strategy design (see Module 2 – Task 4). The exercise provides the basis for defining adequate measures to prevent, mitigate, minimize, manage and/or compensate for risks or adverse impacts, making reference and guided by: national legal, policy and institutional frameworks regulating public and private investments; (ii) international agreements that the country adheres to; and (iii) specific financing or other agencies' social safeguard policies and guidelines.

**Social safeguards** are tools aiming to prevent, reduce, mitigate, manage and/or compensate for undue harm to people during the development process. In the context of designing an investment operation, social safeguards help assess the potential social risks and impacts (positive or negative) and define measures and processes to effectively manage them. Most IFIs and other development agencies require the application of safeguards to approve projects, and while protocols and formats vary, the issues considered are common.

Table 3 categorizes the key social risks, while Resource Tools 10 and 11 provide general guidance on assessing and managing social risks that practitioners can adapt to the specific social safeguards of the agency they work with.

10 FAO. Investment Learning Platform (ILP). Social Safeguards. [www.fao.org/investment-learning-platform/themes-and-tasks/environmental-social-safeguards/social-safeguards/en/#c301418](http://www.fao.org/investment-learning-platform/themes-and-tasks/environmental-social-safeguards/social-safeguards/en/#c301418). FAO. 2015b. Environmental and Social Management Guidelines. Rome. [www.fao.org/3/i4413e/i4413e.pdf](http://www.fao.org/3/i4413e/i4413e.pdf)

The types of risks assessed by the social analyst include:

- **risks of social exclusion and elite capture** - caused by power imbalances, social discrimination, gender inequalities, and so on – resulting in the target group being unable to participate in project activities, left behind or (further) excluded;
- **inadvertent adverse impacts of a project on:** livelihoods, environment, property rights, health and well-being of the communities; involuntary resettlement (including land grabbing), particularly of Indigenous Peoples; poor or even hazardous labour conditions, including child labour (see Box 35); community health, safety and security; increasing women's burden to excessive levels; arising or escalating social tension and conflict within households or communities; and GBV (see Box 43);
- **performance and capacity related risk** of country institutions and implementing partners, which may affect and even compromise future implementation and the achievement of project objectives;
- **contextual risks**, which generally are not project-induced risks, such as conflicts, political instability, economic downturn, natural hazards/ climate change impact, corruption and poor governance, lack of rule of law, disease outbreaks. Note that, although such risks should be considered in the social analysis, assessing them requires expertise that goes beyond the social sciences. For example, potential impacts of economic downturns are assessed by economists, while climate-related risks, are usually assessed by environmental analysts in the context of environmental and social safeguards;
- **social risks of engagement with partnerships**, which may affect the independence and impartiality of an organization. Such risks may relate to: conflicts of interest; undue or improper influence exercised by a private entity or an NGO on the concerned agency; a negative impact on the agency's credibility, reputation or mandate; a partnership that mainly serves the interests of one private entity or endorses its name, brand, product, views or activity; the blue-washing of a private entity's image through engagement UN agencies; and the failure of the partnership to provide the expected benefits (FAO, 2021d).

As regards the risks arising specifically from engagement with external partners, IFIs and other development agencies typically have minimum prevention mechanisms to ensure avoidance of engaging formally with certain business categories whose practices are incompatible with their values and international standards. Agencies also carry out a due diligence process and use risk management frameworks to regularly assess and manage risks after a partnership has been established with a private entity (FAO, 2021d).

11 The practice of businesses to sign up for the UN global compact and use their association with the United Nations to enhance their image and shift attention from their controversial business practices. ABT Capital Markets Inc. Green, Blue, Pink and Social Corporate Washing. [www.abtmarkets.com/abt-blog/green-blue-pink-and-social-corporate-washing#:~:text=Blue%20washing%20refers%20to%20the,from%20their%20controversial%20business%20practices](http://www.abtmarkets.com/abt-blog/green-blue-pink-and-social-corporate-washing#:~:text=Blue%20washing%20refers%20to%20the,from%20their%20controversial%20business%20practices)



## BOX 35

### THE COMPLEXITY OF ASSESSING SOCIAL RISKS: AN EXAMPLE ON THE RISK OF CHILD LABOUR

Labour saving technologies are generally likely to reduce demand for children's labour, especially if they concern weeding and other labour-intensive tasks that children normally undertake.

Conversely, additional income generating activities for women and improved nutrition strategies, like home gardening, have a potential to increase child labour, either because children are asked to take on extra garden work or because they have to assume house work burdens, that would otherwise be borne by their mothers, who are busy with extra work. In this case, safeguards may be necessary (e.g. combining education grants, awareness raising, and conditionalities).

SOURCE: Authors' own elaboration.

## BOX 36

### THE TEN PRINCIPLES FOR RESPONSIBLE INVESTMENT IN AGRICULTURE AND FOOD SYSTEMS (CFS PRINCIPLES FOR RESPONSIBLE INVESTMENT IN AGRICULTURE AND FOOD SYSTEMS)

Contribute to food security and nutrition.

Contribute to sustainable and inclusive economic development and the eradication of poverty.

Foster gender equality and women's empowerment.

Engage and empower youth.

Respect tenure of land, fisheries, and forests, and access to water.

Conserve and sustainably manage natural resources, increase resilience, and reduce disaster risks.

Respect cultural heritage and traditional knowledge, and support diversity and innovation.

Promote safe and healthy agriculture and food systems.

Incorporate inclusive and transparent governance structures, processes, and grievance mechanisms.

Assess and address impacts and promote accountability.



The social analyst can make reference to a series of global standards that aim to ensure socially responsible private investments. The CFS Principles for Responsible Investment in Agriculture and Food Systems (CFS-RAI) provide broad guidelines to governments on the creation of an enabling environment for responsible investments in agriculture and food systems, along 10 principles (see Box 36).

The **OECD-FAO Guidance for Responsible Agricultural Supply Chains** provides a global benchmark to help agribusinesses and investors to identify and mitigate adverse social impacts. In addition, although not focused on the agrifood sectors, the performance standards of the World Bank's International Finance Corporation (IFC) include a rigorous environmental and social review procedure to assess private clients' responsibilities. In addition to such risks, the IFC also assesses risks related to: labour and working conditions; resource efficiency and pollution prevention; community health, safety, and security; land acquisition and involuntary resettlement; biodiversity conservation and sustainable management of living natural resources; Indigenous Peoples; and cultural heritage. FAO's Framework for Environmental and Social Management is built around similar standards, with the addition of gender equality and the prevention of GBV.

11 IFC Environmental and Social Performance Standards: [www.ifc.org/wps/wcm/connect/Topics\\_Ext\\_Content/IFC\\_External\\_Corporate\\_Site/Sustainability-At-IFC/Policies-Standards/Performance-Standards](http://www.ifc.org/wps/wcm/connect/Topics_Ext_Content/IFC_External_Corporate_Site/Sustainability-At-IFC/Policies-Standards/Performance-Standards)



**Table 3**

**Categorization of social risks**

Level	Description	Examples
<b>High</b>	Anticipated/potential/actual social risks and impacts may lead to irreversible, adverse and harmful effects on the target groups and/or communities affected by the investment.	<ul style="list-style-type: none"> <li>• Involuntary resettlement, particularly of vulnerable groups such as Indigenous Peoples.</li> <li>• Expropriation or loss of land due to infrastructure development or commercial investors.</li> <li>• Causing or exacerbating GBV, for example as a result of projects enhancing social and economic status of women and their voice at the household and community levels.</li> <li>• Engaging children for work under legal age, especially in poor, forced or hazardous labour conditions.</li> </ul>
<b>Substantial</b>	Anticipated/potential/actual social risks and impacts are significant and severe, but unlikely to occur.	<ul style="list-style-type: none"> <li>• Involuntary resettlement, particularly of vulnerable groups such as Indigenous Peoples.</li> <li>• Expropriation or loss of land due to infrastructure development or commercial investors.</li> <li>• Causing or exacerbating GBV, for example as a result of projects enhancing social and economic status of women and their voice at the household and community levels.</li> <li>• Engaging children for work under legal age, especially in poor, forced or hazardous labour conditions.</li> </ul>
<b>Moderate</b>	Anticipated/potential/actual social risks and impacts are moderate and can be addressed with mitigation measures.	<ul style="list-style-type: none"> <li>• Community planning process not inclusive, hence not capturing the views and concerns of socially marginalized groups.</li> <li>• Increased workload of women as a result of project-supported income-generating opportunities open to them.</li> <li>• Limited implementation capacity of in-country implementing institutions.</li> </ul>
<b>Low</b>	Anticipated/potential/actual social risks and impacts are minimal or non-existing.	

SOURCE: Authors, based on: IDB. 2018. Social impact assessment: Integrating social issues in development projects, p. 101.  
<https://publications.iadb.org/en/social-impact-assessment-integrating-social-issues-development-projects>

### 3.3.3 CALCULATE PROJECT COSTS OF SOCIAL INTERVENTIONS

Similar to other types of project activities, all proposed activities to promote social inclusion in an investment project need to be quantified, costed and integrated into the overall project budget allocations and financing plan. It should be noted that costs related to cross cutting social aspects are often hidden in other activities. This requires that the social analyst works closely with the economic and financial analysts in charge of carrying out cost-benefit analysis for the investment, as part of the required economic and financial analysis and related project cost tables. In this process, the economic and financial analysts will include the community contributions (in-cash or in-kind) and the benefits from investing in social aspects. Such calculations have a strong potential to encourage governments to invest more in social aspects while also enhancing local ownership and long-term sustainability of interventions.

Social activities may involve high transaction costs for communities (planning, monitoring) and needs to be carefully considered. Overall, costs related to social activities may include the following:

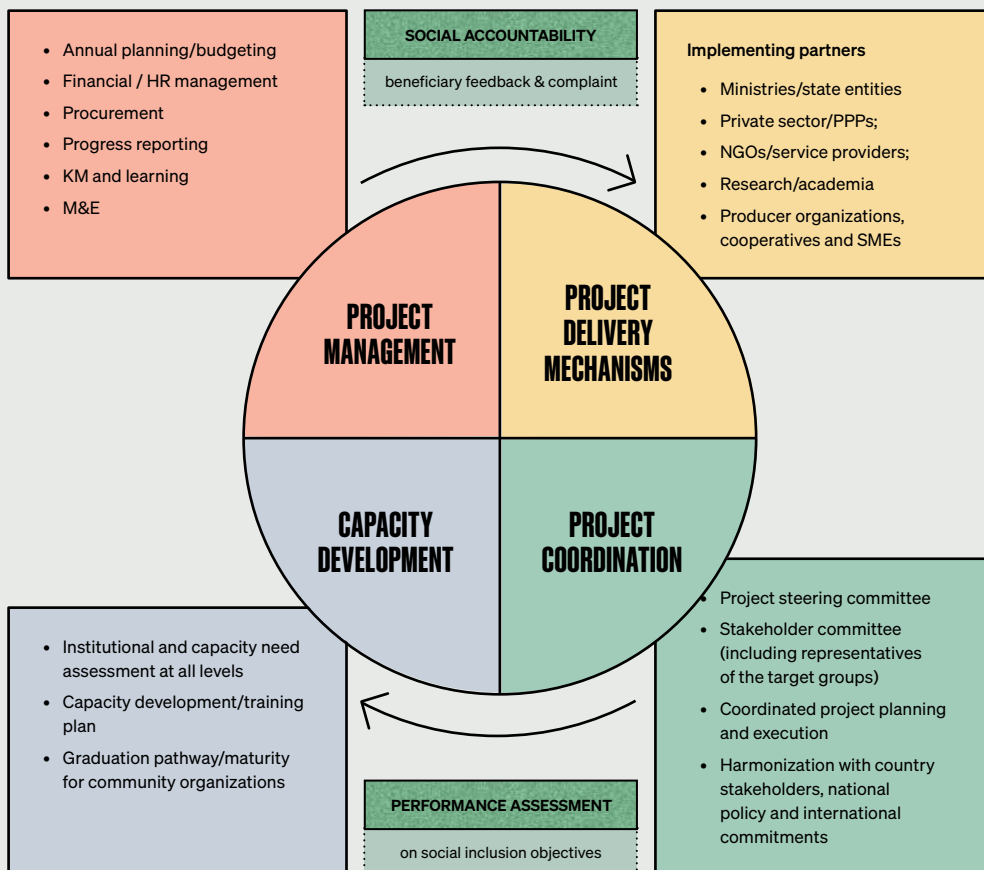
- community mobilization, participatory need assessment and M&E and the community planning process;
- implementation of the gender and youth mainstreaming strategies;
- mechanisms and approaches aiming at pro-poor targeting, social inclusion and social protection (e.g. mainstreaming or integrating household methodologies into the project; promoting FFS);
- training and capacity building (e.g. on participatory approaches, community-driven development, gender issues, community mobilization);
- Knowledge management (KM) and documentation of good practices and innovations in promoting social development; and
- related human and technical resources required to implement such activities, such as project management structures (e.g. gender/youth officers at the PMU) and service providers (NGOs, community facilitators, consultancy firms or research institutes, etc.);
- FPIC process, if Indigenous Peoples are involved.



## DEFINING DELIVERY MECHANISMS FOR SOCIAL INCLUSION

Responsibilities and delivery mechanisms for social development activities need to be clearly spelled out, as part of the overall project management and implementation arrangements. As shown in Figure 10, implementing partners need to be identified at project design stage, including private service providers who will be responsible for social activities, ministries (of women, youth, employment or social affairs), NGOs for social mobilization and/or community development, or umbrella producer organizations. Performance-based contracts and beneficiary feedback mechanisms need to be established to ensure accountability on social inclusion objectives. Linked to the task of stakeholder analysis (See Task 1.5), the social analyst would need to carry out a preliminary institutional and capacity assessment of the implementing partners identified, from a social perspective. This assessment may be deepened during implementation, as appropriate, to identify measures to fill capacity gaps in delivering social inclusion objectives. Coordination mechanisms and reporting lines should be defined to make sure that social aspects are well integrated into project components and activities. It is also important to ensure that representatives from the target groups or their organizations are included among members of the project stakeholder committees. At PMU level, implementation of social aspects should be detailed in annual work plans and reported on regularly annually or semi-annually.





**Figure 10**

**Project management and implementation arrangements to deliver on social aspects**

SOURCE: Authors' own elaboration.



Drawing on the elements illustrated in Figure 10, the following steps can help guide social analyst in defining project management and implementation arrangements to deliver on social aspects:

#### **Project management:**

- appoint gender/youth/social inclusion officer(s) in the PMU and women, youth, Indigenous Peoples field staff, as relevant. Ensure that their responsibilities are spelled out in the ToRs;
- ensure that social aspects are also part of other PMU staff responsibilities and included in the ToRs, particularly for project coordinator, M&E officer, KM officer;
- ensure that, to the extent possible, gender, age and ethnicity are also considered when recruiting PMU staff;
- assign responsibility to M&E officer for monitoring targeting performance, beneficiary tracking and social development outcomes and impact;
- assign responsibility to KM officer to document good practices and successful approaches in social empowerment and transformation;
- PMU to coordinate implementation of the social inclusion activities as per project design and PIM, in coordination with service providers, producer organizations, NGOs, other partners;
- following standard templates included in the PIM, PMU to update the gender/youth mainstreaming strategies on an annual basis and include them into annual work plan and budgets, regularly preparing progress reports for timely submission to supervision/implementation support/MTR missions.

#### **Project delivery mechanisms:**

- ensure that implementing partners and service providers have demonstrated experience in or at least demonstrate a commitment to social inclusion, pro-poor development, gender equality and women's empowerment, engaging the youth and marginalized groups. They should have a proven track record of social/community mobilization; participatory approaches; community-driven development and territorial development;
- whenever possible and appropriate, encourage implementing partners and service providers to recruit women and young field workers as well as field workers from Indigenous Peoples/ethnic minorities to improve outreach at the field level;
- work with women experts and subject matter specialists; recruit young professionals or facilitators whenever possible; and identify expertise from Indigenous Peoples/ethnic minorities;
- identify opportunities to mobilize community institutions as implementers and service providers and to engage private sector or adopt PPP models for project delivery.

### **Project coordination:**

- establish a project steering committee to provide strategic guidance and oversight to project execution. This will also include representatives from the target groups;
- clearly spell out responsibilities and reporting lines of all implementing partners and joint responsibility of mainstreaming social concerns into project activities;
- ensure that appropriate coordination mechanisms are in place in project execution and activity sequencing across different components. For example, social mobilization, community need assessment and training/capacity building need to be implemented early on and any provision of inputs and financial resources to come subsequently;
- ensure full coordination with national/local programmes or other donors' interventions in the project sites. Such coordination may be instrumental in maximizing project impact especially in areas beyond project focus or agency's mandate (e.g. domestic violence, water and sanitation, education, health...);
- coordinate with private sector companies on capacity development or other local programmes;
- identify any policy gap that may act as a barrier to project implementation and engage in policy dialogue with country-level stakeholders and policy makers to influence or change policy.

