SOCIAL ANALYSIS FOR AGRICULTURE AND RURAL INVESTMENT PROJECTS

FIELD GUIDE

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ACKNOWLEDGEMENTS

The three guides of the series ***Social analysis for agriculture and rural investment projects*** have been produced with the participation of many collaborators and contributors within and outside the FAO Investment Centre Division (TCI). The initiative was led, guided and coordinated by Ida Christensen (Rural Sociologist TCI) who, together with Pamela Pozarny (Rural Sociologist TCI), played a key role in reviewing the drafts and providing technical inputs. The main author, Clare Bishop-Sambrook (Agricultural Economist / Gender and Targeting Specialist), prepared the final version of the three guides, based on earlier draft documents written by Alice Carloni (former Senior Rural Sociologist TCI).

A number of TCI staff contributed to various preparation stages of the guides, from needs identification to final layout. Early drafts benefited from constructive comments from TCI colleagues: David Colbert (Senior Environment Officer), Ilona de Borhegyi (Investment Information Officer), Random Dubois (Senior Environment Officer), Guy Evers, (Chief, Africa Service),Deep Ford (Senior Economist), Claudio Gregorio (Chief, Near East, North Africa, Europe, Central and South Asia Service), Jim Hancock (Natural Resources Management Officer), Selim Mohor (former Chief, Latin America and Caribbean Service), Thomas Muenzel (Senior Economist), and Frits Ohler (Senior Agricultural Officer). In addition, invaluable perspectives from two of FAO's closest partners, the World Bank and the Asian Development Bank (ADB) were provided by the late Estanislao Gacitúa-Marió, Lead Social Development Specialist at the World Bank Social Analysis and Policy Team; and Sonomi Tanaka, Principal Social Development Specialist at the ADB Regional and Sustainable Development Department.

The final draft underwent a quality enhancement review by a cross-disciplinary and cross-regional TCI Technical Review Team: Astrid Agostini (Economist), Yoshiko Ishihara (Rural Sociologist), Alberta Mascaretti (Senior Agricultural Officer), Hermann Pfeiffer (Senior Agricultural Officer) and Garry Smith (Principal Adviser). Their contributions were instrumental in improving the quality of the guides. Finally, TCI Management generously provided financial and institutional support in preparing these guides.

ABBREVIATIONS AND ACRONYMS

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

1. INTRODUCTION

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

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

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

Applications in agriculture and rural investment

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

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

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

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

How to use the series

These guides have two overall purposes:

- to sensitize managers to the role of social analysis in the context of agriculture and rural development, and to provide guidance on how to include social analysis in regular mission work; and
- to equip those responsible for conducting social analysis with a conceptual framework, tools and checklists for conducting the fieldwork and designing project activities based on the findings.

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

- the main parameters of social analysis in the context of agricultural and rural development investments, and the conceptual approach which underpins the three guides (section 2);
- the use of social analysis from three perspectives:
  - international agencies (section 3);
  - development approaches (section 4);
  - the programme cycle (section 5);
- management aspects of conducting social analysis – such as recruitment, roles and responsibilities (section 6).

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

- 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. INTEGRATING SOCIAL ANALYSIS INTO MISSION WORK

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

Mission structure

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

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

Box 1: Profile of a typical mission

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

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

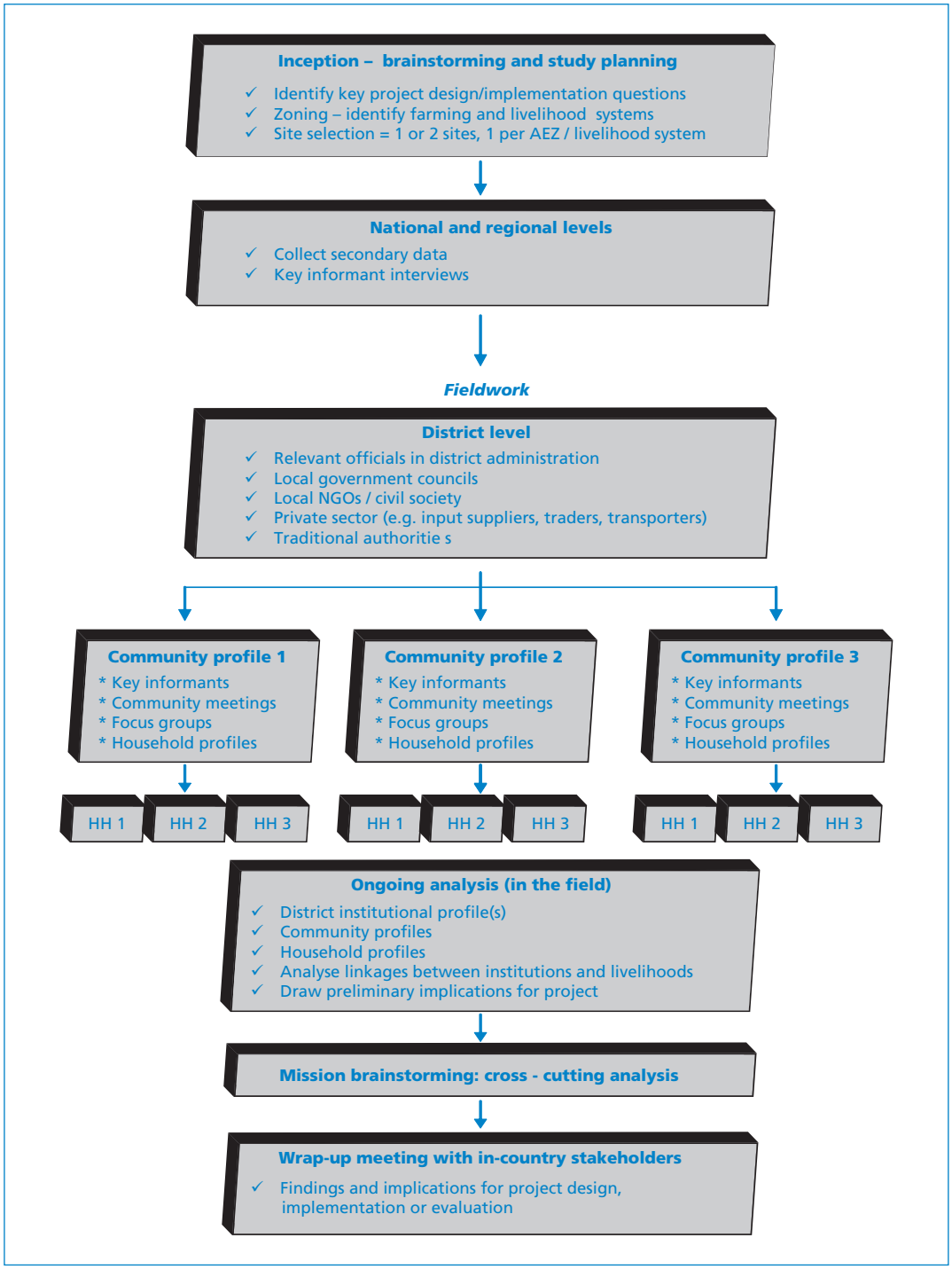
Usually one person undertakes the social analysis, spending five to ten days in the field, together with other mission members who each have their own agenda. The social scientist can play a catalytic role in bringing a holistic approach to the mission by working in an interdisciplinary manner with other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

Approach for conducting social analysis

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

- **Review secondary data** prior to mission (2-3 days, home-based)
  - Review country and regional documents in thematic areas of poverty reduction, agricultural strategies, rural livelihoods and institutions, gender, youth and HIV/AIDS;
  - Review project-related documentation (e.g. project concept note and donor corporate, regional and country strategy documents).
- **Inception meeting** with stakeholders (2-4 hours, either in the project area or the capital city)
  - Introduce mission members to stakeholders and vice versa;
  - Discuss the mission's terms of reference;
  - Brainstorm on key questions to be addressed by the mission;
  - Identify farming and livelihood systems;
  - Agree on what specific geographic areas and activities the mission should visit, selecting at least one site per agro-ecological zone (AEZ) (often the general geographical coverage of the project has been determined prior to the mission's arrival).
- **Key informant interviews** at national, regional, district and subdistrict levels (1/2 day for each district)
  - Meet relevant public administration officials and project implementation unit (if any);
  - Meet elected local government councils;
  - Meet with non-governmental organizations (NGOs), civil society organizations and private sector representatives.
- **Community-level fieldwork** (5-10 days depending on time availability, diversity in project coverage, size of team etc.)
  - Select villages typical of different AEZs, ethnic groups, production or livelihood systems (3 –7 villages, depending on how much time is available for fieldwork);
  - Conduct community-level investigations, group meetings and household (HH) interviews (around 1 day per 1-2 villages);
  - Debrief team members after fieldwork and undertake continuous qualitative data analysis.
- **Summarize findings and draft recommendations** (2 days)
  - Analyse data from social perspective;
  - Analyse proposed project interventions from socio-economic perspective (cross-cutting analysis);
  - Present main findings and discuss with mission members;
  - Contribute to designing activities based on social analysis, including target group identification, targeting strategy and gender mainstreaming activities;
  - Prepare outline for working paper;
  - Make inputs to aide memoire.
- **Wrap-up meeting** (2-4 hours)
  - Share findings and discuss implications with in-country stakeholders.
- **Finalize report** (5-10 days)
  - Prepare full working paper, including costs when relevant;
  - Write inputs for main report;
  - Provide inputs into summary matrices and logical framework;
  - Provide inputs into project implementation manual.

