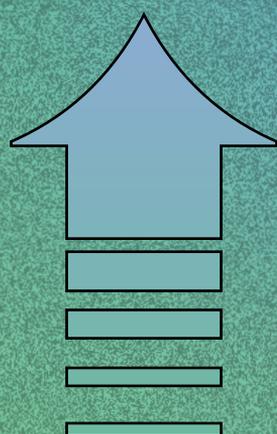




Food and Agriculture
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United Nations

SOCIAL ANALYSIS FOR INCLUSIVE AGRIFOOD INVESTMENTS MANAGER'S GUIDE



**FAO
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**INVESTMENT
TOOLKITS**



SOCIAL ANALYSIS FOR INCLUSIVE AGRIFOOD INVESTMENTS MANAGER'S GUIDE

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MWITA SHOP



Foreword

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

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

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

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

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

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



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Director
FAO Investment Centre

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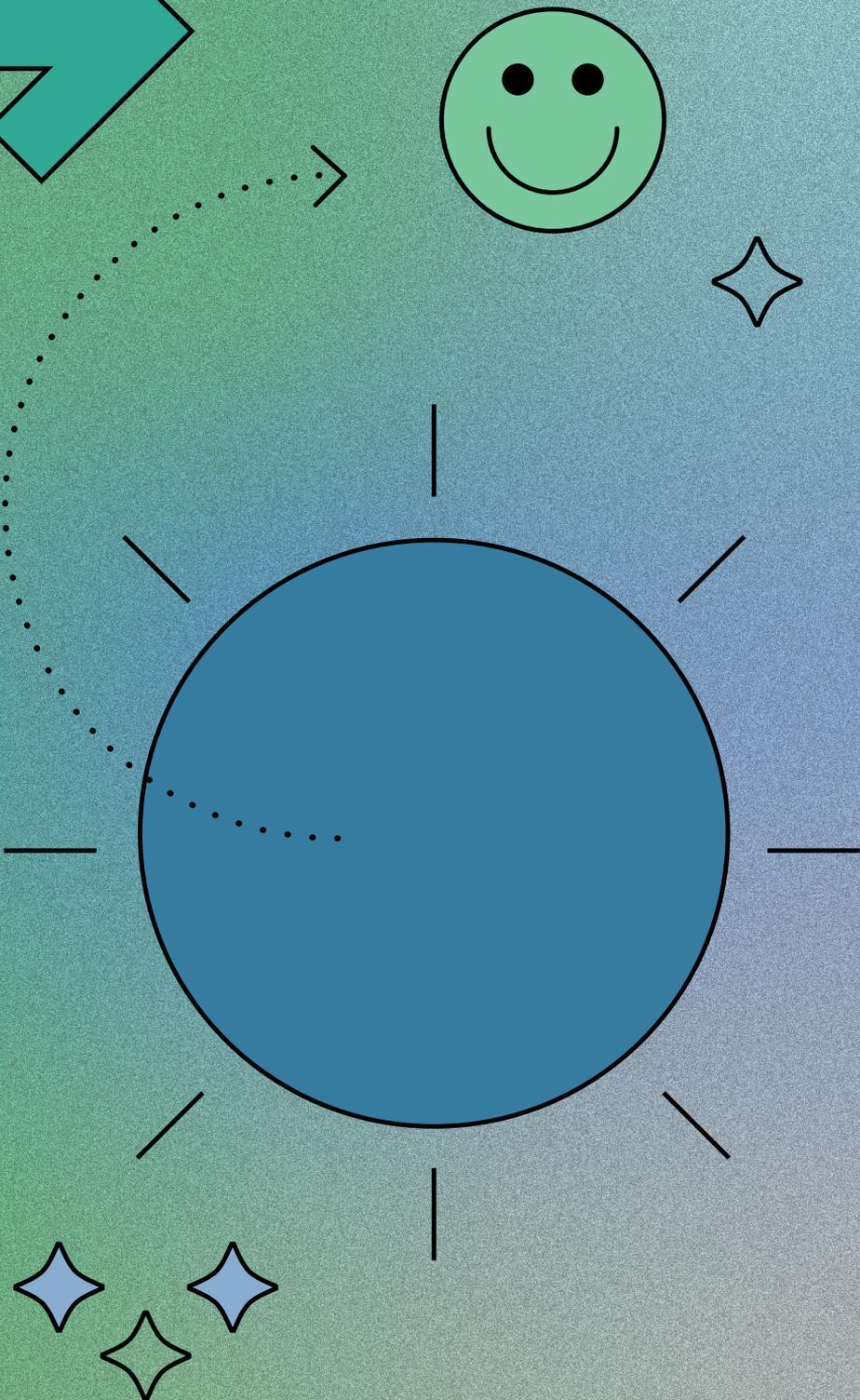
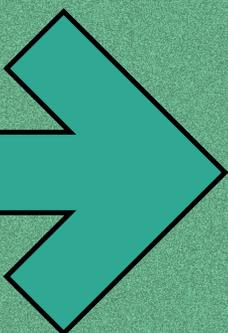
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Abbreviations and acronyms

AfDB	African Development Bank
ADB	Asian Development Bank
AWP&B	annual work plan and budget
CABEI	Central American Bank for Economic Integration
CDB	Caribbean Development Bank
CFS	Committee on World Food Security
CGIAR	Consultative Group on International Agricultural Research
CSO	civil society organization
EBRD	European Bank for Reconstruction and Development
ESG	environmental, social and governance standards (for private investments)
FANTA	Food and Nutrition Technical Assistance Project of USAID
FAO	Food and Agriculture Organization of the United Nations
GBV	gender-based violence
GCF	Green Climate Fund
GDP	gross domestic product
GEF	Global Environment Facility
IDP	internally displaced person
IEG	Independent Evaluation Group (of the World Bank)
IFAD	International Fund for Agricultural Development
IFC	International Finance Corporation
IFI	international financing institution
ILO	International Labour Organization
IOM	International Organization for Migration
M&E	monitoring and evaluation
NGO	non-governmental organization
NSVC	nutrition-sensitive value chain
OECD	Organisation for Economic Co-operation and Development
ODI	Overseas Development Institute
PIM	project implementation manual
PMU	project management unit
RBA	United Nations Rome-based agencies
SDGs	Sustainable Development Goals
ToR	terms of reference
UN	United Nations
UN DESA	United Nations Department of Economic and Social Affairs
UNDP	United Nations Development Programme
UNDRIP	United Nations Declaration on the Rights of Indigenous Peoples
UNICEF	United Nations Children's Emergency Fund
USAID	United States Agency for International Development
WFP	World Food Programme
WHO	World Health Organization

INTRODUCTION



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

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

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

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

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

WHAT ARE THE GUIDES FOR?

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

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

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

1 FAO Strategic Framework 2022-2031.

WHAT DO THE GUIDES NOT COVER?

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

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

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

WHO ARE THE GUIDES FOR?

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



MANAGER'S GUIDE

For managers of investment operations who are not social analysts.

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

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

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

PRACTITIONER'S GUIDE

For social analysts working on investment operations

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

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

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

FIELD GUIDE

For social analysts working on investment operations in the field

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

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

HOW TO USE THE MANAGER'S GUIDE

The purpose of the Manager's guide is to help managers (directors, coordinators, team leaders, task managers) understand the role of social analysis and to guide them on how to effectively integrate it principally in the public investment cycle. This guide can be used in conjunction with the Practitioner's guide, which presents a conceptual framework, methodology, tools and concrete tasks for conducting social analysis.

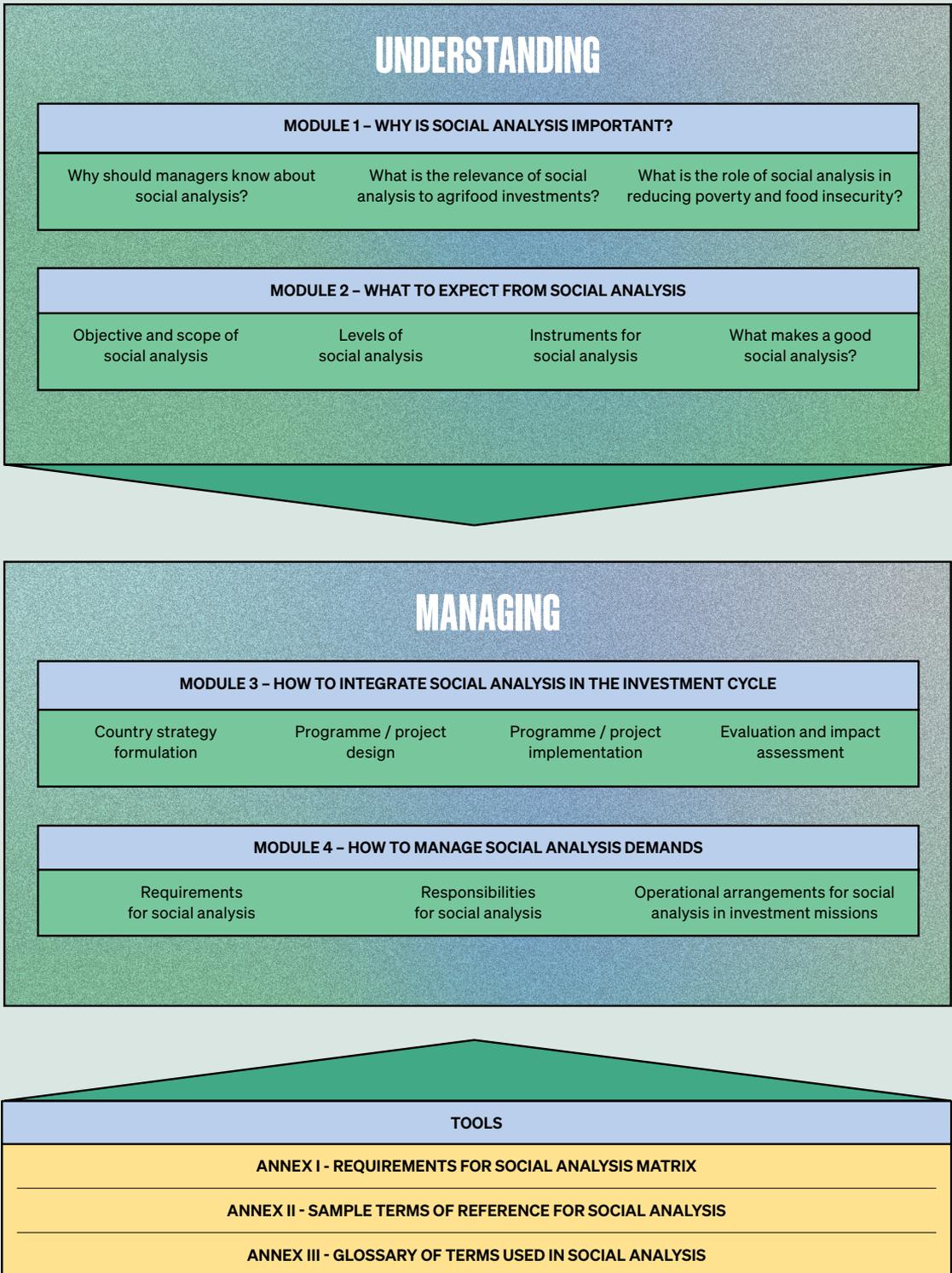


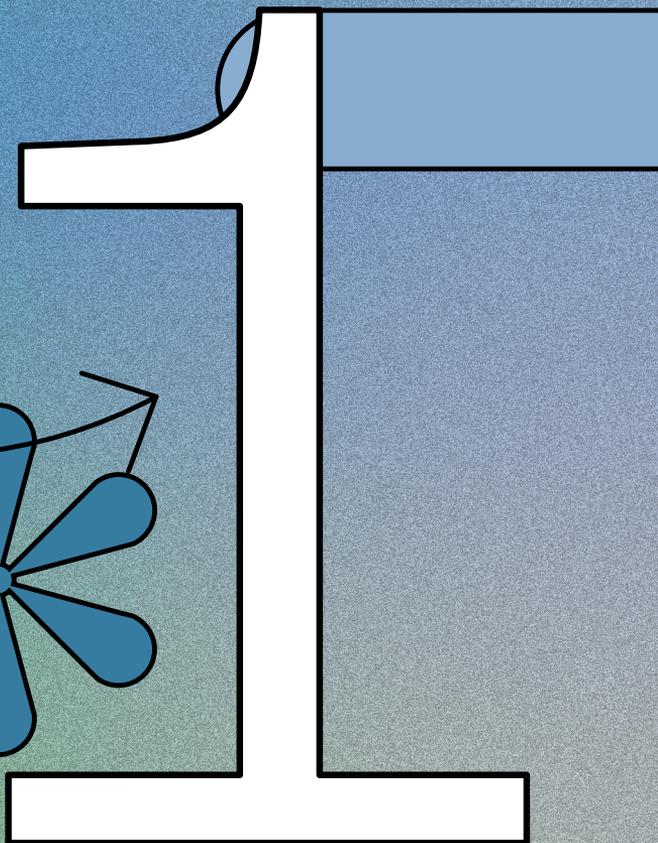
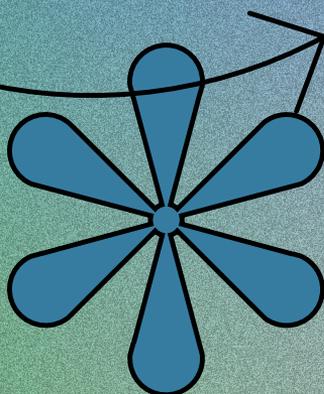
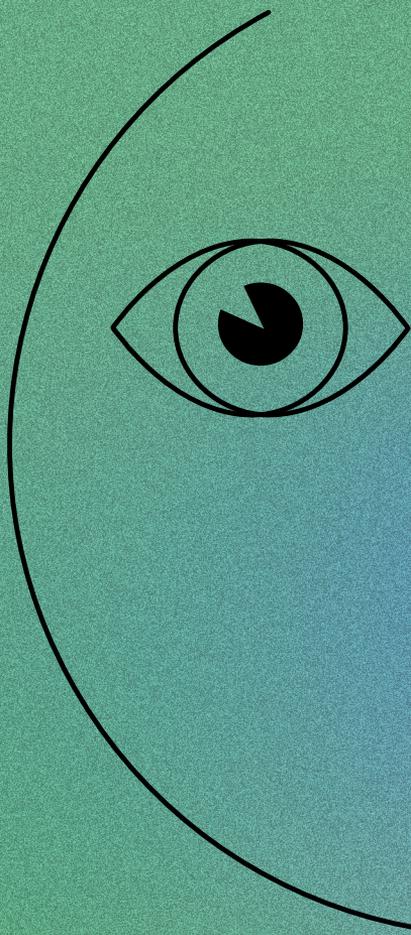
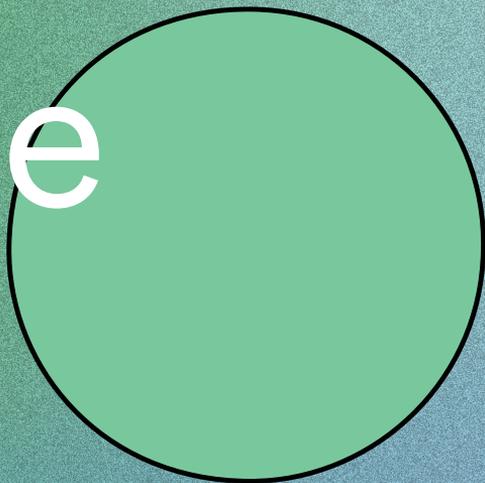
Figure 1
Workflow chart of social analysis field missions

SOURCE: Authors' own elaboration.





Module



Why is social analysis important?

This module describes the relevance and key benefits of social analysis as well as its role in enhancing the targeting and the quality of investments in agrifood systems. It helps the manager understand the usefulness of social analysis in addressing rural multidimensional poverty, food insecurity, social (and gender) inequalities, vulnerability and risks of exclusion to bring about **inclusive agrifood systems transformation**.

1.1 WHY SHOULD MANAGERS KNOW ABOUT SOCIAL ANALYSIS?

Social analysis (Box 1) can play a crucial role in promoting social inclusion and the empowerment of people who experience higher levels of vulnerability, exclusion and marginalization. This is done through their livelihoods in agrifood systems, including: small-scale producers and family farmers, pastoralists, small-scale fisherfolk, small-scale foresters and forest communities, agricultural wage workers, informal micro enterprises and workers, as well as landless people and migrants. It pays particular attention to those **groups who face exclusion and marginalization due to race, sex, poverty and socioeconomic status, language, ethnicity, religion, age, disability, caste, sexual orientation, Indigenous Peoples' self-identification, health status, migrant status, minority status, geographical location (such as urban/rural, conflict affected areas), or other grounds**.

In the context of agrifood investments, social analysis can enhance the poverty focus of investment policies and strategies, relevance and inclusiveness of project designs, quality and impact of implementation and sustainability of benefits (Box 2).

BOX 1

WHAT IS SOCIAL ANALYSIS?

A process of examining the sociocultural, institutional, historical and political contexts. This includes matters of social diversity and gender, rules and behavior, stakeholder dynamics, participation concerns and social risks. Social analysis is instrumental to understanding project-related opportunities and constraints; define strategies for social inclusion, cohesion and accountability; incorporating stakeholders' perspectives and priorities; establishing participatory processes; and assessing social impact.

SOURCE: World Bank. 2013a. Design & Implementation: Economic and Social Analysis. In: The World Bank. Washington, DC. Cited 12 December 2022. www.worldbank.org/en/topic/communitydrivendevelopment/brief/cdd-economic-social-analysis

BOX 2

FOUR KEY BENEFITS OF SOCIAL ANALYSIS

- ✦ **Promotes understanding** of social dynamics, institutions and power structures at household and community levels that influence people's access to and control over assets, resources, services, decision-making and opportunities.
- ✦ **Enhances the quality of more demand-driven, relevant and sustainable investments** in agrifood systems that respond to real needs and honor the principle of leaving no one behind; reducing rural poverty and food insecurity; creating socially inclusive, gender-equitable and sustainable development outcomes; and safeguarding the interests of vulnerable populations.
- ✦ **Ensures that the views and priorities of marginalized groups are heard**, captured and responded to, thereby building agency, local ownership and development capacity for transformative change.
- ✦ **Defines appropriate strategies and mechanisms** to ensure that diverse social groups participate equally in planning and implementing initiatives, and that they share benefits fairly, minimizing the risk of a few powerful individuals capturing benefits (known as 'elite capture').

SOURCE: Authors' own elaboration.

