# SOCIAL ANALYSIS FOR AGRICULTURE AND RURAL INVESTMENT PROJECTS

## MANAGER'S GUIDE

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## MANAGER'S GUIDE

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# ABBREVIATIONS AND ACRONYMS

| | |
|---|---|
| ADB | Asian Development Bank |
| AfDB | African Development Bank |
| ASIP | Agricultural Sector Investment Programme |
| CAADP | Comprehensive Africa Agriculture Development Programme |
| CAP | Community Action Plan |
| CBO | Community-based Organization |
| COSOP | Country Strategic Opportunities Paper |
| ENA | Emergency Needs Assessment |
| ICR | Implementation Completion Report |
| IDB | Inter-American Development Bank |
| IFAD | International Fund for Agricultural Development |
| MoA | Ministry of Agriculture; the term is used generically to refer to any ministry responsible for agriculture and rural development |
| M&E | Monitoring and evaluation |
| MDG | Millennium Development Goal |
| MTR | Mid-term Review |
| PIM | Project Implementation Manual |
| PMU | Project Management Unit; the term is used generically to reflect all styles of project management, implementation or coordination units |
| PPTA | Project Preparatory Technical Assistance |
| PRSP | Poverty Reduction Strategy Paper |
| PSIA | Poverty and Social Impact Analysis |
| RIMS | Results and Impact Measurement Systems |
| SA | Social Analysis |
| SIA | Social Impact Assessment |
| SWAp | Sector-wide Approach |
| VAM | Vulnerability Analysis and Mapping |
| WB | World Bank |
| WFP | World Food Programme |

# 1. INTRODUCTION

International financing agencies and borrower governments have committed themselves, through the Millennium Development Goals (MDGs), to pro-poor growth and proactive investment in poverty reduction, food security and nutrition. Most have also committed themselves to social development goals, such as equitable development, gender equality, social protection and peace.

With the majority of the world's poor living and working in rural areas, investment in agriculture and rural development can significantly contribute to these goals. However, contrary to the general assumption that any growth-oriented investment in the agricultural sector effectively reduces poverty, experience has shown that untargeted investment to increase agricultural production is relatively ineffective in reaching the poor.

Social analysis is instrumental in designing and implementing successful pro-poor policy and institutional reforms and poverty-targeted investment programmes and projects. It is fundamental for understanding the complexities of social diversity, gender and the various dimensions of poverty (e.g. low income, lack of assets, vulnerability, exclusion, powerlessness, lack of voice and an inability to withstand shocks). The social analysis perspective enables planners and practitioners to put the human dimensions – stakeholders, target groups, intended beneficiaries or other affected people – at the centre of development interventions.

## Applications in agriculture and rural investment

Although many manuals and user guides on social analysis exist already, most neglect its application to agriculture and rural investment. To address this gap, FAO's Investment Centre Division has developed three complementary guides in a series entitled 'Social analysis for agriculture and rural investment projects.' The Investment Centre recognizes that work in designing, supervising, supporting and evaluating agricultural and rural investment programmes and projects will be more relevant, effective and sustainable if it is based on an understanding of the socio-economic environment, livelihoods and people's development priorities.

The three guides provide guidance for the application of social analysis to investment programmes and projects in agricultural and rural development. Their main messages include:

■ Agricultural investment must be designed to be proactive, people-centred and socially inclusive from the earliest stages of the programming and project cycle;

■ Social analysis strengthens the capacity of agricultural investment to reduce rural poverty and to create socially inclusive, gender-equitable and sustainable development outcomes;

■ An interdisciplinary and holistic approach to social analysis is required to appreciate the interface between social issues and the technical, institutional and economic aspects of project design, and to ensure that overall programme objectives are sensitive to relevant aspects of the socio-economic and cultural environment;

■ Social analysis is a cross-cutting issue which should permeate all programme activities and not be confined solely to the interests of the social scientist;

■ The social scientist reflects the priorities of the intended beneficiaries and others in negotiations with government and donors regarding agricultural investments;

■ The process of social analysis contributes to building local ownership and mutual understanding of investment programmes among the financing agency, government and intended beneficiaries, and enhances the capacity of local actors to implement them;

■ Social analysis is applicable at all stages of the programming and project cycle and for all types of agricultural investments.

## How to use the series

These guides have two overall purposes:

■ to sensitize managers to the role of social analysis in the context of agriculture and rural development, and to provide guidance on how to include social analysis in regular mission work; and

■ to equip those responsible for conducting social analysis with a conceptual framework, tools and checklists for conducting the fieldwork and designing project activities based on the findings.

The **Manager's Guide,** addresses the needs of project managers and team leaders. It describes:

■ the main parameters of social analysis in the context of agricultural and rural development investments, and the conceptual approach which underpins the three guides (section 2);

■ the use of social analysis from three perspectives:

- international agencies (section 3);
- development approaches (section 4);
- the programme cycle (section 5);

■ management aspects of conducting social analysis – such as recruitment, roles and responsibilities (section 6).

The **Practitioner's Guide** deals with the 'why and what' questions in depth, building on the conceptual approach presented in the Manager's Guide. It describes:

■ the sustainable livelihoods framework for understanding the dynamics of rural poverty and livelihoods, social diversity and gender in the context of agriculture and rural development (section 2);

■ the main entry points for conducting social analysis (section 3);

■ the range of inputs that may be provided to project design (section 4);

■ how the findings and recommendations are drawn together into a technical paper and summary matrices (section 5);

■ tools for tracking social aspects of development (section 6).

The **Field Guide** provides practical guidance on fieldwork aspects of social analysis, based on the framework for examining rural livelihoods presented in the Practitioner's Guide. It considers:

■ practical aspects of integrating social analysis into missions (section 2);

■ data collection activities and checklists for work at national, regional and district levels, and in community-based discussions, focus group discussions and individual household interviews (sections 3 to 7);

■ participatory tools suitable for social analysis fieldwork (section 8).

# 2. SCOPE AND BENEFITS OF SOCIAL ANALYSIS

This section describes the objectives and scope of social analysis and the key benefits derived from integrating it into programme activities. It also explores its conceptual framework, highlighting the way in which design based on social analysis contributes to reducing rural poverty.

## Scope

Social analysis was introduced in the 1980s by the major multilateral investment banks, primarily as a tool for screening development interventions for possible negative impacts on specific vulnerable groups. Approaches have evolved and today the two principal objectives of social analysis are:

■ to make development interventions more people-centred, socially inclusive, equitable and sustainable by ensuring a close fit with local contexts, culture and livelihoods; and

■ to safeguard the interests of weaker sections of the population.

Social analysis is an essential tool to enhance the ability of agricultural growth to help reduce poverty, by enabling agriculturally-based investments (see Box 1) to reach the poor and to enhance their assets and their resilience to shocks. Direct investments in poor rural people – to enable them to build their income, assets, capabilities, voice and empowerment – are needed for equitable and sustainable economic growth.

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**Box 1: Scope of agricultural and rural development**

Agricultural development is activity-based; it encompasses investments in land and water, crops, livestock, forestry, fisheries, natural resource management, commodity trade and agricultural employment.

Rural development is broader than agricultural development; it is area-based. Rural development also includes rural social and economic infrastructure and services and rural finance and non-farm rural activities.

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The scope of social analysis embraces a range of topics, as listed in Box 2.

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**Box 2: Scope of social analysis**

- analysis of existing socio-economic conditions, rural livelihoods and vulnerabilities
- analysis of cultural norms and beliefs
- gender analysis
- institutional analysis
- stakeholder analysis
- social screening
- application of social safeguard policies
- analysis of the socio-economic impacts of policy reforms
- identification of target groups and targeting mechanisms
- design of inputs based on social analysis, gender mainstreaming and participatory processes
- gender- and poverty-sensitive monitoring
- social impact assessment and evaluation

Social analysis can be applied to any sector, subsector, type of development intervention or lending instrument, ranging from policy reform to investment programmes or technical assistance, in both urban and rural settings (see Box 3). It is undertaken by sociologists, anthropologists and gender and livelihood specialists at various stages in agency programming and project cycles. However, the social analysis perspective is cross-cutting; it should permeate all programme activities and not be confined solely to the interests of the social scientist.

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**Box 3: Applications of social analysis**

Social analysis can be used in a wide range of rural development contexts. The tables in Appendix 1 provide examples of social analysis applications in:

- area-based and productive activities (Table 1A);
- investments concerned with improving the quality and outreach of agricultural services and rural finance (Table 1B);
- rural development and governance (Table 1C);
- emergency assistance (Table 1D);and
- new initiatives, such as food price variability and climate change (Table 1E).

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## Benefits

Findings from social analysis contribute to the strategic direction of project design and implementation. As a result of social analysis, it is expected that there will be:

- more proactive, people-centred and socially inclusive design of agricultural investment from the earliest stages of the programming and project cycle;
- increased socio-economic relevance and effectiveness of proposed interventions;
- increased targeting effectiveness;
- strengthened participatory planning processes from the grassroots through local organizations to the formal planning system;
- increased voice and influence of socially disadvantaged groups in project planning processes; and
- increased local ownership of the project at all levels.

Together, these results enhance the contribution of agricultural investment to rural poverty reduction and socially inclusive, gender-equitable and sustainable development outcomes.

In addition to its impact on project design, the process of social analysis contributes to building local ownership and consensus among the financing agency, government and intended beneficiaries around a particular project strategy, and to enhancing the capacity of local actors to implement it. Important process outputs of social analysis are described in Box 4.

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**Box 4: Key process outputs of social analysis**

- **Honest broker role**: The social scientist enhances the voices of the intended beneficiaries and others in reflecting their priorities and concerns during negotiations with government and donors regarding agricultural investments.
- **Stakeholder consultation**: All stakeholders should be involved throughout the design process to build project ownership and ensure that the views and opinions of all population groups are heard.

- ■ **Enhanced capacity of local counterparts to undertake social and livelihoods analysis**: Social scientists working to support government-led teams should aim to enhance the capacity of their counterparts to undertake social and livelihoods analysis.
- ■ **Interdisciplinary understanding of how social issues relate to other project design issues**: When diagnostic work is undertaken jointly by members of the project preparation team (including, for example, agriculturalists, livestock specialists, irrigation engineers and economists), there is great potential for interdisciplinary learning. Team members learn how social issues interface with technical, institutional, economic and health issues. The benefit is greatest when key members of the future implementation team can participate in diagnostic studies.
- ■ **Increased use of participatory approaches**: The social scientist should guide and support technical team members in using participatory approaches when relevant.
- ■ **Government buy-in**: During the project design process, it is crucial to ensure that government and implementing agencies clearly understand and internalize the proposed target groups, poverty- and gender-targeting measures and the social aspects of project design.
- ■ **Connecting people**: A major output of a formulation process in general, including social analysis, can be to "make things happen in-country" by connecting the future Project Management Unit (PMU) with outside entities capable of facilitating various aspects of implementation.

## Conceptual approach

The process by which social analysis contributes to poverty reduction is illustrated in Figure 1.

The main ingredients of social analysis are shown in the lower part of the diagram. Social analysis contributes to the development process by addressing the socio-economic context in terms of the dynamics of existing rural livelihoods and their vulnerabilities, gender roles and relations, policies and institutions, cultural norms and beliefs, stakeholders and the specific challenges facing vulnerable and disadvantaged groups.

As a result of social analysis, inputs to project design include the identification of target groups and targeting mechanisms, opportunities for gender mainstreaming, participatory approaches, safeguard mechanisms (when appropriate) and operational measures to ensure poverty-inclusive and gender-equitable participation in, and benefit from, planned activities.

An aim of this process is strengthening the livelihood assets and capabilities of poor people and their communities, and improving their livelihood strategies and outcomes. Monitoring, impact assessment and evaluation of the social aspects of project implementation help to keep development on track. These activities act as the interface between project design and outputs, on the one hand, and the achievement of development goals and objectives, on the other.

The overall goal of poverty reduction depends on development that is both equitable and sustainable. These two objectives are described below in greater detail.

> *The 'why and what' questions are examined in depth in the Practitioner's Guide and the practical aspects of 'how to do' fieldwork for social analysis are presented in the Field Guide.*

## Figure 1: Conceptual approach for social analysis
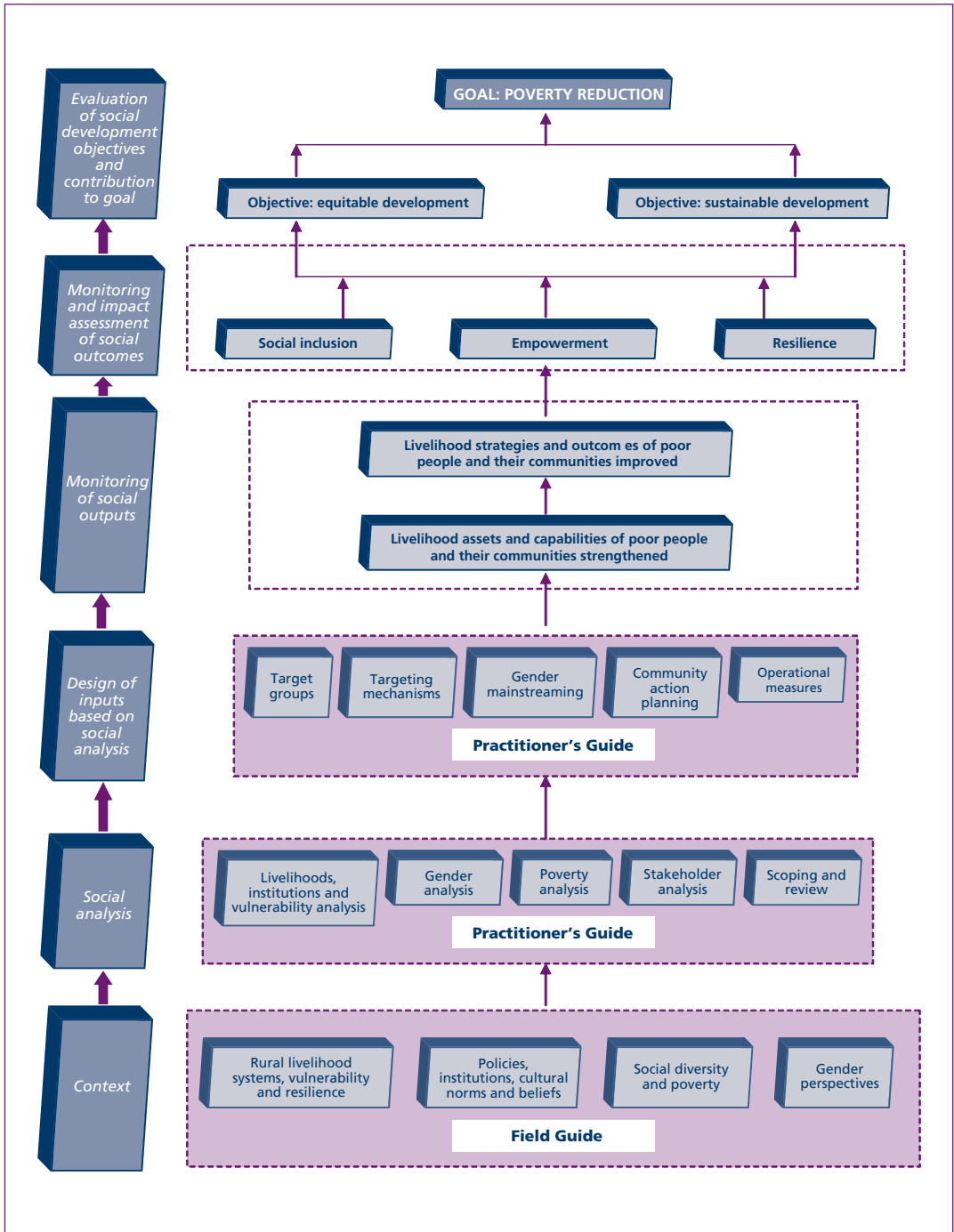
*Equitable development*

Equitable development is essential for reducing the number of people living in poverty; economic growth alone does not necessarily achieve that goal. Equitable development depends to a large extent on the degree of social inclusion and empowerment of poor and disadvantaged groups. Social inclusion strengthens the access of poor and socially disadvantaged groups to basic education and health services, drinking water, roads, agricultural inputs and advice and markets (see Box 5). Empowerment enhances the assets, capacities, voice and decision-making power of poor and socially disadvantaged women and men (See Box 6). The means of improving social inclusion and empowerment include: pro-poor policy and institutional reform; investment in human and social capital; social protection; and direct investment in the livelihood assets owned and controlled by the poor and other disadvantaged groups.

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**Box 5: Social inclusion**

Social inclusion works towards enabling poor and disadvantaged people to access and enjoy public infrastructure, services and opportunities that are intended to be open to the entire population, but which they are not able to access or use at present. Examples of rural social inclusion include:

- increasing access to and use of land, water, natural resources and affordable production inputs;
- providing relevant and accessible technical advice;
- widening access to and use of energy, transport, communications and markets.

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**Box 6: Empowerment**

Agricultural projects that invest exclusively in natural, physical and financial assets without building human and social assets to enable communities and households to manage and maintain the resources, tend to have a less sustainable impact on poverty reduction than those that address all aspects of asset development. Examples of empowerment include:

- increasing technical and business management skills of small producers;
- strengthening rural people's organizations;
- providing client-centred and demand-driven rural services;
- enhancing people's voice in decentralized decisions on public investment in rural infrastructure, agricultural research, and extension and social services.

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Gender equality is an integral part of equitable development (see Box 7). It is achieved through gender equity (pursuing fairness and justice) and gender empowerment (increasing the opportunity of women and men to control their lives). Gender mainstreaming is the process by which women and men gain equal opportunities or life chances in terms of:

- access to and control over resources including land, natural resources, livestock and returns to their labour (in the form of income, wages or other types of remuneration);
- voice and decision-making power within the household and community; and
- access to education, health care, technical inputs and advice, transportation, markets and public services.

**Box 7: Key gender concepts**

**Gender equality** means that women and men have equal opportunities, or life chances, to access and control socially valued goods and resources and enjoy the same status within a society. It does not mean that women and men are the same, but rather that their similarities and differences are recognized and equally valued.

**Gender equity** promotes fairness and justice in the distribution of benefits and responsibilities between women and men. The concept recognizes that women and men have different needs and power and that these differences should be identified and addressed in a manner that rectifies the imbalances between the sexes. Equity can be understood as the means, where equality is the end. Equity leads to equality.

**Gender empowerment** refers to the process of increasing the opportunities for women and men to control their lives. Empowerment of women or men includes increasing their power to make decisions, to have their voices heard, to put issues on the agenda, to negotiate and to challenge past customs.

**Gender mainstreaming** refers to the process of ensuring that women and men have equal access to and control over resources, development benefits and decision-making at all stages of development processes, projects, programmes or policies.

*Sustainable development*
Sustainable development depends on resilience, or the ability of households and communities to withstand and recover from stresses and shocks.

Risk reduction and management in the rural sector enhances the capacity to forecast, prepare for, withstand and recover from natural shocks (e.g. drought, floods and climate change), conflicts, economic shocks (e.g. changes in relative prices of farm inputs and outputs) and variation in food supply. Design based on social analysis can improve risk reduction and management by ensuring that development interventions:

- enhance the capacity of governments and communities to predict, avoid and manage risk;
- enhance the resilience of the poor and near-poor people in the face of risks;
- reinforce the capacity of the poor to withstand and recover from external shocks, without falling deeper into poverty; and
- reduce the risk that agricultural investments will unintentionally foster social tensions or conflicts or harm poor and vulnerable groups, and thereby reduce the agency's exposure to possible criticism and unfavourable publicity.

Design based on social analysis also enhances the likelihood that the direct benefits of interventions can be sustained beyond the end of the programme or project. Activities include:

- ensuring that intended partners and beneficiaries participate in programme formulation and implementation so that identified investment priorities respond to local needs;
- fostering ownership of public infrastructure and services among the districts and communities that use them;
- involving local communities in operating and maintaining assets created or improved by financing agency interventions; and
- enhancing the likelihood that project-supported infrastructure, services or enterprises can withstand and recover from economic and weather-related shocks.

# 3. HOW INTERNATIONAL AGENCIES USE SOCIAL ANALYSIS

This section compares the ways in which social analysis is used by the six key international agencies working in agricultural and rural development, including emergency assistance: the World Bank[1], Asian Development Bank (ADB), African Development Bank (AfDB), International Fund for Agricultural Development (IFAD), Inter-American Bank (IDB) and World Food Programme (WFP). WFP is included, even though it does not finance agricultural investment projects, because of the strong synergy between WFP's food-based humanitarian assistance and FAO's emergency operations. FAO is not included in this review because it lacks a unified corporate policy on social and livelihoods analysis and different units use different approaches.

The section reviews the agencies' mandates regarding social analysis, the integration of social analysis into their programming cycle and sources of funding. Supporting data are shown in tabular format in Appendix 2 and links to resources by agency are presented in Appendix 3.

## Scope and mandatory nature

The approach to social analysis adopted by the six international agencies falls into two broad categories: those with mandatory social safeguard policies and those without (Table 1). Four agencies (World Bank, ADB, AfDB and IDB) tend to use social analysis proactively to: (a) enhance the importance of the social sectors in their country assistance strategies and in policy and analytical work; and (b) adopt reactive social safeguard policies to prevent and mitigate possible negative impacts of investments outside the social sectors. In practice, when policies have been applied in the agriculture and rural development sectors, there has been a tendency for the mandatory social safeguards to overshadow concern with non-mandatory proactive poverty and gender targeting (Appendix 2, Table 2A).

Preliminary social screening tends to be mandatory for all categories of operations, whereas fuller social analysis tends to be mandatory only for two categories of operations: category A with explicit social or poverty reduction objectives; and category B operations which trigger one or more social safeguard policies.

IFAD and WFP have less in common with the other agencies because their main emphasis is on proactive targeting of their assistance directly to the poor and food insecure, and they do not have social safeguard policies. Their interventions in agricultural and rural development focus on enhancing the livelihood assets of the poor and strengthening their capacity to withstand and recover from shocks.

IFAD's targeting policy requires poverty and gender analysis as a basis for all Country Strategic Opportunity Papers (COSOPs) and project design documents. WFP requires Vulnerability Analysis and Mapping (VAM) as a basis for all country programmes, and either VAM or Emergency Needs Assessment (ENA) as a basis for all project designs. WFP requires gender targeting in all operations in line with its gender policy.

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[1] The World Bank uses the term "social analysis" to refer to the entire process at all stages of the programming and project cycle. It uses the term "social appraisal" to refer to social analysis undertaken directly by Bank social development staff and consultants and the term "social assessment" to denote an in-depth social study undertaken during project preparation under the responsibility of the borrowing country.

Most agencies have a formal requirement that the final programme or project document presented for Board approval must contain some form of poverty and/or social and gender analysis.

| Table 1: Agency sectoral mandates and social analysis approaches | | | | | | |
|---|---|---|---|---|---|---|
| **Mandates and target groups** | **WB** | **ADB** | **AfDB** | **IDB** | **IFAD** | **WFP** |
| Scope of agency mandate | Multi-sectoral and inclusive of social sector | Multi-sectoral and inclusive of social sector | Multi-sectoral and inclusive of social sector | Multi-sectoral and inclusive of social sector | Sectoral: agriculture-based poverty reduction | Multi-sectoral humanitarian assistance and food security |
| Mandatory social safeguard policies? | Yes | Yes | Yes | Yes | No | No |
| • Land acquisition/ involuntary resettlement | Yes | Yes | Yes | Yes | No | No |
| • Indigenous peoples | Yes | Yes | No | Yes | No | No |
| • Forest dwellers | Yes | No | No | Yes | No | No |
| • Employment loss | No | Yes | No | Yes | No | No |
| Direct investment in social sector? | Yes | Yes | Yes | Yes | No (only peripherally) | Yes |
| • Education | Yes | Yes | Yes | Yes | Literacy | Yes |
| • Health | Yes | Yes | Yes | Yes | Belgian Survival Fund projects | Yes |
| • HIV/AIDS awareness | Yes | Yes | Yes | Yes | Yes | Yes |
| • Social protection | Yes | Yes | Yes | Yes | No | Yes |
| Poverty targeting policy? | Yes | Yes | Yes | Yes | Yes | Yes |
| All projects contribute to poverty reduction? | Yes | Yes | Yes | Yes | Yes | Yes |
| All projects directly target poor? | No | No | No | No | Yes; active poor in rural areas | Yes; hungry poor |

# Integration into agency programming cycle

All agencies recommend various types of social analysis throughout their programming cycle, from the preparation of agency country strategies through to evaluation (Appendix 2, Table 2B). Some of the main aspects are discussed below.

*Agency country strategies*
There is strong consensus that agency country strategies should derive from the government's Poverty Reduction Strategy Paper (PRSP) and sectoral strategies for agriculture and rural development. Country strategies for individual UN agencies are aligned with the UN Development Assistance Framework (UNDAF).

Multisectoral agencies, such as the World Bank and ADB, have integrated social analysis into country strategy formulation as a way of enhancing emphasis on the health, education and social protection sectors relative to the productive sectors. Within agriculture, the emphasis is mainly on increased agricultural productivity and export promotion or import substitution, with limited attention to agriculture- and livelihoods-based poverty reduction, and the involvement of poor smallholders in the process.

There is a growing tendency for smaller agencies such as IFAD – and to a lesser extent WFP – to require country strategy missions to rely on secondary data from PRSPs and poverty assessments undertaken by government and other financing agencies. However, per capita consumption and social indicators alone are not sufficient for identifying strategic investments in the agricultural sector. Country teams need to conduct their own analysis of patterns of access and control over land and livelihood assets as a basis for identifying strategic opportunities for their agency's investments in agriculture-based rural poverty reduction.

*Social screening*
Social screening involves the rapid review of proposals for new potential investments to identify social issues that need to be addressed during project design and implementation (see Box 8). It refers not only to screening for social safeguards – which are actually quite narrow in their applicability – but also for other types of social issues.

## Box 8: Social screening process

***Social safeguards***

- Is the operation likely or unlikely to trigger any safeguards (see Table 2 below)
  - Involuntary resettlement / land acquisition
  - Indigenous people
  - Other (forest dwellers, employment loss)
- If this is either likely or possibly likely, what are the requirements in terms of social analysis and design of social safeguard mechanisms?

***Targeted interventions***

- Does the operation have explicit social development objectives?
- If so, what additional social analysis inputs does it require?

***Policy-based lending***

- Is the policy reform likely to have negative impacts on people because of changes in access to public services, employment, prices, assets or transfers and taxes?
- If so, what additional policy studies are required?

***Other negative impacts***

- Even if the programme or project does not trigger any safeguard policies, is it likely to have negative impacts on poor households, women, youth or minority ethnic groups?
- If so, how could the design be modified to minimize possible negative impacts?

***Proactive social targeting***

- Is there potential to enhance the programme or project's bottom-up planning process, social inclusiveness, poverty and gender targeting or farmer empowerment?
- If so, how can these issues be addressed in the design and implementation process?

All major multilateral agencies in agriculture and rural development screen new potential investments at the earliest stages of the programming cycle to assess their consistency with agency policies and country operational priorities. In addition, the four agencies with social safeguard policies (World Bank, ADB, AfDB and IDB) require mandatory social screening of all investment proposals to determine whether or not they are likely to trigger any safeguards. Projects triggering social safeguard policies include: land acquisition and involuntary resettlement; indigenous peoples; forest-dependent people; retrenched workers; and affordability of public services. The range of safeguard issues relevant to the agricultural sector is presented in Table 2. For agencies such as IFAD and WFP, the main purpose of social screening is proactive social targeting.

| Table 2: Safeguard issues relevant to the agricultural sector | |
|---|---|
| **Type of project or activity** | **Social safeguard issues** |
| Irrigation | • Human displacement in area to be flooded by dam; land acquisition; involuntary resettlement and compensation for losses of land, property and livelihoods <br> • Dam safety <br> • Loss of employment opportunities of agricultural labourers as a result of on-farm labour saving (this is not a social safeguard *per se*, but a potential negative impact) |
| Roads | • Human displacement for right-of-way of road; land acquisition; compensation for losses of land and property <br> • Increase of traffic accidents (potential negative impact) |
| Agricultural restructuring/ privatization | • Retrenchment of agricultural staff for restructuring of Ministry of Agriculture (MoA) and parastatals; loss of employment by plantation workers <br> • Any activity involving land acquisition (new buildings for MoA, construction of extension worker offices and housing; construction of training centres) |
| Forestry | • Land acquisition / lease rights by commercial concessionaires; displacement of forest dwellers and others who depend for their livelihoods on forests and non-timber forest products <br> • Involuntary resettlement <br> • Loss of customary land rights of forest-dependent people <br> • Impact on indigenous peoples <br> • Loss of forest-dependent livelihood or forestry-related employment |
| Agriculture development/ agricultural services | • Any project involving land acquisition, human displacement or expropriation of property <br> • Any project likely to affect indigenous peoples <br> • Any project involving retrenchment of workers |
| Livestock/range management | • Any project involving land acquisition through enclosure of common grazing lands that could harm customary users by restricting their access |
| Natural resource management/ conservation | • Any project involving land acquisition through enclosure of common property resources (forests, grazing lands, water bodies) that could harm customary users by restricting their access <br> • Any project involving eviction of customary users from protected areas <br> • Any project affecting indigenous peoples living in or near conservation areas |
| Community social infrastructure | • Any community subproject involving land acquisition or human displacement (for roads, schools, clinics); compensation for losses |
| Community economic infrastructure | • Any community subproject involving land acquisition, human displacement or loss of assets (for roads, markets, processing facilities, training centres) |
| Cost recovery for public services | • Likely impact of reforms on affordability of public services such as health, education, irrigation, drinking water, veterinary services for the poor |

For projects that trigger the safeguard policy or have explicit social analysis objectives, social screening is followed by detailed social analysis as an input for appraisal (see Box 9).

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### Box 9: Outputs of social screening

- Classification of the future investment operation with regard to its likelihood of triggering agency safeguard policies and the magnitude of the expected impact on affected people;
- A list of issues to be addressed and a list of future social safeguard inputs required to comply with safeguard policies (when an operation is likely to trigger an agency policy or when it is not clear whether or not a policy might be triggered);
- A list of social issues to be addressed and a plan for more detailed social investigations at later stages of the programming and project cycle (for operations that have explicit social development objectives);
- A list of potential social issues for further (voluntary) consideration by the design team (for operations that do not trigger social safeguards and have no explicit social development objectives).

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*Project design*

All agencies integrate social analysis findings into project design to a greater or lesser extent, largely determined by the existence of social safeguard issues. For projects with recognized social safeguard issues, project design documents must summarize the social assessment findings, respond to each recommendation and attach a summary of the required social mitigation plans (see Box 10). The agency acts as a watchdog to ensure that the project design adequately reflects the social assessment findings and recommendations.

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### Box 10: Safeguard policy responses

Social safeguard policies aim to prevent and mitigate undue harm to people and their environment in the development process, to compensate affected people and to restore livelihoods to at least their previous level. The type of response is determined by the nature of the project:

- **Conventional blueprint projects**: Agencies require the design of a satisfactory Resettlement Plan or Indigenous Peoples' Participation Plan.
- **Demand-driven projects**: Agencies require an acceptable Resettlement Framework or Indigenous Peoples' Participation Framework. The framework sets the basis for development of site-specific resettlement plans or indigenous peoples' participation plans on a continuous basis, as new sites are identified during the course of programme implementation.

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Conversely, for projects that do not trigger agency safeguard policies, using social assessment findings is mostly voluntary. It is usually left to the mission leader or task manager, with the guidance of the social scientist, to determine which of the social assessment findings and recommendations will be reflected in the project design. Most agencies are unable to review all project designs to ensure that the design adequately reflects the social assessment findings and recommendations. The exception is IFAD, which reviews all project design documents for consistency with its corporate targeting policy of 2006, which is based on optimizing inclusiveness.

When the use of social analysis findings is voluntary, their contribution to the design process tends to be significantly greater when the social scientist is an integral part of the design team (see Box 11). The benefits are two-way. The contributions of the social analysis are likely to be more pertinent, practical and easier to integrate when design team members know and understand how the social dimensions interface with technical and institutional dimensions. Moreover, the design team is more likely to take

heed of the social scientist's suggestions when they interact directly with him or her than if they only consult a written report.

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**Box 11: Integration between social analysis and project design teams**

*High*

- IFAD generally undertakes social, poverty and gender analysis as an integral part of the design process; the person responsible for social analysis is usually a full member of the design team and works with the team leader, economist and agriculturalist in the field on a continuous basis for about three weeks.
- In IDB, social development and environment and safeguard specialists are part of project teams for all category A and some category B projects.

*Moderate*

- In ADB, the social scientist is usually a member of the project preparation technical assistance team but conducts fieldwork independently.
- In WFP, the design team draws on the VAM results, which are updated regularly.

*Limited*

- In the World Bank, social assessment is generally done as a separate, free-standing exercise, with the members conducting their field visits and analysis independently and making written inputs to the design process without being fully-fledged members of project design teams.
- In AfDB, the Environmental and Social Impact Assessment (ESIA) is a stand-alone activity.

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*Implementation and monitoring*

There are significant differences between the agencies in the amount of emphasis devoted to social analysis beyond the design and Board approval stage. During project implementation, the main focus of social scientists involved in the supervision of World Bank, ADB, AfDB and IDB projects tends to be on the social mitigation plans for projects that trigger their social safeguard policies. The World Bank and ADB also call for monitoring of social development outcomes in projects classified as "poverty targeted interventions." Other than these, relatively limited attention is given to the monitoring of social outcomes.

In contrast, in IFAD and WFP, the emphasis during project design on proactive social targeting is complemented by strong emphasis during project implementation on monitoring targeting effectiveness. IFAD requires all projects to track Results and Impact Measurement Systems (RIMS) indicators, which reflect both the MDGs and IFAD's primary objectives as embedded in its Strategic Framework. In addition, its targeting policy requires all projects to assess targeting effectiveness on a continuous basis. WFP country offices undertake beneficiary tracking for operations and ongoing analysis of food insecurity and vulnerability to reflect changes in crop and livestock production and in purchasing power in targeted districts and communities.

# Linkages with other enquiries

Some agencies treat social analysis as a separate exercise whereas others combine it with environmental assessment or with poverty analysis and/or gender analysis (Appendix 2, Table 2C). Social analysis for the World Bank is usually independent from either poverty or gender analysis, but is often combined with environmental assessment. ADB links social analysis with poverty analysis. IFAD links social analysis with poverty and gender analysis. WFP links social analysis with vulnerability assessment.

IFAD and WFP generally expect the social scientist to cover poverty and gender analysis, while the other agencies may not do so. The separation of social analysis from poverty and gender analysis is not positive if it leads to a duplication of effort, a waste of resources and weak linkages.

## Locus of responsibility

The locus of responsibility for social analysis varies between financing agencies and stages in the project cycle (Appendix 2, Table 2D). The World Bank differs from other agencies in that it entrusts the responsibility for a detailed social assessment at project preparation to borrowing governments. However, the World Bank retains the responsibility for initial social screening at the project concept stage in order to determine whether or not a project is likely to trigger any social safeguards and to assess the need for further in-depth social analysis during project preparation. It also retains responsibility for applying social analysis at project appraisal, using the findings from the social assessment undertaken by the borrower.

Until recently, agencies such as ADB and AfDB did not distinguish clearly between the role of the agency and of the borrower in social analysis. The agency usually took responsibility for social analysis up to the stage of Board approval but recently the locus of responsibility has moved in the same direction as the World Bank.

IFAD is moving gradually towards greater country responsibility in project preparation, including socio-economic and livelihoods diagnostic work. IFAD consultants design participatory diagnostic studies and the fieldwork is either contracted to local consultants or undertaken jointly by IFAD consultants and members of the national team. IFAD sees the latter process as a means of building mutual understanding and consensus on project design between the agency and future implementing partners.

Borrowers and, in particular, Project Management Units (PMUs) are responsible for social analysis activities during implementation and monitoring, with inputs from agency specialists and consultants during supervision and implementation support missions, and for ensuring safeguard compliance. Further details about responsibilities for social analysis are discussed in section 6.

## Sources of funding

The World Bank differs from other agencies in that it expects the borrower to pay for the social assessment at the project preparation stage from its own resources (Appendix 2, Table 2E). The World Bank only pays for activities undertaken by its own social development specialists and consultants, such as social screening at the project concept stage and social appraisal before presentation to the Board. The cost of these activities is covered by a regional backstopping budget, rather than the project preparation budget. Task team leaders sometimes assist low-income borrower countries to mobilize grant funding to cover the cost of social assessment, especially in cases where a project triggers one or more social safeguard policies.

ADB budgets for social analysis within the Project Preparatory Technical Assistance (PPTA) grant. AfDB undertakes social analysis mainly during preparation missions and pays for it out of the project preparation budget. IFAD used to mobilize trust funds and FAO Technical Cooperation Projects to finance social analysis in connection with project preparation, but in the face of budgetary constraints, it increasingly limits social inputs at the design stage to include a social scientist on the project preparation team, funded by the project preparation budget.

When the cost of social analysis is financed exclusively from the agency project preparation budget, it competes for resources with other aspects of project preparation. As project preparation budgets have declined in real terms over the past 10 years, resources for social analysis have been reduced significantly in agencies that do not have access to trust funds. Agencies that finance demand-driven programmes and projects are increasingly deferring social analysis to implementation, thereby including it among the project costs.

# 4. SOCIAL ANALYSIS WITHIN DIFFERENT DEVELOPMENT APPROACHES

The preceding section demonstrated how social analysis varies among international agencies. This section explores how the contribution of social analysis and the role of the social scientist have changed over time, in line with the evolution of different approaches to development.

## Development approaches

Until the late 1980s, donors led the design and implementation of nearly all agricultural investment projects. Since the 1990s, programmes and projects have been driven by government and, increasingly, by beneficiaries or communities. The main force behind this shift has been the recognition that narrowly-defined, top-down, rigid, production-based agricultural growth strategies offer too little for the broad spectrum of small and medium producers who are heterogeneous in their interests, priorities and ability to adopt new practices and technologies. Flexible, demand-driven approaches overcome these challenges by proposing a wide menu of possible technical innovations – in the hope of offering something for everyone – and by enabling the PMU to respond to whatever the clients demand.

Along with the shift to demand-driven projects, there has been a trend towards donor coordination in support of, initially, Agricultural Sector Investment Programmes (ASIPs) and, subsequently, agricultural Sector-wide Approaches (SWAps). The Paris Declaration on Aid Effectiveness, 2005 and the One UN Concept, 2007 (see Box 12) spurred the process towards greater coordination.

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### Box 12: Working together

***Paris Declaration on Aid Effectiveness, 2005***

The declaration expresses the international community's consensus on the direction for reforming aid delivery and management to achieve improved effectiveness and results. It is grounded on five mutually reinforcing principles:

- **Ownership:** Partner countries exercise effective leadership over their development policies and strategies and coordinate development actions.
- **Alignment:** Donors base their overall support on partner countries' national development strategies, institutions and procedures.
- **Harmonization:** Donors' actions are more harmonized, transparent and collectively effective.
- **Managing for results:** Resources are managed and decision-making is improved for development results.
- **Mutual accountability:** Donors and partners are accountable for development results.

***Delivering as One***

The United Nations launched this initiative in 2007 to respond to the challenges of a changing world and to test how the UN family can provide development assistance in a more coordinated way through the four principles of one leader, one programme, one budget and one office.

In Africa, the move to harmonize priorities and to increase the efficiency and effectiveness of financial resources has been taken one step further through the Comprehensive Africa Agriculture Development Programme (CAADP) (see Box 13). Some donors are moving away from funding independent programmes and projects towards providing budgetary support or policy-based lending. Benefits of these approaches include new opportunities, economies of scale, greater government ownership and, ultimately, greater impact.

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**Box 13: Comprehensive Africa Agriculture Development Programme**

CAADP's goal is to eliminate hunger and reduce poverty through agriculture. African governments have agreed to increase public investment in agriculture by a minimum of 10 percent of their national budgets and to raise agricultural productivity by at least 6 percent.

Since CAADP emerged in 2003, development partners have worked together closely to support its processes and the development of the CAADP pillars. This collaborative effort has resulted in a significant harmonization of donor support for CAADP activities and investment programmes. The Multi-donor Trust Fund targets specific gaps in financing, capacity and technology; facilitates partnerships and coalition building among African institutions, partners and donors; and complements existing resources mobilized around CAADP pillars and other thematic priorities.

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## Donor- and government-led agricultural investment projects

Investments led by either donors or government have a predetermined strategy (e.g. increasing agricultural production, productivity and farmer incomes). They operate by providing households with access to technical advice, production technologies and inputs, credit and markets for predetermined commodities which have been selected for their high potential and economic returns. The success of the project strategy depends on whether the producers adopt the promoted technologies with the expected results which, in turn, depends on a correct initial diagnosis of technical constraints and potentials in the project area. The role of the PMU and implementing agencies tends to be top-down and message-driven, promoting certain technologies, inputs and behaviour changes among producers.

The role of the social scientist in donor-led investments is hands-on and proactive. Early during the identification stage of a project, the social scientist must verify the degree to which the intended beneficiaries can accept and adopt the technologies and related services. As a member of the design team, the social scientist is in a position to directly influence project design by interpreting and applying the donor agency's poverty and gender targeting policies. The social scientist undertakes a socio-economic and livelihood systems diagnostic study, if required, by working together with one or more local counterparts and identifying target groups. The social scientist's role has broadened over time to include designing targeting mechanisms and, in some agencies, components or activities based on social analysis. However, the design of components or activities is often done by a different person than the one responsible for conducting the socio-economic diagnosis and targeting.

In investment projects led by government, the main functions of social analysis are similar to those in projects led by donors. The key difference is that the role of the social scientist shifts from directly executing to supporting counterparts on a local preparation team and ensuring that government implementing agencies understand, agree with and are prepared to implement the target group definition, the proposed targeting mechanisms and the social components.

## Demand-driven agricultural programmes and projects

A demand-driven programme entails a radical transformation from a top-down and message-driven approach to a bottom-up, farmer-driven approach. Farmers participate actively together with service

providers and technical assistance to identify the priorities and interventions that will be most relevant to their own situation, and they may access the support individually or in groups. The role of the PMU is to publicize, facilitate, finance and monitor, while service provision is often outsourced.

The introduction of demand-driven approaches has significantly changed the nature of the social scientist's work. The "research and development" approach, which actively involves farmers in developing agricultural technology during project implementation, has reduced the demand for up-front participatory diagnostic work. Participatory needs assessment and community action planning mechanisms have become part of the process of empowering farmers and actively involving them in identifying improvements in their productions systems and livelihoods. Nonetheless, social analysis is very important, even in participatory projects, in order to understand local institutions and power structures.