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



Practical insights for social analysis fieldwork

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

Bring a holistic approach to mission fieldwork

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

Capture the livelihood experiences of people who are often overlooked

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

Recognize diversity in rural communities and livelihoods

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

Make data collection interesting, relevant and participatory

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

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

Box 2: Rights of participants and household interviewees

Any interviewee has the right to:

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

Strengthen the validity of data through triangulation

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

Seize the opportunity and collect information wherever you are

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

Observe and experience rural livelihoods

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

Continue to learn and respond to findings

- Approach the understanding of rural livelihoods as an ongoing process;
- Understand that information gathering during a mission is not definitive: the mission does not need to know everything about the community in which it is working. Similarly, once the community profile has been "completed", it does not mean that there is nothing more to learn about the community as a whole.

Data sources and fieldwork methods

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

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

3. COLLECTING INFORMATION AT NATIONAL AND REGIONAL LEVELS

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

Box 3: Tips on using checklists

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

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

Secondary data sources

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

National documents

Vision 2020
National development plan
Public expenditure review
Poverty reduction strategy paper
Annual poverty monitoring report
National data from central statistical office
Annual progress on the Millennium Development Goals

National policy on gender
National policy on youth
National policy on HIV/AIDS

Agricultural sector review
Agricultural sector strategy/policy framework
Comprehensive Africa Agriculture Development Programme (CAADP) reports
National agricultural investment programme
Rural development strategy
Agricultural strategy/policy framework on gender
Agricultural strategy on youth
Agricultural strategy on HIV/AIDS

Multilateral and bilateral agency documentation

UNDP annual human development report data
UNAIDS annual data
UNICEF reports

UNDP country report
UNAIDS country report
UNDAF country framework
UN country assessment

Donor agencies' country strategies

Purpose and timing of meetings

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

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

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

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

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

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

Who to meet

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

(continued)

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

National and regional-level checklist

Demographic context

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

Poverty

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

Food and nutrition security

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

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

Gender

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

Youth

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

HIV/AIDS

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

4. COLLECTING INFORMATION AT THE DISTRICT LEVEL

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

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

Purpose and timing

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

The purpose of district meetings is to:

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

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

Who to meet

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

District-level checklist

District farming and rural livelihoods

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

Poverty

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

Food and nutrition security

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

Gender

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

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

Youth

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

HIV/AIDS

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

Institutional mapping

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

Community development

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

5. COLLECTING INFORMATION AT THE COMMUNITY LEVEL

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

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

Purpose

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

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

What is a community?

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

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

Box 4: Definition of "community"

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

Who to meet

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

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

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

Box 5: Examples of criteria for selecting participants to attend community meetings, Malawi

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

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

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

Box 6: Tips on conducting meetings

Forming the meeting

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

Beginning the meeting

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

Forming focus groups

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

Using time

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

Prior to closing

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

Community-level checklists

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

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

Community checklist 1: Socio-economic context

Community history and trends

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

Community resources

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

Community infrastructure

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

Link to field tools:

1: Historical timeline

2: Natural and livelihoods resource map

Community checklist 2: Wealth ranking and livelihoods analysis

Community structure

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

Livelihood assets

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

Livelihood strategies

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

Livelihood outcomes

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

Vulnerability context

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

Link to field tools:

3: Wealth ranking

4: Livelihoods matrix

Community checklist 3: Institutional and stakeholder analysis

Institutional analysis

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

Decision-making

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

Stakeholder analysis

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

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

Community checklist 4: Priorities, needs and opportunities

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

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

Community checklist 5: Project-related considerations

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

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

6. COLLECTING INFORMATION THROUGH FOCUS GROUP DISCUSSIONS

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

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

Purpose

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

Box 7: Examples of focus groups

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

Who to meet

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

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

Gender checklist

(meet with separate groups of women and men)

Workloads and gender division of labour

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

Link to field tools:

9: Seasonal calendar and gender division of labour

10: Daily activity schedule

Access and control

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

Link to field tools:

11: Access and control of resources

Income and expenditure

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

Link to field tools:

12: Sources and use of money

Decision-making

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

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

Link to field tools:

13: Decision-making matrix

5: Organization and group profiles

Skills, knowledge and information

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

Female-headed households, widows and widowers

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

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

Priorities, needs and opportunities

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

Link to field tools:

7: Problem analysis

8: Pairwise ranking

Project-related considerations

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

Youth checklist

(supplementary to the gender checklist)

Role of youth in livelihood systems

- What variations exist in gender roles (including the activities addressed by the project) by age and status within the household; differences between the roles of girls, young women, mature women and old women and between boys, male youths and mature men?
- What types of assets are typically owned by male and female youths in their own name? (For instance, are boys or girls given a cow, a goat or chickens in their own name? Are girls given jewellery?) To what extent do male and female youths in poor and non-poor households own bicycles, motorbikes or vehicles, radios or cell phones in their own right?
- What access to and control over resources do older and younger women and older and younger men have – as perceived by youths and by elders?
- What are the relationships between daughters-in-law and mothers-in-law in terms of access to and control over household goods and equipment (e.g. does a daughter-in-law typically have the right to listen to the family radio without her mother-in-law's permission?)?
- What are the roles of sons and daughters as income earners and as providers of food and non-food items for the household? What differences exist between poor and non-poor households? To what extent do sons and daughters pool their earnings with those of their parents? What proportion of their income do young men or young women typically retain as their own personal spending money?
- What are the main income sources of young women and young men in different types of households and in different seasons?
- What are the main items bought by young women and young men in different types of households and in different seasons?
- At what age do male youths start to farm on their own account (as opposed to farming for their parents)? Does it typically happen before marriage? Does it happen immediately upon marriage? Or is it typical to wait until the father dies? How does the timing of a man's emancipation from his parents vary by socio-economic status?
- What are the livelihood aspirations of young men (as opposed to older men) and of young women (as opposed to older women)? What proportion of young men aspire to agriculture-based livelihoods (are they from the richer or poorer households)? What proportion of young men aspire to a livelihood in "modern agriculture" (as opposed to subsistence agriculture)? To establish their own rural non-farm enterprise? To migrate to towns or cities or abroad? What proportion of young women aspire to an agriculture-based livelihood?
- What are the main problems of the community, as perceived by young women and by young men?
- What are the main development priorities of the community, as perceived by young women and by young men?
- What role do young women and young men have in decision-making in the household and in the community? To what extent are younger women and younger men represented on project-related committees and community-level decision-making bodies?
- What is the level of awareness of HIV/AIDS issues among male and female youths of different ages?

Inheritance and transfer of property

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

Youth-headed households

- What percentage of households in the different socio-economic strata or wealth groups are headed by youths?
- What percentage of female-household heads are young women who were never married, abandoned or divorced?
- If a woman's husband dies and she has an adult son, who becomes the head of the household – the son or the mother?
- What proportion of youth-headed households would have difficulty participating in the project because of a shortage of land, labour, livestock, equipment, financial assets, technical know-how or cultural constraints?

7. COLLECTING INFORMATION THROUGH INDIVIDUAL HOUSEHOLD INTERVIEWS

This section describes the process of conducting individual household interviews.

Purpose

Individual household interviews enrich social and livelihood studies in many ways (see Box 8) and should be regarded as an essential element of fieldwork.

Box 8: Benefits of household interviews

- Household interviews are useful for understanding linkages among livelihood assets, livelihood strategies and livelihood outcomes;
- Life histories are a good way to learn about why people fall into poverty and how they get out of poverty and how shocks affect the process;
- Interviews with selected upper, middle and lower stratum households and with any special categories of households allow cross-checking and validation of the information on wealth ranking provided by leaders and other key informants;
- Household interviews are useful for learning how policies and institutions affect the asset base of non-poor, average and poor households;
- Household interviews enable mission members to interact with categories of households who do not participate in community meetings and focus group sessions. For instance, women and men in the poorest households may be difficult to reach through community meetings and focus groups because they are too resource poor to participate (i.e. too busy working for meals), they practise self-exclusion and they dare not speak up in public;
- Conducting household interviews at the homestead enables mission members to observe living conditions, domestic animals, housing, fields and social networks, often leading to unexpected discoveries.

Who to meet

Use the community wealth ranking (field tool 3) to select households from each wealth category in a community. Depending on the duration of a visit to a specific community, it may be possible to visit from six to ten households. Prior to selecting households, identify the desired composition of the sample so that special categories, such as households headed by women or youth or HIV/AIDS-affected households, will be adequately represented.

Box 9 illustrates a preference towards interviewing female-headed households and poorer households, and less interest in male-headed households and the non-poor. Individual interviews typically last 30-45 minutes.

Box 9: Example of household sample

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

Tips on identifying households for interviews are presented in Box 10.

Box 10: Tips on identifying households for individual interviews

- Select households from the different wealth groups as identified by community wealth ranking or from the poverty profiles identified in the Poverty Reduction Strategy Paper;
- Select households who are active in a specific enterprise or who have adopted a technology; also include non-participants and non-adopters;
- Ensure women, youth and vulnerable groups are represented among the interviewees;
- Ensure wives have an opportunity to express their opinions during interviews with male heads of household;
- Ensure the timing is convenient for interviewees.

Individual household interview checklist

Household composition and resource base

- Describe household members (including migrant members) by sex, age, religion, ethnic group, health status (disabilities, etc.), caring for dependents, dependency ratio, residency status, roles in different livelihood activities.