Social analysis can increase the quality of agrifood systems investments in the following ways:

- * Social analysis explores the complexities of social dynamics in rural communities, including: social diversity; gender and age-related roles and relations; sociocultural values, norms, beliefs and practices; organizational structures and capacities; power structures and dynamics; formal and informal institutions; and the multiple dimensions of poverty manifested through low income, lack of assets, powerlessness, lack of voice and opportunity, social exclusion, and vulnerability to shocks.
- * In the context of public investments in agrifood systems transformation, social analysis can help understand and address what undermines the access of the rural poor to assets, the agrifood supply chain, and affordable, nutritious, diversified and healthy foods, focusing particularly on marginalized and disadvantaged social groups. This can provide the basis for identifying appropriate interventions to address the underlying causes of poverty, vulnerability, food insecurity and malnutrition, which often lie behind social inequalities.
- * In the context of private investments in agrifood systems transformation, social analysis can help promote inclusive and sustainable business models. It can help investors articulate their social impact goals (alongside their financial return aspirations), based on a better understanding of the social realities on the ground. A thorough assessment of the sociocultural norms and dynamics that influence rural people's opportunities, capacities and constraints can also help establish the job creating potential of private investments, and guide the formulation of appropriate targeting strategies.
- * A thorough grasp of social realities on the ground provides the basis for inclusive targeting of interventions by: identifying and profiling target groups among poor and disadvantaged people; defining gender and youth mainstreaming strategies; designing activities that are tailored to the real needs and capabilities of each target group; putting in place social safeguards and protection measures for the most vulnerable; and collecting disaggregated information to monitor targeting performance and make adjustments during implementation.

The results of social analysis can thus contribute significantly to the strategic direction of sustainable agrifood investments, as it enables planners and practitioners to put the human dimensions – stakeholders, target groups, intended beneficiaries or other affected people – at the centre of their interventions. Social analysis can help develop mechanisms and activities that build on the strengths, coping strategies and livelihood opportunities of poor and vulnerable populations, and identify the key barriers that prevent them from achieving positive livelihood outcomes.

In addition, the process of social analysis contributes to building ownership and consensus among local stakeholders, financing agencies, government and private sector partners around investment strategies and priorities; while at the same time empowering local actors to drive the development process and become agents of change.

1.2 WHY SHOULD MANAGERS KNOW ABOUT SOCIAL ANALYSIS?

Until the early 1990s, rural development assistance focused mainly on increasing production and incomes as the main means of reducing poverty, measured by gross domestic product (GDP) growth. As poverty persisted and social inequalities widened over the years, despite large public investments, this paradigm was gradually replaced by other approaches that recognize economic growth alone does not automatically reduce poverty, especially if it is not inclusive and attentive to reducing social inequalities. The definition of ‘development’ was broadened (Box 3) to encompass “the economic, political, and civil rights of all people across gender, ethnic groups, religions, races, regions, and countries” (World Bank, 1991). Since 2014, the World Bank has used the term ‘shared prosperity’ to measure the extent to which economic growth is inclusive, focusing on the poorest population rather than on total growth (World Bank, 2014a).

BOX 3

SUSTAINABLE AND HUMAN DEVELOPMENT, NOT JUST ECONOMIC GROWTH

In its report, *Our Common Future*, the Brundtland Commission defined sustainable development as “development that meets the needs of the present without compromising the ability of future generations to meet their own needs” (United Nations General Assembly, 1987). From that time on, ‘sustainable development’ acquired a broader, more holistic meaning, embracing and integrating economic, environmental and social concerns.

According to UNDP, human development “is about giving people more freedom and opportunities to live lives they value,” which entails “developing people’s abilities and giving them a chance to use them.” This definition is a sharp shift away from a long-held assumption that economic growth will automatically lead to greater opportunities and improved lives. It is an approach grounded in human rights to a long and healthy life, education, decent standards of living, and political freedom.

SOURCE: UNDP. 2022a. About Human Development Report Office. In: UNDP. New York, USA. Cited 12 December 2022. <https://hdr.undp.org/en/humandev>



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In this evolving development context, **social analysis** was first introduced by multilateral investment banks as a regulatory instrument, used solely to screen for possible negative impacts on specific vulnerable groups. Then, the rationale then was to use social analysis to ensure that projects 'do no harm.' Today, it is to ensure that projects maximize their impact equitably to benefit all social groups. Social analysis has evolved into **a tool for incorporating social issues – viewed as crucial to the sustainability of interventions – in all stages of the investment cycle**, from inception and formulation to implementation, completion and evaluation. Social inclusion and the empowerment of the poorest populations are now seen as critical to enhancing the impact of investments and sustaining the gains of economic development.

To address the global challenges of the past decade, analytical concepts and approaches have developed further, and new thematic focus areas have gained ground broadening the scope, complexity and cross-sectoral nature of investment operations, and calling for ambitious **country-driven action** towards achieving the SDGs. The implementation of the 2030 Agenda requires a more holistic, coherent and integrated approach with policies that address linkages within the social sector, as well as between the social, economic and environmental dimensions of sustainable development. Institutions that are working in the field of social development are expanding the scope of their work to accommodate new mandates arising from the SDGs. Public and private investment priorities are changing accordingly, with more emphasis being placed on applying innovations, building resilience, enhancing human and social capital, and improving governance in order to address persistent gender inequalities, empower youth, boost decent employment for all, and target benefits to poor and vulnerable populations. **The aspiration of achieving sustainable food systems transformation while leaving no one behind places high demands on social inclusion.** Governments and financing institutions (national and international) have been responding to such demands with enhanced project design and implementation features, and higher requirements for social risk assessments, gender and youth assessments as well as more rigorous social safeguard procedures. Private companies increasingly seek to contribute to social impact goals by developing new products and services that directly target progress toward the SDGs.

Such requirements have increased the need for sound social analysis that can help improve the quality of investment strategies, programmes and projects. They have also placed higher expectations on managers and team leaders of public investment operations, who comprise the primary audience of this guide. As investments have become more demand-driven, project design processes have evolved with stakeholders, service providers and technical experts collaborating to identify the priorities and interventions most relevant to meeting countries' SDGs. Demand-driven agrifood system investments have also changed the way in which project target groups are identified, with communities and beneficiaries self-selecting on the basis of their interest and the strength of local initiative to access what the project offers along food value chains. Project managers may have limited control over the participation of women, for example, because members of farmer groups are self-selecting. To overcome the potential disconnect between the stated target groups (such as poor smallholders) and actual project participants, targeting strategies usually include multiple targeting mechanisms to provide managers

with different means of reaching beneficiaries and to limit errors of exclusion or inclusion and community resistance. To choose the right mechanisms, it is necessary to have a solid understanding of the social context and power dynamics. This is discussed in the Practitioner's guide.

1.3 WHAT IS THE ROLE OF SOCIAL ANALYSIS IN REDUCING POVERTY AND FOOD INSECURITY?

According to the World Bank, four of every five individuals below the international poverty line live in rural areas, although the rural population accounts for only 48 percent of the global population (World Bank, 2020a). Investment in agrifood systems can therefore contribute significantly to achievement of the SDGs, especially SDG 1 (no poverty), SDG 2 (zero hunger) and SDG 10 (reduced inequalities).

Rural poverty (Box 4) manifests itself not only as lack of income, the presence of food insecurity or malnutrition, but also as a condition of multiple deprivations, including lack of voice, collective action, organizational capacity, participation and agency. While poverty in the past was traditionally measured considering only a single dimension (usually income or consumption), additional poverty measures have been developed to capture the multiple dimensions of poverty (FAO, 2021b).¹

BOX 4

WHAT IS RURAL POVERTY?

Rural poverty is characterized by a myriad of intertwined challenges that make it distinct from urban poverty [...] Rural people live differently, derive their income differently; may live in remote and sparsely populated areas, such as forests and savannahs, and depend on agricultural income and on the management of natural resources [...]. Rural people may be exposed to covariate shocks differently, such as crop or livestock losses due to natural disasters, poor rainfall or specific crop and animal diseases, and suffer exclusion from social services due to their remoteness and political exclusion [...]. Thus, the nature of rural livelihoods and the constraints that the rural poor face may require a better conceptualization of what constitutes the rural poor's wellbeing [...]

SOURCE: FAO. 2021b. Rural poverty analysis. From measuring poverty to profiling and targeting the poor in rural areas. Rome, FAO. www.fao.org/3/cb6873en/cb6873en.pdf

¹ See Practitioner's guide for details on the Rural Multidimensional Poverty Index.

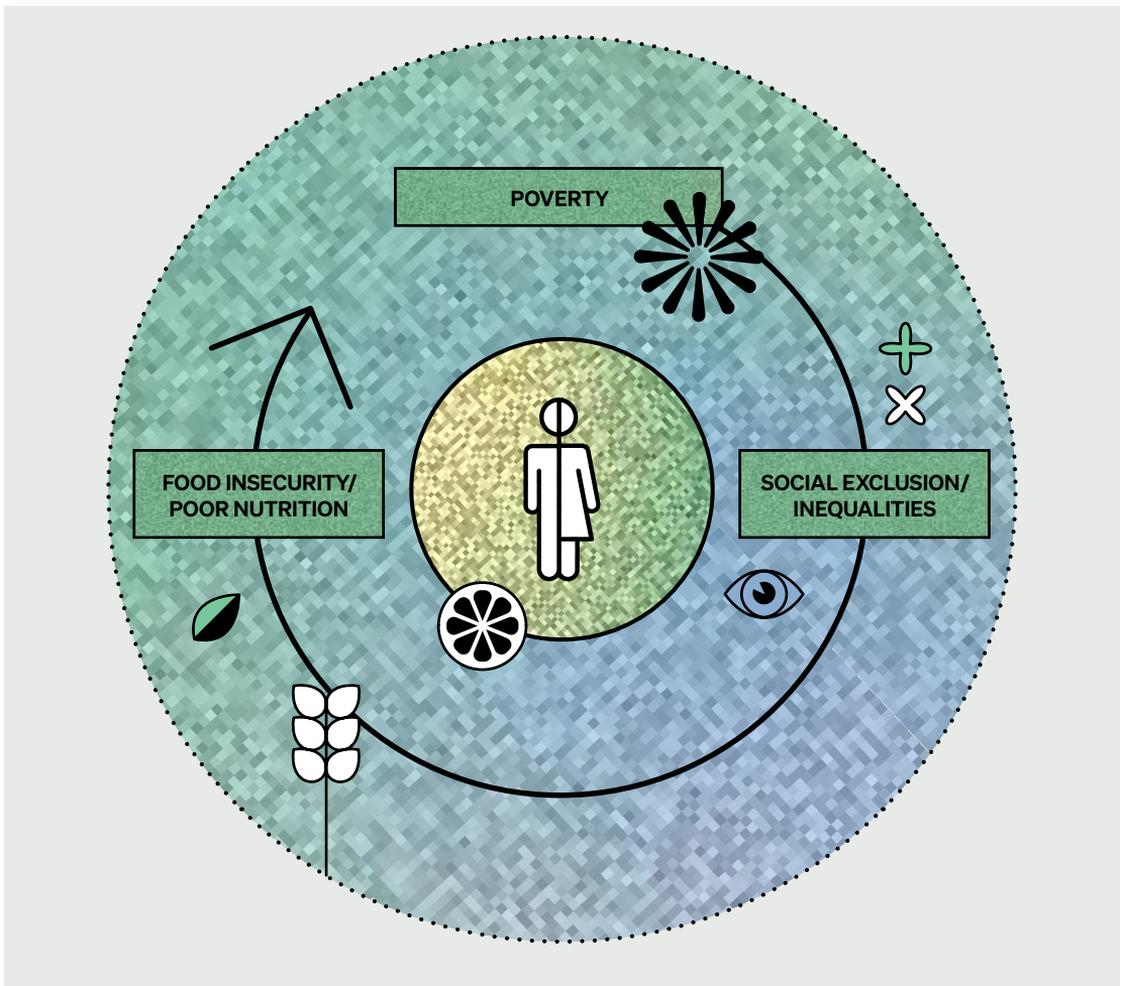


Figure 2
Poverty, hunger and social exclusion: a vicious cycle

SOURCE: Authors' own elaboration.

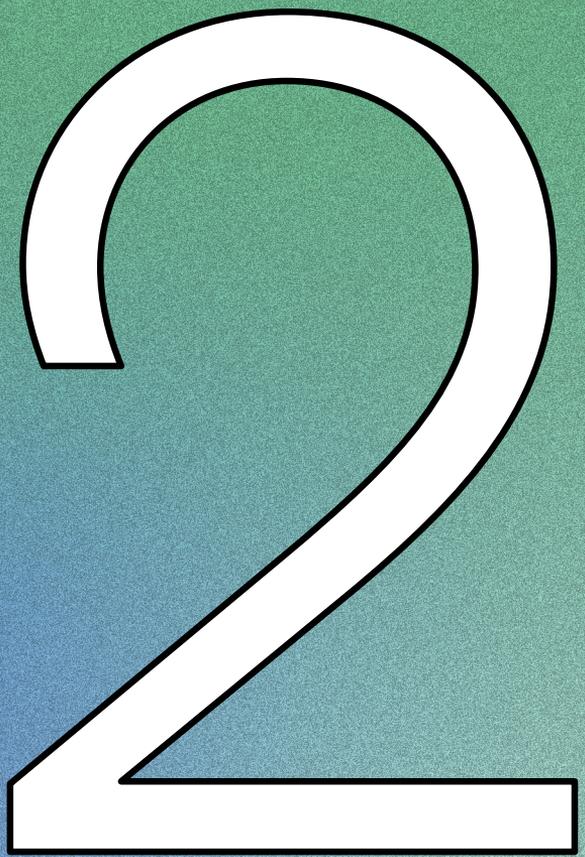
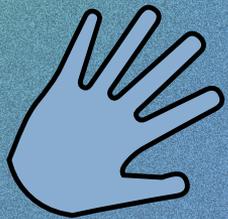
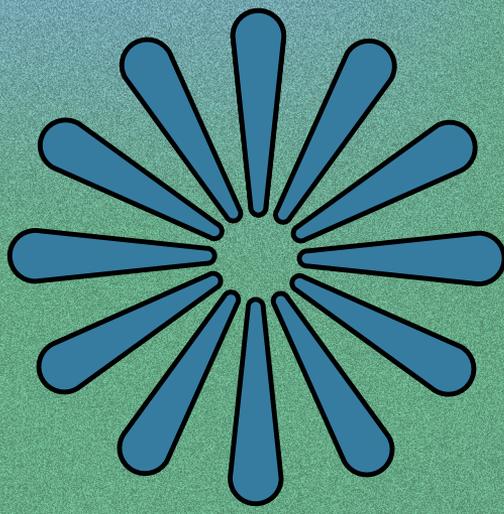
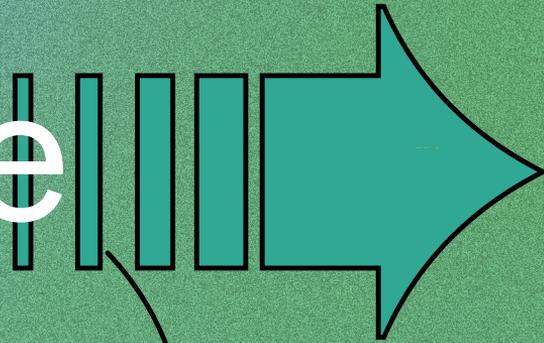
Food insecurity and malnutrition are both manifestations and drivers of poverty (Figure 2). They affect certain social groups disproportionately, compromising the cognitive and physical development of children and, in the longer-term, hampering labour productivity and income-generating opportunities of working-age adults. These dynamics and linkages need to be well understood and addressed in an integrated manner. Extreme poverty is one of the underlying causes of food insecurity and malnutrition, however food-insecure and malnourished people are not always members of the poorest households, and extreme poverty reduction does not necessarily translate into improved food security and nutrition.

Social analysis can promote such understanding in the context of agrifood investments and help identify interventions that can break the vicious cycle of poverty, hunger and social exclusion (Figure 2). Details of how to carry out a rural poverty analysis in the context of agrifood systems are provided in the Practitioner's guide.





Module



What to expect from social analysis

This module describes the scope and objectives of social analysis, the range of topics it typically covers and the key factors that can strengthen the relevance and usefulness of its findings for the benefit of investment project design and implementation. It helps managers understand the cross-cutting nature of social analysis, its participatory approach and the process of conducting it, which is as important as its outputs.²

2.1 OBJECTIVE AND SCOPE OF SOCIAL ANALYSIS

Guided by the Agenda 2030 principle of *leaving no one behind*, the ultimate objective of social analysis is to improve the design and implementation of agrifood investments, so that these are more people-centred, inclusive, gender-equitable, resilient and socioeconomically sustainable, leading to better nutrition, health, and well-being. To achieve this, social analysis helps understand the socioeconomic context of target areas in terms of the dynamics of rural livelihoods, agrifood systems and their vulnerabilities; social and gender roles and relations; policies and institutions (formal and informal); cultural norms, beliefs and practices; stakeholders and power dynamics; and the specific challenges facing vulnerable and disadvantaged groups.

² See Box 5 for some key terms used in the context of social analysis, and Annex III for a full glossary.

BOX 5

WHAT IS SOCIAL INCLUSION AND EMPOWERMENT?

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

SOURCE: FAO. 2022a. Cross-cutting theme of inclusivity in FAO's Strategic Framework 2022-2025. Rome, unpublished.

Social empowerment is the process of developing a sense of autonomy and self-confidence, and acting individually and collectively to change social relationships and the institutions and discourses that exclude poor people and keep them in poverty.

SOURCE: FAO. 2022b. FAO Term Portal. In: FAO. Rome. Cited 12 December 2022. www.fao.org/faoterm/en/



The **scope** of social analysis is broad, embracing a wide range of topics, applicable to any sector, subsector, type of investment operation or lending instrument, ranging from policy reform to programmes and technical assistance. Social analysis can include one or any combination of the following:

- Analysis of socioeconomic conditions, rural livelihoods, agrifood systems, poverty and vulnerabilities.
- Analysis of cultural norms, values, beliefs and practices.
- Analysis of: gender, youth, Indigenous Peoples, ethnic minority groups, socially marginalized or stigmatized groups (e.g. persons with disabilities; migrants, refugees, internally displaced persons (IDPs); people living with chronic illnesses; members of the lesbian, gay, bisexual, transgender, queer and intersex [LGBTQI+] community, etc.) and formulation of relevant mainstreaming and engagement strategies.
- Institutional analysis at formal and informal levels, including at the community level.
- Stakeholder analysis and engagement.
- Community engagement, development and capacity/resilience building.
- Social screening and mapping.
- Profiling of target groups and identification of targeting mechanisms.
- Application of social safeguard policies.
- Assessment of social development outcomes, impact and change.
- Design of programme activities, tailored to the needs, capabilities and aspirations of the target groups.
- Social risk (including climate risks) and vulnerability assessment, management and mitigation.
- Definition of social accountability mechanisms for beneficiary feedback and complaints.
- Monitoring targeting performance using disaggregated indicators by sex, age, Indigenous self-identification, and disability status as applicable.
- Social impact assessment and evaluation.

Investment operations based on sound social analysis can enhance the likelihood of outcomes and impact being sustained beyond the end of the operation, because of the following good practices:

- Household livelihoods opportunities and diversification strategies are supported – and their resilience built – through the social and economic empowerment of women, young people and other disadvantaged community members.
- Local institutions are strengthened to be more inclusive, to lead community planning processes, and to serve as an important mechanism to identify community needs and take collective action.
- Community-based organizations and membership-based producer organizations are more inclusive and their capacity is strengthened to provide demand-driven and responsive services to their members, and act as social safety nets in times of crisis.
- Community natural resources are managed sustainably and adaptation and mitigation capacities to climatic shocks are strengthened.
- Engagement of local communities in the operation and maintenance of public infrastructure assets and facilities constructed or rehabilitated through investments.