The introduction of demand-driven approaches has also changed the way in which project participants are selected. In donor- or government-led projects, the PMU was expected to select project communities and participants according to specified targeting criteria. In demand-driven projects, in general, communities and beneficiaries self-select on the basis of their interest in what the project offers and the strength of local initiative. The PMU may have limited control over the participation of women, for example, because members of farmer groups are self-selecting. To overcome the high risk of a disconnect between the stated target groups (such as poor smallholders) and actual project participants, targeting strategies in demand-driven projects usually include multiple targeting mechanisms in order to provide the PMU with different means of reaching beneficiaries and limit errors of exclusion or inclusion and community resistance. In order to choose the right mechanisms and procedures to run community-driven development, it is necessary to have a solid understanding of the social context and power differences (e.g. the process for prioritizing and composing selection committees). This is discussed in the Practitioner's Guide.

Public information and communication campaigns are essential 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 (see Box 14). These projects also require more emphasis on grassroots institutional development (such as Community-based Organizations, or CBOs) and capacity building as vehicles for empowering the poor to participate. For example, gender mainstreaming efforts in demand-driven projects focus on gender sensitization as an enabling measure, rather than on specific project components or earmarked credit lines for women.

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### Box 14: Informing stakeholders

Demand-driven projects require emphasis on various communication mechanisms (e.g project start-up workshops) to inform stakeholders and implementing partners about:

- project opportunities;
- the intended target groups;
- the implications of shifting from a top-down, government-led mode to a bottom-up, client-driven mode;
- reciprocal rights and responsibilities of government, donors and communities.

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## Sector-wide approaches in agriculture

The SWAp has been widely adopted by donors for financing investments in health, education and roads sectors, but it is relatively new in the agricultural sector. The model involves a government-led, sector-wide agricultural development programme and strong donor coordination. In some cases, donor funds are channelled through a common basket finance mechanism. In most cases, however, donors can both support the SWAp and continue to finance individual projects directly within the SWAp's framework.

SWAps are different from donor-led, government-led and demand-driven projects because they operate according to a set of policies and procedures established by government with donor approval, and decision-making shifts to a multi-donor team headed by government. Thus, SWAps pose a special challenge for addressing social issues, which only a few of the donors champion. A single agency, each with only one vote in the basket-funding management group, has little leverage and can do nothing without the support of other partners. Box 15 identifies approaches that can be used to overcome these challenges.

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**Box 15: Overcoming the challenges of addressing social issues under SWAps**

Donors who are interested in addressing social issues under SWAps can use the following strategies:

- **Ensure adequate coverage of the poorest districts and poor households within districts**: If a donor is keen to enhance the poverty targeting of a SWAp, it needs to build close working relationships with in-country groups responsible for establishing criteria and procedures for allocating funds among districts, performance assessment tools and M&E of the programme's outputs and outcomes.
- **Commit to issues of social inclusion and empowerment when activities are outsourced**: The inclusion of poverty and gender targeting criteria in the wording of requests for proposals, the criteria for evaluating bids, and the terms of contracts needs to be negotiated in advance with others in the multi-donor group.
- **Adopt common procedures**: For each issue that a donor wishes to influence, it needs to identify firstly, who in the country has authority over that issue and, secondly, who among the other donors are potential allies to build consensus for change.
- **Use the government monitoring system**: There is potential for a poverty-focused agency to build on the government's and donors' existing commitment to inclusive agricultural services as a way to motivate them to monitor which categories of farmers (e.g. male or female, poor or less poor) the programme is reaching and to take corrective action as necessary.

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These challenges highlight the need for SWAp donors to maintain a strong country presence, build an in-country team of suitable people to represent the agency's point of view, and engage in policy dialogue. They also need to participate regularly in meetings of the basket-funding group, the donor consortium and the thematic working groups. SWAps can pose considerable challenges for donors with limited country presence because visiting headquarters staff and international consultants do not have the required in-country leverage.

Most of the focus of social analysis under SWAps is on designing the rules of the game. However, social analysis can improve the social inclusiveness of SWAps by strengthening poverty and gender targeting (see Box 16). Social analysis can also enhance grassroots institutional design, which enables poor rural men and women to influence the contents of SWAps and agricultural development plans at the decentralized level – where the bulk of programme finance lies.

**Box 16: Focus on targeting inclusiveness**

In dialogue with stakeholders at all levels, the concept of inclusion is generally more acceptable than targeting, which suggests top-down and exclusionary measures. The message should be that agricultural growth stands to reduce poverty most effectively by directly involving most smallholders, including the poorer minorities such as pastoralists and dryland farmers in areas of low and erratic rainfall.

Inclusiveness can be enhanced through a combination of:

- enabling measures (e.g. sensitization, advocacy, policy dialogue);
- empowering measures (e.g. strengthening participatory planning at the village level and above; strengthening CBOs through national networks of small farmer organizations);
- procedural measures (e.g. making sure that existing eligibility criteria do not exclude women or the poor; requiring that a significant percentage of district grants are spent at the village and subdistrict levels);
- direct targeting of the food insecure.

These options are discussed in more detail in the Practitioner's Guide.

## Agricultural sector budgetary support

Agricultural budgetary support involves donors putting their funds through the government budget and adopting government procedures for planning, procurement, disbursement and financial management. Government can draw down and spend donor funds for any item in the budget of the Ministry of Agriculture (MoA), and the funds are managed directly by MoA. In the case of pure budgetary support, there is no PMU or donor coordination unit and no separate reporting to donors on funds spent or programme outputs.

This is an appropriate mode of finance when donors agree with the priorities of the MoA budget. Governments tend to prefer this approach to project and programme assistance because there are no strings attached to budgetary support and no special reporting requirements for each donor. Bilateral donors are increasingly adopting this approach. However, budgetary support is generally inappropriate when donors are concerned about the process and effectiveness of resource allocation and management. In these cases, a policy-based loan would be more appropriate.

The decision to shift to budgetary support is often preceded by a review of public expenditures to understand the composition of a ministry's budget. Social analysis can play a strategic role in helping to better understand the benefits of public expenditure in agriculture, in terms of poverty reduction and improved food security (see Box 17).

**Box 17: Social analysis of budgetary support**

Social analysis of agricultural sector budgetary support programmes focuses on pro-poor, poverty-neutral or anti-poor impacts of public expenditure for the agricultural sector. In particular, it examines the benefits from public expenditure on price supports and subsidies, agricultural research, agricultural extension/advisory services and capacity building, among others.

The analysis focuses on documenting, in light of analyses of rural livelihoods and gender roles, which activities or services financed by the budget are likely to benefit direct producers relative to government staff, small producers relative to commercial producers, and women relative to men. Appropriate analytical tools are those used for analysis of the social impact of policy reforms (e.g. Poverty and Social Impact Analysis (PSIA) in the World Bank and the equivalent analysis in other agencies).

## Policy-based agricultural lending

Policy-based lending makes donor funds available to a government in a particular sector on the condition that the government changes one or more of its policies. This approach is intended to be quick-disbursing, with donor funds being released in expenditure tranches, based on the achievement of certain policy milestones and triggers. Donors are likely to adopt this approach when they feel that growth in the agricultural sector is paralysed by policies that disable private initiative. For example, the government would be required to abolish a fertilizer subsidy (that is tying up over 50 percent of public expenditure in the agricultural sector) as a condition for accessing funds. The funds from the policy loan are not tied in advance and can be used for any expenditure category in the government ministry budget, apart from items on a negative list.

Some financing agencies, such as the World Bank, channel the majority of their support to developing countries through this mechanism. The World Bank's Poverty and Social Impact Analysis (PSIA) assists policy-makers and government officials in better understanding the social implications of policy reforms. The ADB has its own guidelines for a similar type of analysis of the social effects of policy reforms.

The role of the social scientist is mostly upstream of policy-based loans. The emphasis is on diagnosing and modelling alternative scenarios, based on variations in policies or in the phasing of reforms, and analysing the potential positive and negative effects and winners and losers of policy reforms. This is followed by limited emphasis on the design of safety nets and social mitigation measures.

## Summary of outcomes by development approach

The expected outcomes and indicators of social analysis by development approach are illustrated in Table 3.

| Table 3: Expected outcomes and indicators of social analysis by development approach | | |
|---|---|---|
| **Development approach** | **What will change as a result of social analysis?** | |
| | **Outcomes** | **Indicators** |
| Donor-led project | • Targeting effectiveness increased: benefits to poor households and women are greater in projects with social analysis than projects without social analysis | • Government and implementing agencies understand and correctly apply participatory procedures and targeting measures<br>• Women as a % of project beneficiaries<br>• Poor smallholders as a % of project beneficiaries |
| Government-led project | • Targeting effectiveness increased<br>• Capacity of local counterparts to undertake social analysis enhanced | • Government and implementing agencies understand and correctly apply participatory procedures and targeting measures<br>• Women as a % of project beneficiaries<br>• Poor smallholders as a % of project beneficiaries |

*(continued)*

**Table 3** *(continued)*

| Development approach | What will change as a result of social analysis? | |
| --- | --- | --- |
| | **Outcomes** | **Indicators** |
| Agriculture SWAps | • Government formula for allocation of funds to districts is less biased against poor districts and within districts<br>• District agricultural planning process is more bottom-up<br>• Enhanced capacity of district staff and communities to plan and implement subprojects in their district development plans | • Share of poor districts in project resources is no less than their population share<br>• At least x% of districts are able to qualify for enhanced block grants on basis of performance assessments<br>• Public agricultural research and extension services are more client-centred: x% of research and extension topics originate from small producers<br>• As a result of project-financed capacity building, government and implementing agencies understand and correctly apply participatory procedures (if any)<br>• MoA Monitoring and Evaluation (M&E) system provides sex-disaggregated data on farmers trained and farmer groups contacted by extension |
| Budgetary support to MoA | • Greater % of public resources in agriculture expended on activities directly benefiting poor smallholder women and men (if public expenditure review and budget restructuring is done prior to and as a condition for budgetary support) | • As a result of project-financed capacity building (if any), government and implementing agencies understand and correctly apply participatory procedures<br>• x% of MoA budget to small producer sector |
| Policy-based agricultural lending | • Government understands the likely impacts of policy reform on the poor through the combined effects of changes in employment, prices, assets, taxes/subsidies<br>• Possible negative impacts of policy reforms on the poor are avoided or mitigated | • Mitigation plans prepared by government meet financing agency standards<br>• Mitigation measures are successfully implemented<br>• Number and % of affected people whose livelihood has been restored to pre-intervention levels |

# 5. ROLE OF SOCIAL ANALYSIS IN THE PROGRAMME CYCLE

This section provides information about the roles of social analysis at various stages of the programming and project cycle, drawing on the experiences of the six international agencies discussed in section 3. The words 'programme' and 'project' are used interchangeably.

Most agencies concerned with investing in agricultural and rural development recognize six stages in the programming and project cycle: **identification**, **design**, **appraisal**, **Board approval**, **implementation** and **evaluation**. During the implementation stage, distinction may be drawn between project effectiveness (that is, readiness to disburse funds), project start-up, Mid-term Review (MTR) and completion. Some agencies also recognize an '**upstream**' stage before the programme cycle, comprising economic and poverty analysis, sector work and country strategy formulation. The role of social analysis at different stages in the agricultural investment programming cycle is illustrated in Figure 2.

## Upstream activities

There is strong consensus among financing agencies about the need to incorporate social and livelihoods analysis into upstream poverty assessment and sector work, and some already do so (see Box 18). The adoption of the PRSP approach and the MDGs has led to an increased need for more systematic analysis of the poverty and social implications of reforms. The former focuses on income poverty (as measured by per capita consumption) and the latter concentrates on MDG indicators for health, education and access to public services. Nevertheless, there is still an opportunity to enhance poverty assessment work by incorporating livelihood concepts such as asset ownership, social capital, ways of earning a living, ways of managing risk and the ability to withstand and recover from shocks.

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**Box 18: Upstream social analysis**

The World Bank has developed a wide range of useful social analysis tools for this stage in the programming cycle, notably Participatory Poverty Assessments (PPA) and PSIA.

The PSIA assists policy-makers and government officials to better understand the social implications of policy reforms, by analysing the potential distributional impacts – positive and negative – of policy reforms on the well-being or welfare of different stakeholder groups, with particular focus on the poor and vulnerable. Examples include the dismantling of government intervention in the cotton subsector or the effects of food price variability on poor households in developing countries.

The analysis examines the likely effects of policy reform, focusing on five key factors or transmission mechanisms: employment, prices, access to goods and services, assets, and taxes and subsidies. The PSIA is usually undertaken by a country-led team, with assistance from World Bank specialists.

The ADB has its own guidelines for a similar type of analysis of the social effects of policy reforms.

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Agencies differ in the amount of resources available for social analysis during the preparation of their country strategy. Large multisectoral agencies, such as the World Bank, tend to devote more resources to support social analysis at this stage than smaller agencies. As a result, the integration of social analysis in country strategy formulation for multisectoral agencies has had the positive effect of increasing investment in sectors such as health, education and social protection. It has also increased overall investment in agriculture and rural development, in recognition of the fact that the majority of poor people are in the rural sector.

In contrast, smaller agencies have relatively limited resources for social analysis at the country strategy stage and may have to rely on secondary data sources, which are not necessarily tuned to their requirements.

## Figure 2: Social analysis in the programme cycle



**PROGRAMME CYCLE**

**Upstream: Sector and policy work/Country strategy**
Participatory Poverty Assessment, PSIA, Country gender study

**Project concept**
Initial screening for social issues including safeguards

**Project concept**
Diagnostic
Targeting
Design participatory mechanisms, design social components and safeguards

**Project appraisal**
Social appraisal

**Loan negotiation Board approval**
Social annex to Board Document
Social conditionalities

**Project implementation**
**Participatory M&E, beneficiary tracking**
Social supervision
Implementation support
Social scientist on MTR team

**Evaluation**
Agency evaluation
**Social impact assessment**
Lessons learned and fed back into design

Financing agency role
**Borrower role**

# Identification

The project concept stage holds important opportunities for enhancing the poverty and gender focus of project ideas. Proactive thinking about alternative designs should take place in the field, rather than in a desk review, before the project concept crystallizes. This is the right time to consider trade-offs and alternative designs, before committing the financing agency to a specific implementing agency, and before the vested interests in a given project design become so strong that the design can no longer be changed. Sufficient resources should be devoted to an analysis of possible implementing partners and an assessment of their capabilities.

The social screening process usually begins as early as possible in the agency programming cycle. It involves the rapid review of proposals for new potential investments to identify social issues that need to be addressed during project design and implementation. This process can be repeated in greater depth at successive stages of the cycle.

## Design

There are two distinct social analysis inputs into project design, especially for poverty-targeted interventions. First, a study on the farming (or production) systems and on the broader livelihood systems should be undertaken, either by a multidisciplinary team, often jointly with likely future implementing agencies, or by drawing on secondary data and selected consultations. The study should also cover poverty and gender analysis, organization and group profiles, stakeholder analysis, institutional assessment, participatory consultation and an analysis of livelihood risks deriving from the vulnerability context.

> *Details about the rural livelihoods systems and associated studies are presented in the Practitioner's Guide and tools and checklists for fieldwork are provided in the Field Guide*

Second, during project preparation the social scientist should complete the design, phasing and costing of pro-poor participatory processes, grassroots institutional arrangements, poverty and gender targeting mechanisms, monitoring and evaluation (M&E) feedback systems and other components based on findings from the social analysis.

> *Details about designing project inputs based on social analysis and relevant to agricultural and rural investments are provided in the Practitioner's Guide.*

## Appraisal

The appraisal stage is particularly important when social safeguard policies are triggered. Agency social scientists need to assess the quality and adequacy of the social assessment and social mitigation plans for resettlement or indigenous people's participation, as prepared by the borrower. The appraisal mission needs to examine whether the social analysis findings and mitigation plan are adequately reflected in the appraisal document and the cost tables. The appraisal also needs to assess borrower commitment and readiness to implement the actions in the mitigation plan.

When social safeguards are not involved, the social input at appraisal can be lighter, assessing the extent to which the project's social design is realistic and implementable considering any gaps in local capacity and the skills and commitment of implementing agencies. It is also important to establish the government's understanding of and commitment to the project's social and grassroots institutional development objectives.

The main focus of social analysis during the preparation of the Project Implementation Manual (PIM) should be on institutions, rules and behaviour, with a view to ensuring transparency and accessibility to project resources. Ownership and understanding is increased if those responsible for implementation also participate in the preparation of the document.

## Board approval

Attention to legal covenants is of particular importance for projects with social safeguard issues. Covenants enable the financing agency to hold the borrower legally accountable for implementing the required mitigation or compensation plans. For projects that do not trigger agency social safeguard policies, it is more challenging to include aspects of social targeting (such as gender-based targets) among the legal covenants because enforcement is difficult.

## Implementation

Social inputs during project implementation include support to participatory planning, beneficiary tracking, CBOs and the M&E system.

The time between project start-up and the first year of full operation is crucial for the successful future implementation of social aspects of the programme. It is extremely important that knowledge about the project and how to access its resources is diffused as widely as possible, to ensure transparency and equal opportunities to participate. Public information campaigns and start-up workshops inform people about the project and what it offers. This is also a time for capacity building and strengthening local ownership through sensitization and training of implementing partners in participatory techniques and gender mainstreaming.

The first year of implementation is a suitable time for testing and adjusting the procedures spelled out in the PIM and for learning-by-doing about what works in poverty and gender targeting. Unfortunately, things often fail to take place as planned because of institutional blockages, delays in the recruitment of staff and consultants to launch the process and a lack of clarity among the PMU staff.

In demand-driven projects, social analysis is usually built into project implementation as part of an ongoing process of participatory needs assessment and planning. District and subdistrict multidisciplinary facilitation teams assist community facilitators to undertake and update or validate participatory needs assessments and Community Action Plans (CAPs), which then feed into district medium-term plans and annual work plans and budgets.

The degree of attention to social issues during project supervision varies among agencies. When implementation support missions are undertaken jointly with project supervision, there is more opportunity to understand how fiduciary aspects – such as disbursement, procurement and financial management – affect the implementation of social and capacity-building components and thereby the achievement of social aspects of development goals. Similarly, it is also more possible to understand the relevance of activities based on social analysis to successful implementation and the achievement of the overall programme goal.

The M&E system can incorporate a social perspective in the baseline survey and socially- and gender-sensitive indicators for programme outputs, outcomes and impacts in the logframe or results framework. Participatory impact assessments – which are built into the M&E system – enable community members (beneficiaries and non-beneficiaries) to provide feedback to the PMU on levels of satisfaction with project processes and outcomes, and to express what difference the project has made in their lives and livelihoods. Box 19 describes other methods for generating feedback on the implementation process.

**Box 19: Generating feedback on the implementation process**

- **Participatory monitoring:** involves project beneficiaries in monitoring, recording and reporting on the benefits of project activities.
- **Beneficiary tracking:** enables project management to understand which categories of people the project is reaching and to make mid-course adjustments aimed at strengthening targeting effectiveness by improving the inclusion of poor households, women, youths, ethnic minorities and other disadvantaged groups.
- **Beneficiary assessment:** is especially useful at the mid-term review, and generates direct feedback from beneficiaries at different levels - ranging from farm households to frontline implementing agencies - on their perception of the project, its benefits and weaknesses, and areas for improvement.
- **Annual stakeholder workshop:** is another forum for gathering feedback.

# Evaluation

In addition to assessing the project impacts from a social perspective during project implementation and at the mid-term review, Social Impact Assessments (SIAs) are conducted at project completion.

All Implementation Completion Reports (ICRs) need to address issues regarding inclusiveness, sustainability of benefits and socio-economic impacts. Both ICRs and other types of evaluations provide the basis for learning lessons, which are fed back into subsequent agency operations.

It is important that lessons about the social aspects of agricultural and rural development – such as inclusion, empowerment and sustainability – are captured in the project's knowledge management system, shared and validated among peers and disseminated.

# 6. MANAGEMENT ASPECTS OF SOCIAL ANALYSIS

This section examines some of the management practicalities of integrating social analysis into investment design, implementation support and evaluation missions. It covers the skills and the role of the social scientist, responsibilities of various actors for social analysis, and the human resources required to undertake the work at different stages of the programme cycle.

## Skills of social scientists

Social scientists may come from a variety of social science backgrounds (Table 4), depending on the subsector and the type of intervention required. The term "social scientist" in this guide refers to people with professional training in rural development, rural sociology, socio-economics or development anthropology, supplemented by specific experience in one or more of the following areas: community-based natural resource management, rural livelihoods, gender, participatory needs assessment and planning, household food security, farming systems diagnosis, rural institutions or decentralized governance. There are several areas of overlap among the professions.

| Table 4: Who can do what? | |
|---|---|
| **Type of specialist** | **Specific social analysis-related skills** |
| Rural sociologist | Socio-economic stratification, landlessness, target groups, targeting |
| Anthropologist | Indigenous peoples, ethnic minorities, pastoralists, cultural values |
| Rural development | Generic – a bit of everything without specialization |
| Rural institutions | Rural organizations and institutions, governance, decentralization |
| Natural resource management | Community-based natural resource management, forestry, watersheds |
| Livelihoods | Assets, shocks, resilience, coping, livelihood recovery, risk management |
| Emergency | Relief, livelihood protection and recovery, disaster risk management, internally-displaced persons |
| Participatory facilitator | Participatory needs assessment and planning, workshop facilitation |
| Agricultural economist | Crop and livestock budgets, farm labour requirements, farm budgets |
| Gender | Gender analysis, gender training, women's empowerment, gender targeting |
| Poverty analyst | Poverty assessments, household consumption and expenditure studies |

A good social scientist will have six core competencies:

- experience in the rural sector (essential) and experience in smallholder agriculture (highly desirable);
- prior exposure to agricultural investment projects;

- academic qualifications in rural sociology, anthropology, rural development studies or a related discipline;
- commitment to working from the perspective of the poor, women and disadvantaged groups;
- a passion for fieldwork, talking with and listening to people from all walks of life and understanding and unravelling the complexities of rural livelihoods; and
- a helpful, down-to-earth, practical problem-solving attitude and a strong team spirit. Social scientists should facilitate cross-learning about how socio-economic and gender issues interface with the technical and institutional aspects of particular policy measures, programmes or projects. Cross-learning should also be encouraged between the team and government.

Although some economists or agronomists have successfully acquired the required skills in social and gender analysis, managers should generally give preference to professionals who have formal training or substantial field experience in sociology, anthropology or a closely-related discipline.

## Role of the social scientist

Social scientists serve as independent brokers among three main stakeholders: the financing agency, the recipient government and the intended beneficiaries. They facilitate an objective and collaborative process whereby each stakeholder can examine the proposed interventions – including their advantages and disadvantages and areas of convergence and divergence – and make suggestions for modifying the design or implementation arrangements to make the proposed interventions mutually acceptable. The social scientist is not responsible for selling one stakeholder's project concept to another. As an independent broker, the social scientist should report a truthful picture of a project's likely social impact and its acceptability to the intended beneficiaries. If it appears that an agency intervention could have negative impacts on the poor or that benefits are being captured by elites, the social scientist should encourage dialogue among the different stakeholders to adjust the intervention to eliminate any problems.

The social scientist is accountable to several parties. On a day-to-day basis, the social scientist is directly accountable to the team leader – whether this person is an agency task manager or the head of a government unit. For quality assurance, he/she is accountable to social development specialists in the financing agency. In his/her role as an independent broker, the social scientist is accountable to the agency's intended target group members to ensure that they are duly consulted about their views on the project and that agency safeguards are applied if necessary.

While this section focuses on the individual role of a social scientist, it is important to remember that all team members should share many of the underlying values and should mainstream social analysis considerations into their own work. The social scientist may be tempted to act within the team as the spokesperson and champion of the interests of women and men from poorer households. However, it is often more effective – especially in discussions with government – to enable the people to speak for themselves through their spokespersons. One of the social scientist's key roles is to enhance the capacity of the intended beneficiaries and other affected people to express their own views and perspectives during the process of negotiation around project design and during project implementation.

## Responsibilities

The financing agency and the government are ultimately responsible for ensuring that the social analysis work is done properly. Social scientists are responsible for undertaking the analysis, while the PMU is responsible for implementing the recommendations.

### Donor/financing agency
The donor or financing agency should have final responsibility for social analysis, including:
- conducting social and livelihoods analysis upstream of projects while developing its country strategy;

■ screening project concepts for possible social or safeguard issues (if applicable);

■ assisting the government to mobilize grant resources to finance social assessment and safeguard studies (if applicable);

■ appraising the adequacy of social analysis and social design, including the identification of social- and gender-sensitive indicators, prior to project approval by the agency Board;

■ supervising social and safeguard issues during implementation; and

■ signing off on the ICR's assessment of social, poverty and gender impact.

*Recipient country government*
The borrower should take the lead in:

■ ensuring that a local design team is in place and has the necessary resources to complete the design process in a way that meets the financing agency standards;

■ financing the cost of social assessment and design for any required plans or frameworks to address social safeguards (if required by the financing agency);

■ establishing a high-level national team to steer the project and a national secretariat to service the team. The team should have at least one member charged with monitoring the social, poverty and gender aspects of implementation. It should meet at least once a year to approve the annual work plan and budget, and to review targeting effectiveness and other social aspects;

■ providing adequate resources to enable members of the national steering team or secretariat – including the person responsible for social, poverty and gender issues – to make periodic visits to field sites to monitor implementation progress; and

■ signing off on the PMU's ICR.

*Design team*
The design team – whether it is formed and led by the financing agency, government or consultants – should take the lead in:

■ designing the programme or project;

■ conducting social assessment;

■ designing gender and poverty targeting measures, including enabling and empowering measures (see Box 20);

■ explicitly assigning responsibility for poverty and gender targeting within the terms of reference of future PMU staff;

■ designing inputs based on social analysis relevant to agricultural and rural investments;

■ designing social safeguard plans or frameworks as required; and

■ formulating PIM procedures for targeting, participatory planning, monitoring and evaluation.

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### Box 20: Outputs of a social scientist on the design team

■ Written report, usually in the form of a working paper or annex to the project preparation report, which describes social conditions in the project area and project stakeholders; determines whether social safeguard policies are triggered and, if so, designs an appropriate mitigation plan, defines the target groups and designs targeting measures.

■ Contributions to the mission aide memoire and sections of the design document dealing with poverty and gender issues, target groups, targeting measures, participatory processes and the design of inputs based on social analysis.

■ Contributions to the PIM dealing with target groups, participatory planning processes, capacity building, strengthening CBOs, inputs based on social analysis and social safeguard strategies.

### Project management unit (PMU)

The head of the PMU should take the lead in:

■ making certain that poverty and gender targeting is undertaken as specified in the PIM and that PMU team members understand their role in the process;

■ ensuring that enabling measures foreseen in the project work plan and cost tables are implemented as planned (e.g. campaigns to sensitize the government, the implementing agency staff and the communities about the importance of including the poor and women; public information campaigns and measures to promote transparency; and gender training);

■ ensuring that the PMU member responsible for overseeing poverty and gender targeting has adequate resources to do the job;

■ ensuring that district staff and service providers are adequately trained to apply the targeting procedures and to implement the participatory planning process as foreseen in the design;

■ ensuring that the M&E system tracks beneficiary contacts by gender and other relevant parameters of socio-economic status (e.g. wealth, age, caste or ethnicity); and

■ ensuring that the performance of targeting and social development initiatives are monitored on a continuous basis.

### FAO and other cooperating agencies

The role of cooperating institutions is to undertake functions, such as project design and implementation supervision, on behalf of another financing agency. In this context, FAO has a particular role to play as an independent broker and, in this role, should:

■ facilitate a dialogue at the project design stage among stakeholders (i.e. the financing agency, government and the intended beneficiaries); and

■ mediate among the perspectives of the government, financing agency and beneficiaries when preparing ICRs, assessing impact and drawing lessons from experience.

## Resources

This subsection reviews the resource requirements for social analysis, expressed in terms of team duration, size and composition and in total person weeks for international and local inputs, at different stages of the programming cycle. References to costs are omitted because they vary significantly by country and over time.

### Social screening

Social screening of proposed agency interventions can either be done by the agency (staff or consultant) or – increasingly – by staff in an agency country office. It needs to be done by a generalist who has a good grasp of agency policies and of the relevant sector. It takes about three days to review a full set of investment project preparation or appraisal documents. Social screening tends to be more effective when conducted at the country office level because staff or consultants are likely to have better in-country knowledge and the opportunity to visit the project area to see the proposed development and to confer with government and other stakeholders at little additional cost.

### Social and livelihoods diagnostic study

A rapid socio-economic and livelihood systems diagnostic study, which can be done as part of the design mission or separately, should be the starting point for identifying target groups, targeting and designing inputs based on social analysis. This can take from a minimum of three days (during the course of a regular design mission) up to six weeks, depending on the time and resources available. The ideal duration for a diagnostic study during a three-week design mission is 7-10 days. For a free-standing participatory diagnostic, the ideal duration is three weeks. However, even a short diagnostic study is better than none.

> *Further details about diagnostic studies are presented in the Practitioner's and Field Guides.*

A national team conducting a diagnostic study should be composed of staff seconded from government implementing agency departments for about three weeks. Depending on the qualifications and experience of the national team, an experienced international consultant may assist in designing the study, starting the fieldwork and analysing the findings. A consultant can significantly enhance the quality and pertinence of the diagnostic study findings and their use in project design, and may provide the opportunity for local capacity building through training and in-the-field practical experience. When the project covers a vast geographical area, a local preparation team has an advantage over a time-bound mission in that it is able to spread the diagnostic work over a series of one- or two-week visits to various parts of the country.

### Project design

For donor-driven agricultural investment projects, diagnostic, targeting and design activities are usually combined in a single "one-shot" three-week mission, during which an international social scientist forms part of an interdisciplinary team. In the government-led mode, these activities are handled either by national social scientists as members of an interdisciplinary local design team (working for an extended period) or are outsourced as discrete tasks (each requiring from two to three weeks) to local consulting firms. There are many benefits to be derived from interdisciplinary teamwork (see Box 21).

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**Box 21: Benefits of interdisciplinary teamwork**

As a permanent member of an interdisciplinary design team, the social scientist is well placed to:

- make other team members aware of the ways in which social, poverty and gender issues interface with technical design issues;
- influence overall design by giving voice to the expressed priorities of the intended beneficiaries;
- help make the project better targeted, more participatory and more empowering for women and the poor.

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### Project implementation

The PMU and implementing partners should have one or more qualified staff responsible for poverty and gender targeting, facilitating participatory processes and ensuring that social safeguard requirements are met. All the key mechanisms and tools used by the project should be sensitive to gender, age, poverty and other social aspects in the project logframe and M&E system and in representation on project committees.

### Implementation support

It is ideal for one international social scientist to participate in two-week support missions twice a year. This input is preferably an integral part of implementation support and supervision missions to facilitate synergy among different technical, social, economic and environmental perspectives and to ensure that ideas and observations about social issues, from both supervision and implementation perspectives, are fed back formally to the PMU and government. An alternative approach is to partner an international consultant with a national consultant for the first year or so of implementation in order to provide on-the-job capacity building for the national consultant. The donor can then rely on the national consultant for most implementation support and bring the international consultant back for key events such as the MTR and the final supervision.

*Social impact assessment*

Social impact assessment using qualitative methods requires, at a minimum, one international team leader for two to three weeks, a junior assistant and the costs of internal travel and allowances for an in-country team of variable size (usually four to six members). When the donor requires a formal social impact survey, the time required is much longer, the international social scientist may require two separate trips to the country, and the cost is correspondingly higher.

Responsibility for the costs of in-country staffing for qualitative social impact assessment depends on whether the assessment is external or internal. When it is an external exercise, the donor bears the costs of consultancy fees, travel and daily allowances. When it is an internal effort undertaken jointly by the financing agency, members of the government steering committee and PMU, the project bears the cost of internal travel and allowances for steering committee members and project staff. Alternatively, for objectivity, the PMU may outsource impact assessments to qualified local institutions such as universities, consulting firms or the national statistics office. Whenever social impact assessment is the government's responsibility, the cost is usually included in the project M&E budget.

*Evaluation*

For evaluation missions, two main options are possible: a one-shot mission with three to five international staff or consultants for about three weeks, followed by one to two weeks of writing reports – either in-country or at the home base; or a short preliminary mission by the evaluation team leader (jointly with the agency evaluation officer, if possible) to plan the mission and contract a social impact assessment and a full evaluation mission at a later date once the social impact assessment has been completed. The first option is less expensive for the donor, but the second option may be more informative.

All external project evaluations should include social scientists, preferably with gender expertise, and all evaluation team members should be sufficiently briefed about the gender and pro-poor dimensions of the project. Participation in evaluation missions enables social scientists to gain first-hand experience of the lessons learned and to apply them in other contexts.

*Implementation completion*

The government begins this process by preparing an ICR to report on its own achievements, shortcomings and lessons learned. The financing agency prepares its own ICR report based on the government's report and its own observations. The two-week ICR mission is led by the financing agency and usually includes a technical specialist (in agriculture, forestry, fisheries or natural resource management) and an economist to recalculate ex-post rates of return on the basis of actual project costs, cropped area and yields. There is rarely a budget for a social scientist to join the mission, but there is considerable scope for ICR team members to examine social issues as a basis for making a judgment on project success and lessons learned.

## Next steps

The Practitioner's Guide deals with the 'why and what' questions in depth, describing: the sustainable livelihoods framework; the main entry points for conducting social analysis; the range of inputs that may be made to project design; and tools for tracking social aspects of development.

The Field Guide provides practical guidance on the fieldwork aspects of social analysis, considering the practical aspects of integrating social analysis into missions; data collection activities and checklists at various levels of enquiry; and 13 participatory tools suitable for social analysis fieldwork.

# APPENDIX 1: APPLICATIONS OF SOCIAL ANALYSIS

| Table 1A: Productive sectors | |
| --- | --- |
| **Subsector** | **Applicability and uses of social analysis** |
| Area-based integrated agricultural development | • To commercialize traditional farming systems in marginal areas where farming involves high risks <br> • To target resource-poor households <br> • To address shifting cultivators, hunting and gathering people or tribal areas <br> • For areas affected by open social conflict <br> • In areas where sharecropping, tenancy and landlessness are important <br> • In areas where little is known about the people and their livelihood systems |
| Commodity-based agriculture | • As a basis for selecting which commodities and alternative designs have greater potential to reduce poverty <br> • For interventions involving commodities produced, processed or marketed mainly by smallholders <br> • For commercial investments that could undermine the livelihoods of small-scale producers, processors or traders <br> • For interventions likely to result in major employment loss (e.g., restructuring of agricultural estates) <br> • For investments involving land acquisition by commercial enterprises and possible displacement of customary users <br> • For privatization of state and collective farms to the farm workers <br> • For projects involving smallholder equity participation in commercial agroprocessing as shareholders |
| Small-scale irrigation | • For design of procedures to form and strengthen water user associations <br> • For farmer involvement in operation and maintenance of irrigation facilities <br> • In efforts to improve on-farm water management. |
| Livestock and range management | • When the objective is to increase outputs of milk, meat, fine wool or cashmere at the expense of keeping livestock for other customary purposes <br> • For poverty and gender targeting of small-scale dairy, poultry or small ruminant production schemes <br> • For community-based range management <br> • When assessing social and gender implications of measures for control of bird flu and swine fever |
| Forestry | • For poverty and gender targeting of investments concerned with: <br>   - community forestry <br>   - social forestry <br>   - agroforestry <br>   - development of non-timber forest products <br> • To understand the impact of investment on indigenous or poor forest-dependent people |

*(continued)*

| Table 1A *(continued)* | |
|---|---|
| **Subsector** | **Applicability and uses of social analysis** |
| Fisheries | • In the development of small-scale artisanal fisheries<br>• To introduction codes of conduct for sustainable management of artisanal fisheries resources<br>• For safety at sea<br>• To improve traditional fish processing and marketing, especially when in hands of small-scale women processors and traders<br>• When designing procedures for co-management of common property fishing resources or common infrastructure such as landing sites, cold chains or refrigerated trucks |
| Natural resource management | • For poverty and gender targeting of investments in sustainable management of:<br> - common property resources<br> - land husbandry/land management<br> - soil conservation on common lands<br> - watershed management<br> - wetland development<br> - biodiversity management |
| Value chain development | • In pro-poor value chain development<br>• For access to fair trade or ethical trade product markets<br>• To strengthen small producer associations<br>• To enhance the ability of small producers to negotiate successfully with more powerful players in the value chain in the hope of enhancing their share of value added<br>• To enable small producers in developing countries to meet certification, traceability, packaging and hygiene standards that are prerequisites for accessing value chains |
| Rural enterprise development | • In pro-poor livelihood diversification and enterprise development<br>• For poverty and gender targeting of rural enterprise development<br>• For targeting rural youth<br>• In self-employment schemes for physically challenged people or people living with HIV/AIDS<br>• For enterprise group formation and strengthening |

| Table 1B: Agricultural services | |
| --- | --- |
| **Subsector** | **Applicability and uses of social analysis** |
| Agricultural advisory services | • To transform top-down, message-driven agricultural extension systems into client-oriented, farmer-driven advisory systems<br>• To enhance a poverty and gender focus<br>• To increase understanding of how privatization will affect the affordability of extension services and their use by the poor |
| Animal health services | • To assess the likely impact of privatization on access and use of veterinary service by poor livestock keepers<br>• To design strategies to provide veterinary services to transhumant pastoralists<br>• When documenting indigenous technical knowledge on animal diseases and their treatment |
| Agricultural technology generation and dissemination | • To design mechanisms to increase small farmer participation in setting agricultural research agendas<br>• To design investments in participatory on-farm farmer-based technology generation and testing<br>• To design action research with farmer-innovators |
| Rural finance | • For poverty and gender targeting of rural microfinance<br>• To design pro-poor index-based crop and livestock insurance |

## Table 1C: Rural development

| Subsector | Applicability and uses of social analysis |
|---|---|
| Community-driven development | • For participatory needs assessment and planning<br>• To consolidate community action plans into district development plans<br>• For mobilization of the community contribution to matching grants<br>• For community ownership, operation and maintenance of facilities<br>• For citizen monitoring of community subproject implementation<br>• For community-based evaluation of subproject outputs and outcomes |
| Governance | • For fostering citizen engagement in influencing decisions on public expenditure<br>• To design strategies to foster transparency and greater downward accountability of public officials to their constituencies<br>• For specialized tools including gender budgeting and participatory public expenditure review |
| Rural organizations | • To support:<br>- elected local government councils<br>- village development committees<br>- producer organizations<br>- farmer organizations<br>- commodity-based organizations<br>- civil society organizations<br>- community-based organizations<br>- enterprise groups<br>- women's groups<br>- youth groups<br>- rural trade unions<br>- networks of CBOs |
| Land tenure/ land administration | • For pro-poor agrarian reform<br>• To reinforce women's land rights<br>• To protect land rights of indigenous peoples<br>• To design measures to guard against possible unanticipated negative effects of land titling on the customary land rights of women or the poor<br>• To protect customary users against land grabbing |

## Table 1D: Emergency assistance

| Subsector | Applicability and uses of social analysis |
|---|---|
| Emergency assistance | • For slow-onset emergencies, protracted or complex emergencies and post-emergency livelihood recovery and sudden-onset emergencies immediately after the acute phase of the emergency passes<br>• For vulnerability assessment and mapping<br>• For emergency needs assessment<br>• To identify the hungry poor<br>• To assess the impact of natural calamities and complex emergencies on livelihood assets<br>• To enable the local population to rebuild their livelihood assets<br>• To foster rapid livelihood recovery<br>• To plan and implement community-based rehabilitation<br>• For understanding the role of local organizations and institutions in needs identification, participatory planning, beneficiary selection, monitoring entitlements and distribution committees<br>• To ensure that assets created benefit the poorest<br>• To ensure gender equality during emergencies and post-emergency recovery |

## Table 1E: New initiatives

| Subsector | Applicability and uses of social analysis |
|---|---|
| Food price variability initiatives | • For supply-side initiatives aimed at increasing food production in the hope of reducing soaring food prices<br>  - To identify potential impacts of losing land to commercial concessions on existing smallholder and pastoralist farming systems, who depend on that land for extensive grazing and for soil fertility regeneration through fallowing<br>  - To examine the risk that untargeted fertilizer, seed and fuel subsidies will accrue mainly to the non-poor commercial producers instead of to poor smallholders<br>  - To enhance direct benefits to women and men among small–scale food producers, processors and traders<br>• For demand-side initiatives aimed at safeguarding the human capital of market-dependent households whose weak purchasing power makes them unable to buy enough food to meet their minimum nutritional requirements<br>• For targeted productive safety nets aimed at enabling poor rural households to complement home production through food-for-work on community assets |
| Adaptation to climate change | • To understand the importance of threatened natural resources in existing livelihood systems (e.g. in low-lying areas and island states subject to flooding with rising ocean levels)<br>• For implications for human displacement and asset loss<br>• To identify livelihood diversification and/or alternative livelihood options |

# APPENDIX 2: COMPARATIVE DATA BY AGENCY

## Table 2A: Scope and mandatory nature of social analysis

| Requirements | WB | ADB | AfDB | IDB | IFAD | WFP |
|---|---|---|---|---|---|---|
| Screening of interventions for social issues? | Yes, all projects and upstream policy-based loans screened for likelihood of triggering social safeguards | Yes, all country strategies, public sector and financial intermediary projects require Initial Poverty and Social Analysis (IPSA) | Yes, all operations are screened for potential contribution to poverty reduction; all projects must do an Initial Environmental and Social Strategy (IESS) | Yes, all operations are screened for potential contribution to poverty reduction; all projects must do an IESS | Yes, poverty and gender analysis and targeting required for all operations | Vulnerability assessment and mapping (VAM) required for all operations |
| Social analysis required at appraisal as a condition for Board approval? | Yes; for "social" projects except learning and innovation loans, adaptable programme loans and second phase projects where social information from the first phase is sufficient; required for projects that trigger social safeguard policies | Not all projects; yes for targeted poverty-reducing interventions and for all projects that trigger one or more social safeguards | Full Environmental and Social Strategy (ESS) is only required for projects with likely negative social impact (category 1) or possible negative social impact (category 2) | Full ESS is only required for projects with likely negative social impact (category 1) or possible negative social impact (category 2) | All Board documents must include a satisfactory poverty and gender analysis | No mandatory social analysis but all need VAM assessment |
| Social analysis required for economic and sector work upstream of projects and policy-based lending? | Yes, PSIA for policy-based lending if negative impacts are possible; economic and sector work includes poverty and gender assessment | Yes, IPSA required for upstream work | No | Yes, if negative impacts are possible | For all regional poverty assessments and strategies based on social analysis | Not applicable |
| Social analysis required for private sector projects? | Yes, for Africa Finance Corporation and financial intermediary loans | Yes, for financial intermediary loans | Yes, for financial intermediary loans | Yes, if negative impacts are possible | Not applicable (no private sector projects) | Not applicable |