Human capital

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

Natural capital

- What land, water, livestock and plant or forest resources do household members use inside and outside the village? For what do they use them?
- Describe the land: typical farm size, irrigated, rainfed; area under different crops; produce for home use/sale;
- Describe the livestock: typical herd/flock size by species; produce for home use/sale;
- What are the terms of access and exchange (e.g. ownership, rental, share arrangements, open-access, passage, leasing, milk for grazing)?

Physical capital

- What tools and equipment do household members use for different livelihood activities?
- What are the terms of access to them (e.g. ownership, hire, sharing)?
- How and by whom are they maintained?
- What infrastructure do household members have access to and use (e.g. transport, marketing facilities, health services, water supply, irrigation facilities)? What infrastructure do they not have access to and why?
- What are the terms of access to and maintenance of different types of infrastructure (e.g. payment, open access, individual or "pooled")?
- What services do household members access: extension, information?

Financial capital

- What sources of finance are available and how important are they (e.g. bank credit, moneylenders)?
- Who has access to credit? What collateral is required? Other conditions attached?

Social capital

- What links does the household have with other households or individuals in the community (e.g. kinship, social group, membership in social, economic and religious organizations, political contacts, patronage)?
- In what organizations, institutions and associations (e.g. societies, cooperatives, political parties) do household members participate and what role do they play in them?
- What leadership positions do household members hold? How were they selected?
- In what situations do those social networks become important and how (e.g. mutual assistance, pooling labour)?
- What laws, rules and regulations affect the household?
- Which organizations are most important for the household and what benefit do they bring?

Livelihood strategies

- What are the main livelihood activities for men and women in the household?
- What is the role of the targeted activity in the livelihood system? What contribution does it make to subsistence and cash, and how does this vary by season?

Livelihood outcomes

- What is the overall level of wealth, food security and well-being? What indicators does the household use to describe the outcomes?
- What do different livelihood activities contribute to food security and cash?
- What are the earnings of the household from different sources (e.g. crop and livestock sales, processing, off-farm activities, business, forest products, fishing, remittances, pension, gifts) (estimate as a percentage of the total)?
- Is life getting better or worse for the household? And what are the reasons?

Vulnerability context

- What are the seasonal patterns of different activities in which household members are engaged?
- What seasonal patterns are there in food supply, income, expenditure, residence, etc.?

- What crises has the household faced in the past (e.g. health crises, natural disasters, crop failures, civil unrest, legal problems, indebtedness)?
- What effects did they have on livelihood systems, assets and well-being? What coping strategies did the household use?
- What longer-term changes have taken place in the household's natural, economic and social environment and how has it dealt with these changes?
- What strategies does the household use to minimize risk (e.g. diversify livelihoods)?

Priorities, needs and opportunities

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

Feedback on project

- What is the interest in and familiarity with the project and what it may offer?
- Are there any recommendations and proposals for project design and interventions?
- What is the perceived relevance, utility and affordability of what the project might offer?
- What are their reasons for participating or not participating?
- What is the feedback on partners and preferred delivery systems: whom do they trust and why?

Link to field tools:
4: Livelihoods matrix

8. FIELD TOOLS

Since the first use of participatory methods in the 1980s, many different field tools have been developed (see Appendix 2). However, given the time constraints on a mission, it is usually possible to use only a limited number of them, the most relevant of which are presented in Table 1. From among this list, it will be necessary to select those which are most relevant to the general context and the nature of the programme of agricultural and natural resource management.

Table 1: Key field tools for social analysis by purpose

Theme	Field tools	Community level	Focus groups	Individual households
General context of community	1 Historical timeline	Main achievements and setbacks over last 15 years	Thematic focus on historical data	-
	2 Natural and livelihoods resource map	Local resource map	Thematic focus	-
	3 Wealth ranking	Main socio-economic groups in community and their livelihood characteristics	-	Follow-up wealth ranking with visits to individual HHs representing different wealth groups and HH types (e.g. MHH, FHH)
	4 Livelihoods matrix	Collate information for livelihoods analysis	Collate information for livelihoods analysis	In-depth discussion about livelihoods at the HH level
	5 Organization and group profiles (with option of Venn diagram)	Characteristics of organizations and groups active in community	Follow-up in-depth enquiry with members of specific groups	-
Community planning	6 Stakeholder analysis (with Venn diagram and matrix)	Identify main internal and external stakeholders and their interest or stake in an activity		
	7 Problem analysis (with option of problem tree) *Link: Pairwise ranking*	Main strengths and problems facing community, causes and effects	Differences in perspectives on problems between women and men, youth and elderly etc.	This tool can also be used at the HH level

(continued)

Table 1 *(continued)*

Theme	Field tools	Community level	Focus groups	Individual households
Community planning	8 Pairwise ranking	Prioritized list of problems with reasons (follow-up to problem analysis) (can also be used to examine preferences between other variables)	Differences between women and men in problem ranking (or preferences between other variables)	This tool can also be used at the HH level
Gender analysis	9 Seasonal calendar and gender division of labour *Link: Daily activity schedule*	Seasonal variations that affect pattern of life throughout the year	Thematic discussion on workloads and use of time between women and men	This tool can also be used at the HH level
	10 Daily activity schedule	-	Differences in daily activities of women and men at the busiest and quietest times of the year (follow-on from seasonal calendar)	This tool can also be used at the HH level
	11 Access to and control of resources (with option of resource and benefit flow diagram)	-	Differences between women and men in their access to and control over resources	This tool can also be used at the HH level
	12 Sources and use of money	-	Differences in main sources and uses of money between women and men	This tool can also be used at the HH level
	13 Decision-making matrix	-	Differences between women and men in their participation in decision-making	This tool can also be used at the HH level

While some of the tools are used at the community level, others are more suitable for use in smaller groups, particularly when examining information from a sex-disaggregated perspective or a thematic focus. If it is not possible to use a tool with a group (for example, if there is insufficient time to conduct a focus group discussion), the field tool may be used as a checklist and the information may be gathered through individual household interviews. A list of the most useful tools is presented in Box 11.

Box 11: Most useful field tools

If time is limited, the following are often the most useful tools:
Field tool 3: Wealth ranking;
Field tool 4: Livelihoods matrix;
Field tool 6: Stakeholder analysis;
Field tool 7: Problem analysis;
Field tool 9: Seasonal calendar and gender division of labour;
Field tool 11: Access and control of resources;
Field tool 13: Decision-making matrix.

This section presents a step-by-step guide on how to use each of these tools and provides examples of the information generated using such tools. Box 12 provides some practical tips on using participatory tools. Linkages to materials on participatory methods and field tools available from FAO and other sources are presented in Appendix 1.

Box 12: Tips on using participatory tools

- It takes 30-60 minutes to complete one participatory tool;
- Literate members of the community can participate in recording information on flip charts;
- Ensure that everyone's views are captured – not just those of the person or persons who are actually preparing the information;
- Manage the use of participatory tools in order to retain their focus and to enable them to be completed within the time available;
- Balance trade-offs between information gathered and time, empowerment, participation and interest.

Field tool 1: Historical timeline

Purpose

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

Source of information

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

How to prepare an historical timeline

Step 1: Context

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

Step 2: Discussion

1. Key questions:
   - How and why have things improved?
   - Have any aspects of life become more difficult and, if so, why?
   - Have the roles of women and men changed over time?
   - Have the workloads of women and men changed over time?
2. Note when these changes occurred, identify their causes and follow through their effects on gender roles, poverty and livelihoods in the community.

Visualization: Draw a column down the middle of a sheet of flip chart paper. Record positive events on the left side and negative events on the right side, noting the approximate time period of each in the central column. See example presented in Table 2.

Table 2: Example of historical timeline from Metuge District, Cabo Delgado Province, Mozambique

Positive events	Date	Negative events
Colonial period • Maize, rice, beans, sorghum and vegetables were grown mainly by women because of a shortage of male labour and women controlled all aspects of food production and utilization	1940s to 1975	• Men had no time to produce their own food, as they were required to do forced labour on colonial estates • Men were forced to work at low wages for the landowners to earn enough money to pay taxes
Independence war • Led to independence from Portugal	1964 to 1975	• War disrupted farming and trade • Infrastructure was destroyed • Lives were lost
Independence (FRELIMO period) • Farmers were freed from forced labour • Men had time to grow food • Farmers could keep their entire crop for themselves • Farmers sold to state stores (*lojas*) or bartered for consumer goods		• Government gave low priority to the family farm sector; public expenditure on smallholder agriculture was limited (Ministry of Agriculture weak) • Means of production (hand tools) were in short supply • Low prices were paid to farmers
Civil war (FRELIMO versus RENAMO) • There was nothing good	1978 to 1992	• Infrastructure was destroyed (bridges, roads, schools, clinics) • Property was looted, destroyed • Farming and marketing were disrupted • Farmers were afraid to clear new land because RENAMO rebels might be hiding in the forest
Peace/Economic liberalization • Roads, schools and hospitals were reconstructed • The economy grew • Consumer goods were readily available (but very expensive)	1992 to 2002	• Lack of state stores • Lack of farm produce buyers • Shortage of means of production (tractors, hoes, slashers) • No market • No public transport (necessary to headload products) • High prices for transport and farm inputs • Price of farm output does not keep pace with rising cost of consumer goods • Shortage of fishing gear (nets, hooks, lines) • Shortage of rice dehullers

Field tool 2: Natural and livelihoods resource map

Purpose

To prepare a local resource map in a participatory manner, showing: main land types, livelihood activities on each land type, and physical infrastructure (e.g. roads, public transportation, irrigated areas, water points, schools, health posts, nearest market, electricity, banks, agricultural extension). Mapping is a good tool to begin with because it is an easy exercise that initiates dialogue between the community and mission members.