### **Capacity development:**

- building on the design, at project start-up, conduct a capacity gap assessment in the areas of pro-poor targeting, participatory approaches, gender issues, social inclusion, community development, for implementing partners and service providers at all levels (down to the community level). Based on outcomes, prepare a capacity building plan for implementation.

### **Social accountability and performance mechanisms:**

- establish social accountability mechanisms for beneficiary feedback and complaint to ensure target group engagement, participation, fairness and transparency. Feedback may be provided in terms of: beneficiary satisfaction with project implementation; services received (e.g. by extension workers or service providers); attitude by contractors; quality of training or infrastructure facilities built; and any project intervention's relevance to, effectiveness for and impact on the target group;
- ensure that contracts of PMU staff and service providers are renewed subject to performance, including on implementation of and commitment to social inclusion. Identify indicators to assess performance.



## Task



# EMBEDDING SOCIAL ASPECTS INTO PROJECT MONITORING AND EVALUATION SYSTEMS

A **project M&E and KM systems** is set up during the design process to assess project performance and delivery and to generate learning. The M&E system informs implementation and ensures scaling-up of successful interventions and approaches within and beyond the project. The capacity of the M&E system to collect good quality data on effective participation is crucial. This can be done through surveys, during the life of the project, at the levels of institutions (such as coops, or groups) as well as households, ensuring appropriate disaggregation of data by gender, age, and other important parameters, in accordance with SDGs.

Community and stakeholder participation in the M&E processes is central. Flexible and iterative participatory monitoring confirms the quality, relevance and responsiveness of project interventions and the extent to which they are reaching the intended target groups. From a social analysis perspective, it can be used to identify bottlenecks in achieving social inclusion and risks of elite capture of project benefits. Participatory monitoring can be carried out at individual, group and community levels. It enhances opportunities for participants' engagement and empowerment in assessing progress, setting priorities and defining project direction. It also enhances stakeholder accountability and ownership over project and the likelihood of sustainability of interventions. Outcome-level indicators are critical to capturing social and institutional change being brought about by the project during implementation – well in advance of assessing impact only at completion.

The following key elements should be included in the project M&E and learning system:

- **The logical framework and M&E indicators** should be able to track different target group's participation while measuring output, outcome and impact level results. The indicators will be disaggregated, as applicable.
- **The M&E and learning plan** should include tools and methodologies to be used during implementation. The plan will track participation of different target groups and help monitor progress in bringing about social change and transformation. The plan will be updated regularly based on needs and will continuously inform implementation.
- **Social accountability mechanisms** for beneficiary feedback and complaint need to be established at design. These mechanisms aim to enhance target groups' engagement and participation as well as fairness and transparency in project processes and activity execution. Mechanisms may include participatory monitoring tools, annual outcome surveys and grievance redress instruments to deal with complaints. Such mechanisms should also be used to deal with more sensitive issues, risks and adverse impacts that may arise over implementation (such as poor labour conditions, hazardous and forced child labour, GBV, and SEA). In order to maximize their effectiveness, social accountability mechanisms need to utilize the most accessible, preferred and trusted communication channels by the community. They also need to ensure that the communities are aware of their right to provide feedback without fear of retaliation, stigmatization or other negative action.

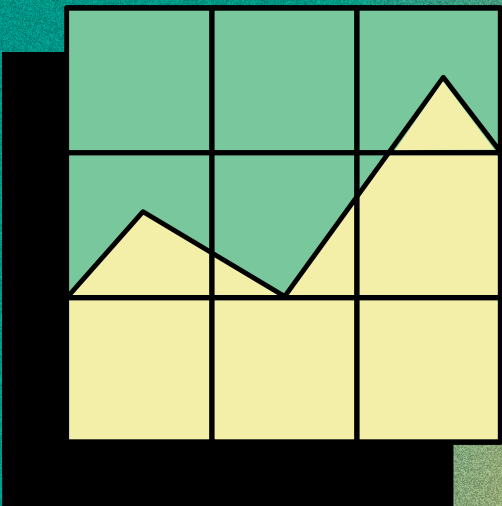
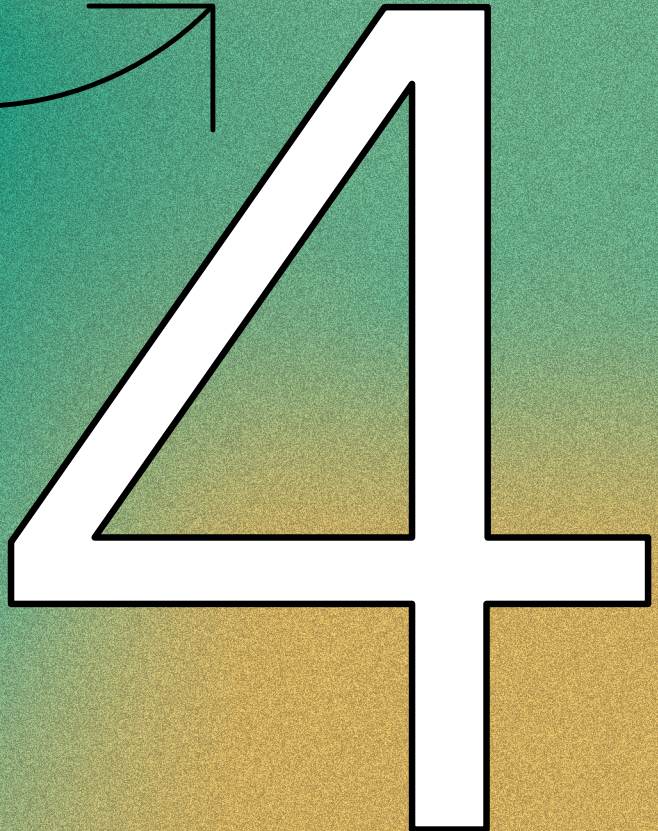
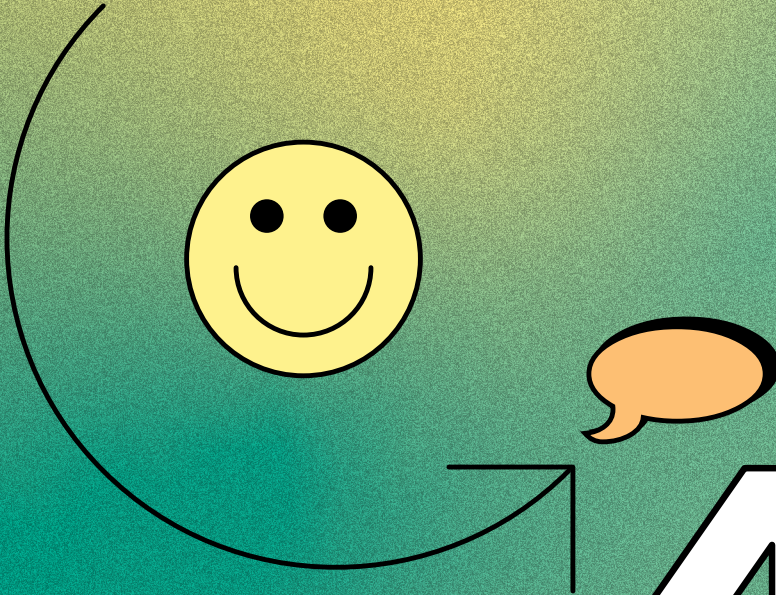
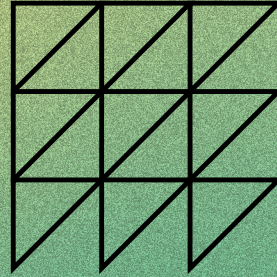
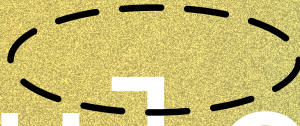
*Examples of output, outcome, impact indicators to monitor progress in the social domain by thematic area are provided in Reference Tool 12.*







# Module





# Social analysis during project implementation and evaluation

This module provides guidance on the use of social analysis methods during the stages of project start-up, implementation (including supervision and MTR), completion, and evaluation. The **Field guide** provides checklists and field tools to assist the social analyst with data collection during field visits at the district and community levels.

## 4.1 PROJECT START-UP

Project start-up is a critical stage at the beginning of implementation (typically the first few months or half a year of project life) when project management structures required for project delivery should be put in place. If implementation is not well prepared during this period, project execution could be negatively affected in the future. At this stage mechanisms are introduced to ensure implementation preparedness, including finalizing or planning the targeting/ gender/ youth mainstreaming strategies and incorporating them in the first-year action plan. In addition, PMU staff are recruited (including staff responsible for social inclusion, gender, youth, as relevant), and contracts are prepared with the specialized service providers (such as NGOs) selected to carry out the social mobilization/community development activities, including the recruitment of community/social facilitators. The social analyst also has a responsibility to contribute to the preparation of baseline surveys and any feasibility studies to ensure that adequately disaggregated data will be collected to assess social impacts on the different target groups at the project's mid-term, completion and evaluation.

Before commencing activity implementation, a start-up workshop, or a series of multi-stakeholder interactions, are generally organized to launch the project officially. These events provide an opportunity for the social analyst to convey messages related to pro-poor targeting, social inclusion, gender mainstreaming and engagement of youth, as relevant to the project. During those events, the centrality of community consultation and participation could be emphasized to a broad audience of stakeholders, as well as conveying messages related to pro-poor targeting, social inclusion, gender equality and women's empowerment, young engagement, and outreach of other marginalized/disadvantaged social groups. It is a good forum to also bring up any policy or institutional gaps that may affect the project's social outcomes and may require being addressed upfront.

#### **4.2 EARLY IMPLEMENTATION**

During the early stages of implementation, it is necessary to clarify in detail the project implementation arrangements and coordination mechanisms, finalize the PIM and prepare the first annual work plan. It is during this stage that the socioeconomic and institutional assessments will be finalized, if not completed comprehensively during the design stage.

During this stage, the social analyst will provide support to the following tasks:

- recruitment or appointment of PMU staff responsible for social aspects (e.g. gender/youth focal point and KM/M&E officer, who will work together to incorporate and populate disaggregated indicators);
- contracting service providers/NGOs for social mobilization/field level activities and gender mainstreaming;
- mobilizing community/social facilitators (if applicable);
- developing ToRs for the baseline survey incorporating targeting/gender concerns and starting the procurement process of the consultancy firm;
- setting up the project M&E system with disaggregated indicators and indicators to monitor social outcomes and impacts;
- finalizing the ToRs of PMU staff and service providers, ensuring that these are performance-based, including on responsibilities related to social inclusion, pro-poor targeting and gender mainstreaming;
- supporting the preparation or finalization of the relevant sections of the PIM and the first annual work plan and budget (project targeting, gender and youth action plans.), using a standard template;
- providing project staff with standard templates for progress reporting and for the preparation of case studies/good practices – to cover areas related to pro-poor targeting, social inclusion, gender mainstreaming, youth engagement;



- reviewing and provide inputs to the targeting/gender/youth mainstreaming strategies and action plans. Describe how these strategies need to be implemented across components and activities and clarify responsibilities and coordination mechanisms among all project implementers;
- delivering training and related operational guidelines to implementing partners, on topics such as: participatory approaches, gender mainstreaming, social inclusion, community mobilization, and participatory M&E.

### 4.3 SUPERVISION AND MID-TERM REVIEW

To support supervisions and MTRs, the social analyst reviews project documentation, interacts with project implementers at all levels, conducts field consultations, and carries out the following main tasks.

#### Before the mission:

- **household survey:** a short and simple questionnaire (translated as appropriate) can be administered by the PMU, a national consultant or an NGO prior to the mission, to collect basic, comparable data on project progress and performance as well as on anticipated impacts on selected target groups. Such small surveys should examine indicators that are included in the project's baseline, and can complement the tools already used by the project. Moreover, they can compensate for the usual absence of fully-fledged social impact assessments, which are difficult to carry out in the short-term frame and tight budget of a mission. Box 37 at the end of this Section provides information of two types of such short surveys: *Annual Outcome Surveys* and *Knowledge, Attitude and Practice Surveys*;
- **draft field visit plan:** start to prepare the field visits plan remotely in consultation with PMU (agreeing on criteria for selection of project sites to visit). The detailed itinerary, villages and communities/CBOs to meet will be finalized in country based on feedback from the team.

#### During the mission

- **project data validation:** verify with PMU (particularly the gender/youth/social inclusion officer and the M&E/KM officer) accuracy of the data made available through progress reports, case studies, M&E system. The data will then feed into the mission report;
- **beneficiary tracking:** assess the following main elements:
  - project outreach (quantitative, qualitative);
  - participation of different target groups and CBOs *vis-à-vis* project objectives, annual targets, logframe and project M&E system, and related project budget costs;
  - accrual of project benefits to the different target groups;

- **progress on social aspects:** review progress on:
  - output/outcome levels *vis-à-vis* overall and annual targets;
  - implementation of the gender and youth mainstreaming strategies and action plans;
  - adequate integration of social/gender concerns into project components/activities;
  
- **training effectiveness:** assess delivery modality, relevance, effectiveness, application and results of training and other form of information sharing (farmer-to-farmer, FFS, and so on) related to gender issues, social mobilization, community-driven development, participatory approaches, at all levels (community-level, including CBOs; producers; service providers; PMU staff, community/social facilitators and implementing partners). It is important that training be translated into a concrete outcome (technology adoption, increased production/productivity, reduced domestic workloads for women, reduced plant pests/animal diseases, etc.). Identify any gaps and measures for improvement;
  
- **project compliance:** assess compliance of project implementation on social aspects with:
  - the country strategic framework, project design documents, the PIM, and (if relevant) past supervision/implementation support recommendations and evaluations;
  - relevant national and agency's policies and strategies as well as international commitments. Identify any areas requiring policy engagement with government to bring about policy change.
  
- **project planning and reporting:** assess adequacy of planning and reporting on social aspects, particularly the gender/youth mainstreaming strategy and action plans as well as their inclusion into each component and activity;
  
- **implementation problems:** identify implementation problems related to outreach to the target groups, their participation in project activities and any issue related to social inclusion. Recommend adequate measures and approaches to address them. Box 37 tells a story about how social analysis can help detect unexpected problems, to be addressed during implementation;
  
- **risk assessment and management:** assess any potential and/or anticipated risks to the target groups that may arise due to project's activities or other external shocks that occurred or may occur during implementation. Box 38 provides some useful tips. Identify adequate measures to prevent, mitigate or counter them, including through the use of safeguards, if needed.



## ADJUSTING AS YOU GO: AN EXAMPLE OF HOW SOCIAL ANALYSIS CAN INFORM PROJECT IMPLEMENTATION

Under a project implemented in a country in southern Africa, a private food company processed chillies for sale to national and European markets. Women cultivated them in small gardens, while men delivered the crop to the processing plant and collected the payment. Shortly after the purchase of the first crop, supplies of chillies decreased dramatically. This led to an inquiry about on-farm production methods to identify constraints.

At this stage, a quick social assessment was carried out which found that married women farmers had abandoned chili production because they were not receiving returns for their labour, since their spouses were retaining the proceeds. To increase incentives for women to produce chillies, the food company, along with a local horticulture development programme, designed a payment system that included both cash and non-cash rewards, and distributed a pound of sugar (a desirable household commodity) along with the cash payments.

SOURCE: Authors' own elaboration.





## RISK ASSESSMENT AND MANAGEMENT - QUICK TIPS

### **Social exclusion, vulnerability and discrimination**

Whether there have been cases of social discrimination and elite capture preventing the target group to participate in and benefit from project interventions.

### **Gender-based violence**

Any complaint that reached the project/lead agency on GBV and SEA occurring in the project context and who was affected.

Measures that can be or have been taken to resolve the issue and protect the victims, including linking with appropriate national entities or mechanisms.

### **Decent rural employment and child labour**

Whether rural jobs promoted by the project ensure adequate standard labour conditions such as occupational safety and health measures; non-discrimination at work; maternity protection; minimum wages; freedom of association.

Whether the target group faced any precarious, hazardous, and/or unsafe employment condition in the context of project interventions.

Whether mechanisms to prevent or address child labour in agriculture have been put in place and are effective, including linking with existing national mechanisms.

Whether the project is contributing to address main root causes of child labour (i.e. poverty, food insecurity and vulnerability).



## Land acquisition/involuntary resettlement, especially for Indigenous Peoples.

If land acquisition took place, the following need to be assessed:

The type of land that was affected – private, commonly managed or government's land and its current use and users (e.g. tenants without land titles or sharecroppers).

Whether the acquisition is going to be permanent or temporary.

Whether the acquisition led to loss in agricultural land, crops, trees, housing, assets, facilities, services and households' income, livelihoods sources and socioeconomic activities or affected Indigenous Peoples' ancestral land, territories, cultural and natural resources and farming, production, livelihoods systems.