## Table 2B: Social analysis inputs in agency programming cycles

| Stage in cycle | WB | ADB | AfDB | IDB | IFAD | WFP |
|---|---|---|---|---|---|---|
| Economic and sector work | Participatory Poverty Assessment (PPA), PSIA, Country Gender Assessment, Conflict Assessment Framework, Country Governance Assessment | Country poverty strategy, country gender analysis | Country poverty strategy | During country programming and strategy, specific sectors also conduct sector specific papers and policy notes | Performance-based fund allocation (countries that do well on poverty and gender targeting receive a higher allocation) | VAM |
| Country strategy - social analysis requirements | Summary of PRSP/ poverty assessment, gender, social sector focus integrated into Country Assistance Strategy (CAS) | Yes, mandatory Summary Poverty and Social Strategy (SPSS)/ Initial Poverty and Social Analysis (IPSA)/ integrated in Country Operations Strategy Study (COSS) and Country Assistance Plan | Country poverty analysis, gender strategy – not mandatory; social issues included in Country Strategy (CS) | Not mandatory, but often included in Country Strategy (CS) | Country Strategic Opportunities Programme (COSOP) based on mandatory poverty and gender analysis | Country Programme (CP) based on mandatory VAM or Emergency Needs Assessment (ENA) |
| Project concept | Social screening | IPSA | Initial Environmental and Social Strategy (IESS) | Environmental and Social Strategy (ESS) | | |
| Project preparation and appraisal | Social assessment and mitigation plans required for projects with social objectives or that trigger social safeguards | Full Poverty and Social Analysis (PSA) required for poverty targeted interventions and projects with safeguard issues | Environmental and Social Impact Assessment (ESIA) and Environmental and Social Management Plan (ESMP) are required for all projects with safeguard issues | Social assessment, ESIA required for projects with safeguard issues | Poverty and gender analysis is required for the design of all projects | VAM and ENA required as an input for design of projects and country programmes |

*(continued)*

## Table 2B *(continued)*

| Stage in cycle | WB | ADB | AfDB | IDB | IFAD | WFP |
|---|---|---|---|---|---|---|
| Loan negotiations | Loan covenants to include Resettlement Policy Frameworks (RPs), Indigenous People's Plans (IPPs)/ Indigenous People's Planning Frameworks (IPPFs) | Loan covenants to include RPs/ RFs, IPPs/ IPPFs | Pre-approval audit; ESMPs in loan covenants | Loan covenants include key safeguard requirements in ESMPs | Loan covenants may include targeting (optional) | Not applicable |
| Board presentation and approval | Projects triggering safeguards require mitigation plan summary in Project Appraisal Document (PAD) | SPSS required for President's report | ESIA including mitigation approach for all category 1 projects | All ESS, EMSP triggering safeguards (all category A, some category B projects) | Poverty and social analysis required in Board docs | VAM or ENA required but no social analysis |
| Continuous SA during implementation | Increasingly important: many LILs & Adaptive Program Loans (APLs) build it into the project | For projects that trigger social safe guards | For projects that trigger social safe guard policies | For category A projects that trigger social safeguard policies | Recognized but not enshrined in an official policy | High importance: VAM assessment is continuous |
| Build beneficiary contact monitoring, beneficiary assessment or social impact assessment into M&E | No (but beneficiary assessment and social impact assessment (SIA) are a recommended good practice) | Projects with social impact mitigation plans | Projects with ESMPs | Projects with ESMPs | Yes (projects required to monitor targeting effectiveness) | Beneficiary contact tracking is done |
| Supervision of project implementation | Social supervision for safeguards and targeted interventions. Beneficiary assessment at mid-term | Social supervision for safeguards and targeted interventions | Social super-vision for safe guards | Social and environmental supervision conducted together for safeguards | Implementation support missions for social issues | Continuous VAM assessments |
| Project completion | Intensive learning ICR | ICR | ICR | ICR | Borrower Project Completion Report (PCR) | |
| Evaluation | Optional SIA | Optional SIA | Optional SIA | Optional SIA | Optional SIA | |

## Table 2C: Linkages between social analysis and other enquiries

| Linkages between social analysis (SA) and … | WB | ADB | AfDB | IDB | IFAD | WFP |
|---|---|---|---|---|---|---|
| Poverty analysis (PA) | Separate | Linked | Included in EA (limited) | May be included in EA | Includes SA | - |
| Gender analysis (GA) | Separate | Included in SA | Included in EA | May be included in EA | Includes SA | - |
| Institutional assessment (IA) | Separate | Included in SA (limited IA) | Included in Country Policy and Institutional Assessment (CPIA) | Separate | Covered in PA and GA | - |
| Social aspects of environmental assessment (EA) | Often combined | Separate | Part of EA | Merged with EA | Separate | - |
| Vulnerability assessment (VA) | - | - | - | - | - | Includes SA |

| Table 2D: Locus of responsibility for social analysis | | | | | | |
|---|---|---|---|---|---|---|
| **Responsibility for social analysis** | **WB** | **ADB** | **AfDB** | **IDB** | **IFAD** | **WFP** |
| Initial screening and classification of pipeline projects on social issues | WB SD specialists, in consultation with Task Team Leader (TTL) | ADB SD specialists (including consultants) | AfDB SD staff (or outsourced to consultants) | IDB technical sector and Environmental and Social Safeguards (ESG) Unit staff (or consultants) | All COSOPs reviewed for targeting – no classification | |
| Decision to undertake social analysis | TTL, WB SD specialists | ADB SD specialists | AfDB SD specialists | IDB SD/ESG specialists | Country Programme Manager (CPM) | No SA (VAM or ENA) |
| Design of in-depth social analysis during project design | Borrower designs; WB SD specialists may assist borrower | Consultants hired under PPTA | Borrower or operations department | IDB technical sector and ESG staff (or consultants) | IFAD consultants | Not applicable |
| Undertaking in-depth social analysis | Borrower: national or international consultants | PPTA team sociologists: national or international | Borrower: national or international consultants | Borrower: national or international consultants | Consultants (national or project design team members) | Country Office VAM officers |
| Social analysis quality enhancement and quality assurance | WB SD specialists | ADB SD specialists | AfDB SD specialists | IDB SD/ESG specialists | Project Development Team (PDT) and Policy and Technical Advisory Division (PTA) gender adviser, and Quality Enhancement Review (QERs) | Reg. Offices + HQs VAM officers |
| Ensuring social analysis findings are reflected in project design | TTL is expected to integrate SA (and EA) findings into PAD | Team Leader for project design | Operations - design team leader | IDB SD/ESG specialists | Project design team leader and CPM held accountable | Country Office |
| Signing off on design of projects with social safeguard issues | WB SD Staff | ADB SD staff | AfDB SD staff | IDB SD/ESG specialists | Not applicable | Not applicable |
| Continuous social analysis during implementation | Borrower: PMU staff and consultants | Borrower: PMU | Borrower: PMU | Borrower and technical sector staff in IDB Country Office | Borrower PMU | Country Office |
| Monitoring social outcomes and/or compliance with safeguard policies | Borrower, assisted by supervision teams, WB SD staff in regions | Borrower + task manager; ADB SD staff for safeguard issues | Borrower + AfDB OPs | IDB SD/ESG specialists at HQ | CPM and implementation support missions | Responsible Officer or SD staff |

## Table 2E: Sources of funding by financing agency

| Social analysis funding sources | WB | ADB | AFDB | IDB | IFAD | WFP |
|---|---|---|---|---|---|---|
| Funding at the design stage | WB Trust funds as a grant to borrower (add on to project preparation) | PPTA (project preparation facility) | From project preparation budget | IDB Trust funds as a grant to borrower/ sometimes from project preparation budget | From project preparation and appraisal budget or trust funds | Not applicable (VAM paid for by WFP CO) |
| Funding for implementation of resettlement and/or indigenous people's plans (or frameworks) | The borrower (cost included in the WB loan) | The borrower (cost included in ADB loan) | "Preferably" included in project cost | The borrower (cost included in IDB loan) | Not applicable - no social mitigation plans | Not applicable - no social mitigation plans |
| Funding of project social development activities | Included in project budget | Included in project budget | Included in project budget | Included in project budget | Included in project budget | Included in project budget |

# APPENDIX 3: LINKS TO RESOURCES BY AGENCY

**African Development Bank**

Poverty reduction webpage
http://www.afdb.org/en/topics-sectors/topics/poverty-reduction/

Gender webpage
http://www.afdb.org/en/topics-sectors/sectors/gender/

Gender Equality and Women's Empowerment: An Updated Gender Plan of Action (UGPOA) 2009 – 2011
http://www.afdb.org/fileadmin/uploads/afdb/Documents/Policy-Documents/Gender%20Equality%20
and%20Women%E2%80%99s%20Empowerment%20an%20Updated%20Gender%20Plan%20
Of%20Action%20%28UGPOA%29%202009-2011%20EN.pdf

Integrated environmental and social impact assessment guidelines (2003)
http://www.afdb.org/fileadmin/uploads/afdb/Documents/Policy-Documents/Integrated%20
Environmental%20and%20Social%20Impact%20Assesment%20Guidelines.pdf

Involuntary resettlement policy (2003)
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http://www.ifad.org/gender/tools/gender/planning.htm

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http://web.worldbank.org/WBSITE/EXTERNAL/TOPICS/EXTPOVERTY/EXTPSIA/0,,contentMDK:20465285~isCURL:Y~menuPK:1107972~pagePK:148956~piPK:216618~theSitePK:490130,00.html

Safeguards and sustainable policies in a changing world
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WFP policies and publications webpage
http://www.wfp.org/policy-resources

Gender policy (2009)
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Emergence Needs Assessments (2004)
http://www.wfp.org/sites/default/files/Emergency%20Needs%20Assessment%20.pdf

The three guides demonstrate the application of social analysis to investment programmes and projects in agricultural and rural development. These guides have two overall purposes:

- to sensitize managers to the role of social analysis in the context of agriculture and rural development, and to provide guidance on how to include social analysis in regular mission work; and

- to equip those responsible for conducting social analysis with a conceptual framework, tools and checklists for conducting the fieldwork, and designing project activities based on the findings.

The **Manager's Guide,** addresses the needs of project managers and team leaders. It describes:

- the main parameters of social analysis in the context of agricultural and rural development investments, and the conceptual approach which underpins the three guides;

- the use of social analysis from three perspectives:
  - international agencies;
  - development approaches;
  - the programme cycle;

- management aspects of conducting social analysis – such as recruitment, roles and responsibilities.

The **Practitioner's Guide** deals with the 'why and what' questions in depth, building on the conceptual approach presented in the Manager's Guide. It describes:

- the sustainable livelihoods framework for understanding the dynamics of rural poverty and livelihoods, social diversity and gender in the context of agriculture and rural development;

- the main entry points for conducting social analysis;

- the range of inputs that may be made to project design;

- how the findings and recommendations are drawn together into a technical paper and summary matrices;

- tools for tracking social aspects of development.

The **Field Guide** provides practical guidance on the fieldwork aspects of social analysis, based on the framework for examining rural livelihoods presented in the Practitioner's Guide. It considers:

- the practical aspects of integrating social analysis into missions;

- data collection activities and checklists for work at the national, regional and district levels and in community-based discussions, focus group discussions and individual household interviews;

- participatory tools suitable for social analysis fieldwork.

# SOCIAL ANALYSIS FOR AGRICULTURE AND RURAL INVESTMENT PROJECTS

## PRACTITIONER'S GUIDE

# SOCIAL ANALYSIS FOR AGRICULTURE AND RURAL INVESTMENT PROJECTS

## PRACTITIONER'S GUIDE

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# ABBREVIATIONS AND ACRONYMS

| | |
|---|---|
| CAP | Community Action Plan |
| CBO | Community-based Organization |
| FHH | Female-headed Household |
| IFAD | International Fund for Agricultural Development |
| MHH | Male-headed Household |
| M&E | Monitoring and Evaluation |
| MTR | Mid-term Review |
| NGO | Non-governmental Organization |
| PIM | Project Implementation Manual |
| PRA | Participatory Rural Appraisal |
| PMU | Project Management Unit |
| PRSP | Poverty Reduction Strategy Paper |
| PSIA | Poverty and Social Impact Analysis |
| SIA | Social Impact Assessment |
| UNDP | United Nations Development Programme |

# 1. INTRODUCTION

International financing agencies and borrower governments have committed themselves, through the Millennium Development Goals (MDGs), to pro-poor growth and proactive investment in poverty reduction, food security and nutrition. Most have also committed themselves to social development goals, such as equitable development, gender equality, social protection and peace.

With the majority of the world's poor living and working in rural areas, investment in agriculture and rural development can significantly contribute to these goals. However, contrary to the general assumption that any growth-oriented investment in the agricultural sector effectively reduces poverty, experience has shown that untargeted investment to increase agricultural production is relatively ineffective in reaching the poor.

Social analysis is instrumental in designing and implementing successful pro-poor policy and institutional reforms and poverty-targeted investment programmes and projects. It is fundamental for understanding the complexities of social diversity, gender and the various dimensions of poverty (e.g. low income, lack of assets, vulnerability, exclusion, powerlessness, lack of voice and an inability to withstand shocks). The social analysis perspective enables planners and practitioners to put the human dimensions – stakeholders, target groups, intended beneficiaries or other affected people – at the centre of development interventions.

## Applications in agriculture and rural investment

Although many manuals and user guides on social analysis exist already, most neglect its application to agriculture and rural investment. To address this gap, FAO's Investment Centre Division has developed three complementary guides in a series entitled 'Social analysis for agriculture and rural investment projects.' The Investment Centre recognizes that work in designing, supervising, supporting and evaluating agricultural and rural investment programmes and projects will be more relevant, effective and sustainable if it is based on an understanding of the socio-economic environment, livelihoods and people's development priorities.

The three guides provide guidance for the application of social analysis to investment programmes and projects in agricultural and rural development. Their main messages include:

- Agricultural investment must be designed to be proactive, people-centred and socially inclusive from the earliest stages of the programming and project cycle;
- Social analysis strengthens the capacity of agricultural investment to reduce rural poverty and to create socially inclusive, gender-equitable and sustainable development outcomes;
- An interdisciplinary and holistic approach to social analysis is required to appreciate the interface between social issues and the technical, institutional and economic aspects of project design, and to ensure that overall programme objectives are sensitive to relevant aspects of the socio-economic and cultural environment;
- Social analysis is a cross-cutting issue which should permeate all programme activities and not be confined solely to the interests of the social scientist;
- The social scientist reflects the priorities of the intended beneficiaries and others in negotiations with government and donors regarding agricultural investments;
- The process of social analysis contributes to building local ownership and mutual understanding of investment programmes among the financing agency, government and intended beneficiaries, and enhances the capacity of local actors to implement them;

■ Social analysis is applicable at all stages of the programming and project cycle and for all types of agricultural investments.

## How to use the series

These guides have two overall purposes:

■ to sensitize managers to the role of social analysis in the context of agriculture and rural development, and to provide guidance on how to include social analysis in regular mission work; and

■ to equip those responsible for conducting social analysis with a conceptual framework, tools and checklists for conducting the fieldwork and designing project activities based on the findings.

The **Manager's Guide,** addresses the needs of project managers and team leaders. It describes:

■ the main parameters of social analysis in the context of agricultural and rural development investments, and the conceptual approach which underpins the three guides (section 2);

■ the use of social analysis from three perspectives:
  ▪ international agencies (section 3);
  ▪ development approaches (section 4);
  ▪ the programme cycle (section 5);

■ management aspects of conducting social analysis – such as recruitment, roles and responsibilities (section 6).

The **Practitioner's Guide** deals with the 'why and what' questions in depth, building on the conceptual approach presented in the Manager's Guide. It describes:

■ the sustainable livelihoods framework for understanding the dynamics of rural poverty and livelihoods, social diversity and gender in the context of agriculture and rural development (section 2);

■ the main entry points for conducting social analysis (section 3);

■ the range of inputs that may be provided to project design (section 4);

■ how the findings and recommendations are drawn together into a technical paper and summary matrices (section 5);

■ tools for tracking social aspects of development (section 6).

The **Field Guide** provides practical guidance on fieldwork aspects of social analysis, based on the framework for examining rural livelihoods presented in the Practitioner's Guide. It considers:

■ practical aspects of integrating social analysis into missions (section 2);

■ data collection activities and checklists for work at national, regional and district levels, and in community-based discussions, focus group discussions and individual household interviews (sections 3 to 7);

■ participatory tools suitable for social analysis fieldwork (section 8).

# 2. POVERTY, RURAL LIVELIHOODS AND GENDER

This section discusses poverty and describes the sustainable livelihoods approach, which is used as the conceptual framework for understanding the dynamics of rural livelihoods, social diversity and gender in the context of agriculture and rural development. If conducted and incorporated effectively into project design, a livelihood analysis increases the probability that project interventions will respond to the actual priorities and needs of the populations in the project area. In order to promote food security, develop resilience and overcome poverty, it is essential to build on the strengths, coping strategies and livelihood opportunities of the poor, vulnerable households and women, and identify the key barriers that prevent them from achieving sustainable livelihoods.

An understanding of the strengths and vulnerabilities of poverty, rural livelihoods and gender is of interest to all those engaged in the technical aspects of agricultural and rural development. The social scientist often takes the lead in facilitating studies and validating findings using a multi-disciplinary approach with other team members.

## Definitions of poverty

To describe and assess the multidimensionality of poverty in any given context and to understand the causes, processes and the depth of poverty among diverse population groups, it is most appropriate to use a combination of indicators that measure poverty and deprivation.

Most poverty assessments and Poverty Reduction Strategy Papers (PRSPs) define poverty from several different angles. One perspective is low per capita consumption in terms of a poverty line constituted by the cost of a minimum diet (expressed in kilocalories). Using household consumption survey data, poverty assessments estimate what proportion of the people in a region or occupational category have a per capita consumption or expenditure below the pre-defined poverty line. This consumption-based measure is commonly referred to as "income" poverty or the food security poverty line.

Another perspective is social poverty, measured by low scores on internationally recognized indicators of health status, education status and access to public utilities and services. The United Nations Development Programme (UNDP) Human Poverty Index (HPI) measures indicators of the most basic dimensions of deprivation in the quality of life: a short life, lack of basic education and lack of access to public and private resources. The complementary UNDP Human Development Index (HDI) measures longevity, knowledge (literacy) and a decent standard of living (income per capita).

The perspectives used to conceptualize poverty tend to influence the contents of the corresponding poverty reduction strategies. Assessments that view poverty in terms of low consumption (or income poverty) tend to focus on economic growth and on income transfers to enable households to smooth temporary disruption of consumption levels in the face of shocks. Perspectives that consider poverty in terms of low social indicators tend to recommend higher investment in human and social development.

The challenge for agencies concerned with agricultural and rural development is that these two measures of poverty say little about agricultural assets, the ways that farm households make a living and the households' resilience or vulnerability when confronted with shocks. A livelihoods perspective helps to overcome this weakness by drawing attention to productive assets, means of making a living, the effects of shocks on livelihoods sustainability and the achievement of livelihood outcomes (in terms of reducing poverty and improving food and nutrition security and overall well-being).

Thus, a third perspective – which receives relatively less attention in poverty assessment work – is asset poverty, as measured by the five types of capital in the sustainable livelihoods framework. A fourth perspective, which is often linked with the asset poverty view and which is receiving increasing attention in several international agencies, focuses on vulnerability or the inability to withstand and recover from shocks. These two perspectives are discussed in more detail below.

Governments and donors wishing to reduce poverty need to make informed choices as to whether to focus on densely populated areas with many poor people or lowly populated areas with fewer people overall but with a higher incidence of poverty. Both the incidence and the depth of poverty (see Box 1) tend to be high in sparsely populated remote areas (such as mountains or deserts). In some countries, pockets of poverty are common, where specific groups of people live in poverty within rural areas where poverty has been largely overcome.

---

**Box 1: Poverty indicators for geographical targeting**

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

- the 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; and
- the depth of poverty: the extent of the gap between the average income and the poverty line.

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## Sustainable livelihoods approach

The sustainable livelihoods framework provides a basis for:
- understanding the dynamics of rural livelihoods in terms of livelihood systems, sources of vulnerability and resilience, the role of culture, institutions and policies;
- exploring the connections among rural households and the broader physical, sociopolitical, institutional and gendered context in which agricultural development takes place;
- identifying the causes of poverty and the options to enable the poor to escape from poverty; and
- developing strategies to strengthen rural livelihoods.

The sustainable livelihoods approach also provides a framework for drawing together other technical experts (e.g. agronomists, livestock specialists, irrigation engineers and foresters) and to facilitate interdisciplinary exchange among team members, much like the farming systems approach (see Box 2). For the social and technical aspects of project design and outcomes, it is relevant to have an understanding of the roles and livelihoods of women and men, old and young, poor and less poor, and of the diversity that exists within those groups.

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**Box 2: Similarities between farming systems and sustainable livelihoods approaches**

There are many parallels between sustainable livelihoods approaches and farming systems approaches in analysing rural livelihoods.

A farming system defines a population of distinct farm systems that have broadly similar resource bases, enterprise patterns, household livelihoods and constraints, and for which similar development strategies and interventions would be appropriate. Depending on the scale of the analysis, a farming system can encompass a few dozen or many million households.

The farming systems approach was developed in the 1970s. Originally dominated by technical productivity considerations, it now takes a more holistic perspective with a broader goal of improving livelihoods and household food security. Many issues are involved in this view, including household structure, asset base and resilience, gender, social networks, local institutions, information, policies and markets. Analytical tools have become increasingly participatory, with a greater emphasis on local knowledge, group planning and monitoring.

The farming system approach integrates multidisciplinary analyses of production and its relationship to the key biophysical and socio-economic determinants of a farming system: natural resources and climate; science and technology; trade liberalization and market development; policies, institutions and public goods; and information and human capital.

# Sustainable livelihoods framework

A livelihood comprises the capabilities, assets (including both material and social resources) and activities required for a means of living[1]. 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.

The livelihoods framework demonstrates the interaction between household livelihood systems on the one hand, and the outside environment – the natural environment and the cultural, policy and institutional context - on the other (Figure 1). The meaning of each box in the framework and the interactions among various components are discussed below.

## Figure 1: Sustainable livelihoods framework



KEY: H = Human Capital, S = Social Capital, N = Natural Capital, P = Physical Capital, F = Financial Capital
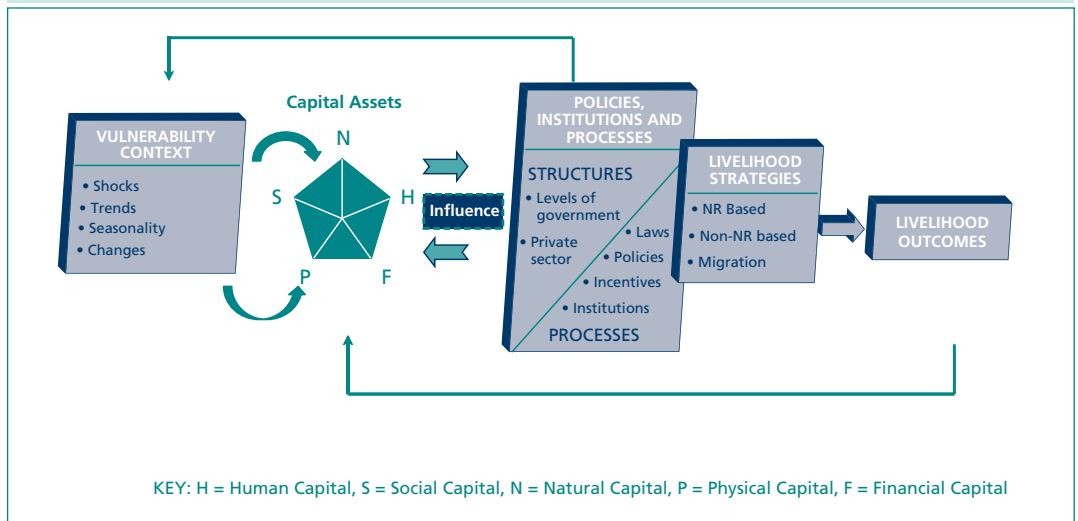
Source: Adapted by FAO from the original flow diagram prepared by DFID in 1999.

### *Livelihood assets*

Livelihood assets are interlinked and lie at the core of livelihoods analysis. They are grouped into human (H), natural (N), financial (F), physical (P) and social (S) assets (see Box 3) and refer to the resource base of

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[1]  This definition was first developed by Robert Chambers in 1998.

the community and different categories of households. Each group is represented on a different axis of the Capital Assets pentagon in Figure 1. It is possible to systematically measure assets according to agreed criteria, and to record their relative strength on the appropriate axis.

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### Box 3: Examples of rural livelihood assets

**Human capital:** household members, active labour force, education, 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, fishing, wild products and biodiversity

**Physical capital:** farm inputs, tools and equipment, irrigation pumps, processing equipment, vehicles, houses, technical advice, roads, warehouses, markets, health centres, community halls

**Financial capital:** savings, debts, gold/jewellery, income, credit, remittances, insurance, grants, cash

**Social capital:** kin networks, farmer groups and community-based organizations, sociopolitical voice and influence, power, governance (e.g. land tenure)

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The size and shape of the asset pentagon – reflecting the amount and relative importance of each type of capital – vary among communities and between wealthy and poor households within the same community. For instance, for historical reasons, rich communities may control more and better land and natural resources than poor communities, and within any given community, rich households control more land, livestock and physical and financial capital than poor households (see the example of Mali in Box 4). A thorough understanding of livelihood assets can provide the basis for identifying potential project responses (see Box 5).

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### Box 4: Applying the asset pentagon, an illustration from Mali

The asset pentagon is a simple tool for illustrating differences between categories of households in their endowment of natural, physical, financial, human and social capital. Each type of capital is plotted on a separate axis. As shown below (based on an example from a rainfed area in central Mali), within a given community, the size and shape of the asset pentagon is likely to vary among different socio-economic strata based on wealth. In this example, the relative size and shape of the pentagons is notional; the assets are not quantified in dollar terms.

#### Ownership and control over assets
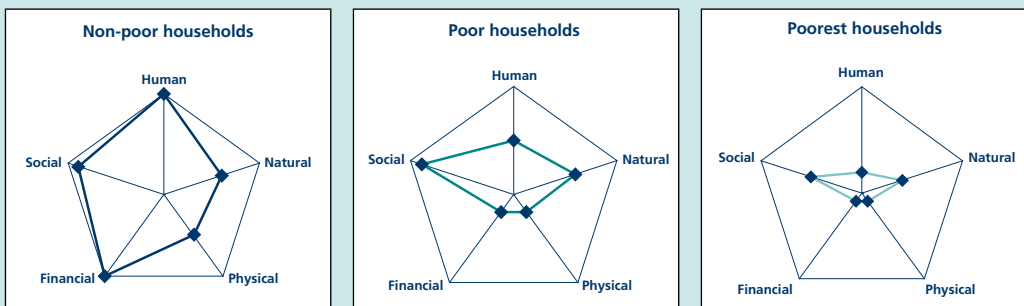
**Human capital** - Non-poor households rank very high on human capital because they have very large compounds with many wives and a large number of able-bodied adult workers who have better education and skills. The poorest households are often headed by women. They have very few household members, 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 greater distance from the village. They typically own a couple of cattle for ploughing and some sheep and goats. The poorest – especially female-headed households – typically have limited access to any kind of farmland. They may only own a donkey or some chickens or a goat.

**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.

**Financial capital** – The non-poor are more likely than the poor to have cash savings as well access to remittances from relatives working in urban areas and abroad. The poorest have only debts.

**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.

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**Box 5: Assessing the rural asset base and possible interventions to strengthen livelihoods, an illustration from Zimbabwe**

| Livelihood asset | Assessment of asset base | Possible responses |
|---|---|---|
| **Human resources** | • Considerable malnutrition<br>• High infant, child and maternal mortality<br>• Labour constraints<br>• High number of female-headed households often lacking labour, cash, access to resources, networks<br>• High HIV/AIDS prevalence resulting in burdens of caring for the sick, increased numbers of household dependents, low life expectancy and constrained household resources<br>• Low post-primary education rates<br>• Decent level of literacy<br>• Poor access to training, knowledge, skill-building opportunities | • Create safety net productive capacity initiatives for highly vulnerable households<br>• Provide support to community nutritional gardens, including vulnerable households<br>• Develop capacity for local government, service providers, civil society and NGOs in working with communities, particularly including vulnerable households |

*(continued)*

| Box 5 *(continued)* | | |
| --- | --- | --- |
| **Livelihood asset** | **Assessment of asset base** | **Possible responses** |
| **Natural resources** | • Infertile soil<br>• Increasing limitations to land access, notably grazing lands<br>• Low and erratic rainfall<br>• Limited water sources | • Improve soil fertility through conservation farming, improved technologies<br>• Increase access to reliable water sources<br>• Expand/replicate community gardens |
| **Physical resources** | • Limited access to irrigation<br>• Insufficient or non-operational water sources/boreholes/dams<br>• Limited access to agricultural inputs<br>• Sales of livestock for cash needs<br>• Animal disease, poor animal health care<br>• Lack of equipment for production and for income-generation | • Rehabilitate/develop small dams and irrigation schemes<br>• Repair/develop new boreholes and support community water management/water user associations<br>• Increase access to inputs and farm equipment<br>• Support community-based animal health care schemes<br>• Support productive enterprises |
| **Financial resources** | • Lack of start-up capital<br>• Few income-generating options<br>• Limited currency in circulation – barter trade<br>• Cross-border employment rendering little cash<br>• Most former savings and loans and rural banks collapsed and no longer supported by NGOs<br>• Innovative or increase in "secondary" income-generating sources (e.g. fetching firewood, collecting marula nuts, making crafts, panning for gold) | • Support commercial productive enterprises (e.g. inputs, markets, crop, horticulture, livestock)<br>• Provide key assets for associations to start small businesses<br>• Build capacity for groups in business management and marketing |
| **Social capital** | • Established cooperatives/associations for gardening, small livestock, food processing<br>• 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)<br>• Established local government and operational assemblies at village, ward, district and provincial levels<br>• Existing participatory development planning processes<br>• Inadequate leadership roles and voice for women in key decision-making rural institution positions | • Strengthen institutions to support community-based groups, associations<br>• Strengthen local government structures, emphasizing inclusion in participatory planning<br>• Create pass–on schemes and vouchers to include the most vulnerable<br>• Provide support to enhance the performance of farmer unions, including at decentralized levels |

## Livelihood strategies

Livelihood strategies refer to the range and combination of activities and choices that people make in order to achieve their livelihood goals. The central section of the sustainable livelihoods framework illustrates the relationship between household assets or capabilities and the life choices open to different socio-economic strata. Livelihood strategies are also shaped by the policy and institutional context in which people live.

On the basis of their personal goals, their asset base and their understanding of the options available, poor and less poor households develop and pursue different livelihood strategies. These strategies include short-term considerations such as ways of earning a living, coping with shocks and managing risk, as well as 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. Households with plenty of assets (e.g. land, water, livestock, equipment, money, higher education and skills and better sociopolitical networks) generally have a wider range of livelihood options than households with fewer assets. Strategies may also differ within households. This can be beneficial if a household engages in diverse activities and income-generating enterprises to secure at least core household needs and income. However, intra-household differences can lead to tensions between household members if they end up competing for the use of the same scarce resources.

## Livelihood outcomes

Through their livelihood strategies, household members achieve livelihood outcomes such as levels of food and nutrition security, income security, health, well-being, asset accumulation and status in the community. Unsuccessful outcomes include food and income insecurity, high vulnerability to shocks, loss of assets and impoverishment. The livelihood outcomes and livelihood strategies of households are influenced by their vulnerability context (i.e. their exposure to unexpected shocks) and their ability to withstand the shocks, which, in turn, depends on their asset base.

## Livelihood systems

A livelihood system is the total combination of activities undertaken by a typical household to ensure a living. Most rural households have several income earners who pursue a combination of crop and livestock, farm, off-farm and non-farm activities in different seasons. Each household member may have a main occupation plus a number of seasonal sidelines. Income earned by different household members may be pooled in a common "pot" or "purse" or some may be held back for personal spending money.

In addition to productive tasks, household tasks (e.g. fetching water and fuel, cooking, cleaning and looking after children) must be performed. The livelihood system also includes participation in community-level sociocultural and political activities. The livelihood system thus reflects household members' allocation of labour among crops, livestock, off-farm work, non-farm business and household and community tasks.

## Vulnerability context and resilience

Unpredictable events can undermine livelihoods and cause households to fall into poverty (see Box 6). The vulnerability context refers to exposure to stresses and shocks of different types and magnitudes. Exposure to weather-related shocks varies by location, whereas exposure to man-made shocks depends on historical, political and economic factors. Some shocks are fast acting (such as earthquakes) and others are slower acting (such as soil erosion or climate change). It is important to distinguish between shocks originating from outside the community, which affect all people in the same locality, and idiosyncratic shocks that principally affect only individual households. Figure 1 illustrates that the vulnerability context impacts the livelihood assets of rural people.

## Box 6: Examples of rural vulnerabilities

**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

**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:** hungry season food insecurity

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

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

**Structural vulnerability:** lack of voice or power to make claims

There is double causality between the vulnerability context and asset ownership. Assets (e.g. land, water, livestock, housing, equipment, financial capital, human capital and social connections) help protect people's livelihoods and enable the non-poor to stay out of poverty by enhancing their capacity to overcome shocks such as drought, natural calamities, civil strife and market upheavals that drive their neighbours into poverty.

Conversely, shocks cause people to lose their assets. Livestock, farm equipment and financial capital are the most vulnerable to shocks. In extreme cases, desperate household circumstances can force people to sell their land. Human capital is generally less vulnerable to shocks because it cannot be stolen, lost or taken away easily (although it is vulnerable to disease, ill health, violations such as rape, and death). In societies where social prestige is closely tied to wealth, a household that loses its land and assets is likely to lose its social capital, whereas in societies where social prestige derives from a family's ancestors and their reputation, a household that loses its wealth may still be able to retain much of its social capital.

Resilience is the ability to withstand and recover from shocks. Households with a more diversified and robust livelihood base not only reduce their vulnerability but also increase their coping strategies and have a greater ability to restore their assets following shocks. Households with many livelihood assets are generally more able to preserve their lives and property in the face of shocks than households with fewer assets. Better-off households with savings can afford to buy food when crops fail. They have enough animals that they can afford to lose or sell a few and still have enough breeding animals to build up their herds again after the emergency passes.

Households with few assets (i.e. little land, few animals, limited physical and financial capital, weak family labour, poor education and no marketable skills) are much more vulnerable to outside shocks than households with more assets. When crops fail in the face of prolonged drought, poor households are forced first to sell their animals at low prices to buy grain to feed their families. The longer the emergency, the more they have to deplete their asset base, to the point that they no longer have anything left to sell but their labour, and even their labour is weak because of hunger and failing health. When they lose their assets, they also lose their means of livelihood.

Community-based safety nets and other forms of social protection may provide for the needs of community members who are temporarily or permanently unable to meet their own basic needs. Mechanisms of solidarity may exist between kin groups, patrons and clients, or between upper and lower socio-economic strata, or among members of reciprocal labour groups. Informal social insurance mechanisms include burial societies and rotating savings clubs.

*Cultural, policy and institutional environment*
The sociocultural, policy and institutional environment (see Box 7) represents an important set of external factors that influence people's livelihood options, access to assets and vulnerability to shocks. These factors influence household livelihood strategies directly by determining which activities are legal or illegal and appropriate or inappropriate for women and men, by creating incentives to pursue certain activities and choices over others and by influencing perceptions of the effectiveness of particular strategies for achieving desired outcomes.

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**Box 7: Examples of rural institutions**

The term "institution" refers to both membership organizations and the invisible, historical set of rules that govern social economic and political life. Some examples of rural institutions include:

- **Social and cultural institutions:** families, kinship, marriage, inheritance, religion, solidarity groups

- **Formal membership organizations:** cooperatives, registered groups, producer groups, community-based organizations

- **Informal organizations:** exchange labour groups, rotating savings groups

- **Political institutions:** parliament, law and order, political parties at national and local levels

- **Economic institutions:** markets, private companies, banks, land rights, tax system, sharing draught oxen

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Poverty reduction efforts tend to stand a greater chance of success when they are implemented in an enabling policy and institutional environment. For example, when local institutions are egalitarian, autonomous, self-reliant, democratic and accountable to local citizens, it is easier for people – both the poor and the less poor – to gain access to assets they need for their livelihoods. A disabling policy and institutional environment may discriminate against the poor, making it difficult for them to get access to assets and thereby reducing their chances of getting themselves out of the poverty trap.

*Linkages and feedback loops*
There are a number of important linkages and feedback loops in the sustainable livelihoods framework, including the following:

- The vulnerability context influences the accumulation and depletion of household livelihood assets through shocks and stresses.
- Policies and institutions influence patterns of access to and control over community and household livelihood assets.
- Policies and institutions can increase or decrease individual vulnerability to shocks.
- Asset ownership decreases vulnerability and increases resilience and the ability to withstand shocks.
- Asset ownership widens livelihood options.
- Livelihood options influence the choice of livelihood strategies.
- Winning or losing different livelihood strategies leads to positive or negative livelihood outcomes.

- Positive livelihood outcomes in one season enhance a household's ability to preserve and accumulate assets in the following season.
- Negative livelihood outcomes cause poor households to sell, lose or deplete their asset base, with implications for livelihood options in the following season.
- Asset transfer from one generation to the next enables non-poor people to consolidate security for future generations and to plan for their own old age.

## Livelihoods perspectives on poverty reduction

For many households, poverty is a transitory state and they move in and out of poverty over time, whilst for others it is a chronic state. The processes of falling into poverty and escaping from poverty are illustrated in Figure 2. The figure depicts asset building (the situation of non-poor households) and asset depletion (the situation of very poor households). Poor households that are merely subsisting in a steady state are represented in the middle.

### Figure 2: Relationship between livelihoods and poverty
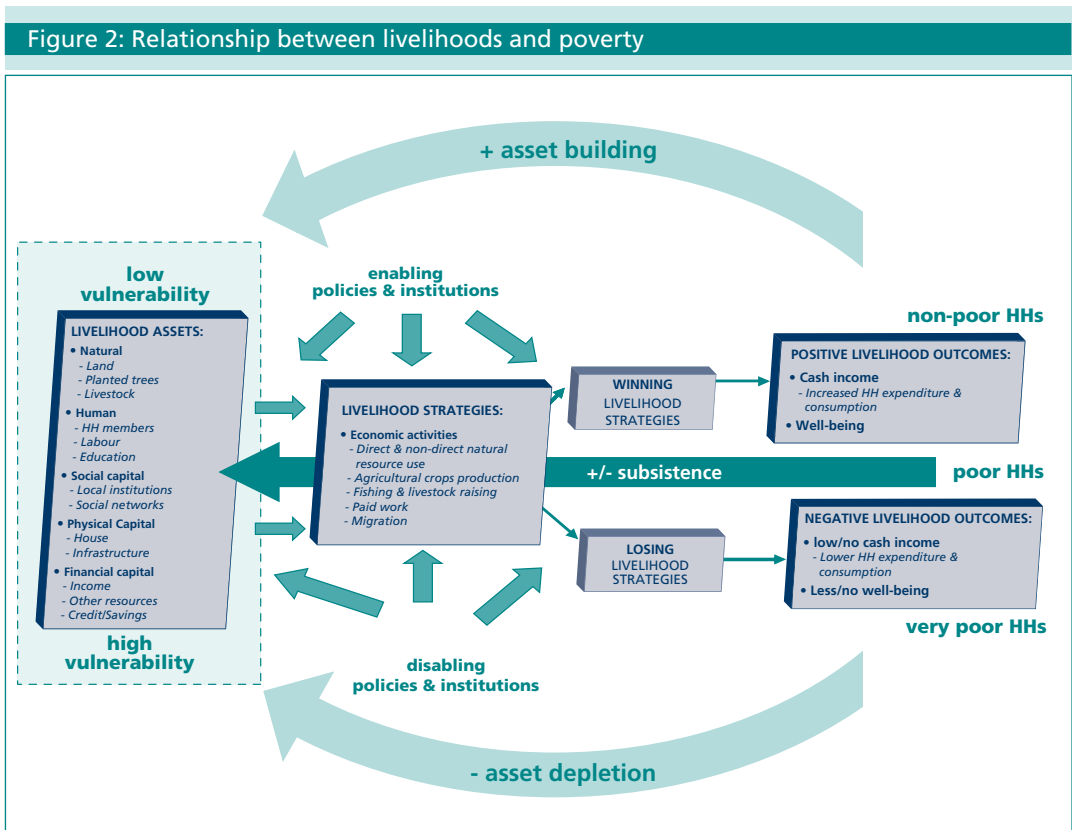


Non-poor households have a strong asset base that, in combination with enabling policies and institutions, enables them to adopt winning livelihood strategies that lead to positive livelihood outcomes such as income, food security, well-being and savings. Their savings accumulate into additional assets. When shocks and seasonal stresses occur, these assets enable the non-poor households to buy food and to stabilize consumption without selling their land and livestock.

Very poor households are more vulnerable to disabling policies and institutions and, as a result, their livelihood options are few. They are unable to adopt the livelihood strategies of the non-poor because they face shortages of land, livestock and farm equipment. They cannot afford to buy production inputs or to borrow at a bank, and they have little formal education and weak social networks. They are forced to rely on combinations of activities that have very low returns to labour. They are also highly vulnerable to shocks because they lack assets to fall back on in times of need. As a result, they experience negative livelihood outcomes and further depletion of household assets, leading to a downward spiral of deepening poverty.

The sustainable livelihoods framework is helpful in identifying opportunities to reduce poverty because it emphasizes the linkages between the vulnerability, policy and institutional contexts on the one hand and household-level assets and incomes on the other. Development interventions can take three broad approaches – either separately or in combination – to enable poor households to overcome their poverty:

- help households build and diversify their livelihood assets, especially human and social capital;
- transform the policy and institutional context from one that disables the poor to one that enables the poor; and
- reduce vulnerability by strengthening resilience at community and household levels, while supporting disaster prevention and risk management at higher institutional levels.

