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.

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.

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
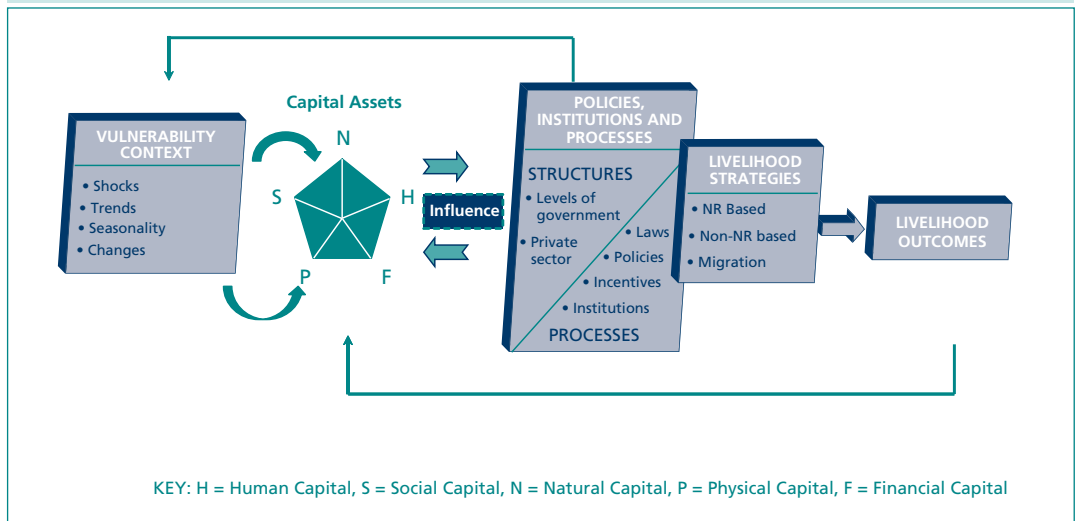
Source: Adapted by FAO from the original flow diagram prepared by DFID in 1999.

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.

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)

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).

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

Non-poor households · Poor households · Poorest households
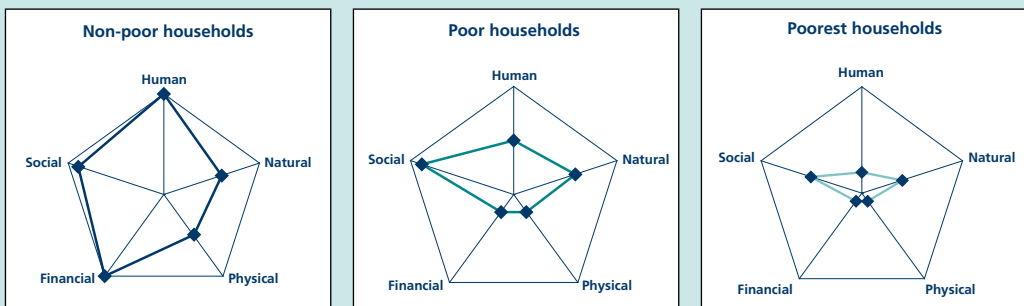
Human capital - Non-poor households rank very high on human capital because they have very large compounds with many wives and a large number of able-bodied adult workers who have better education and skills. The poorest households are often headed by women. They have very few household members, with 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.