Whether there was any encroachment or squatting in the project area?

Whether effective mitigation or compensation mechanisms have been put in place.

Whether the transaction happened without coercion, and based on FPIC.

SOURCES: FAO. 2015a. Environmental and Social Management Guidelines. Rome. [www.fao.org/3/i4413e/i4413e.pdf](http://www.fao.org/3/i4413e/i4413e.pdf); IFAD. 2021a. SECAP Standards Requirements Checklists. Rome. [www.ifad.org/documents/38711624/40169860/SECAP\\_standards\\_checklist.pdf/3ae762ed-8f52-6a2c-37fb-5651ac9bb1f7?t=1638270237405](http://www.ifad.org/documents/38711624/40169860/SECAP_standards_checklist.pdf/3ae762ed-8f52-6a2c-37fb-5651ac9bb1f7?t=1638270237405); IFAD. 2021b. Social, Environmental and Climate Assessment Procedures. Volume I. Rome. [www.ifad.org/documents/38711624/44600056/secap2021\\_01.pdf/31edfeff-f70c-67b0-994a-d0ec4630dd81?t=1644422496395](http://www.ifad.org/documents/38711624/44600056/secap2021_01.pdf/31edfeff-f70c-67b0-994a-d0ec4630dd81?t=1644422496395); IFAD. 2021b. Social, Environmental and Climate Assessment Procedures. Volume II. Rome. [www.ifad.org/documents/38711624/44600056/secap2021\\_02.pdf/f17ea469-9f6b-d779-73f8-98f3941713d3?t=1641550537858](http://www.ifad.org/documents/38711624/44600056/secap2021_02.pdf/f17ea469-9f6b-d779-73f8-98f3941713d3?t=1641550537858)



- **identification of capacity gaps:** assess capacity gaps in the area of social inclusion, gender equality and women's empowerment, and pro-poor targeting at all levels. Prepare a comprehensive capacity building plan detailing the type of training, its timing, target audience, service providers, expected results and costs;
- **project staffing:** assess whether there is adequate gender balance at PMU level and in recruiting community-based facilitators – based on what is realistically feasible and appropriate in the country context;
- **performance of implementing partners:** assess performance of PMU, implementing partners, service providers and community-based facilitators on gender/social issues;
- **continuous assessment of the M&E system:** assess adequacy of the M&E system to: i) capture output, outcome and impact level results, both at quantitative and qualitative levels, *vis-à-vis* the target groups; and ii) track implementation of social and gender related interventions. If need be, recommend improvements, particularly by incorporating adequate disaggregated indicators and/or outcome and impact level indicators to measure social empowerment, institutional change and gender transformation;
- **learning, innovation and scaling-up:** assess whether the project has been capturing, documenting, learning from, sharing and replicating successful approaches, good practices and innovations in: i) reaching out to and ensure participation of the poor, most marginalized and socially excluded groups; ii) achieving gender equality and transformation as well as women's economic, social and political empowerment; and iii) successfully engaging youth and providing them with employment and entrepreneurship opportunities in the agrifood sector;
- **sustainability:** especially in the last one-two year of implementation, develop a project exit strategy, which may also entail linking up with other donor or government programmes.



**In the context of MTR mission, the following could also be required:**

- revisit the number of project beneficiaries should the project be unable to reach out to them or should the number have been under estimated or over-estimated at design. The M&E system should be revised accordingly;
- amend the targeting strategy and mechanisms, should there be major issues associated to them;
- revise the gender and youth mainstreaming strategy should they not be effective to achieve the intended project objectives and social outcomes;
- ensure that any substantial revision of the social and gender components be reflected into the PIM and M&E/learning system and communicated clearly to all project implementers;
- start to assess whether the project is on track in achieving social outcomes and impacts as well as institutional and policy change by its completion. Propose amendments and recommendations should the project be lagging behind schedule and amend the M&E system accordingly;
- in consultation with other team members, revise or cancel activities that are underperforming or no longer relevant, and/or re-allocate budget to activities that are showing results or have greater potential.

Box 39 includes some of the tools that can be used to assess qualitative outcomes during implementation.



## ASSESSING QUALITATIVE OUTCOMES DURING IMPLEMENTATION

### Annual Outcome Survey

Annual Outcome Survey (AOS) is a simple and cost-effective M&E tool piloted by IFAD in the Asia and the Pacific region to assess the effectiveness of the targeting strategy as well as project performance and outcomes on an annual basis. In the form of a questionnaire, it covers a small, random sample of project participants, generally no more than 200 households in villages targeted by the project or receiving project interventions. The survey includes project beneficiaries and non-beneficiaries (as a control group). The exercise takes no more than three months and can be implemented easily by project staff and extension officers, with or without external support. Enumerators may be hired to collect data and a consultant can assist with analysis and reporting. Through the AOS, project implementers can get an early indication of the likelihood of project's success or failure, allowing for timely corrective action.

SOURCE: IFAD. 2017a. Designing and Implementing Annual Outcome Surveys. A Guide for Practitioners, 2016; Taking IFAD's Results and Impact Management System (RIMS) to the Next Level (IFAD Executive Board Document, 10 April 2017 <https://webapps.ifad.org/members/ec/96/docs/EC-2017-96-W-P-7.pdf>).

### Knowledge, attitudes and practices surveys

Knowledge, attitudes and practices (KAP) surveys aim to assess improvements or changes in people's knowledge, attitude and practices. For example, the survey is instrumental to assessing what smallholder farmers have learned from training offered by the project, their attitude towards what they learned and the level uptake. KAP can also help identify nutrition behavioural changes, for example, as a result of participation in nutrition education, whether project participants report a change in their food habits and diets such as, towards introduction of more nutritious foods such as fruit and vegetables as well as in food preparation, storage and handling, including on sanitation and hygiene.

### Collecting stories

Success stories of project impact on the life of the target groups can be collected through interviews of selected beneficiaries, carried out by project staff or field implementers. Stories are powerful case studies for learning, as they illustrate human stories about positive change brought about by a project. With the permission of their originators, stories can be accompanied by photos or videos for publication.

SOURCES: Author's own contribution.



#### 4.4 COMPLETION AND EVALUATION

At the point of project completion, the social analyst evaluates the extent to which the project has met its stated social objectives and contributes recommendations for future investments in the country and/or project area, either as a subsequent stage of the same project, or as a different project with new investment priorities.

Completion evaluations may be conducted by the country (the “borrower”) or by the financing agencies’ independent offices of evaluation, drawing on data gathered through the project’s M&E system, including end-line surveys and other primary or secondary data. Given their high cost, fully fledged impact assessments (based on large sample surveys) are only carried out selectively for projects that are introducing particular innovations or that have a particular replicability or scale-up potential. Here, the social analyst can complement the quantitative survey results with insights generated through qualitative methods.

The social analyst will typically support country-led or independent evaluations during mission work, focusing on higher-level indicators (outcome and impact levels), guided by the standard parameters for evaluations: **relevance, effectiveness, efficiency, impact, sustainability, and replication and scaling-up**. In addition, given the importance of **gender equality and women’s empowerment** in sustainable longer-term impacts, the sociologist may also (depending on the project) need to examine the project’s achievements in reducing gender inequalities:

- **relevance**: the project meets the needs, capabilities and aspirations of the target groups, is aligned to the national priorities, policies and institutional framework, and is consistent with the agency’s policies and strategic objectives on social inclusion, pro-poor targeting and gender equality and women’s empowerment;
- **effectiveness**: the project’s achievement of the intended social development objectives and in reaching out to the target groups, through the sets of interventions, activities, and approaches adopted;
- **efficiency**: the value for money and project costs per beneficiary. While this is usually assessed by economists, the social analyst can contribute by drawing attention to social costs and benefits which may be overlooked;
- **impact**: the change and transformation brought about by project interventions on the target groups. It can also be adverse, indirect, or unintended. Impact should look in particular at household’s assets, income, food security and nutrition, social and institutional development, and policy change;
- **sustainability of benefits**: the likelihood that what has been achieved by the project will sustain beyond its end, without further external support;

- **replication and scaling-up:** prospects for up-scaling project activities, approaches, good practices and innovations. This may also envisage: expanding project areas; reaching out to additional communities or beneficiaries; facilitating horizontal and vertical aggregation of CBOs; linking up to additional larger investments planned at country or regional level;
- **gender equality/transformation and women's empowerment:** project achievements in reducing gender inequalities in the areas of access to assets, services and opportunities, in participation and organization, and in household workloads. These benefits translate into women's economic, social and political empowerment and greater well-being, which may be considered gender transformative with upscaling potential.

In the context of the above standard evaluation parameters, the social analyst will typically evaluate the extent to which:

- The project was successful in realizing the TOC in the areas of social inclusion and empowerment.
- The project achieved the intended social outcomes and impact, as planned in the results framework (or logframe), including social inclusion, empowerment, change and transformation as well as institutional and policy change on social and gender aspects.
- **The targeting and social inclusion strategies/mechanisms** (gender, youth, Indigenous Peoples mainstreaming strategies, as relevant) were relevant to the context and effective in ensuring participation of and benefits to the target group.
- The project experienced any adverse impacts on the target group or the community, as monitored in the **social safeguards' framework**. In this context, identify the causes of the adverse impacts; review the actions taken to prevent, manage and/or mitigate; identify measures that should be adopted in the post-project stage to redress the situation, if necessary.
- The project's **exit strategy** – as defined at design stage – was adequate to ensure sustainability of social benefits, mechanisms and institutions, after the end of project funding.
- **Qualitative assessments and the collection of stories** from project beneficiaries are very important in the context of evaluations. Documenting success stories, approaches, good practices and innovations in the areas of social inclusion, pro-poor targeting, gender equality and women's empowerment, youth engagement, and so on. These can be shared through appropriate communication channels, media and platforms for future learning, dissemination, replication and scaling-up. The Field guide provides guidance and tools on how to collect data in the field while conducting evaluations.









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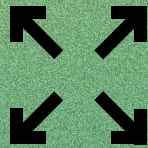
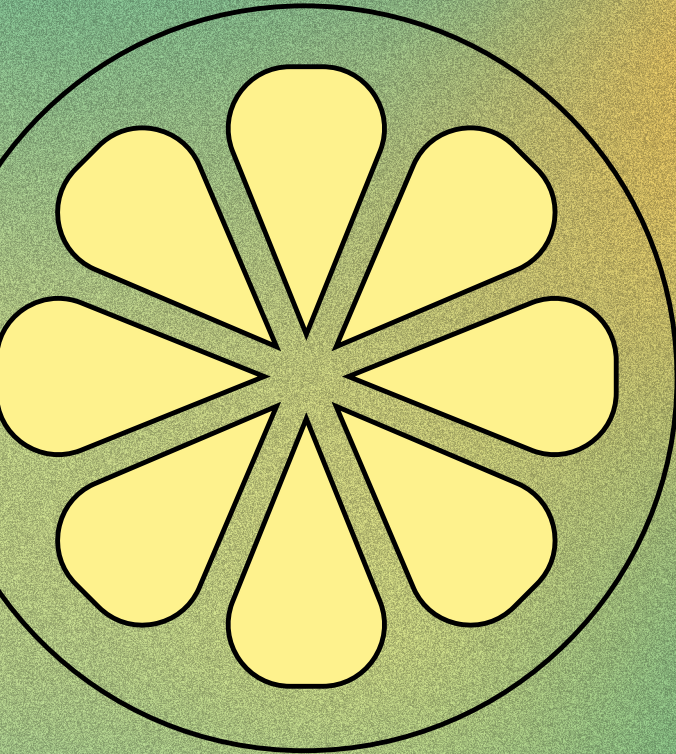
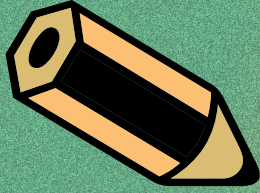


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# ANNEXES

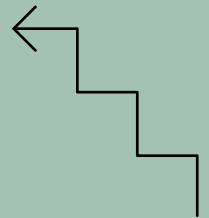
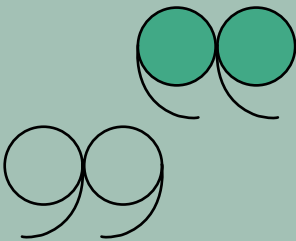




# Quick reference tools for practitioners



The resources in this annex are useful for finding quick and concise information to help practitioners carry out social analysis.







## 1

# CHARACTERISTICS AND CONSTRAINTS OF AGRIFOOD CHAIN ACTORS

Actors in the agrifood chain	Main characteristics and constraints
<b>Smallholder producers</b>	<p>They are generally the majority of agrifood chain actors among poor rural people, those with the greatest constraints <i>vis-à-vis</i> the assets and resources at their disposal, and those making the lowest profit from the chain. Among their constraints:</p> <ul style="list-style-type: none"> <li>• Limited technical and organizational capacity.</li> <li>• Inadequate access to inputs, services, technologies and markets.</li> <li>• Lack of market information.</li> <li>• Weak linkages with the other actors in the agrifood chain.</li> <li>• Low negotiating power <i>vis-à-vis</i> traders and buyers.</li> <li>• Uncompetitive position <i>vis-à-vis</i> larger and commercial producers, and</li> <li>• Limited engagement with private entities or mutually-beneficial contractual arrangements.</li> </ul> <p>All this results in low production volumes and poor quality and safety of products as well as in smaller profit margin and high costs and risks.</p>
<b>Local transporters</b>	<ul style="list-style-type: none"> <li>• Inadequate infrastructure (e.g. roads).</li> <li>• Limited or inadequate transport means, reliance on poor public transportation system.</li> <li>• Lack of financial capital to invest in transportation means or upgrade them.</li> <li>• Social norms limiting mobility (especially for women).</li> </ul>
<b>Small processors</b>	<ul style="list-style-type: none"> <li>• Often unorganized.</li> <li>• Lack of skills.</li> <li>• Performing the activity when opportunity arises or combining it with another activity along the chain.</li> <li>• Processing facilities do not meet quality standards and requirements.</li> <li>• Limited infrastructure (water, electricity).</li> <li>• Women may not be allowed to engage in processing due to cultural/social norms.</li> </ul>
<b>(Local) traders and retailers; rural wholesalers</b>	<ul style="list-style-type: none"> <li>• Tend to have a stronger position compared to small-scale producers and processors.</li> <li>• Need to distinguish between traders supplying nearby or local markets and those serving urban or distant markets.</li> <li>• Retain market information and can provide inputs and credit to producers, but dictate the terms of the business, including price.</li> <li>• Have limited relationship/linkages with producers.</li> <li>• Women may face restrictions to trading due to cultural and social norms limiting mobility in particular.</li> <li>• Local/small traders often have limited or inadequate transportation means and rely on poor public transportation system, increasing time and decreasing returns from business.</li> <li>• Limited engagement with larger traders or buyers.</li> </ul>

SOURCE: Authors' own elaboration.