## Social diversity and poverty

Social diversity refers to differences between categories of people in their access to and control over livelihood assets, relative wealth, livelihood security, social status, sense of belonging to different social groups and cultural norms and beliefs (see Box 8). Every community has ways of categorizing households according to differences in their wealth, livelihood security and social status.

Social diversity poses formidable challenges for social inclusion and universal access of rural people to basic health, education and economic infrastructure and services. The livelihoods approach may be used to systematically examine differences in the livelihood systems of groups that are traditionally disadvantaged and marginalized.

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**Box 8: Examples of poor households and disadvantaged groups**

- Resource-poor farmers, especially those in areas prone to frequent natural disasters
- Landless rural labouring households
- Internally displaced people
- Refugees
- Women-headed households
- Youth-headed households
- Unemployed youths
- The elderly
- Physically-challenged individuals
- Socially-marginalized castes or ethnic groups
- People and households infected or affected by HIV/AIDS and other transmittable and chronic illnesses

Patterns of asset ownership and political voice vary between women and men; youths and elders; able-bodied and disabled; dominant and subordinate ethnic groups, social classes or castes; occupational groups such as farmers and herders; and landowners, tenants or sharecroppers and landless labourers.

Social diversity also refers to intra-household differences based on sex, age, marital status and disability. Generally, women tend to be disadvantaged relative to men, and female-headed households (FHHs) tend to be disadvantaged relative to male-headed households (MHHs). However, poverty assessments based on per capita consumption often find that, although some FHHs are poorer than most MHHs, a substantial proportion of FHHs have a higher per capita expenditure than MHHs. There are also differences in livelihood activities and outcomes between women in MHHs and women heading their own households.

Similarly, youths and children tend to be disadvantaged relative to adults, unmarried youths relative to married adults, daughters-in-law relative to mothers-in-law, and old, feeble and disabled people relative to able-bodied people. Households infected and affected by HIV/AIDS and other chronic illnesses often deplete their asset base as part of their coping strategy (e.g. to raise cash for medical care), have fewer livelihood options and are more vulnerable to shocks than other households.

# Gender perspectives of rural livelihoods

Analyzing gender perspectives of rural livelihoods helps to understand the underlying reasons for, and implications of, differences between women and men in their roles and workloads, their access to and control over resources and benefits, their participation in decision-making and their needs and priorities. It also assesses the differential impact of policies, programmes, projects and legislation on women and men.

The sustainable livelihoods approach may be used as a basis for exploring livelihood issues from a gender perspective. Differences between women and men, between households headed by women and those headed by men, and between women heading households and women not heading households, are reflected in their asset base, livelihood strategies, vulnerabilities and outcomes. The framework can also be used to detect the impact of gender-biased policies and institutions on livelihoods.

### Gender roles and relations
Gender roles and responsibilities refer to culturally-based expectations of the roles, responsibilities and behaviours of women and men. The term distinguishes the socially constructed from the biologically determined aspects of being male and female. Unlike the biology of sex, gender roles and behaviours and the gender relations between women and men vary widely across cultures, are dynamic and can change over time, even if aspects of these roles originated in the biological differences between the sexes.

Gender roles are learned behaviours in a given society, community or other special group that condition which activities, tasks and responsibilities are perceived to be either male or female. Gender roles are affected by age, class, race, ethnicity, religion and by the geographical, economic and political environment. Changes in gender roles often occur in response to changing economic, natural or political circumstances, including development efforts.

Women and men play multiple roles in society: productive, household or reproductive, and community. Men tend to focus on productive and community roles, and tend to fulfil their multiple roles sequentially. Women, in contrast, often undertake all three roles simultaneously and have to balance the competing claims on their time (see Box 9).

## Box 9: Gender division of labour and workloads in rural Ethiopia

In most rural communities in Ethiopia, women work from dawn to dusk and, in contrast with men, have little time for leisure or socializing.

### *Workloads*
The overall length of the working day for women does not vary much between the wet and dry seasons. They work for between 10 – 12 hours per day, half of which is spent on household tasks such as fetching water and firewood, preparing and cooking food and caring for children. In rainfed farming systems, men's workload is lightest during the dry season because they usually participate to a very limited extent in household tasks. For men with access to irrigated land, their busiest time is towards the end of the rainfed season, when they are harvesting, threshing and winnowing their rainfed crops and are simultaneously preparing the irrigated land.

### *On-farm work*
Women are the major source of labour in the agricultural sector and are often involved with farm activities that require dexterity and attention to detail, such as raising seedlings in nurseries, transplanting and weeding. They are also involved with activities closely associated with their household responsibilities, such as storing, processing and adding value. Men are typically responsible for the heavier manual tasks, such as land preparation and tillage with oxen. They play a dominant role in seed selection, reflecting their better access to information, and they also perform the skilled jobs of broadcasting seed and fertilizer.

When timeliness is of the essence, particularly for weeding and harvesting, women and men work together with other household members. Richer households often overcome labour peaks by hiring labour whereas middle-wealth households are more likely to participate in reciprocal labour groups and festive working groups, as well as hiring labour and calling on relatives.

### *Off-farm livelihood activities*
Rural women engage in a diverse range of off-farm livelihood activities, which partly reflect the local farming systems and are also influenced by resource endowments and wealth. Women from rich and middle-wealth households often trade in agricultural products, whereas poorer women work as casual labourers on farms and in the homes of richer households; they also harvest natural resources for resale (fuelwood, sorghum stalks and grass) or engage in low input activities such as cotton spinning or making *injera* for sale.

Men also undertake a wide range of off-farm activities, the nature of which is closely related to wealth. Rich men are often involved with activities requiring capital such as trading in agricultural products, investing in processing equipment or property, or lending money. Poor men typically engage in casual labouring, harvesting and selling natural resources, or migrating temporarily for work.

### *Access to and control of resources*
Access implies the opportunity to use resources and control suggests that one has the ability to define the use of resources and to impose that definition on others. In general, women and men have different levels of access to and control over the resources needed for their work.

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 in their control over the benefits of production. This partly reflects men's and women's labour input into 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

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.

# 3. ENTRY POINTS FOR SOCIAL ANALYSIS

The preceding section set out the main parameters of rural livelihoods that social analysis seeks to understand. This section examines five principal analytical approaches that serve as entry points for conducting social analysis (i.e. livelihoods, institutions and vulnerability analysis, gender analysis, poverty analysis, stakeholder analysis, and scoping of project documents). For each, the key topics for discussion are described and links to the data sources, relevant checklists and participatory tools in the Field Guide are identified.

## Livelihoods, institutions and vulnerability analysis

### *Purpose*
The analysis of livelihoods, institutions and vulnerabilities is the cornerstone of social analysis. The information generated represents one of the principal entry points for project design.

### *Timing*
Livelihoods analysis is an integral part of the project design process. Aspects of livelihoods analysis may also feature in the baseline survey, impact assessment and evaluation.

### *Process*
Livelihoods analysis in rural development is a process aimed at understanding the systematic differences between different categories of households (based on wealth, ethnicity or caste, gender and age) in terms of their access to and control of livelihood assets, farming and livelihood systems and strategies, and livelihood outcomes and security. It also focuses on understanding the local institutions, rules and norms governing behaviour and the ways that these can be enabling or disabling for local livelihoods. The analysis identifies sources of vulnerability that can undermine livelihoods and cause households to fall into poverty. It examines the relationship between the root causes and the consequences of livelihood problems, and identifies possible ways of addressing the problems in the local context. It touches on each of the boxes in the sustainable livelihoods framework (see Figure 1 in Section 2).

### *Topics for livelihoods analysis*

#### *Socio-economic context*
- Community history and trends in main socio-economic events
- Community natural resource base
- Community infrastructure

#### *Wealth ranking, livelihoods and vulnerability analysis*
- Composition of community by socio-economic groups and sex of household heads
- Livelihood assets: human, natural, physical, financial and social
- Livelihood strategies: farm, non-farm, off-farm
- Livelihood outcomes: food security, income, health, well-being, social status
- Vulnerability context: shocks, coping strategies, sources of resilience

#### *Institutional and stakeholder analysis*
- Main organizations and groups in the community, their composition and leadership
- Decision-making in organizations and the community
- Stakeholders: their interest and influence

### Priorities, needs and opportunities

- Most important livelihood problems faced by the community
- Main livelihood opportunities
- Main priorities as seen by leaders, men and women, poor and non-poor

### Project-related considerations

- Context for project commodity or activity
- Feedback on project and preferred service providers

### *Links with Field Guide*

| Topic | Data sources | Checklists and field tools |
|---|---|---|
| Socio-economic context | • Secondary data<br>• Discussions at national and regional levels<br>• Discussions at the district level<br>• Community meeting | • National and regional level checklists<br>• District level checklist<br>• Community checklist 1<br>*Plus*:<br>Field tool 1: Historical timeline<br>Field tool 2: Natural and livelihoods resource map |
| Wealth ranking, livelihoods and vulnerability analysis | • Community meeting<br>• Individual household interviews | • Community checklist 2<br>*Plus:*<br>Field tool 3: Wealth ranking<br>Field tool 4: Livelihoods analysis matrix |
| Institutional and stakeholder analysis | • Community meeting<br>• Focus group discussions | • Community checklist 3<br>*Plus:*<br>Field tool 5: Organization and group profiles<br>Field tool 6: Stakeholder analysis |
| Priorities, needs and opportunities | • Community meeting<br>• Focus group discussions<br>• Individual household interviews | • Community checklist 4<br>*Plus:*<br>Field tool 7: Problem analysis<br>Field tool 8: Pairwise ranking |
| Project-related considerations | • Community meeting | • Community checklist 5 |

> *Further details about data collection methods, participatory tools and checklists are presented in the Field Guide.*

# Gender analysis

*Purpose*

Gender analysis identifies the different roles and responsibilities of women and men, their control over and access to resources and services, their knowledge base and access to information, 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 able to identify and address gender gaps and to support strategic activities that promote women's and men's economic and sociopolitical empowerment.

When gender analysis is conducted in a participatory manner, the process raises the consciousness of local women and men about different types of gender inequality and empowers women and men to take action to reduce that inequality.

*Timing*

Gender analysis should be mainstreamed into livelihoods analysis and thereby represents another principal cornerstone of project design. Gender analysis should also be an integral part of project implementation and activities to monitor progress and assess project impact.

*Topics for gender analysis*

### Socio-economic context
- Demography
- National indicators of gender inequality, such as UNDP Gender Empowerment Index
- Legal and customary land tenure arrangements and inheritance laws
- Women's legal and culturally-accepted access to services and resources
- Other social issues of possible relevance to the project

### Gender roles and responsibilities in production and livelihood systems
- Typical men's and women's crops, livestock and activities
- Existing workloads and time allocations of women and men (in productive and reproductive/ household roles)
- Responsibilities of women and men to feed and clothe the family

### 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 from different sources
- Analysis of patterns of access to extension services, rural finance and agricultural marketing

### 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 agricultural extension and training
- Women's and men's communication and information networks

### Gender roles in decision-making
- Women's and men's participation in decision-making in the home, groups and community
- Women's membership in local government, producer and community-based organizations
- Women's access to leadership positions in the public sector, local government, producer and community-based organizations at national and decentralized levels
- Capacity building of women as members and leaders of organizations

### Priorities, needs and opportunities
- Most important livelihood problems faced by the community, as seen by women and men
- Main livelihood opportunities and priorities, as seen by women and men

### Project-related considerations
- Project's likely gender impact
- Match between project activities and gender roles, livelihoods, resources and constraints
- Women's representation on project-related decision-making bodies

*Links with Field Guide*

| Topic | Data sources | Checklists and field tools |
|---|---|---|
| Socio-economic context | • Secondary data<br>• Discussions at national and regional levels<br>• Discussions at the district level | • National and regional level checklists<br>• District level checklist |
| Gender roles, responsibilities and workloads in production and livelihood systems | • Focus groups (separate meetings with women and men) | • Gender checklist<br>*Plus:*<br>　Field tool 9: Seasonal calendar and gender division of labour<br>　Field tool 10: Daily activity schedule |
| Access to and control of resources | • Focus groups (separate meetings with women and men) | • Gender checklist<br>*Plus:*<br>　Field tool 11: Access to and control of resources<br>　Field tool 12: Sources and use of money |
| Skills, knowledge and information | • Focus groups (separate meetings with women and men) | • Gender checklist<br>*Plus:*<br>　Field tool 11: Access to and control of resources<br>　Field tool 13: Decision-making matrix |
| Decision-making | • Focus groups (separate meetings with women and men)<br>• Organizations | • Gender checklist<br>*Plus:*<br>　Field tool 13: Decision-making matrix<br>　Field tool 5: Organization and group profiles |
| Priorities, needs and opportunities | • Community meeting<br>• Focus groups (separate meetings with women and men) | • Community level checklist 4<br>• Gender checklist<br>*Plus:*<br>　Field tool 7: Problem ranking<br>　Field tool 8: Pairwise ranking |
| Socio-economic position and outlook for FHHs | • Community meeting<br>• Focus group of FHHs | • Gender checklist<br>*Plus:*<br>　Field tool 3: Wealth ranking |
| Project-related considerations | • Focus groups (separate meetings with women and men) | • Gender checklist |

# Poverty analysis

*Purpose*
Diagnostic work for poverty-oriented projects focuses on understanding the nature and the root causes of poverty as a basis for identifying a comprehensive set of actions to address those causes.

*Timing*
This is a core activity of project design, drawing on both secondary data and fieldwork findings from the livelihoods and gender analyses.

*Process*
The analysis distinguishes between factors affecting all households in an area (e.g. low soil fertility, land degradation, drought, floods, frequent crop failure) and other factors affecting only the poorer households (e.g. landlessness, lack of livestock, illiteracy, poor health, labour shortage, distress sale of assets).

If the project's goal is sustainable poverty reduction, it is not enough only to raise a household's income or level of consumption above an established poverty line. It is equally important to ensure that the household does not slip back into poverty when faced with crop failure or other types of natural, economic, or sociopolitical calamities. Thus the analysis also recognizes that poverty is dynamic and commonly a transient state. Some people live in chronic poverty, but often people move in and out of poverty conditions under different situations and periods. Throughout the project, the targeting mechanisms are closely monitored and grievance mechanisms enable people to query decisions.

*Topics for poverty analysis*

### Stratification of population
- Population stratification by relative wealth or livelihood security; households may be identified as "upper", "middle" or "lower" economic condition by consensus in their own village
- Comparisons of households with different wealth levels to analyse the process of socio-economic differentiation and to explain why some households manage to get rich while others are poor

### Process of impoverishment
- Distinction 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), and
  - immediate precipitating factors that trigger the fall into poverty (e.g. natural calamities, illness or death of main breadwinner)
- Dynamics of moving in and out of poverty, examining why and how household vulnerabilities vary and what features and coping strategies are key to building their resilience and livelihood base

### Escape from poverty
- Mechanisms that enable households to escape from poverty and to start a process of capital accumulation
- Strategies used by non-poor households to keep out of poverty; identify strategies that the project could replicate
- Factors that prevent other households from following suit; determine whether the project could remove these constraints

*Links with Field Guide*

| Topic | Data sources | Checklists and field tools |
|---|---|---|
| Socio-economic context | • Secondary data<br>• Discussions at national and regional levels<br>• Discussions at the district level | • National and regional level checklists<br>• District level checklist |
| Characteristics of poverty | • Community meeting<br>• Focus group discussions<br>• Individual household interviews | • Community checklists 1 and 2<br>• Gender checklist<br>*Plus:*<br>    Field tool 1: Historical timeline<br>    Field tool 2: Natural and livelihoods resource map<br>    Field tool 3: Wealth ranking<br>    Field tool 4: Livelihood analysis matrix |
| Causes of poverty | • Focus group discussions<br>• Individual household interviews | • Community checklist 2<br>• Gender checklist<br>• Individual household interview checklist<br>*Plus:*<br>    Field tool 3: Wealth ranking<br>    Field tool 4: Livelihood analysis matrix |
| Coping strategies | • Focus group discussions<br>• Individual household interviews | • Community checklists 2 and 3<br>• Gender checklist<br>• Individual household interview checklist<br>*Plus:*<br>    Field tool 3: Wealth ranking<br>    Field tool 4: Livelihood analysis matrix<br>    Field tool 5: Organization and group profiles |
| Priorities, needs and opportunities | • Community meeting<br>• Focus group discussions<br>• Individual household interviews | • Community checklist 4<br>• Gender checklist<br>• Individual household checklist<br>*Plus:*<br>    Field tool 7: Problem analysis<br>    Field tool 8: Pairwise ranking |

# Stakeholder analysis

*Purpose*

People and institutions often have different priorities, needs, interests and preferences for development activities related to various resources and assets. Conflicts of interest are common, particularly concerning competition over scarce resources.

Stakeholder analysis identifies the main stakeholders (namely, institutions, agencies and individuals) in a given development intervention and their relationships and importance in influencing decision-making. This is helpful for identifying potential differences and conflicts among stakeholders and potential resistance and threats to proposed interventions. This type of analysis also illuminates synergies, partnerships and potential opportunities for collaboration among stakeholders towards meeting development objectives.

The overall objectives of stakeholder analysis are to ensure that agricultural and rural investment designs are realistic and to optimize win-win outcomes of proposed interventions among stakeholders. The analysis may identify actions to minimize risks and challenges and to promote opportunities in implementing an activity.

*Timing*

Stakeholder analysis can be used at any stage of the project cycle, with increasing degrees of depth at each successive stage:

■ Project preparation: to identify and consult with the main stakeholders in order to gain a good understanding of the broad context in which development interventions are being proposed;

■ Loan negotiation and approval: to identify the gatekeepers whose approval is crucial for securing project approval in Parliament;

■ Implementation: to build broad coalitions to support beneficiaries whose voice and political influence is particularly weak, such as indigenous peoples; and

■ Supervision and implementation support: to assist in understanding changes in relations and positions among stakeholders over time as a result of development interventions and changing contexts. The analysis helps to identify redistribution of power and decision-making influence, winners and losers and unintended consequences. When undertaken during supervision and mid-term review phases, this analysis helps to identify measures to adjust project design to meet objectives.

*Process*

Stakeholder analysis focuses on identifying different categories of stakeholders (see Box 10); their relative stake in a given intervention – 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. In its simplest form, this analysis enables development planners to identify which categories of people have a stake in a particular intervention while, in its full form, this analysis involves direct consultation and negotiation.

## Box 10: Examples of stakeholders

Stakeholders may include:

- the government
- the donor
- intended beneficiaries (e.g. women and men in smallholder and landless households)
- front-line development workers (e.g. extension workers, NGOs and private service providers)
- other affected people (e.g. non-beneficiaries who might be expelled from the forests or displaced from their land by dam construction).

*Topics for stakeholder analysis*

***Stakeholder identification***
- Categories of stakeholders, their interests and influence
- Interests and reactions of different groups to proposed project activities
- Characteristics of winners and potential losers
- Gatekeepers controlling project approval
- Potential allies and coalitions

***Activity identification***
- Stakeholder consultations
- Activities to enhance the voice and influence of stakeholders likely to be negatively affected by the project

*Links with Field Guide*

| Topic | Data sources | Checklists and field tools |
|---|---|---|
| Stakeholder analysis | • Community meeting<br>• Focus group discussions | • Community checklist 3<br>*Plus:*<br>Field tool 6: Stakeholder analysis |

# Review of project documents

*Purpose*
The purpose of the review exercise is to sharpen the focus and relevance of a proposed programme or project.

*Timing*
Ideally, the review of project documentation commences during the project design phase. It is also undertaken during appraisal (by an external reviewer and the social scientist), supervision and implementation support missions, impact assessments and evaluation.

*Process*
During the review, project documentation (e.g. the design report or appraisal the document), technical working papers or annexes, and the logframe are examined in order to determine the:
- details of the project rationale and approach in terms of what it means for the target groups;
- degree of fit between proposed project activities and the resources and the livelihood objectives of typical rural households;
- extent to which proposed project activities promote pro-poor approaches and gender equality, and strengthen women's empowerment; and
- linkages between the findings of the social analysis and other technical studies, and the project design.

The review concludes with recommendations to strengthen project design and implementation. An example of an analysis of a project design from the beneficiary perspective is presented in Table 1A in Appendix 1.

*Guiding questions for review of project documents*

### Project rationale and approach

- What is the project strategy – what does it seek to introduce or change?
- How does it derive from the analysis of constraints and opportunities?
- To what extent does it reflect lessons learned from: in-country context consultation and information, other projects and wider best practices?
- What alternatives have been considered and discarded?
- What might its adoption imply at the household level for different categories of people?

### Target group

- Who are the target groups?
- What is the project targeting strategy and mechanisms?
- If target groups are not stated, who is the project for? How was this decided?
- What are the assumptions about the types of households expected to respond to project interventions? Any barriers?

### Project objectives

- How do the project's main objectives reflect the needs, priorities and challenges of improving livelihoods of smallholders and the rural poor?
- Are objectives inclusive of pro-poor measures that aim to expand opportunities for the poor, reduce poverty and empower women and the youth?

### Project components, sub-components and activities

- How do components/activities reflect demand-driven priorities and for which groups?
- What is the degree of fit between the project strategy and livelihood strategies of different categories of households?
- What are the measures to ensure that the poor, women and more vulnerable groups access and benefit from the project?
- Are components/activities designed to reach smallholders, women, youth and the poor? If so. how?
- Are these appropriate given the capacities of existing institutions? What are the possible implications of project activities on different households?
- Do any activities address the most poor and vulnerable households through safety nets or tailored activities?

### Project components by items financed

- How does project costing reflect pro-poor priorities?
- Are sufficient resources allocated to ensure the involvement of women and vulnerable groups?
- Will asset-poor households be able to engage in project activities?
- Are any resources allocated to safety nets or special measures/quotas?
- Are adequate resources earmarked for gender mainstreaming, if appropriate?

### Project costs

- Are local community contributions expected?
- Are these realistic assumptions?
- Are adequate resources allocated to social and "process" dimensions such as targeting, participatory monitoring and evaluation, capacity building and sustainability?

### Main text and technical working papers

- Do technical reviews, assessments and working papers reflect and incorporate background and issues concerning the poor, vulnerable, women and youth?
- Are the main points of the social analysis and design mainstreamed into the main text?
- Are constraints of poverty, food security and economic growth disaggregated by wealth and gender categories in technical diagnostics and conclusions?
- Does a working paper exist specifically addressing poverty, social issues, gender, vulnerable groups? If so, is there adequate analysis? If not, where are these analyses placed?
- Has an institutional analysis been included?

### Benefits

- What are assumptions about the imputed value of activity-level benefits and household-level benefits (from analyses with and without project farm livelihood models)?
- How and at what level are project benefits envisaged to support and directly reach the poor and women?
- Are these relatively adequate and realistic given the project duration?

### Beneficiaries

- What are the estimated numbers of beneficiary households and total population?
- What are the specified ratios/percentages/numbers of women, youth and any other vulnerable categories (e.g. HIV/AIDS-affected households)?
- How many beneficiaries are targeted for safety net support?

### Prices and markets

- Are assumptions about farmgate prices with and without the project realistic?
- Are the effects of incremental production on markets and prices realistic?
- Are there any gender implications associated with production and marketing?
- What are the sources of information on prices and markets?

### Risks

- Do risks include social, gender and institutional dimensions that could affect project outcomes?
- Are mitigation measures appropriate and realistic?

### Logframe, results framework, and monitoring and evaluation (M&E) indicators

- Does the logframe and M&E include explicit measures and indicators to ensure adequate project inclusion and benefits towards the poor, vulnerable groups and women?
- Are both logframe and M&E disaggregated by gender? Can this be improved?
- Does the M&E system provide for participatory processes? How and to what extent?

# 4. USE OF SOCIAL ANALYSIS IN PROJECT DESIGN

The principal aim of identifying and implementing activities based on social analysis is to enhance a project's social impact. This is achieved by increasing the benefits of a given programme or project for the weaker sections of the population and reaching areas often bypassed by rural development efforts. For projects with social safeguard issues, an additional aim is to design mitigation measures.

Components based on social analysis need to be designed during project preparation. This includes outlining the targeting strategy (see Box 11) and identifying, costing and phasing all activities and investments. Total project costs can then be estimated, which feed into the analysis of the rate of return. The main task during appraisal is to prepare the sections of the Project Implementation Manual (PIM) on participatory planning and participatory Monitoring and Evaluation (M&E) procedures.

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**Box 11: Formulating a targeting strategy**

Based on the findings of the socio-economic and gender analysis, targeting involves:
- identifying target groups for project interventions;
- designing targeting mechanisms;
- operationalizing targeting; mechanisms
- monitoring targeting effectiveness during implementation.

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This section describes measures to ensure poverty-inclusive and gender-equitable participation in, and benefit from, agricultural and rural development activities in line with a project's overall objectives. The measures include identifying target groups and targeting mechanisms, gender mainstreaming, developing participatory approaches and operational aspects.

## Identifying target groups

### Purpose
Targeting is a collection of measures aimed at increasing the likelihood that most of the benefits of an intervention accrue to the intended beneficiaries. Strategies for involving different categories of people are likely to differ based on their existing asset endowments and livelihood strategies. Pro-active targeting can be applied to overcome poverty gaps, gender differences and disadvantage based on social class, caste, ethnicity or disability. The first step in this process is to identify target groups for project interventions (see Box 12).

### Box 12: Examples of target groups

- Resource-poor households
- Female-headed households
- Landless households
- Women
- Youths
- Retrenched workers
- Ethnic minorities
- People living with HIV/AIDS
- Disabled people
- Communities in disaster-prone areas
- Remote and inaccessible communities
- Communities in conflict-affected areas

*Definition of target groups*

The term "target group" refers to the people who are expected to respond as project participants to the development opportunities provided by an intervention. It refers to categories of people whom the government or donor agency designates as the main intended beneficiaries of the intervention. The term does not imply that the intended beneficiaries have any shared class consciousness or ties of solidarity. Usually, they are not a formal group, but rather a loosely defined category of people, such as small-scale producers, harvesters of non-timber forest products or small-scale fisherfolk.

The target population refers to the total pool of people from which project participants and beneficiaries are drawn. In the broad sense, this refers to the total population of the project area. In the narrow sense, through the definition of a targeting strategy, it refers to the total number of people falling within the categories identified by the government and donor agency who are most likely to improve their livelihoods from the flow of project benefits. It is not always preferable to seek to maximize outreach to the greatest number of people, but rather to ensure solid and sustainable results. Thus, the actual target during the disbursement period may reach only 20-30 percent of the eligible potential population.

Target groups are identified – in consultation with the financing agency, implementing agency and communities – by developing a typology of different categories of households in the local population based on a range of criteria.

Although the main indicator used by poverty assessments is per capita income (consumption) levels in relation to the poverty line, such measures may be of limited use in targeting project interventions because of their highly demanding data requirements. Moreover, combining other dimensions of poverty (e.g. food security, the distribution of asset ownership, livelihood strategies, gender roles within the household and age differences) is likely to be more important in explaining differences in wealth and opportunity than per capita consumption or expenditure levels alone. Therefore, it is usually preferable to use a combination of criteria measuring poverty to define target groups, including those more easily observed, such as occupation, farm size or livestock numbers (see Box 13).

## Box 13: Examples of target group criteria

- Located in the poorest geographic areas
- Typical farm size below a certain ceiling
- Livestock below a certain number
- Belonging to the poor or poorest socio-economic stratum
- Food insecure
- Reliant on earnings from casual labour to survive
- Type of occupation, economic activities
- Cash earnings below a specified level
- Absence of remittances from migrant members living in town
- Female-headed households
- Youth and disadvantaged groups

The definition of the target group should be realistic and unambiguous, and it should be used to identify project beneficiaries smoothly and efficiently without excessive administrative costs (see Box 14). It is important also to allow for flexible targeting approaches, including methods of participatory community-based social targeting.

## Box 14: Estimates of the number of beneficiaries

Project planners need to be highly realistic in estimating the numbers of households that are expected to benefit directly from the project. The technical specialists need to work closely with the social scientist to jointly predict how many of those who receive the project's messages are likely to respond and participate. The number of beneficiaries is then fed into the economist's cost/benefit analysis and the estimate of the project's rate of return. There should be no contradiction between the target group as stated by the social analysis report and the assumptions about numbers and characteristics of beneficiaries as expressed in the project economic models.

### *Compatibility between target groups and project design*

During project design, the social scientist works with other team members to ensure that there is an adequate fit between the project strategy and the asset endowments and livelihood strategies of the non-poor, poor and poorest households (see Box 15). The social scientist examines who would be able to participate in the proposed project activities. In some projects, there may be a number of different target groups. If poorer households are unlikely to participate at all in project activities because of a lack of resources, the social scientist may suggest ways that project activities should be adapted to make them more adoptable, affordable and less risky for poorer households. The constraints and priorities of different target populations can be addressed by offering "menus of options" or "graduated approaches" for demand-driven project components and subcomponents.

### Box 15: Example of pathways out of poverty under a programme in Uganda

There are many levels of poverty within rural communities in Uganda, 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 are represented in the wealth pyramid below, which stratifies households by their wealth category.

**Relationship between programme activities and wealth group of beneficiaries**
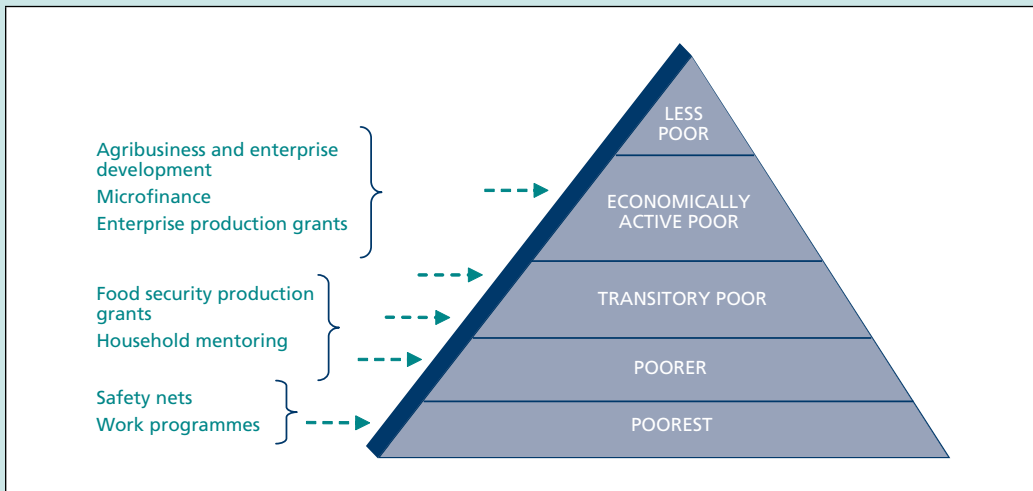


The programme introduced graduated activities to address the needs of specific groups of smallholder farmers including:

- 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; and
- safety nets and work programmes for the poorest households.

In addition, several programme activities were introduced 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.

## Targeting mechanisms

### Purpose

Targeting focuses on enhancing the inclusiveness of participation by enabling poor households, women and disadvantaged groups, to respond to economic opportunities on an even footing with the rest of the population, if they wish to do so.

Targeting does not focus exclusively on the poor, to the exclusion of the non-poor. A well-designed targeting strategy includes activities that simultaneously promote community and household empowerment and improved livelihoods, while also addressing the specific priorities of the most vulnerable groups and women. It also embodies other accompanying measures to support socially equitable and sustainable development, such as policy dialogue and sensitization.

This section deals with:

■ three conventional targeting measures: geographic, self and direct targeting;
■ empowering measures to enhance the capacity, skills and voice of poor farmers, women and socially marginal groups;
■ procedural measures to increase transparency and address administrative barriers; and
■ enabling measures to create a policy and institutional environment favourable to inclusive and equitable development and to gender equality.

The information regarding the targeting strategy may be summarized in a matrix format (see Table 1B in Appendix 1).

### *Geographical targeting*
Geographical targeting refers to the methods used for selecting the poorest districts, subdistricts and communities. It is an effective means of reaching the poor in programmes that are not national in coverage. It works best when standards of living within poor communities are relatively homogeneous, but it makes less sense when most poor people live and work as casual labourers in geographic areas that are well-endowed with agricultural resources and account for a relatively small proportion of the rural population (say 10-25 percent). Better-off communities may be included if their economic and market linkages with poorer communities are required to achieve an impact on poverty reduction.

Usually, geographical targeting commences at the macro level and is complemented by more specific localized targeting mechanisms. Geographical selection criteria should be objective in order to prevent the decision-making process from becoming arbitrary or politically-driven (see Box 16).

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**Box 16: Examples of geographical targeting**

■ An objective strategy based on clear criteria for ranking districts, subdistricts and communities in terms of relative poverty.
■ Broad identification of areas (down to the district level) using data drawn from a number of sources, such as national poverty assessments, food insecurity and malnutrition data and UN agency data sets of national coverage (e.g. vulnerability mapping).
■ Detailed identification within a locality using poverty criteria developed with local stakeholders.

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### *Self-targeting measures*
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 (see Box 17). 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.

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**Box 17: Examples of self-targeting**

- Select crops and livestock suitable for women, youth, poor people and people living with HIV/AIDS, considering their potential for food security, local sales, small volume, low input, low risk, proximity to home, local processing and value-adding opportunities.

- Select non-farm enterprises of interest to women, youth, poor people and people living with HIV/AIDS that have a low capital investment, quick return and low risk.

- Select technologies which address women's labour constraints and are suitable for use by women, youth and people living with HIV/AIDS (e.g. drip irrigation, small motorized mills).

- Introduce microloans for small business ventures, with no collateral requirements.

- Promote group approaches which tend to be of less interest to wealthier households.

- Set upper limits or ceilings on grant assistance available to a group or individual.

- Establish modest rates of remuneration for work programmes (such as the development of community access roads); payment in the form of cash or food-for-work at or slightly below market wages 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.

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Reverse targeting, causing errors of inclusion, refers to the tendency of some types of assistance intended for the poor to attract the non-poor. This tendency has been widely documented for subsidized inputs (notably fertilizer) and grants for equipment (e.g. tractors and power tillers) and should be monitored within the project's M&E system. Social and livelihoods studies during project design can help to identify which types of activities tend to be self-targeting to the poor and which tend to attract the non-poor.

Similar mistakes occur when it is assumed that some activities, such as vegetable gardening or raising small-scale poultry and goats, are automatically self-targeting to women because these are typically female-dominated activities. However, experience has shown that whether women benefit depends on the context and type of assistance. For example, men may take over an activity as soon as labour saving equipment is introduced, which makes the work less demeaning and more profitable. Or, men may become involved once an enterprise becomes commercialized, particularly with aspects of marketing.

*Direct targeting*
Direct targeting consists of setting eligibility criteria for different types of activities and interventions that are to be channelled to specific members of the community (see Box 18). Graduated packages with certain eligibility criteria tune the project activities to the specific conditions and contexts of different categories of the poor (i.e. the most vulnerable, poor and less poor) in order to broaden their opportunities for participation.

## Box 18: Examples of direct targeting

- Use quotas to ensure women and youth are represented among the membership of producer groups, enterprises, trade associations, etc.
- Use quotas to ensure women and youth are represented among the leadership of farmer groups, enterprises, trade associations, etc.
- Set quantitative targets for participation in project activities.
- Ensure eligibility criteria are suited to the resource endowments of the target group.
- Earmark funds for vulnerable groups.
- Introduce technical training specifically targeting women and youth.
- Select women to demonstrate their capabilities by leading demonstrations and discussions, making presentations and participating in agricultural technology exhibitions.
- Provide entrepreneurship awards specifically for women farmers.
- Provide training grants for women extension staff.
- Promote women and youth visits, exchange programmes and attendance at trade fairs and exhibitions.
- Provide vouchers to enable women and youth to access business development services.
- Provide safety net measures, such as conditional or non-conditional cash or food transfers, relief work schemes or animal pass-on schemes.
- Select orphans and vulnerable children to participate in Junior Farmer Field and Life Schools.

However, with the shift to demand-driven projects that rely on voluntary self-selection of participants, the scope for direct targeting is reduced. The Project Management Unit (PMU) and implementing partners are no longer in a position to proactively select women or the poorest as the beneficiaries. Nevertheless, there is some scope for direct targeting, identified *ex-ante* through community-based participatory processes. 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 households caring for orphans, child-headed households or households with members living with HIV/AIDS. Community-based sensitization is required to ensure that village leaders target poor people (rather than extend their patronage to support their friends, relatives and clients) and to avoid any conflict, stigma or social exclusion that may arise from direct targeting.

### *Empowering measures*
Empowering measures refer to ways of building the capacity and self-confidence of those who traditionally have less voice and power. These activities enable the poor and other vulnerable groups to voice their needs, to participate in planning and decision-making, and to influence programmes and policies. They help 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.

A diverse range of empowering measures is presented in Box 19 for illustrative purposes. However, it is recognized that agricultural investment projects with production-related objectives are not expected to include every kind of activity with a social objective.

## Box 19: Examples of empowering measures

### *Household level*

- Promote rural household planning for resource use, livelihood strategies and benefits sharing.
- Reduce women's workloads through labour-saving technologies (e.g. in collecting water and fuelwood and weeding), improved infrastructure, sharing workloads and workplace child care facilities.
- Write wills and plan for succession among household members.
- Encourage skills transfer among household members.

### *Community*

- Raise gender awareness in the community.
- Mobilize women and youth to participate in project activities.
- Initiate community-led planning (e.g. identify eligibility criteria, targets, activities).
- Increase community-based consultation on public investment in rural infrastructure, agricultural research and extension and other service provision.
- Identify and promote women, youth and people living with HIV/AIDS as role models.
- Form and strengthen women and youth self-help and producer groups, associations and networks.
- Strengthen rural organizations.
- Provide leadership training for smallholder women and youth.
- Conduct community conversations to address cultural norms and behaviours which would otherwise inhibit response to addressing HIV/AIDS effectively.
- Work with women leaders and innovators in communities.
- Offer beneficiary shareholding in a company (e.g. outgrowers in value chain development).

### *Service delivery*

- Disseminate public information about the project to ensure activities and services are accessible to all and to enhance transparency.
- Formulate a project-level communication strategy.
- Discuss gender, youth and targeting issues at launch workshops and community sensitization meetings.
- Develop farmer field schools for smallholders, women and youth.
- Integrate gender sensitization into all agricultural extension and farmer training programmes, skills development and materials.
- Offer functional adult literacy and numeracy classes (including mobile classes for pastoralists).
- Conduct training for smallholders, women and youth in basic business skills, record-keeping, negotiating skills, financial management, planning and savings.
- Provide skills development for employees in the agricultural sector.
- Offer vocational training for unemployed youths in rural areas, supported by seed money for enterprise start-up.
- Increase the value of women's work (through value chain development).

*Procedural measures*
Procedural measures establish transparency in the selection criteria and administrative procedures. They also identify and remove possible obstacles (e.g. 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 (see Box 20).

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**Box 20: Examples of procedural measures**

- Reduce transaction costs of registering an income-generating group as a cooperative or an NGO.
- Remove the requirement that eligible community-based organizations (CBOs) should be legally registered.
- Avoid high up-front community contribution to access matching grant funds, or accept contributions in kind.
- Simplify and streamline application procedures and record-keeping.
- Translate application forms and project documents into the local language.
- Provide free technical support to assist groups to complete application forms and to prepare and cost subproject proposals.
- Remove requirements that prevent people from accessing microfinance, such as the need for a land title, or a woman's dependence on her husband's co-signature or an adult male guarantor.
- Make beneficiary contribution requirements (e.g. the provision of labour or cash) realistic, rather than inadvertently excluding some categories of resource-poor people.
- Communicate criteria for participating in project to community.
- Provide child care facilities to facilitate women's participation (e.g. public works schemes).

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*Enabling measures*
These measures refer to investments aimed at creating and sustaining a policy and institutional environment that is favourable to pro-poor development, community participation, gender equality and empowerment of vulnerable groups. Policies and institutions can be enabling or disabling for rural poverty reduction and, despite good intentions, projects implemented in a disabling environment tend to fail.

The success of rural development projects in reaching the poor and ensuring their participation depends not only on choosing the right entry points but also on the implementing partners who respond to priority needs through appropriate measures. Local institutions and organizations may require capacity building, support and institutional strengthening to develop good practices in leadership and organizational management. Sensitization is important to ensure that local implementing agencies share the same understanding of the project concept as the project planners and do not unwittingly bypass the poor. Similarly, all stakeholders need to share a common vision of and commitment to the identified pro-poor approaches and the gender equality objectives of the project. Examples of enabling measures are presented in Box 21.

## Box 21: Examples of enabling measures

### *Policy strengthening*

- Dialogue with government and donors to influence their attitudes and policies towards investments in smallholders, youth and women.
- Advocate for pro-poor approaches, gender equality, youth empowerment and ethical trading.
- Promote land tenure legislation.
- Promote equitable employment legislation.
- Conduct policy studies on social aspects of rural livelihoods.
- Support national level authorities to influence the vulnerability context favourably by reducing exposure to shocks or by increasing preparedness for shocks.

### *Service provision*

- Ensure research agendas address issues of relevance to poor smallholders, women and youth.
- Use communication channels that are accessible by poor smallholders and women for extension messages, market information etc.
- Ensure that communication, extension materials and knowledge packages are gender sensitive (i.e. in language, literacy level, topics).
- Promote household savings, revolving savings and credit groups and bank accounts for smallholders, women and youth.
- Promote insurance services for smallholders.
- 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).

### *Capacity building*

- Sensitize and train government staff (i.e. national, district and front-line), agricultural and community development departments, service providers, microfinance institutions, the PMU and implementing partners in pro-poor development and gender empowerment (including the project's commitment to targeting and gender mainstreaming); ways to enhance the voices of women and poor farmers; and how to pay attention to the diverse livelihoods, needs and priorities of different categories of members of the community.
- Organize awareness raising visits of decision-makers to project sites.
- Conduct gender and pro-poor sensitization of players in value chain and agribusiness enterprises.
- Participate in in-country networks, formation of partnerships and alliances and public forums.
- Create commitment to pro-poor development and gender empowerment 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 planning procedures and participatory M&E.
- Sensitize and build capacity of government staff and local authorities to understand the difference between a top-down, message-driven delivery system, and one in which they respond to the felt needs of client farmers and communities (and not necessarily catering to the wealthiest and most influential clients).

- 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 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 professionals.

### Institutional design

- Promote the use of participatory processes (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, range management, community-driven development and group income-generating activities.

## Gender mainstreaming

### Purpose

The overall purpose of gender mainstreaming is to provide women and men with equal opportunities to pursue their own livelihood strategies through gaining equal access to and control over resources, benefits and decision-making, at all stages of the development process.