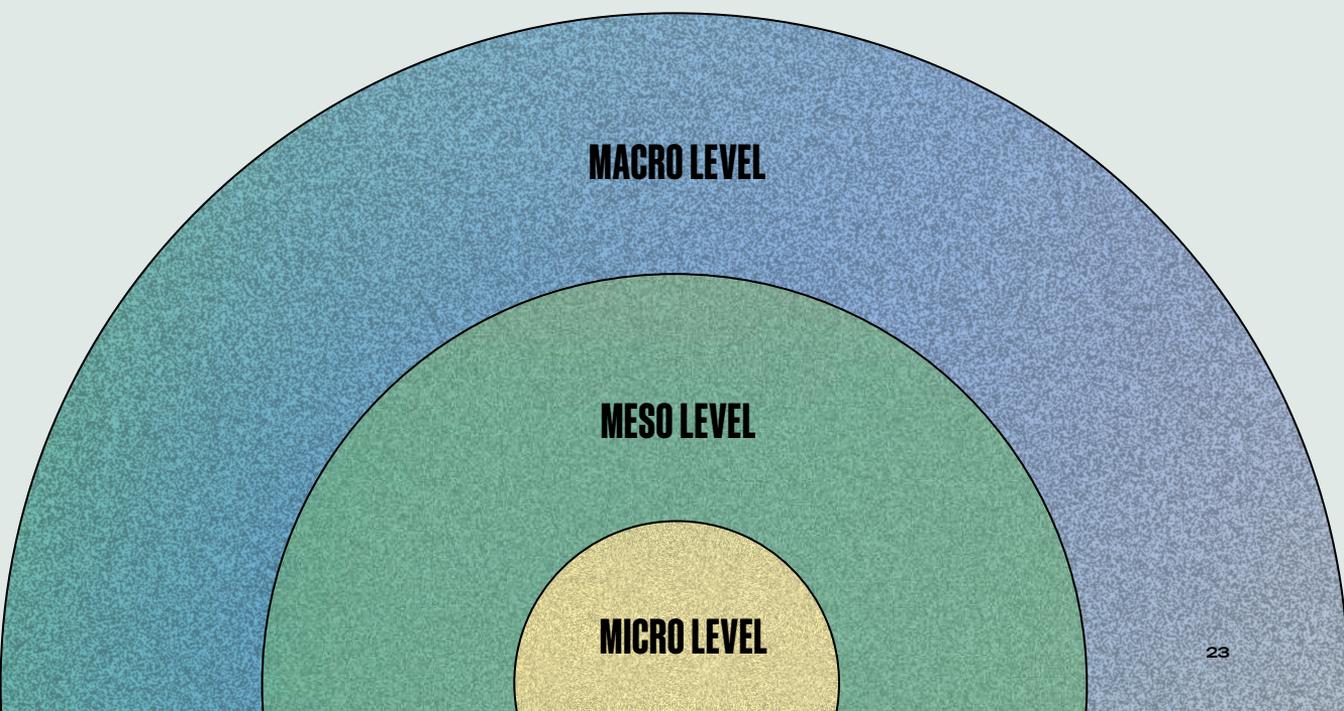
2.2 LEVELS OF SOCIAL ANALYSIS

Social analysis can be conducted at various levels, following the administrative structure of the country in which the investment is being designed or implemented. These may include (cf. World Bank, 2007):

Macro level covers the broader national (but sometimes also regional) policy, as well as the institutional and regulatory environment. Involves consultation of secondary sources of information (national statistics and policy documents; reports of UN agencies, IFIs, etc.), and direct engagement with in-country stakeholders, including government officials and policymakers.

Meso level covers the provincial and/or district levels. While secondary data is necessary and recommended, the quality or reliability of information available at this level may greatly vary. So, it is wise to contact other development agencies and local NGOs working in the area, or with previous experience there, for a more accurate picture of the local situation.

Micro level involves analysis at the community or village level. Here, interaction with people in a participatory and consultative manner becomes prominent. This may entail engaging potential target groups and communities that will be directly or indirectly affected by the investment; village chiefs and institutions (both formal and informal); and local civil society organizations (CSOs), NGOs, and community-based organizations.



2.3 INSTRUMENTS FOR SOCIAL ANALYSIS

The main instruments through which social aspects are addressed in the context of agrifood investments include (cf. World Bank, 2003a):

- * **Upstream social analysis**, which is carried out as input to the country strategic framework or sector strategies, and when formulating an investment project. Upstream social analysis assesses the policy, institutional and legal framework and the enabling environment at the national level.
- * **Project-level social analysis**, which is conducted at the project formulation and design stages to assess the social landscape and identify the target groups and appropriate project interventions and approaches tailored to their needs and conditions.
- * **Social impact assessment**, which is undertaken to assess progress and achievements of the investment in reaching out to and benefit the intended target groups, including on social development outcomes and impact on poverty.
- * **Social risk assessment and management** (Box 6),³ which consists of identifying existing vulnerabilities or potential/anticipated adverse impacts on the target groups and rural communities; and in defining measures to avoid, minimize, manage, counter, off-set or compensate such impacts.

BOX 6

SOCIAL RISK AND ADVERSE SOCIAL IMPACT

The World Bank defines **social risk** as “the possibility that the intervention would create, reinforce or deepen inequity and/or social conflict, or that the attitudes and actions of key stakeholders may subvert the achievement of the development objective, or that the development objective, or means to achieve it, lack ownership among key stakeholders.” Social risk is understood as both an **external risk to project success** and as a **risk created by the project itself**, which in turn negatively affects the project.

SOURCE: Vanclay et al. 2015. *Social Impact Assessment: Guidance for assessing and managing the social impacts of projects*. Fargo, North Dakota, USA, International Association for Impact Assessment (IAIA).

3 The Practitioner's guide (Module 3) provides more detail and examples on assessing and managing social risks and adverse impacts.

There are three main types of risks and vulnerabilities:

- ⊗ **Adverse impact that may be caused or worsened by the investment** in the context of: livelihoods; the environment; property rights; or the health and well-being of communities, including: involuntary resettlement, poor labour conditions, as well as community health, safety and security. If possible, adverse impacts should be identified early in the investment formulation. For private sector investments, the identification of adverse impacts may happen at the sector or value chain level, when engaging in new markets/products, or they may be detected during the implementation phase and addressed through social safeguards.
- ⊗ **Contextual risks**, which are generally not project-induced (e.g. gender inequalities, conflicts, political instability, natural hazards, as well as the impacts of climate change, corruption and poor governance, and the lack of rule of law). These risks may be identified early during the strategy or investment formulation or during implementation; they can be addressed by putting in place adequate mitigation measures.
- ⊗ **Performance, capacity-related and reputational risks**, which may compromise the quality of implementation and even lead to failure. Measures to manage this kind of risk include due diligence processes, performance-based contracts for project implementers and service providers (public or private); the identification of capacity gaps and corresponding measures on how to fill them; and the preparation of a plan to build and strengthening capacities.

2.4 WHAT MAKES A GOOD SOCIAL ANALYSIS?

The process of conducting social analysis is as important as the results it generates. A good social analysis is approached in a holistic, integrated and multidisciplinary manner, involving close collaboration among the different technical specialists assigned to a design or implementation of a mission, so that social concerns are fully incorporated into programme components and activities (Box 7). While it requires the expertise and leadership of a social analyst (e.g. rural sociologist, social anthropologist, or gender specialist), **social analysis is cross-cutting, and should therefore never be carried out as a stand-alone task.** It should be included – to the extent and scope possible – in all stages of the investment cycle, as a tool to identify and adjust targeting strategies, priority areas, activities and social risk management mechanisms.

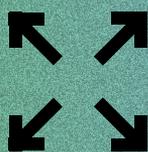
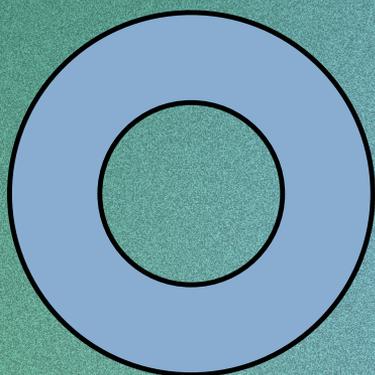
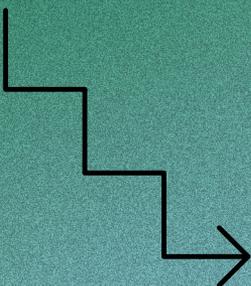
KEY INGREDIENTS OF GOOD SOCIAL ANALYSIS

- **Honest broker role:** The social analyst enhances the voices of the intended beneficiaries and others in reflecting their priorities and concerns during negotiations with government and donors regarding agrifood investments.
- **Stakeholder consultation and engagement:** All stakeholders, including government and in-country partners from the national to the community levels, should be involved throughout each stage of the investment cycle to build ownership and ensure that the views and opinions of all socioeconomic groups are heard.
- **Enhancing capacity of local counterparts:** Social analyst together with the overall project design/implementation team should aim to enhance the capacity of local counterparts (government institutions, in-country implementing partners, service providers, etc.) to integrate the social dimension into project activities, engage the target group, mainstream gender at all levels, monitor targeting performance and adopt participatory approaches.
- **Interdisciplinary collaboration:** An interdisciplinary and holistic approach to social analysis is required for a proper interface with the technical, institutional and economic aspects of the investments, and to ensure that overall programme objectives are sensitive to relevant aspects of the socioeconomic and cultural environment.
- **'Optimal selection' and time management:** Undertaking a comprehensive social analysis when designing a new investment may be challenging, due to time and travel limitations. Optimal selection of tools to use and communities to visit, exchange and triangulation of information collected through field work with other technical experts, and interactions with other donors and relevant NGOs are critical to obtaining an accurate picture of the reality on the ground.
- **Use of participatory approaches:** The social analyst should guide and support technical team members, in-country partners and project implementers in using participatory approaches to the extent possible, including for monitoring and evaluation (M&E) and beneficiary feedback.
- **Early identification of potential social risks:** Social analysis should also be used to detect early on any potential risk (e.g. natural and climatic hazards) and adverse impact (e.g. conflict within the household or community, land expropriation, etc.) that the project may bring on the target groups or the overall community. On the basis of the risk identification, risk management and mitigation mechanisms should be established, including through social safeguards.

SOURCE: Authors' elaboration based on FAO. 2011a. *Social analysis for agriculture and rural investment projects*. Manager's Guide. Rome, FAO. www.fao.org/3/i2816e/i2816e.pdf



Module



How to integrate social analysis in the investment cycle

This module describes the role of social analysis at various stages of the investment cycle, helping the manager make decisions on how to integrate the analysis into investment design, implementation, completion and evaluation. Figure 3 summarizes the key tasks and outputs that are relevant to managing social inputs and assessments across all investment cycle stages.

3.1 THE INVESTMENT CYCLE

Most agencies and financing institutions (including private investors) concerned with agrifood investments recognize these main stages in the investment cycle:

- * **Country strategy formulation**,⁴ involving the definition of investment priorities and broad planning of interventions over a specific timeframe, typically 5 years. When designed by financing institutions, such strategies are the entry points for their engagement in a given country, which guides their investment portfolio through the design of future operations. Such operations can be funded through different instruments, i.e. loans, grants, technical assistance, policy support, etc. For private investment funds, this upstream strategy stage may not be country-specific, but related to the selection and planning of investments in any area.
- * **Programme or project design**, which may consist of different steps, including inception, identification, formulation and appraisal.
- * **Programme or project implementation**, which comes after the approval by the financing body's executive board and project effectiveness (i.e. readiness to disburse funds), beginning with a startup phase and ending at project completion. During the timeframe of the programme execution, implementation support missions, supervision missions and mid-term review (MTR) missions are organized regularly⁵ and jointly by the development agency, the government and all partners involved to provide technical backstopping, monitor progress and revise or reorient programme activities as needed.
- * **Programme or project completion**, which may entail a self-evaluation and an independent evaluation, using both quantitative data from end-line surveys or impact assessment and qualitative data collected during evaluation missions.⁶ Similar to other stages of the project cycle, evaluations are organized as inclusive processes based on wide consultation, and they have a strong learning element for the benefit of future investments. They are conducted towards producing a final/terminal report of the programme, required by the financing agency and the government.

The main contributions and outputs of social analysis at each stage of the investment cycle are presented in Figure 3. Detailed guidance on how to conduct social analysis across these stages is found in the *Practitioner's guide*, written for a social scientist audience.

- 4 This guide focuses on country-level investments, however many financing institutions and private sector actors also develop regional and sector strategies for entering a new market. Macro-level social analysis is relevant there too, and entails similar activities as at country level.
- 5 Development agencies and IFIs have their own requirements and modalities for carrying out field missions at different stages of the investment cycle. In this guide, these are generically referred to as: missions for design, supervision, implementation support, MTR, completion and evaluation.
- 6 Self-evaluations are conducted by those responsible for the design and the implementation of an investment. Independent evaluations are conducted within agencies by entities that are institutionally detached from the operational management and delivery units, and which do not partake in related decision-making functions.

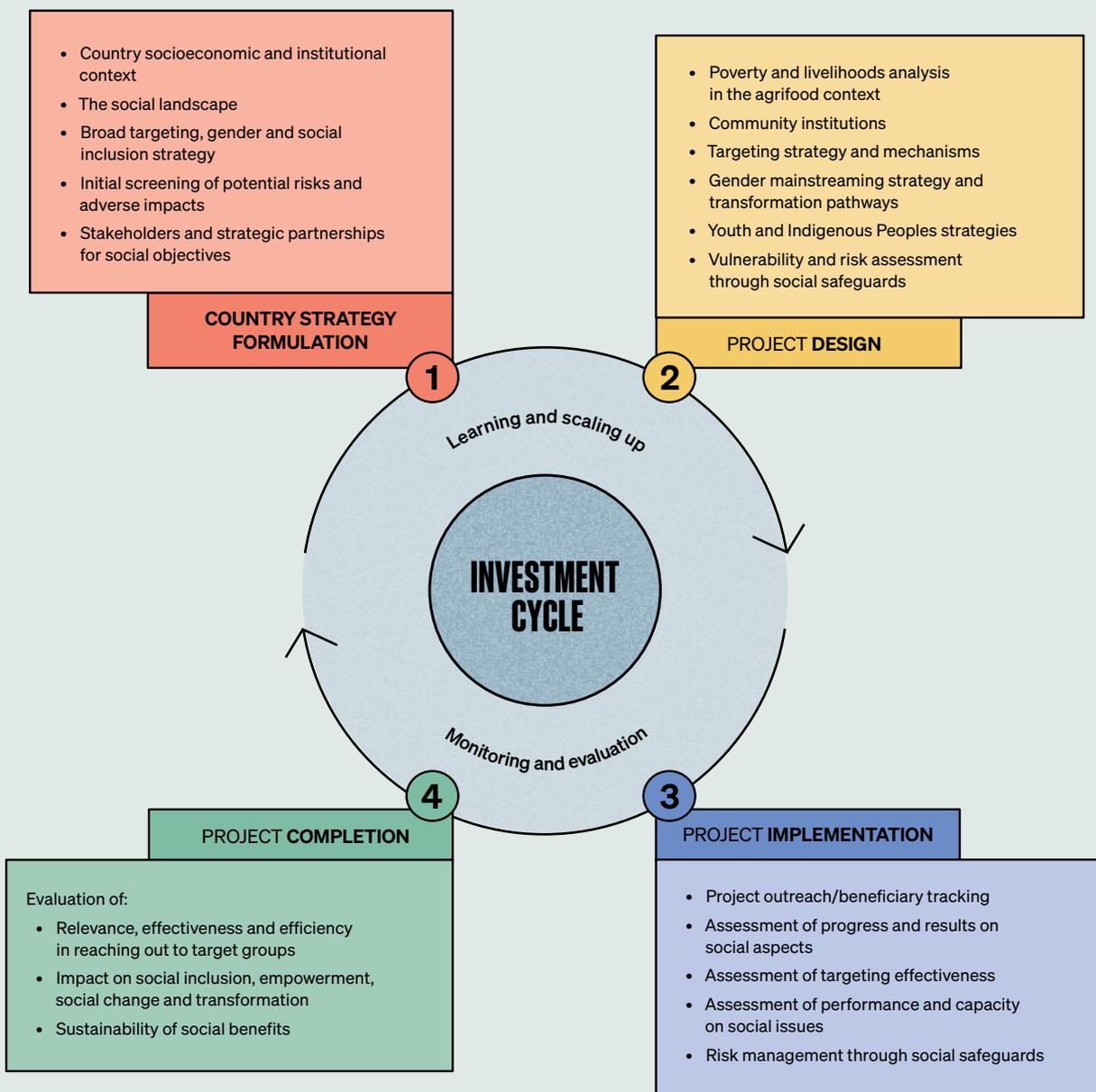


Figure 3
Social analysis in the investment cycle

SOURCE: Authors' own elaboration.

3.2 COUNTRY STRATEGY FORMULATION

There is strong consensus on the benefits of incorporating social analysis into upstream country strategic planning, policy and sector work. Such planning may also be at the regional level, requiring a similar social analysis approach. Investing in social analysis at this stage (the macro level) brings considerable returns at the next stage of programme/project design (the meso and micro levels), as it helps build a social inclusion framework for future reference in the country. It also helps strengthen the enabling environment for social inclusion which is crucial for enabling both public and private investments reach their desired social development outcomes and financial goals. The approach and the depth of social analysis vary, depending on the focus areas of the strategy and the importance that agencies and governments attach to social aspects, particularly at the meso and micro levels. Gaps identified at this stage can be addressed when designing project interventions; for example, by engaging in dialogue with government and policymakers to solicit policy change. For private investors who enter new markets and value chains in a country or region, macro level social analysis can help design investment projects that honour social responsibility principles, avoid reputational risks, and promote shared prosperity.

Large multisectoral agencies, such as the World Bank, have developed a wide range of social analysis tools (involving primary and secondary data) for the country strategy formulation stage of the investment cycle, which have had a positive effect on increasing both the flows and the quality of investments in the agrifood sector (where the majority of poor people are concentrated) and other sectors like health, education and social protection. Other agencies devote less efforts to social analysis at this stage, relying mainly on secondary data sources for macro level assessments of the policy, institutional and socioeconomic environment. They also draw on knowledge and lessons learned emerging from country programme implementation or evaluations that can inform future investments under their respective country strategic frameworks.

In either case, it is important for managers to be aware of the following points about social analysis at this project cycle stage:

- Assessing the country's policy, and institutional environment in relation to social issues provides an entry point and a framework for future agrifood investments, including social development interventions. It ensures that the desired social outcomes and impact can be achieved. As this kind of information may require knowledge of the respective country's languages and the use of diverse information sources, managers may consider involving local consultants, research institutes or specialized service providers in the process. It is also important that national policy engagement be led by the agency's country office, if available, to ensure continuous dialogue, interactions and the creation of institutional memory.