## INDICATORS TO ASSESS COMMUNITY-BASED ORGANIZATIONS

Pillars	Indicators	Early stage	Maturity
<b>Membership base</b>	<ul style="list-style-type: none"> <li>• Eligibility criteria to become members.</li> <li>• Social inclusion.</li> <li>• Strong base (number of members, increasing trends in membership, voluntary and active participation, representing the base in national associations).</li> </ul>	<ul style="list-style-type: none"> <li>• Limited/fluctuating membership, often biased towards more influencing people; elite capture.</li> <li>• Disadvantaged groups and women scarcely present or represented.</li> </ul>	<ul style="list-style-type: none"> <li>• Clear membership criteria, no entry barriers for disadvantaged groups.</li> <li>• Strong membership base (stable/increasing membership; regular participation in meetings), with participation of socially marginalized groups and representation of the base in national/apex organizations.</li> </ul>
<b>Governance</b>	<ul style="list-style-type: none"> <li>• Leadership (s)election and rotation.</li> <li>• Group constitution and rules.</li> <li>• Accountability mechanisms (e.g. roles and responsibilities of members and leaders; sanctions).</li> </ul>	<ul style="list-style-type: none"> <li>• Members and leaders are not well aware of their roles and responsibilities, neither of the constitution.</li> <li>• Same leadership or limited rotation of leadership.</li> <li>• Limited or no female leaders.</li> </ul>	<ul style="list-style-type: none"> <li>• Clear roles and responsibilities of members and leaders.</li> <li>• Rotational leadership (including women in mixed groups).</li> <li>• Governance mechanisms in place; rules and sanctions enforced.</li> </ul>
<b>Internal management</b>	<ul style="list-style-type: none"> <li>• Organizational structure and business plan.</li> <li>• Meetings and records.</li> <li>• Financial management, book-keeping.</li> <li>• M&amp;E system.</li> </ul>	<ul style="list-style-type: none"> <li>• Meetings not taken place regularly.</li> <li>• Uneven participation of membership in meetings.</li> <li>• Meeting's proceedings not shared with membership.</li> <li>• Poor recording and book-keeping; no business plan.</li> <li>• Indicators for group performance assessment not defined.</li> </ul>	<ul style="list-style-type: none"> <li>• Meetings take place regularly.</li> <li>• Regular participation of membership in meetings.</li> <li>• Well maintained books and records; meetings' proceedings shared.</li> <li>• Business plan available.</li> <li>• Group performance assessment regularly performed to monitor group development trajectory.</li> </ul>
<b>Financial sustainability</b>	<ul style="list-style-type: none"> <li>• Mechanisms for accounting and internal control.</li> <li>• Sources of funds.</li> <li>• Financial viability, self-reliance and (if relevant) profitability.</li> </ul>	<ul style="list-style-type: none"> <li>• No solid mechanisms yet in place.</li> <li>• High or total reliance on external funding.</li> <li>• Only savings, no internal lending; activities not yet profitable.</li> </ul>	<ul style="list-style-type: none"> <li>• Mechanisms are in place.</li> <li>• Funding is generated through internal and external resources.</li> <li>• Services provided on a cost-recovery basis.</li> <li>• Both group savings and loans provided; profit generated.</li> </ul>
<b>Service delivery</b>	<ul style="list-style-type: none"> <li>• Services offered to members and/or non-members (under different conditions).</li> <li>• Benefits sharing among members.</li> </ul>	<ul style="list-style-type: none"> <li>• Limited capacity to mobilize and deliver services.</li> <li>• Inclusion and equal participation to be improved.</li> </ul>	<ul style="list-style-type: none"> <li>• Demand-driven, effective service provision on a cost-recovery basis.</li> <li>• Benefits are shared equally.</li> </ul>
<b>External relations and linkages</b>	<ul style="list-style-type: none"> <li>• Partnership building.</li> <li>• Networking and linkages with other CBOs.</li> </ul>	<ul style="list-style-type: none"> <li>• Limited partnerships, networking and linkages.</li> <li>• Dependency on external sources of funding.</li> </ul>	<ul style="list-style-type: none"> <li>• Partnerships in place with NGOs, government entities, service providers and/or private sector.</li> <li>• Networking and linkages with other groups and associations, both horizontally and vertically.</li> <li>• Increasing participation in community development processes.</li> <li>• Policy influence.</li> </ul>

SOURCE: Authors' own elaboration.



## Reference Tool



# 3

## EXAMPLES OF HOUSEHOLD POVERTY AND SOCIOECONOMIC CHARACTERIZATION

**Table A.1**

Household poverty categorization as perceived by rural communities (Sierra Leone)

Poorest	Poor	Non-Poor
Live in mud shelter with thatch roofing, leakage during the rainy season. Doors and window made up of rags.	Live in mud with stick/building blocks with thatch/plastic sheet roofing. Some leakage during the rainy season. Doors and window are made up of wood or plastic sheet.	Shelter is cement/silver round blocks with corrugated zinc roofing. Doors and windows made up of wood with concrete floor.
Sleep on bear ground on dry banana leaves or on mat.	Sleep on bear ground on dry banana leaves or on mat.	Sleep on bear ground on dry banana leaves or on mat.
Dirty sleeping room, using wood to set fire at night as a source of light to sleep with.	Dirty sleeping room, using wood to set fire at night as a source of light to sleep with.	Dirty sleeping room, using wood to set fire at night as a source of light to sleep with.
Do not own land or house.	Some own a small piece of land or a mud house and others live under rent or family house.	Own land and a house.
Own no assets and control power is limited to his/her children.	Have house, kitchen utensils. Control power is limited to his/her children.	Own a mobile phone, bicycle, motor bike, car, radio, tape recorder, suitcase, chairs, tables, kitchen utensils. Assistance is not limited to relations but also have workers at home, e.g. housemaids.
Do not participate in meetings, group work, associations. Wake up early in the morning and go to the bush to find his/her living.	Limited association with others.	Associate with others.
No decent clothes; generally, have just one piece of clothing.	No decent clothes; generally, have just one piece of clothing.	Dressed well and have enough clothing.
Voiceless; have no respect from both old and young people in the community.	Have some respect in the community, 20 percent voice is heard.	Highly respected in the community, 100 percent voice is heard.
Malnourished.	Not well-nourished.	Good physical appearance.
Eat once or sometimes go to sleep hungry (0-1-0 or 0-0-0). Often rely on food gifts to survive.	Eat at least once or sometimes twice a day (0-1-1 or 0-1-0).	Eat three times a day (1-1-1).

SOURCE: Authors, based on National Programme Coordinating Unit (NPCU), Sierra Leone, 2011.

**Table A.2**

**Socioeconomic groups as perceived by rural communities in Cambodia - (Cambodia)**

Trabaek Lech village - Angkor Tret Commune - Svay Antor District - PREY VENG Province

	Poorest	Poor	Medium	Better off
<b>No. of HHs: 210 WHHs: 42 (36 widow-headed)</b>	10 (5 landless)	56	144	
<b>Food insecurity</b>	All year round	6 months	Never	
<b>Assets</b>	<ul style="list-style-type: none"> <li>No agricultural land.</li> <li>Very little agricultural land.</li> <li>No house.</li> <li>No or few animals.</li> </ul>	<ul style="list-style-type: none"> <li>0.2-0.5 ha of agricultural land.</li> <li>No or few animals.</li> <li>One bicycle.</li> </ul>	<ul style="list-style-type: none"> <li>More than 0.9 ha of land.</li> <li>Some animals.</li> </ul>	
<b>Who in particular</b>	<ul style="list-style-type: none"> <li>Widows.</li> <li>Homeless living on public land.</li> </ul>	<ul style="list-style-type: none"> <li>Many women heads of HHs, mostly widows.</li> </ul>	No WHHs.	
<b>Livelihood activities/coping strategies</b>	<ul style="list-style-type: none"> <li>Agricultural labour (especially rice transplanting) and non-agricultural labour (construction works, during wedding ceremonies) in the village.</li> <li>Chicken raising.</li> <li>Fishing in the lake.</li> <li>Vegetable growing around the house or on public land.</li> <li>Migration to Kampong Thom and Kampong Cham for cassava pooling and/or to Ratanakiri for harvesting cashew nuts.</li> </ul>	<ul style="list-style-type: none"> <li>Rice production.</li> <li>Agricultural labour and non-agricultural labour in the village (construction works, water carrying during wedding ceremonies).</li> <li>Migration to Kampong Thom for cassava pooling and/or to Ratanakiri for harvesting cashew nuts.</li> </ul>	<ul style="list-style-type: none"> <li>1-2 ha of agricultural land.</li> <li>Cow, buffalo and/or other small animals.</li> </ul>	
<b>Vulnerabilities/problems</b>	<ul style="list-style-type: none"> <li>Limited wells.</li> <li>Limited agricultural land.</li> <li>Drought for 3 years consequently and 1 year break.</li> <li>Illness among population.</li> <li>Violence linked to drinking habits among men.</li> <li>Chicken diseases/losses.</li> <li>Land ploughing (for WHHs/widows).</li> </ul>			
<b>Solutions/priorities/support needed</b>	<ul style="list-style-type: none"> <li>Capital to buy animals (chicken, pigs, ducks, cows).</li> <li>Wells for vegetable growing (especially women).</li> <li>Small pumping machines for vegetable growing (especially women).</li> </ul>	<ul style="list-style-type: none"> <li>Animal raising.</li> <li>Vegetable growing.</li> <li>Fishing in ponds.</li> <li>Fruit tree cultivation.</li> <li>Road construction.</li> <li>Wells for irrigation.</li> <li>Technical advice for pests.</li> </ul>	<ul style="list-style-type: none"> <li>Technical advice to improve soil conditions, solve pests.</li> <li>Water for irrigation.</li> <li>Higher yields of rice seeds.</li> </ul>	



Ruessey Am village, Ksetr Commune, Kampong Rou district - SVAY RIENG province

	Poorest	Poor	Medium	Better off
No. of HHs: 234 No. of WHHs: 54	16	35	170	13
Food insecurity	All year round	5-6 months	3 months	Never
Assets	<ul style="list-style-type: none"> <li>• Disease (including HIV/AIDS).</li> <li>• Lack of labourers (because of old or sick members).</li> <li>• No agricultural land.</li> <li>• No cattle.</li> </ul>	<ul style="list-style-type: none"> <li>• Disease.</li> <li>• Limited labourers (because they are old or sick), reliance on child labour.</li> <li>• Little land (0.3-0.7 ha).</li> <li>• Lack of land title as a collateral to get bank loans.</li> </ul>	<ul style="list-style-type: none"> <li>• 1-2 ha of land.</li> </ul>	
Who in particular	<ul style="list-style-type: none"> <li>• WHHs, often with many children and/or sick and/or old heads.</li> <li>• Landless.</li> <li>• Old women.</li> </ul>			<ul style="list-style-type: none"> <li>• No WHHs belong to this category.</li> </ul>
Livelihood activities/coping strategies	<ul style="list-style-type: none"> <li>• Migration for the whole year to work in garment factories (mostly women) and construction companies (mostly men).</li> <li>• Dependency on their adult children (old women).</li> </ul>	<ul style="list-style-type: none"> <li>• Rice production.</li> <li>• Vegetable growing</li> <li>• Small livestock raising.</li> <li>• Sale labour.</li> <li>• Temporary migration.</li> </ul>	<ul style="list-style-type: none"> <li>• Rice production.</li> <li>• Vegetable growing.</li> <li>• Cattle/pig raising.</li> </ul>	
Solutions/priorities	Vocational training for off/non-farm activities.		<ul style="list-style-type: none"> <li>• ice seeds.</li> <li>• Vegetable seeds.</li> <li>• More wells for irrigation.</li> </ul>	

SOURCE: IFAD. 2011. Project for Agricultural Development and Economic Empowerment (PADEE). Project Design Report, Working Paper 1: Targeting and Gender. Appendix 5, pp. 35-44.



## EXAMPLES OF PROJECT AREA IDENTIFICATION

Table A.3

Population and poverty data of target areas – North Kordofan (Sudan)

Locality/ RAU	Population		Rural population			No. of HHs	No. of rural HHs	% of poor HHs	Average rural HH size	Estimated no. of poor HHs	No. of villages	
	Total	Male	Female	Total	Male							Female
Rahad*	157 838	72 898	84 940	117 414	53 264	64 150	29 845	23 124	60	6.6	17 907	258
Sheekan**	540 898	267 380	273 518	179 737	84 489	95 248	94 865	35 421***	41.6	6.6	39 464	423

NOTES:

\* Sources of data are as follows: population, rural population, number of HHs and rural HHs: North Kordofan Census 2008 (however, Rahad was at that time an administrative unit under Omrowabaa locality); percentage of poor HHs: baseline survey of Kordofan States (2006), where data refer to Omrowabaa locality; number of villages and villages covered by IFAD WSRMP: project staff.

\*\* Sources of data are as follows: population, rural population, number of HHs and rural HHs: North Kordofan Census 2008; percentage of poor HHs: baseline survey of Kordofan States (2006).

\*\*\* Sheikan locality contains the urban population of El Obeid.

SOURCE: IFAD, Republic of Sudan. 2012. Seed Development Project (SDP), Project Design Report, Annex 2: Poverty, Targeting and Gender. Table 3, p.14. [www.ifad.org/documents/38711624/40089492/SDP+Design+Report+February+2012.pdf/25838969-3142-41ab-98f4-fea9102d7f7f?t=1611221874000](http://www.ifad.org/documents/38711624/40089492/SDP+Design+Report+February+2012.pdf/25838969-3142-41ab-98f4-fea9102d7f7f?t=1611221874000).



**Table A.4**

**Poor HHs, Poverty Rate and Rice Area of PADEE (Cambodia)**

Province	Households			Poor Households			Average Poverty Rate			Total Area in Rice (ha)		
	Selected	Total	%	Selected	Total	%	Selected	Total	Difference	Selected	Total	%
Kampot	56 000	126 000	44	13 600	25 500	53	23.9	19.9	4	57 900	117 600	49
Kandal	70 000	250 000	28	16 500	43 300	38	23.9	17.8	6.1	68 700	145 000	47
Prey Veng	185 000	242 000	76	52 500	65 200	81	28.4	26.9	1.5	260 800	333 800	78
Svay Rieng	51 000	121 000	42	13 300	27 800	48	25.9	22.9	3	77 200	170 900	45
Takeo	108 000	186 000	58	29 000	46 600	62	27.0	25.3	1.7	153 400	248 300	62
<b>Total</b>	<b>470 000</b>	<b>925 000</b>	<b>51</b>	<b>124 900</b>	<b>208 400</b>	<b>60</b>	<b>26.4</b>	<b>22.3</b>	<b>4.1</b>	<b>618 000</b>	<b>1015 600</b>	<b>61</b>

SOURCE: IFAD. Project for Agricultural Development and Economic Empowerment (PADEE), Project Design Report - Working Paper 1: Targeting and Gender, table 12, p. 20.



## 5 COMMON CHALLENGES FACED BY TARGET GROUPS

Target groups	Main common challenges	According to men
Smallholder producers	<ul style="list-style-type: none"> <li>• Limited land size or lack of land tenure security.</li> <li>• Poor quality or degrading land due to unsustainable farming practices resulting from limited skills, access to extension and adoption of short-term coping strategies to produce food.</li> <li>• Limited access to inputs, financial, and extension and business development services, markets and market information.</li> <li>• Lack of technical and entrepreneurial skills.</li> <li>• Exposure to health and safety risks and poor working conditions.</li> <li>• Limited productivity, food production and surplus to generate income.</li> <li>• Physically demanding work.</li> <li>• Absence of social security, labour protection or insurance schemes.</li> <li>• Lack of organization for collective action and representation rights.</li> </ul>	
Micro and small entrepreneurs	<ul style="list-style-type: none"> <li>• Poor access to financial services due to lack of land as collateral.</li> <li>• Policy and legislation gaps or cumbersome bureaucratic processes constraining enterprise formalization.</li> <li>• Limited availability of infrastructure, power, water and ICTs.</li> <li>• Sourcing produce from smallholders challenging (due to inconsistent quality, volume or non-timely delivery; poor infrastructure; limited organizational capacity of smallholders which is inefficient to engage individually).</li> <li>• Lack of competitiveness.</li> <li>• High business risk.</li> </ul>	
Wage agricultural workers (especially informal, seasonal and casual workers)	<ul style="list-style-type: none"> <li>• Precarious and even hazardous labour conditions (low paid seasonal or casual arrangements).</li> <li>• High degree of job and income insecurity.</li> <li>• Little or no access to social protection and trade unions.</li> <li>• Lack of attention from policy-makers.</li> </ul>	
Rural migrant workers	<ul style="list-style-type: none"> <li>• Precarious and even hazardous labour conditions (low paid seasonal or casual arrangements, physically demanding jobs).</li> <li>• Limited integration or even conflict with local communities.</li> <li>• Limited to labour rights and high levels of abuse and exploitation.</li> <li>• Low access to social protection.</li> </ul>	
Rural women in the above categories	<ul style="list-style-type: none"> <li>• Face the same constraints of all categories above but greatly exacerbated due to prevailing gender inequalities (e.g. limited access to, control over and rights to land and limited access to assets, services, markets and training/extension opportunities compared to male producers).</li> <li>• Limited decision-making at household and community levels.</li> <li>• Limited mobility.</li> <li>• Limited organizational capacity for collective action.</li> <li>• As wage workers, lower payment than men for equivalent jobs and comparable levels of education and experience, and more frequent part-time, seasonal and/or low-paying jobs.</li> <li>• Lack of job security and social protection (e.g. maternity leave), additional gender-based discrimination when pregnant or as mothers.</li> <li>• Additional risks and hazards in the workplace (e.g. exposure to sexual harassment), especially when working during pregnancy or maternity.</li> <li>• Heavier workloads due to competing demands of productive and reproductive responsibilities.</li> </ul>	