### Process

Gender is mainstreamed throughout a livelihoods analysis and the targeting approaches, where relevant. This section highlights specific opportunities for promoting gender equality and women's empowerment in the major areas where gender inequalities are most pronounced (see Box 22). Gender mainstreaming issues also need to be considered in designing participatory approaches, in operationalizing the social design elements, and in the M&E system. The information regarding the targeting strategy may be summarized in a matrix format (see Table 1C in Appendix 1).

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### Box 22: Examples of gender mainstreaming

#### Increasing women's access to and control over assets and benefits

- Facilitate women's access to extension advice, credit, insurance and inputs – especially for crop and livestock enterprises that are mainly in women's domain – and take steps to ensure they retain control of the benefits during the process of commercialization.
- Support women's involvement in developing crop and livestock enterprises that are not traditionally in their domain, as well as off-farm income generating activities.
- Target women and female-headed households to participate in technology development, transfer and adoption.
- Select women to host on-farm demonstrations and field days.
- Promote household planning to encourage fair use of household income to benefit all household members through awareness raising and behaviour change communication at the community and household levels.
- Set up women's self-help groups for savings and credit.
- Sensitize women and men about ownership and inheritance rights, including of land.

### *Increasing women's access to skills and knowledge*

- Adopt different training approaches to increase women's participation (e.g. training 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 in the women's domain.
- Encourage women's participation on exposure visits.
- Develop traditional knowledge transfer networks to be gender-inclusive.
- Support functional adult literacy classes for women.
- Develop women's skills in managing and saving money.
- Develop women's business and entrepreneurship skills.
- Set up women's self-help groups for knowledge sharing.
- Promote women's self-help groups for processing, marketing and sharing market information, in order to gain economies of scale and stronger market bargaining power.
- Create awareness about legal matters (policies and regulations) and the rights of women and men at community level.
- Strengthen women's legal literacy.

### *Strengthening women's decision-making roles*

- Work with farmer associations and cooperatives to increase women's participation as members and leaders.
- Train women in group formation, leadership skills, confidence building and negotiating skills.
- Design strategies to provide women with more knowledge and information to enable them to make informed decisions, for example through community information networks.
- Conduct gender awareness training at the community level to increase general understanding about the importance of including women in rural development opportunities.
- Set specific targets in terms of the proportion of women participants in relevant decision-making bodies.

### *Improving well-being and easing workloads*

- Identify and promote labour-saving technologies for activities performed by women in relation to marketable commodities, as well as other household tasks (water supply, food processing, fuel supply).
- Promote skills and access to services to improve the well-being of women and other family members (nutrition training, maternal health care, health services).
- Develop life skills among rural communities.
- Involve women in technology demonstrations and applications in order to understand and assess the impacts of technologies on their workloads.
- Change the mindsets in rural communities to move towards a more equitable distribution of workloads between women and men.
- When promoting new enterprises, consider:
  - labour requirements of the whole farming system, rather than individual enterprises;
  - distribution of labour between different household members and the implications for labour peaks;
  - availability of additional labour and capacity of households to hire additional workers to cope with labour peaks;
  - other means of sharing or equally distributing labour.

# Participatory needs assessment and community action planning

*Purpose*

This section deals with the design and implementation of built-in processes for participatory needs assessment and planning, to be systematically undertaken by the project as a basis for financing demand-driven activities.

During design, project planners need to place the project-level planning process within the context of existing planning and budgeting systems at the various levels of the decentralized public administration. Many countries undertake decentralized development planning and support local responsibility to implement and monitor activities. If there is already an ongoing community-level planning process that feeds into district development plans, the planners will need to consider how project-sponsored community-based needs assessment will fit within and complement the existing process. If there is not, it is necessary to design suitable and locally acceptable systems for bottom-up participatory planning, and this should be done through active consultation and participation with key stakeholders. The planners need to consider the roles for elected local government councillors, district line agency staff and community structures (both formal and informal).

For project phasing and costing, the design team needs to estimate how many communities the project can cover per year, and determine either how communities will be trained to undertake participatory needs assessment and planning, or how the project will contribute to ongoing processes.

*Process*

Participatory needs assessments and community action planning should be viewed as core facilitating processes within the wider decentralization system in the country. A project provides an opportunity to build local capacity – furthering local empowerment, local ownership and responsibility for community-based rural development – while improving agricultural production systems and livelihoods.

Tools for participatory needs assessment include key informant interviews, participatory resource mapping, wealth ranking, timelines and trends, pairwise ranking, gender analysis tools, Venn diagrams and focus group meetings. Ideally, separate focus groups should be held for community leaders, women and men, and possibly for youths and other minorities.

Approaches for community action planning include identifying problems, identifying their causes and possible solutions, ranking them in order of priority and preparing simple community action plans (CAPs).

> *Further details about data collection methods, participatory tools and checklists are presented in the Field Guide.*

There are two main options for facilitating the community-level process: (a) creating an interdisciplinary subdistrict-level facilitation team; or (b) outsourcing the facilitation to local service providers (i.e. NGOs or consultants). The preferred approach is to establish permanent interdisciplinary facilitation teams at the subdistrict level because this institutionalizes decentralization within the government planning system and contributes to building the human capacity and skills of local authorities, government staff and community members. Another advantage is that the project need not go through the complex process of tendering for NGO selection. The main disadvantage is that the process may require cascade training of trainers at several administrative levels: a national training team needs to be established to train regional training teams, who then train district training teams, who in turn train subdistrict facilitation teams.

The two approaches are often combined by outsourcing the training and supervising the subdistrict facilitation teams to NGOs. This has the advantage of improving quality through recruiting the services of an experienced NGO, while institutionalizing annual community action planning processes that can feed into district-level development plans and annual work plans and budgets.

It is important that participatory planning approaches are gender-sensitive to ensure that women's priorities, along with men's, will be adequately reflected in development planning processes and final CAPs (see Box 23).

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**Box 23: Points to consider for a gender perspective in community planning**

- To what extent are women's own priorities and their priorities concerning public and common goods incorporated into action plans and project activity options?
- How and to what extent are women consulted about their needs and priorities separately from men?
- Is community-level prioritization conducted in a public meeting in the presence of both women and men? If so, what is the quality and significance of women's interventions?
- To what extent are women likely to stand up in the public meeting and express a point of view that differs from that of the male leaders or elders?
- What items and activities would women like to see on the project menu?
- What is the process of decision-making and how influential are women's voices in final decisions?

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In designing the community-level participatory planning process, it is essential to identify the appropriate size of the community for different types of activities. For participatory needs assessment and planning, a community should include between 50 and 150 households – anything bigger is too big for direct democracy through a village meeting. Often there are several rounds of consolidation, where community plans are consolidated at higher levels.

The cost of conducting a community participatory needs assessment and preparing a plan varies according to the duration and complexity of the participatory sequence and the tools used. To produce a CAP requires at least one-half day per community to complete a simple ranking of community-level livelihood-related problems and priorities for intervention. If key informant interviews, focus group meetings and participatory tools are also included in the needs assessment, the exercise will take a whole day for each community. If gender modules are also included, at least an additional half-day will be required. Household interviews with selected non-poor, poor and very-poor households require an additional day.

### CAP consolidation and subproject approval process
The next step is to define how community priorities - as expressed in CAPs - will be translated into a series of project-financed community subprojects. This most often is determined by existing national mechanisms. Key design questions include: On what levels are the individual CAPs consolidated? Is it sufficient to go straight from CAPs to a district annual work plan and budget? Is it preferable to consolidate CAPs into a subdistrict plan, then consolidate the subdistrict plans into district medium-term development plans, and then to extract a district annual work plan and budget?

Experience suggests that an intermediate subdistrict action plan is not necessary and that it tends to overemphasize writing plans rather than implementing subprojects. It is imperative that projects work within, and not parallel to, ongoing planning systems in the country. If improvements or innovations in national community action planning processes are identified in discussion with government, projects are an ideal entry point to pilot and suggest new measures.

In order to replicate and sustain benefits beyond the project, it is necessary to ensure that there is local capacity for continual participatory community-based development planning and for ongoing operation and maintenance of benefits at district and community levels.

# Operational measures

*Purpose*

Operational measures assign responsibility for the implementation of the social aspects of project design to project management staff, partner organizations and the community (see Box 24). Further details about integrating social and gender perspectives into the M&E system are addressed in section 6.

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**Box 24: Examples of operational measures to implement social aspects of project design**

*PMU staff*

- Appoint project staff with required skills, composition (i.e. including women field staff) and gender competence at HQ and project levels.
- Specify responsibility for poverty and gender targeting in the terms of reference for senior PMU staff, with the ultimate responsibility resting with the project coordinator.
- Appoint gender specialist and/or gender focal points.
- Reflect commitment to gender empowerment and addressing rural poverty in induction work-shops, remuneration, training/promotion opportunities.
- Train staff in gender mainstreaming.
- Assign responsibility to M&E officer for monitoring targeting performance and beneficiary tracking.

*Project M&E*

- Reflect gender and youth perspectives throughout M&E system.
- Design and monitor gender-sensitive indicators and engender logframe.
- Mainstream gender and poverty considerations into data collection, baseline survey, impact assessments, and mid-term review.
- Include women in PRA and fieldwork teams.
- Ensure gender and poverty aspects integrated into main reports, as well as separate reporting when appropriate.

*PMU internal procedures*

- Mainstream gender, youth and HIV/AIDS considerations into the Project Implementation Manual.
- Formulate gender policy and strategy at project level.
- Mainstream gender into annual work planning and budgeting processes.
- Explain and discuss commitment to addressing poverty, gender, youth and HIV/AIDS issues in the context of rural development and project design at launch workshops.
- Conduct self-audit of targeting and gender strategy implementation.
- Analyse service delivery (enterprises, technologies, training, credit) from perspectives of gender, poverty, youth, people living with HIV/AIDS, and address (i.e. respond to the findings from the analysis) potential barriers to participation (e.g. inconvenient timing and location, payment of fees or provision of labour and requirement for collateral).
- Establish grievance and complaints mechanisms to promote fairness, transparency and improved accuracy in targeting.

***PMU external procedures***

- Network with pro-poor, gender, youth and HIV/AIDS organizations.
- Participate in policy dialogue about gender inequalities, promote legislation to address gender imbalances in the rural sector and support affirmative action.

***Implementing partners and service providers***

- Partners and service providers should demonstrate a commitment to pro-poor development, gender equality and women's empowerment.
- Partners and service providers should have experience with community-based social targeting and participatory methods.
- Encourage partners and service providers to recruit women field workers in order to improve outreach at the field level.
- Work with women and subject matter specialists.
- Develop a joint communications strategy for gender and poverty targeting.
- Undertake joint supervision missions (PMU, partners, service providers, other government agencies and donor).

***Community***

- Promote community participation in needs assessment and action planning.
- Promote community involvement in determining eligibility criteria for participation in project activities.
- Identify with the community indicators of gender empowerment.

# 5. PUTTING THE PACKAGE TOGETHER

The target group, targeting strategy and activities based on social analysis need to be well-integrated within the overall project design and incorporated into the logframe, work plan and budget, M&E system and PIM.

The main physical outputs of the social analysis conducted during the design phase are:

■ a written report;
■ text for the main design document;
■ contributions to the PIM.

These three outputs are discussed below.

## Written report

The written report can take several forms. When social analysis is undertaken as a free-standing exercise separate from the project preparation mission, it usually involves writing a social analysis report, complete with an executive summary.

When social analysis is undertaken simultaneously with project preparation, it usually takes the form of a technical working paper or annex to the project preparation report. The social scientist also provides the mission leader with written contributions to the mission aide memoire and sections of the design document dealing with poverty and gender issues, target groups, targeting measures, participatory processes and the design of activities based on social analysis.

### Content
The social analysis report:

■ describes social conditions nationally as well as in the project area;
■ identifies project stakeholders and analyzes which ones stand to win or lose as a result of proposed interventions;
■ determines whether or not the agency's social safeguard policies are triggered;
■ designs an appropriate mitigation plan if the social safeguard policies are triggered, as required by the agency guidelines;
■ defines target groups;
■ designs an appropriate set of targeting and gender mainstreaming measures to ensure that the majority of resources reach the intended beneficiaries; and
■ outlines implementing mechanisms.

The outline for a typical social analysis working paper is presented in Box 25, along with estimates of the number of pages for each section.

## Box 25: Example of outline for working paper: Poverty, Gender and Targeting

**I.  Human development and poverty (1-3 pages)**
   A. Population
   B. Human development
   C. Poverty
   D. Policy responses

**II.  Gender and youth (1-3 pages)**
   A. Status of women
   B. Challenges
   C. Policy and institutional responses
   D. Youth

**III.  Rural livelihoods (5-8 pages)**
   A. Dimensions of rural poverty (link to appendix 1)
   B. Socio-economic strata and types of households: differences in their asset base; livelihood systems, strategies and outcomes; perceived opportunities, challenges and priorities and the implications for the project (link to appendix 2)
   C. Vulnerability context: shocks, their effects, coping mechanisms of different categories of people
   D. Characteristics of smallholder agriculture, including patterns of access and control over land and rural production assets (link to appendix 3)
   E. Gender analysis of smallholder agriculture and rural livelihoods
   F.  Rural HIV/AIDS epidemic (if relevant)
   G. Community-level institutions and leadership

**IV.  Socio-economic analysis of project (5-8 pages)**
   (e.g. small-scale irrigation/value chain development)
   A. Background
   B. Socio-economic analysis of programme or project components (link to appendix 4)
   C. Smallholders' response to date
   D. Priority needs of smallholder groups
   E. Stakeholders (link to appendix 5)

**V.  Targeting and gender mainstreaming (3-5 pages)**
   A. Target groups
   B. Geographical targeting
   C. Targeting mechanisms (link to appendix 6)
   D. Gender mainstreaming activities (link to appendix 7)
   E. Partnerships for strategy implementation

**VI. Operationalizing the targeting and gender mainstreaming mechanisms (3-5 pages)**

  A. Description of subcomponents (including costs, phasing)

  B. Implementation responsibilities

  C. M&E indicators and participatory processes

  D. Innovation, learning and feedback into design

**Appendices**

1:  Wealth ranking at the village level

2:  Livelihoods matrix of smallholders ranked by wealth

3:  Challenges facing smallholder groups and potential responses

4:  Beneficiary perspective matrix

5:  Stakeholder matrix

6:  Targeting matrix

7:  Gender mainstreaming matrix

*Presentation*

The presentation of the report may be enriched by including some of the following tools, when appropriate:

■ *Case stories to reflect the realities of rural livelihoods from an individual's perspective*: It is important to capture the livelihoods from a range of household types (e.g. by wealth, by sex of the household head, by role in the value chain). The voices are stronger if the stories are written in the first person, using language similar to the original narrator. In order not to disrupt the flow of the main text, the case stories may be best placed in an appendix.

■ *Text boxes to illustrate or highlight points being made in the main text*: Refer to specific experiences that would be too detailed if they appeared in the main text.

■ *Tables to summarize key data*: Include data such as poverty data over time or by district; division of labour for specific activities among women, men and others; analysis of project components from the beneficiary perspective.

■ *Diagrams to present information in a visual format*: These may include seasonal cropping or livelihood activity calendars; comparative data such as the livelihoods assets pentagon by wealth or sex of the household head; relationship information such as resource flows among households in different wealth groups.

■ *Summary matrices for ease of accessing data*: Include analysis of rural poverty, agricultural and rural sector issues and actions required; analysis of institutional strengths, weaknesses, opportunities and threats; identification of target groups, causes of poverty, coping actions, priority needs and potential responses; livelihood characteristics of rural households by wealth; and targeting and gender mainstreaming strategies. These matrices will usually appear as appendices.

*Cost tables*

For each activity, the project design needs to begin to identify cost implications:

■ How will the activities be organized (e.g. who and how many will participate)?

■ Who will implement the activities?

■ What resources will be required (i.e. goods, services)?

■ What are the unit costs, the number of units, the phasing of activities and costs over the years of the implementation period?

# Text for main design document

When the social scientist writes a working paper or an annex to the main project report, it is critical that text is also prepared to be included in the main report. This will ensure that the key elements of social analysis and design are reflected in the principal project documentation and that the overall design is consistent with the targeting strategy. Often key decision-makers and reviewers focus their attention on the main report and there is a real danger that the targeting and social design inputs may get overlooked if they are only presented in a working paper or an annex.

### Inputs to main report

The text for the main report should include:

- a paragraph about the key aspects of poverty and rural livelihoods, including policy and institutional responses;
- a paragraph about the key aspects of gender issues and their implications for rural livelihoods, including policy and institutional responses;
- a paragraph about the key aspects of other issues associated with social diversity (e.g. youth or marginalized groups), including policy and institutional responses;
- a paragraph about the HIV/AIDS epidemic, if relevant to the country context, including policy and institutional responses;
- a description of the characteristics of target groups and their priority needs (1/2 -1 page, depending on the number of groups);
- an outline of the main targeting and gender mainstreaming measures (1/2 –1 page);
- the design of components based on the findings from the social analysis (1-2 pages); and
- responsibilities for implementation (1/2 page).

Some development support agencies, such as IFAD, automatically include matrices summarizing rural poverty, target groups, institutions and complementary donor initiatives/partnership potential as part of the main project documentation. Regardless of the agency, the following three matrices are useful additions to the main report (see examples in Appendix 1):

- *Beneficiary perspective matrix* (Table 1A): analysis of project design from the beneficiary perspective and identification of responses to strengthen project outreach and impact;
- *Targeting strategy matrix* (Table 1B): key information about the targeting strategy, illustrating the main mechanisms: geographical targeting, self and direct targeting, empowering measures, procedural measures and enabling measures;
- *Gender mainstreaming matrix* (Table 1C): key information about the gender mainstreaming strategy, illustrating activities to address the main areas of gender inequality within the scope of the project, namely workloads, access to and control over assets and benefits, skills and knowledge, decision-making roles and well-being. This information may also be embedded within the targeting strategy matrix.

# Contribution to the Project Implementation Manual

The procedures set out in the PIM must be consistent with the stated targeting strategy and procedures. Often, the design of the PIM is outsourced to consultants who may repeat what is said in the appraisal report, without detailing procedures or operationalizing concepts like "bottom-up" planning, etc.

The social scientist can assist the PMU in designing or refining the PIM's targeting strategy and operations and guiding early implementation activities. As noted earlier, it is easier to operationalize the targeting strategy when it is linked, where practicable, to the main components of the project, rather than when it is a series of stand-alone activities.

The social scientist also makes inputs to other aspects of design, particularly participatory planning processes, capacity building, CBO strengthening, social components and social safeguard strategies. The PIM is especially important when launching, and later institutionalizing, a process of bottom-up, community-driven development, and it can provide a sound basis for training decentralized staff to implement the procedures.

# 6. TRACKING SOCIAL ASPECTS OF DEVELOPMENT

During project design and implementation, the social scientist is frequently requested to provide advice and collaborate with the M&E expert to ensure the M&E system tracks the social aspects of development. These social aspects also need to be captured during impact assessments and project evaluation. These three elements of M&E are discussed below.

## Social inputs to monitoring and supervision

*Purpose*
Tracking targeting effectiveness is one of the central features of monitoring the outputs, outcomes and emerging impacts of a project. This involves providing continuous analysis and feedback to management regarding which categories of people (e.g. male/female, poor/non-poor, young/old, ethnic majority/ minority) are being reached by a particular project and with what level of results. M&E reports and assessments should reflect these dimensions of the project as an integral part of project performance.

*Process*
During project design, the social scientist ensures that the project's internal monitoring system includes methods for beneficiary tracking, socially- and gender-sensitive indicators and participatory M&E.

During implementation, the social scientist may assist the project M&E officer to integrate poverty and gender considerations into the baseline survey and mid-term review, operationalize the participatory M&E approaches and improve the gender disaggregation and interpretation of existing M&E data.

*Beneficiary tracking*
Beneficiary tracking should be undertaken as an integral part of a project's Management Information System (MIS). The system of beneficiary tracking should be straightforward in order to be used by management on a regular basis. In addition to generating quantitative data about numbers of beneficiaries (e.g. female/male), the system also should generate qualitative feedback from different categories of project participants and non-participants regarding their appreciation and use, or non-use, of project outputs.

*Participatory monitoring*
Flexible and iterative participatory monitoring confirms the quality of project interventions and the extent to which they are reaching the intended target groups; it can be used to identify errors of inclusion and exclusion. Participatory approaches, including group-based discussions, reinforce and promote pro-poor development by increasing opportunities for participants' engagement and empowerment in assessing progress, setting priorities and directing how the project evolves and for whom. Process-oriented indicators are useful for capturing changes over time.

*Stakeholder participation and learning*
Including all categories of stakeholders in the M&E system – especially those conventionally marginalized from core project activities – and taking into account their views and recommendations in M&E planning and implementation, creates a more robust and equitable process. This approach also greatly improves project effectiveness and responsiveness, and creates a greater sense of stakeholder accountability, ownership over project outputs and outcomes and, in the longer term, the sustainability of interventions. All actors and partners can participate in opportunities to share information and experiences, and can benefit from pooling their knowledge and participating in joint learning.

## *Gender mainstreaming*

Information systems should be designed to systematically detect and evaluate the project's impact on any quantitative or qualitative improvements in the livelihoods of women and female-headed households. This is achieved by:

■ ensuring that women (and members of vulnerable groups) have equal opportunity with men to participate in monitoring activities, develop their capacity to engage in joint learning processes to review progress, reflect on outcomes and impacts, and recommend adaptations as needed to project implementation;

■ collecting quantitative and qualitative monitoring data in a sex-disaggregated format, whenever possible, at activity, process, output, outcome and impact levels;

■ identifying sex-disaggregated performance and impact indicators to monitor changes in gender equality during the life of the project, and integrating them in the project logical framework or results framework;

■ going beyond the mere presentation of sex-disaggregated data by delving deeper in order to interpret and explain the reasons for higher participation of one sex compared with the other (see Box 26);

■ identifying specific questions for women to highlight the implications of project activities and their effects;

■ reporting on gender outreach (including regular monitoring reports);

■ preparing gender case studies and disseminating gender success stories; and

■ integrating a gender dimension in the baseline survey and mid-term review.

| **Box 26: Distinction between sex- and gender- disaggregated data** | | | | |
|---|---|---|---|---|
| | **Women** | **Men** | **Interpretation** | **Opportunities** |
| Data disaggregated by sex | 25 women trainees | 40 men trainees | More men attended 'farming as a business' entrepreneurship training than women. | Make special effort to encourage more womens' participation. |
| Gender data | Of 25 women, 80 percent headed their own households | All men were from married households | Married women were less able to attend training than their husbands or women heading their own households. This was because of their household duties, the perception that entrepreneurship training is more relevant to men (a view held by both men and women in MHHs), and a reluctance to pay fees for wives to attend. | Reduce fee for spouse attendance |
| | Women's attendance increased when training was held in afternoons | Men's attendance was constant | Women were occupied during the morning with household duties (e.g. child care and food preparation); men had no constraints on their time. | Provide food and child care facilities. Select time of training to suit women's work schedule. |

*(continued)*

| Box 26 *(continued)* | | | | |
| --- | --- | --- | --- | --- |
| | **Women** | **Men** | **Interpretation** | **Opportunities** |
| Gender data | Of 25 women, only 5 (20%) were literate | All participants were literate | Low literacy rates among women in community hindered illiterates from participating. | Provide literacy classes for women. |
| | Of 25 women, only 20 percent held leadership positions in community | Of 40 men, 75 percent held leadership positions in community | Male-dominated leadership meant that women's considerations regarding timing and selection of training venue received little attention. | Increase women's representation in leadership positions in community decision-making bodies. |

*Monitoring targeting effectiveness in demand-driven projects*

Demand-driven projects do not directly select beneficiaries. When community groups undertake participatory planning and submit their first round of proposals, it is important to analyse which categories of farmers are coming forth with what types of proposals, which farmers are taking advantage of project benefits through self-targeting or other means, and which farmers are not responding at all. Some key questions during early implementation are presented below.

*Guiding questions for targeting effectiveness*

- To what extent do the requests submitted to the project reflect the real picture of farmer demand?
- Is information being circulated adequately and timely to all to ensure wide participation?
- Are "outsiders", such as line agency staff or local authorities, imposing their own priorities on farmers?
- Are farmer groups asking for items that will be relevant to poor farmers, or those that will appeal to average farmers or mainly those that will appeal to farmers with the best resource endowment?

If the activities of interest to poor farmers are not adequately addressed, or if poor farmers are not capturing project benefits as envisaged, it may be necessary to revisit the targeting approach, eligibility criteria, participatory planning and prioritization procedures for community development plans in order to give greater weight to activities that will be of interest and benefit to the poor.

Effective targeting is not a one-off event, but requires ongoing verification, monitoring, evaluation and iterative adjustments. In addition, mechanisms for complaints and grievances are important to ensure accuracy, prevent errors and promote transparency and fairness. Systemic and inclusive community involvement at all stages will enhance accountability and help minimize the inappropriate capture of project benefits.

# Social impact assessment

## *Purpose and timing*
Social Impact Assessments (SIAs) are conducted to review the project outcomes and impacts regarding social inclusion, empowerment and resilience, as key steps towards equitable and sustainable development (see Figure 1 in the Manager's Guide). SIAs are conducted at the mid-term review and project completion. They can also be undertaken regularly during project implementation to enable negative impacts and potential risks to be captured early and managed more effectively, and to adapt project design to improve project outcomes and impacts.

## *Process*
The starting point for an SIA is the project logical framework or results framework. It is important to build the impact assessment around what was intended, rather than examine changes in every conceivable parameter of social well-being. While it makes sense to selectively assess unintended positive and negative effects in addition to the intended ones, it is not possible to cover every possible type of livelihoods change without reference to the project strategy.

Social impact methodologies should be based as much as possible on processes of participation, inclusion and consultation. These can include participatory meetings, key informant interviews, focus group discussions, case studies and group learning techniques. Consultative approaches promote transparency and build a sense of ownership, involvement and responsibility among project beneficiaries. Including all stakeholders in project assessments increases the lessons learned and the potential to expand opportunities, notably for the most poor. It also may be possible to complement the qualitative assessment methods with some quantitative surveys.

Relevant sources of secondary data for SIAs include baseline surveys, beneficiary assessments, regular monitoring reports and the mid-term review.

## *Guiding questions for SIAs*

### *Project design document*
- What was the expected chain of causes and effects leading from specific project interventions – such as the adoption of new technologies or improved management systems – to improvements in well-being?
- What were project planners' assumptions about intermediate causes and effects – for instance, the impact of improved management on productivity per hectare, and corresponding effects of higher productivity on prices and income?
- Which assumptions appear to have been correct and which seem doubtful?

### *Stakeholder beneficiaries*
- What changes have beneficiaries experienced during the project period in their asset base (e.g. cropped area, cropping patterns, input use, aggregate production and productivity per hectare, home consumption and sales, prices received and net income, increased skills, widened social networks, human capabilities)?
- What difference have these changes made to their livelihoods?
- To what extent are the changes attributable to the project as opposed to outside forces?

### *Non-adopters or negative effects*
- What were the reasons for non-adoption and negative impacts?

***Sustainable livelihoods framework***

- What has been the impact of the intervention on the asset base of different categories of households (in particular, the intended beneficiaries and people who were not intended to benefit but who may have been unintentionally affected)?
- How has the intervention affected the vulnerability context and the capacity of women and men in different categories of households to withstand and recover from shocks?
- To what extent has the intervention addressed disabling aspects of the policy and institutional environment?
- How has the intervention affected livelihood strategies?
- How has it affected livelihood outcomes (e.g. ability to mitigate, manage and overcome risks) of different categories of people?

***Gender equality and women's empowerment***

- To what extent have women been able to participate in project activities and services on an equal footing with men?
- To what extent have women become economically empowered as a result of the project?
- Have women experienced an increase in autonomy as a result of the project, including membership of farmer groups and representation in local government?
- How has women's well-being improved as a result of the project?

# Social inputs to evaluation

## Purpose and timing

Evaluations, conducted at project completion, generally focus on an accepted set of guiding parameters. One important role for the social scientist is to examine the connection between social and livelihoods issues and the following parameters:

- *relevance* of what the project offered;
- *effectiveness* in technical, financial and economic terms;
- *efficiency* in terms of time and money;
- *impact* of development interventions, whether positive or negative, direct or indirect, intended or unintended;
- *sustainability* of benefits beyond the end of the project;
- *replicability* and prospects for up-scaling the activity; and
- *connectedness* of the intervention with ongoing and planned government and donor initiatives.

## Guiding questions for social inputs to evaluation

***Relevance***

- Which items financed by the programme or project were most relevant for which categories of producers?
- How well did the project strategy and menu of activities fit with the livelihood strategies of the intended target group?
- Which categories of producers assessed project outputs to be highly relevant to their needs? Why?
- Which types of producers reported that the project was largely irrelevant to their needs?

### Effectiveness

- To what extent were project-promoted production strategies or technical innovations effective for different categories of producers and why?
- Which technical innovations were more effective for producers at the upper end of the socio-economic scale than for those at the bottom end of the scale?
- Were any technical innovations adopted and proven to be ineffective for raising farmer incomes because of inadequate consideration of the vulnerability context?

### Efficiency

- How cost-efficient was the delivery of services to different parts of the project area and to women as opposed to men? For instance, if it cost more to provide microfinance loans to female clients in rural areas, was the added cost compensated for by better repayment rates?
- Were there cost implications of ensuring that the project incorporated participatory and stakeholder engagement processes, effective transparency and communication flows?

### Impact

- What impact did the project have on the livelihoods of rural poor women and men? On their livelihood assets? And on strengthening their resilience and reducing their vulnerability?
- What impact did the project have on food and nutrition security, agricultural production and natural resource management?

### Sustainability

- For which categories of project participants are benefits likely to be sustainable? Why?
- To what extent has the sustainability of benefits been enhanced through capacity building, such as training user groups in connection with project-financed facilities, and efforts to facilitate empowerment and local ownership of project assistance?

### Replicability

- To what extent do project interventions, such as piloted technical innovations and institutional strengthening, lend themselves to wider replication within the project area?
- How likely are poorer households to adopt the same strategies as the early adopters?
- What obstacles (e.g. lack of money, disabling institutions, transaction costs, risk) prevent poor women and men from copying the early adopters?
- What complementary investments in institutional re-engineering, capacity building, rural finance or risk reduction would be needed to enable the average small-scale farmer to imitate the early adopters?
- What additional investments would be required to enable poorer farmers to adopt?

### Connectedness

- How well was the project connected with the government's poverty reduction strategy and with complementary initiatives of other developing partners concerned with decentralization, community-driven approaches, household food security, gender equity and community-based social safety nets?

# APPENDIX 1: EXAMPLES OF SUMMARY MATRICES

| Table 1A: Analysis of small-scale irrigation project components by beneficiary and equity issues, Malawi | | | | |
|---|---|---|---|---|
| **Project subcomponent** | **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 | **Beneficiaries**<br>• Farmers with land and irrigation schemes<br>**Nature of benefits**<br>• Extend growing season<br>• Diversify crops<br>• Improve irrigation agronomic practices<br>• Form water users' association<br>• Develop skills in water management and asset maintenance | • Provide labour for scheme construction or rehabilitation works and non-cash inputs (value of 15 percent of the cost of works)<br>• Form a water users' association<br>• Pay user fees<br>• Participate in maintenance works<br>• Assume responsibility for ongoing management of the scheme | • 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)<br>• Reallocation of plot if household is unable to cultivate for one season<br>• Inability of households with few able-bodied members to participate in maintenance works | • Increase transparency in plot administration, introduce grievance procedure<br>• Make allowance if household is unable to cultivate a plot for a season<br>• Identify alternatives for households with limited number of members to contribute to construction and rehabilitation work |
| Water harvesting and catchment conservation | **Beneficiaries**<br>• Poorer farmers with only rainfed land in catchments around irrigation schemes<br>**Nature of benefits**<br>• Grants for demonstration sites | • Work in groups of at least five households<br>• Construct water harvesting and conservation structures | • Activity dominated by irrigation beneficiaries | • Rainfed farmers to form own associations |
| Grants for farmer organizations for asset development, extension and marketing services | **Beneficiaries**<br>• Farmer groups (with up to 15 members) creating productive assets or improving knowledge/ skills through extension support, training and marketing<br>**Nature of benefits**<br>• Grant of up to USD 3,000 per group<br>• Joint request from groups of farmer organizations to receive grant up to USD 15,000 (with a maximum of 30 large grants in total) | • Minimum contribution of 10 percent of value of asset<br>• Extension, training and capacity building to be funded entirely by grant | • Fund dominated by irrigation scheme beneficiaries<br>• Poorer farmers and women less able to participate in groups and develop viable proposals | • Introduce quotas and graduate grant size<br>• 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 |
| Inputs for assets | **Beneficiaries**<br>• Labourers on community infrastructure projects (e.g. road rehabilitation)<br>**Nature of benefits**<br>• Receive input voucher worth approximately USD 20 | • Work for 20 days on community infrastructure asset | • Exclusion of households facing severe labour shortages<br>• Exclusion of those unable to work for deferred benefits<br>• Households for whom assets are not relevant | • Identify alternatives for poor households with limited number of members to contribute to construction and rehabilitation work |

| Table 1B: Targeting strategy matrix for agricultural service support programme, Botswana | |
|---|---|
| **Measures** | **Activities by programme component** |
| **Geographical targeting** – to focus on poorer areas | • 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) |
| **Enabling measures** – to create and sustain a policy and institutional environment favourable to gender equality and women's empowerment | **Sustainable agricultural production**<br>• Recruit more women extension staff to improve outreach among women farmers<br>**Enabling environment for smallholder agriculture**<br>• Launch Ministry of Agriculture (MOA) agricultural gender policy framework<br>• Review land tenure issues to improve access issues for women and youth<br>• Review financial services to identify and address access issues for women and youth, including seasonal credit<br>• Sensitize and build capacity of MOA senior management and operational staff in gender and youth issues<br>• Train MOA gender focal points<br>• Promote HIV/AIDS behaviour change communication among MOA staff<br>• Prepare gender and HIV/AIDS plans for agriculture in each district |
| **Empowering measures** – to give target groups at least equal chances to access project activities | **Sustainable agricultural production**<br>• Introduce annual district best performance awards for women and youth in rainfed smallholder sub-sector<br>**Service delivery to farmers**<br>• Integrate gender and HIV/AIDS issues into training and refresher courses for extension staff<br>• Ensure communication, extension materials and knowledge packages are gender sensitive (e.g. language, literacy level, topics)<br>• Ensure extension methodologies are gender sensitive and inclusive (e.g. location, timing, language)<br>• Develop farmer skills in farming as a business and entrepreneurship – record keeping, planning and savings<br>• Provide training in household planning, gender empowerment, succession planning and financial management, and promote adult literacy classes<br>• Promote linkages between ASCs and other sources of support for income generating activities for women and youth<br>• 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<br>• Conduct leadership training, particularly for men from poorer households, women and youth<br>• Support group formation and strengthening, including women/youth groups associations and networks<br>• Encourage community participation (with women and youth representation) in ASC location and service provision |

*(continued)*

## Table 1B *(continued)*

| Measures | Activities by programme component |
|---|---|
| **Direct targeting** - when services or resources are to be channelled to specific individuals or households | **Sustainable agricultural production**<br>• Establish quotas for women and youth to participate in allocation of irrigable land<br>• Establish nutrition gardens for people living with HIV/AIDS<br>**Service delivery to farmers**<br>• Develop unallocated land for the youth to lease in groups<br>• Establish quotas for women and youth to participate in community sensitization meetings, training, study tours for rainfed and irrigated lands<br>• Establish quotas for men to participate in community conversations and increase participation in home-based care for people living with HIV/AIDS<br>• Establish quotas for women and youth to participate in ASC management committees, farmer groups and associations, higher level farm organizations<br>**Enabling environment for smallholder agriculture**<br>• Adapt criteria for accessing programme-supported credit to enable women and youth to participate<br>• Repackage fund for women's projects – lower thresholds, small sums of money, easier to access<br>• Consolidate funds for youth in agriculture and enterprise development<br>• Appraise use of input vouchers or smart cards to support development of private sector |
| **Self targeting measures** – to ensure that goods and services respond to priority needs, resource endowments and livelihood strategies of target groups | **Sustainable agricultural production**<br>• Ensure programme support for draught animal power as well as tractors<br>• Support conservation agriculture technologies suitable for adoption by women, youth and poorer households<br>• Use labour-based works programmes for improving access roads to fields |
| **Procedural measures –** to establish transparency and remove obstacles in administrative procedures | **Enabling environment for smallholder agriculture**<br>• Simplify and streamline application procedures and record-keeping<br>• Translate application forms and project documents into the local language<br>• Communicate criteria for participating in project to community |
| **Operational measures –** to assign responsibility for implementing social aspects of project design | **Project management**<br>• Mainstream gender, youth and HIV/AIDS considerations into programme implementation manual<br>• Ensure terms of reference for project staff include responsibility for gender, youth and poverty targeting<br>• Discuss gender, youth and targeting issues at launch workshops, community sensitization meetings<br>• Ensure implementation partners, including private service providers, have demonstrable commitment and capacity with regard to pro-poor development, gender equality and women's empowerment |
| **Monitoring targeting performance –** to monitor outputs, outcomes and emerging impacts as they relate to target group | **Enabling environment for smallholder agriculture**<br>• Identify gender and youth sensitive indicators and incorporate in logframe<br>• Ensure gender and youth dimension in baseline survey, impact assessments, and mid-term review<br>• Collect sex disaggregated data (women, men, youth), conduct gender analysis and report on findings |

## Table 1C: Gender mainstreaming matrix for developing oilseed value chains in Uganda

| Activity | Gender and poverty issues | Possible project responses |
|---|---|---|
| Access to seeds | • Women often not directly involved in buying seeds for commercial crops<br>• When a household has limited cash, men may prefer to buy seeds for crops they have more control over | • Increase women's role in household decision-making and in knowledge of commercial crops<br>• Promote food security farmer groups for poorer households |
| Production and harvesting | • Women and/or men disadvantaged if their workloads increase as a result of value chain development without commensurate increase in access to benefits<br>• 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<br>• Observing traditional gender division of labour results in delays in certain activities (e.g. women and children harvest the crop) and reduces overall productivity<br>• Household productivity compromised by labour-intensive household tasks<br>• 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 | • Promote household planning to mobilise resources and share benefits together<br>• Encourage household to work as a unit and overcome gender division of labour<br>• Develop women's/men's skills in areas that are not traditionally considered to be in their own domain<br>• Target women and female-headed households to participate in technology development, transfer and adoption<br>• Identify and promote labour-saving technologies<br>• Change mindsets in rural community to move towards more equitable distribution of workloads between women and men<br>• Encourage skills transfer among household members<br>• Strengthen women's access to productive resources (e.g. through land titles, access to microfinance)<br>• Strengthen women's legal literacy<br>• Encourage women to grow commercial crops on group basis |
| Extension | • Women active as members of farmer groups<br>• Men often take on leadership positions | • Provide leadership training for women and men<br>• Select women to host on-farm demonstrations and field days<br>• Encourage women's participation on exposure visits<br>• Technical service provision to farmer groups |
| Marketing | • Women farmers more active in transporting small volumes to local markets by head<br>• Men dominate larger volume sales, even when crops were formerly regarded as being in the women's domain<br>• Men transport larger volumes to more distant locations using range of transport<br>• Women have more limited access to market information, less experience in negotiating skills, less experience in managing money<br>• Many farmers lack of business skills and experience of how to operate a farm as a business and produce for the market<br>• Large buyers and millers may take advantage of the weak bargaining position of many small, poorly-informed producers<br>• 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 | • Develop women's skills in managing and saving money<br>• Develop women's business, entrepreneurship and negotiation skills<br>• Promote women's self-help groups for processing, marketing, transporting and sharing market information<br>• Design strategies to provide women with more knowledge and information to enable them to make informed decisions (e.g. through community information networks)<br>• Use quotas to ensure women farmers represented at value chain development stakeholder workshops<br>• Develop HIV/AIDS competence among community members<br>• Encourage HIV counselling and testing for all value chain actors<br>• Increase understanding of risks of HIV infections associated with value chain development and discuss risks at stakeholder workshops |

*(continued)*

## Table 1C: *(continued)*

| Activity | Gender and poverty issues | Possible project responses |
|---|---|---|
| Market intermediaries | • Small independent traders and commission agents – many of whom are women - squeezed out as value chain is streamlined<br>• Smaller traders have limited capital with which to buy produce and to compete against larger buyers and millers, including those from neighbouring countries<br>• Millers strengthen farmer-miller linkages through contracts, increased use of buying agents and reluctance to buy small volumes from individual farmers | • Develop women's and small traders' business, entrepreneurship and negotiation skills<br>• Promote women's self-help groups for transporting and sharing market information<br>• Provide women's entrepreneurship awards<br>• Introduce microloans for small business ventures with no collateral requirements<br>• Provide opportunities to develop alternative livelihoods<br>• Use quotas to ensure women and small-scale market intermediaries represented at value chain development stakeholder workshops |
| Processing and value addition | • 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)<br>• Some characteristics of improved varieties (e.g. hard shell of hybrid sunflower) not suitable for local processing<br>• Loss of opportunity to diversify farm enterprises (e.g. poultry) because oilseed by-products no longer available at community level<br>• Lack of business skills in running processing and value addition activities as commercial ventures | • Ensure hygiene and food safety standards are reasonable<br>• Be aware of implications of introducing new varieties for all stages of value chain<br>• Develop women's and small traders' business, entrepreneurship and negotiation skills<br>• Promote women's self-help groups for processing and sharing market information<br>• Provide women's entrepreneurship awards<br>• Introduce microloans for small business ventures with no collateral requirements<br>• Provide opportunities to develop alternative livelihoods<br>• Use quotas to ensure women and small-scale processors represented at value chain development stakeholder workshops |
| Retailing | • 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) | • Use quotas to ensure women and small-scale retailers represented at value chain development stakeholder workshops<br>• Business skills provision to retailer groups |

The three guides demonstrate the application of social analysis to investment programmes and projects in agricultural and rural development. These guides have two overall purposes:

- to sensitize managers to the role of social analysis in the context of agriculture and rural development, and to provide guidance on how to include social analysis in regular mission work; and

- to equip those responsible for conducting social analysis with a conceptual framework, tools and checklists for conducting the fieldwork, and designing project activities based on the findings.

The **Manager's Guide,** addresses the needs of project managers and team leaders. It describes:

- the main parameters of social analysis in the context of agricultural and rural development investments, and the conceptual approach which underpins the three guides;

- the use of social analysis from three perspectives:
  - international agencies;
  - development approaches;
  - the programme cycle;

- management aspects of conducting social analysis – such as recruitment, roles and responsibilities.