Source of information

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

How to prepare a resource map

Step 1: Drawing a local resource and infrastructure map

1. Find a large open space with clear ground;
2. Start by placing a rock or leaf to represent a central and important landmark;
3. Ask the participants to draw things on the map that are important in the village, such as infrastructure, houses, arable land, irrigated land, grazing lands, water sources, fuelwood, mills, etc. Use local materials (e.g. sticks, pebbles, leaves, sawdust, flour), flip chart paper and markers. See Figure 2;
4. Participants should not be interrupted unless they stop drawing, in which case questions can be asked such as whether there is anything else of importance that should be added.

Step 2: Interpreting the map

1. When the map is completed, facilitators should ask the participants to describe it and to discuss the features represented;
2. Ask questions about anything that is unclear;
3. Ask participants to indicate some things they would like to see in their village that are not currently on the map – in other words, to draw a picture of what they would like the future to look like. This allows for some preliminary planning ideas and encourages people to begin contributing their thoughts at an early stage in the participatory process.

Step 3: Other uses

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

Figure 2: Example of resource map, fishing community, Lake Victoria, Uganda

Field tool 3: Wealth ranking

Purpose

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

Source of information

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

How to do a wealth ranking

Step 1: Identification of socio-economic groups in the community and their characteristics

1. What terms do community members use to describe the different socio-economic groups?

   Visualization: Note each term at the top of a column of a chart in the local language (with the terms used to describe the "rich" in the left-hand column, declining to those for the very poor in the right-hand column);
2. Ask for a description of each socio-economic group. Using the livelihood assets framework (i.e. human, natural, physical, financial and social), what criteria do they use to distinguish between the different groups (e.g. land, livestock, labour, household composition, ability to send children to school or buy medicine)? Which groups and organizations do women and men household members belong to and lead? Record their descriptions in the appropriate columns; try to avoid being too quantitative and record the qualitative ways in which they describe the households; *Visualization*: Start recording the information at the extremes of the "rich" and very poor, then complete the middle columns. See Table 3;
3. What are the livelihood strategies (in terms of the balance between farm and off-farm work, coping mechanisms, other sources of support such as remittances) and the outcomes achieved (e.g. food security, standard of housing, savings)? Estimate the percentage contribution of farm and non-farm activities to household cash income; note the contribution of different farm enterprises independently;
4. How are decisions made regarding the enterprise mix, livelihood strategies and use of income for men, women, other people and joint decisions?
5. What challenges does each group face, if any, in developing their livelihoods?
6. Are there any special relationships between the different groups? What do the poor do for the less poor? What do the less poor do for the poor and very poor?

Step 2: Distribution of households

1. Note the approximate total number of households in the community. Define a household to be the unit in which people eat together in the evening;
2. Use proportional piling to determine the distribution of total households across the socio-economic categories. Take a large number of seeds or stones (about 100) and explain that this represents the total number of households in the community. Ask a volunteer to distribute the seeds among the different socio-economic groups. Allow other group members to adjust the distribution until all are satisfied with the result. Add the number of seeds in each group and divide by the total number of seeds in order to calculate the percentage distribution;
3. Note the approximate number of FHHs in the community. Use proportional piling to determine the distribution of FHHs across the socio-economic categories;
4. Note the approximate number of MHH in the community. Use proportional piling to determine the distribution of MHHs across the socio-economic categories;
5. Note the approximate number of male and female youth who have left school in the community.

Step 3: Movement between groups

1. Are there any movements between the socio-economic groups?
2. Note any factors associated with households whose positions are improving, deteriorating or remaining stable.

Step 4: Identification of individual households

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

Table 3: Example of wealth ranking, Kweneng North District, Botswana

Characteristics	Rich (1-2% HHs in total)	Middle (emerging) (35% HHs)	Poor (50% HHs)	Very poor (10-20% HHs)
Arable	• Cultivate 150-250 ha (buy land, lease land, compensate people for improvements) • Use own tractors and implements (1 tractor per rich HH) • Use hybrid seeds and fertilizer • Maize yield 500 kg or more per ha	• Cultivate 15-21 ha • Some hire land • Use own old tractors or hire tractors from others including rich • Majority use donkey/tractor mix (e.g. donkeys for 3 ha, tractors for 3 ha) • Some row plant with tractors, others with donkeys • Plant open-pollinated varieties of certified seed from government • Some use fertilizer • Maize yield with fertilizer 200 kg per ha; without fertilizer 100 kg per ha	• Own 10-15 ha • Cultivate 5-7 ha • Use own donkeys and ploughs • Sometimes hire tractors • Broadcast open-pollinated varieties certified seed from government • No fertilizer • Maize yield 50 kg per ha • Maize and sorghum for HH use • Sometimes sell watermelons, sweetreet (cash crops)	• Majority landless • Borrow 2-3 ha to cultivate • Work with others to pool donkeys for ploughing • Broadcast recycled seed • No fertilizer
Livestock	• Cattle: only one rich HH has cattle (hundreds in another locality)	• Cattle: 20 (kept at nearby cattle post) • Donkeys: 6-10 • Goats: 30-50	• Cattle: 6-10 (kept at nearby cattle post) • Donkeys: 6-8 • Goats: 10 • Chickens	• Donkeys: a few • Goats: 5-6 • Chickens
Labour	• 2-3 permanent labourers • Hire 10-15 casual labourers for weeding, bird scaring, harvesting (mainly women)	• Labour groups for weeding	• Family labour	• Family labour

(continued)

Table 3 *(continued)*

Characteristics	Rich (1-2% HHs in total)	Middle (emerging) (35% HHs)	Poor (50% HHs)	Very poor (10-20% HHs)
Off-farm activities	• Trading • Hire out lodges for accommodation • Own petrol filling stations	• Some have activities – trading, small shops/kiosks (selling airtime, sweets, etc.) • Receive remittances	• Majority work on drought relief programme (temporary), cash for work • Work on own plots • Work as hired labourers • Might also receive government food basket • Receive remittances	• Work on drought relief programme (temporary), cash for work • Work as casual labourers • Receive government food basket
Services	• Use credit from banks and agencies to buy farm inputs • Extension services	• Very few use credit • In contact with extension services	• Little contact with extension services	• No use of services
Local groups and committees	• Not involved as members • Some involved as leaders	• Involved as members and leaders	• Involved as members	• Not involved
Residence	• Live in nearby town (Molepolole) • Accommodation on plot for farm manager, labourers	• Most live in Molepolole • No house in village • Housing structure on plot	• Majority live in village • Simple housing structure in field	• Most live in village • Might have simple housing at fields
Other	• Not traditionally from area • Invest earnings from off farm in agriculture • Acquired wealth in present generation	• Not traditionally from area	• Indigenous	• Indigenous

Field tool 4: Livelihoods matrix

Purpose

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

Sources of information

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

How to complete a livelihoods matrix

Step 1: Review information collected through other field tools

- Complete parts of the matrix (see Table 4) using livelihoods information collected during community meetings and focus group discussions using various field tools;
- Field tool 3: Wealth ranking: information about asset base, livelihood strategies and outcomes of different socio-economic groups; factors causing movement between groups;
- Field tool 5: Organization and group profiles: information about membership and leadership of groups by socio-economic group;
- Field tool 9: Seasonal calendar and gender division of labour: information about livelihood strategies;
- Field tool 11: Access to and control of resources: information about household asset base;
- Field tool 12: Sources and use of money: information about livelihood strategies and outcomes.

Step 2: Conduct individual household interviews

1. Select households to represent a cross-section of socio-economic groups and household types (e.g. headed by men, women, youth). This usually takes place after the wealth ranking exercise;
2. Conduct household interviews using individual household checklist, and complete matrix.