Target groups	Main common challenges	According to men
<b>Rural youth in the above categories</b>	<ul style="list-style-type: none"> <li>• No or limited access to land and financial services.</li> <li>• Lack of technical, business and entrepreneurial skills.</li> <li>• Lack of attractive job prospects in rural areas, resulting in migration to urban centres (leading to social/family disruption, ageing population in rural areas, and even more precarious working conditions).</li> <li>• Engagement in casual or seasonal wage work in the informal economy with low pay, low job security and no social protection.</li> <li>• Labour force participation rates for young women lower than for young men in many regions, lower payment for young women than men and higher risks of abuse, including SEA.</li> <li>• Lack of voice and poor organizational capacity.</li> <li>• High risk of using child labour, including the worst forms such as hazardous work in the agricultural sector.</li> </ul>	
<b>Persons with disabilities</b>	<ul style="list-style-type: none"> <li>• Social discrimination and stigma.</li> <li>• Lack of job and income earning opportunities, skills and training opportunities that can enhance their employability.</li> <li>• Higher risk of exploitation and abuse.</li> <li>• Exclusion or limited access to benefits from social protection schemes.</li> </ul>	
<b>Indigenous Peoples or ethnic minorities</b>	<ul style="list-style-type: none"> <li>• Live in remote, fragile locations, often unserved and with poorly developed infrastructure.</li> <li>• Face challenges in accessing their ancestral territories and common natural resources due to government restrictions and increasingly encroachment by external investors leading to land expropriations and displacement.</li> <li>• Their territorial and ecological management practices are not fully valued, hence receive limited external support and are increasingly being abandoned.</li> <li>• Shifting to market-oriented activities often occurs at the detriment of Indigenous Peoples' traditional livelihood strategies.</li> <li>• Often face discrimination due to their distinctive cultural values and social systems.</li> <li>• limited access to social protection (e.g. among pastoralists).</li> </ul>	

SOURCE: Authors, based on: FAO. 2016b. Incorporating decent rural employment in the strategic planning for agricultural development pp. 36-37. Rome. [www.fao.org/3/a-i5471e.pdf](http://www.fao.org/3/a-i5471e.pdf)



## EXAMPLES OF TARGETING STRATEGY AND MECHANISMS

Table A.5

Analysis of small-scale irrigation project components by beneficiary and equity issues, Malawi

Project sub-component	Main beneficiaries and nature of benefits	Farmers' contributions/ responsibilities	Equity issues	Project response
Rehabilitation and development of small-scale irrigation schemes and small storage reservoirs	<p><b>Beneficiaries</b></p> <ul style="list-style-type: none"> <li>Farmers with land on irrigation schemes.</li> </ul> <p><b>Nature of benefits</b></p> <ul style="list-style-type: none"> <li>Extend growing season.</li> <li>Diversify crops.</li> <li>Improve irrigation agronomic practices.</li> <li>Form WUAs.</li> <li>Develop skills in water management and asset maintenance.</li> </ul>	<ul style="list-style-type: none"> <li>Provide labour for scheme construction or rehabilitation works and non-cash inputs (value of 15 percent of the cost of works).</li> <li>Form a WUA.</li> <li>Pay user fees.</li> <li>Participate in maintenance works.</li> <li>Assume responsibility for ongoing management of the scheme.</li> </ul>	<ul style="list-style-type: none"> <li>Differing treatment between households and between men and women regarding plot allocation (e.g. area, location of plot, assured water supply, number of plots per household and inheritance).</li> <li>Reallocation of plot if household is unable to cultivate for one season.</li> <li>Inability of households with few able-bodied members to participate in maintenance works.</li> </ul>	<ul style="list-style-type: none"> <li>Increase transparency in plot administration, introduce grievance procedure.</li> <li>Make allowance if household is unable to cultivate a plot for a season.</li> <li>Identify alternatives for households with limited number of members to contribute to construction and rehabilitation work.</li> </ul>
Water harvesting and catchment conservation	<p><b>Beneficiaries</b></p> <ul style="list-style-type: none"> <li>Poorer farmers with only rainfed land in catchments around irrigation schemes.</li> </ul> <p><b>Nature of benefits</b></p> <ul style="list-style-type: none"> <li>Grants for demonstration sites.</li> </ul>	<ul style="list-style-type: none"> <li>Work in groups of at least five households.</li> <li>Construct water harvesting and conservation structures.</li> </ul>	<ul style="list-style-type: none"> <li>Activity dominated by irrigation beneficiaries.</li> </ul>	<ul style="list-style-type: none"> <li>Rainfed farmers to form own associations.</li> </ul>
Grants for farmer organizations for asset development, extension and marketing services	<p><b>Beneficiaries</b></p> <ul style="list-style-type: none"> <li>Farmer groups (with up to 15 members) creating productive assets or improving knowledge.</li> <li>Skills through extension support, training and marketing.</li> </ul> <p><b>Nature of benefits</b></p> <ul style="list-style-type: none"> <li>Grant of up to USD 3000 per group.</li> <li>Joint request from groups of farmer organizations to receive grant up to USD 15 000 (with a maximum of 30 large grants in total).</li> </ul>	<ul style="list-style-type: none"> <li>Minimum contribution of 10 percent of value of asset.</li> <li>Extension, training and capacity building to be funded entirely by grant.</li> </ul>	<ul style="list-style-type: none"> <li>Fund dominated by irrigation scheme beneficiaries.</li> <li>Poorer farmers and women less able to participate in groups and develop viable proposals.</li> </ul>	<ul style="list-style-type: none"> <li>Introduce quotas and graduate grant size.</li> <li>Conduct training in group formation and business skills to enable weak farmer groups and those farmers not yet in groups to benefit from grant fund.</li> </ul>
Inputs for assets	<p><b>Beneficiaries</b></p> <ul style="list-style-type: none"> <li>Labourers on community infrastructure projects (e.g. road rehabilitation).</li> </ul> <p><b>Nature of benefits</b></p> <ul style="list-style-type: none"> <li>Receive input voucher worth approximately USD 20.</li> </ul>	<ul style="list-style-type: none"> <li>Work for 20 days on community infrastructure asset.</li> </ul>	<ul style="list-style-type: none"> <li>Exclusion of households facing severe labour shortages.</li> <li>Exclusion of those unable to work for deferred benefits.</li> <li>Households for whom assets are not relevant.</li> </ul>	<ul style="list-style-type: none"> <li>Identify alternatives for poor households with limited number of members to contribute to construction and rehabilitation work.</li> </ul>

SOURCE: FAO. 2011a. Social analysis for agriculture and rural investment projects. Practitioner's guide. Rome. [www.fao.org/3/b1182e/b1182e.pdf](http://www.fao.org/3/b1182e/b1182e.pdf)



Table A.6

Targeting mechanisms for agricultural service support programme, Botswana

Mechanism	Activities by programme component
Geographical targeting	<ul style="list-style-type: none"> <li>Develop criteria to guide selection of Agricultural Service Centre (ASC) locations, in addition to agricultural productive potential (e.g. potential smallholder catchment within 50 km radius; available infrastructure and services – road, electricity, water; interest to private sector operators; location relevant to farming community).</li> </ul>
Enabling measures	<p><b>Sustainable agricultural production</b></p> <ul style="list-style-type: none"> <li>Recruit more women extension staff to improve outreach among women farmers.</li> </ul> <p><b>Enabling environment for smallholder agriculture</b></p> <ul style="list-style-type: none"> <li>Launch Ministry of Agriculture (MOA) agricultural gender policy framework.</li> <li>Review land tenure issues to improve access issues for women and youth.</li> <li>Review financial services to identify and address access issues for women and youth, including seasonal credit.</li> <li>Sensitize and build capacity of MOA senior management and operational staff in gender and youth issues.</li> <li>Train MOA gender focal points.</li> <li>Promote HIV/AIDS behaviour change communication among MOA staff.</li> <li>Prepare gender and HIV/AIDS plans for agriculture in each district.</li> </ul>
Empowering measures	<p><b>Sustainable agricultural production</b></p> <ul style="list-style-type: none"> <li>Introduce annual district best performance awards for women and youth in rainfed smallholder sub-sector.</li> </ul> <p><b>Service delivery to farmers</b></p> <ul style="list-style-type: none"> <li>Integrate gender and HIV/AIDS issues into training and refresher courses for extension staff.</li> <li>Ensure communication, extension materials and knowledge packages are gender sensitive (e.g. language, literacy level, topics).</li> <li>Ensure extension methodologies are gender sensitive and inclusive (e.g. location, timing, language).</li> <li>Develop farmer skills in farming as a business and entrepreneurship – record keeping, planning and savings.</li> <li>Provide training in household planning, gender empowerment, succession planning and financial management, and promote adult literacy classes.</li> <li>Promote linkages between ASCs and other sources of support for income generating activities for women and youth.</li> <li>Use ASCs as a base for providing community conversations for promoting HIV/AIDS behaviour change communication and establishing junior farmer field and life schools for orphans and other vulnerable children.</li> <li>Conduct leadership training, particularly for men from poorer households, women and youth.</li> <li>Support group formation and strengthening, including women/youth groups associations and networks.</li> <li>Encourage community participation (with women and youth representation) in ASC location and service provision.</li> </ul>
Direct targeting	<p><b>Sustainable agricultural production</b></p> <ul style="list-style-type: none"> <li>Establish quotas for women and youth to participate in allocation of irrigable land.</li> <li>Establish nutrition gardens for people living with HIV/AIDS.</li> </ul> <p><b>Service delivery to farmers</b></p> <ul style="list-style-type: none"> <li>Develop unallocated land for the youth to lease in groups.</li> <li>Establish quotas for women and youth to participate in community sensitization meetings, training, study tours for rainfed and irrigated lands.</li> <li>Establish quotas for men to participate in community conversations and increase participation in home-based care for people living with HIV/AIDS.</li> <li>Establish quotas for women and youth to participate in ASC management committees, farmer groups and associations, higher level farm organizations.</li> <li>Enabling environment for smallholder agriculture.</li> <li>Adapt criteria for accessing programme-supported credit to enable women and youth to participate.</li> <li>Repackage fund for women's projects – lower thresholds, small sums of money, easier to access.</li> <li>Consolidate funds for youth in agriculture and enterprise development.</li> <li>Appraise use of input vouchers or smart cards to support development of private sector.</li> </ul>
Self targeting measures	<p><b>Sustainable agricultural production</b></p> <ul style="list-style-type: none"> <li>Ensure programme support for draught animal power as well as tractors.</li> <li>Support conservation agriculture technologies suitable for adoption by women, youth and poorer households.</li> <li>Use labour-based works programmes for improving access roads to fields.</li> </ul>

<b>Procedural measures</b>	<b>Enabling environment for smallholder agriculture</b> <ul style="list-style-type: none"> <li>• Simplify and streamline application procedures and record-keeping.</li> <li>• Translate application forms and project documents into the local language.</li> <li>• Communicate criteria for participating in project to community.</li> </ul>
<b>Operational measures</b>	<b>Project management</b> <ul style="list-style-type: none"> <li>• Mainstream gender, youth and HIV/AIDS considerations into programme implementation manual.</li> <li>• Ensure ToR for project staff include responsibility for gender, youth and poverty targeting.</li> <li>• Discuss gender, youth and targeting issues at launch workshops, community sensitization meetings.</li> <li>• Ensure implementation partners, including private service providers, have demonstrable commitment and capacity with regard to pro-poor development, gender equality and women's empowerment.</li> </ul>
<b>Monitoring targeting performance</b>	<b>Enabling environment for smallholder agriculture</b> <ul style="list-style-type: none"> <li>• Identify gender and youth sensitive indicators and incorporate in logframe.</li> <li>• Ensure gender and youth dimension in baseline survey, impact assessments, and mid-term review.</li> <li>• Collect disaggregated data, conduct gender analysis and report on findings.</li> </ul>

SOURCE: FAO. 2011a. Social analysis for agriculture and rural investment projects. Practitioner's guide. Rome. [www.fao.org/3/b1182e/b1182e.pdf](http://www.fao.org/3/b1182e/b1182e.pdf)





## EXAMPLE OF GENDER MAINSTREAMING IN PROJECT ACTIVITIES

Table A.7

Example of gender mainstreaming for developing oilseed value chains in Uganda

Activity	Gender and poverty issues	Possible project responses
Access to seeds	<ul style="list-style-type: none"> <li>• Women often not directly involved in buying seeds for commercial crops.</li> <li>• When a household has limited cash, men may prefer to buy seeds for crops they have more control over.</li> </ul>	<ul style="list-style-type: none"> <li>• Increase women's role in household decision-making.</li> <li>• Promote food security farmer groups for poorer households.</li> </ul>
Production and harvesting	<ul style="list-style-type: none"> <li>• Women and/or men disadvantaged if their workloads increase as a result of value chain development without commensurate increase in access to benefits.</li> <li>• Shift to cash crop production either increases women's responsibility to meet household food and nutrition needs from other sources, or men's responsibility to purchase food.</li> <li>• Observing traditional gender division of labour results in delays in certain activities (e.g. women and children harvest the crop) and reduces overall productivity.</li> <li>• Household productivity compromised by labour-intensive household tasks.</li> <li>• Men's greater access to resources enables them to grow crops on larger scale than women; women generally disadvantaged because they have limited access to resources.</li> </ul>	<ul style="list-style-type: none"> <li>• Promote household planning to mobilize resources and share benefits together.</li> <li>• Encourage household to work as a unit and overcome gender division of labour.</li> <li>• Develop women's/men's skills in areas that are not traditionally considered to be in their own domain.</li> <li>• Target women and FHHs to participate in technology development, transfer and adoption.</li> <li>• Identify and promote labour-saving technologies.</li> <li>• Change mindsets in rural community to move towards more equitable distribution of workloads between women and men.</li> <li>• Encourage skills transfer among household members.</li> <li>• Strengthen women's access to productive resources (e.g. through land titles, access to microfinance).</li> <li>• Strengthen women's legal literacy.</li> <li>• Encourage women to grow commercial crops on group basis.</li> </ul>
Extension	<ul style="list-style-type: none"> <li>• Women are active as members of farmer groups.</li> <li>• Men often take on leadership positions.</li> </ul>	<ul style="list-style-type: none"> <li>• Provide leadership training for women and men.</li> <li>• Select women to host on-farm demonstrations and field days.</li> <li>• Encourage women's participation on exposure visits.</li> <li>• Technical service provision to farmer groups.</li> </ul>
Marketing	<ul style="list-style-type: none"> <li>• Women farmers more active in transporting small volumes to local markets by head.</li> <li>• Men dominate larger volume sales, even when crops were formerly regarded as being in the women's domain.</li> <li>• Men transport larger volumes to more distant locations using range of transport.</li> <li>• Women have more limited access to market information, less experience in negotiating skills, less experience in managing money.</li> <li>• Many farmers lack of business skills and experience of how to operate a farm as a business and produce for the market.</li> <li>• Large buyers and millers may take advantage of the weak bargaining position of many small, poorly-informed producers.</li> <li>• Increased risk of HIV infection among farming community and market intermediaries as a result of increased mobility and cash incomes associated with value chain development.</li> </ul>	<ul style="list-style-type: none"> <li>• Develop women's skills in managing and saving money.</li> <li>• Develop women's business, entrepreneurship and negotiation skills.</li> <li>• Promote women's self-help groups for processing, marketing, transporting and sharing market information.</li> <li>• Design strategies to provide women with more knowledge and information to enable them to make informed decisions (e.g. through community information networks).</li> <li>• Use quotas to ensure women farmers represented at value chain development stakeholder workshops.</li> <li>• Develop HIV/AIDS competence among community members.</li> <li>• Encourage HIV counselling and testing for all value chain actors.</li> <li>• Increase understanding of risks of HIV infections associated with value chain development and discuss risks at stakeholder workshops.</li> </ul>

<b>Market intermediaries</b>	<ul style="list-style-type: none"> <li>• Small independent traders and commission agents – many of whom are women – squeezed out as value chain is streamlined.</li> <li>• Smaller traders have limited capital with which to buy produce and to compete against larger buyers and millers, including those from neighbouring countries.</li> <li>• Millers strengthen farmer-miller linkages through contracts, increased use of buying agents and reluctance to buy small volumes from individual farmers.</li> </ul>	<ul style="list-style-type: none"> <li>• Develop women's and small traders' business, entrepreneurship and negotiation skills.</li> <li>• Promote women's self-help groups for transporting and sharing market information.</li> <li>• Provide women's entrepreneurship awards.</li> <li>• Introduce microloans for small business ventures with no collateral requirements.</li> <li>• Provide opportunities to develop alternative livelihoods.</li> <li>• Use quotas to ensure women and small-scale market intermediaries represented at value chain development stakeholder workshops.</li> </ul>
<b>Processing and value addition</b>	<ul style="list-style-type: none"> <li>• Small processors, millers and other value adders – many of whom are women – squeezed out as value chain is streamlined and processing becomes more regulated (for example, through application of milling standards).</li> <li>• Some characteristics of improved varieties (e.g. hard shell of hybrid sunflower) not suitable for local processing.</li> <li>• Loss of opportunity to diversify farm enterprises (e.g. poultry) because oilseed by-products no longer available at community level.</li> <li>• Lack of business skills in running processing and value addition activities as commercial ventures.</li> </ul>	<ul style="list-style-type: none"> <li>• Ensure hygiene and food safety standards are reasonable.</li> <li>• Be aware of implications of introducing new varieties for all stages of value chain.</li> <li>• Develop women's and small traders' business, entrepreneurship and negotiation skills.</li> <li>• Promote women's self-help groups for processing and sharing market information.</li> <li>• Provide women's entrepreneurship awards.</li> <li>• Introduce microloans for small business ventures with no collateral requirements.</li> <li>• Provide opportunities to develop alternative livelihoods.</li> <li>• Use quotas to ensure women and small-scale processors represented at value chain development stakeholder workshops.</li> </ul>
<b>Retailing</b>	<ul style="list-style-type: none"> <li>• Petty traders and retailers – many of whom are women - squeezed out by imposition of quality standards on oilseed market (for example, through food safety measures prohibiting use of recycled bottles for selling cooking oil).</li> </ul>	<ul style="list-style-type: none"> <li>• Use quotas to ensure women and small-scale retailers represented at value chain development stakeholder workshops.</li> <li>• Business skills provision to retailer groups.</li> </ul>