The **Practitioner's Guide** deals with the 'why and what' questions in depth, building on the conceptual approach presented in the Manager's Guide. It describes:

- the sustainable livelihoods framework for understanding the dynamics of rural poverty and livelihoods, social diversity and gender in the context of agriculture and rural development;

- the main entry points for conducting social analysis;

- the range of inputs that may be made to project design;

- how the findings and recommendations are drawn together into a technical paper and summary matrices;

- tools for tracking social aspects of development.

The **Field Guide** provides practical guidance on the fieldwork aspects of social analysis, based on the framework for examining rural livelihoods presented in the Practitioner's Guide. It considers:

- the practical aspects of integrating social analysis into missions;

- data collection activities and checklists for work at the national, regional and district levels and in community-based discussions, focus group discussions and individual household interviews;

- participatory tools suitable for social analysis fieldwork.

# SOCIAL ANALYSIS FOR AGRICULTURE AND RURAL INVESTMENT PROJECTS

## FIELD GUIDE

# SOCIAL ANALYSIS FOR AGRICULTURE AND RURAL INVESTMENT PROJECTS

## FIELD GUIDE

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# ABBREVIATIONS AND ACRONYMS

| | |
|---|---|
| AEZ | Agro-ecological Zone |
| CAADP | Comprehensive Africa Agriculture Development Programme |
| CBO | Community-based Organization |
| FAO | Food and Agriculture Organization |
| FHH | Female-headed Household |
| FRELIMO | Frente de Libertação de Moçambique |
| HH | Household |
| HIV/AIDS | Human Immunodeficiency Virus / Acquired Immune Deficiency Syndrome |
| MHH | Male-headed Household |
| M & E | Monitoring and Evaluation |
| NGO | Non-governmental Organization |
| RENAMO | Resistëncia Nacional Moçambicana |
| UNAIDS | Joint United Nations Programme on HIV/AIDS |
| UNDAF | United Nations Development Assistance Framework |
| UNDP | United Nations Development Programme |
| UNFPA | United Nations Population Fund |
| UNICEF | United Nations Children's Fund |
| WFP | World Food Programme |

# 1. INTRODUCTION

International financing agencies and borrower governments have committed themselves, through the Millennium Development Goals (MDGs), to pro-poor growth and proactive investment in poverty reduction, food security and nutrition. Most have also committed themselves to social development goals, such as equitable development, gender equality, social protection and peace.

With the majority of the world's poor living and working in rural areas, investment in agriculture and rural development can significantly contribute to these goals. However, contrary to the general assumption that any growth-oriented investment in the agricultural sector effectively reduces poverty, experience has shown that untargeted investment to increase agricultural production is relatively ineffective in reaching the poor.

Social analysis is instrumental in designing and implementing successful pro-poor policy and institutional reforms and poverty-targeted investment programmes and projects. It is fundamental for understanding the complexities of social diversity, gender and the various dimensions of poverty (e.g. low income, lack of assets, vulnerability, exclusion, powerlessness, lack of voice and an inability to withstand shocks). The social analysis perspective enables planners and practitioners to put the human dimensions – stakeholders, target groups, intended beneficiaries or other affected people – at the centre of development interventions.

## Applications in agriculture and rural investment

Although many manuals and user guides on social analysis exist already, most neglect its application to agriculture and rural investment. To address this gap, FAO's Investment Centre Division has developed three complementary guides in a series entitled 'Social analysis for agriculture and rural investment projects.' The Investment Centre recognizes that work in designing, supervising, supporting and evaluating agricultural and rural investment programmes and projects will be more relevant, effective and sustainable if it is based on an understanding of the socio-economic environment, livelihoods and people's development priorities.

The three guides provide guidance for the application of social analysis to investment programmes and projects in agricultural and rural development. Their main messages include:

- Agricultural investment must be designed to be proactive, people-centred and socially inclusive from the earliest stages of the programming and project cycle;
- Social analysis strengthens the capacity of agricultural investment to reduce rural poverty and to create socially inclusive, gender-equitable and sustainable development outcomes;
- An interdisciplinary and holistic approach to social analysis is required to appreciate the interface between social issues and the technical, institutional and economic aspects of project design, and to ensure that overall programme objectives are sensitive to relevant aspects of the socio-economic and cultural environment;
- Social analysis is a cross-cutting issue which should permeate all programme activities and not be confined solely to the interests of the social scientist;
- The social scientist reflects the priorities of the intended beneficiaries and others in negotiations with government and donors regarding agricultural investments;
- The process of social analysis contributes to building local ownership and mutual understanding of investment programmes among the financing agency, government and intended beneficiaries, and enhances the capacity of local actors to implement them;

■ Social analysis is applicable at all stages of the programming and project cycle and for all types of agricultural investments.

## How to use the series

These guides have two overall purposes:

■ to sensitize managers to the role of social analysis in the context of agriculture and rural development, and to provide guidance on how to include social analysis in regular mission work; and

■ to equip those responsible for conducting social analysis with a conceptual framework, tools and checklists for conducting the fieldwork and designing project activities based on the findings.

The **Manager's Guide,** addresses the needs of project managers and team leaders. It describes:

■ the main parameters of social analysis in the context of agricultural and rural development investments, and the conceptual approach which underpins the three guides (section 2);

■ the use of social analysis from three perspectives:

  ▪ international agencies (section 3);

  ▪ development approaches (section 4);

  ▪ the programme cycle (section 5);

■ management aspects of conducting social analysis – such as recruitment, roles and responsibilities (section 6).

The **Practitioner's Guide** deals with the 'why and what' questions in depth, building on the conceptual approach presented in the Manager's Guide. It describes:

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■ the main entry points for conducting social analysis (section 3);

■ the range of inputs that may be provided to project design (section 4);

■ how the findings and recommendations are drawn together into a technical paper and summary matrices (section 5);

■ tools for tracking social aspects of development (section 6).

The **Field Guide** provides practical guidance on fieldwork aspects of social analysis, based on the framework for examining rural livelihoods presented in the Practitioner's Guide. It considers:

■ practical aspects of integrating social analysis into missions (section 2);

■ data collection activities and checklists for work at national, regional and district levels, and in community-based discussions, focus group discussions and individual household interviews (sections 3 to 7);

■ participatory tools suitable for social analysis fieldwork (section 8).

# 2. INTEGRATING SOCIAL ANALYSIS INTO MISSION WORK

This section explains how data for social analysis may be collected and analysed in the context of an agricultural and natural resources management mission. The approach is pragmatic, adapting the process required for analysing the socio-economic context of rural livelihoods to the time and resources available on a typical mission.

## Mission structure

Conducting social analysis as an integral part of a mission is a very different task than undertaking a fully-fledged, independent diagnostic study. The latter would usually involve a team of three to six social scientists spending two to three weeks in the field, followed by a further period for data analysis, interpretation and development of recommendations.

Much of project design, supervision and evaluation work undertaken on behalf of international agencies is done through short visits (missions) to developing countries. Project design missions usually take around three weeks (Box 1). Supervision and evaluation missions are usually shorter; they last about two weeks on average.

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**Box 1: Profile of a typical mission**

- Advance preparation (duration varies with lead time and familiarity with the country)
- Initial meetings with government and international donors in the capital city (2-5 days)
- Travel to project area and meeting with key officials (1-2 days)
- Field visits in the company of implementing partners (7-10 days)
- Informal wrap-up meeting with officials in the project area (2 hours)
- Return to capital city (½ day – 2 days)
- Additional meetings in capital city to reach agreement on the mission's recommendations (1-2 days)
- Drafting of an aide memoire (1-2 days)
- Wrap-up meeting(s) with key government officials, other stakeholders and donors (2 hours)
- Finalizing report at agency headquarters or home base (duration varies with the complexity of mission and recommendations)

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Under such time pressure, does it make sense to attempt a rapid field analysis of socio-economic conditions and livelihoods in the context of project design, implementation support and evaluation missions? The answer is "yes": even a rapid diagnostic has the potential to make an important difference for development projects and their poverty outcomes.

Usually one person undertakes the social analysis, spending five to ten days in the field, together with other mission members who each have their own agenda. The social scientist can play a catalytic role in bringing a holistic approach to the mission by working in an interdisciplinary manner with other team members. This ensures that the social aspects of project design are realistic and in line with the overall programme objectives, and that the outputs of other mission members are sensitive to the relevant aspects of the socio-economic and cultural environment. Mission work can also present a good opportunity for capacity building by appointing a national counterpart to work alongside an international consultant.

# Approach for conducting social analysis

The proposed approach builds on what most missions are doing already. It involves the following elements and steps (which are illustrated in Figure 1):

◼ **Review secondary data** prior to mission (2-3 days, home-based)
- Review country and regional documents in thematic areas of poverty reduction, agricultural strategies, rural livelihoods and institutions, gender, youth and HIV/AIDS;
- Review project-related documentation (e.g. project concept note and donor corporate, regional and country strategy documents).

◼ **Inception meeting** with stakeholders (2-4 hours, either in the project area or the capital city)
- Introduce mission members to stakeholders and vice versa;
- Discuss the mission's terms of reference;
- Brainstorm on key questions to be addressed by the mission;
- Identify farming and livelihood systems;
- Agree on what specific geographic areas and activities the mission should visit, selecting at least one site per agro-ecological zone (AEZ) (often the general geographical coverage of the project has been determined prior to the mission's arrival).

◼ **Key informant interviews** at national, regional, district and subdistrict levels (1/2 day for each district)
- Meet relevant public administration officials and project implementation unit (if any);
- Meet elected local government councils;
- Meet with non-governmental organizations (NGOs), civil society organizations and private sector representatives.

◼ **Community-level fieldwork** (5-10 days depending on time availability, diversity in project coverage, size of team etc.)
- Select villages typical of different AEZs, ethnic groups, production or livelihood systems (3 –7 villages, depending on how much time is available for fieldwork);
- Conduct community-level investigations, group meetings and household (HH) interviews (around 1 day per 1-2 villages);
- Debrief team members after fieldwork and undertake continuous qualitative data analysis.

◼ **Summarize findings and draft recommendations** (2 days)
- Analyse data from social perspective;
- Analyse proposed project interventions from socio-economic perspective (cross-cutting analysis);
- Present main findings and discuss with mission members;
- Contribute to designing activities based on social analysis, including target group identification, targeting strategy and gender mainstreaming activities;
- Prepare outline for working paper;
- Make inputs to aide memoire.

◼ **Wrap-up meeting** (2-4 hours)
- Share findings and discuss implications with in-country stakeholders.

◼ **Finalize report** (5-10 days)
- Prepare full working paper, including costs when relevant;
- Write inputs for main report;
- Provide inputs into summary matrices and logical framework;
- Provide inputs into project implementation manual.

## Figure 1: Flow chart for rapid diagnostic study during a mission

**Inception – brainstorming and study planning**
- ✓ Identify key project design/implementation questions
- ✓ Zoning – identify farming and livelihood systems
- ✓ Site selection = 1 or 2 sites, 1 per AEZ / livelihood system

**National and regional levels**
- ✓ Collect secondary data
- ✓ Key informant interviews

*Fieldwork*

**District level**
- ✓ Relevant officials in district administration
- ✓ Local government councils
- ✓ Local NGOs / civil society
- ✓ Private sector (e.g. input suppliers, traders, transporters)
- ✓ Traditional authoritie s

**Community profile 1**
* Key informants
* Community meetings
* Focus groups
* Household profiles

**Community profile 2**
* Key informants
* Community meetings
* Focus groups
* Household profiles

**Community profile 3**
* Key informants
* Community meetings
* Focus groups
* Household profiles

| HH 1 | HH 2 | HH 3 |
| HH 1 | HH 2 | HH 3 |
| HH 1 | HH 2 | HH 3 |

**Ongoing analysis (in the field)**
- ✓ District institutional profile(s)
- ✓ Community profiles
- ✓ Household profiles
- ✓ Analyse linkages between institutions and livelihoods
- ✓ Draw preliminary implications for project

**Mission brainstorming: cross - cutting analysis**

**Wrap-up meeting with in-country stakeholders**
- ✓ Findings and implications for project design, implementation or evaluation

# Practical insights for social analysis fieldwork

This section provides practical insights that will facilitate fieldwork, making the process both effective and efficient.

## *Bring a holistic approach to mission fieldwork*

- Work closely with other team members in an interdisciplinary manner and strengthen cross-sectoral teamwork;
- Brainstorm regularly during fieldwork, in order to share insights and strengthen each other's understandings;
- Enhance the voice and power of the intended beneficiaries and other affected people during negotiations with government and donors regarding agricultural and rural development investments.

## *Capture the livelihood experiences of people who are often overlooked*

- Meet women, men and youth in separate groups in order to generate the broadest range of views and opinions;
- Involve all those present in structured discussions so that quieter people can make contributions and proceedings are not dominated by a few;
- Record all viewpoints, not just those of the more articulate;
- Ensure that individual households interviewed reflect the diversity within a community; there can be a tendency to visit households that are well-known by village leaders or extension staff. Make random visits to people living in poorer housing or to those with fewer assets;
- Include at least one or two women in the fieldwork team, if possible, such as counterparts from the extension service or community development, to enable women members of the community to feel more at ease and to express themselves more freely.

## *Recognize diversity in rural communities and livelihoods*

- Understand that rural communities and livelihoods are heterogeneous;
- Collect data from different communities within the same farming system in order to distinguish between generic and location-specific findings;
- Keep an open mind. If different pictures are emerging about the same topic, tease out the findings through more enquiries rather than rejecting conflicting information.

## *Make data collection interesting, relevant and participatory*

- Make conversations lively and interesting for participants, even when it is not possible to do full participatory processes;
- Listen, observe, probe and learn, rather than dominate discussions;
- Conduct fieldwork in a participatory manner, ask open-ended questions when appropriate and record the answers as fully as possible;
- Avoid leading questions (i.e. where questions lead to a specific answer), closed questions (i.e. where answers are either yes or no) and repetitive questions;
- Keep discussions on track and avoid being distracted by other people's agendas;
- Seek breadth by asking similar questions from different respondents across the same level;
- Seek depth by asking more specific questions as the enquiry moves closer to rural communities, households and individuals;
- Ask people questions on topics about which they are likely to know;

- Show interest and respect (see Box 2), and handle awkward answers tactfully. An awareness of body language is helpful;
- Find ways to help the participants feel relaxed and interested;
- Use visual methods of recording data, such as drawing maps or completing matrices, to increase community participation, interest and ownership;
- Observe an appropriate time limit on interviews and provide opportunities for informants to ask questions.

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### Box 2: Rights of participants and household interviewees

Any interviewee has the right to:

- not be asked personal questions about someone other than a very close dependant;
- not be subjected to enumerator behaviour that is ill-mannered, overbearing, threatening or patronizing;
- not have his/her courtesy, tolerance and patience strained by excessive questioning and visits that are too frequent;
- privacy, including the right to withhold personal information.

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*Strengthen the validity of data through triangulation*
- Increase the confidence of working with qualitative data by asking similar questions from different sources, from within a community and from key informants outside a community;
- Use a multiplicity of approaches, methods and tools to explore and analyse information from a number of different sources (known as triangulation);
- Cross-check and validate information gathered during fieldwork, by combining types and numbers of respondents with different methods for collecting information. This increases the reliability of the information, thereby increasing the opportunity to get as full an understanding as possible of different and common needs and priorities of households and communities, which in turn will improve project responses.

*Seize the opportunity and collect information wherever you are*
- Get out and meet people in any location and at any time; data collection does not always have to be formal;
- Conduct individual interviews at people's homes in order to see the style of housing and household assets associated with a particular wealth or livelihood group; this will allow a greater understanding of what it is like to be rich, middle wealth or poor;
- Interview people in other locations, such as markets, grain mills, water points etc., especially if they are relevant to the project theme. Random interviews can be placed in context with reference to the wealth ranking information.

*Observe and experience rural livelihoods*
- Go to the beach when boats come in from overnight fishing;
- Visit fields when farmers are preparing the land with draught animals or by hoe;
- Walk with forest users to harvest wild honey.

### Continue to learn and respond to findings

■ Approach the understanding of rural livelihoods as an ongoing process;

■ Understand that information gathering during a mission is not definitive: the mission does not need to know everything about the community in which it is working. Similarly, once the community profile has been "completed", it does not mean that there is nothing more to learn about the community as a whole.

## Data sources and fieldwork methods

This guide focuses on the main sources of data and fieldwork methods for social analysis, based on the data collection flow presented in Figure 1. Sections 3 to 7 address who to meet at various levels of enquiry – including at national, regional, district and community levels – and present checklists of topics to discuss. Selected participatory field tools are described in section 8. Linkages to materials on participatory methodologies and field tools available from FAO and other sources are presented in Appendix 1.

> *Further details about conducting social analysis, designing inputs based on social analysis and putting the package together are presented in the Practitioner's Guide*

# 3. COLLECTING INFORMATION AT NATIONAL AND REGIONAL LEVELS

This section lists useful sources of secondary data, identifies who to meet at national and regional levels, and presents a checklist of topics to discuss (see Box 3).

## Box 3: Tips on using checklists

It is important to recognize that the checklists of questions presented at each level of enquiry are not exhaustive. It is necessary to:

- select topics that are relevant to the person or persons being interviewed;
- adapt questions in order to be relevant to the local context;
- focus on topics that reflect the interests and priorities of the organization undertaking the study.

## Secondary data sources

Secondary data may be identified during meetings with key informants at the national and regional levels, as well as through Internet searches. Relevant documents include, but are not limited to, the following:

### National documents

Vision 2020

National development plan

Public expenditure review

Poverty reduction strategy paper

Annual poverty monitoring report

National data from central statistical office

Annual progress on the Millennium Development Goals

National policy on gender

National policy on youth

National policy on HIV/AIDS

Agricultural sector review

Agricultural sector strategy/policy framework

Comprehensive Africa Agriculture Development Programme (CAADP) reports

National agricultural investment programme

Rural development strategy

Agricultural strategy/policy framework on gender

Agricultural strategy on youth

Agricultural strategy on HIV/AIDS

### Multilateral and bilateral agency documentation

UNDP annual human development report data

UNAIDS annual data

UNICEF reports

UNDP country report

UNAIDS country report

UNDAF country framework

UN country assessment

Donor agencies' country strategies

## Purpose and timing of meetings

Interviews with key informants at the national and regional levels are very useful early in the mission for:

- outlining the proposed project in broad terms, and discussing its relevance at national or regional levels;
- identifying farming and livelihood systems and AEZs;
- discussing the broad aspects of poverty, rural livelihoods, gender issues, challenges facing rural youth and the status of the HIV/AIDS epidemic;
- fact finding and gaining an understanding of the nature of policy and institutional responses; and
- identifying relevant documentation, such as policies, surveys, papers, studies and annual reports.

Similar meetings may be held towards the end of the mission, after the fieldwork, for:

- confirming and clarifying fieldwork experiences; and
- soliciting feedback on the proposed design of activities.

During any such interview, it is important to be alert to:

- identifying participants who have useful insights on social issues and who can provide guidance on project design and implementation, in order to invite them to the mission wrap-up meeting; and
- identifying potential partners to assist with project implementation.

## Who to meet

| Sector | Organizations to visit | People/departments to meet |
|---|---|---|
| Government and national bodies | Ministry of Agriculture and/or Rural Development | • Ministry/departmental gender, youth or HIV/AIDS focal points<br>• Head of rural sociology<br>• Head of extension services<br>• Members of gender, youth or HIV/AIDS committees |
| | Ministry of Gender/ Community Development/ Social Affairs | • Head of gender<br>• Head of youth<br>• Head of community development<br>• Head of disability |
| | Ministry of Local Government | • Head of decentralized planning |
| | National AIDS Council | • People with specialist interest in interface between HIV/AIDS and gender, youth and rural livelihoods |
| | Research institutes, universities and other relevant academic bodies | • Rural sociology<br>• Ethnology<br>• Gender/Women's Studies |
| Quasi-government | Project management unit (if already established) | • Head of project management unit<br>• Person with responsibility for targeting, gender and/or HIV/AIDS mainstreaming<br>• M&E officer |

*(continued)*

| Sector | Organizations to visit | People/departments to meet |
|---|---|---|
| Donors | Multilaterals<br>UN agencies (UNDP, FAO, UNAIDS, UNICEF, UNFPA, WFP)<br>Bilaterals | • People with specialist interest in gender, youth, HIV/AIDS and rural livelihoods |
| Civil society | NGOs, apex and umbrella organizations (such as producer associations, women's advocacy groups, youth councils, people living with HIV/AIDS associations, people with disabilities associations) | • People with specialist interest in gender, youth, HIV/AIDS, disabilities and rural livelihoods |
| Private | Agribusinesses<br>Agricultural service providers | • People with a specialist interest in rural livelihoods – especially for value chain projects |

# National and regional-level checklist

***Demographic context***
- Describe the population (rural/urban), demographic trends (population growth rate), settlement patterns;
- Describe the demographic pyramid by sex and age – youths (female, male) as a percentage of the total population, implications of gender and age imbalances;
- Describe migration – by sex, age and type (seasonal, permanent, circular), role of youth in migration; destinations of migrants who leave the area (male/female, young/old); origins of migrants (male/female, young/old) entering the area.

***Poverty***
- How is poverty defined in the country?
- What are the poverty data for urban/rural areas, women/men, male-headed and female-headed households, youth?
- Where are the poorest regions of the country: poverty rates, incidence and depth?
- What are the main causes and characteristics of rural poverty? What are the main coping mechanisms?
- Are there any gender-based differences in rural poverty: characteristics of poor women and men, sources of vulnerability, coping mechanisms, ability to recover?
- What have been government policy and institutional responses to poverty: policies, institutions, support mechanisms, safety nets?

***Food and nutrition security***
- Are there sufficient quantities of appropriate foodstuffs from domestic production and commercial imports for the population? Are they available throughout the year? Are prices stable throughout the year?
- Do individuals have adequate incomes or other resources to purchase or barter food? Are they able to consume an adequate diet and nutritional level throughout the year?

- Do they have access to safe water, good sanitation and basic health care to enable them to utilize food properly? Do they have adequate knowledge of basic nutritional facts, food processing and storage practices?
- How do food access, food expenditures, food and nutrition security, and coping strategies differ among different livelihood and socio-economic groups?

### Gender
- What are the main social gender issues in the country? Literacy? Education and skills levels? Health (HIV/AIDS, maternal mortality)? Household responsibilities? Care for other household members? Limited opportunities in economic and political life? General well-being?
- What are the main productive gender challenges in agriculture and the rural economy? Employment? Workloads, access and control over resources and benefits? Participation in decision-making?
- Is there any relationship between gender and poverty? If so, why?
- What is the incidence of female-headed households? Reasons why? What is their general socio-economic status?
- What influence do cultural values and norms have on roles of women and men? And rural livelihoods?
- What are government policy and institutional responses to gender imbalances and inequalities? Are there initiatives to mainstream gender and empower women?
- What responses come from within the agricultural sector?

### Youth
- What are the main social youth issues in the country? School enrolment rates (girls/boys) and reasons for drop-out? Education and skills levels? Health (HIV/AIDS)? Limited opportunities in economic and political life? Rural-urban migration rates among youth? General well-being?
- What are the main productive youth challenges in agriculture and the rural economy? Employment? Access to productive resources? Participation in decision-making? In which rural livelihoods do youth engage?
- Is there any relationship between youth and poverty? If so, why?
- What influence do cultural values and norms have on the role of youth?
- What are government policy and institutional responses to youth issues?
- What responses come from the agricultural sector?

### HIV/AIDS
- What is the current status of the epidemic: HIV prevalence rate; annual number of new infections and AIDS-related deaths; data and trends for rural/urban, women/men, youth, orphans and vulnerable children?
- What are the characteristics of the rural epidemic: prevalence rates, main drivers of rural epidemic, impact on livelihoods and coping mechanisms?
- What have been the responses from government policy, institutional and civil society?
- What are the current challenges in addressing the epidemic: e.g. stigma, discrimination, denial, expense of health care, limited access to anti-retrovirals and facilities?

# 4. COLLECTING INFORMATION AT THE DISTRICT LEVEL

This section identifies who to meet at the district level and presents a checklist of topics to discuss.

*See tips on using checklists in Box 3, section 3.*

## Purpose and timing

This level of enquiry mirrors, to a large extent, data collection at the national and regional levels. These visits usually take place at the beginning of fieldwork in a specific district.

The purpose of district meetings is to:
- outline the proposed project in broad terms, and discuss its relevance at the district level;
- gather additional information about local farming systems, AEZs, rural livelihoods, local institutions and community development;
- gain more in-depth information about district-specific differences and experiences of poverty, gender, youth and HIV/AIDS issues;
- seek the support of the district to conduct the fieldwork and identify suitable staff to accompany the mission to the field;
- identify key informants to attend the mission wrap-up meeting in the capital; and
- identify potential implementation partners.

If the mission is spending some time in a district, it may also be useful to hold district-level wrap-up meetings to provide feedback from the fieldwork.

# Who to meet

| Sector | Organizations to visit | People to meet |
|---|---|---|
| Government | District staff from Ministry of Agriculture and/or Rural Development | • Gender, youth or HIV/AIDS focal points<br>• Extension officer<br>• Members of district gender, youth or HIV/AIDS committees |
| | District staff from Ministry Gender/ Community Development/ Social Affairs/ Education/ Local Government | • Gender officer<br>• Youth officer<br>• Community development officer<br>• Planning officer<br>• Disabilities officer<br>• Members of district gender, youth or HIV/AIDS committees |
| | Health services | • HIV/AIDS services (provision of voluntary counselling and testing, anti-retrovirals)<br>• Health posts |
| Political | Local government councils | • People with specialist interest in gender, youth, HIV/AIDS and rural livelihoods |
| Civil society | NGOs and community-based organizations (CBOs) for women, youth, people living with HIV/AIDS, home-based care, people with disabilities, orphans | • Producer organizations<br>• Income-generating groups<br>• Self-help groups<br>• Adult literacy classes |
| Private | | • Input suppliers<br>• Transporters<br>• Market intermediaries: traders, wholesalers<br>• Processors<br>• Retailers |

# District-level checklist

### District farming and rural livelihoods

- What are the main farming and livelihood systems in the district: rainfed crops, irrigated crops, livestock, forest and non-forest products, off-farm activities?
- Are there any differences in livelihood strategies and outcomes between households headed by men and those headed by women and, if so, why?
- What are the main sources of vulnerability facing different livelihood systems? Impact of shocks on different socio-economic categories of people? What are the usual coping mechanisms? How successful are they?
- What are the trends in living standards in rural communities? What are the reasons for improvement/decline?

### Poverty

- How is poverty defined in the district?
- What are the poverty data for urban/rural areas, women/men, male-headed and female-headed households, youth?
- Where are the poorest regions of the district? What are the poverty rates?
- What are the main causes and characteristics of rural poverty in the district? What are the main coping mechanisms?
- Are there any gender-based differences in poverty: characteristics of poor women, sources of vulnerability, coping mechanisms, ability to recover?
- What have been district responses to poverty: policies, institutions, support mechanisms, safety nets?

### Food and nutrition security

- Does the district population have access to sufficient quantities of appropriate foodstuffs from domestic production and commercial imports? Are they available throughout the year? Are prices stable throughout the year?
- Do individuals have adequate incomes or other resources to purchase or barter food? Are they able to consume an adequate diet and nutritional level throughout the year?
- Do they have access to safe water, good sanitation and basic health care to enable them to utilize food properly? Do they have adequate knowledge of basic nutritional facts, food processing and storage practices?
- How do food access, food expenditures, food and nutrition security and coping strategies differ among different livelihood and socio-economic groups?

### Gender

- What are the main social gender issues in the district? Education and skill levels? Literacy? Health (HIV/AIDS, maternal mortality)? Household responsibilities? Care for other household members? Limited opportunities in economic and political life? Freedom of movement? General well-being?
- What are the main productive gender challenges in agriculture and the rural economy in the district? Employment? Workloads, access and control over resources and benefits? Participation in decision-making?
- Is there any relationship between gender and poverty? If so, why?
- What is the incidence of female-headed households? Reasons why? What is their general socio-economic status?

- What influence do cultural values and norms have on roles of women and men? And rural livelihoods?
- What have been the district's responses to gender imbalances and inequalities? Initiatives to mainstream gender and empower women? Any specific responses from the agricultural sector?

### Youth

- What are the main social youth issues in agriculture and the rural economy in the district? Education and skill levels? Health (HIV/AIDS)? Limited opportunities in economic and political life? Rural-urban migration rates among youth? General well-being?
- What are the main productive youth challenges in the district? Employment? Access to productive resources? Participation in decision-making? In which rural livelihoods do youth engage?
- Is there any relationship between youth and poverty? If so, why?
- What influence do cultural values and norms have on the role of youth?
- What have been the district's responses to youth issues? Any specific responses within the agricultural sector?

### HIV/AIDS

- What is the current status of the epidemic in the district: HIV prevalence rate; annual number of new infections and AIDS-related deaths; data and trends for rural/urban, women/men, youth, orphans and vulnerable children?
- What are the characteristics of the district rural epidemic: main drivers of the epidemic, impact on livelihoods and coping mechanisms?
- What is the nature of service provision in the district: voluntary counselling and testing, anti-retrovirals, preventing mother-to-child transmission, home-based care?
- What has been the nature of civil society responses?
- What are the current challenges in addressing the epidemic?

### Institutional mapping

- What are the main institutions in the district involved in agriculture and the rural economy: what do they do (economic, social, political, other) and how?
- What is the composition of each institution: membership and leadership? What are their relative strengths and weaknesses? What support have they received and from whom?
- What are the linkages between different institutions: with whom and for what purpose?

### Community development

- What are agency policies and activities regarding community-driven development? What are their implementation progress or potential?
- What perceived constraints exist for bottom-up development and for reaching the poor?
- Describe experiences and views on who (e.g. government, NGOs, private sector) should deliver what assistance to whom and how.
- What are the local power structures and their implications for reaching the poor?

# 5. COLLECTING INFORMATION AT THE COMMUNITY LEVEL

This section identifies who to meet at the community level and presents checklists of topics to discuss. Linkages are given to the relevant field tools described in section 8.

*See tips on using checklists in Box 3, section 3.*

## Purpose

The purpose of meeting at the community level is to enable mission members to:

- understand the dynamics of farming and rural livelihoods, vulnerabilities and seasonality in the community;
- understand the context in which households and local institutions operate so that they can identify linkages;
- decide which household livelihood strategies to investigate in more detail;
- decide which local institutions might be important for household livelihood strategies and need to be investigated in more depth; and
- design and implement more effective and sustainable projects.

## What is a community?

It is important for missions to work with a pragmatic concept of the rural community. It should be a social reality of operational significance, which can be easily identified in practice. The definition of community in Box 4 implies that:

- a community is a territory;
- all residents in the territory know each other, or are in a position to do so easily; and
- community members share institutions of local public governance.

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**Box 4: Definition of "community"**

A "community" refers to the locus where all members of a group of people having some form of collective claim over a territory and recognizing some form of collective governance can be given the opportunity to influence decisions in matters of public choice that affect their livelihood (i.e. the locus where direct participatory democracy is a concrete possibility).

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## Who to meet

It is essential for missions to interact directly with a wide range of community stakeholders in order to be aware of and appreciate community-based realities. There can be a tendency for missions to rely too heavily on the opinions or priorities of key informants at various administrative levels in the project area; however, their perspectives may differ from those of the community members.

| Community stakeholder groups | People to meet |
|---|---|
| Frontline government staff | • Agriculture staff<br>• Community development staff<br>• Education staff<br>• Health staff |
| Elected officials | • Village chairperson<br>• Members of committees (e.g. village development, agriculture, irrigation, women, youth, health) |
| Traditional leaders | • Cultural leaders<br>• Religious leaders |
| CBOs: leaders and members | • Producer groups<br>• Income-generating activity leaders/participants<br>• Self-help groups<br>• Adult literacy class members<br>• Home-based care groups |
| General public | • Women<br>• Men<br>• Youth<br>• People living with HIV/AIDS<br>• People with disabilities<br>• Private sector (e.g. agrodealers, traders, middlemen, processors, transporters, retailers) |

Community meetings should comprise community leaders and representatives from key groups and associations, with adequate participation by women and the youth. Criteria may be set to ensure the desired composition (see Box 5). A typical meeting may have 50 to 70 community members; such a large number enables different mission members to meet with smaller groups and conduct discussions on different topics simultaneously. It is also possible to have a community meeting with 20-25 participants. A community meeting should last no more than 1.5 - 2 hours.

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

Frontline government staff can assist in liaising with community leaders and calling community members to attend the meeting. During community meetings, their role is to facilitate, rather than lead, the discussions. Interviews can be held with them separately.

Tips on organizing and conducting meetings are presented in Box 6.

## Box 6: Tips on conducting meetings

### *Forming the meeting*

- In order to ensure the correct composition of participants at a meeting, give clear guidance to the person inviting participants to attend (such as the frontline government staff or community leaders) about:
  - the purpose of the meeting and its format;
  - the preferred number and composition of participants (e.g. specify a maximum of about 50 participants, at least half of whom are to be women, including wives from households headed by men, women heading their own households and young single women);
  - the likely duration of the meeting.
- Ensure the venue will be accessible to all (e.g. location, suitability);
- Ensure the timing is suitable and fits in with people's daily work schedule and seasonal activities;
- Make provision for interpretation, if necessary;
- Make provision for child care.

***Beginning the meeting***

- Explain the purpose and scope of the enquiry in order to avoid raising expectations among community members;
- Introduce the team members and their areas of interest;
- Invite participants to introduce themselves and describe their membership in organizations or livelihood activities; this information is useful for forming focus groups.

***Forming focus groups***

- If there are many participants, the social scientist may meet with a small focus group (e.g. women smallholders or the youth) at the same time as the general meeting;
- If there is more than one social scientist in the team, work with separate groups in order to increase the amount of information gathered from different perspectives.

***Using time***

- The number of topics discussed and participatory tools used depends on the time available;
- Discussions take much longer when working through interpreters;
- Depending on the composition of the meeting, select the most appropriate topics to discuss and field tools to use (if any);
- With each group (whether it is a community meeting or focus group), only use up to two participatory tools;
- Be aware of information prioritization, so that if time is short, it is possible to focus on the most critical topics;
- If time is short, omit the community-level meetings and proceed to focus group discussions in some communities, and omit the focus group discussions in other communities;
- Always try to supplement key informant or group discussions with one or two individual household interviews.

***Prior to closing***

- Share and explore findings of different groups with the community in plenary;
- Before ending the exercise, reiterate the purpose of the study, thank the community for their cooperation and provide an opportunity for questions;
- Review the collected data and seek clarification, if necessary;
- Identify participants for follow-up focus group discussions or for individual household interviews.

## Community-level checklists

The community-level checklist is divided into five thematic areas: socio-economic context; wealth ranking and livelihoods analysis; institutional and stakeholder analysis; priorities, needs and opportunities; and project-related considerations.

There may be insufficient time to collect all the information from every community visited. In order to make the best use of the time available, collect different information from different communities and groups, rather than replicating the same data collection process at each site. For example, focus on wealth ranking in one community, on institutional profiles in another community and on the seasonal calendar in another, especially if they are all within the same AEZ and farming system.

## Community checklist 1: Socio-economic context

### Community history and trends
- How long has the community been in existence and how was it founded?
- When did different social, economic, ethnic and cultural groups settle in the community?
- How has the community changed over time and what has caused those changes?

### Community resources
- What are the main natural resources available to the community (e.g. forests, grazing land, water bodies, wild products)? Where are they located?
- Who uses them and how are they used? Who does not use them?
- Who makes decisions about the use of natural and physical resources in the community and how are those decisions reached (i.e. what are the centres of decision-making)?
- What access to land and water resources do different wealth groups have (e.g. by typical farm size, range of variation, landlessness)?
- What access and control do different wealth groups have over common property resources?
- How does the historical, political and institutional context influence access to assets?

### Community infrastructure
- What services are available in the community (e.g. transport, power and water supply, markets, agricultural extension, health, education)?
- Who has access to these services? Who uses the services most and why?
- How expensive are the user fees for these services?
- What are the community views on the relevance, quality, timeliness and affordability of services?

> **Link to field tools:**
> 1: Historical timeline
> 2: Natural and livelihoods resource map

## Community checklist 2: Wealth ranking and livelihoods analysis

### Community structure
- How many people and households live in the community?
- What is the gender composition and age structure of the community and households?
- What different social, economic, ethnic and cultural groups are there in the community? What are the relationships among these groups? How are those groups defined?
- Where do those different social, economic, ethnic and cultural groups live?
- What is the social and political organization in the community (e.g. marriage customs, inheritance systems)?

### Livelihood assets
- Human capital (e.g. household size, composition, migration, education and skills);
- Ownership of productive assets (e.g. farm equipment and enterprises) by wealth group;
- Livestock ownership by wealth group;
- Access to financial services by wealth group;
- Ownership of financial assets (e.g. savings, loans, gold/jewellery, income, remittances, insurance, cash) by wealth group;
- Participation in social capital (e.g. kin networks, membership in and influence over organizations) by wealth group.

### Livelihood strategies
- What activities do different households in the community engage in to support their livelihoods?
- Who is involved in those livelihood activities (e.g. men/women, young/old, different social and economic groups) and how many people and households depend on them?
- When do those activities take place (e.g. time of day/month/season) and where?
- How do the assets of different wealth categories affect their livelihood strategies?
- What are the patterns of in-migration and out-migration? By whom? Are remittances received in the community?

### Livelihood outcomes
- Describe food security, ownership of personal assets (e.g. houses, vehicles, consumer goods) and other outcomes as defined by the community (such as improved health and education status in the community);
- Is life in the community getting better or worse: which categories of households are increasing their wealth; staying the same; falling into poverty? And what are the reasons for this mobility?
- What are the main causes of poverty (as seen by the locals)?
- Who is building up their capital assets and who is depleting them and why?
- Who were the poor and non-poor two generations ago and who are likely to be the poor two generations from now? Why?
- Which processes lead either to impoverishment or to the accumulation of wealth?

### Vulnerability context
- What are the main sources of vulnerability?
- How often do shocks hit the community?
- How do people cope with shocks? How effective are these?
- Is there a difference in how households cope?
- What is the impact of asset endowments on the ability of households to withstand shocks?

> ### Link to field tools:
> 3: Wealth ranking
> 4: Livelihoods matrix

### Community checklist 3: Institutional and stakeholder analysis

#### Institutional analysis

- What formal and informal organizations and associations are there in the community?
- What are their functions? How do they operate? What is their effectiveness? What are their partnerships and linkages?
- How are decisions reached within these organizations, institutions and associations?
- How are local institutions evolving? Are there changes in the power structure, new organizations, old institutions or organizations that may be losing their former influence (if so, give reasons), others that remain strong in the face of change (if so, give reasons)?
- What organizations, institutions and associations (e.g. societies, cooperatives, political parties) do household members participate in and what role do they play in them?
- What role do local institutions play in households' ability to withstand shocks?
- To what extent do various CBOs represent the interests of poor women and men? What is their current capacity and where are the gaps? What types of capacity building and empowerment are required by local CBOs?
- How are the CBOs linked with higher-level organizations? What types of innovative partnerships and linkages might be created between CBOs and other partners (e.g. CBOs, NGOs, public sector)?

#### Decision-making

- What rules, regulations and customs are in place? Who is affected by them and how?
- Are there changes in how community members make decisions? If so, how? What impact is this having on different groups in the community?
- What are the decision-making linkages between the community and the district? Whose interests do they represent? Do they work well?

#### Stakeholder analysis

- Who are the major stakeholders in the development activity? What are their interests? How much influence do they exert?
- What are their reactions to the proposed project activities? What is at stake for each of them?
- Which actors stand to win and who stands to lose from the project and by how much? Which are the potential groups that will be disadvantaged?
- Describe the relative wealth and power of different categories of people and their relative influence over project outcomes;
- Who are the gatekeepers who control the project's approval in the government (e.g. parliament)?
- Which stakeholders have already been consulted about the project? Which have yet to be consulted and when and how are they to be consulted?
- Are there any stakeholders who are likely to be negatively affected, who have not yet been consulted and who lack the power and voice to influence the project's impact on their lives and livelihoods? If so, who are they, and what can be done to level the playing field by enhancing their voice and their influence over the project?
- Are there any potential allies among the other more powerful stakeholders who share a common interest with the weaker stakeholders? Could a coalition be built between the two to enhance the voice and influence of the weaker ones?

*Link to field tools*:
5: Organization and group profiles
6: Stakeholder analysis

### Community checklist 4: Priorities, needs and opportunities

- What are the most important livelihood problems faced by the community? As seen by community leaders, men, women, youth, poor, non-poor (each category separately)?
- What are the main livelihood opportunities as seen by different people in the community?
- What are the main priorities as seen by leaders, men and women, youth, poor/non-poor (each category separately)?
- To what extent do leaders and ordinary people agree on the ranking of livelihood problems and opportunities?
- To what extent do women and men, or poor and non-poor agree?

> ***Link to field tools***:
> 7: Problem analysis
> 8: Pairwise ranking

### Community checklist 5: Project-related considerations

- What is the community's interest in and familiarity with the project and what it may offer?
- What is the project's likely social impact (e.g. changes in control over agricultural products and income from their sale, community members' ability to fulfil their responsibilities to their families, impact on household food security, impact on access to natural resources including hunting and gathering)?
- How should project activities be designed to fit the needs and priorities of intended target groups?
- What is the cost of adopting the project-sponsored innovations and how will farmers pay for it? Do farmers require specific assets?
- Are there any proposals or recommendations for strengthening project design and interventions?
- What is the perceived relevance, utility and affordability of what the project might offer?
- What are the reasons for participating or not participating in the project activities? How does this vary by wealth group in the community?
- Is there any feedback on partners and preferred delivery systems: whom do they trust and why?

**Attention**
- It takes up to about one hour to complete one participatory tool.
- It is probably not possible to collect all the information in all communities.
- Some of this information can also be collected in focus group discussions.

# 6. COLLECTING INFORMATION THROUGH FOCUS GROUP DISCUSSIONS

This section identifies the composition of different focus groups and presents checklists to explore gender and youth aspects of rural livelihoods. Linkages are given to the relevant field tools presented in section 8.

> *See tips on using checklists in Box 3, section 3.*
> *See tips on conducting meetings in Box 6, section 5.*

## Purpose

Focus groups are used to explore specific topics in depth (e.g. the commodity or activity relevant to a project) or to conduct follow-up discussions after organizational profiling at the community level (see Box 7). They are also used to enable people who may otherwise be overlooked in larger community meetings to express their own point of view, and are a very useful means of gathering data disaggregated by age and sex. During implementation, focus groups are a valuable mechanism to understand the dynamics of activities – what is going on, how things are happening and the key success factors.