Table 4: Example of livelihoods matrix for analysing farming systems and use of farm power, Nigeria

Characteristics	Hand power households (58% HHs)	Labour/tractor-hiring households (30% HHs)	Tractor-owning households (12% HHs)
Livelihoods Asset Base			
Human assets Household head: age/sex	• elderly, over 60 years • proportionally more FHH (widows)	• 50 – 60 years • proportionally more FHH (widows)	• middle aged (40 – 50 years) • no FHH
Average HH size	• live with extended family (> 40 members) • 1 to 2 wives in MHH • FHH have smaller families	• live with extended family (>40members) • 2 to 4 wives in MHH • FHH have smaller families	• live with nuclear family (15 to 20 members) • at least 4 wives + many concubines
Skills and knowledge	• low, mainly illiterates	• low, some educated	• high, more educated than other groups
Health threats	• malaria	• malaria	• malaria
Use of hired labour	• only family labour	• hired and family labour	• mainly hired labour

(continued)

Table 4 *(continued)*

Characteristics	Hand power households (58% HHs)	Labour/tractor-hiring households (30% HHs)	Tractor-owning households (12% HHs)
Natural assets Rainfed area	• 1 – 3 ha; not always cultivate it all	• 20 – 40 ha including land rented in	• 80 – 100 ha including land rented in
Irrigated area	• small area on *fadama*	• medium area on *fadama*	• large area on *fadama*
Fallow	• 2 – 3 years	• 5 years	• 5 – 6 years
Trees	• communal ownership	• communal ownership	• communal ownership
Livestock	• many poultry, goats and sheep	• average number of poultry, goats and sheep	• few poultry, goats and sheep • also own cattle
Physical assets Seeds and fertilizer	• animal manure • seeds acquired on loan from richer farmers	• chemical fertilizers • improved seeds • some herbicides	• chemical fertilizers • improved seeds • some herbicides
Farm tools	• average number of hand tools	• highest number of hand tools	• fewest hand tools • tractor and implements
Post-harvest equipment	• manually operated	• improved manually operated	• improved manually operated or motorized groundnut + maize shellers, cereal mills
Other HH assets	• kitchen utensils, sleeping mats • mud houses, thatch roofs	• beautified kitchen utensils, beds • mud/brick houses, iron sheet roofs • bicycles or motorcycles	• radio, furniture, electrical goods • brick houses, iron sheet roofs • commercial vehicles, motorcycles • shops to let
Financial assets Access to credit	• FHH have no access • some MHH have access through societies and relatives	• FHH and MHH have access through credit associations and money lenders	• access through credit associations and money lenders
Remittances	• some	• from family members working in cities	• from family members working in cities
Savings	• none	• monetary savings with various associations	• savings in form of investments (farm produce)
Social assets Membership	• FHH not members • MHH have some membership	• belong to multiple associations and farmers' field school	• belong to multiple associations and farmers' field school
Leadership	• no leadership role	• limited leadership role	• lead the associations
Reciprocal labour groups	• men belong	• only a few belong	• no

(continued)

Table 4 *(continued)*

Characteristics	Hand power households (58% HHs)	Labour/tractor-hiring households (30% HHs)	Tractor-owning households (12% HHs)
Livelihood Strategies and Outcomes			
Farming Rainfed food crops	• millet, maize, yams, guinea corn	• maize, guinea corn, yams, sweet potatoes, cassava	• maize, guinea corn, beans, yams, sweet potatoes, cassava
Rainfed cash crops	• melon, groundnuts	• melon, groundnuts, yams	• melon, groundnuts, beans, yams
Irrigated crops	• rice, vegetables	• rice, vegetables	• maize, yam
Livestock for home use	• poultry	• poultry, sheep, goats	• poultry, sheep, goats
Livestock for sale	• goats, sheep	• goats, sheep	• cattle
Non-farm activities	Women: soap making, herbal medicines, tailoring Men: blacksmithing, tailoring, carpentry, traditional medicines, Koranic teaching All: hiring out family labour	Women: beautification of household utensils, herbal medicines, tailoring Men: sculpturing, tailoring, carpentry, traditional medicines, Koranic teaching, trading	Women: processing, marketing farm produce Men: transport services, tractor driving, mechanic, supplying spares for bicycles/ motorcycles, fishing, hunting, lumbering
Livelihood strategies: in declining order of importance	• FHH: livestock, crops, off-farm activities, remittances • MHH: crops, off-farm activities, livestock, remittances	• FHH and MHH: crops, remittances, livestock, off-farm activities	• Crops, non-farm activities, remittances, livestock
Shocks/changes and coping strategies	• death of HH member (especially FHH) • farm fires, livestock epidemics, pests • coping with power shortages: work longer hours • other coping strategies: borrow/acquire items on informal credit	• death of HH member (especially FHH) • farm fires, livestock epidemics, pests • coping with power shortages: use reciprocal labour groups, use labour as bride price • other coping strategies: use credit	• migration of children for education • removal of subsidy on tractors and farm inputs • more difficult to contact extension service • coping with power shortages: use savings to hire labour, purchase second hand tractors
Livelihood outcomes	• food insecure during hungry months • small income • heavy workloads • rely on local herbs for health care • children not able to attend tertiary institutions • some children in MHH receive vocational training	• food self-sufficient throughout year • use modern medical facilities • children attend tertiary institutions • children receive vocational training • many have been on religious pilgrimage	• food self-sufficient • use modern medical facilities • children attend tertiary institutions • children receive vocational training • many wives (a sign of wealth) • dress well, eat well • use better quality products • influential, high esteem and social status
Livelihood outlook	• a few HH stable, majority of HH improving	• a few HH stable, majority improving	• improving

Field tool 5: Organization and group profiles

Purpose

To identify different organizations and groups active in the community; their origins and current status; the socio-economic and gender composition of their membership and leadership; and to establish their potential role as entry points for project activities.

Sources of information

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

How to prepare a profile of organizations and groups

Step 1: Organizational profiles

1. Identify all formal and informal groups active in the community. They may include:
   - reciprocal labour groups
   - farmers' groups
   - savings and credit associations
   - interest groups
   - income-generating groups
   - adult literacy classes
   - farmer field schools
   - water user associations
   - beach management committees
   - welfare/bereavement groups
   - forest management committees
   - water and sanitation committees
   - informal self-help groups
   - women's clubs or associations
   - youth groups
   - community-based organizations
   - faith-based organizations
   - people living with AIDS self-help groups
   - home-based care groups
2. For each group, gather the following information: date of formation, origins, purpose of formation, official registration (if any), external assistance received, activities, operational status and, if they have stopped operating recently, the reasons why. See example presented in Table 5;
3. For each group, determine the membership criteria, current membership and leadership by sex (female/male) and socio-economic group. Note whether any members also belong to other organizations;
4. For informal groups, find out how they work (e.g. with respect to pooling labour, sharing implements or draught animals, saving collectively).

Step 2: Significance of groups

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

Step 3: Follow-up

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

Follow-up field tool:

13: Decision-making matrix

Table 5: Example of organization and group profiles, Southern Province, Zambia

Type of group and date formed	Status and activities	Membership			Leadership			Potential entry point for addressing, for example, HIV/AIDS
		Female	Male	Socio-economic composition	Female	Male	Socio-economic composition	
Village committee, 2000	Operational; village administration	2	8	Richer HHs	2	8	Richer HHs	• coordinates village administration • provides a forum for calling people together for HIV/AIDS discussions • knows vulnerable households
Women's irrigation group, 2004	Encouraged by Agricultural Extension Officer; operational and very active; members see group as very relevant, enabling women to grow cash crops, and a basis for developing skills in irrigated agriculture and new technologies	25	3	Mainly middle wealth HHs	6	2	Middle wealth HHs	• enables women to earn income and gives them some independence • opportunity to include nutrition/home garden component • basis for HIV/AIDS information, education and communication
Youth group: bee keeping, 2003	Operational; active membership; top bar hives and training	5	20	Middle wealth HHs	1	4	Middle wealth HHs	• provides alternative employment • keeps youth gainfully employed in village • basis for HIV/AIDS information, education and communication
Under 5s club, 1995	Operational; formed by Home Economics Officer. Focus on nutrition and home care for under 5s	50	-	Middle wealth and poorer HHs	8	-	Middle wealth HHs	• basis for HIV/AIDS information, education and communication • nutrition education • preventative steps regarding mother-to-child-transmission
Reciprocal labour groups, 1980	Operate informally between mixed groups of women and men; leader is the person on whose land the group is working; assist each other at busy times of year	15	15	Poorer HHs and widows	-	-	-	• no formal structure so may be difficult to mobilize • limitation that most vulnerable households unable to participate when severely labour stressed

(continued)

Table 5 *(continued)*

Type of group and date formed	Status and activities	Membership			Leadership			Potential entry point for addressing, for example, HIV/AIDS
		Female	Male	Socio-economic composition	Female	Male	Socio-economic composition	
Bereavement groups, 1985	Households offer each other mutual support in times of crisis including food, cash and labour	40	20	Middle wealth and poorer HHs	5	5	Middle wealth HHs	• route to reach vulnerable HHs • group being over-stretched during times of crisis • basis for HIV/AIDS information, education and communication • basis for home-based care training and support
Savings and credit group, 2000	Group supported by microfinance institution; members make monthly savings; access short-term and medium-term credit through group	15	45	Middle wealth HHs	2	6	Middle wealth HHs	• source of credit for livelihoods diversification

See example of Venn diagram in stakeholder analysis (Field tool 6).

Field tool 6: Stakeholder analysis

Purpose

To identify the main stakeholders (institutions, agencies and individuals) relevant to a given activity, project or programme; to determine their interest in it; and to show their relationships and relative importance in influencing the outcome. This knowledge is helpful for identifying actions to minimize the risks and challenges and promote the opportunities in implementing an activity.

Stakeholders include direct beneficiaries and communities and also people and institutions external to communities at meso and macro levels (e.g. regional and national government officers, policy-makers, private sector and other civil society actors). Other people and institutions affected but not directly involved in the intervention are also stakeholders.

Sources of information

Community meetings or group discussions comprising different groups within the community, such as women and men from different socio-economic groups.

How to conduct a stakeholder analysis

Step 1: Identifying stakeholders

1. List all the people, groups, organizations and agencies that have an interest in and/or will be positively or negatively affected, directly or indirectly, by the activity (see Box 13);
2. Include stakeholders external to the community, such as regional or national government, policy-makers, private sector and civil society.

Step 2: Creating a Venn diagram

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

Step 3: Developing a matrix

1. Prepare a matrix on a flip chart (see Table 6) in order to deepen the understanding of the various players and their positions;
2. List the main stakeholders (people and institutions) with potential relevance to the development intervention in the left-hand column; list as many as are important;
3. Take time to discuss the various topic headings of the matrix and fill in the boxes of the first five column headings sequentially for each stakeholder:
   - services and assistance provided
   - interests in the activities
   - potential influence in the activities
   - relationships with other stakeholders
   - potential threats.