SOURCE: FAO. 2011a. Social analysis for agriculture and rural investment projects. Practitioner's guide. Rome. [www.fao.org/3/b1182e/b1182e.pdf](http://www.fao.org/3/b1182e/b1182e.pdf)





## ASSESSING ASSET BASE AND LIVELIHOODS STRATEGIES

Livelihood asset	Assessment of asset base	Examples of HH livelihoods/ coping strategies	Possible responses
<b>Human capital</b>	<ul style="list-style-type: none"> <li>• Considerable malnutrition.</li> <li>• High infant, child and maternal mortality.</li> <li>• Labour constraints.</li> <li>• High number of FHH often lacking labour, cash, access to resources, networks.</li> <li>• High HIV/AIDS prevalence resulting in burdens of caring for the sick, increased numbers of household dependents, low life expectancy and constrained household resources.</li> <li>• Low post-primary education rates.</li> <li>• Decent level of literacy.</li> <li>• Poor access to training, knowledge, skill-building opportunities.</li> </ul>	<ul style="list-style-type: none"> <li>• Reliance on development aid and/or mutual assistance.</li> <li>• Sale of assets to feed dependents, care the sick.</li> <li>• Withdrawal of children from school.</li> </ul>	<ul style="list-style-type: none"> <li>• Create safety net productive capacity initiatives for highly vulnerable households.</li> <li>• Provide support to home-based, community and school gardens and/ or set up or link up with school meals programmes.</li> <li>• Develop capacity for local government, service providers, civil society and NGOs in working in communities, particularly including with vulnerable households.</li> <li>• Provide LSTs for women, particularly heads of households, persons with disabilities and affected by chronic illness such as HIV/AIDS as well as resource-poor households.</li> <li>• Mobilize community-based extension workers/service providers to reach out to women, poor households and Indigenous communities.</li> </ul>
<b>Natural capital</b>	<ul style="list-style-type: none"> <li>• Increasingly degrading natural resources due to climate change.</li> <li>• Infertile soil.</li> <li>• Increasing limitations to land access, notably grazing lands.</li> <li>• Low and erratic rainfall.</li> <li>• Limited water sources.</li> </ul>	<ul style="list-style-type: none"> <li>• Using excessive quantity of fertilizers in the hope to make the land more productive, resulting in further damaging soil fertility.</li> <li>• Increasing competition over water resources resulting in rising conflicts within the community.</li> </ul>	<ul style="list-style-type: none"> <li>• Improve natural resource management through conservation farming, improved and climate-smart technologies.</li> <li>• Increase access to reliable water sources, e.g. through rural infrastructure (water pumps, wells) and by promoting water-conservation practices.</li> <li>• Promote drought-resistant varieties/climate-smart agriculture.</li> <li>• Expand/replicate community gardens.</li> <li>• Support households in diversifying their rural livelihoods through non-farm activities.</li> <li>• Acknowledge, value and support Indigenous Peoples' territorial and ecological management practices as well as traditional crops and breeds that are effective in preserving the environment and biodiversity.</li> </ul>
<b>Physical capital</b>	<ul style="list-style-type: none"> <li>• Limited access to irrigation.</li> <li>• Insufficient or non-operational . water sources/boreholes/dams.</li> <li>• Limited access to agricultural inputs.</li> <li>• Animal disease, poor animal health care.</li> <li>• Lack of production equipment as well as processing, storage and marketing facilities.</li> </ul>	<ul style="list-style-type: none"> <li>• Sales of livestock and other assets for cash needs.</li> <li>• Seasonal employment, migration.</li> <li>• Poor diet.</li> </ul>	<ul style="list-style-type: none"> <li>• Rehabilitate and develop small dams and irrigation schemes.</li> <li>• Repair/develop new boreholes and support community water management/WUAs.</li> <li>• Support the creation of community-based seed production groups and/or farmer associations that can enhance access to seeds and farm equipment.</li> <li>• Provide communities and/or producer associations with small-scale processing equipment and storage facilities.</li> <li>• Support community-based animal health care schemes and workers.</li> </ul>

<b>Financial capital</b>	<ul style="list-style-type: none"> <li>• Lack of start up capital.</li> <li>• Few income-generating options.</li> <li>• Limited currency in circulation – barter trade.</li> <li>• Most former savings and loans and rural banks collapsed and no longer supported by NGOs.</li> </ul>	<ul style="list-style-type: none"> <li>• Cross-border employment rendering little cash.</li> <li>• Innovative or increase in “secondary” income-generating sources (e.g. fetching firewood, collecting marula nuts, making crafts, panning for gold).</li> <li>• Borrowing from moneylenders at a high interest rate, hence worsening household’s economic situation.</li> </ul>	<ul style="list-style-type: none"> <li>• Facilitate the formation and capacitation of village-based women’s credit and saving groups.</li> <li>• Support commercial productive enterprises (e.g. inputs, markets, crop, horticulture, livestock).</li> <li>• Provide key assets for associations to start small businesses.</li> <li>• Build capacity for groups in business management and marketing.</li> <li>• Build capacity of professional farmer unions, including local clubs.</li> </ul>
<b>Social capital</b>	<ul style="list-style-type: none"> <li>• Existing cooperatives/ associations for gardening, small livestock, food processing.</li> <li>• Existing safety net/mutual aid associations (e.g. burial and church groups; HIV/AIDS home-based care and support groups) and practices (e.g. local school fees waived; households care for orphans and vulnerable children with support from NGOs).</li> <li>• Established local government and operational assemblies at village, ward, district and provincial levels.</li> <li>• Missing mechanism for community planning processing.</li> <li>• Inadequate leadership roles and voice for women, youth, Indigenous Peoples and other marginalized social groups in community key decision-making processes and institutions.</li> </ul>	<ul style="list-style-type: none"> <li>• Strengthen the capacity of community-based associations, cooperatives and institutions and make them more inclusive and transparent.</li> <li>• Facilitate a participatory community planning process in consultation with local institutions and provide training/ capacity building.</li> <li>• Support communities in improving the development planning process in a way it becomes more inclusive and participatory.</li> </ul>	<ul style="list-style-type: none"> <li>• Strengthen institutions to support community-based groups, associations.</li> <li>• Support traditional safety nets, mutual help and solidarity mechanisms based on social organization and customary governance systems, including among Indigenous Peoples and ethnic minority groups.</li> <li>• Strengthen local government structures, emphasizing inclusion in participatory planning.</li> <li>• Create pass-on schemes and vouchers to include the most vulnerable.</li> <li>• Provide support to enhance the performance of farmer unions, including at decentralized levels.</li> </ul>

SOURCE: Authors’ own elaboration.





## EXAMPLES OF INTERVENTIONS TO ENHANCE SOCIAL IMPACT OF PROJECTS OBJECTIVES

Project objectives	Examples of interventions for social impact
<p><b>Improved food security and nutrition</b></p>	<ul style="list-style-type: none"> <li>• Promote activities aiming to enhance household's access to nutritious, diversified and safe foods. These may include:                             <ul style="list-style-type: none"> <li>• Promoting climate-smart technologies and varieties and training provision to smallholders, including through FFS approach.</li> <li>• Prioritizing local and indigenous agrifood systems, with high nutritional value, and food crops controlled by women.</li> <li>• Exploring the potential of and promoting neglected and underutilized crops and wild edible plants.</li> </ul> </li> <li>• Implementing nutrition education activities to sensitize and inform on the importance of a nutritious and diversified diet, targeting women (including pregnant and lactating women), young people and girls. Nutrition education would also include training on safe food preparation, handling and conservation; and safe water, sanitation and hygiene aspects. Nutrition education could also be channeled through existing community groups and platforms (e.g. women groups, Dimitra Clubs, FFS, etc.).</li> <li>• Introducing labour-saving technologies and practices specifically for food preparation and agricultural mechanization.</li> <li>• Investing in post-harvest practices that can preserve food nutritional value, such as safe processing, storage facilities and transportation so as to increase food availability through the year.</li> <li>• Implementing household mentoring for a more equitable food allocation and greater women's decision making in food choices and patterns.</li> <li>• Supporting or improve home, community and school gardens and set up or link up with school meals programmes.</li> </ul>
<p><b>Improved land access and tenure security</b></p>	<ul style="list-style-type: none"> <li>• Support gender-equitable land governance systems by: sensitizing community leaders and members of local institutions; expanding women's participation in land institutions at all levels; ensuring women's participation the registration process.</li> <li>• Promote joint titling of husband and wife or the registration of women as the exclusive owners of their land.</li> <li>• When conducting parcel mapping, involve communities in the identification of land boundaries, while ensuring the presence of community members, including women.</li> <li>• Organize awareness campaigns on legal land rights and importance of land registration, targeting women in particular. Facilitate women's linkages with legal and para-legal assistance.</li> </ul>
<p><b>Strengthened Community-Based Organizations - CBOs</b></p>	<ul style="list-style-type: none"> <li>• Further to a mapping exercise of existing CBOs, develop a capacity gap and capacity building plan to support the CBOs to become inclusive, representative of the membership base, well governed and mature institutions providing responsive services to their members on a cost-recovery basis.</li> <li>• Set up quotas to facilitate the integration of socially-excluded people into CBOs.</li> <li>• Depending on demands/interest from the target groups and they type of support to be provided, facilitate the formation of women-only or youth-only CBOs.</li> <li>• When requested by their members, support CBOs in the process of formalization and/or aggregation into district-level or apex associations up to national level, which will enhance the services provided to their membership.</li> </ul>
<p><b>Inclusive value chains</b></p>	<p>Select agrifood chains that:</p> <ul style="list-style-type: none"> <li>• Employ or have the potential for employing women, youth and other socially marginalized groups, including in green jobs.</li> <li>• Are of interest to/controlled by/suitable to them.</li> <li>• Do not require considerable assets (e.g. start-up capital, land) or skills these groups do not often have.</li> <li>• Are climate-resilient.</li> <li>• Have nutritional value.</li> </ul> <p>Promote interventions aiming to improve or upgrade the position of small-scale actors in each stage of the agrifood chain, or overcome the challenges they face, for example:</p> <ul style="list-style-type: none"> <li>• Providing assets, equipment, training, mentorship/apprenticeship opportunities and business development services.</li> <li>• Enhancing the capacity of the public extension system, including for the delivery of women-friendly services.</li> <li>• Training private community-based service providers, including women, young people and Indigenous Peoples/ethnic minorities.</li> <li>• Enhancing small-scale actors' access to market information and digital technologies.</li> <li>• Organizing small-scale actors into groups and associations to enhance their production capacity and negotiating powers with traders.</li> </ul> <p>Further to market and value chain assessments, promote organic and fair-trade value chain development, with the integration of interested Indigenous Peoples and ethnic minorities.</p>

<p><b>Private sector engagement/PPPs</b></p>	<p>Based on geographic context, target group, availability and capacity of service providers and project focus, promote adequate institutional models for mutually-beneficial and inclusive business arrangements between smallholders and private agribusiness entities. These may include:</p> <ul style="list-style-type: none"> <li>• Outgrower schemes or contract farming arrangements.</li> <li>• Organizing and capacitating producers' organizations and facilitating their linkages with private entities.</li> <li>• Joint ventures between private companies and producers' groups as co-owners of the enterprise.</li> <li>• PPP models.</li> </ul>
<p><b>Resilience to climate change impacts</b></p>	<p>Implement a set of integrated, long-term interventions aiming to mitigate the impact of climate change on resource poor and vulnerable people and strengthen the effectiveness of their coping strategies. These may include:</p> <ul style="list-style-type: none"> <li>• Investing in their asset base and livelihood diversification to increase resilience to climatic hazards.</li> <li>• Enhancing early warning systems as well as disaster preparedness and management systems.</li> <li>• Facilitating linkages with social protection mechanisms and support their safety nets.</li> </ul> <p>Promote gender-based climate-smart and climate-resilient crops, varieties and livestock breeds; farming practices; labour-saving technologies; infrastructure; and water supply and sanitation facilities.</p> <p>Promote territorial and ecological management practices adopted by Indigenous Peoples and ethnic minorities that proved effective in environmental protection and biodiversity conservation.</p> <p>Provide or expand access to climate information and services, through the most appropriate communication tools and approaches.</p> <p>Promote renewable energy (such as biogas) to produce cleaner energy and to reduce deforestation.</p>
<p><b>Improved rural infrastructure</b></p>	<ul style="list-style-type: none"> <li>• Promote irrigation LSTs for women and children and ensure that water and sanitation facilities are nearby for easing women's access.</li> <li>• Mobilize very poor people for basic construction and/or maintenance work (e.g. village roads, irrigation canals) to offer them income-generating opportunities and enhance their social status.</li> <li>• Ensure that project-built infrastructure is suitable for women, persons with disabilities and climate-smart. Ensure that when building rural markets, women-only market spaces are planned and security and safety are taken care of through appropriate mechanisms.</li> <li>• Support and strengthen WUAs for the use and management of community infrastructure. Ensure that WUAs are socially inclusive and women and other marginal groups are represented and also act as leaders.</li> <li>• Engage diaspora communities for village-level small-scale infrastructure development or rehabilitation.</li> </ul>

SOURCE: Authors' own elaboration.





## ASSESSING AND RESPONDING TO RISKS AND ADVERSE IMPACTS

Type of risk / adverse impacts	Basic assessments	Possible mitigation actions	Useful resources*
<b>Public health, safety and security</b>	<p>Assess whether project activities may cause:</p> <ul style="list-style-type: none"> <li>Public health or safety concerns, for example due to use of agrochemicals, fertilizers and pesticide.</li> <li>Occupational diseases or diseases associated to the rural environment (e.g. high temperatures, unclean water, proximity to plants and animals).</li> <li>Further spread of diseases, for example due to migration.</li> </ul>	<p>Promote the adoption of labour standards in rural jobs, including those related to safety, use of pesticides, etc.</p> <p>Facilitate the formation of trade unions; linking to social protection mechanisms; setting up awareness raising, prevention, testing and care services.</p>	<p>Specific social and environmental safeguards</p>
<b>Gender-based violence - GBV</b>	<p>Identify the main types of GBV affecting the target groups (e.g. physical abuse, sexual violence, emotional and psychological abuse, harmful traditional practices) and the root causes.</p> <p>Assess the likelihood of project activities inadvertently raising the risk for, or exacerbating GBV. These may include activities to empower women, which may be perceived as threatening to upheld social norms and values.</p> <p>Assess the capacity of existing institutions that address GBV issues.</p>	<p>Incorporate GBV into a comprehensive set of interventions to address its root causes, for example:</p> <ul style="list-style-type: none"> <li>Supporting women's access to education, information, productive and financial assets.</li> <li>Facilitating women's organization into networks and associations.</li> <li>Introducing gender transformative approaches, such as household methodologies to ensure that men take active part in the change process and to reduce the risk of conflicts within the household.</li> </ul> <p>Identify opportunities of coordination with entities/mechanisms working on GBV and provide them with support and capacity building measures if required.</p>	<p>Specific social safeguards</p> <p>FAO, How can we protect men, women and children from gender-based violence?</p> <p>FAO, Protection from Gender-based Violence in Food and Nutrition Security Interventions</p>
<b>Land acquisition / involuntary resettlement</b>	<p>If land acquisition and/or resettlement is unavoidable, assess the following:</p> <ul style="list-style-type: none"> <li>What is the ownership status and current use of the concerned land?</li> <li>How will the land acquisition affect owners and tenants who have no land titles (e.g. sharecroppers or Indigenous Peoples)?</li> <li>Will land acquisition lead to loss in agricultural land, crops, trees, housing, assets, facilities, services and in loss of households' income, livelihoods sources and socio-economic activities?</li> <li>Will land acquisition affect Indigenous Peoples' ancestral land, territories, natural and cultural resources and farming, production, livelihoods activities?</li> <li>Is there any encroachment or squatting in the project area?</li> </ul>	<p>FPIC from the affected communities, putting in place mitigation and/or compensation measures.</p> <p>In case Indigenous Peoples are affected, promote a set of integrated activities to: i) secure ownership of and/or access to ancestral land; ii) strengthen Indigenous Peoples' institutions; and iii) value and promote Indigenous Peoples knowledge and food systems.</p>	<p>Specific social safeguards to follow</p> <p><a href="#">Seeking, free, prior and informed consent in IFAD investment projects – How to do Note</a></p>