### Box 7: Examples of focus groups

- Women/men smallholders (married, single, youth);
- Members of irrigation group;
- Members of irrigation committee;
- Members of an outgrowers' scheme;
- Market traders, buyers, wholesalers;
- Processors, owners, employees;
- Harvesters of natural produce from forests;
- Women/men fisherfolk;
- Women/men livestock keepers;
- Members of apex marketing association.

## Who to meet

The composition of the focus group depends on the topic under discussion. A focus group, typically with 5–15 participants, may include, for example:

- separate groups of women and men (see checklist for focus group discussion about gender context of rural livelihoods);
- the youth (see checklist for focus group discussion with youth);
- people engaged in an activity relevant to a project (such as smallholders growing a specific crop, fisherfolk, forest users);
- members and leaders from groups and institutions in the community to get an in-depth profile of a group's membership, leadership and activities (see Field tool 5: Organization and group profiles);
- people living with HIV/AIDS and caregivers to the chronically sick;
- ordinary people and non-leaders.

# Gender checklist
*(meet with separate groups of women and men)*

### Workloads and gender division of labour

- What is the division of labour between women and men in productive and reproductive/household spheres (including those addressed by the project)? How do these vary by socio-economic status and household type (MHH or FHH)?
- How is time used on a daily basis by women and men in the slack season and peak season, as perceived by women and as perceived by men?
- How do gender roles vary by age and status within the household: differences between the roles of girls, young women, mature women and old women and between boys, male youths, men and old men?
- What is the contribution of children (girls/boys) to productive and reproductive tasks? How does this vary by socio-economic status? What is the nature of labour contribution (unpaid family labour, paid labour)?
- What is the status and contribution of youth (male, female) to productive and reproductive tasks?

> **Link to field tools:**
> 9: Seasonal calendar and gender division of labour
> 10: Daily activity schedule

### Access and control

- What are the differences between women and men in access and control over productive resources and services in general, and over assets required for production, storage, processing and marketing of the targeted commodity, as perceived by women and as perceived by men?

> **Link to field tools:**
> 11: Access and control of resources

### Income and expenditure

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

> **Link to field tools:**
> 12: Sources and use of money

### Decision-making

- What are women's and men's roles in decision-making in the household?
- How well organized are women relative to men at the community level?
- What is the gender profile of the membership of various community-based organizations, including farmer organizations? Are women adequately represented? Do they participate? Have they received training in membership skills? Do they influence decision-making and hold leadership roles?
- Have women been included (separately or together with men) in capacity-building programmes regarding institutional and organizational management and operations?

- Are women represented and do they participate in farmer organizations? Who are these women? Are they young or old, poor or non-poor? Do they head their own households or not? Where do they meet? At what time of day?
- Have women received any training in leadership skills?
- To what extent are women represented in project-related committees and community-level decision-making bodies?

> **Link to field tools:**
> 13: Decision-making matrix
> 5: Organization and group profiles

### Skills, knowledge and information

- Are women's production priorities and needs (e.g. crops, livestock) reflected in agricultural research and technology transfer activities?
- What is the relative focus of existing agricultural services on male-dominated versus female-dominated agricultural activities?
- How readily can women access extension service support?
- What proportion of the members of village-based agricultural extension groups (e.g. farmer field schools) are women?
- What proportion of walk-in clients of agricultural service centres are female?
- Is there a separate women's extension service? If so, what topics does it cover, what types of women does it contact, where and how are the women contacted and how wide is its coverage?
- Do women and men communicate and access information and networks in the same way?
- What proportion of the trainees at agricultural training are women? How does women's participation in training vary by topic? Do women need to stay overnight to attend the courses at the training centres? If so, where do they sleep? Are there separate dormitory facilities for women and men? Where do women leave their nursing babies when attending training courses?

### Female-headed households, widows and widowers

- What percentage of households in the different socio-economic strata or wealth groups is headed by women?
- What percentage of FHHs is headed by young women who were never-married, abandoned or divorced?
- What percentage of FHHs is headed by older women whose husbands have died?
- How does access and control over livelihood assets compare between FHHs and MHHs? Older and younger women?
- What proportion of FHHs would have difficulty participating in the project because of a shortage of land, labour, livestock, equipment, financial assets, technical know-how or cultural constraints?
- Who (husband or wife) has a right to dissolve a marriage and on what basis? What happens to a woman's access to land when the husband renounces or divorces her? Who – husband or wife – takes the children? If the wife takes the children, how is she expected to provide for them economically? What, if any, rights does the divorced woman have?
- What happens typically to a woman when her husband dies? Is she inherited by the husband's brother? If not, who takes the children (the mother? the husband's relatives?)? Does it affect her access to the husband's land and livestock? What happens to the husband's land and property? Does she inherit? Does it pass to her sons? Or do the husband's relatives take it back? Does it matter whether or not she has adult sons? Is she allowed to remain in the village or is she expected to return to her parents' village? In polygamous marriages, what happens to the second wife and successive wives? How does it affect the custody of the children? How does it affect her access to resources such as her house, her farmland and livestock?

- What typically happens to a man when his wife dies? Who looks after the children? What effect – if any – does it have on the man's access to and control over land and property?
- Is it socially acceptable for a divorced woman to remarry? For a widow to remarry? How common is remarriage of widows and widowers and divorced women and men? How does it vary by socio-economic status and location?

### *Priorities, needs and opportunities*

- What are the most important livelihood problems faced by the community, as seen by women and men?
- What are the main livelihood opportunities as seen by women and men?
- What are the main priorities as seen by women and men?

> **Link to field tools:**
> 7: Problem analysis
> 8: Pairwise ranking

### *Project-related considerations*

- What is the project's likely gender impact, such as changes in the workload of women and men, changes in control over agricultural products and income from their sale, men's and women's ability to fulfil their responsibilities to their families, impact on household food security, impact on access to natural resources including hunting and gathering?
- How well does the actual pattern of resource allocation between project activities of interest to women and men reflect gender roles in the livelihood systems of small producers?
- How should project activities address specific constraints of women and the youth in rural livelihood systems?
- To what extent are women and the youth represented in project-related decision-making bodies?
- How can it be ensured that women will have the opportunity to benefit equally with men in the project's economic activities? How can adequate levels of participation of women be promoted? These issues could refer to changes in the policy and institutional context of agriculture, and not only in agricultural service delivery.
- What is the cost of adopting the project-sponsored innovations and how will farmers pay for it? Do farmers require specific assets? If farmers are expected to take credit, what proportion of micro-finance borrowers are female?
- If the project is concerned with agricultural marketing, what proportion of the sellers in various agricultural markets are female? Who are the women market sellers – local direct producers or wholesale traders?
- To what extent are agricultural services likely to bypass women and the poor unless the project takes action to increase their inclusion?
- Among project stakeholders, which organization could become the champion in support of enhancing producer-women's voice in setting agricultural priorities?
- What is women's interest in and familiarity with the project and what it may offer?
- Do they have any recommendations and proposals for strengthening the project design and interventions?
- How do women perceive the relevance, utility and affordability of what the project might offer?
- What are women's reasons for participating or not participating?
- Do they have any feedback on partners and preferred delivery systems: whom do they trust and why?

# Youth checklist
(supplementary to the gender checklist)

### *Role of youth in livelihood systems*

- What variations exist in gender roles (including the activities addressed by the project) by age and status within the household; differences between the roles of girls, young women, mature women and old women and between boys, male youths and mature men?

- What types of assets are typically owned by male and female youths in their own name? (For instance, are boys or girls given a cow, a goat or chickens in their own name? Are girls given jewellery?) To what extent do male and female youths in poor and non-poor households own bicycles, motorbikes or vehicles, radios or cell phones in their own right?

- What access to and control over resources do older and younger women and older and younger men have – as perceived by youths and by elders?

- What are the relationships between daughters-in-law and mothers-in-law in terms of access to and control over household goods and equipment (e.g. does a daughter-in-law typically have the right to listen to the family radio without her mother-in-law's permission?)?

- What are the roles of sons and daughters as income earners and as providers of food and non-food items for the household? What differences exist between poor and non-poor households? To what extent do sons and daughters pool their earnings with those of their parents? What proportion of their income do young men or young women typically retain as their own personal spending money?

- What are the main income sources of young women and young men in different types of households and in different seasons?

- What are the main items bought by young women and young men in different types of households and in different seasons?

- At what age do male youths start to farm on their own account (as opposed to farming for their parents)? Does it typically happen before marriage? Does it happen immediately upon marriage? Or is it typical to wait until the father dies? How does the timing of a man's emancipation from his parents vary by socio-economic status?

- What are the livelihood aspirations of young men (as opposed to older men) and of young women (as opposed to older women)? What proportion of young men aspire to agriculture-based livelihoods (are they from the richer or poorer households)? What proportion of young men aspire to a livelihood in "modern agriculture" (as opposed to subsistence agriculture)? To establish their own rural non-farm enterprise? To migrate to towns or cities or abroad? What proportion of young women aspire to an agriculture-based livelihood?

- What are the main problems of the community, as perceived by young women and by young men?

- What are the main development priorities of the community, as perceived by young women and by young men?

- What role do young women and young men have in decision-making in the household and in the community? To what extent are younger women and younger men represented on project-related committees and community-level decision-making bodies?

- What is the level of awareness of HIV/AIDS issues among male and female youths of different ages?

*Inheritance and transfer of property*

- What are the rules governing inheritance of land and property on the death of the household head? What share typically accrues to the first-born son? To other sons? To daughters?

- Can daughters inherit land in their own name? If so, what types of land and from whom (father's or mother's relatives)?

- At what age do men typically inherit land?

- Do parents typically divide the property among heirs before they die (for instance, when they are too old to farm in their own right)?

- Who (i.e. the elder or younger son or daughter) typically looks after the parents when they are too old to support themselves? When the spouse dies, does the remaining parent typically move in with one of the sons or daughters? Or does one of the sons or daughters move in with the parents and take over the family farm?

*Youth-headed households*

- What percentage of households in the different socio-economic strata or wealth groups are headed by youths?

- What percentage of female-household heads are young women who were never married, abandoned or divorced?

- If a woman's husband dies and she has an adult son, who becomes the head of the household – the son or the mother?

- What proportion of youth-headed households would have difficulty participating in the project because of a shortage of land, labour, livestock, equipment, financial assets, technical know-how or cultural constraints?

# 7. COLLECTING INFORMATION THROUGH INDIVIDUAL HOUSEHOLD INTERVIEWS

This section describes the process of conducting individual household interviews.

## Purpose

Individual household interviews enrich social and livelihood studies in many ways (see Box 8) and should be regarded as an essential element of fieldwork.

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### Box 8: Benefits of household interviews

- Household interviews are useful for understanding linkages among livelihood assets, livelihood strategies and livelihood outcomes;
- Life histories are a good way to learn about why people fall into poverty and how they get out of poverty and how shocks affect the process;
- Interviews with selected upper, middle and lower stratum households and with any special categories of households allow cross-checking and validation of the information on wealth ranking provided by leaders and other key informants;
- Household interviews are useful for learning how policies and institutions affect the asset base of non-poor, average and poor households;
- Household interviews enable mission members to interact with categories of households who do not participate in community meetings and focus group sessions. For instance, women and men in the poorest households may be difficult to reach through community meetings and focus groups because they are too resource poor to participate (i.e. too busy working for meals), they practise self-exclusion and they dare not speak up in public;
- Conducting household interviews at the homestead enables mission members to observe living conditions, domestic animals, housing, fields and social networks, often leading to unexpected discoveries.

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## Who to meet

Use the community wealth ranking (field tool 3) to select households from each wealth category in a community. Depending on the duration of a visit to a specific community, it may be possible to visit from six to ten households. Prior to selecting households, identify the desired composition of the sample so that special categories, such as households headed by women or youth or HIV/AIDS-affected households, will be adequately represented.

Box 9 illustrates a preference towards interviewing female-headed households and poorer households, and less interest in male-headed households and the non-poor. Individual interviews typically last 30-45 minutes.

| Box 9: Example of household sample | | | |
|---|---|---|---|
| **Household wealth** | **FHHs** | **MHHs** | **Total** |
| Rich | 1 | 1 | 2 |
| Middle wealth | 1 | 1 | 2 |
| Poor | 2 | 1 | 3 |
| Very poor | 2 | 1 | 3 |
| Total | 6 | 4 | 10 |

Tips on identifying households for interviews are presented in Box 10.

| Box 10: Tips on identifying households for individual interviews |
|---|
| ■ Select households from the different wealth groups as identified by community wealth ranking or from the poverty profiles identified in the Poverty Reduction Strategy Paper; <br> ■ Select households who are active in a specific enterprise or who have adopted a technology; also include non-participants and non-adopters; <br> ■ Ensure women, youth and vulnerable groups are represented among the interviewees; <br> ■ Ensure wives have an opportunity to express their opinions during interviews with male heads of household; <br> ■ Ensure the timing is convenient for interviewees. |

# Individual household interview checklist

***Household composition and resource base***
- Describe household members (including migrant members) by sex, age, religion, ethnic group, health status (disabilities, etc.), caring for dependents, dependency ratio, residency status, roles in different livelihood activities.

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

***Natural capital***
- What land, water, livestock and plant or forest resources do household members use inside and outside the village? For what do they use them?
- Describe the land: typical farm size, irrigated, rainfed; area under different crops; produce for home use/sale;
- Describe the livestock: typical herd/flock size by species; produce for home use/sale;
- What are the terms of access and exchange (e.g. ownership, rental, share arrangements, open-access, passage, leasing, milk for grazing)?

### Physical capital

- What tools and equipment do household members use for different livelihood activities?
- What are the terms of access to them (e.g. ownership, hire, sharing)?
- How and by whom are they maintained?
- What infrastructure do household members have access to and use (e.g. transport, marketing facilities, health services, water supply, irrigation facilities)? What infrastructure do they not have access to and why?
- What are the terms of access to and maintenance of different types of infrastructure (e.g. payment, open access, individual or "pooled")?
- What services do household members access: extension, information?

### Financial capital

- What sources of finance are available and how important are they (e.g. bank credit, moneylenders)?
- Who has access to credit? What collateral is required? Other conditions attached?

### Social capital

- What links does the household have with other households or individuals in the community (e.g. kinship, social group, membership in social, economic and religious organizations, political contacts, patronage)?
- In what organizations, institutions and associations (e.g. societies, cooperatives, political parties) do household members participate and what role do they play in them?
- What leadership positions do household members hold? How were they selected?
- In what situations do those social networks become important and how (e.g. mutual assistance, pooling labour)?
- What laws, rules and regulations affect the household?
- Which organizations are most important for the household and what benefit do they bring?

### Livelihood strategies

- What are the main livelihood activities for men and women in the household?
- What is the role of the targeted activity in the livelihood system? What contribution does it make to subsistence and cash, and how does this vary by season?

### Livelihood outcomes

- What is the overall level of wealth, food security and well-being? What indicators does the household use to describe the outcomes?
- What do different livelihood activities contribute to food security and cash?
- What are the earnings of the household from different sources (e.g. crop and livestock sales, processing, off-farm activities, business, forest products, fishing, remittances, pension, gifts) (estimate as a percentage of the total)?
- Is life getting better or worse for the household? And what are the reasons?

### Vulnerability context

- What are the seasonal patterns of different activities in which household members are engaged?
- What seasonal patterns are there in food supply, income, expenditure, residence, etc.?

- What crises has the household faced in the past (e.g. health crises, natural disasters, crop failures, civil unrest, legal problems, indebtedness)?
- What effects did they have on livelihood systems, assets and well-being? What coping strategies did the household use?
- What longer-term changes have taken place in the household's natural, economic and social environment and how has it dealt with these changes?
- What strategies does the household use to minimize risk (e.g. diversify livelihoods)?

### *Priorities, needs and opportunities*

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

### *Feedback on project*

- What is the interest in and familiarity with the project and what it may offer?
- Are there any recommendations and proposals for project design and interventions?
- What is the perceived relevance, utility and affordability of what the project might offer?
- What are their reasons for participating or not participating?
- What is the feedback on partners and preferred delivery systems: whom do they trust and why?

> ### *Link to field tools*:
> 4: Livelihoods matrix

# 8. FIELD TOOLS

Since the first use of participatory methods in the 1980s, many different field tools have been developed (see Appendix 2). However, given the time constraints on a mission, it is usually possible to use only a limited number of them, the most relevant of which are presented in Table 1. From among this list, it will be necessary to select those which are most relevant to the general context and the nature of the programme of agricultural and natural resource management.

| Table 1: Key field tools for social analysis by purpose | | | | |
|---|---|---|---|---|
| **Theme** | **Field tools** | **Community level** | **Focus groups** | **Individual households** |
| General context of community | 1 Historical timeline | Main achievements and setbacks over last 15 years | Thematic focus on historical data | - |
| | 2 Natural and livelihoods resource map | Local resource map | Thematic focus | - |
| | 3 Wealth ranking | Main socio-economic groups in community and their livelihood characteristics | - | Follow-up wealth ranking with visits to individual HHs representing different wealth groups and HH types (e.g. MHH, FHH) |
| | 4 Livelihoods matrix | Collate information for livelihoods analysis | Collate information for livelihoods analysis | In-depth discussion about livelihoods at the HH level |
| | 5 Organization and group profiles (with option of Venn diagram) | Characteristics of organizations and groups active in community | Follow-up in-depth enquiry with members of specific groups | - |
| Community planning | 6 Stakeholder analysis (with Venn diagram and matrix) | Identify main internal and external stakeholders and their interest or stake in an activity | | |
| | 7 Problem analysis (with option of problem tree) *Link: Pairwise ranking* | Main strengths and problems facing community, causes and effects | Differences in perspectives on problems between women and men, youth and elderly etc. | This tool can also be used at the HH level |

*(continued)*

| Table 1 *(continued)* | | | |
|---|---|---|---|
| **Theme** | **Field tools** | **Community level** | **Focus groups** | **Individual households** |
| Community planning | 8 Pairwise ranking | Prioritized list of problems with reasons (follow-up to problem analysis) (can also be used to examine preferences between other variables) | Differences between women and men in problem ranking (or preferences between other variables) | This tool can also be used at the HH level |
| Gender analysis | 9 Seasonal calendar and gender division of labour *Link: Daily activity schedule* | Seasonal variations that affect pattern of life throughout the year | Thematic discussion on workloads and use of time between women and men | This tool can also be used at the HH level |
| | 10 Daily activity schedule | - | Differences in daily activities of women and men at the busiest and quietest times of the year (follow-on from seasonal calendar) | This tool can also be used at the HH level |
| | 11 Access to and control of resources (with option of resource and benefit flow diagram) | - | Differences between women and men in their access to and control over resources | This tool can also be used at the HH level |
| | 12 Sources and use of money | - | Differences in main sources and uses of money between women and men | This tool can also be used at the HH level |
| | 13 Decision-making matrix | - | Differences between women and men in their participation in decision-making | This tool can also be used at the HH level |

While some of the tools are used at the community level, others are more suitable for use in smaller groups, particularly when examining information from a sex-disaggregated perspective or a thematic focus. If it is not possible to use a tool with a group (for example, if there is insufficient time to conduct a focus group discussion), the field tool may be used as a checklist and the information may be gathered through individual household interviews. A list of the most useful tools is presented in Box 11.

## Box 11: Most useful field tools

If time is limited, the following are often the most useful tools:
Field tool 3: Wealth ranking;
Field tool 4: Livelihoods matrix;
Field tool 6: Stakeholder analysis;
Field tool 7: Problem analysis;
Field tool 9: Seasonal calendar and gender division of labour;
Field tool 11: Access and control of resources;
Field tool 13: Decision-making matrix.

This section presents a step-by-step guide on how to use each of these tools and provides examples of the information generated using such tools. Box 12 provides some practical tips on using participatory tools. Linkages to materials on participatory methods and field tools available from FAO and other sources are presented in Appendix 1.

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**Box 12: Tips on using participatory tools**

- It takes 30-60 minutes to complete one participatory tool;
- Literate members of the community can participate in recording information on flip charts;
- Ensure that everyone's views are captured – not just those of the person or persons who are actually preparing the information;
- Manage the use of participatory tools in order to retain their focus and to enable them to be completed within the time available;
- Balance trade-offs between information gathered and time, empowerment, participation and interest.

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# Field tool 1: Historical timeline

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

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

*How to prepare an historical timeline*

**Step 1: Context**
1. Ask the group to discuss how the community has changed over the last 10–15 years, particularly with respect to resource availability, land tenure, cropping patterns, livestock rearing, environmental change, administrative changes, mobility and migration.

**Step 2: Discussion**
1. Key questions:
   - How and why have things improved?
   - Have any aspects of life become more difficult and, if so, why?
   - Have the roles of women and men changed over time?
   - Have the workloads of women and men changed over time?
2. Note when these changes occurred, identify their causes and follow through their effects on gender roles, poverty and livelihoods in the community.

*Visualization*: Draw a column down the middle of a sheet of flip chart paper. Record positive events on the left side and negative events on the right side, noting the approximate time period of each in the central column. See example presented in Table 2.

| Table 2: Example of historical timeline from Metuge District, Cabo Delgado Province, Mozambique | | |
|---|---|---|
| **Positive events** | **Date** | **Negative events** |
| **Colonial period**<br>• Maize, rice, beans, sorghum and vegetables were grown mainly by women because of a shortage of male labour and women controlled all aspects of food production and utilization | 1940s to 1975 | • Men had no time to produce their own food, as they were required to do forced labour on colonial estates<br>• Men were forced to work at low wages for the landowners to earn enough money to pay taxes |
| **Independence war**<br>• Led to independence from Portugal | 1964 to 1975 | • War disrupted farming and trade<br>• Infrastructure was destroyed<br>• Lives were lost |
| **Independence (FRELIMO period)**<br>• Farmers were freed from forced labour<br>• Men had time to grow food<br>• Farmers could keep their entire crop for themselves<br>• Farmers sold to state stores (*lojas*) or bartered for consumer goods | | • Government gave low priority to the family farm sector; public expenditure on smallholder agriculture was limited (Ministry of Agriculture weak)<br>• Means of production (hand tools) were in short supply<br>• Low prices were paid to farmers |
| **Civil war (FRELIMO versus RENAMO)**<br>• There was nothing good | 1978 to 1992 | • Infrastructure was destroyed (bridges, roads, schools, clinics)<br>• Property was looted, destroyed<br>• Farming and marketing were disrupted<br>• Farmers were afraid to clear new land because RENAMO rebels might be hiding in the forest |
| **Peace/Economic liberalization**<br>• Roads, schools and hospitals were reconstructed<br>• The economy grew<br>• Consumer goods were readily available (but very expensive) | 1992 to 2002 | • Lack of state stores<br>• Lack of farm produce buyers<br>• Shortage of means of production (tractors, hoes, slashers)<br>• No market<br>• No public transport (necessary to headload products)<br>• High prices for transport and farm inputs<br>• Price of farm output does not keep pace with rising cost of consumer goods<br>• Shortage of fishing gear (nets, hooks, lines)<br>• Shortage of rice dehullers |

# Field tool 2: Natural and livelihoods resource map

*Purpose*
To prepare a local resource map in a participatory manner, showing: main land types, livelihood activities on each land type, and physical infrastructure (e.g. roads, public transportation, irrigated areas, water points, schools, health posts, nearest market, electricity, banks, agricultural extension). Mapping is a good tool to begin with because it is an easy exercise that initiates dialogue between the community and mission members.

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

*How to prepare a resource map*

### *Step 1: Drawing a local resource and infrastructure map*

1. Find a large open space with clear ground;
2. Start by placing a rock or leaf to represent a central and important landmark;
3. Ask the participants to draw things on the map that are important in the village, such as infrastructure, houses, arable land, irrigated land, grazing lands, water sources, fuelwood, mills, etc. Use local materials (e.g. sticks, pebbles, leaves, sawdust, flour), flip chart paper and markers. See Figure 2;
4. Participants should not be interrupted unless they stop drawing, in which case questions can be asked such as whether there is anything else of importance that should be added.

### *Step 2: Interpreting the map*

1. When the map is completed, facilitators should ask the participants to describe it and to discuss the features represented;
2. Ask questions about anything that is unclear;
3. Ask participants to indicate some things they would like to see in their village that are not currently on the map – in other words, to draw a picture of what they would like the future to look like. This allows for some preliminary planning ideas and encourages people to begin contributing their thoughts at an early stage in the participatory process.

### *Step 3: Other uses*

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

Figure 2: Example of resource map, fishing community, Lake Victoria, Uganda
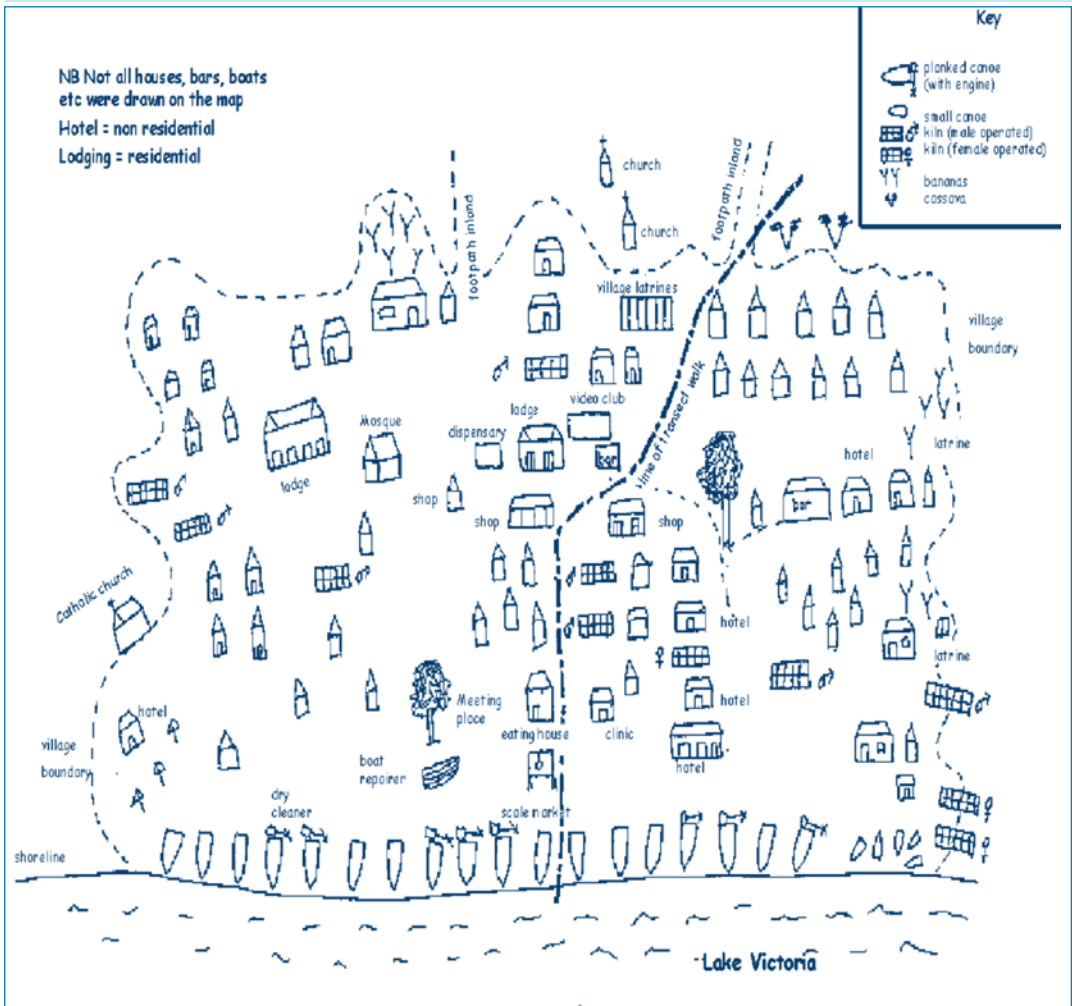


# Field tool 3: Wealth ranking

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

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

*How to do a wealth ranking*

**Step 1: Identification of socio-economic groups in the community and their characteristics**

1. What terms do community members use to describe the different socio-economic groups?

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

2. Ask for a description of each socio-economic group. Using the livelihood assets framework (i.e. human, natural, physical, financial and social), what criteria do they use to distinguish between the different groups (e.g. land, livestock, labour, household composition, ability to send children to school or buy medicine)? Which groups and organizations do women and men household members belong to and lead? Record their descriptions in the appropriate columns; try to avoid being too quantitative and record the qualitative ways in which they describe the households; *Visualization*: Start recording the information at the extremes of the "rich" and very poor, then complete the middle columns. See Table 3;

3. What are the livelihood strategies (in terms of the balance between farm and off-farm work, coping mechanisms, other sources of support such as remittances) and the outcomes achieved (e.g. food security, standard of housing, savings)? Estimate the percentage contribution of farm and non-farm activities to household cash income; note the contribution of different farm enterprises independently;

4. How are decisions made regarding the enterprise mix, livelihood strategies and use of income for men, women, other people and joint decisions?

5. What challenges does each group face, if any, in developing their livelihoods?

6. Are there any special relationships between the different groups? What do the poor do for the less poor? What do the less poor do for the poor and very poor?

**Step 2: Distribution of households**

1. Note the approximate total number of households in the community. Define a household to be the unit in which people eat together in the evening;

2. Use proportional piling to determine the distribution of total households across the socio-economic categories. Take a large number of seeds or stones (about 100) and explain that this represents the total number of households in the community. Ask a volunteer to distribute the seeds among the different socio-economic groups. Allow other group members to adjust the distribution until all are satisfied with the result. Add the number of seeds in each group and divide by the total number of seeds in order to calculate the percentage distribution;

3. Note the approximate number of FHHs in the community. Use proportional piling to determine the distribution of FHHs across the socio-economic categories;

4. Note the approximate number of MHH in the community. Use proportional piling to determine the distribution of MHHs across the socio-economic categories;

5. Note the approximate number of male and female youth who have left school in the community.

**Step 3: Movement between groups**

1. Are there any movements between the socio-economic groups?

2. Note any factors associated with households whose positions are improving, deteriorating or remaining stable.

**Step 4: Identification of individual households**

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

## Table 3: Example of wealth ranking, Kweneng North District, Botswana

| Characteristics | Rich (1-2% HHs in total) | Middle (emerging) (35% HHs) | Poor (50% HHs) | Very poor (10-20% HHs) |
|---|---|---|---|---|
| Arable | • Cultivate 150-250 ha (buy land, lease land, compensate people for improvements)<br>• Use own tractors and implements (1 tractor per rich HH)<br>• Use hybrid seeds and fertilizer<br>• Maize yield 500 kg or more per ha | • Cultivate 15-21 ha<br>• Some hire land<br>• Use own old tractors or hire tractors from others including rich<br>• Majority use donkey/tractor mix (e.g. donkeys for 3 ha, tractors for 3 ha)<br>• Some row plant with tractors, others with donkeys<br>• Plant open-pollinated varieties of certified seed from government<br>• Some use fertilizer<br>• Maize yield with fertilizer 200 kg per ha; without fertilizer 100 kg per ha | • Own 10-15 ha<br>• Cultivate 5-7 ha<br>• Use own donkeys and ploughs<br>• Sometimes hire tractors<br>• Broadcast open-pollinated varieties certified seed from government<br>• No fertilizer<br>• Maize yield 50 kg per ha<br>• Maize and sorghum for HH use<br>• Sometimes sell watermelons, sweetreet (cash crops) | • Majority landless<br>• Borrow 2-3 ha to cultivate<br>• Work with others to pool donkeys for ploughing<br>• Broadcast recycled seed<br>• No fertilizer |
| Livestock | • Cattle: only one rich HH has cattle (hundreds in another locality) | • Cattle: 20 (kept at nearby cattle post)<br>• Donkeys: 6-10<br>• Goats: 30-50 | • Cattle: 6-10 (kept at nearby cattle post)<br>• Donkeys: 6-8<br>• Goats: 10<br>• Chickens | • Donkeys: a few<br>• Goats: 5-6<br>• Chickens |
| Labour | • 2-3 permanent labourers<br>• Hire 10-15 casual labourers for weeding, bird scaring, harvesting (mainly women) | • Labour groups for weeding | • Family labour | • Family labour |

*(continued)*

| Table 3 *(continued)* | | | | |
|---|---|---|---|---|
| **Characteristics** | **Rich (1-2% HHs in total)** | **Middle (emerging) (35% HHs)** | **Poor (50% HHs)** | **Very poor (10-20% HHs)** |
| Off-farm activities | • Trading<br>• Hire out lodges for accommodation<br>• Own petrol filling stations | • Some have activities – trading, small shops/kiosks (selling airtime, sweets, etc.)<br>• Receive remittances | • Majority work on drought relief programme (temporary), cash for work<br>• Work on own plots<br>• Work as hired labourers<br>• Might also receive government food basket<br>• Receive remittances | • Work on drought relief programme (temporary), cash for work<br>• Work as casual labourers<br>• Receive government food basket |
| Services | • Use credit from banks and agencies to buy farm inputs<br>• Extension services | • Very few use credit<br>• In contact with extension services | • Little contact with extension services | • No use of services |
| Local groups and committees | • Not involved as members<br>• Some involved as leaders | • Involved as members and leaders | • Involved as members | • Not involved |
| Residence | • Live in nearby town (Molepolole)<br>• Accommodation on plot for farm manager, labourers | • Most live in Molepolole<br>• No house in village<br>• Housing structure on plot | • Majority live in village<br>• Simple housing structure in field | • Most live in village<br>• Might have simple housing at fields |
| Other | • Not traditionally from area<br>• Invest earnings from off farm in agriculture<br>• Acquired wealth in present generation | • Not traditionally from area | • Indigenous | • Indigenous |

# Field tool 4: Livelihoods matrix

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

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

*How to complete a livelihoods matrix*

### Step 1: Review information collected through other field tools
- Complete parts of the matrix (see Table 4) using livelihoods information collected during community meetings and focus group discussions using various field tools;
- Field tool 3: Wealth ranking: information about asset base, livelihood strategies and outcomes of different socio-economic groups; factors causing movement between groups;
- Field tool 5: Organization and group profiles: information about membership and leadership of groups by socio-economic group;
- Field tool 9: Seasonal calendar and gender division of labour: information about livelihood strategies;
- Field tool 11: Access to and control of resources: information about household asset base;
- Field tool 12: Sources and use of money: information about livelihood strategies and outcomes.

### Step 2: Conduct individual household interviews
1. Select households to represent a cross-section of socio-economic groups and household types (e.g. headed by men, women, youth). This usually takes place after the wealth ranking exercise;
2. Conduct household interviews using individual household checklist, and complete matrix.

## Table 4: Example of livelihoods matrix for analysing farming systems and use of farm power, Nigeria

| Characteristics | Hand power households (58% HHs) | Labour/tractor-hiring households (30% HHs) | Tractor-owning households (12% HHs) |
|---|---|---|---|
| **Livelihoods Asset Base** | | | |
| **Human assets**<br>Household head: age/sex | • elderly, over 60 years<br>• proportionally more FHH (widows) | • 50 – 60 years<br>• proportionally more FHH (widows) | • middle aged (40 – 50 years)<br>• no FHH |
| Average HH size | • live with extended family (> 40 members)<br>• 1 to 2 wives in MHH<br>• FHH have smaller families | • live with extended family (>40members)<br>• 2 to 4 wives in MHH<br>• FHH have smaller families | • live with nuclear family (15 to 20 members)<br>• at least 4 wives + many concubines |
| Skills and knowledge | • low, mainly illiterates | • low, some educated | • high, more educated than other groups |
| Health threats | • malaria | • malaria | • malaria |
| Use of hired labour | • only family labour | • hired and family labour | • mainly hired labour |

*(continued)*

## Table 4 *(continued)*

| Characteristics | Hand power households (58% HHs) | Labour/tractor-hiring households (30% HHs) | Tractor-owning households (12% HHs) |
|---|---|---|---|
| **Natural assets**<br>Rainfed area | • 1 – 3 ha; not always cultivate it all | • 20 – 40 ha including land rented in | • 80 – 100 ha including land rented in |
| Irrigated area | • small area on *fadama* | • medium area on *fadama* | • large area on *fadama* |
| Fallow | • 2 – 3 years | • 5 years | • 5 – 6 years |
| Trees | • communal ownership | • communal ownership | • communal ownership |
| Livestock | • many poultry, goats and sheep | • average number of poultry, goats and sheep | • few poultry, goats and sheep<br>• also own cattle |
| **Physical assets**<br>Seeds and fertilizer | • animal manure<br>• seeds acquired on loan from richer farmers | • chemical fertilizers<br>• improved seeds<br>• some herbicides | • chemical fertilizers<br>• improved seeds<br>• some herbicides |
| Farm tools | • average number of hand tools | • highest number of hand tools | • fewest hand tools<br>• tractor and implements |
| Post-harvest equipment | • manually operated | • improved manually operated | • improved manually operated or motorized groundnut + maize shellers, cereal mills |
| Other HH assets | • kitchen utensils, sleeping mats<br>• mud houses, thatch roofs | • beautified kitchen utensils, beds<br>• mud/brick houses, iron sheet roofs<br>• bicycles or motorcycles | • radio, furniture, electrical goods<br>• brick houses, iron sheet roofs<br>• commercial vehicles, motorcycles<br>• shops to let |
| **Financial assets**<br>Access to credit | • FHH have no access<br>• some MHH have access through societies and relatives | • FHH and MHH have access through credit associations and money lenders | • access through credit associations and money lenders |
| Remittances | • some | • from family members working in cities | • from family members working in cities |
| Savings | • none | • monetary savings with various associations | • savings in form of investments (farm produce) |
| **Social assets**<br>Membership | • FHH not members<br>• MHH have some membership | • belong to multiple associations and farmers' field school | • belong to multiple associations and farmers' field school |
| Leadership | • no leadership role | • limited leadership role | • lead the associations |
| Reciprocal labour groups | • men belong | • only a few belong | • no |

*(continued)*

| Table 4 *(continued)* | | | |
|---|---|---|---|
| **Characteristics** | **Hand power households (58% HHs)** | **Labour/tractor-hiring households (30% HHs)** | **Tractor-owning households (12% HHs)** |
| **Livelihood Strategies and Outcomes** | | | |
| **Farming** <br> Rainfed food crops | • millet, maize, yams, guinea corn | • maize, guinea corn, yams, sweet potatoes, cassava | • maize, guinea corn, beans, yams, sweet potatoes, cassava |
| Rainfed cash crops | • melon, groundnuts | • melon, groundnuts, yams | • melon, groundnuts, beans, yams |
| Irrigated crops | • rice, vegetables | • rice, vegetables | • maize, yam |
| Livestock for home use | • poultry | • poultry, sheep, goats | • poultry, sheep, goats |
| Livestock for sale | • goats, sheep | • goats, sheep | • cattle |
| **Non-farm activities** | Women: soap making, herbal medicines, tailoring <br> Men: blacksmithing, tailoring, carpentry, traditional medicines, Koranic teaching <br> All: hiring out family labour | Women: beautification of household utensils, herbal medicines, tailoring <br> Men: sculpturing, tailoring, carpentry, traditional medicines, Koranic teaching, trading | Women: processing, marketing farm produce <br> Men: transport services, tractor driving, mechanic, supplying spares for bicycles/ motorcycles, fishing, hunting, lumbering |
| **Livelihood strategies**: in declining order of importance | • FHH: livestock, crops, off-farm activities, remittances <br> • MHH: crops, off-farm activities, livestock, remittances | • FHH and MHH: crops, remittances, livestock, off-farm activities | • Crops, non-farm activities, remittances, livestock |
| **Shocks/changes and coping strategies** | • death of HH member (especially FHH) <br> • farm fires, livestock epidemics, pests <br> • coping with power shortages: work longer hours <br> • other coping strategies: borrow/acquire items on informal credit | • death of HH member (especially FHH) <br> • farm fires, livestock epidemics, pests <br> • coping with power shortages: use reciprocal labour groups, use labour as bride price <br> • other coping strategies: use credit | • migration of children for education <br> • removal of subsidy on tractors and farm inputs <br> • more difficult to contact extension service <br> • coping with power shortages: use savings to hire labour, purchase second hand tractors |
| **Livelihood outcomes** | • food insecure during hungry months <br> • small income <br> • heavy workloads <br> • rely on local herbs for health care <br> • children not able to attend tertiary institutions <br> • some children in MHH receive vocational training | • food self-sufficient throughout year <br> • use modern medical facilities <br> • children attend tertiary institutions <br> • children receive vocational training <br> • many have been on religious pilgrimage | • food self-sufficient <br> • use modern medical facilities <br> • children attend tertiary institutions <br> • children receive vocational training <br> • many wives (a sign of wealth) <br> • dress well, eat well <br> • use better quality products <br> • influential, high esteem and social status |
| **Livelihood outlook** | • a few HH stable, majority of HH improving | • a few HH stable, majority improving | • improving |

# Field tool 5: Organization and group profiles

*Purpose*

To identify different organizations and groups active in the community; their origins and current status; the socio-economic and gender composition of their membership and leadership; and to establish their potential role as entry points for project activities.

*Sources of information*

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

*How to prepare a profile of organizations and groups*

### Step 1: Organizational profiles

1. Identify all formal and informal groups active in the community. They may include:

- reciprocal labour groups
- farmers' groups
- savings and credit associations
- interest groups
- income-generating groups
- adult literacy classes
- farmer field schools
- water user associations
- beach management committees
- welfare/bereavement groups

- forest management committees
- water and sanitation committees
- informal self-help groups
- women's clubs or associations
- youth groups
- community-based organizations
- faith-based organizations
- people living with AIDS self-help groups
- home-based care groups

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

3. For each group, determine the membership criteria, current membership and leadership by sex (female/male) and socio-economic group. Note whether any members also belong to other organizations;

4. For informal groups, find out how they work (e.g. with respect to pooling labour, sharing implements or draught animals, saving collectively).

### Step 2: Significance of groups

1. Which parts of the community are served by these groups?

2. Are some members of the community being overlooked? Why?

3. Do any of these groups provide an entry point for addressing social development issues, such as gender or HIV/AIDS (e.g. by providing opportunities for information, education and communication activities, or access to credit or skills development)?

### Step 3: Follow-up

1. Organize follow-up discussions with members and leaders of selected groups.

2. It may be appropriate to interview external organizations (such as NGOs) that have supported any groups if they appear to be suitable entry points for project activities.