Step 4: Conducting the analysis

1. Identify potential differences and conflicts between stakeholders;
2. Identify potential resistance and threats that may arise to proposed interventions;
3. Identify possible partnerships and opportunities for collaboration between stakeholders;
4. Identify proposed actions to be integrated into an action plan and record the information in the final column of the stakeholder matrix.

Box 13: Example of stakeholders in a livestock dipping post

Local stakeholders may include:

- wealthy cattle owners with more than 200 head of cattle;
- poor men who each own 5 to 15 head of cattle;
- female heads of household who own 1 to 3 head of cattle;
- the owner of the land where the dipping post will be located.

External stakeholders include:

- the veterinary extension service;
- the meat marketing board;
- neighbouring villagers who may be impacted negatively by an increase in the livestock population dependent on common grazing areas.

Figure 3: Example of Venn diagram, livestock dipping post

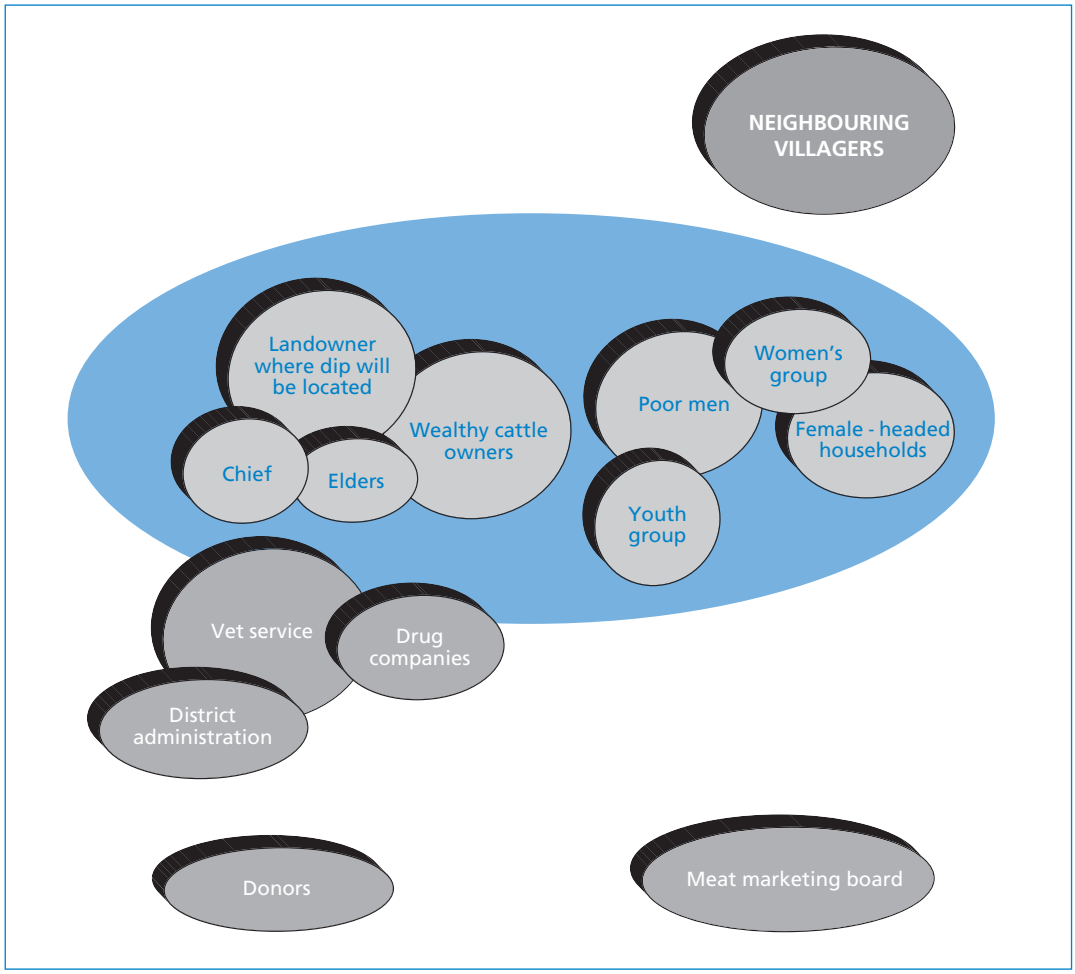


Table 6: Example of stakeholder matrix, livestock dipping post

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

*Score: 1 = low, 3 = high

Field tool 7: Problem analysis

Purpose

To explore the main strengths and problems facing the community (as perceived by different groups), their causes and effects and how the problems may be overcome.

Sources of information

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

How to conduct a problem analysis

Step 1: Identifying strengths

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

Step 2: Identifying problems

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

Step 3: Developing a problem tree (optional)

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

   Visualization: Draw the trunk of a tree with roots and branches; stick the pieces of paper with problems noted on the roots, and identify the relationships and hierarchy among the different problems. Repeat the process for solutions. See Figure 4.

Step 4: Analysing problems

1. Select four or five problems that may be addressed through the proposed project and for each one identify:
   - its causes;
   - its effects;
   - coping mechanisms (how have people responded to date); and
   - other possible solutions at the community level that may or may not require external assistance. Where relevant, draw on the strengths identified in step 1.

   Visualization: Prepare outline matrix (see Table 7) and record information in the relevant cells.

Step 5: Consolidating

1. How do the rankings differ among different groups within the community?
2. How can the views of poorer households, women and the youth be reflected among the priorities?

3. Ensure that the results can be used as a basis for community action planning;
4. In the village, village leaders should go back to the problem ranking. Which problems affect the most people? Which are the most urgent? Which problems are the easiest for the villagers to solve with their own resources and which are the most difficult?

Follow-up field tool:
8: Pairwise ranking

Figure 4: Example of problem tree

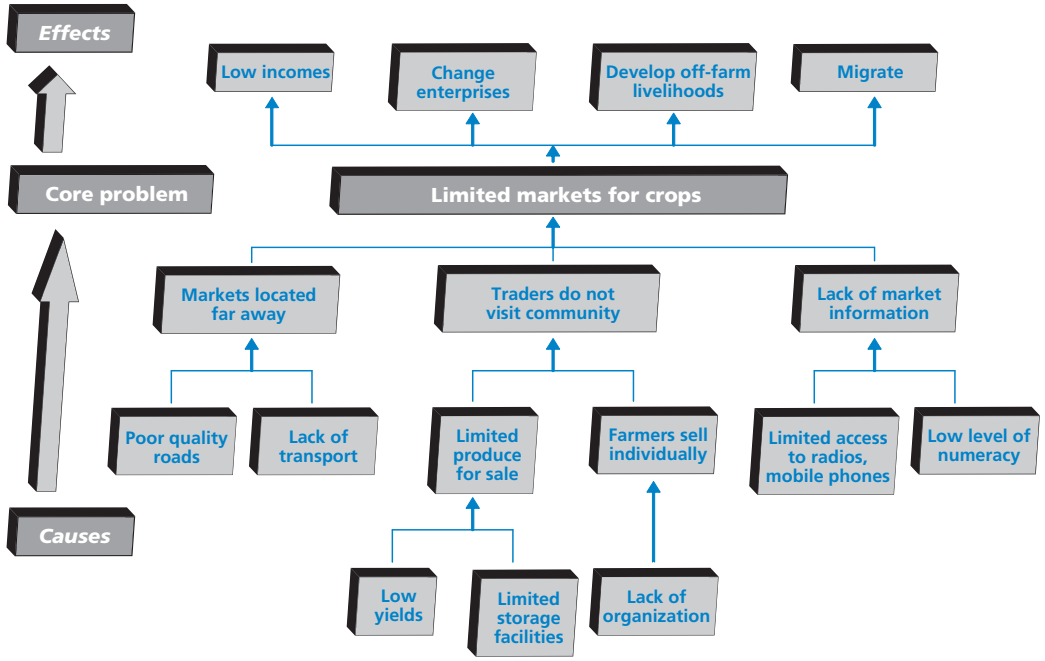


Table 7: Example of problem matrix from Southern Province, Zambia

Problem	Cause of problem	Coping mechanism	How can village solve it?
1. No proper organized market for crops [13 votes]	• Markets are far • Traders cannot come – poor road • Local people have no money to buy produce	• Sell crops jointly (maize marketing coop) • Grow crops with high demand	• Complete produce shed constructed by maize marketing cooperative • Improve knowledge – learn to grow crops in high demand; develop marketing skills
2. Shortage of cash/ no money for farm inputs [9 votes]	• Laziness • Lack of start-up capital for business • Lack of knowledge on how to farm as a business	• Piecework on other farms • Sell firewood • Sell chickens or goats	• Produce goats and chickens for sale • Improve cooperative organization
3. Transport expensive and in short supply [2 votes]	• Few transporters • High cost of transport • Bad road	• Bicycle, hire ox cart • Grow crops to sell to nearby hospital	• Cooperate with people who own animal-drawn cart
4. Debts [1 vote]	• Poor money management; lack of budgeting • Didn't repay fertilizer loan • Diverted loan to a use that generated little income	• Repay little by little	• Learn to manage money • Learn how to manage credit

Field tool 8: Pairwise ranking

Purpose

To enable a group or a community to prioritize problems, and to understand the underlying reasons for the ranking. The same technique may be used to examine any choices (e.g. different crops or livestock, different varieties of a crop, different modes of rural transport).