- Country strategies are to be formulated as a joint effort between the government and the development partner so they are fully aligned with the policies and long-term national planning documents of the country. Hence, the process of social analysis should also be informed by stakeholder consultations at multiple levels (national, subnational, community) and multiple ministries, other agencies, and programmes.
- Due to financial and other constraints, comprehensive field-level investigations (especially involving international consultants) may not always be possible at this stage. In such cases, managers could draw on information from consultations that may have taken place in the context of past project designs and evaluations, relying on support from local service providers and the agencies' country office, if present.
- Embedding appropriate social indicators into country strategies' results frameworks is crucial for assessing progress in long-term social development objectives. Such frameworks provide a firm basis for the monitoring and evaluation (M&E) systems of future investment operations in the country, which must be aligned to the country strategy's objectives and results.

3.3 PROGRAMME/PROJECT DESIGN

The full-fledged design process is often preceded by an identification or conceptualization stage, which may involve a short country mission for an initial scoping of the project, including a rapid assessment of relevant social issues and screening of social risks and vulnerabilities. In this context, based on the ongoing country strategy and other national policy and sectoral studies, the poverty, food insecurity and social issues are briefly outlined, the potential target area and target groups are pre-identified, and the project risk categorization is pre-defined. During this initial identification of possible project interventions, social analysis findings can influence proposals to be responsive to and inclusive of poor, marginalized groups. In this stage, social analysis tends to be light, mission teams limited in size, and time for in-depth field work or primary data collection little (if any) – unless when a project's risk category is expected to be high or substantial. Designers largely rely on secondary sources, or information available from previous or ongoing investments in the project target area. In addition to design documents, supervision, completion and evaluation reports or project sectoral studies carried out during implementation are also consulted.

The full-fledged design process is the investment cycle stage where social analysis is required to be conducted in the most detailed and in-depth manner. Social analysis at this stage has the greatest potential to orient the direction of project activities towards more inclusive and pro-poor outcomes. The analysis can inform the identification of social objectives and targets, specific target groups, project interventions, and monitoring indicators to assess social development outcomes and impacts. Because of the need for extensive field work and in-country consultation, the design process is often conducted in two or more phases – depending on the concerned agency and available budgets.

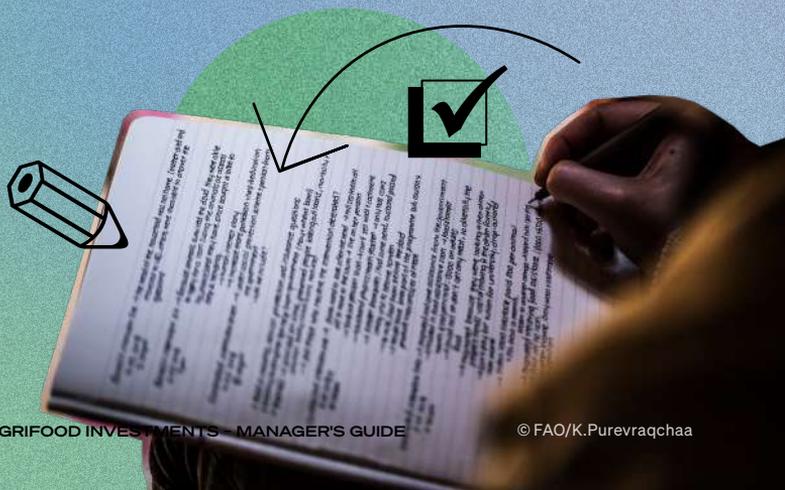
However, over the years, there has been a tendency among several development agencies and IFIs to streamline and shorten the design process for a variety of reasons. Apart from financial constraints, the reasons for shortening the design process are also linked to a realization that the external environment is increasingly unpredictable and highly volatile, requiring flexibility to make adjustments during implementation. This is leading some agencies to have a lighter design and shifting the focus to more intense implementation support where opportunities for improvement can be identified and bottlenecks addressed in a timely manner. In addition, shortening the design process reduces the time span between design, approval and project effectiveness. This addresses issues of: (i) a disconnect between the diagnostic carried out at design and the reality on the ground when implementation commences; and (ii) the risk of turnover of policy-makers, resource persons, local counterparts, and project preparation and management teams.

BOX 8

INFLUENCING AND CHANGING POLICIES AND INSTITUTIONS FOR SOCIAL IMPACT

Even if social analysis has been carried out during the country strategy or project design stages, and findings have been well integrated during implementation, the desired social development outcomes are unlikely to be achieved if the policy and institutional environment is not conducive. For example, if a gap is identified in women's land tenure security and rights, this issue can be addressed through policy engagement to ensure that longer-term social development outcomes are achieved. For this reason, assessing whether there is any policy gap or whether a given policy is in place but it is not enforced should be part of the country strategy and investment design and should be monitored during implementation. If such gaps are identified, the manager should engage in policy dialogue with government and policymakers to solicit policy change. Policy influencing or change should be incorporated as an outcome into the overall M&E system or results management framework.

SOURCE: Authors' elaboration.



For social analysts, a shorter design process may pose further challenges to the already ambitious task of undertaking thorough social analysis in the limited timeframe and geographic coverage of design missions. The following tips may be useful for managers to optimize the time and efforts for undertaking social analysis in design:

- Engage donors, local NGOs, private companies (including financial institutions such as banks) working in the same project areas to collect information from their design and implementation experiences.
- In addition to the social analyst in charge of carrying out social analysis, involve local social specialists as early as possible before the design mission to undertake field visits and community consultations.
- Ensure that the ToRs of all team members and the team leader include the integration of social aspects within their technical domains and require close liaison with the social analyst before, during and after the mission.
- Arrange for the more detailed social analysis work to be completed at the later stage of project startup or early implementation (see below). This is often done for financial management or procurement issues and requires that a clear set of tasks to be performed are outlined in the project implementation manual (PIM) and included in the ToRs of specialized service providers. Attention should be paid here to possible local capacity constraints.
- If social safeguard policies are triggered, the same expert that is involved in the social analysis should ideally be involved in assessing and mitigating social risks. Alternatively, the manager would need to ensure that the two experts consult with each other and are consistent in their approach.

3.4 PROGRAMME/PROJECT IMPLEMENTATION

Supervision and ongoing support during implementation offer opportunities to provide critical support to the project team and partners in ensuring effective implementation of relevant activities, targeting performance and the achievement of social development output and outcome level results. Social inputs during this stage include aspects such as beneficiary tracking, gender and youth mainstreaming across project activities, effective engagement with and empowerment of socially marginalized groups (e.g. Indigenous Peoples) and participatory planning and community development. In addition, social mitigation measures are assessed and revised continuously, in order to enable the early identification and prevention of social risks and adverse impacts, and to identify effective responses. At the mid-term point, the review process is generally more intense and may involve a reformulation of project activities.

Startup and early implementation are critical stages to ensure implementation preparedness. These points may be useful to managers during this stage:

- * **At the startup stage**, a workshop is usually organized with all project stakeholders, implementers and service providers to build a common understanding of the project's theory of change, objectives, activities, expected results and planned implementation arrangements. This provides a good forum to deepen understanding of the project's inclusion and social integration expectations and operational measures. Conducted at different project management levels, the workshop offers an important opportunity to strengthen local ownership and build implementation capacity in the areas of social inclusion, gender mainstreaming and transformation, pro-poor targeting, community-driven development and participatory techniques. Workshops can also be organized at the beginning of each implementation year, as a way to take stock of what has worked and what not, and for annual planning and budgeting.

- * **The time between project startup and the first year** of full operation is crucial for the successful implementation of social aspects of the programme. As soon as the project is effective, it is important that information about the project and how to access its resources is diffused as widely as possible through public information campaigns to ensure transparency and equal opportunities to participate. This stage offers the opportunity to:
 - **Test and adjust the targeting approaches** and procedures spelled out in the PIM.
 - **Complete the social analysis** work that may not have been possible to finalize during the design process (see above). To this aim, a clear plan should be developed to guide the main steps and requirements that are to be followed, and this plan should be included in the PIM.
 - **Develop an implementation preparedness plan** outlining pending tasks to be completed to ensure full project effectiveness. Within this plan, activities related to social development would include the recruitment of the project management unit (PMU) staff responsible for gender and social issues; the contracting of service providers for social mobilization/field-level activities; and the deployment of community/social facilitators. Annex II provides sample ToRs.
 - **Ensure the appropriate sequencing of social development activities** and their full integration into the management mechanisms of the PMU established to coordinate the project's implementation. For example, the implementation of livelihoods support activities would need to start after having conducted the community needs assessment and planning process. Similarly, the construction work for infrastructure facilities will not commence before having completed consultations with affected communities.

During the entire timeframe of project implementation, ongoing guidance and technical support are provided through backstopping and periodic supervision missions. The degree of attention to social issues during project supervision varies depending on the nature of the project and the requirements of the lead governments and financing agencies.

FEEDBACK ON PROJECT IMPLEMENTATION

- ⦿ **Participatory monitoring:** involves the target groups in monitoring, recording and reporting on the benefits of project activities.
- ⦿ **Beneficiary tracking:** enables project management to understand which categories of people the project is reaching and to make mid-course adjustments aimed at strengthening targeting effectiveness by improving the inclusion of poor households, women, youths, Indigenous Peoples and ethnic minorities and other disadvantaged groups.
- ⦿ **Beneficiary assessment:** is especially useful at the mid-term review and generates direct feedback from beneficiaries at different levels – ranging from farm households to frontline implementing agencies – on their perception of the project, its benefits and weaknesses, and areas for improvement.
- ⦿ **Grievance redress mechanism:** is a mechanism enabling the project's target groups, communities, and other affected stakeholders to raise grievances and seek redress when they believe themselves to have been negatively impacted by an investment. The process aims to mitigate, manage, and address potential or realized adverse impacts.
- ⦿ **Annual stakeholder workshop:** a platform for gathering feedback from communities, implementing partners and service providers to inform the project's future implementation.

SOURCE: Authors' elaboration based on FAO. 2011a. Social analysis for agriculture and rural investment projects. Manager's Guide. Rome, FAO. www.fao.org/3/i2816e/i2816e.pdf

Here are some good practices that can contribute to addressing social issues effectively during project supervision:

- * **When applicable, strengthening regional and/or country offices** with outposted international and local social development experts can offer opportunities for closer backstopping and implementation support, as well as for greater cross-learning.
- * **Making use of local expertise**, with backstopping and guidance from international social analysts, can significantly contribute to building local implementation capacities through on-the-job learning, creating a valuable long-term national technical resource base for carrying out social analysis in the context of present and future investments.
- * **Contracting service providers to conduct short and simple social outcome surveys** can provide additional information and insights on the social development achievements and, more broadly, on project impacts on the target groups. Such information can be made readily available to supervision missions, complementing the assessments carried out during the mission's short time frame.

- * **Providing the PMU with reporting formats** and templates where planned activities and implementation progress on social aspects can be presented (e.g. implementation of the gender/youth mainstreaming strategy, gender and youth action plan, etc.) can enhance the quality of the information gathered and ease the work of the team members.
- * **An effective M&E and learning system** can improve implementation, while understanding what works and what does not work in social inclusion, poverty targeting, gender mainstreaming, etc. Such learning should feed back into adjusting project activities, while the knowledge gained and shared can help to scale up good practices.
- * **Participatory monitoring and impact assessments** built into the project M&E system are very useful to enable community members and target groups to provide ongoing feedback on levels of satisfaction with project processes, activities, services and outcomes, and to express what difference the investment has made in their lives and livelihoods. It is also essential to include a **grievance redress mechanism**, which should be clearly explained and easily accessible to target groups and affected communities. Supervision missions can then draw on these assessments and recommend corrective actions in response to the feedback.

3.5 PROGRAMME/PROJECT COMPLETION

In addition to assessing the project impacts from a social perspective during project implementation (particularly at the mid-term), social assessments (also called social impact assessment by some IFIs) can be conducted at project completion to support country-led or independent evaluations, focusing on higher-level indicators (outcome and impact levels), and guided by the standard parameters for evaluations: **relevance, effectiveness, efficiency, impact, sustainability, and replication and scaling-up**. The exercise entails assessing social development outcomes and impacts, including on enhancing social inclusion and participation, women's and youth's socioeconomic empowerment, social policy support and institutional change, and achieving sustainability of socioeconomic benefits. The assessments use a mix of quantitative data from end-line surveys (or impact assessments if conducted) and qualitative data collected during evaluation missions.

It is of utmost importance that **lessons learned and successful approaches** and models in engaging poor, vulnerable and socially marginalized people are captured in the project's knowledge management system and documented in the most appropriate knowledge products so they may be disseminated, replicated and scaled up. At this stage it is also important to quantify the costs and the benefits obtained from investing in social activities. This will not only shed more light on the benefits of social investments but also incentivize other development agencies and governments to incorporate social aspects into agrifood investments.

Table 1

Managing social inputs and assessments across the investment cycle stages

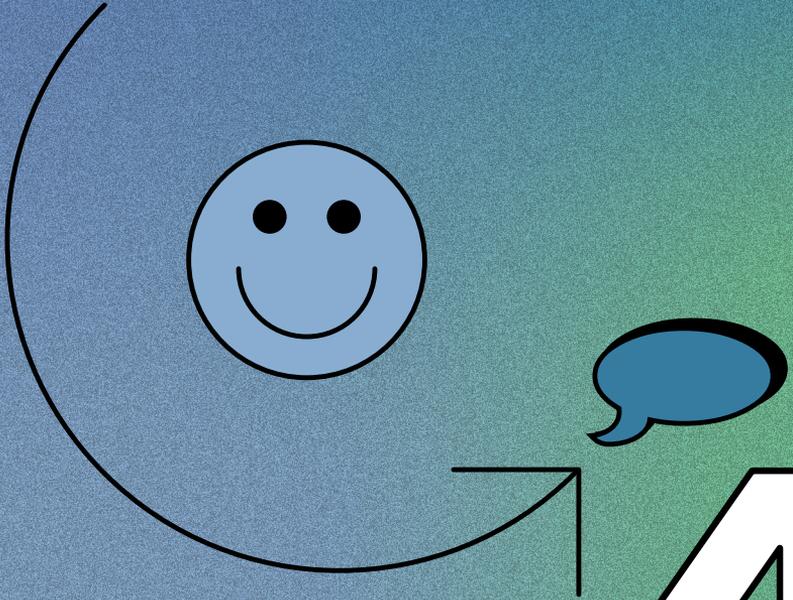
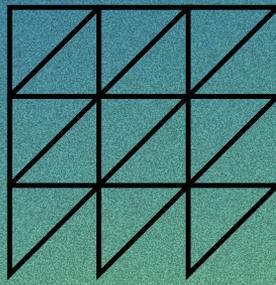
	COUNTRY STRATEGY FORMULATION	PROJECT DESIGN		PROJECT IMPLEMENTATION		COMPLETION
Management tasks and outputs	Strategic planning	Project identification	Project formulation and appraisal	Start-up / early implementation	Supervision / Mid-term review	Impact assessment / Evaluation
Institutional/policy/enabling environment for social inclusion						
Socioeconomic analysis						
Stakeholder engagement and consultation						
Social mapping						
Target group (pre-)identification and profiling						
Vulnerability and social risks assessment						
Identification of partners and capacity gaps						
Engagement with other donors/NGOs working in project area						
Poverty/livelihoods/gender/youth/Ps... analysis						
(Community) institutional analysis and maturity/capacity assessment						
Definition of targeting strategy and mechanisms						
Definition of gender/youth/Indigenous Peoples mainstreaming/ engagement strategies						
Definition of gender transformation pathways						
Development of gender and youth action plans						
Identification of project activities						
Participatory needs/capacity assessment and community action planning						
Mainstreaming of gender/social issues in project interventions						
Establishment of project management and implementation arrangements						
Development of capacity building plan at all levels						
Establishment of knowledge management and M&E systems with disaggregated indicators						
Preparation of a project implementation manual (PIM) with social inputs						
TORs and recruitment of project management staff, service providers/NGOs, social facilitators...						
Baseline survey						
Preparation of a project implementation preparedness plan						
Preparation of a project coordination plan						
Stakeholder workshops						
Incorporation of social activities/issues into annual work plans and budgets and progress reports						
Delivery of training and capacity building at all levels						
Social vulnerability and risk management/mitigation						
Beneficiary tracking						
Assessment of targeting effectiveness						
Assessment of performance and capacity gaps of implementing partners						
Beneficiary feedback on project delivery						
Reporting on social output and outcome level results						
Reporting on social outcome level and impact results						
Replication and scaling-up of successful approaches and models						
Assessment of sustainability of benefits to the target groups						

SOURCE: Authors' elaboration.

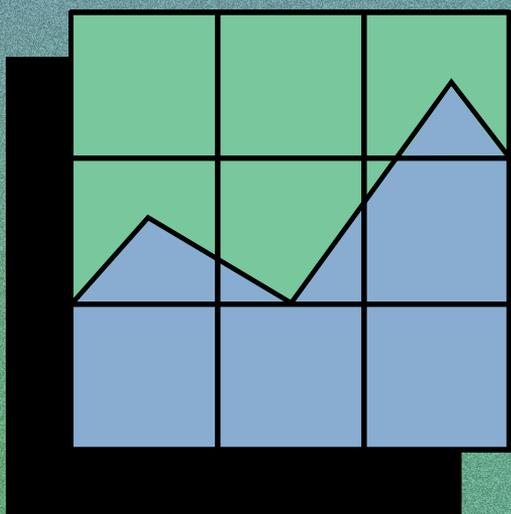




Module



4



How to manage social analysis demands

This module aims to help the manager handle the various demands for social analysis and integrate it into mission work in the context of designing, implementing and evaluating investment strategies and programmes.

The information on the key requirements for social analysis draws on a review of relevant global standards and the policies, strategies, action plans and corporate guidance put in place by the major multilateral agencies involved in agriculture and agrifood systems. This module also explains the roles and responsibilities for social analysis among various actors engaged and provides guidance on some key operational arrangements for including social analysis work in investment missions.

4.1 REQUIREMENTS FOR SOCIAL ANALYSIS

The approach to social analysis adopted by IFIs and other development agencies consists of a balance between:

- ✦ **mandatory social safeguards**, procedures or policies⁵ to prevent and mitigate unintended negative social impacts of investments on target populations (i.e. **ensuring compliance** with minimum standards); and
- ✦ **necessary measures to address key social issues**, mainstreamed within investments, as a means to achieve the core goals of reducing hunger, food insecurity, poverty and inequality (i.e. **ensuring consistency** with policies and priorities).

⁵ IFIs and development agencies use various terms - e.g. safeguards, standards, procedures or policies - which cover social aspects as well as environmental issues. For the purpose of the guides, only those governing the social domains are taken into consideration.

All agencies have: (i) social safeguard policies that require mandatory social screening of all investment proposals at the earliest stages of the programme cycle; and more broadly (ii) established processes to screen new potential investments or programmes for consistency with their own policies, country priorities and global goals. Guided by their individual mandates, the agencies examined for this guide have diverse policies and strategies in the areas of social inclusion and protection, human development, climate vulnerability, poverty targeting, gender equality and women's empowerment, youth inclusion, Indigenous Peoples, and ethnic minorities; and these are variably comprehensive and updated.