**Follow-up field tool**:

13: Decision-making matrix

## Table 5: Example of organization and group profiles, Southern Province, Zambia

| Type of group and date formed | Status and activities | Membership | | | Leadership | | | Potential entry point for addressing, for example, HIV/AIDS |
|---|---|---|---|---|---|---|---|---|
| | | Female | Male | Socio-economic composition | Female | Male | Socio-economic composition | |
| Village committee, 2000 | Operational; village administration | 2 | 8 | Richer HHs | 2 | 8 | Richer HHs | • coordinates village administration<br>• provides a forum for calling people together for HIV/AIDS discussions<br>• knows vulnerable households |
| Women's irrigation group, 2004 | Encouraged by Agricultural Extension Officer; operational and very active; members see group as very relevant, enabling women to grow cash crops, and a basis for developing skills in irrigated agriculture and new technologies | 25 | 3 | Mainly middle wealth HHs | 6 | 2 | Middle wealth HHs | • enables women to earn income and gives them some independence<br>• opportunity to include nutrition/home garden component<br>• basis for HIV/AIDS information, education and communication |
| Youth group: bee keeping, 2003 | Operational; active membership; top bar hives and training | 5 | 20 | Middle wealth HHs | 1 | 4 | Middle wealth HHs | • provides alternative employment<br>• keeps youth gainfully employed in village<br>• basis for HIV/AIDS information, education and communication |
| Under 5s club, 1995 | Operational; formed by Home Economics Officer. Focus on nutrition and home care for under 5s | 50 | - | Middle wealth and poorer HHs | 8 | - | Middle wealth HHs | • basis for HIV/AIDS information, education and communication<br>• nutrition education<br>• preventative steps regarding mother-to-child-transmission |
| Reciprocal labour groups, 1980 | Operate informally between mixed groups of women and men; leader is the person on whose land the group is working; assist each other at busy times of year | 15 | 15 | Poorer HHs and widows | - | - | - | • no formal structure so may be difficult to mobilize<br>• limitation that most vulnerable households unable to participate when severely labour stressed |

*(continued)*

| Table 5 *(continued)* | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|
| | | **Membership** | | | **Leadership** | | | | |
| **Type of group and date formed** | **Status and activities** | **Female** | **Male** | **Socio-economic composition** | **Female** | **Male** | **Socio-economic composition** | **Potential entry point for addressing, for example, HIV/AIDS** |
| Bereave-ment groups, 1985 | Households offer each other mutual support in times of crisis including food, cash and labour | 40 | 20 | Middle wealth and poorer HHs | 5 | 5 | Middle wealth HHs | • route to reach vulnerable HHs<br>• group being over-stretched during times of crisis<br>• basis for HIV/AIDS information, education and communication<br>• basis for home-based care training and support |
| Savings and credit group, 2000 | Group supported by microfinance institution; members make monthly savings; access short-term and medium-term credit through group | 15 | 45 | Middle wealth HHs | 2 | 6 | Middle wealth HHs | • source of credit for livelihoods diversification |

*See example of Venn diagram in stakeholder analysis (Field tool 6).*

## Field tool 6: Stakeholder analysis

*Purpose*
To identify the main stakeholders (institutions, agencies and individuals) relevant to a given activity, project or programme; to determine their interest in it; and to show their relationships and relative importance in influencing the outcome. This knowledge is helpful for identifying actions to minimize the risks and challenges and promote the opportunities in implementing an activity.

Stakeholders include direct beneficiaries and communities and also people and institutions external to communities at meso and macro levels (e.g. regional and national government officers, policy-makers, private sector and other civil society actors). Other people and institutions affected but not directly involved in the intervention are also stakeholders.

*Sources of information*
Community meetings or group discussions comprising different groups within the community, such as women and men from different socio-economic groups.

*How to conduct a stakeholder analysis*

### Step 1: Identifying stakeholders

1. List all the people, groups, organizations and agencies that have an interest in and/or will be positively or negatively affected, directly or indirectly, by the activity (see Box 13);

2. Include stakeholders external to the community, such as regional or national government, policy-makers, private sector and civil society.

### Step 2: Creating a Venn diagram

1. Before the meeting, cut out circles of paper of different sizes and colours;

2. Ask participants to indicate whether each stakeholder should have a small, medium or large circle (to represent its relative stake or the extent to which that stakeholder will be affected by the decision) and record its name on the circle. Use a different colour for individuals or groups who are likely to be affected negatively;

3. Draw a large circle on the ground or flip chart and explain that it represents the community;

4. Ask the participants to place their stakeholder circles within the community boundary (see Figure 3) in relation to each other according to the nature of their relationship and degree of contact with respect to the proposed activity:

   - separate circles = no contact
   - touching circles = exchange of information between institutions
   - small overlap = some support and partnership, shared interests
   - large overlap = a lot of synergy and collaboration, as well as shared interests

5. Discuss and reposition the circles until consensus is reached;

6. Draw broken lines to demonstrate conflict, competition and disagreement among stakeholders;

7. Repeat the process with the external stakeholders, placing their circles outside the community boundary.

### Step 3: Developing a matrix

1. Prepare a matrix on a flip chart (see Table 6) in order to deepen the understanding of the various players and their positions;

2. List the main stakeholders (people and institutions) with potential relevance to the development intervention in the left-hand column; list as many as are important;

3. Take time to discuss the various topic headings of the matrix and fill in the boxes of the first five column headings sequentially for each stakeholder:

   - services and assistance provided
   - interests in the activities
   - potential influence in the activities
   - relationships with other stakeholders
   - potential threats.

### Step 4: Conducting the analysis

1. Identify potential differences and conflicts between stakeholders;

2. Identify potential resistance and threats that may arise to proposed interventions;

3. Identify possible partnerships and opportunities for collaboration between stakeholders;

4. Identify proposed actions to be integrated into an action plan and record the information in the final column of the stakeholder matrix.

## Box 13: Example of stakeholders in a livestock dipping post

Local stakeholders may include:
- wealthy cattle owners with more than 200 head of cattle;
- poor men who each own 5 to 15 head of cattle;
- female heads of household who own 1 to 3 head of cattle;
- the owner of the land where the dipping post will be located.

External stakeholders include:
- the veterinary extension service;
- the meat marketing board;
- neighbouring villagers who may be impacted negatively by an increase in the livestock population dependent on common grazing areas.

## Figure 3: Example of Venn diagram, livestock dipping post
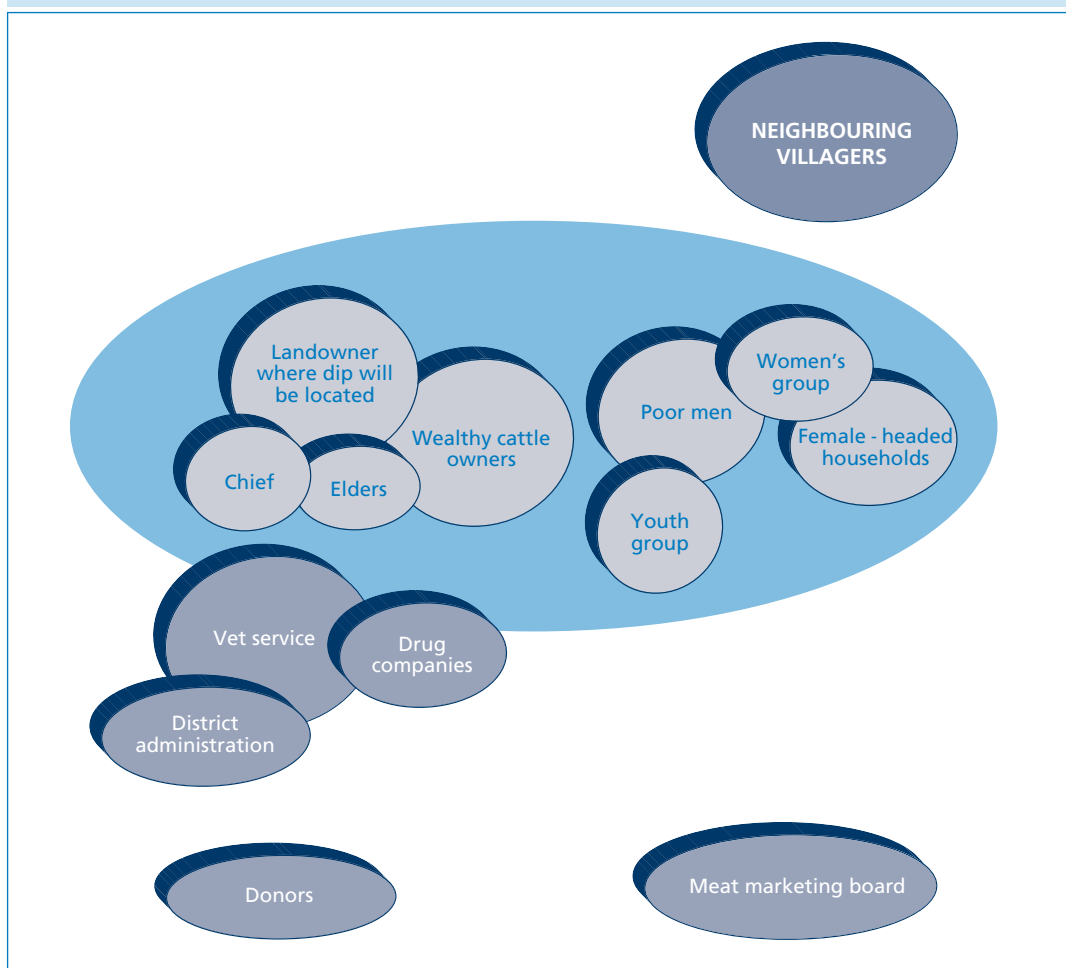
## Table 6: Example of stakeholder matrix, livestock dipping post

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

*Score: 1 = low, 3 = high

# Field tool 7: Problem analysis

*Purpose*

To explore the main strengths and problems facing the community (as perceived by different groups), their causes and effects and how the problems may be overcome.

*Sources of information*

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

*How to conduct a problem analysis*

### Step 1: Identifying strengths

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

### Step 2: Identifying problems

1. Ask group members to note down individually, on separate pieces of paper, two or three problems they are facing at present;

2. Make a list of all problems noted and count the number of times each problem has been cited. Use this list to rank the problems facing the community/focus group in order of importance.

### Step 3: Developing a problem tree (optional)

1. Prepare a problem tree to explore the interrelationships between problems. Often several of the problems are interrelated; for example, one person may note low yields as a problem, while another may note a lack of fertilizer or poor soil fertility;

2. Develop the problem tree around a core problem, its principal causes, the factors that give rise to those causes and, ultimately, the root causes. Examine up to five levels of causes;

3. Note both the immediate effects of the core problem and their linkages to subsequent effects;

4. Use the problem tree to identify the main root causes of problems facing the community/focus group and rank them in order of importance.

   *Visualization*: Draw the trunk of a tree with roots and branches; stick the pieces of paper with problems noted on the roots, and identify the relationships and hierarchy among the different problems. Repeat the process for solutions. See Figure 4.

### Step 4: Analysing problems

1. Select four or five problems that may be addressed through the proposed project and for each one identify:
   - its causes;
   - its effects;
   - coping mechanisms (how have people responded to date); and
   - other possible solutions at the community level that may or may not require external assistance. Where relevant, draw on the strengths identified in step 1.

   *Visualization*: Prepare outline matrix (see Table 7) and record information in the relevant cells.

### Step 5: Consolidating

1. How do the rankings differ among different groups within the community?

2. How can the views of poorer households, women and the youth be reflected among the priorities?

3. Ensure that the results can be used as a basis for community action planning;

4. In the village, village leaders should go back to the problem ranking. Which problems affect the most people? Which are the most urgent? Which problems are the easiest for the villagers to solve with their own resources and which are the most difficult?

**Follow-up field tool**:
8: Pairwise ranking

## Figure 4: Example of problem tree
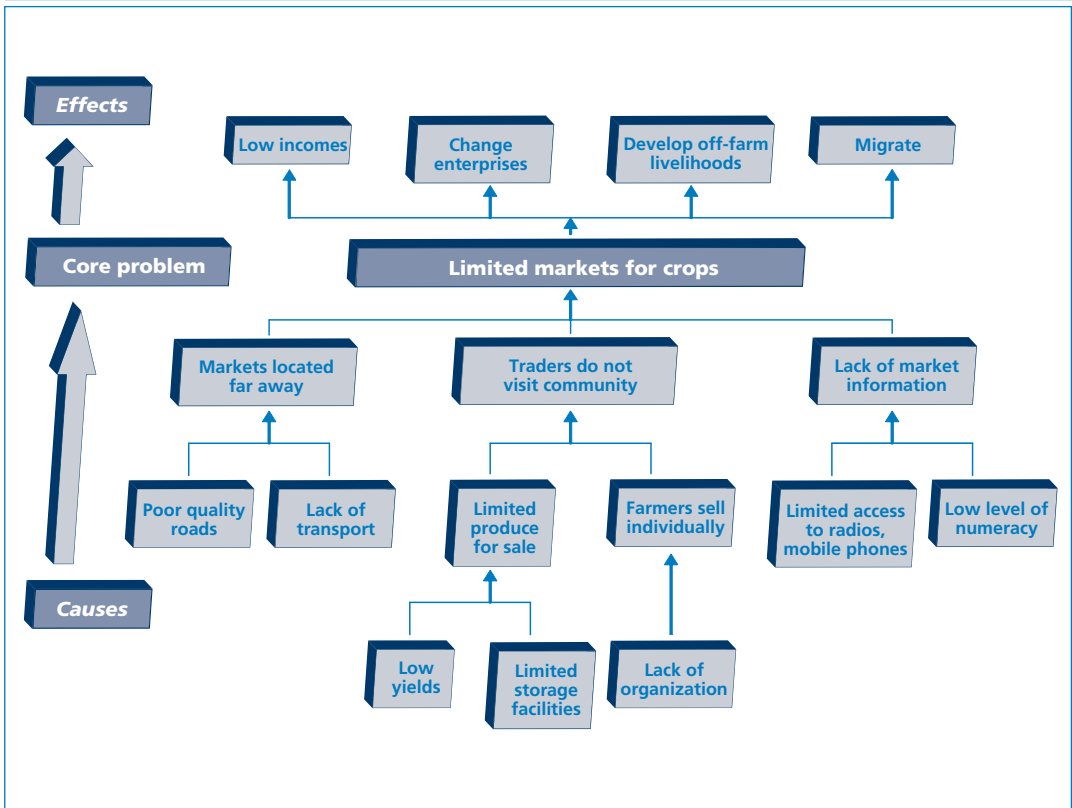
| Table 7: Example of problem matrix from Southern Province, Zambia | | | |
|---|---|---|---|
| **Problem** | **Cause of problem** | **Coping mechanism** | **How can village solve it?** |
| 1. No proper organized market for crops [13 votes] | • Markets are far<br>• Traders cannot come – poor road<br>• Local people have no money to buy produce | • Sell crops jointly (maize marketing coop)<br>• Grow crops with high demand | • Complete produce shed constructed by maize marketing cooperative<br>• Improve knowledge – learn to grow crops in high demand; develop marketing skills |
| 2. Shortage of cash/ no money for farm inputs [9 votes] | • Laziness<br>• Lack of start-up capital for business<br>• Lack of knowledge on how to farm as a business | • Piecework on other farms<br>• Sell firewood<br>• Sell chickens or goats | • Produce goats and chickens for sale<br>• Improve cooperative organization |
| 3. Transport expensive and in short supply [2 votes] | • Few transporters<br>• High cost of transport<br>• Bad road | • Bicycle, hire ox cart<br>• Grow crops to sell to nearby hospital | • Cooperate with people who own animal-drawn cart |
| 4. Debts [1 vote] | • Poor money management; lack of budgeting<br>• Didn't repay fertilizer loan<br>• Diverted loan to a use that generated little income | • Repay little by little | • Learn to manage money<br>• Learn how to manage credit |

# Field tool 8: Pairwise ranking

*Purpose*
To enable a group or a community to prioritize problems, and to understand the underlying reasons for the ranking. The same technique may be used to examine any choices (e.g. different crops or livestock, different varieties of a crop, different modes of rural transport).

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

## *How to conduct pairwise ranking*

### *Step 1: Ranking problems*

1. Ask the group to identify from four to six problems they are facing. If this is a follow-on activity to the problem analysis (field tool 7), use the list of problems already identified;
2. Write the problems along both the vertical and horizontal axes of a pairwise ranking matrix (see Table 8);
3. Also write each of the problems on a separate card;
4. Present a pair of cards (showing two different problems) to the group and ask them to choose the more important one;
5. Record their choice on the prepared matrix;
6. Ask them also to explain the reasons for their choice and record this information;
7. Repeat the process until all combinations of problems have been presented and decided upon.

### *Step 2: Analysis*

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

### *Step 3: Comparing different perspectives*

1. Organize a follow-up meeting, for example, according to socio-economic or age group. Make sure that both women and men are in all groups;
2. Repeat the exercise;
3. Compare the findings from the different focus groups with the results from the community group.

## Table 8: Example of completed pairwise ranking

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

## Field tool 9: Seasonal calendar and gender division of labour

### *Purpose*

To explore how seasonal variations affect the pattern of life throughout the year in terms of the principal agricultural and non-agricultural activities and the division of tasks among family members.

*Sources of information*

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

*How to prepare a seasonal calendar*

### Step 1: Note the pattern of rainfall

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

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

### Step 2: Describe farming activities

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

### Step 3: Describe gender division of labour

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

### Step 4: Other activities

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

**Follow-up field tool**:

10: Daily activity schedule

| Table 9: Example of seasonal calendar and gender division of labour, Southern Province, Zambia | | | | | | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| **Months** | A | S | O | N | D | J | F | M | A | M | J | J | **Gender division of labour** | |
| Rainfall | | | | | | | | | | | | | Women | Men |
| **Dryland - rainfed** | | | | | | | | | | | | | | |
| Land preparation using oxen | | | | | | | | | | | | | 2 | 8 |
| Land preparation by hand | | | | | | | | | | | | | 5 | 5 |
| Planting | | | | | | | | | | | | | 10 | 0 |
| Applying fertilizer | | | | | | | | | | | | | 4 | 6 |
| Weeding using oxen | | | | | | | | | | | | | 2 | 8 |
| Weeding by hand | | | | | | | | | | | | | 10 | 0 |
| Harvesting | | | | | | | | | | | | | 5 | 5 |
| Digging groundnuts | | | | | | | | | | | | | 10 | 0 |
| Transporting harvest using oxen | | | | | | | | | | | | | 2 | 8 |
| Transporting harvest by hand | | | | | | | | | | | | | 10 | 0 |
| Storage | | | | | | | | | | | | | 10 | 0 |
| Marketing | | | | | | | | | | | | | 0 | 10 |
| **Gardens** (situated along banks of river, in dambos near shallow wells) | | | | | | | | | | | | | | |
| Land preparation | | | | | | | | | | | | | 5 | 5 |
| Planting | | | | | | | | | | | | | 7 | 3 |
| Weeding | | | | | | | | | | | | | 9 | 1 |
| Watering | | | | | | | | | | | | | 6 | 4 |
| Harvesting | | | | | | | | | | | | | 5 | 5 |
| **Livestock** (all year) | | | | | | | | | | | | | | |
| Cattle-grazing | | | | | | | | | | | | | 1 | 9 |
| Milking cows | | | | | | | | | | | | | 4 | 6 |
| Goat grazing | | | | | | | | | | | | | 2 | 8 |
| Chicken rearing | | | | | | | | | | | | | 10 | 0 |
| **Other seasonal patterns** | | | | | | | | | | | | | | |
| Food availability | | | | | | | | | | | | | - | - |
| Hungry season | | | | | | | | | | | | | - | - |
| Expenditure (festivals, school fees) | | | | | | | | | | | | | - | - |
| Casual labouring | | | | | | | | | | | | | 5 | 5 |
| Human diseases | | | | | | | | | | | | | - | - |

# Field tool 10: Daily activity schedule

*Purpose*
To identify the different kinds of activities carried out in one day by women and men. Daily activity schedules are particularly useful for looking at relative workloads among different groups of people in the community, e.g. women, men, rich, poor, young and old. They can also be used to illustrate seasonal variations.

*Source of information*
Separate focus groups of women and men, including people from different socio-economic groups.

*How to prepare a daily activity schedule*

### Step 1: Preparing the clock

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

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

### Step 2: Recording the daily activity schedule

1. Ask women and men each to produce their own clock, recording what they do in a typical day during the busiest time of year. See Table 10;
2. They should identify all the activities carried out at different times of day and indicate how long they take;
3. Activities that are carried out simultaneously, such as child care and gardening, can be noted within the same spaces;
4. Ask the group to repeat the process for the quietest time of the year.

### Step 3: Interpreting the schedule

1. With the group, compare the differences in overall workloads between the busiest and quietest times of the year;
2. Identify the time spent in each season on either household, productive or community activities. Compare the results. See Table 11;
3. Compare the overall workloads and allocation of time between different types of activities between women and men. Who works the longest hours, who concentrates on a small number of activities, who divides their time among a multitude of activities and who has the most leisure time and sleep?

| Women | Time (hours) | Men |
|---|---|---|
| **Table 10: Example of daily activities in wet season in Southern Province, Zambia** (information collected separately from groups of women and men) | | |
| **Women** | **Time (hours)** | **Men** |
| Wake up | 04.00 | Wake up |
| Prepare sweet beer Prepare seed for field | 05.00 | Yoke the oxen |
| Work in the fields | 06.00 | Work in the fields |
|  | 07.00 |  |
|  | 08.00 |  |
|  | 09.00 |  |
| Short break: drink sweet beer | 10.00 | Short break: drink sweet beer |
| Work in the fields | 11.00 | Work in the fields |
| Prepare lunch | 12.00 | Feed oxen Milk cows Fix ploughs |
| Lunch | 13.00 | Lunch |
| Grind maize | 14.00 | Return to the fields for harrowing |
| Return to fields | 15.00 | Scare birds Remove shrubs |
| Return home | 16.00 |  |
| Draw water Collect firewood Collect relish Bathe | 17.00 | Prepare tools for next day Rest |
| Draw water Collect firewood Collect relish Bathe | 17.00 | Prepare tools for next day Rest |
| Bathe children Prepare supper Prepare sweet beer | 18.00 | Rest |
| Supper | 19.00 | Supper |
| Go to bed | 20.00 | Chat |
|  | 21.00 | Go to bed |

| Table 11: Summary of use of time in wet season | | |
| --- | --- | --- |
| **Hours spent on…** | **Women** | **Men** |
| Productive work | 8.5 | 10.5 |
| Household tasks | 4.5 | 0.0 |
| Resting, socialising | 3.0 | 5.5 |
| **Total per day** | **16.0** | **16.0** |

## Field tool 11: Access to and control of resources

*Purpose*
To examine the differences between men and women in terms of their access to and control over resources.

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

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

### Step 1: Resources

1. With the group, draw up a list of all resources available to people in the village (e.g. articles for domestic use, farming or off-farm work). The list need not be exhaustive but it should include items relevant to the project. See Table 12;
2. Record the list in the left-hand column of the matrix;
3. Explain the difference between access and control:

   ■ Access represents the opportunity to use a resource (such as an axe, or to work on the land) without having the authority to make decisions about its use;

   ■ Control represents the full authority to make decisions about the use of a resource.

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

### Step 2: Access to resources

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

### Step 3: Control over resources

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

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

### Step 4: Analysis

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

### Step 5: Differing perspectives

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

| | Access | | Control | |
|---|---|---|---|---|
| **Table 12: Example of access and control over livelihood assets, South Province, Zambia** | | | | |
| **Asset** | **Women** | **Men** | **Women** | **Men** |
| Hoe | 8 | 2 | 8 | 2 |
| Axe | 3 | 7 | 1 | 9 |
| Sickle | 10 | 0 | 9 | 1 |
| Oxen | 3 | 7 | 0 | 10 |
| Plough | 2 | 8 | 0 | 10 |
| Ox cart | 4 | 6 | 0 | 10 |
| Maize | 5 | 5 | 2 | 8 |
| Groundnuts | 10 | 0 | 9 | 1 |
| Vegetables | 6 | 4 | 9 | 1 |
| Cattle | 3 | 7 | 0 | 10 |
| Goats | 5 | 5 | 2 | 8 |
| Chickens | 9 | 1 | 8 | 2 |
| Pigs | 6 | 4 | 3 | 7 |
| Dryland | 5 | 5 | 0 | 10 |
| Gardens | 9 | 1 | 1 | 9 |
| House | 5 | 5 | 2 | 8 |
| Hand grinding mill | 9 | 1 | 2 | 8 |
| Granaries | 9 | 1 | 3 | 7 |
| Kitchen utensils | 8 | 2 | 9 | 1 |
| Radio | 4 | 6 | 0 | 10 |
| Bicycle | 3 | 7 | 1 | 9 |
| Hired labour | 2 | 8 | 1 | 9 |
| Children – girls | 7 | 3 | 3 | 7 |
| Children – boys | 4 | 6 | 2 | 8 |
| Agricultural extension officer | 1 | 9 | Other | Other |
| Community health worker | 8 | 2 | Other | Other |
| Meetings | 4 | 6 | Other | Other |
| Credit | 1 | 9 | Other | Other |

## Figure 5: Example of resource and benefit flows in a fishing community, Lake Victoria, Uganda
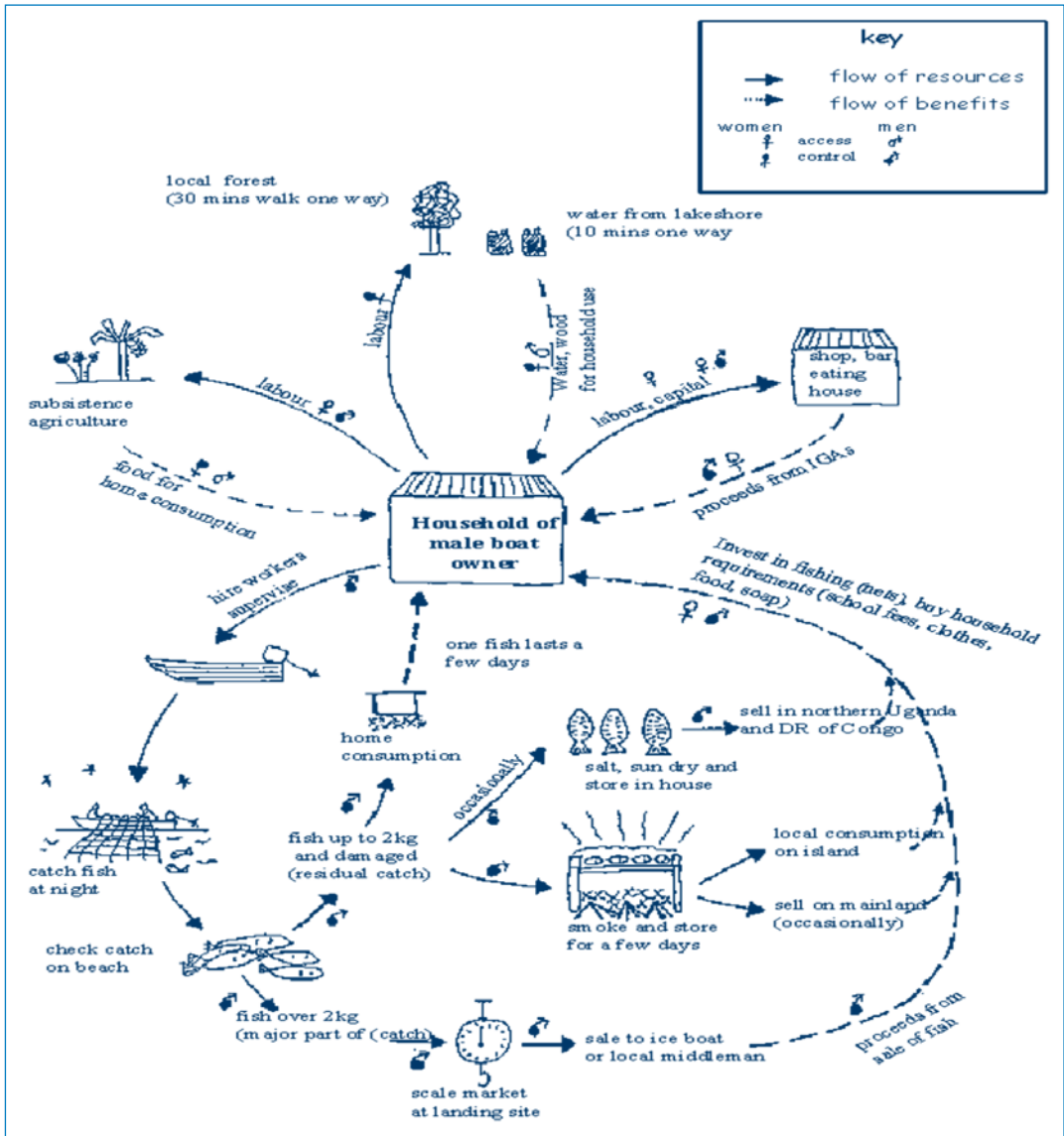
# Field tool 12: Sources and use of money

*Purpose*

To identify the main sources and uses of money, and to explore how they differ between women and men. The same tool could be used to examine these differences between richer and poorer households, livestock and cropping households, etc.

*Sources of information*

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

*How to examine gender differences in sources and uses of money*

### Step 1: Sources of money

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

### Step 2: Expenditure

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

### Step 3: Analysis

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

## Table 13: Example of sources of income, Southern Province, Zambia

| Source of income | According to women | According to men |
|---|---|---|
| For women | 1. Chickens<br>2. Vegetables, groundnuts<br>3. Goats<br>4. Maize, sweet potatoes, pigs | 1. Groundnuts<br>2. Chickens, handicrafts (knitting, weaving)<br>3. Goats, pottery |
| For men | 1. Cattle<br>2. Goats<br>3. Maize<br>4. Pigs<br>5. Vegetables<br>6. Construction, brick-making, working for others | 1. Maize<br>2. Sunflower<br>3. Vegetables<br>4. Chickens, cattle |

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

| Item of expenditure | According to women | According to men |
|---|---|---|
| **Table 14: Example of items of expenditure, Southern Province, Zambia** | | |
| By women | 1. Food<br>2. School fees<br>3. Clothes<br>4. Medical expenses<br>5. Kitchen utensils, household items | 1. Kitchen utensils<br>2. Clothes<br>3. Food<br>4. School fees, household items, small livestock (chickens, goats) |
| By men | 1. Marrying a new wife/girlfriends<br>2. Cattle, fertilizer, food<br>3. Seed, farm implements<br>4. School fees<br>5. Beer | 1. Fertilizer<br>2. Clothes, school fees<br>3. Farm implements<br>4. Medical expenses<br>5. Household items |

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

# Field tool 13: Decision-making matrix

*Purpose*
To examine the differences between men and women in terms of their participation in decision-making at household, group and community levels.

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

*How to examine gender differences in decision-making*

### Step 1: Identifying decisions made at various levels
1. Ask the group to identify the different types of decisions made at household, group and community levels;
2. Record the list in the left-hand column of the matrix (see Table 15).

### Step 2: Decision-making between women and men
1. Using ten stones to represent ten points, ask the group to indicate the relative contribution to decision-making by women and men. For example, ten stones allocated to women and zero to men indicates that women exercise complete control over the decision, whereas five stones to women and five to men indicates that they undertake the decision-making jointly. Two stones allocated to women and eight to men indicate that men have more say than women in the decision.

### Step 3: Analysis
1. Note who plays the dominant role in decision-making in the home, groups and community;
2. Will the pattern of decision-making have any implications for the uptake of proposed project activities?

| Table 15: Example of decision-making matrix | | |
| --- | --- | --- |
| | **Decision-making** | |
| **Types of decisions** | **Women** | **Men** |
| *At household level* | | |
| Daily budget | 4 | 6 |
| Education of children | 5 | 5 |
| Use of family planning service | 3 | 7 |
| Health service | 4 | 6 |
| Construction and maintenance of home | 1 | 9 |
| Purchasing of farm inputs | 2 | 8 |
| Area of crops to grow | 3 | 7 |
| Selling of farm produce | 1 | 9 |
| *At group level* | | |
| Membership of farmers' group | 5 | 5 |
| Membership of home-based care group | 8 | 2 |
| Membership of savings and credit group | 4 | 6 |
| Leadership of farmers' group | 5 | 5 |
| Leadership of home-based care group | 5 | 5 |
| Leadership of savings and credit group | 5 | 5 |
| *At community level* | | |
| Participate in general discussion and make suggestions | 3 | 7 |
| Elect leaders | 5 | 5 |
| Make decisions | 5 | 5 |
| Leadership of community | 3 | 7 |
| Chair community meetings | 1 | 9 |

# APPENDIX 1: RESOURCES

**Websites**

Bridge: A central point for gender and development information
www.bridge.ids.ac.uk

Eldis: A gateway to global development information on international development issues
www.eldis.org

FAO participation webpage
www.fao.org/participation/

Food and nutrition technical assistance (FANTA)
http://www.fantaproject.org/

International Center for Research on Women
http://www.icrw.org/

IFAD knowledge notes on gender
www.ifad.org/gender/learning/index.htm

International Institute for Environment and Development (IIED)
http://www.iied.org/

UN Women web portals and online resources
http://www.unwomen.org/resources/web-portals-and-online-resources/

Women's Empowerment Mainstreaming and Networking (WEMAN) for Gender Justice in Economic Development
http://www.wemanglobal.org/1_WEMANVision.asp

World Bank Social Development
http://go.worldbank.org/8WWCZQ5Q0

**Documents**

FAO Socio-economic and gender analysis (SEAGA) handbooks
http://www.fao.org/sd/seaga/4_en.htm

FAO (2006) A rapid guide for missions, Analysing local institutions and livelihoods
http://www.fao.org/sd/dim_pe4/pe4_060401_en.htm

Gender action learning system (GALS)
http://www.wemanglobal.org/2_GenderActionLearning.asp

Mayoux, L. and Mackie, G. (2007) Making the strongest links, A practical guide to mainstreaming gender analysis in value chain development, ILO

Mehra, R. and Gupta, G. R. (2006) Gender Mainstreaming: Making it happen, Washington DC: International Center for Research on Women
http://www.icrw.org/files/publications/Gender-Mainstreaming-Making-It-Happen.pdf

Participatory action learning system (PALS)
http://www.lindaswebs.org.uk/Page3_Orglearning/PALS/PALSIntro.htm

USAID (2010) Guide to gender integration and analysis
http://www.usaid.gov/policy/ads/200/201sab.pdf

World Bank, FAO and IFAD (2008) Gender in Agriculture Sourcebook

http://web.worldbank.org/WBSITE/EXTERNAL/TOPICS/EXTARD/EXTGENAGRLIVSOUBOOK/0,,contentMD
K:21348334~pagePK:64168427~piPK:64168435~theSitePK:3817359,00.html

World Bank (2007) Tools for Institutional, Political and Social Analysis of Policy Reform: A Sourcebook
for Development Practitioners
http://web.worldbank.org/WBSITE/EXTERNAL/TOPICS/EXTSOCIALDEVELOPMENT/EXTTOPPSISOU/0,,men
uPK:1424015~pagePK:64168427~piPK:64168435~theSitePK:1424003,00.html

**Checklists**

Integrating gender issues into UN Joint Programmes for food security, agriculture and rural development
http://www.fao.org/docrep/013/i1914e/i1914e.pdf

ADB Gender checklist agriculture
http://www.adb.org/Documents/Manuals/Gender_Checklists/Agriculture/default.asp?p=genchck

IFAD tools and guidelines on gender
http://www.ifad.org/gender/tools/index.htm

IFAD food security memory checklist
http://www.ifad.org/gender/approach/gender/mem.htm

IFAD gender and household food security knowledge notes
http://www.ifad.org/gender/learning/index.htm

Bill and Melinda Gates Foundation gender checklist
http://www.enrap.org/events/ifad-events/Checklist%20Gender%20Gates%20Foundation%20April%20
08.pdf/view

**More links**
*Links to resources by agency are presented in the Manager's Guide,
Appendix 3.*

# APPENDIX 2: REVIEW OF PARTICIPATORY TOOLS

| Theme | Participatory tool | Current use | Strengthening gender perspective |
|---|---|---|---|
| General context of community | Focal area map | Conduct initial orientation. | - |
| | Transect walk | Describe slopes, soils, food and cash crops, livestock, trees, water sources, socio-economic indicators. | - |
| | Historical timeline | Record major events (such as famines, wars, new crops, markets). | Include socio-economic changes such as migration of labour, changes in composition of community (FHHs, grandparent-headed HHs, double orphans). |
| | Trend lines | Document soil erosion and control; rainfall; livestock numbers; fodder availability; crop production; fertilizer and manure use; labour supply and demand; population; land sub-division. | - |
| | Wealth ranking | Describe livelihood assets, strategies and outcomes of different wealth groups in community. | Identify distribution of types of households by wealth (male-headed, female-headed, monogamous, polygamous, grandparent-headed, orphan-headed). |
| | Household mapping | Map location of households in community and identify their wealth. | Identify sex of household head. |
| | Gender discussion | Describe taboos, avoidance. | Include likes and dislikes of being a woman or a man. |
| | Natural and livelihoods resource map | Identify natural and other resources available within community for livelihoods and infrastructure. | Show access to and control over key resources and benefits by women and men (using ten-point system). User rights |
| | Mobility mapping | Identify location of essential services (e.g. water, traditional medicine, health, education, electricity, labour, market, vet services, administration, firewood), infrastructure (quality of roads, mode of transport) and distance travelled. | Include sex and age of traveller, mode of travel, frequency of journey and travel time, purpose of journey in order to understand workload implications for women and men and their access to services. |
| Labour | Seasonal calendar | Show activities by month, technologies used for different activities, peak workloads, food availability, off-farm work. | Include gender division of labour for each activity, use of tools. |

*(continued)*

| Theme | Participatory tool | Current use | Strengthening gender perspective |
|---|---|---|---|
| Labour | Daily activity calendars for women and men | Record daily activities separately for women, men and youth in general (no differentiation on the basis of sex). | Prepare separate activity charts for busiest and quietest times of the year. Record hours per day spent in household, productive, community and leisure activities for women and men. |
| | Enterprise analysis for individual enterprises | Indicate whether men, women, both or children do principal tasks, from land preparation to post harvest and marketing. | Use ten-point scoring system to show gender division of labour in more detail. |
| | Gender division of labour | Indicate principal tasks of men, women, both or children in household, productive and community activities. | Use ten-point scoring system to show gender roles in more detail. |
| Enterprise analysis | Crops | Rank importance by various criteria. | Collect information separately from groups of women and men. |
| | Livestock | Rank importance of different types of livestock; prepare animal diseases calendar. | Collect information separately from groups of women and men. |
| | Agro-forestry | Rank types of trees and their uses by various criteria. | Collect information separately from groups of women and men. |
| | Value chain mapping | Identify key actors in value chain and their relative strengths and weaknesses. | Include gender of key actors. |
| Use and control of resources and benefits | List of livelihood assets | List assets used by enterprise or activity. | Show access and control over key resources and benefits by women and men (using 10 point system). |
| | Indigenous knowledge | Describe use of trees and plants in home, for health care (human and livestock diseases). | Collect information separately from women and men. |
| | Sources and use of money | List five main sources of income and five main items of expenditure in a household. | Collect information separately from women and men. |
| Institutional analysis | Venn diagram | Show relative importance of different organizations and their linkages. | Women and men prepare diagrams separately. |
| | Organization and group profiles | Describe activities, membership and leadership base, training, external support, linkages with other groups, challenges and constraints. | Record composition of membership and leadership by sex and socio-economic status. |
| | Stakeholder analysis | Identify main stakeholders relevant to a given activity, project or programme; their interest in it; their relationships and relative importance in influencing outcome. | Collect information about perceptions of stakeholders from women and men separately. |

*(continued)*

| Theme | Participatory tool | Current use | Strengthening gender perspective |
|---|---|---|---|
| Livelihoods analysis | Livelihoods matrix | Collate information required for conducting a livelihoods analysis. | Ensure HHs selected for interviews include cross-section of HH types found in community (by socio-economic group and sex of HH head). |
| | HH semi-structured interviews and farm sketches | Describe crop and livestock production, soil and water conservation, irrigation, home economics, marketing, agroforestry, farm management, gender roles regarding livestock, indigenous knowledge. | Ensure HHs selected for interviews include cross-section of HH types found in community. |
| | Decision-making matrix | Show participation in decision-making in household, groups and at the community level. | Show differences between women and men in their participation in decision-making. |
| Community planning | Community achievements | Discuss main achievements in community. | Collect information separately from women and men. |
| | Problem analysis | Identify main problems in community, with detailed analysis of each problem: cause, effect, coping strategy and opportunities. | Conduct problem analysis separately with women, men and youth. When coping strategies and solutions are identified, determine which family members will be doing the work. |
| | Pairwise ranking | Show pairwise ranking of problems. | Conduct ranking exercise separately with women and men. Record reasons underlying ranking. |
| | Community action plan | Identify action required, inputs (personnel, locally available materials, external inputs), implementation schedule and responsibilities, follow-up. | Identify implications of labour inputs (for community contribution) on different members of community. Identify which members of community will reap most benefit from opportunities for income generation. |
| | Participatory M & E | Identify indicators for each activity at two levels (community and project management). | Identify indicators to be gender sensitive. |

The three guides demonstrate the application of social analysis to investment programmes and projects in agricultural and rural development. These guides have two overall purposes:

- to sensitize managers to the role of social analysis in the context of agriculture and rural development, and to provide guidance on how to include social analysis in regular mission work; and

- to equip those responsible for conducting social analysis with a conceptual framework, tools and checklists for conducting the fieldwork, and designing project activities based on the findings.

The **Manager's Guide,** addresses the needs of project managers and team leaders. It describes:

- the main parameters of social analysis in the context of agricultural and rural development investments, and the conceptual approach which underpins the three guides;

- the use of social analysis from three perspectives:
  - international agencies;
  - development approaches;
  - the programme cycle;

- management aspects of conducting social analysis – such as recruitment, roles and responsibilities.

The **Practitioner's Guide** deals with the 'why and what' questions in depth, building on the conceptual approach presented in the Manager's Guide. It describes:

- the sustainable livelihoods framework for understanding the dynamics of rural poverty and livelihoods, social diversity and gender in the context of agriculture and rural development;

- the main entry points for conducting social analysis;

- the range of inputs that may be made to project design;

- how the findings and recommendations are drawn together into a technical paper and summary matrices;

- tools for tracking social aspects of development.

The **Field Guide** provides practical guidance on the fieldwork aspects of social analysis, based on the framework for examining rural livelihoods presented in the Practitioner's Guide. It considers:

- the practical aspects of integrating social analysis into missions;

- data collection activities and checklists for work at the national, regional and district levels and in community-based discussions, focus group discussions and individual household interviews;

- participatory tools suitable for social analysis fieldwork.