Sources of information

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

How to conduct pairwise ranking

Step 1: Ranking problems

1. Ask the group to identify from four to six problems they are facing. If this is a follow-on activity to the problem analysis (field tool 7), use the list of problems already identified;
2. Write the problems along both the vertical and horizontal axes of a pairwise ranking matrix (see Table 8);
3. Also write each of the problems on a separate card;
4. Present a pair of cards (showing two different problems) to the group and ask them to choose the more important one;
5. Record their choice on the prepared matrix;
6. Ask them also to explain the reasons for their choice and record this information;
7. Repeat the process until all combinations of problems have been presented and decided upon.

Step 2: Analysis

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

Step 3: Comparing different perspectives

1. Organize a follow-up meeting, for example, according to socio-economic or age group. Make sure that both women and men are in all groups;
2. Repeat the exercise;
3. Compare the findings from the different focus groups with the results from the community group.

Table 8: Example of completed pairwise ranking

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

Field tool 9: Seasonal calendar and gender division of labour

Purpose

To explore how seasonal variations affect the pattern of life throughout the year in terms of the principal agricultural and non-agricultural activities and the division of tasks among family members.

Sources of information

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

How to prepare a seasonal calendar

Step 1: Note the pattern of rainfall

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

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

Step 2: Describe farming activities

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

Step 3: Describe gender division of labour

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

Step 4: Other activities

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

Follow-up field tool:
10: Daily activity schedule

Table 9: Example of seasonal calendar and gender division of labour, Southern Province, Zambia

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

Field tool 10: Daily activity schedule

Purpose

To identify the different kinds of activities carried out in one day by women and men. Daily activity schedules are particularly useful for looking at relative workloads among different groups of people in the community, e.g. women, men, rich, poor, young and old. They can also be used to illustrate seasonal variations.

Source of information

Separate focus groups of women and men, including people from different socio-economic groups.

How to prepare a daily activity schedule

Step 1: Preparing the clock

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

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

Step 2: Recording the daily activity schedule

1. Ask women and men each to produce their own clock, recording what they do in a typical day during the busiest time of year. See Table 10;
2. They should identify all the activities carried out at different times of day and indicate how long they take;
3. Activities that are carried out simultaneously, such as child care and gardening, can be noted within the same spaces;
4. Ask the group to repeat the process for the quietest time of the year.

Step 3: Interpreting the schedule

1. With the group, compare the differences in overall workloads between the busiest and quietest times of the year;
2. Identify the time spent in each season on either household, productive or community activities. Compare the results. See Table 11;
3. Compare the overall workloads and allocation of time between different types of activities between women and men. Who works the longest hours, who concentrates on a small number of activities, who divides their time among a multitude of activities and who has the most leisure time and sleep?

Table 10: Example of daily activities in wet season in Southern Province, Zambia
(information collected separately from groups of women and men)

Women	Time (hours)	Men
Wake up	04.00	Wake up
Prepare sweet beer Prepare seed for field	05.00	Yoke the oxen
Work in the fields	06.00	Work in the fields
	07.00	
	08.00	
	09.00	
Short break: drink sweet beer	10.00	Short break: drink sweet beer
Work in the fields	11.00	Work in the fields
Prepare lunch	12.00	Feed oxen Milk cows Fix ploughs
Lunch	13.00	Lunch
Grind maize	14.00	Return to the fields for harrowing
Return to fields	15.00	Scare birds Remove shrubs
Return home	16.00	
Draw water Collect firewood Collect relish Bathe	17.00	Prepare tools for next day Rest
Draw water Collect firewood Collect relish Bathe	17.00	Prepare tools for next day Rest
Bathe children Prepare supper Prepare sweet beer	18.00	Rest
Supper	19.00	Supper
Go to bed	20.00	Chat
	21.00	Go to bed

Table 11: Summary of use of time in wet season

Hours spent on…	Women	Men
Productive work	8.5	10.5
Household tasks	4.5	0.0
Resting, socialising	3.0	5.5
Total per day	**16.0**	**16.0**

Field tool 11: Access to and control of resources

Purpose

To examine the differences between men and women in terms of their access to and control over resources.

Sources of information

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

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

Step 1: Resources

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

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

Step 2: Access to resources

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

Step 3: Control over resources

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

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

Step 4: Analysis

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

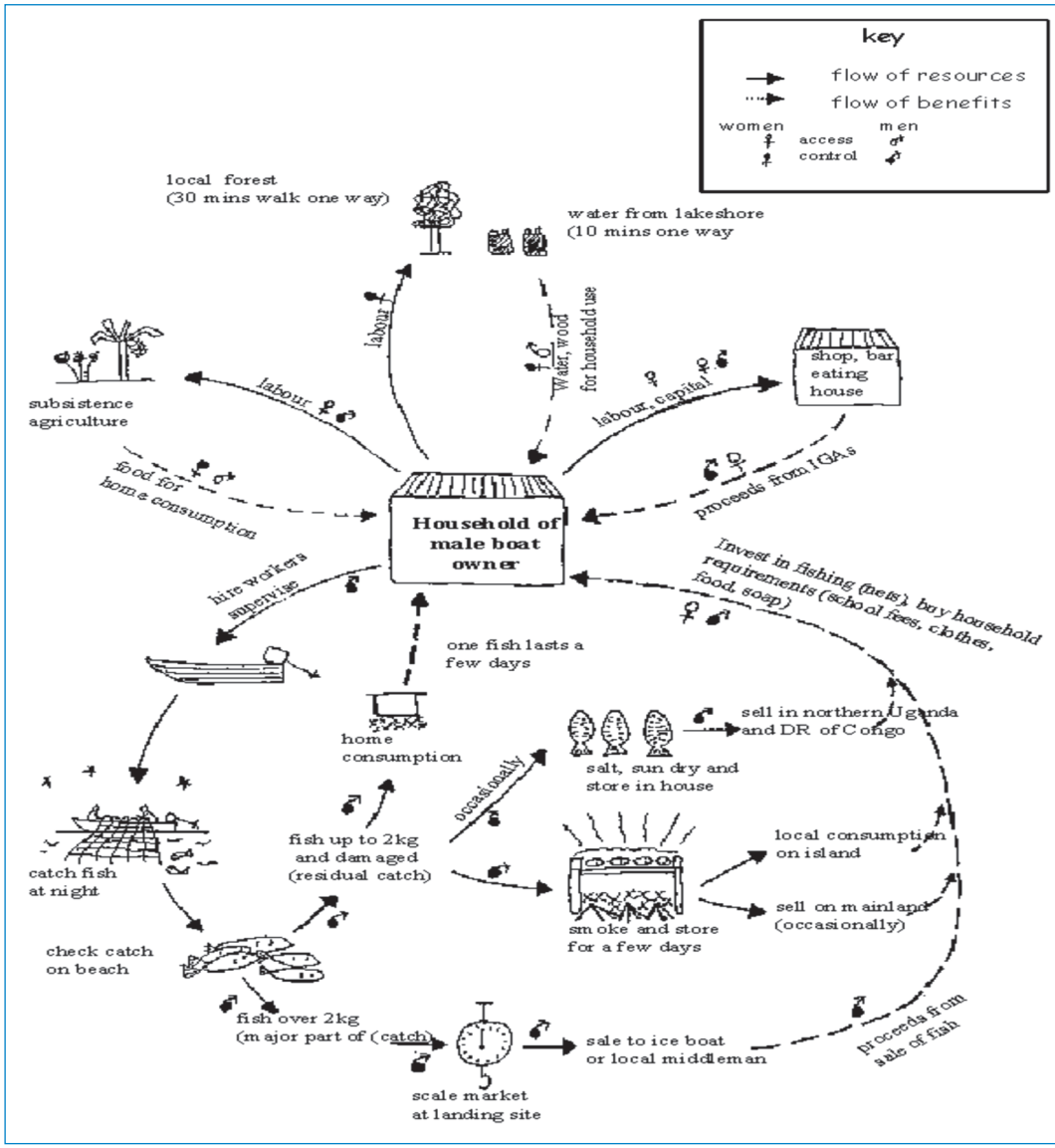
Step 5: Differing perspectives

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

Table 12: Example of access and control over livelihood assets, South Province, Zambia

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

Figure 5: Example of resource and benefit flows in a fishing community, Lake Victoria, Uganda



Field tool 12: Sources and use of money

Purpose

To identify the main sources and uses of money, and to explore how they differ between women and men. The same tool could be used to examine these differences between richer and poorer households, livestock and cropping households, etc.

Sources of information

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

How to examine gender differences in sources and uses of money

Step 1: Sources of money

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

Step 2: Expenditure

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

Step 3: Analysis

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

Table 13: Example of sources of income, Southern Province, Zambia

Source of income	According to women	According to men
For women	1. Chickens 2. Vegetables, groundnuts 3. Goats 4. Maize, sweet potatoes, pigs	1. Groundnuts 2. Chickens, handicrafts (knitting, weaving) 3. Goats, pottery
For men	1. Cattle 2. Goats 3. Maize 4. Pigs 5. Vegetables 6. Construction, brick-making, working for others	1. Maize 2. Sunflower 3. Vegetables 4. Chickens, cattle

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

Table 14: Example of items of expenditure, Southern Province, Zambia

Item of expenditure	According to women	According to men
By women	1. Food 2. School fees 3. Clothes 4. Medical expenses 5. Kitchen utensils, household items	1. Kitchen utensils 2. Clothes 3. Food 4. School fees, household items, small livestock (chickens, goats)
By men	1. Marrying a new wife/girlfriends 2. Cattle, fertilizer, food 3. Seed, farm implements 4. School fees 5. Beer	1. Fertilizer 2. Clothes, school fees 3. Farm implements 4. Medical expenses 5. Household items

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

Field tool 13: Decision-making matrix

Purpose

To examine the differences between men and women in terms of their participation in decision-making at household, group and community levels.