IFIs such as the World Bank, its International Finance Corporation (IFC), Asian Development Bank (ADB), African Development Bank (AfDB), and Inter-American Development Bank (IDB) are focusing heavily on safeguard approaches to manage risks, for example those associated with infrastructure development and engagement with the private sector. Although they have progressively moved to more proactive mainstreaming approaches, a tendency remains to place the main focus on social safeguards, which are most often addressed alongside environmental safeguards. For a number of IFIs, safeguards have become legally binding, with non-compliance resulting in issues for disbursement of funds and project implementation.⁷ Other agencies, such as FAO, the International Fund for Agricultural Development (IFAD) and the World Food Programme (WFP) have a long tradition in addressing poverty and social development, with high standards for social analysis as part of project or country strategy formulation and assessing social impact during implementation.⁸

Annex I presents a summary matrix with the approaches, policies and requirements (both mandatory and necessary) that are used by selected agencies to address social dimensions in their project cycles; the matrix includes references to key relevant documents. A more exhaustive list of useful resources for social analysis is presented in Annex II of the Practitioner's guide.

4.1.1 Mandatory social safeguards

Safeguards are mandatory, depending on the results of relevant risk assessments carried out at project identification stage, which also establish the type of response needed. While protocols and formats related to the application of social safeguards vary, the issues considered are common, based on internationally agreed upon standards and guidance. Agencies' social safeguards must align with existing country safeguards, which are enacted through a range of investment planning processes, policies and regulations aimed at meeting sustainable development goals. Specific global standards exist for private agribusinesses and investors to ensure due diligence and socially responsible investments (see section on private sector).

⁷ The World Bank's Environmental and Social Commitment Plan, for example, forms part of the Legal Agreement.

⁸ In an effort to harmonize initiatives related to different aspects of environmental and social sustainability, the UN Environment Management Group (EMG) has been moving towards a comprehensive strategy to more systematically and coherently address such issues across all functions of the United Nations at the country level (EMG, 2019).

Social safeguards are typically addressed together with environmental safeguards, although these require very different types of expertise and skills sets. It is important for managers to separate the two and ensure that the right expertise is mobilized to specifically assess and address social risks, which usually pertain to: Indigenous Peoples; land acquisition and involuntary resettlement; public health, safety and security; decent labour conditions and standards; and stakeholder engagement. Most agencies currently have policies on Indigenous Peoples to ensure any transaction with them happens without coercion and based on free, prior and informed consent. Some safeguards address more specific or emerging issues such as rural employment, child labour, gender-based violence (GBV) and sexual exploitation and abuse.

BOX 10

SOCIAL SAFEGUARDS

Social safeguards are tools aiming to prevent, reduce, mitigate, manage and/or compensate for undue harm to people during the development process. In the context of designing a development intervention, social safeguards help assess the potential social risks and impacts (positive or negative) and define measures and processes to effectively manage them. Most IFIs require the application of safeguards to approve projects. While protocols and formats vary, the issues considered are common, namely: inclusion of Indigenous Peoples, land acquisition and involuntary resettlement, public health, safety and security, labour conditions and standards, and stakeholder engagement.

SOURCE: FAO. 2015a. *Environmental and Social Management Guidelines*. Rome, FAO. www.fao.org/3/i4413e/i4413e.pdf

Child labour risks are increasingly addressed explicitly by most agencies under their broader decent labour standards. FAO has developed a framework on how to specifically address child labour in agriculture (FAO, 2020a). Some agencies (e.g. the European Bank for Reconstruction and Development, EBRD; FAO; WFP), address GBV through different social safeguard instruments and guidance materials. Others (e.g. ADB, AfDB, IFAD, World Bank) address this indirectly as part of policies on gender equality and women's empowerment. Since the launching of the United Nations' *Disability Inclusion Strategy* (UN, 2018), the inclusion of persons with disabilities has been receiving greater attention by many agencies, although few have developed related policies to address the issue systematically.

Where the social risks of an intervention can be pre-identified at design stage, agencies usually require well-formulated safeguard and protection plans (e.g. a resettlement plan or an Indigenous Peoples' participation plan). Where social risks cannot be pre-identified (e.g. in the case of highly demand-driven projects) the key parameters of a social safeguards framework must be developed to set the basis for social protection plans (e.g. site-specific resettlement plans) to be developed during implementation.

4.1.2 Necessary measures to address key social issues

As discussed, ensuring compliance with minimum standards through the application of safeguards responds to mandatory requirements and plays a crucial role in preventing harm to target populations. In parallel, managers must engage in the proactive task of ensuring that adequate measures (objectives, outcomes, activities, etc.) are mainstreamed within investments to achieve the higher goals of reducing hunger, food insecurity, poverty and inequality. Such measures must be aligned with the policies and priorities of financing agencies and national governments. They typically focus on the following objectives, which are linked and overlapping and require careful attention to intersectionality:⁹ gender equality and women's empowerment; youth inclusion; Indigenous Peoples; targeting criteria to ensure inclusion of poor, disadvantaged or vulnerable target groups; and stakeholder participation and engagement.

+ Gender equality and women's empowerment

Gender equality and women's empowerment policies, strategies or action plans are present in virtually all agencies, built around the following strategic areas:

- Equal voice, decision-making, leadership and representation (ADB; Caribbean Development Bank, CDB; FAO; Global Environment Facility, GEF; IDB, IFAD, World Bank, WFP).
- Access to and control over assets, resources, services, markets, employment, finance, insurance, technology and digitalization (AfDB, EBRD, FAO, World Bank, IFC).
- Economic empowerment and entrepreneurship (ADB, AfDB, CDB, EBRD, IDB, IFAD, World Bank, IFC, WFP).
- Equitable or reduced workloads (ADB, FAO, IFAD).
- Transforming unequal gender relations (WFP).
- Others, including: resilience to shocks (ADB); reducing climate vulnerability (CDB); improving human capital or endowments (ADB, IDB, World Bank); GBV (IDB, World Bank, WFP); sexual and reproductive health (IDB); sexual exploitation and abuse (WFP); and gender-specific responses to COVID-19 (IDB).

⁹ Intersectionality refers to the interconnected nature of social categorizations - such as gender, age, race, class, disability status, sexual orientation - regarded as creating overlapping and interdependent systems of discrimination or disadvantage.

+ Youth inclusion

Engaging youth effectively in the economy is a high priority for most agencies. Some have dedicated youth policies, strategies or action plans (AfDB, CDB, IFAD) often with a strong focus on employment. Examples include the AfDB *Jobs for Youth in Africa Strategy* (AfDB, 2016a). IFAD has an action plan that focuses specifically on *rural youth*, prioritizing employment and entrepreneurship, access to land and natural resources, access to rural finance, access to climate-resilient productive technologies and practices, and profitable smallholder organizational models (IFAD, 2019a). CDB's *Youth Policy and Operational Strategy* includes a pillar on supporting youth action on climate change, food security, sustainable energy, environmental sustainability and disaster mitigation (CDB, 2020a).

Where youth issues are not addressed through dedicated agency policies, they are typically included in broader agency strategies on social inclusion, such as EBRD's *Equality of Opportunity Strategy 2021–2025* (EBRD, 2021a), IDB's *Skills development Sector Framework Document* (IDB, 2020a) and its social protection framework (IDB, 2020b), or the World Bank's *Social Sustainability and Inclusion programme* (World Bank, 2021). Agencies also have targeted programmes or initiatives to address youth issues, such as ADB's *Youth for Asia Initiative* (ADB, 2022a), or the World Bank and IFC's global annual Youth Summit, which promotes dialogue between youth and global stakeholders. Given its humanitarian mandate, WFP has dedicated strategies that address adolescents' needs and primary school children to ensure their access to adequate food.

+ Indigenous Peoples

As mentioned, the rights of Indigenous Peoples and their participation are regulated through specific social safeguards. In addition to this, some agencies – such as FAO; IFAD; the Green Climate Fund (GCF); and GEF – also have policies, and guidance on engaging with indigenous and tribal communities. The common core objectives of agencies' Indigenous Peoples policies are to ensure that programmes are designed and implemented in a way that respects Indigenous Peoples' identity; safeguards their ancestral territories, communal natural resources and customary governance systems; generates benefits for them in a culturally appropriate manner; and does not cause harm or adverse impacts on their security and wellbeing. Given its mandate, the GCF has strict demands relating to protecting Indigenous People's territories, enshrined in its Indigenous Peoples Policy (GCF, 2018). FAO's relevant policy is complemented by detailed guidelines and a toolkit on the process of free, prior and informed consent (FAO, 2015b), as recognized by the United Nations Declaration on the Rights of Indigenous Peoples.

+ Targeting criteria and target groups

In addition to the criteria generally applied for targeting (such as agroecological conditions, market potential, climatic exposure, economy of scale, etc.), the agencies and IFIs examined also apply poverty criteria to select their target groups, which can be grouped as follows:

- Poverty, socioeconomic status and social exclusion, which may be based on gender, ethnicity, age, health, landlessness, displacement (ADB, CDB, EBRD, FAO, GCF, IDB, IFAD, WFP).
- Hunger, food insecurity and malnutrition (FAO, IFAD, WFP).
- Location, such as remoteness, rural areas, fragile contexts, conflict (FAO, IFAD, ADB, World Bank, WFP).
- Vulnerability to shocks (Central American Bank for Economic Integration, CABEL; CDB; EBRD; FAO; IDB; IFAD; WFP).

In most cases, target groups include:

- Poor and poorest people (for FAO and IFAD, this means those living in rural and peri-urban areas), i.e. those who are food insecure and malnourished, vulnerable people and marginalized groups.¹⁰
- Women, including female heads of households, pregnant and lactating women.
- Young people, boys and girls, including orphans and orphans as heads of households.
- Elderly persons active in agriculture and the rural economy.
- Single-headed households.
- Smallholder producers (e.g. farmers, livestock keepers and pastoralists, fisher folk, forest dwellers) and landless people.
- Small-scale value agrifood chain actors (e.g. processors, traders).
- Indigenous Peoples and ethnic minorities.
- Persons with intellectual or physical disabilities.
- People living with long-term diseases (e.g. HIV/AIDS).
- Migrants, refugees and IDPs and their hosting communities.
- People living in fragile contexts.
- Victims of armed conflicts.

The Practitioner's guide (Module 3) provides detailed information on how to define target groups and develop appropriate targeting strategies.

¹⁰ Other criteria associated with poverty, vulnerability and marginalization include: gender identity, sexual orientation, religion, race, single-head households.

+ Stakeholder participation and engagement

The requirement of stakeholder participation and engagement is firmly embedded in the social safeguards of all agencies examined. A number of agencies make special efforts to support such processes in the context of their programmes through specific guidance (CDB, FAO, GEF and IFAD); while others have introduced rigorous accountability mechanisms (ADB, AfDB, CABI, CDB, EBRD, GEF, GCF, IDB, World Bank) to ensure stakeholders' feedback and complaints. For example, the World Bank promotes a beneficiary feedback mechanism that entails empowering citizens to participate in the development process as key accelerators to achieving results. IFAD-funded projects and programmes have high requirements for participatory and consultative processes with target communities, using their institutions at the village level as entry points for project interventions and community planning.

4.1.3 Standards for private investments

Standards for social analysis in the context of private investments vary widely, due to the vast heterogeneity of business operations and the types of investments that relate to social impact objectives. Stakeholders at all levels are increasingly expecting companies to adhere to ethical standards and sustainability, which are examined when evaluating a potential investment opportunity. Environmental, social and governance (ESG) standards have become a mainstream tool to measure business performance and sustainability, but the 'S' in ESG is loosely defined, depending on the focus, goals, and initiatives of the many different ESG frameworks developed by private businesses, which offer a range of different standards and metrics.

Establishing baselines, assessing social impacts and reporting against such metrics is an exercise primarily focused on compliance. Managers of impact funds or businesses who invest in the agrifood sector, must incorporate social considerations into their investment cycle, from sourcing and due diligence, to investment selection and management. In this process, managers can generally make reference to a series of global standards, that aim to ensure socially responsible private investments and due diligence. In the case of direct investments (including private projects and corporate finance provided through financial intermediaries), the World Bank's International Finance Corporation (IFC) requires its clients to apply a set of performance standards to manage social risks and impacts and it uses a sustainability framework to direct business activities toward achieving its overall development objectives (IFC, 2012). In addition, Guidance for Responsible Agricultural Supply Chains provides a global benchmark to help businesses and investors, specifically in the agrifood sector, to identify and mitigate adverse social impacts (OECD and FAO, 2016).

As with public investments, a number of private investments are moving beyond mere compliance with social standards to proactively introduce measures to address key social issues, as a means to achieve goals of reducing hunger, food insecurity, poverty and inequality. More and more impact investors are creating products, raising capital, and developing new investments that directly target progress toward the SDGs, including SDG 1, SDG 2 and SDG 10 (Global Impact Investing Network [GIIN], 2018), which are at the core of this guide. To this end, the fundamentals of the social analysis process, presented here, are highly relevant and can be applied to efforts of targeting impact investments better and helping private companies achieve their business aspirations and social impact goals.

4.2 RESPONSIBILITIES FOR SOCIAL ANALYSIS

The degree of attention to poverty targeting and social development varies among IFIs and development agencies according to their respective mandates; and so does responsibility for undertaking social analysis. Regardless of the IFI or funding agency, when social analysis is required in design missions, **the primary responsibility of conducting it rests with the social analyst**. At the same time, all mission members are responsible for mainstreaming relevant social considerations into their technical areas of expertise, in consultation with and support from the social expert. The PMU is then responsible for implementation of the social inclusion design features, as recommended by the design teams, guided by the design document and the PIM.

What follows constitutes the main responsibilities for social analysis among an investment operations' central players.

4.2.1 Government

The government is at the driver's seat during the different stages of the cycle and has an important role in promoting pro-poor targeting, social inclusion and gender equality. Specifically, government engages in the social analysis process by:

- Participating in and contributing to the design and implementation processes, taking full ownership of the project, particularly in promoting pro-poor targeting, social inclusion and gender equality.
- Identifying a focal point for social issues in the relevant ministry or lead agency for the programme and ensuring that a local team is in place to extend its full support to collaborate closely with development agency/IFI team, including in the field.
- Facilitating arrangements for the in-country mission work, including translation, logistical arrangements and travels to the field.
- Supporting the process of appointment, secondment and recruitment of staff in the project management unit, including staff in charge of social issues.
- Ensuring a smooth process of selection and procurement of specialized service providers, including NGOs responsible for social mobilization and organizational strengthening at community level.
- Soliciting policy change when needed, in view of achieving the intended objectives, including social outcomes and impact.
- Establishing a high-level national steering committee team with at least one member overseeing the targeting effectiveness and ensuring that adequate social inclusion measures are being applied and strengthened as needed, etc.

4.2.2 The financing institution, development agency and private investment fund

The financing institution (IFI, regional bank, etc.) or development agency has final responsibility for social analysis. This also applies to private investors and businesses (including impact funds) which have committed to meeting a variety of social impact goals. Their responsibilities include:

- In the context of country strategy formulation, undertaking a comprehensive analysis of the enabling policy and institutional environment, especially in relation to social issues, as well as of the socioeconomic situation, including national statistical surveys and data on related issues. Such analysis is also instrumental in identifying the structural causes of poverty, food insecurity, vulnerability, and social inequalities at country level and in providing the framework under which future agrifood investments will be designed and implemented.
- Identifying gaps in the country's institutional and policy framework related to social issues and identifying areas of policy engagement with government to solicit policy formulation or change.
- Reaching out to country partners at all levels (public, private sector, research and academia, NGO and CSOs, etc.) that have conducted analytical work or implemented projects in the target areas and can deliver services on social aspects. These may require related capacity building, to be provided in the context of the investments.
- Appraising the adequacy and quality of social analysis at design, including the identification of social- and gender-sensitive indicators.
- Screening investment designs for possible social risks against established standards and safeguard policies and continuing to monitor/manage those during implementation.
- Ensuring the provision of technical assistance and support to strengthen ongoing implementation and assess social outcomes and impact on the target groups.

4.2.3 The design team

The design team – whether it is formed and led by the government, the international financial institution or development agency – typically takes the lead in:

- Conducting social analysis in the context of country strategy formulation or project design.
- Defining the targeting strategy and mechanisms, gender and youth mainstreaming strategies as well as the specific measures to engage with disadvantaged groups (e.g. Indigenous Peoples).
- Based on the social analysis, identifying operational measures and activities that are adapted to local contexts and reinforce whenever possible, the principles of social inclusion, gender and youth mainstreaming, effective participation of all target groups.

- Preparing ToRs of future PMU staff and/or service providers to ensure that attention to social issues are reflected across all responsibilities, and particularly in those with assigned responsibility for poverty targeting, social inclusion, gender, youth, Indigenous Peoples, etc.
- Designing social safeguard measures, if and as required by the related policies in place.
- Contributing to the preparation of the PIM in relevant areas such as targeting, social inclusion, gender/youth mainstreaming, community need assessment and participatory planning, monitoring and evaluation.

4.2.4 Implementation support and evaluation teams

Various teams are formed to provide implementation support (including supervision and mid-term reviews) and oversee the completion and evaluation of projects. Such teams may be formed and led by the government, international financial institution or development agency and they typically carry out missions at agreed intervals during the life of the project. From a social analysis perspective, they are responsible for:

- Assessing programmes' beneficiary outreach and targeting performance; the relevance and effectiveness of the gender/youth mainstreaming strategies and approaches to engage the target groups; the benefits accrued to the target groups; and quality of the M&E system in reporting through indicators disaggregated by sex, age, Indigenous Peoples' self-identification, and disability status as applicable. The aim of such assessment is to propose concrete steps and actions to strengthen implementation performance and (in the case of evaluation) to propose improved strategies for future projects.
- Identifying possible gaps in PMU staff and service providers' performance in poverty targeting, social inclusion, gender, youth, and Indigenous Peoples with the aim of providing recommendations to address them.
- Assessing any social risk and adverse impacts on the target groups, and prepare new or adjusted management/mitigation plans in line with social safeguards.
- Providing inputs to gender/youth/Indigenous Peoples and other action plans that are included in the annual work plan and budget (AWP&B) and the PIM.
- Providing overall support to ongoing project activities in strengthening the institutionalization (and hence the sustainability) of effective project interventions that are evidencing positive outcomes on social inclusion and pro-poor support.

4.2.5 Project management unit

A project management unit (PMU), consisting of a variety of relevant technical and administrative experts, is in charge of managing all aspects of project implementation, including annual planning and budgeting, procurement, knowledge management and M&E. From a social analysis perspective, the head of the management unit ensures that:

- The targeting strategy, the gender/youth mainstreaming strategies and approaches to engage with all identified disadvantaged groups are implemented and operationalized as specified in the PIM.
- All staff, including at district and field levels, as well as service providers, understand and are trained in the basic concepts and approaches of poverty targeting, social inclusion, gender equality and women's empowerment, youth engagement, community needs assessment and planning, and community-driven development and participatory approaches.
- Resources are managed in a way that allows responsible PMU staff to effectively oversee targeting, gender, youth, and social inclusion issues.
- Social aspects are mainstreamed across all activities and coordinated in a manner that maximizes benefits to the target groups.
- The M&E system tracks participation of the various target groups, the achievement of development outcomes, and impacts on different target groups according to gender and other relevant parameters of socioeconomic status (e.g. wealth, age, caste, ethnicity, disability).
- The knowledge and lessons learned through the M&E system about pro-poor targeting, social inclusive approaches, gender mainstreaming, youth engagement etc. are adequately documented to inform replication and scaling up under future investments.