<p><b>Conflict within communities</b></p>	<p>Assess whether there is an existing or potential risk of exacerbating tension or raising conflict between certain social groups (e.g. Indigenous Peoples; pastoralists; migrants, refugees and IDPs) in the target areas.</p>	<p>Promote awareness raising on the importance of integration and social cohesion.</p> <p>Provide training to national and local partners on conflict-management and resolution.</p> <p>Facilitate dialogue between the parties, including through working closely their associations and other institutions.</p>	
<p><b>Labour conditions and standards</b></p>	<p>Assess whether there are risks of poor, unsafe or hazardous labour conditions in agricultural production or rural employment along the agrifood chain, especially affecting particularly exposed social groups (rural youth, women, agricultural and migrants).</p> <p>Assess the likelihood of the project inadvertently contributing to: social discriminations; forced or child labour; lack of freedom of association; GBV and SEA; precarious, hazardous, and/or unsafe employment conditions.</p> <p>Identify the main causes of poor labour conditions, for example: poor social protection systems; unskilled rural workers; limited job opportunities; poor organizational capacity of workers to voice their rights; workforce shortages.</p> <p>Assess the policy and legal framework related to decent rural employment and whether agricultural policies address decent employment issues and child labour.</p> <p>Assess whether social protection mechanisms/schemes are extended to small producers and informal rural workers, including the target group.</p>	<p>Depending on the causes identified, promote long-term, structural interventions or specific responses, such as:</p> <ul style="list-style-type: none"> <li>• Formation and strengthening of CBOs.</li> <li>• Support to SMEs.</li> <li>• Linking vulnerable people to social protection programmes.</li> <li>• Boosting rural labour supply, for example by investing in skills development, establishing mechanisms for matching job demand and supply, providing job placement services, or promoting JFFLS.</li> </ul> <p>Promote the adoption of labour standards in rural jobs, to ensure safe use of pesticides, minimum wages, non-discrimination at work, maternity protection, use of LSTs for women and persons with disabilities, rights of workers to form networks, etc.</p> <p>Engage in policy dialogue to ensure that labour standards are adequately incorporated into the national policy and legal framework or enforced, including in the context of project activities.</p> <p>Promote alternative working arrangements with decent working conditions.</p>	<p>Specific social safeguards FAO Decent Rural Employment tools</p> <p><a href="#">Guidance on how to address decent rural employment in FAO country activities</a></p> <p><a href="#">FAO - Incorporating decent rural employment in the strategic planning for agricultural development</a></p>



<p><b>Child labour</b></p>	<p>Assess whether there is a risk of perpetuating of incentivizing child labour in the context of the project and identify gender and age differences in child labour practices.</p> <p>Identify the main drivers for child labour and whether this affects children's education and school attendance. Assess whether there are effective mechanisms in place to prevent and address child labour in agriculture, including protection systems for children.</p>	<p>Address child labour through three main interventions:</p> <ul style="list-style-type: none"> <li>• Prevention measures, aiming to eliminate the underlying causes of child labour, hence requiring investing in reducing households' poverty and food insecurity and in children's education.</li> <li>• Protection measures, aiming to safeguard working age children who have completed their basic education, protecting them from unsafe and hazardous working conditions.</li> <li>• Transformation and remedy measures, aiming to remove children from labour while providing elements of protection and prevention (e.g., alternative work placement and awareness raising) or reintegration of former child laborers into education, and psycho-social support, etc.</li> </ul> <p>Other measures include: introducing LSTs for acceptable activities performed by children at the household level, including young women, and agricultural mechanization; implementing JFFLS and school feeding programmes; and child-labour sensitive social protection interventions.</p>	<p>Specific social safeguards</p> <p>FAO Framework on Ending Child Labour in Agriculture</p> <p>FAO, Eliminating Hazardous Child Labour through Safe and Sustainable Farming Practices</p> <p>FAO, Addressing Hazardous Child Labour and Reducing Risks posed by Hazardous Pesticides</p>
<p><b>Increasing women's workloads</b></p>	<p>Assess whether project activities (including those aimed to enhance women's economic empowerment) could exacerbate women's workloads, worsen household nutrition, or result in child labour practices.</p>	<p>Sensitize household members to balanced household responsibilities.</p> <p>Introduce LSTs and women-sensitive mechanization.</p> <p>Promote social protection interventions for particularly vulnerable women and children.</p>	<p>IFAD, How to do – Household Methodologies</p> <p>FAO, Fostering the Uptake of Labour-Saving Technologies</p> <p>FAO, IFAD, UNIDO, Addressing Women's Work Burden</p> <p>IFAD, Reducing Rural Women's Domestic Workload</p> <p>IFAD, Compendium of Rural Women's Technologies and Innovations</p>

**NOTE:**

\* Depending on the country, development agency and risk, specific social safeguards and national and international instruments will be used as reference in the design process.

SOURCE: Authors' own elaboration.



## EXAMPLES OF POTENTIAL RISKS AND MITIGATION MEASURES

Type of sectoral intervention or project activity	Potential risk/anticipated adverse impacts	Possible prevention and mitigation measures
<p><b>Agrifood value chains</b></p>	<p>Exclusion of poor people, particularly women, youth, persons with disabilities and the landless.</p> <p>Focus exclusively on the profitable aspect when selecting value chains can be at the detriment of local food security and nutrition, hence affecting the poorest and most food insecure.</p>	<p>Removing entry barriers for poor people and disadvantaged groups, including in accessing credit, land, vocational training, extension and business services.</p> <p>When selecting value chains, taking into consideration other aspects too (employment generation, nutritional value, accessibility for certain social groups in terms of skills and resources required, etc.).</p> <p>Promoting women's integration into VC activities that are best suited with them, such as seed production and nursery management.</p> <p>Providing women with gender-sensitive small-scale processing infrastructure and women-friendly market space.</p> <p>Organizing women-only production, processing and marketing groups.</p> <p>Targeting landless people for post-production employment opportunities along the value chain.</p> <p>Targeting young people and persons with disabilities for ICT-related jobs along the value chain, which are more attractive/suitable to them.</p>
<p><b>Rural infrastructure development (roads, irrigation canals, rural markets...)</b></p>	<p>Land acquisitions/resettlements.</p> <p>Elite capture by better off or powerful social groups.</p> <p>Mobilization of seasonal labour for construction work that may result in:</p> <ul style="list-style-type: none"> <li>• Poor/hazardous working conditions.</li> <li>• Increased workloads, safety risks and/or stigma for household members left behind.</li> <li>• Increased prevalence of HIV/AIDS.</li> </ul>	<p>If land acquisitions/resettlements are not avoidable, seeking communities' FPIC and putting in place mechanisms for mitigating, minimizing or compensating for the impact on rural communities (refer to social safeguards).</p> <p>Adopting a community participatory planning process ensuring participation of women, youth and other traditionally marginalized groups, for the identification of infrastructure sites in the village.</p> <p>Whenever possible, mobilizing local communities, particularly the poorest and most disadvantaged social segments, as contractors or for basic infrastructure maintenance work.</p> <p>Facilitating the formation of water user groups (WUGs) with inclusive social representation to enhance the likelihood of equitable location of water facilities and of water allocation.</p> <p>Setting up women-only market spaces.</p> <p>Engaging in policy dialogue to strengthen or enforce national regulations and/or international labour standards to promote safe and secure work environment.</p> <p>Promoting social protection schemes and LSTs.</p> <p>Developing seasonal migration schemes, involving training orientation prior to departure covering labour rights, HIV/AIDS education...</p>



<p><b>Access to finance, income-generating opportunities and/or markets for rural women</b></p>	<p>Increased conflict and GBV at household level due to women's higher socioeconomic status that may be perceived as threatening by men.</p>	<p>Adopting household methodologies so that men take part in the women's empowerment process leading to more equitable decision-making power, control over assets and benefits sharing at household level.</p>
<p><b>Youth employment and child lab in agriculture</b></p>	<p>Poor or even hazardous labour conditions, resulting in health and safety risks.</p> <p>Child labour; discrimination and/or sexual exploitation, especially of young women.</p>	<p>Engaging in policy dialogue to strengthen or enforce national regulations and/or international labour standards to foster decent rural employment, prevent/address child labour in agriculture and apply the principle of equal opportunity and fair treatment.</p> <p>Promoting education, including informally through basic literacy, numeracy and life skills, to young people under the working age.</p> <p>Promoting specific interventions aiming to create employment opportunities for young people in agriculture. These may include:</p> <ul style="list-style-type: none"> <li>• Ensuring children and young people receive basic education, while addressing households' poverty and vulnerability, which are among the main underlying causes of child labour.</li> <li>• Enhancing employability through training and capacity building.</li> <li>• Facilitating access to land and credit.</li> <li>• Direct targeting for jobs in post-production and marketing along the value chain.</li> <li>• Setting up quotas for membership of women and youth in producer associations and SMEs and/or establishing women-only/youth-only groups and enterprises.</li> <li>• Promote gender transformative approaches (e.g. GALS) and life skills development opportunities for young people (e.g. JFFLS) to bring about women and youth empowerment.</li> </ul>
<p><b>Land titling and registration</b></p>	<p>Increased conflict within communities.</p> <p>Increased gender inequalities.</p>	<p>Adopting a community participatory process, ensuring equal social representation, involving local institutions, providing villagers with legal support, setting up dispute resolution mechanisms and resorting to higher-level authorities should conflict escalate.</p> <p>Promoting co-spousal registration of land titles and engaging in country policy dialogue for the legal recognition of women's land rights.</p>
<p><b>Agricultural mechanization</b></p>	<p>Reduced unskilled job opportunities, especially for women.</p>	<p>Taking advantage of mechanization reducing women's workloads and freeing up their time, identifying training or income-generating opportunities for them.</p>
<p><b>Nutrition education targeting women in particular</b></p>	<p>Risks to convey the stereotyped messages on gender roles and to reinforce gender inequalities whereby women only and not men are responsible for household caregiving.</p>	<p>Ensuring that not only women but also young people and the household as a whole participate in nutrition education campaigns – albeit through different modalities.</p>

SOURCE: Authors' own elaboration.



## EXAMPLES OF INDICATORS BY THEMATIC AREA

Type of project or thematic area	Output Indicators	Outcomes Indicators	Impact Indicators
<b>Gender equality and women's empowerment</b>	<p>Number or percentage of women participating in project activities.</p> <p>Number or percentage of women participating in trainings delivered by the project.</p> <p>Number or percentage of women reporting increased access to inputs.</p> <p>Number or percentage of women that are members or leaders of CBOs or number of women only CBOs formed/ supported by the project.</p> <p>Number of LSTs introduced for use by the women.</p>	<p>Number or percentage of women engaged in IGAs or employment opportunities.</p> <p>Number or percentage of women reporting enhanced access to/control over inputs, assets, technologies and services.</p> <p>Number or percentage of women reporting improvements in their diets.</p>	<p>Number or percentage of women reporting increased well-being and reduced workloads.</p> <p>Number or percentage of women reporting increased agricultural production.</p> <p>Number or percentage of women reporting increase in income earned and control over it.</p> <p>Increased number or percentage of women involved along the value chain.</p> <p>Number or percentage of women reporting increased social status, voice and decision-making at household and community-level.</p> <p>Number or percentage of women with security of land tenure/rights.</p> <p>Number or percentage of women accessing and using financial services.</p> <p>Enabling policies or laws newly promulgated or enforced around women issues (e.g. on land tenure and inheritance rights, under-age marriage, GBV...).</p>
<b>Market access, entrepreneurship development and value chains</b>	<p>Number or percentage of smallholder trained in post-production, processing and marketing (disaggregated).</p> <p>Number or percentage of smallholder trained in business and entrepreneurship development (disaggregated).</p> <p>Producer/marketing groups formed or strengthened.</p> <p>Number of members of producer/ marketing groups (disaggregated).</p> <p>Number or percentage of producer/ marketing groups with women or youth as leaders.</p>	<p>Number or percentage of smallholder producers reporting improved access to markets or value chains (disaggregated).</p> <p>Number of producer/marketing groups institutionally and economically sustainable.</p> <p>Number or percentage of people engaging in new IGAs or with new jobs or working in SMEs (disaggregated).</p> <p>Number of small producers (disaggregated) or CBOs engaging private sector through business/ partnership arrangements.</p>	<p>Number or percentage of smallholders reporting increases in production and sales (disaggregated).</p> <p>Number or percentage of smallholders reporting increases in value of produce and final market price obtained.</p> <p>Increase in food availability in the market.</p> <p>Reduced food losses along the chain.</p>

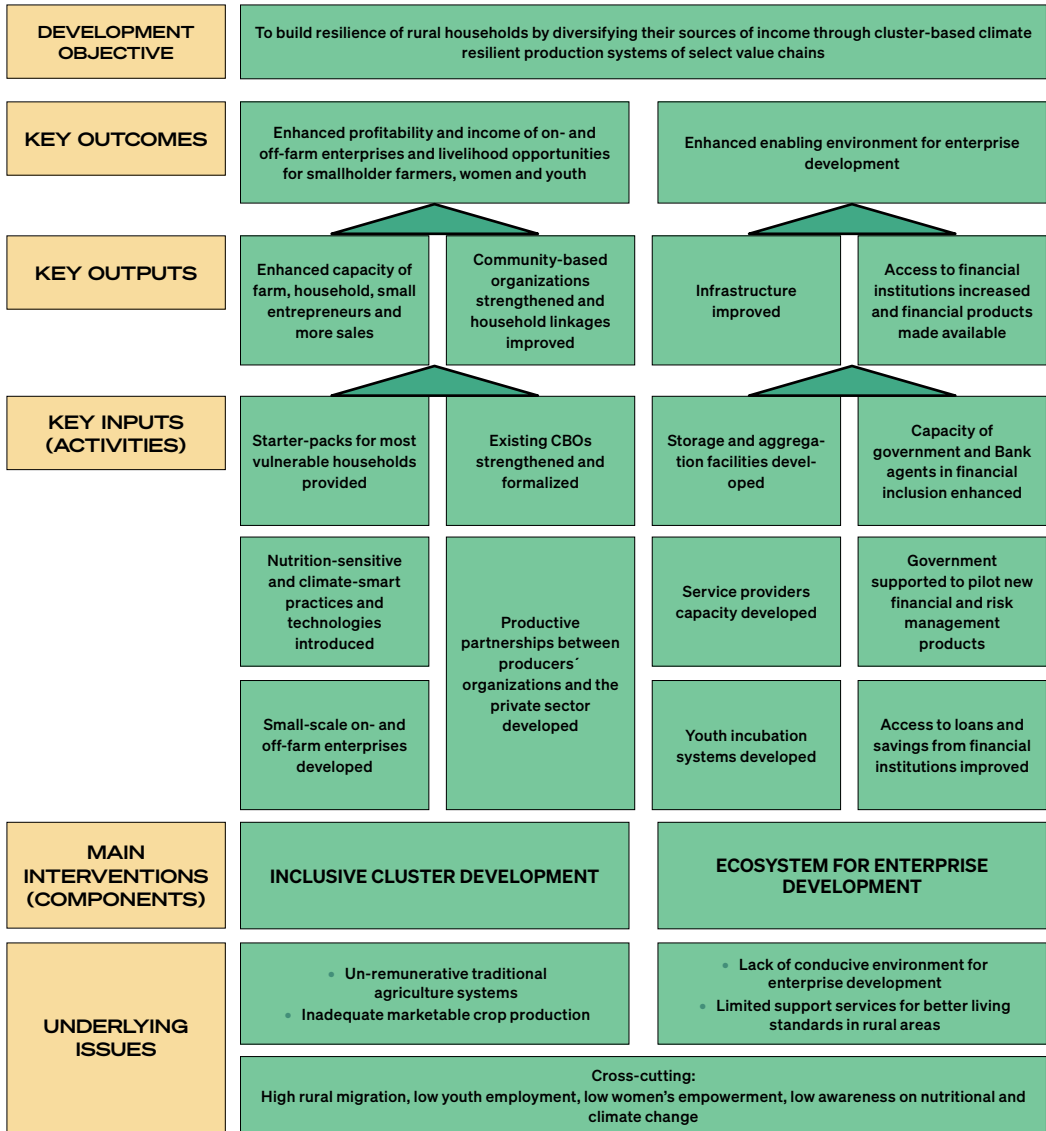


<p><b>Food security and nutrition</b></p>	<p>Number or percentage of people that participated in nutrition education trainings (by gender and age).</p> <p>Number or percentage people (disaggregated by gender) or households engaging in home gardening.</p> <p>Number or percentage young people undertaking learning activities through school or community gardens.</p>	<p>Number or percentage of people that changed nutrition behaviour (food habits; preparation, handling and conservation practices; breastfeeding and feeding practices for children) as a result of nutrition education (by gender and age).</p>	<p>Number or percentage of people with improved dietary diversity (disaggregated).</p> <p>Reduced stunting and wasting among children under five years.</p> <p>Reduced maternal malnutrition and anemia among women (including pregnant and lactating women).</p> <p>Reduced prevalence of micronutrient deficiencies among children under 5 years and women.</p> <p>Reduced prevalence of obesity and over-weight as well as diet-related NCDs.</p>
<p><b>Promoting community development and community-based organizations (CBOs)</b></p>	<p>Number of community plans formulated through a participatory process.</p> <p>Number of CBOs formed/ strengthened.</p> <p>Number of CBOs with women or youth in leadership positions.</p> <p>Number of apex associations formed/ strengthened.</p> <p>Number of community facilitators or service providers mobilized and trained (disaggregated).</p>	<p>Number or percentage of CBOs and/ or their members (disaggregated) reporting improved access to inputs, information and services.</p> <p>Number of small producers (disaggregated) and/or CBOs engaging private sector through business/partnership arrangements.</p>	<p>Number or percentage of sustainable CBOs and apex associations.</p> <p>Number or percentage smallholder producers (disaggregated) and/or CBOs reporting enhanced production quantity and quality and marketed produce at fair price.</p> <p>Number or percentage smallholder producers (disaggregated) and/or CBOs reporting increased availability of pluralistic, responsive, demand-driven and closer-to-clients service providers (i.e. community-based service providers, CBOs).</p> <p>Social, gender and institutional transformation brought about at the community level through CBOs (e.g. women taking up leadership positions in village-level institutions; participation and voice of women, youth and marginalized groups in community decision-making processes).</p>
<p><b>Climate change</b></p>	<p>Number or percentage of people trained in sustainable natural resource management, climate change adaptation/mitigation and climate-smart farming practices, and disaster risk management (disaggregated).</p> <p>Number of CBOs involved in natural resource management, climate change adaptation/mitigation and climate-smart farming practices, and disaster risk management.</p> <p>Number or percentage of people with increased access to climate information, technologies and/or services (disaggregated).</p>	<p>Number or percentage of people with increased capacity of managing natural resources, environmental and climate impacts and risks (disaggregated).</p>	<p>Improved management and conservation of natural resources (e.g. land, water, forests).</p> <p>Number or percentage adopting environmentally sustainable and climate resilient technologies and practices.</p> <p>Number or percentage of people (disaggregated) or households with increased resilience to climate variability and hazards.</p>

SOURCE: Authors' own elaboration.