Source of information

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

How to examine gender differences in decision-making

Step 1: Identifying decisions made at various levels

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

Step 2: Decision-making between women and men

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

Step 3: Analysis

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

Table 15: Example of decision-making matrix

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

APPENDIX 1: RESOURCES

Websites

Bridge: A central point for gender and development information
www.bridge.ids.ac.uk

Eldis: A gateway to global development information on international development issues
www.eldis.org

FAO participation webpage
www.fao.org/participation/

Food and nutrition technical assistance (FANTA)
http://www.fantaproject.org/

International Center for Research on Women
http://www.icrw.org/

IFAD knowledge notes on gender
www.ifad.org/gender/learning/index.htm

International Institute for Environment and Development (IIED)
http://www.iied.org/

UN Women web portals and online resources
http://www.unwomen.org/resources/web-portals-and-online-resources/

Women's Empowerment Mainstreaming and Networking (WEMAN) for Gender Justice in Economic Development
http://www.wemanglobal.org/1_WEMANVision.asp

World Bank Social Development
http://go.worldbank.org/8WWCZQ5Q0

Documents

FAO Socio-economic and gender analysis (SEAGA) handbooks
http://www.fao.org/sd/seaga/4_en.htm

FAO (2006) A rapid guide for missions, Analysing local institutions and livelihoods
http://www.fao.org/sd/dim_pe4/pe4_060401_en.htm

Gender action learning system (GALS)
http://www.wemanglobal.org/2_GenderActionLearning.asp

Mayoux, L. and Mackie, G. (2007) Making the strongest links, A practical guide to mainstreaming gender analysis in value chain development, ILO

Mehra, R. and Gupta, G. R. (2006) Gender Mainstreaming: Making it happen,
Washington DC: International Center for Research on Women
http://www.icrw.org/files/publications/Gender-Mainstreaming-Making-It-Happen.pdf

Participatory action learning system (PALS)
http://www.lindaswebs.org.uk/Page3_Orglearning/PALS/PALSIntro.htm

USAID (2010) Guide to gender integration and analysis
http://www.usaid.gov/policy/ads/200/201sab.pdf

World Bank, FAO and IFAD (2008) Gender in Agriculture Sourcebook

http://web.worldbank.org/WBSITE/EXTERNAL/TOPICS/EXTARD/EXTGENAGRLIVSOUBOOK/0,,contentMDK:21348334~pagePK:64168427~piPK:64168435~theSitePK:3817359,00.html

World Bank (2007) Tools for Institutional, Political and Social Analysis of Policy Reform: A Sourcebook for Development Practitioners
http://web.worldbank.org/WBSITE/EXTERNAL/TOPICS/EXTSOCIALDEVELOPMENT/EXTTOPPSISOU/0,,menuPK:1424015~pagePK:64168427~piPK:64168435~theSitePK:1424003,00.html

Checklists

Integrating gender issues into UN Joint Programmes for food security, agriculture and rural development
http://www.fao.org/docrep/013/i1914e/i1914e.pdf

ADB Gender checklist agriculture
http://www.adb.org/Documents/Manuals/Gender_Checklists/Agriculture/default.asp?p=genchck

IFAD tools and guidelines on gender
http://www.ifad.org/gender/tools/index.htm

IFAD food security memory checklist
http://www.ifad.org/gender/approach/gender/mem.htm

IFAD gender and household food security knowledge notes
http://www.ifad.org/gender/learning/index.htm

Bill and Melinda Gates Foundation gender checklist
http://www.enrap.org/events/ifad-events/Checklist%20Gender%20Gates%20Foundation%20April%2008.pdf/view

More links
Links to resources by agency are presented in the Manager's Guide, Appendix 3.

APPENDIX 2: REVIEW OF PARTICIPATORY TOOLS

Theme	Participatory tool	Current use	Strengthening gender perspective
General context of community	Focal area map	Conduct initial orientation.	-
	Transect walk	Describe slopes, soils, food and cash crops, livestock, trees, water sources, socio-economic indicators.	-
	Historical timeline	Record major events (such as famines, wars, new crops, markets).	Include socio-economic changes such as migration of labour, changes in composition of community (FHHs, grandparent-headed HHs, double orphans).
	Trend lines	Document soil erosion and control; rainfall; livestock numbers; fodder availability; crop production; fertilizer and manure use; labour supply and demand; population; land sub-division.	-
	Wealth ranking	Describe livelihood assets, strategies and outcomes of different wealth groups in community.	Identify distribution of types of households by wealth (male-headed, female-headed, monogamous, polygamous, grandparent-headed, orphan-headed).
	Household mapping	Map location of households in community and identify their wealth.	Identify sex of household head.
	Gender discussion	Describe taboos, avoidance.	Include likes and dislikes of being a woman or a man.
	Natural and livelihoods resource map	Identify natural and other resources available within community for livelihoods and infrastructure.	Show access to and control over key resources and benefits by women and men (using ten-point system). User rights
	Mobility mapping	Identify location of essential services (e.g. water, traditional medicine, health, education, electricity, labour, market, vet services, administration, firewood), infrastructure (quality of roads, mode of transport) and distance travelled.	Include sex and age of traveller, mode of travel, frequency of journey and travel time, purpose of journey in order to understand workload implications for women and men and their access to services.
Labour	Seasonal calendar	Show activities by month, technologies used for different activities, peak workloads, food availability, off-farm work.	Include gender division of labour for each activity, use of tools.

(continued)

Theme	Participatory tool	Current use	Strengthening gender perspective
Labour	Daily activity calendars for women and men	Record daily activities separately for women, men and youth in general (no differentiation on the basis of sex).	Prepare separate activity charts for busiest and quietest times of the year. Record hours per day spent in household, productive, community and leisure activities for women and men.
	Enterprise analysis for individual enterprises	Indicate whether men, women, both or children do principal tasks, from land preparation to post harvest and marketing.	Use ten-point scoring system to show gender division of labour in more detail.
	Gender division of labour	Indicate principal tasks of men, women, both or children in household, productive and community activities.	Use ten-point scoring system to show gender roles in more detail.
Enterprise analysis	Crops	Rank importance by various criteria.	Collect information separately from groups of women and men.
	Livestock	Rank importance of different types of livestock; prepare animal diseases calendar.	Collect information separately from groups of women and men.
	Agro-forestry	Rank types of trees and their uses by various criteria.	Collect information separately from groups of women and men.
	Value chain mapping	Identify key actors in value chain and their relative strengths and weaknesses.	Include gender of key actors.
Use and control of resources and benefits	List of livelihood assets	List assets used by enterprise or activity.	Show access and control over key resources and benefits by women and men (using 10 point system).
	Indigenous knowledge	Describe use of trees and plants in home, for health care (human and livestock diseases).	Collect information separately from women and men.
	Sources and use of money	List five main sources of income and five main items of expenditure in a household.	Collect information separately from women and men.
Institutional analysis	Venn diagram	Show relative importance of different organizations and their linkages.	Women and men prepare diagrams separately.
	Organization and group profiles	Describe activities, membership and leadership base, training, external support, linkages with other groups, challenges and constraints.	Record composition of membership and leadership by sex and socio-economic status.
	Stakeholder analysis	Identify main stakeholders relevant to a given activity, project or programme; their interest in it; their relationships and relative importance in influencing outcome.	Collect information about perceptions of stakeholders from women and men separately.

(continued)

Theme	Participatory tool	Current use	Strengthening gender perspective
Livelihoods analysis	Livelihoods matrix	Collate information required for conducting a livelihoods analysis.	Ensure HHs selected for interviews include cross-section of HH types found in community (by socio-economic group and sex of HH head).
	HH semi-structured interviews and farm sketches	Describe crop and livestock production, soil and water conservation, irrigation, home economics, marketing, agroforestry, farm management, gender roles regarding livestock, indigenous knowledge.	Ensure HHs selected for interviews include cross-section of HH types found in community.
	Decision-making matrix	Show participation in decision-making in household, groups and at the community level.	Show differences between women and men in their participation in decision-making.
Community planning	Community achievements	Discuss main achievements in community.	Collect information separately from women and men.
	Problem analysis	Identify main problems in community, with detailed analysis of each problem: cause, effect, coping strategy and opportunities.	Conduct problem analysis separately with women, men and youth. When coping strategies and solutions are identified, determine which family members will be doing the work.
	Pairwise ranking	Show pairwise ranking of problems.	Conduct ranking exercise separately with women and men. Record reasons underlying ranking.
	Community action plan	Identify action required, inputs (personnel, locally available materials, external inputs), implementation schedule and responsibilities, follow-up.	Identify implications of labour inputs (for community contribution) on different members of community. Identify which members of community will reap most benefit from opportunities for income generation.
	Participatory M & E	Identify indicators for each activity at two levels (community and project management).	Identify indicators to be gender sensitive.