Annex II provides sample ToRs for project implementers.

4.3 OPERATIONAL ARRANGEMENTS FOR SOCIAL ANALYSIS IN INVESTMENT MISSIONS

4.3.1 Expertise needed for social analysis

As mentioned in Module 1, a good social analysis requires the expertise and leadership of a social analyst and must be carried out collaboratively, across disciplines, sectors and programme components.

* Roles and responsibilities of the social analyst

The social analyst plays an important role within the team of experts, before, during and after a mission. The social analyst facilitates an **objective and collaborative** process towards enabling each stakeholder group in a given intervention area to voice its views regarding investment needs and priorities. In this process, the role of the social analyst is to gather and analyse information in a balanced manner, working with other team members and key stakeholders to define the most **strategic** and efficient interventions with the highest likelihood of achieving positive outcomes for the intended target groups, with particular attention to vulnerable and marginalized population groups. The social analyst encourages **dialogue** among the different stakeholders as a means to reach consensus and minimize conflicts.

The social analyst also has a role in sensitizing and providing compelling reasons to other team members about the importance of integrating social aspects into their respective technical areas of expertise, as a means of making project interventions socially inclusive, gender equitable and pro-poor. While the social analyst may be tempted to act in isolation or as the spokesperson of the interests of the target groups, this expert should rather proactively seek collaboration within the team, encourage and, if required, facilitate other team members' interactions with the target groups. This can be done through carrying out focus group meetings or interviews jointly during fieldwork. Such engagement leads to a deepened and shared understanding of issues across disciplines, and ultimately to a better integration and coherence of mission findings and recommendations.

The social analyst is **accountable to several parties**. On a day-to-day basis, this expert is directly accountable to the team leader, whether this person is an agency task manager, technical mission leader or the head of a government unit. For quality assurance, the social analyst is accountable to technical specialists in the development agency/IFI and within government. The social analyst is ultimately also accountable to the target population, in terms of ensuring that their needs and priorities are taken into account and integrated, as far as possible, into project interventions that maximize benefits for them.

* Profile and required skills of the social analyst

The social analyst may come from a variety of academic backgrounds in the social sciences, such as rural sociology; cultural, social or development anthropology; development economics; or a closely related discipline. Such academic backgrounds should be complemented with specialized training and professional experience in areas that are closely related to the social sector, possibly with a focus on rural/agricultural development and agrifood systems. Such areas include gender issues, Indigenous Peoples and ethnic minorities, community development, community-based institutional analysis and development, poverty and vulnerability analysis, natural resource management, targeting, participatory approaches and community planning, decentralization and territorial development. Although other technical experts (such as economists and agronomists) may have successfully acquired skills in social and gender analysis, managers should give preference to professionals who have academic training and field experience in the above-mentioned subject matters, disciplines and thematic technical areas.

Annex II provides sample ToRs for the social analyst. To meet them, a good candidate should have these skills and competencies:

- Familiarity with agrifood systems and value chain development work, particularly in rural settings and the context of smallholder production systems and markets.
- Experience supporting agrifood investments, including through field work.
- Commitment to participatory and inclusive approaches and an openness to multiple perspectives, particularly as expressed by the poor, women and other socially disadvantaged groups.
- Sound qualitative data collection and analysis skills, including the ability to quickly synthesize primary data gathered during field work, and develop proposed solutions to overcome challenges.
- Good understanding of quantitative survey methods, including the ability to formulate questions for survey questionnaires.
- A strong team spirit and understanding of the interconnected nature of project activities to be able to support cross-learning and integration of social issues within other technical thematic areas and operational measures.



Interdisciplinary collaboration and cross-learning

Social aspects are cross-cutting and the entry point of programme interventions. Therefore, it is essential that the social analyst and other team members establish an effective collaboration, working jointly at times, and engage in a continuous consultation process (Box 11). For example, the process of project target area identification in particular requires taking into consideration the views of all team members, as the criteria for selection generally includes poverty and food insecurity alongside other considerations that are agroecological, economic, environmental, or related to market potential. Similarly, understanding the linkages between the various technical investment solutions to be promoted under a project, and their potential social impacts, requires debate across disciplines. As much as the technical experts in a team need to be aware of social issues, the social analyst also needs to understand the broad focus areas of the programme, and work closely with them to ensure that the activities are pro-poor, socially inclusive and gender equitable.

BOX 11

BENEFITS OF INTERDISCIPLINARY TEAMWORK

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

- + **Make other team members aware** of the ways in which social, poverty and gender issues interface with technical design issues.
- + **Help make the project better targeted**, more participatory and more empowering for women, the poor and other socially marginalized and disadvantaged segments of the community.
- + **Influence overall design** by giving voice to the expressed priorities of the intended target groups.

SOURCE: Authors' elaboration.

4.3.2 Cultural sensitivity

When engaging the communities and specific social segments to carry out social analysis, it is of utmost importance that managers be conscious of and respect local cultural values and practices, for example when organizing community meetings or focus group discussions. Decisions that appear to managers as less important details may be crucial for the outcome of social analysis and for building longer term trust; for example, choosing the location and timing of sessions (avoiding festivities or prayer times), segregating participants by sex, etc. Similarly, the selection of activities in the context of project design and implementation should also take into consideration cultural aspects, such as food preferences and religious taboos (when selecting value chains), mobility restrictions of women and girls (when defining training activities), etc. Showing cultural sensitivity with community members means being very cautious about sensitive issues that may create embarrassment or conflict, and honoring principles of confidentiality when dealing with personal matters.

4.3.3 Buy-in and capacity building of in-country institutions and stakeholders

As part of country strategy and project design and implementation, engaging with multiple relevant country stakeholders is key to obtaining their buy-in of project interventions. In addition to engaging multiple institutions in the formulation of investments, it is also important to carry out capacity needs assessments, specific to social inclusion aspects, as a basis for defining adequate capacity development activities, which can contribute to advancing the social inclusion agenda in the long-term. One major constraining factor for social assessments during implementation is the limited availability of reliable and updated data and the weakness of monitoring systems in adequately tracking social activities. Overcoming such constraints requires special attention to strengthening local capacities in the regular collection and analysis of appropriately disaggregated data and to enhance related monitoring mechanisms.

4.3.4 Time and financial resources for social analysis

Undertaking social analysis in a thorough and accurate manner may be constrained by a number of factors, related to insufficient time and financial resources allocated for mission work and field-level primary data collection. As already mentioned, mission timeframes are tight (typically three weeks for design, and one to two weeks for implementation support) and allow limited time to engage with community members during field visits.

Such constraints can be addressed systematically by managers by:

- designing strategies and projects that build on and learn from relevant past experiences;
- building the capacity of local consultants, national counterparts and service providers to carry out social analysis, in support of investment project teams;
- introducing or supporting knowledge management and learning mechanisms at country level to inform design of new investments;
- providing programme design and implementation teams with social analysis methodologies, tools and skills that are flexible and adaptable to local contexts.

To **make optimal use of time during country missions**, the manager/team leader should emphasize **upstream work**, including a thorough pre-mission desk review of relevant documents, virtual consultations and as much mission planning as possible. In preparation for the mission, the manager should work together with the social analyst and national counterparts, to make a representative selection of the project sites to visit, reflecting as many aspects as possible of the diversity of the target areas, for example: different districts and provinces; different human, agroecological, socioeconomic, political conditions; project areas facing implementation issues versus others where implementation is proceeding according to targets and set timeframes. Asking each team member to address a short checklist of key social considerations in their respective field consultations can further optimize time. After missions, the manager can encourage interaction among all team members to facilitate maximum information exchange.

The **resources** required for adequate social analysis during missions go beyond the contract of a social analyst; these include interpreters who can facilitate field-level consultations, travel costs, etc. The tendency of some IFIs to shorten the design process (Module 4) combined with the added complexity of social inclusion issues to be addressed across sectors (Module 1) have required practitioners to do more with less. Managers need to recognize that, with mission teams also becoming increasingly smaller, the workload per team member is becoming more demanding, leading to risks of compromising the quality of processes and outputs.

As much as possible, managers should adopt **a long-term capacity building strategy** whereby agency staff and international consultants can mentor national staff, local consultants and service providers. In this way, the former can provide time-bound, highly specialized inputs and technical backstopping (including virtually) and engage more actively in highly complex projects, while the latter could be involved in ongoing implementation support and regular

supervision missions. For evaluations, when local capacity is in place, the project may outsource social impact assessments to qualified local institutions, for example specialized service providers, research institutes or universities, consulting firms, or national statistics offices.

In this challenging context, managers should ensure that the full **cost of social analysis** and related activities is carefully calculated and fully embedded into overall project budgets. This can help avoid situations where budget constraints during implementation forces managers to reduce the size of mission teams, sacrificing the social analyst's contribution and instead assigning the responsibility for social analysis to other team members who do not have the required expertise.

4.4 FINAL TAKE-AWAY MESSAGES FOR MANAGERS

Managing the demands of social analysis is not an easy task but the rewards for doing it effectively are far reaching. As illustrated in this guide, **social analysis must be managed as a cross-cutting and highly context-specific discipline** that can help deepen our understanding and ability to address crucial issues of multidimensional poverty, food insecurity, social (and gender) inequalities, vulnerability and risks of exclusion. As a manager of agrifood investments – whether IFI-financed, government-funded or private – it is important to ensure that time and financial resources are made available to carry out social analysis (to the extent and scope possible in each case) throughout the investment cycle, using it as a **tool to bring about inclusive agrifood systems transformation**.

This guide has explained why and in what ways the participatory approach and **process of conducting social analysis is as important as the results it generates**. It is therefore essential for the manager to ensure that the social analyst's tasks are not carried out in isolation, but are fully embedded – as a core contribution – into investment mission work, from the early stages of design until the final stages of evaluation. The level of analysis and the range of topics covered vary according to the desired objectives, the components, the budgets and the stage in the life cycle of each investment. To establish the scope of social analysis in each case, the manager needs to **understand the different requirements** for addressing social considerations, which are guided by the continuously evolving policies, standards, or strategies of development agencies, IFIs, governments and private companies.

To get the best possible outcome from social analysis in investment missions, the manager must understand the **roles and responsibilities** of each actor engaged in the process; encourage **interdisciplinary collaboration** and cross-learning; pay attention to **cultural sensitivities** both in the target areas and within the team itself; and ensure that the **capacities of in-country stakeholders** to carry out social analysis **are strengthened** for the benefit of future operations.

A conceptual framework for social analysis and the tasks and tools for conducting them are presented in the Practitioner's guide of this series. Although that guide is targeted to social analysts, it also may be useful for managers who wish to go into more depth on the concepts discussed in the Manager's guide.



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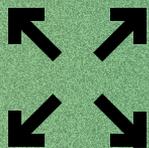
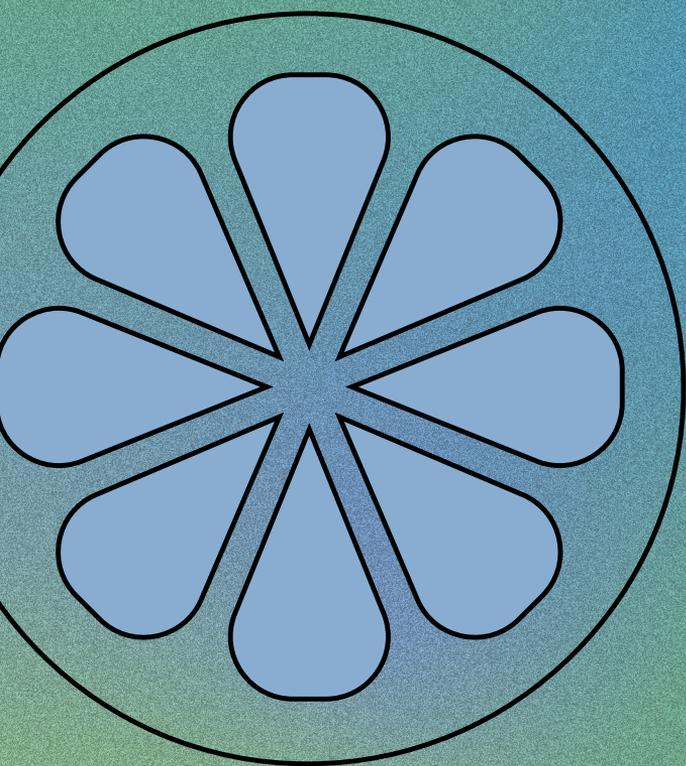
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ANNEXES

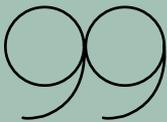
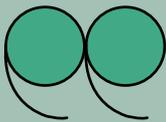
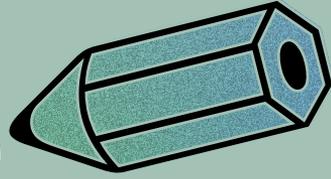


REQUIREMENTS FOR SOCIAL ANALYSIS BY SELECTED FINANCING AGENCIES

At the below link, the reader can find a summary matrix with the approaches, policies and requirements (both mandatory and necessary) that are used by selected agencies to address social dimensions in their project cycles; the matrix includes references to key relevant documents. A more exhaustive list of useful resources for social analysis is presented in Annex II of the Practitioner's guide.

<https://www.fao.org/3/CC6517EN/Annex%201.pdf>

Sample terms of reference for social analysis



1 COUNTRY STRATEGY FORMULATION/DESIGN

The social analyst for the mission assesses the policy and institutional framework related to social issues; contributes to the definition of strategic objectives as well as the strategies and action plan to achieve social and gender transformative impact; and, as relevant, analyses the country's major social and gender issues and defines the main target group. Main responsibilities include:

- Analyse the country's socioeconomic and institutional context, in particular: demographic trends; the economic situation; human development status and progress; poverty, food insecurity and social inequalities; main rural livelihoods and agrifood systems; any fragilities (e.g. climate-related, conflict, disease outbreaks, etc.).
- Review relevant country policies, strategies and programmes, with a focus on social issues, including sectoral policies, international commitments and relevant institutions and stakeholders.
- Carry out a rapid analysis of the main subsectors in focus under the country strategy from a social/gender perspective.
- Provide an overview of the country's main social, cultural and gender issues and the status of the potential target group (e.g. smallholder producers, women, young people, Indigenous People, persons with disabilities, people affected by chronic diseases, migrants, refugees and internally displaced persons, etc.).
- Outline the targeting, gender and social inclusion strategy.
- Identify existing or potential risks or vulnerabilities and define prevention and management mechanisms.
- Identify partnerships with in-country stakeholders and institutions as well as other development agencies, IFIs, NGOs, producer organizations, academia and the private sector.
- Contribute to the development of a results framework, including outcome and impact level indicators to reduce poverty and food insecurity and to achieve social development and gender transformative impacts. Ensure that indicators are disaggregated as appropriate (e.g. by sex, age, ethnicity, etc.).

The sources, tools, materials and methods used for the preceding include:

- Review of secondary literature, national policies, strategies and statistics; previous or other donor country strategies, design documents and evaluations; relevant reports of past or ongoing projects.

- Consultations with government and non-governmental organizations at national and subnational levels, other development agencies and IFIs, national producer organizations, research institutes, academia and the private sector.
- If possible, consultations with field-level workers of NGOs, service providers, the public extension system and representatives of producer organizations, women and youth groups.

2

PROJECT FORMULATION/DESIGN

The mission's social analyst is responsible for the project targeting strategy and for integrating both gender and other sociocultural issues across all project components and activities. In order to do so, the social analyst will collaborate and exchange information with the mission team leader and other team members as relevant. Main responsibilities include:

- Carry out a gender-sensitive social analysis at national and local levels comprising the issues of poverty, food security, rural livelihoods, the agrifood system, the socioeconomic and institutional context, and vulnerability.
- Conduct a gender, youth, Indigenous Peoples' analysis, as well as of stakeholders and grassroots institutions with mapping as relevant.
- Contribute to the identification of the project's target group and outline targeting, gender and youth mainstreaming strategies.
- Describe the main steps to carry out a participatory needs assessment and community action planning; define a capacity development plan at all levels.
- Identify experiences, lessons learned and successful approaches in engaging with poor rural people and marginalized social groups that emerged from ongoing/past programmes, upon which the project could build or replicate.
- In close consultation with other team members, contribute to the definition of project activities, identifying entry points for mainstreaming gender and social inclusion issues and ensuring that activities are tailored to the needs, capabilities and aspirations of the target group.
- In close consultation with other team members, identify any social risk and anticipated adverse impact; define corresponding mitigation, management and/or compensation mechanisms.

- Design project management and implementation arrangements with respect to social activities, including related costs that will feed into the overall project budget/financing plan.
- Identify potential partnerships with other development agencies, IFIs, NGOs, the private sector, research and academia for the implementation of social activities.
- In close consultation with other team members, contribute to the identification of output, outcome and impact level indicators of the logical framework and M&E system. Ensure that the indicators are disaggregated as appropriate (e.g. by sex, age, ethnicity, etc.) and suitable for tracking beneficiary participation and outreach; monitoring project performance during implementation of social activities; and assessing progress in achieving social development and sustainability, women's empowerment and gender transformative change.

The sources, tools, materials and methods used for the preceding include:

- Secondary literature review of background documentation, national statistics, project reports or evaluations related to relevant government or donor programmes, and any other available data from government, donors, NGOs and any other relevant sources.
- Consultations with government and non-governmental organizations at national and subnational levels, other development agencies and IFIs, national producer organizations, research institutes, academia and the private sector.
- Focus group and individual discussions with field workers and service providers (e.g. NGOs, government institutions, producer organizations, CSOs, women and youth groups, extensionists, the private sector).
- Fieldwork at district and village levels using appropriate participatory methodologies such as community meetings, group discussions and one-on-one interviews with representatives of grassroots institutions, households and individuals.

3

PROJECT STARTUP

The mission's social analyst is responsible for implementation preparedness with a focus on social activities. Main responsibilities include:

- Provide support for the organization of a startup workshop, ensuring the participation of key government departments dealing with social and gender issues, development agencies and NGOs the project could partner with or that have relevant experience upon which the project could build, and various constituency groups (e.g. women, youth, Indigenous Peoples as well as community-based organizations).
- If required, deliver a presentation about project approaches and strategies with respect to community consultation and participation, pro-poor targeting, social inclusion, gender equity, equality and women's empowerment, youth engagement and outreach to other marginalized/disadvantaged social groups.
- Contribute to establishing mechanisms to ensure implementation preparedness for social activities, for example the recruitment of a PMU gender focal point, contracting specialized service providers for social mobilization/community development activities, and recruiting community/social facilitators.
- Provide inputs to finalize sections related to social activities in the PIM. On the basis of the project design document, develop gender and youth action plans to operationalize the gender and youth mainstreaming strategies.
- If meetings with project implementers and service providers are planned, including at the district level, review with them project objectives, approach, components and activities.
- Provide inputs and recommendations to develop the baseline survey and any feasibility studies, making sure social and gender issues are taken into consideration and information as well as indicators and targets are disaggregated (by sex, age, ethnicity, etc.) as appropriate.

Sources, tools, materials and methods used for the preceding include:

- Project design report and, if available, the draft PIM (particularly sections related to social activities; targeting, gender and youth mainstreaming strategies; community development).
- Consultations with government at national and subnational levels, PMU, implementing partners and service providers, extension workers, producer organizations or their representatives, as appropriate.