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 • High infant, child and maternal mortality • Labour constraints • High number of female-headed households often lacking labour, cash, access to resources, networks • High HIV/AIDS prevalence resulting in burdens of caring for the sick, increased numbers of household dependents, low life expectancy and constrained household resources • Low post-primary education rates • Decent level of literacy • Poor access to training, knowledge, skill-building opportunities	• Create safety net productive capacity initiatives for highly vulnerable households • Provide support to community nutritional gardens, including vulnerable households • 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 • Increasing limitations to land access, notably grazing lands • Low and erratic rainfall • Limited water sources	• Improve soil fertility through conservation farming, improved technologies • Increase access to reliable water sources • Expand/replicate community gardens
Physical resources	• Limited access to irrigation • Insufficient or non-operational water sources/boreholes/dams • Limited access to agricultural inputs • Sales of livestock for cash needs • Animal disease, poor animal health care • Lack of equipment for production and for income-generation	• Rehabilitate/develop small dams and irrigation schemes • Repair/develop new boreholes and support community water management/water user associations • Increase access to inputs and farm equipment • Support community-based animal health care schemes • Support productive enterprises
Financial resources	• Lack of start-up capital • Few income-generating options • Limited currency in circulation – barter trade • Cross-border employment rendering little cash • Most former savings and loans and rural banks collapsed and no longer supported by NGOs • 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) • Provide key assets for associations to start small businesses • Build capacity for groups in business management and marketing
Social capital	• Established cooperatives/associations for gardening, small livestock, food processing • 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) • Established local government and operational assemblies at village, ward, district and provincial levels • Existing participatory development planning processes • Inadequate leadership roles and voice for women in key decision-making rural institution positions	• Strengthen institutions to support community-based groups, associations • Strengthen local government structures, emphasizing inclusion in participatory planning • Create pass–on schemes and vouchers to include the most vulnerable • 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.

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
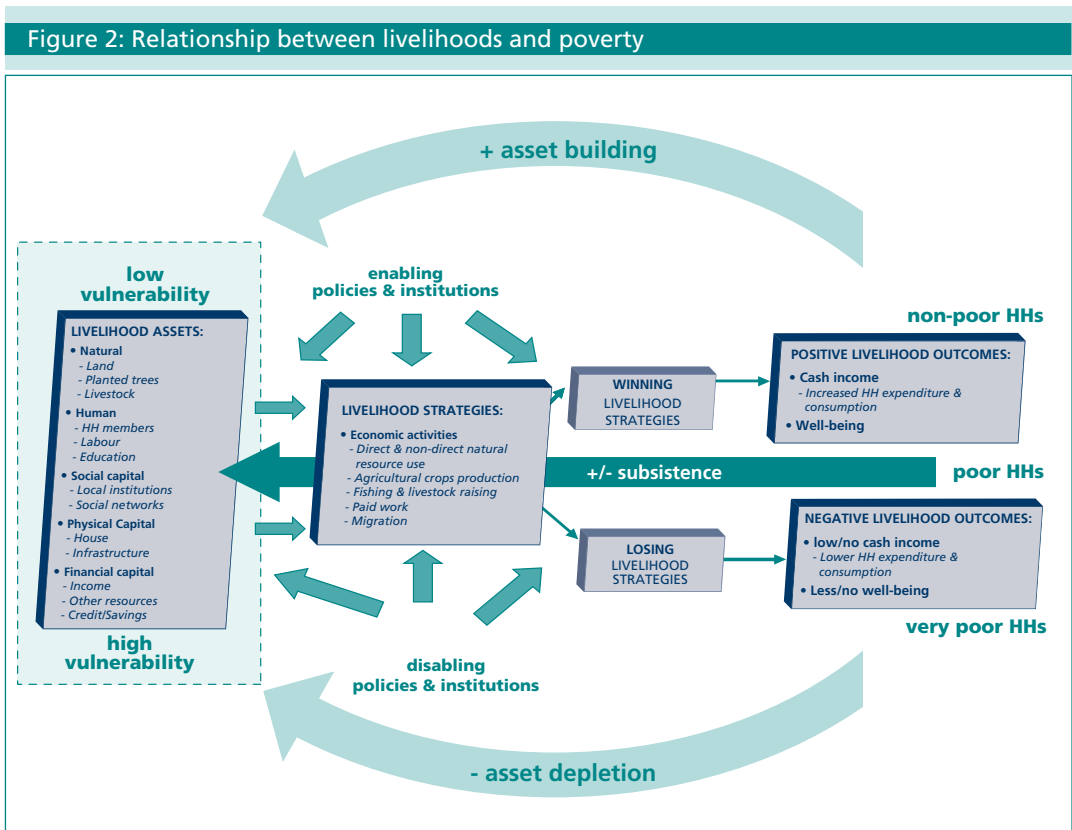
Non-poor households have a strong asset base that, in combination with enabling policies and institutions, enables them to adopt winning livelihood strategies that lead to positive livelihood outcomes such as income, food security, well-being and savings. Their savings accumulate into additional assets. 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.