# THEORY OF CHANGE: EXAMPLE FROM AN INCLUSIVE AGRIFOOD INVESTMENT



SOURCE: IFAD. 2021. Rural Enterprise Acceleration Project (REAP) - Project Design Report. [www.ifad.org/documents/38711624/39485424/India+2000003737+REAP+Project+Design+Report+October+2021.pdf/bcbdbbf4-206f-903a-9f18-f51e2822c0f8?t=1641383637592](http://www.ifad.org/documents/38711624/39485424/India+2000003737+REAP+Project+Design+Report+October+2021.pdf/bcbdbbf4-206f-903a-9f18-f51e2822c0f8?t=1641383637592)





## RESULTS FRAMEWORK: EXAMPLE FROM AN INCLUSIVE AGRIFOOD INVESTMENT

Results hierarchy	Indicators				Means of verification			Assumptions
	Name	Base-line	Mid-term	End target	Source	Frequency	Responsibility	
Outreach	<b>1. Persons receiving services promoted or supported by the project</b>				Project monitoring	Quarterly	PMU/DPMU	Project implementation undertaken without delay and with adequate release of financial resources.
	Males - Males							
	Females - Females		240 000	336 000				
	Young - Young people		264 000	403 200				
	Indigenous Peoples		56 000	117 600				
	Total number of persons receiving services - Number of people		480 000	672 000				
	<b>1.b Estimated corresponding total number of household members</b>				Project monitoring	Quarterly	PMU/DPMU	
	Household members - Number of people		1 960 000	2 744 000				
	<b>1.a Corresponding number of households reached</b>				Project monitoring	Quarterly	PMU/DPMU	
	Women-headed households - Households							
Non-women-headed households - Households								
Households - Households		400 000	560 000					
Project goal Contribute to the doubling of income of rural households and reducedistress rural out migration.	<b>Percentage of households reporting increase in income by 35 percent above baseline</b>				Impact assesment	At baseline, midterm and completion	PMU	
	Households - Percentage		25	70				
	<b>Percentage of returnee migrants supported</b>				Impact assesment	At baseline, midterm and completion	PMU	
	Households - Percentage		15	30				

Results hierarchy	Indicators				Means of verification			Assumptions
	Name	Base-line	Mid-term	End target	Source	Frequency	Responsibility	
<b>Development objective</b> To build resilience of rural households by diversifying their sources of income through intensified cluster based climate resilient production systems, promotion of farm and off-farm enterprises and creating a supportive ecosystem.	<b>3.2.2 Households reporting adoption of environmentally sustainable and climate-resilient technologies and practices</b>				Impact assesment	At baseline, midterm and completion	PMU	Government's infrastructure and other development efforts converge with this project activities.
	Total number of households members - Number of people							
	Households - Percentage		20	50				
	Women-headed households - Households							
	Households - Households							
	<b>Percentage of rural enterprises reporting increases in income</b>				Impact assesment	At baseline, midterm and completion	PMU	
Households - Percentage		25	70					
<b>Outcome agriculture</b> production of rural households intensified and farm, off-farm and non farm enterprise promoted, employment opportunities created.	<b>SF.2.1 Households satisfied with project-supportive services</b>				Annual Outcome Survey	Annual	PMU	Adequate capacity is built within UGVS to address the needs of producer organizations and rural entrepreneurs and extreme.
	Household members - Number of people		25	70				
	Indigenous Peoples - Households							
	Women-headed households - Households		15	30				
	Households - Percentage							
	<b>SF.2.2 Households reporting they can influence decision-making of local authorities and project-supported service providers</b>				Annual Outcome Survey	Annual	PMU	
	Household members - Number of people							
	Indigenous Peoples - Households							
	Women-headed households - Households							
	Households (number) - Households							
	<b>Percentage of new or improved rural producers's organization members reporting services provided by the organization</b>				Annual Outcome Survey	Annual	PMU	
Members RPOs - Percentage		50	90					
<b>Percentage of households reporting increase in marketable volumes</b>				Annual Outcome Survey	Annual	PMU		
Households - Percentage		20	60					

SOURCE: IFAD. 2021. Rural Enterprise Acceleration Project (REAP) - Project Design Report. [www.ifad.org/documents/38711624/39485424/India+2000003737+REAP+Project+Design+Report+October+2021.pdf/bcbddbf4-206f-903a-9f18-f51e2822c0f8?t=1641383637592](http://www.ifad.org/documents/38711624/39485424/India+2000003737+REAP+Project+Design+Report+October+2021.pdf/bcbddbf4-206f-903a-9f18-f51e2822c0f8?t=1641383637592)





## GUIDING QUESTIONS FOR INCLUSIVE AND GENDER-SENSITIVE VALUE CHAIN SELECTION

Key criteria	Impact Indicators
<b>Opportunity for the inclusion of disadvantaged groups</b>	<ul style="list-style-type: none"> <li>• Do disadvantaged groups participate in the value chain? Which groups, with which function/role?</li> <li>• Do these groups have the necessary skills to participate in and benefit from it? If not, can they easily acquire them?</li> <li>• Do these groups have access to and control over assets, equipment, and sales incomes from their activities along the chain?</li> <li>• What are the main barriers to enter the value chain that disadvantaged groups face?</li> </ul>
<b>Potential to advance women's empowerment</b>	<ul style="list-style-type: none"> <li>• Is the share of women involved in the value chain relatively high?</li> <li>• Are there many female entrepreneurs already active along the value chain?</li> <li>• What is the average size of existing women-led enterprises? Are they formal or informal businesses?</li> <li>• Does the value chain offer new employment or entrepreneurial opportunities for women? For youth? In which specific nodes?</li> <li>• Do women usually own and control equipment and assets used in their work?</li> <li>• Do women have (or can they easily acquire) the skills needed to upscale their business, e.g. through processing or product diversification?</li> <li>• Do women usually control the income earned through their business/economic activity?</li> <li>• Can the work be performed close to home? Do workers have to travel far from their household/community?</li> <li>• Is this a value chain with low entry barriers for poor entrepreneurs (low start-up costs not requiring major capital investment, using low technological skills)?</li> <li>• Is this a value chain with low entry barriers for women in particular? Is the work compatible with women's common time and mobility constraints? Is the activity or business acceptable for women according to prevailing cultural norms?</li> </ul>
<b>Working conditions</b>	<ul style="list-style-type: none"> <li>• What are the working conditions that disadvantaged groups experience along the chain?</li> <li>• What are the health and safety risks for entrepreneurs and workers in the different stages or functions of the value chain?</li> <li>• How prevalent is freedom of association and how is it regulated?</li> <li>• Is child labour present in the value chain? If so, at what level and in which activities?</li> </ul>
<b>Impact of the value chain on surrounding communities</b>	<ul style="list-style-type: none"> <li>• Are the rights to food, health, property (land) and water (access and use) of surrounding communities respected? If so, how?</li> <li>• Is there a risk of the value chain causing or being subject to conflict(s) and tensions in society? If so, how?</li> <li>• Are there any other risks of human rights violations in the value chain? Do individual workers or communities have access to grievance mechanisms in case of human rights violations?</li> </ul>

SOURCE: FAO. 2018. Developing Gender-Sensitive Value Chains - Guidelines for Practitioners. [www.fao.org/3/i9212en/I9212EN.pdf](http://www.fao.org/3/i9212en/I9212EN.pdf)



## EXAMPLES OF INDICATORS TO ASSESS GENDER-DISCRIMINATORY NORMS

Areas of gender-discriminatory norms	Examples of indicators to assess gender-discriminatory norms
<b>Access to and control over productive assets</b>	Percentage of women and men in the community who believe that: <ul style="list-style-type: none"> <li>• It is typical for assets to be owned by a man.</li> <li>• Only men can take care of large livestock.</li> <li>• Most people would disapprove of a woman who owned land in her own name.</li> <li>• Most people would disapprove of the practice of women inheriting land.</li> </ul>
<b>Access to and control over income</b>	Percentage of women and men in the community who believe that: <ul style="list-style-type: none"> <li>• Men are the primary income earners in most households.</li> <li>• Most people would disapprove of women having and controlling their own income and savings.</li> </ul>
<b>Access to extension, technology and financial services</b>	Percentage of women and men in the community who believe that: <ul style="list-style-type: none"> <li>• Only men should interact with male extension agents.</li> <li>• People would disapprove of a woman who interacts with male extension agents.</li> <li>• Women do not have the required knowledge, skills, or confidence to access financial services.</li> <li>• Women are less credit worthy than men.</li> <li>• Most people would disapprove of a woman who operates agricultural machinery.</li> <li>• Most people consider women who use technology (e.g. mobile phones and/or the Internet) as immoral or promiscuous.</li> </ul>
<b>Access to education or training</b>	Percentage of women and men in the community who believe that: <ul style="list-style-type: none"> <li>• Girls do not need to complete secondary school.</li> <li>• Most parents do not allow their daughters to complete secondary education.</li> <li>• Only men should participate in agricultural extension training.</li> </ul>
<b>Leadership and public speaking</b>	Percentage of women and men in the community who believe that it is not common for women to: <ul style="list-style-type: none"> <li>• Hold leadership roles in community groups.</li> <li>• Be members of rural organizations.</li> <li>• Hold leadership roles at their workplace.</li> <li>• Speak out in public meetings.</li> </ul>
<b>Child marriage and reproductive planning</b>	Percentage of women and men (young and old) in the community, who believe that: <ul style="list-style-type: none"> <li>• Most couples use family planning.</li> <li>• Most girls have access to sexual and reproductive health services.</li> <li>• Families would disapprove if their girls tried to access sexual and reproductive health services, and/or modern contraceptives.</li> <li>• Girls have a say in whether, when and whom they should marry.</li> </ul>
<b>Household and care responsibilities</b>	Percentage of women and men in the community who believe that: <ul style="list-style-type: none"> <li>• It would be uncommon for a man and woman to share childcare and household chores equally.</li> <li>• A husband who helps his wife with household chores will not be respected by his family or the community.</li> <li>• Most men have the final say in decisions made at home.</li> </ul>
<b>Gender-based violence</b>	Percentage of women and men in the community who believe that: <ul style="list-style-type: none"> <li>• Most people would disapprove of a husband who beats his wife for any reason.</li> <li>• There are times when a woman deserves to be beaten.</li> </ul>

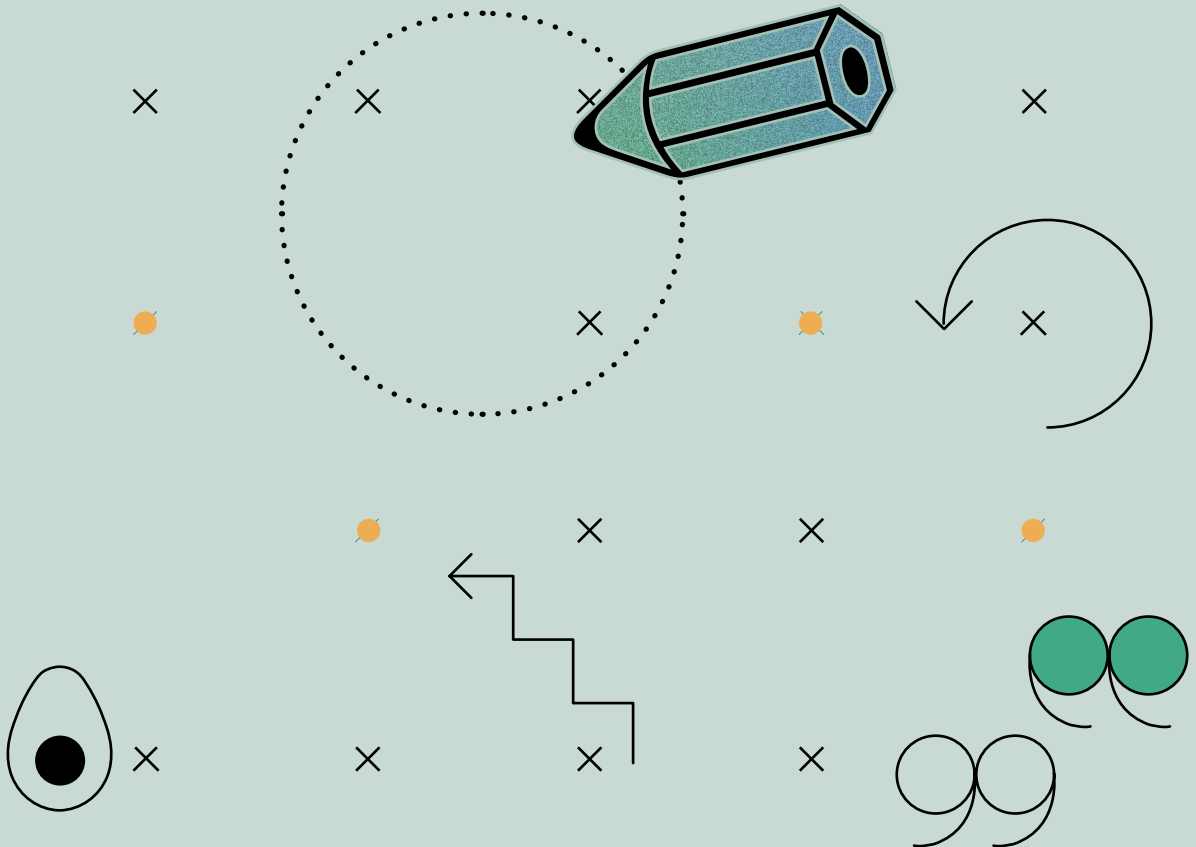
Source: generated by authors with data from UNCDF. 2019. The Self-Assessment Toolkit for Financial Service Providers, . [www.uncdf.org/article/4823/gender-self-assessment-toolkit-for-financial-service-providers](http://www.uncdf.org/article/4823/gender-self-assessment-toolkit-for-financial-service-providers)





## QUICK REFERENCE TOOLS FOR PRACTITIONERS

This annex contains a list of resources that can be useful to practitioners, according to the specific focus and needs of their assignment. These are organized thematically, under two broad categories: i) resources for macrolevel social analysis for country investment policy and strategy formulation; and ii) resources for project-level social analysis for design, implementation supervision, and evaluation.







# MACRO-LEVEL SOCIAL ANALYSIS FOR COUNTRY INVESTMENT POLICY AND STRATEGY FORMULATION

## DATA AND STATISTICS

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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 e-learning courses, which are accessible [here](#) for free through the FAO E-learning Academy.

ISBN 978-92-5-137942-4



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CC6498EN/1/12.23