4

PROJECT IMPLEMENTATION SUPPORT

The mission's social analyst is responsible for supporting – and, if needed, training – project staff, implementing partners and service providers in the execution of social activities and explaining the targeting, gender and youth mainstreaming strategies. Main responsibilities include:

- Complete socioeconomic and institutional assessments that were started in the context of project design, thereby deepening the analysis and understanding of the local context.
- Review project implementation preparedness, for example the status of recruitment of a PMU gender focal point, service providers implementing social activities, and community/social facilitators. Support drafting of ToRs as needed.
- Provide inputs to prepare ToRs for the baseline survey that incorporate social/gender considerations.
- Contribute to setting up or finalizing the project M&E system, particularly with disaggregated indicators and indicators to monitor social development outcomes and impacts.
- If required, provide inputs to finalize relevant sections of the PIM and the first AWP&B (project targeting, gender and youth action plans).
- Provide project staff with standard templates for progress reporting and for the preparation of case studies/good practices for areas related to pro-poor targeting, social inclusion, gender mainstreaming and youth engagement.
- Review and provide inputs to the targeting/gender/youth mainstreaming strategies and action plans.
- If required, provide training to project staff, implementing partners and/or service providers as appropriate on participatory approaches, gender mainstreaming, social inclusion, community mobilization, participatory M&E.

Sources, tools, materials and methods used for the preceding include:

- Background documentation and secondary literature reviewed during project design.
- Project design report and the draft PIM; previous supervision/implementation support/MTR mission reports as applicable; previous progress reports and AWP&Bs as applicable, particularly sections related to social activities, targeting, gender and youth mainstreaming strategies and community development.
- Good practices, successful approaches and innovations in pro-poor targeting, gender equity and equality, women's empowerment, community development, youth engagement.

- Consultations with government, development agencies, IFIs and NGOs implementing similar or relevant programmes and approaches that could be replicated.
- Consultations with PMU staff, field workers, extension workers, producer organizations, the private sector, as required.
- Fieldwork at district and village levels using appropriate methodologies such as community meetings focus group discussions, and household interviews.

5

PROJECT SUPERVISION AND MID-TERM REVIEW

The mission's social analyst is responsible for reviewing the implementation progress of social activities, targeting and gender and youth mainstreaming strategies, including problems, challenges and bottlenecks. Especially at and after mid-term review, the social analyst will also assess the likelihood of achieving specific objectives in the areas of social inclusion, gender equity, equality and transformation, and women's empowerment and outcome and impact level results. Main responsibilities include:

- Project progress from the last implementation support/supervision mission, including in implementing recommendations concerning social activities, gender issues, youth engagement and pro-poor targeting.
- Project relevance to the intended target group and the achievement of the theory of change and the intended objectives vis à vis the targets in social areas and poverty reduction.
- Project performance with respect to social inclusion, participation of poor/vulnerable people (including women youth, Indigenous Peoples), the sustainability of the project-supported rural institutions and institutional models established, community participation and the community planning/development process.
- Effectiveness of and progress in implementing the gender and youth mainstreaming strategies.
- Project implementation issues, as a basis to provide adequate, implementable measures to address such issues.
- Any capacity gaps at each level in gender mainstreaming, social inclusion, pro-poor targeting and participatory approaches, as a basis to prepare a capacity development plan.

- Relevance, effectiveness and gender-sensitivity of training delivered by the project at each level on issues around participatory approaches, pro-poor targeting, gender mainstreaming and youth involvement.
- Existing or potential social risks and adverse impacts arising from project implementation. In this context, provide recommendations to establish prevention, mitigation and management measures to address such risks and impacts.
- Adequacy of project management and implementation arrangements to deliver on the social activities as well as the performance of implementing partners in mainstreaming social and gender considerations in project activities.
- Adequacy of the M&E system to capture beneficiary participation, social development outcomes, gender transformative impacts and grassroot institutional building and sustainability, using disaggregated indicators (by sex, age, ethnicity, etc.) as appropriate.
- Approaches and practices related to social inclusion, pro-poor targeting, gender equality and transformation, women's empowerment, youth engagement, institutional development etc., emerging from implementation. Provide recommendations for the development of knowledge products that could be used for future documentation, replication and scaling-up.

Sources, tools, materials and methods used for the preceding include:

- Country strategy (if available) project design report; PIM; previous supervision/implementation support/MTR mission reports as applicable; previous progress reports and AWP&Bs, as applicable – particularly sections related to social activities, targeting, gender and youth mainstreaming strategies and community development.
- Consultations with government and non-governmental organizations at national and subnational levels, PMU, implementing partners, service providers, extension workers and producer organizations.
- Fieldwork at district and village levels using appropriate participatory methodologies such as community meetings, focus group discussions, and household interviews.

6

PROJECT COMPLETION AND EVALUATION

The mission's social analyst is responsible for assessing project social development outcomes and its impact on poverty and food insecurity for the intended target group.

Main responsibilities include assessing if and to what degree:

- Project implementation was in line with the country strategy (if applicable), government policy framework and priorities and the design document – particularly in social and gender aspects.
- The project was successful in realizing the theory of change and objectives vis-à-vis the logical framework and targets established in the M&E system and in the baseline survey in the areas of social inclusion, gender equality, and women's socioeconomic empowerment, and social and institutional sustainability.
- The targeting and social inclusion mechanisms as well as the gender and youth mainstreaming strategies were instrumental in building or strengthening access to and/or control over assets, inputs, financial resources, information, technology, services and employment opportunities for the target group.
- The project has established an adequate exit strategy that will enhance the likelihood of sustainability of benefits accrued to the target group and of institutional mechanisms put in place by the project, including community planning processes and community-based organizations.
- The project generated any adverse impact on the target group or the community in general and related causes. Review any action undertaken to prevent, manage and/or mitigate this and identify measures that should be adopted in the post-project stage to redress it, if necessary.
- There are successful approaches, good practices and innovations that emerged through project implementation in the areas of social inclusion, pro-poor targeting, gender equality and women's empowerment, as well as youth engagement, which could be disseminated for future learning, replication and scaling-up.

Sources, tools, materials and methods used for the preceding include:

- Country strategy; project design report; PIM; supervision/ implementation support/MTR mission reports; project completion report – particularly sections related to social activities, targeting, gender and youth mainstreaming strategies and community development.

- Consultations with government and non-governmental organizations at national and subnational levels, PMU, implementing partners, service providers, extension workers and producer organizations, other development agencies, IFIs and NGOs.
- Fieldwork at district and village levels using appropriate participatory methodologies such as community meetings, focus group discussions, and household interviews.

1

GENDER, YOUTH AND COMMUNITY DEVELOPMENT OFFICER/ PROJECT MANAGEMENT UNIT

The Gender, Youth and Community Development Officer¹¹ is attached to the PMU with the following responsibilities:

- Lead the tasks related to implementation of activities related to social inclusion, gender, youth and community development, providing support to other PMU staff, implementing partners and service providers.
- In close collaboration with other PMU staff, implementing partners and service providers as required, develop a gender and youth action plan and ensure that activities and concerns related to women and youth are mainstreamed across components. The gender/youth action plan is to be updated regularly and included in the AWP&B; it is to be monitored and reported upon in progress reports.
- Adopt successful approaches, good practices and innovations related to social inclusion, gender mainstreaming, youth engagement, as spelled out in the design document and the PIM (e.g. household methodologies, farmer field schools, etc.).
- In consultation with relevant PMU staff and service providers, undertake a training needs assessment on gender issues, pro-poor targeting, participatory approaches, and community development at all levels. Conduct the training or assist in training delivery.
- Review project implementation materials, training modules, education campaigns etc. and provide inputs to ensure that content and format are gender- and youth-sensitive.
- Monitor to ensure that target groups, including socially marginalized groups, effectively participate in and benefit from project interventions, that quotas of participation of women/youth established in the PIM are applied and that there is no adverse impact on the beneficiaries and communities as a result of project implementation.
- Together with the PMU M&E officer, define adequate indicators to monitor progress in targeting and social inclusion. Ensure that indicators included in M&E and the baseline survey are disaggregated by sex, age, ethnicity, as relevant.

¹¹ The title is indicative and may embrace one or more of these social areas of work.

- Provide inputs to compile annual plan and budgets, progress reports and M&E reports, particularly regarding gender and youth mainstreaming, social activities and community development.
- Together with the PMU knowledge management officer, document success stories, good practices, and lessons learned in promoting social inclusion, gender equality and women's empowerment, youth engagement and community development, for replication and scaling-up.

Experience, skills and abilities:

- At least 5 years of work experience on social inclusion, gender equality and women's empowerment, youth issues and/or community development in agrifood investments.
- Diploma in social work or Bachelor degree in social sciences, community development, gender issues, or related discipline.
- Experience in designing and delivering training modules and in gender-sensitive M&E.

2

COMMUNITY FACILITATORS/SOCIAL MOBILIZERS (SERVICE PROVIDERS)

The community facilitator or social mobilizer will be contracted as a service provider. Main responsibilities include:

- Mobilize and sensitize target communities about project objectives, activities and opportunities, in a gender- and youth-sensitive manner, including by facilitating initial and preparatory meetings as well as all community meetings during implementation.
- Provide support in identifying and selecting the target group, based on criteria and approach defined in the PIM.
- Coordinate project implementation at the community level, in concert with other community-level implementing partners (service providers, public officers, extension workers), ensuring that community planning is the entry point of project interventions.
- Provide training, mentoring and facilitation support to strengthen the capacity, resilience, livelihood development, income-generating opportunities and leadership skills of the target group, at individual, household and community group level.

- Facilitate the community planning process, including preparation of community plans, in a way that is participatory, socially inclusive and gender-sensitive.
- Carry out participatory monitoring by collecting information and feedback from the communities about project implementation and impact.
- Prepare monthly reports on the implementation of social activities and progress in achieving social development outcomes, which will feed into the overall progress report.
- Together with the knowledge management officer, collect and document success stories particularly in relation to social inclusion, youth targeting, gender equality and women's socioeconomic empowerment.

Experience, skills and abilities:

- Field experience in social mobilization and community development, including use of participatory approaches for women/youth engagement.
- Ideally, a well-known and trusted community member; if not, someone who is prepared to live and work in target village(s).
- Familiar with the local area and with good knowledge of the social dynamics, cultural traditions and institutional structures.
- Sensitive in approaching women, youth, socially marginalized groups and community groups.
- Able and willing to travel frequently within the target area, as well as to attend planning/evaluation/training activities in outside locations.
- Dynamic, committed, motivated and open to learn.
- Good social and communication skills, both written and oral.
- Pending adequate qualifications and experience and depending on the local context, proactive efforts will be made to recruit young people (25–35 years of age), 30–50 percent of whom will be women and/or (if relevant) from ethnic minority groups.

Term	Definition	Source
Agricultural development	Investments in land and water, crops, livestock, forestry, fisheries, natural resource management, commodity trade and on-farm employment.	FAO, 2011a
Agricultural transformation	Both a cause and effect of structural transformation. The process involves a shift from mainly subsistence farming to commercial, highly diversified production systems. At the individual farm level, the process favours specialization, which allows economies of scale through the application of advanced technologies and modern delivery systems for both inputs and outputs; this, in turn, promotes tighter integration of a more diversified farming sector with the rest of the economy and with international markets.	FAO, 2017a
Agri-food systems	Encompass “the entire range of actors and their interlinked value-adding activities involved in the production, aggregation, processing, distribution, consumption and disposal of food products that originate from agriculture, forestry or fisheries, and parts of the broader economic, societal and natural environments in which they are embedded.”	FAO, 2018a
Sustainable food system	One that delivers food security and nutrition for all in such a way that: i) it is profitable throughout (economic sustainability); ii) it has broad-based benefits for society (social sustainability); and iii) it has a positive or neutral impact on the natural environment (environmental sustainability).	FAO, 2018a
Indigenous Peoples’ food systems	Are traditional livelihood practices which include small-scale farming, pastoralism, shifting cultivation, fishing, hunting, gathering and other forms of wild harvesting, or a combination of such practices. Such traditional livelihoods provide for sustainable management of resources, biodiversity and ecosystems, and are based on traditional knowledge, reciprocal labour and traditional agricultural calendars.	FAO, 2022b
Child labour	Work that harms children’s well-being and hinders their education, development and future livelihoods (ILO Convention No. 138 on Minimum Age, 1973, and ILO Convention No. 182 on Worst Forms of Child Labour, 1999).	ILO, 2022a
Decent rural employment	Any activity, occupation, work, business or service performed by women, men, adults, or youth for pay or profit in rural areas in a way that: respects the core labour standards as defined in ILO conventions; provides an adequate living income; entails an adequate degree of employment security and stability; adopts minimum occupational safety and health measures; avoids excessive working hours and allows sufficient time for rest; and promotes access to adapted technical and vocational training.	FAO, 2014
Diaspora	Migrants or descendants of migrants whose identity and sense of belonging, either real or symbolic, have been shaped by their migration experience and background. They maintain links with their homelands, and to each other, based on a shared sense of history, identity, or mutual experiences in the destination country.	IOM, 2019.
Elite capture	Benefits of an intervention that are intended for a certain target group are unduly seized by a restricted group of people thanks to their greater power and influence in society. It is often regarded as a potential issue of community-based targeting.	FAO, 2021b

Term	Definition	Source
Food Consumption Score (FCS):	A composite score based on dietary diversity, food frequency, and relative nutritional importance of different food groups.	FAO, 2016a
Food Insecurity Experience Scale (FIES)	An experience-based food security scale used to produce a measure of access to food at different levels of severity that can be compared across contexts. It relies on data obtained by surveying individuals about the occurrence of conditions and behaviours known to reflect constrained access to food.	FAO, 2016a
Food loss	The unintended reduction in food available for human consumption resulting from inefficiencies in supply chains: poor infrastructure and logistics or lack of technology, insufficient skills or poor management capacity.	FAO, 2013
Food safety	Assurance that food will not cause adverse health effects to the consumer when it is prepared and/or eaten according to its intended use. FAO & WHO	FAO & WHO, 1969 (revised 2020)
Food security	<p>“Situation that exists when all people, at all times, have physical and economic access to sufficient, safe and nutritious food that meets their dietary needs and food preferences for an active and healthy life.” (World Food Summit, 1996). It comprises:</p> <p>Food availability: having a quantity and quality of food sufficient to satisfy the dietary needs of individuals, free from adverse substances and acceptable within a given culture, supplied through domestic production or imports.</p> <p>Food access: access by individuals to adequate resources (entitlements) for producing or acquiring appropriate foods for a nutritious diet. Entitlements are defined as the set of all commodity bundles over which a person can establish command given the legal, political, economic and social arrangements of the community in which they live (including traditional rights such as access to common resources).</p> <p>Food utilization: utilization of food through adequate diet, clean water, sanitation and health care to reach a state of nutritional well-being in which all physiological needs are met.</p> <p>Food stability: to be food secure, a population, household or individual must have access to adequate food at all times. They should not risk losing access to food as a consequence of sudden shocks (e.g. an economic or climatic crisis) or cyclical events (e.g. seasonal food insecurity). So, the concept of stability refers to both the availability and access dimensions of food security, which in turn depend on environmental stability in the face of climate change and economic stability in the face of globalization.</p>	<p>FAO, 2022b</p> <p>FAO, 2022b</p> <p>FAO, 2022b</p> <p>FAO, 2022b</p>
Food supply chain	The connected series of activities to produce, process, distribute and consume food.	CFS, 2019
Food waste	Intentional discards of edible items, mainly by retailers and consumers, and is due to the behaviour of businesses and individuals.	FAO, 2013
Fragility	The combination of exposure to risk and insufficient coping capacities of the state, system and/or communities to manage, absorb or mitigate those risks.	FAO, 2021c
Gender	Socially constructed roles, behaviours and characteristics that a given society considers appropriate for males and females. These roles and characteristics are acquired through socialization processes: people are born female or male, but learn to be women or men.	FAO, 2022c

Term	Definition	Source
Gender analysis	Study of the different roles of women and men in order to understand what they do, what resources they have, and what their needs and priorities are in specific contexts. It draws on sex-disaggregated information and the study of the different roles of women and men, the relationships between and among them and their specific access to and control over productive resources and services.	FAO, 2016b
Gender-based division of labour	The way work is divided between men and women according to gender roles. This does not necessarily concern only paid employment, but more generally the work, tasks and responsibilities assigned to women and men in their daily lives, which may also determine certain patterns in the labour market.	FAO & CARE, 2019
Gender-based violence (GBV)	Any harmful act that is perpetrated against a person's will and that is based on socially ascribed (i.e. gender) differences between men and women. Examples include sexual violence, including sexual exploitation/abuse and forced prostitution; domestic violence; trafficking; forced or early marriage; harmful traditional practices such as female genital mutilation; honour killings; and widow inheritance. There are different kinds of violence, including (but not limited to) physical, verbal, sexual, psychological, and socioeconomic violence.	UN Women, 2022a
Gender blindness	Refers to the failure to recognize that the roles and responsibilities of men/boys and women/girls are assigned to them in specific social, cultural, economic, and political contexts and backgrounds. Projects, programmes, policies and attitudes which are gender blind do not take into account these different roles and diverse needs. They maintain the status quo and will not help transform the unequal structure of gender relations.	UN Women, 2022a
Gender Development Index (GDI)	Measures gender gaps in human development achievements by accounting for disparities between women and men in three basic dimensions of human development: health, knowledge and living standards.	UNDP, 2022b
Gender equality	Equal conditions, treatment, responsibilities and opportunities for women, men, girls and boys to realize their full potential, human rights and dignity, and for contributing to and benefitting from economic, social, cultural and political development. Equality also refers to equal access to and control over resources, equal participation in decision-making and equal employment and livelihood opportunities. Gender equality also implies that the interests, needs and priorities of both women and men are taken into consideration. Gender equality does not mean that women and men become the same, but rather that these individuals have equal opportunities that do not depend on being born male or female. Gender equality is not a women's issue but should concern and fully engage both men and women. It is a human rights issue as well as a precondition for, and indicator of, sustainable people-centred development.	UN Women, 2022b
Gender equity	Fairness of treatment for women and men in terms of rights, benefits, obligations and opportunities. The essence of equity is not identical treatment – treatment may be different but should always be considered equivalent in terms of rights, benefits, obligations and opportunities. Due to male predominance in the family, public policy and institutions in rural areas and worldwide, have long obscured women's interests and concerns. A key strategy for gender equity lies in women's empowerment.	FAO, 2022c
Gender Inequality Index (GII)	Measures gender inequalities in three dimensions: reproductive health, empowerment, and economic status. The index ranges from zero (highest equality) to one (greatest inequality).	UNDP, 2022c