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
	• Discussions at national and regional levels
	• Discussions at the district level
	• Community meeting
		• National and regional level checklists
		• District level checklist
		• Community checklist 1
		Plus:
		  Field tool 1: Historical timeline
		  Field tool 2: Natural and livelihoods resource map

Wealth ranking, livelihoods and vulnerability analysis	• Community meeting
	• Individual household interviews
		• Community checklist 2
		Plus:
		  Field tool 3: Wealth ranking
		  Field tool 4: Livelihoods analysis matrix

Institutional and stakeholder analysis	• Community meeting
	• Focus group discussions
		• Community checklist 3
		Plus:
		  Field tool 5: Organization and group profiles
		  Field tool 6: Stakeholder analysis

Priorities, needs and opportunities	• Community meeting
	• Focus group discussions
	• Individual household interviews
		• Community checklist 4
		Plus:
		  Field tool 7: Problem analysis
		  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 • Discussions at national and regional levels • Discussions at the district level	• National and regional level checklists • District level checklist

Gender roles, responsibilities and workloads in production and livelihood systems	• Focus groups (separate meetings with women and men)	• Gender checklist
		Plus:
		   Field tool 9: Seasonal calendar and gender division of labour
		   Field tool 10: Daily activity schedule

Access to and control of resources	• Focus groups (separate meetings with women and men)	• Gender checklist
		Plus:
		   Field tool 11: Access to and control of resources
		   Field tool 12: Sources and use of money

Skills, knowledge and information	• Focus groups (separate meetings with women and men)	• Gender checklist
		Plus:
		   Field tool 11: Access to and control of resources
		   Field tool 13: Decision-making matrix

Decision-making	• Focus groups (separate meetings with women and men)
	• Organizations
		• Gender checklist
		Plus:
		   Field tool 13: Decision-making matrix
		   Field tool 5: Organization and group profiles

Priorities, needs and opportunities	• Community meeting
	• Focus groups (separate meetings with women and men)
		• Community level checklist 4
		• Gender checklist
		Plus:
		   Field tool 7: Problem ranking
		   Field tool 8: Pairwise ranking

Socio-economic position and outlook for FHHs	• Community meeting • Focus group of FHHs	• Gender checklist *Plus:* 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 • Discussions at national and regional levels • Discussions at the district level	• National and regional level checklists • District level checklist

Characteristics of poverty	• Community meeting
	• Focus group discussions
	• Individual household interviews
		• Community checklists 1 and 2
		• Gender checklist
		Plus:
		    Field tool 1: Historical timeline
		    Field tool 2: Natural and livelihoods resource map
		    Field tool 3: Wealth ranking
		    Field tool 4: Livelihood analysis matrix

Causes of poverty	• Focus group discussions
	• Individual household interviews
		• Community checklist 2
		• Gender checklist
		• Individual household interview checklist
		Plus:
		    Field tool 3: Wealth ranking
		    Field tool 4: Livelihood analysis matrix

Coping strategies	• Focus group discussions
	• Individual household interviews
		• Community checklists 2 and 3
		• Gender checklist
		• Individual household interview checklist
		Plus:
		    Field tool 3: Wealth ranking
		    Field tool 4: Livelihood analysis matrix
		    Field tool 5: Organization and group profiles

Priorities, needs and opportunities	• Community meeting
	• Focus group discussions
	• Individual household interviews
		• Community checklist 4
		• Gender checklist
		• Individual household checklist
		Plus:
		    Field tool 7: Problem analysis
		    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 • Focus group discussions	• Community checklist 3 *Plus:* 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.

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.