Term	Definition	Source
Gender mainstreaming	A globally recognized strategy for achieving gender equality. It is the process of assessing the implications for women and men of any planned action, including legislation, policies or programmes, in any area and at all levels. It is a strategy for making the concerns and experiences of women and men an integral part of the design, implementation, monitoring and evaluation of policies and programmes in all political, economic and societal spheres, so that women and men benefit equally, and inequality is not perpetuated.	FAO, 2021d
Gender relations	Ways in which society defines the rights, responsibilities and identities of men and women in relation to one another.	FAO, 2021d
Gender-responsive approaches	Approaches that recognize and address the specific needs and priorities of men and women, based on the social construction of gender roles	FAO, 2021d
Gender roles	Behaviors, tasks and responsibilities that a society considers appropriate for men, women, boys and girls. Gender roles typically include:	FAO, 2022b
	Reproductive roles encompass childbearing/rearing responsibilities and domestic tasks. These include not only biological reproduction, but also the care and maintenance of children and the elderly. FAO, 2022b	FAO, 2022b
	Productive roles encompass the work performed by both men and women for payment in cash or in kind. For women in agricultural production, this includes work as independent farmers, peasant wives and wage workers. The work is both paid (but often underpaid) and unpaid. FAO, 2016a	FAO, 2016a
Gender transformative approach	The gender transformative approach aims at addressing imbalanced power dynamics and relations, rigid gender norms and roles, harmful practices, unequal formal and informal rules as well as gender-blind or discriminatory legislative and policy frameworks that create and perpetuate gender inequality. By doing so, this approach seeks to eradicate the systemic forms of gender-based discrimination by creating or strengthening equitable gender norms, dynamics and systems that support gender equality. The gender transformative approach challenges unequal gender relations and discriminatory norms and practices, which are typically biased in favour of men. It also aims to change those norms and practices that discriminate against men and by which men can feel overburdened.	FAO, IFAD & WFP, 2021
Gender-sensitive M&E	A monitoring framework that allows users to measure and evaluate gender-related changes over time, showing how far and in what ways gender equality objectives are being achieved.	FAO, 2022e
Gender-sensitive value chains	Value chains that address the gender dimensions, including gender-based constraints and women's and men's equal opportunities.	FAO, 2013
Gender Social Norms Index (GSNI)	Measures how social beliefs obstruct gender equality in areas like politics, work, and education.	UNDP, 2022d
Geographic targeting	Targeting mechanism that uses place of residence as the main criterion to allocate the benefits of an intervention. In its simplest form, it consists of allocating benefits to all potential beneficiaries that reside in one or more selected geographic areas. Geographical targeting is one method of categorical targeting.	FAO, 2021b
Gini coefficient	An aggregate numerical measure of income inequality ranging from 0 (perfect equality) to 1 (perfect inequality). The higher the value of the coefficient, the higher the inequality of income distribution; the lower the value, the more equitable the distribution of income.	World Bank, 2022a

Term	Definition	Source
Household Dietary Diversity Score	Qualitative measure of food consumption that reflects household access to a variety of foods.	FAO, 2022b
Human development	“Giving people more freedom and opportunities to live lives they value,” meaning “developing people’s abilities and giving them a chance to use them.” The human development approach focuses on improving the lives people lead rather than assuming that economic growth will automatically lead to greater opportunities, allowing people to live long and healthy lives, to be educated and enjoy a decent standard of living, as well as political freedom and other guaranteed human rights.	UNDP, 2022a
Human Development Index (HDI)	Composite index measuring average achievement in three basic dimensions of human development: i) a long and healthy life; ii) knowledge; and iii) a decent standard of living.	UNDP, 2022e
Hunger	An uncomfortable or painful physical sensation caused by insufficient consumption of dietary energy. It becomes chronic when the person does not consume sufficient calories (dietary energy) on a regular basis to lead a normal, active and healthy life.	FAO, 2022f
Inclusive business models	Promote the integration of smallholders into markets, with the underlying principle that there are mutual benefits for poor farmers and the business community.	FAO, 2015c
Inclusive rural transformation	Benefits the entire rural society, enabling all to exercise their economic, social and political rights, develop their abilities, and take advantage of local opportunities. Improvements in agricultural productivity and the rural non-farm economy should raise the incomes of rural people, especially the poor, weakening the ‘push’ factors that lead to out-migration. Migration may still occur, but as an active choice and not due to the lack of alternatives. Inclusive rural transformation favours forms of human mobility across spaces and sectors that bring productivity improvements and benefits to migrants and their communities of origin and destination.	FAO, 2017b.
Inclusive social development	Terms that refer to an approach to ensure that all people, especially the excluded, marginalized and those in situations of vulnerability, participate in and benefit from development processes, through enhanced opportunities, access to productive and natural resources, empowerment, agency, decision-making processes and respect of rights.	FAO, 2022a
Inclusivity/social inclusion/inclusiveness	Measures how social beliefs obstruct gender equality in areas like politics, work, and education.	UNDP, 2022d
Income poverty	Lack of minimally adequate income or expenditure vis-à-vis a monetary threshold (poverty line).	FAO, 2022b
Indigenous Peoples	Those whose ancestors inhabited a place or a country when persons from another culture or ethnic background arrived on the scene and dominated them through conquest, settlement or other means and who today live more in conformity with their own social, economic and cultural customs and traditions than those of the country of which they now form a part	FAO, 2022b
Individual Dietary Diversity Score	Measure of dietary quality, which reflects nutrient adequacy and dietary diversity, usually for children over 2 years of age. It consists of either an eight-question list (one for each food group), or a qualitative 24-hour food list (i.e. what was eaten by the child yesterday, without amounts).	FAO, 2016a

Term	Definition	Source
Internally Displaced Persons (IDPs)	Persons or groups of persons who have been forced or obliged to flee or to leave their homes or places of habitual residence, especially as a result of, or in order to, avoid the effects of armed conflict, situations of generalized violence, violations of human rights or natural or human-made disasters, and who have not crossed an internationally recognized state border.	UN, 2022a
Internal migration	The movement of people within a State, involving the establishment of a new temporary or permanent residence.	IOM, 2019
Intersectionality	The theory that various forms of discrimination centred on race, gender, class, disability, sexuality, and other forms of identity, do not work independently but interact to produce particularized forms of social oppression. As such, oppression is the result of intersecting forms of exclusionary practices.	Rogers <i>et al.</i> , 2013
Labour-saving technologies and practices	Opportunities for mechanization to relieve the burden of labour shortages, raise labour productivity, generate employment and enable rural households to become more resilient.	FAO, 2019a
Land access	The ability to use land and other natural resources to control the resources and to transfer land rights to the land to take advantage of other opportunities.	IFAD, 2014
Land rights	<p>Include three main types:</p> <p>Use rights: right to use land for growing crops, passage, grazing animals and the utilization of natural and forest products.</p> <p>Control rights: right to make decisions about how the land should be used and how benefits should be allocated.</p> <p>Transfer rights: right to sell or mortgage land, convey land to others, transmit land through inheritance and reallocate use and control rights. IFAD, 2014</p>	IFAD, 2014
Land tenure	Rules, authorities, institutions, rights and norms that govern access to and control over land and related resources	IFAD, 2014
Land tenure security	The ability to control and manage a parcel of land, use it and dispose of its produce and engage in transactions, including transfers.	IFAD, 2014
Malnutrition	<p>Abnormal physiological condition caused by inadequate, unbalanced or excessive consumption of macronutrients and/or micronutrients. Specifically:</p> <p>Undernutrition: inadequate levels of food intake. It can manifest as:</p> <ul style="list-style-type: none"> • Acute malnutrition or wasting: low weight for height. • Chronic malnutrition or stunting: low height for age. • Underweight: low weight-for-age • Micronutrient deficiencies: lack of vitamins and minerals essential for proper body functions, growth and development. <p>Over-weight and obesity: abnormal or excessive fat accumulation that may impair health. FAO, IFAD, UNICEF, WFP and WHO, 2019; WHO, 2022a; WHO, 2022b</p>	FAO, IFAD, UNICEF, WFP and WHO, 2019; WHO, 2022a; WHO, 2022b

Term	Definition	Source
Migrant	A person who moves away from his or her place of usual residence, whether within a country or across an international border, temporarily or permanently, and for a variety of reasons. The term includes a number of well-defined legal categories of people, such as migrant workers; persons whose particular types of movements are legally defined, such as smuggled migrants; as well as those whose status or means of movement are not specifically defined under international law, such as international students.	IOM, 2019
Migration	The movement of persons away from their place of usual residence, either across an international border or within a State.	IOM, 2019
Minimum Dietary Diversity for Women of reproductive age (MDD-W)	A measure of dietary quality, which reflects overall nutrient adequacy and dietary diversity, among women of reproductive age (15–49 years). It shows the proportion of women who consumed at least five out of ten food groups in the previous 24 hours. Women consuming foods from five or more food groups are more likely to meet their micronutrient needs than women consuming foods from fewer food groups. The indicator does not reflect quantitative food intake and adequacy of specific target nutrients.	FAO, 2016a; FANTA & FAO, 2016
Minimum Dietary Diversity (MDD) for young children	A measure of dietary quality, which reflects overall nutrient adequacy and dietary diversity, for children aged 6–23 months. It refers to the number of food groups (out of seven food groups) consumed by a child in the previous 24 hours. Consuming at least four food groups is an indication of a low risk of a nutrient inadequate diet.	FAO, 2016a; CGIAR, 2022
Monetary poverty	Monitoring outputs, outcomes and impact as they relate to target group.	FAO, 2011a
Multidimensional poverty	An approach to poverty measurement whereby the situation of poverty of an individual or household is determined based on multiple indicators of deprivation.	FAO, 2021b
Multidimensional Poverty Index (UNDP)	Identifies deprivations across three dimensions comprising the ten indicators: health (nutrition and child mortality), education (years of schooling and school attendance) and living standards (cooking fuel, sanitation, drinking water, electricity, housing, assets). People experiencing deprivation in at least one-third of these indicators fall into the category of multidimensionally poor.	UNDP, 2020
Multidimensional Poverty Measure (World Bank)	Combines the monetary and non-monetary dimensions, namely: access to education and basic infrastructure and the monetary headcount ratio at the USD 1.90 poverty line.	Nguyen et al., 2021
Nutrition security	A situation that exists when secure access to an appropriately nutritious diet is coupled with a sanitary environment, adequate health services and care, in order to ensure a healthy and active life for all household members.	FAO, 2019b
Nutrition-sensitive value chain (NSVC)	<p>a food value chain that has been shaped to alleviate constraints in supply or demand of food as they relate to nutrition problems.</p> <p>Nutrition-sensitive because NSVCs aim to address a nutrition problem, primarily in terms of diet quality.</p> <p>Value because NSVCs consider economic value but also value that is relevant from a nutrition point of view.</p> <p>Chain because NSVCs encompass investments at different stages along the value chain from production to consumption.</p>	De la Peña & Garrett, 2018

Term	Definition	Source
On-farm, off-farm and non-farm activities	<p>On-farm activities take place on one's own property, regardless of the sector and type of employment, although in rural areas, these mostly involve farming/ agricultural activities.</p> <p>Off-farm activities take place away from the farm, regardless of the sector and type of employment, and may include agricultural wage employment as well as non-agricultural activities.</p> <p>Non-farm activities (or non-agricultural employment) take place outside the agricultural sector, regardless of the location and type of employment.</p>	Barrett <i>et al.</i> , 2001
Persons with disabilities	Those who have long-term physical, mental, intellectual or sensory impairments which, in interaction with various barriers, may hinder their full and effective participation in society on an equal basis with others.	UN DESA, 2006
Pro-poor value chain development	A pro-poor value chain intervention promotes the inclusion and empowerment of poor people in value chains with a view to increasing their income and well-being and addressing constraints in a coordinated sustainable manner.	IFAD, 2019b
Refugee	A person who "owing to a well-founded fear of persecution for reasons of race, religion, nationality, membership of a particular social group or political opinions, is outside the country of his nationality and is unable or, owing to such fear, is unwilling to avail himself of the protection of that country."	(1951 Convention) IOM, 2019
Remittances	Private, voluntary monetary and non-monetary (social or in-kind) transfers made by migrants and diaspora, individually or collectively, to people or to communities not necessarily in their areas of origin. They can be cross-border or in the home country.	FAO, 2019c
Resilience	The ability to prevent disasters and crises as well as to anticipate, absorb, accommodate or recover from them in a timely, efficient and sustainable manner. This includes protecting, restoring and improving livelihood systems in the face of threats that impact agriculture, nutrition, food security and food safety. In sum, it is the ability of people, communities or systems that are confronted by disasters or crises to withstand damage and to recover rapidly.	FAO, 2022g
Rural development	Is broader than agricultural development; it is area-based. Rural development also includes rural social and economic infrastructure and services, rural finance, and off-farm and non-farm rural activities.	FAO, 2011a
Rural migration	Migration that takes place to, from or between rural areas, independently of the destination or origin or of the duration of the migratory movement.	FAO, 2018b
Rural Multidimensional Poverty Index (R-MPI)	Newly developed by FAO, this proposed measure complements existing multidimensional poverty indices adding dimensions and indicators that can better capture rural features, especially in terms of the specificities of livelihoods in rural areas and the peculiarity of the exposure to potential shocks and the associated risk management.	FAO & OPHI, 2022
Rural transformation	Captures all aspects of agricultural transformation but also includes the emergence of livelihood and income-generating opportunities in the rural non-farm sector. Improvements in access to services and infrastructure in rural areas lead to the expansion of remunerative off-farm employment and enterprises.	Adapted from IFAD, 2016a; FAO, 2017b
Sex	Refers to the biological characteristics that define humans as female or male.	WHO, 2022c

Term	Definition	Source
Sex-disaggregated data	Data separated by sex in order to allow differential impacts on men and women to be measured. Sex-disaggregated data is quantitative statistical information on the differences and inequalities between women and men.	European Commission, 2022
Shock	An unexpected or unpredictable event that is external to the specific entity or system, causing a disturbance in the equilibrium or permanence of something, which can either harm or boost it. Climate shock: equivalent to the concept of a natural hazard or stress, it can consist of exogenous events that can have a negative impact on food and nutrition security depending on the vulnerability of an individual, household, community, or system to the shock. Economic shock: an unexpected or unpredictable event that is external to the specific economy.	FAO, 2022h FAO, 2021c FAO, 2019b
Smallholders	Small-scale farmers, pastoralists, forest keepers, fishers who manage areas varying from less than 1 ha to 10 ha. Smallholders are characterized by family-focused motives such as favouring the stability of the farm household system, using mainly family labour for production and using part of the produce for family consumption.	FAO, 2012
Social adverse impact	The harmful effect that an investment may cause or contribute to on the target groups at individual, household, group or community level. While adverse impacts may originally not be of social nature (e.g. environmental or climate impacts), they may result in social impacts through their effects.	Authors' own definition
Social analysis	A process of examining the sociocultural, institutional, historical and political contexts. This includes matters of social diversity and gender, rules and behavior, stakeholder dynamics, participation concerns and social risks. Social analysis is instrumental to understanding project-related opportunities and constraints; define strategies for social inclusion, cohesion and accountability; incorporating stakeholders' perspectives and priorities; establishing participatory processes; and assessing social impact.	World Bank, 2013a
Social empowerment	Process of developing a sense of autonomy and self-confidence and acting individually and collectively to change social relationships and the institutions and discourses that exclude poor people and keep them in poverty.	FAO, 2022b
Social inequalities	Occur where different groups are discriminated, excluded or otherwise denied full equality, as opposed to economic inequalities such as inequalities in income, wealth, wages and social protection.	CEB, 2022
Social risk	The possibility that the intervention would create, reinforce or deepen inequity and/or social conflict, or that the attitudes and actions of key stakeholders may subvert the achievement of the development objective, or that the development objective, or means to achieve it, lack ownership among key stakeholders. Social risk is considered to be both a risk to project success, but also a risk created by the project, which in turn negatively affects the project.	Vanclay et al., 2015
Social safeguards	Tools aiming to prevent, reduce, mitigate, manage and/or compensate for undue harm to people during the development process. In the context of designing a development intervention, social safeguards help assess the potential social risks and impacts (positive or negative) and define measures and processes to effectively manage them. Most IFIs require the application of safeguards before approving projects, and while protocols and formats vary, the issues considered are common: inclusion of Indigenous Peoples, land acquisition and involuntary resettlement, public health, safety and security, labour conditions and standards, and stakeholder engagement.	FAO, 2022i; FAO, 2015a

Term	Definition	Source
Structural transformation	The reallocation of economic activities away from the primary sectors (agriculture and natural resources) to industry and services. It is characterized by increasing productivities across sectors, expansion of the urban economy, a declining share of agriculture in GDP, expanded domestic and international trade, and increased specialization and division of labour. In the long term, it leads to increased migration of people from rural areas to urban centres and urbanization of the countryside, usually combined with a reduction in birth rates, greater participation of women in the workforce, and deep political and sociocultural changes.	FAO, 2017a
Sustainable livelihoods	A livelihood comprises the capabilities, assets and activities required for a means of living. A livelihood is sustainable when it can cope with and recover from stresses and shocks and maintain or enhance its capabilities and assets both now and in the future, while not undermining the natural resource base.	Adapted from Chambers & Conway, 1992
Sustainable development	“Development that meets the needs of the present without compromising the ability of future generations to meet their own needs” (United Nations General Assembly, 1987). This definition aimed to link economic development with long-term environmental protection. Gradually, sustainable development acquired a broader, more holistic meaning, embracing and integrating economic, environmental and social concerns.	FAO, 2022b
Targeting	A process that seeks to concentrate the resources of an intervention in sectors that are more relevant to the target group.	FAO, 2021b
Target group	The group of people that an intervention aims to benefit. In the context of poverty reduction interventions, a target group is defined based on poverty analysis and based on the objectives and capacities of the organizations promoting and implementing the intervention.	FAO, 2021b
Targeting mechanisms	Set of criteria and rules used to define who is eligible to participate in or receive the benefits of an intervention.	Authors' own definition
Targeting performance	ability of a targeting mechanism (or combination of mechanisms) to reach a given target group, minimizing exclusion and inclusion errors.	Authors' own definition
Temporary migration	Movement of people to another place for a short period of time before returning to the area of origin.	FAO 2018b
Value chain	Set of actors (private, public, and including service providers) and the sequence of value-adding activities involved in bringing a product from production to the final consumer. In agriculture value chain can be thought of as a ‘farm to fork’ set of processes and flows.	Miller & Jones, 2010
Vulnerability	A condition arising from the interaction of three factors: (i) risk exposure, or the nature and degree to which a household (or community) is exposed to a certain risk such as natural disasters, conflicts, macroeconomic changes, etc.; (ii) sensitivity to this risk, measured for instance through the dependence of the household (or community) on fishing activity for food security or income generation; (iii) adaptive capacity of the household (or community) to deal with risk – that is its ability to cope with changes.	FAO, 2005
Women's empowerment	Women's increased control over their life through economic advancement and enhanced power and agency.	FAO, 2021d

Term	Definition	Source
Women Empowerment in Agriculture Index (WEAI)	Measures the roles and extent of women's engagement in the agriculture sector in five domains: i) decisions about agricultural production; ii) access to and decision-making power over productive resources; iii) control over use of income; iv) leadership in the community; v) time use. It also measures women's empowerment relative to men within their households.	HLPE, 2016
Youth	There is no universally agreed international definition of the youth age group. Definitions vary between countries based on cultural, social, institutional, economic and political factors. The United Nations defines 'youth' as people aged between 15 and 24 years and 'children' as people up to the age of 18.	UN, 2022b





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

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