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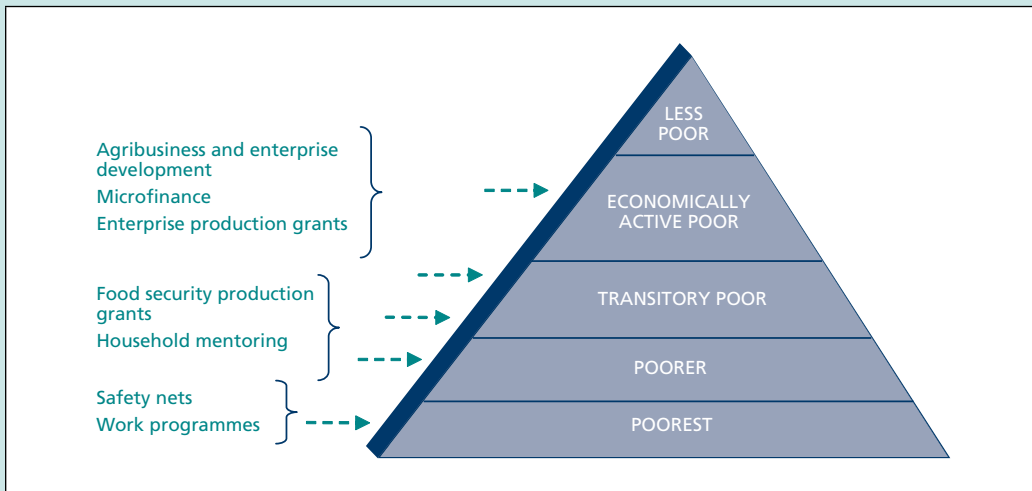
The programme introduced graduated activities to address the needs of specific groups of smallholder farmers including:

- 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).

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.

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.

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.

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).

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).

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).

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).

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?

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.

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 assess-ments, 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** • Farmers with land and irrigation schemes **Nature of benefits** • Extend growing season • Diversify crops • Improve irrigation agronomic practices • Form water users' association • 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) • Form a water users' association • Pay user fees • Participate in maintenance works • 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) • Reallocation of plot if household is unable to cultivate for one season • Inability of households with few able-bodied members to participate in maintenance works	• Increase transparency in plot administration, introduce grievance procedure • Make allowance if household is unable to cultivate a plot for a season • Identify alternatives for households with limited number of members to contribute to construction and rehabilitation work
Water harvesting and catchment conservation	**Beneficiaries** • Poorer farmers with only rainfed land in catchments around irrigation schemes **Nature of benefits** • Grants for demonstration sites	• Work in groups of at least five households • 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** • Farmer groups (with up to 15 members) creating productive assets or improving knowledge/ skills through extension support, training and marketing **Nature of benefits** • Grant of up to USD 3,000 per group • 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 • Extension, training and capacity building to be funded entirely by grant	• Fund dominated by irrigation scheme beneficiaries • Poorer farmers and women less able to participate in groups and develop viable proposals	• Introduce quotas and graduate grant size • 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** • Labourers on community infrastructure projects (e.g. road rehabilitation) **Nature of benefits** • Receive input voucher worth approximately USD 20	• Work for 20 days on community infrastructure asset	• Exclusion of households facing severe labour shortages • Exclusion of those unable to work for deferred benefits • 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** • Recruit more women extension staff to improve outreach among women farmers **Enabling environment for smallholder agriculture** • Launch Ministry of Agriculture (MOA) agricultural gender policy framework • Review land tenure issues to improve access issues for women and youth • Review financial services to identify and address access issues for women and youth, including seasonal credit • Sensitize and build capacity of MOA senior management and operational staff in gender and youth issues • Train MOA gender focal points • Promote HIV/AIDS behaviour change communication among MOA staff • 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** • Introduce annual district best performance awards for women and youth in rainfed smallholder sub-sector **Service delivery to farmers** • Integrate gender and HIV/AIDS issues into training and refresher courses for extension staff • Ensure communication, extension materials and knowledge packages are gender sensitive (e.g. language, literacy level, topics) • Ensure extension methodologies are gender sensitive and inclusive (e.g. location, timing, language) • Develop farmer skills in farming as a business and entrepreneurship – record keeping, planning and savings • Provide training in household planning, gender empowerment, succession planning and financial management, and promote adult literacy classes • Promote linkages between ASCs and other sources of support for income generating activities for women and youth • 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 • Conduct leadership training, particularly for men from poorer households, women and youth • Support group formation and strengthening, including women/youth groups associations and networks • 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** • Establish quotas for women and youth to participate in allocation of irrigable land • Establish nutrition gardens for people living with HIV/AIDS **Service delivery to farmers** • Develop unallocated land for the youth to lease in groups • Establish quotas for women and youth to participate in community sensitization meetings, training, study tours for rainfed and irrigated lands • Establish quotas for men to participate in community conversations and increase participation in home-based care for people living with HIV/AIDS • Establish quotas for women and youth to participate in ASC management committees, farmer groups and associations, higher level farm organizations **Enabling environment for smallholder agriculture** • Adapt criteria for accessing programme-supported credit to enable women and youth to participate • Repackage fund for women's projects – lower thresholds, small sums of money, easier to access • Consolidate funds for youth in agriculture and enterprise development • 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** • Ensure programme support for draught animal power as well as tractors • Support conservation agriculture technologies suitable for adoption by women, youth and poorer households • 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** • Simplify and streamline application procedures and record-keeping • Translate application forms and project documents into the local language • Communicate criteria for participating in project to community
Operational measures – to assign responsibility for implementing social aspects of project design	**Project management** • Mainstream gender, youth and HIV/AIDS considerations into programme implementation manual • Ensure terms of reference for project staff include responsibility for gender, youth and poverty targeting • Discuss gender, youth and targeting issues at launch workshops, community sensitization meetings • 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** • Identify gender and youth sensitive indicators and incorporate in logframe • Ensure gender and youth dimension in baseline survey, impact assessments, and mid-term review • 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 • 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 • 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 • 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 • Observing traditional gender division of labour results in delays in certain activities (e.g. women and children harvest the crop) and reduces overall productivity • Household productivity compromised by labour-intensive household tasks • 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 • Encourage household to work as a unit and overcome gender division of labour • Develop women's/men's skills in areas that are not traditionally considered to be in their own domain • Target women and female-headed households to participate in technology development, transfer and adoption • Identify and promote labour-saving technologies • Change mindsets in rural community to move towards more equitable distribution of workloads between women and men • Encourage skills transfer among household members • Strengthen women's access to productive resources (e.g. through land titles, access to microfinance) • Strengthen women's legal literacy • Encourage women to grow commercial crops on group basis
Extension	• Women active as members of farmer groups • Men often take on leadership positions	• Provide leadership training for women and men • Select women to host on-farm demonstrations and field days • Encourage women's participation on exposure visits • Technical service provision to farmer groups
Marketing	• Women farmers more active in transporting small volumes to local markets by head • Men dominate larger volume sales, even when crops were formerly regarded as being in the women's domain • Men transport larger volumes to more distant locations using range of transport • Women have more limited access to market information, less experience in negotiating skills, less experience in managing money • Many farmers lack of business skills and experience of how to operate a farm as a business and produce for the market • Large buyers and millers may take advantage of the weak bargaining position of many small, poorly-informed producers • 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 • Develop women's business, entrepreneurship and negotiation skills • Promote women's self-help groups for processing, marketing, transporting and sharing market information • Design strategies to provide women with more knowledge and information to enable them to make informed decisions (e.g. through community information networks) • Use quotas to ensure women farmers represented at value chain development stakeholder workshops • Develop HIV/AIDS competence among community members • Encourage HIV counselling and testing for all value chain actors • 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 • Smaller traders have limited capital with which to buy produce and to compete against larger buyers and millers, including those from neighbouring countries • 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 • Promote women's self-help groups for transporting and sharing market information • Provide women's entrepreneurship awards • Introduce microloans for small business ventures with no collateral requirements • Provide opportunities to develop alternative livelihoods • 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) • Some characteristics of improved varieties (e.g. hard shell of hybrid sunflower) not suitable for local processing • Loss of opportunity to diversify farm enterprises (e.g. poultry) because oilseed by-products no longer available at community level • Lack of business skills in running processing and value addition activities as commercial ventures	• Ensure hygiene and food safety standards are reasonable • Be aware of implications of introducing new varieties for all stages of value chain • Develop women's and small traders' business, entrepreneurship and negotiation skills • Promote women's self-help groups for processing and sharing market information • Provide women's entrepreneurship awards • Introduce microloans for small business ventures with no collateral requirements • Provide opportunities to develop alternative livelihoods • 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 • 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.