

# SOCIAL ANALYSIS FOR AGRICULTURE AND RURAL INVESTMENT PROJECTS

## MANAGER'S GUIDE



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## ABBREVIATIONS AND ACRONYMS

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

# 1. INTRODUCTION

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

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

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

## Applications in agriculture and rural investment

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

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

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

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

## How to use the series

These guides have two overall purposes:

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

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

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

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

- the sustainable livelihoods framework for understanding the dynamics of rural poverty and livelihoods, social diversity and gender in the context of agriculture and rural development (section 2);
- the main entry points for conducting social analysis (section 3);
- the range of inputs that may be provided to project design (section 4);
- how the findings and recommendations are drawn together into a technical paper and summary matrices (section 5);
- tools for tracking social aspects of development (section 6).

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

- practical aspects of integrating social analysis into missions (section 2);
- data collection activities and checklists for work at national, regional and district levels, and in community-based discussions, focus group discussions and individual household interviews (sections 3 to 7);
- participatory tools suitable for social analysis fieldwork (section 8).

## 2. SCOPE AND BENEFITS OF SOCIAL ANALYSIS

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

### Scope

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

- to make development interventions more people-centred, socially inclusive, equitable and sustainable by ensuring a close fit with local contexts, culture and livelihoods; and
- to safeguard the interests of weaker sections of the population.

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

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

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

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

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

#### Box 2: Scope of social analysis

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

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

### Box 3: Applications of social analysis

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

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

## Benefits

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

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

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

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

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

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

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

## Conceptual approach

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

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

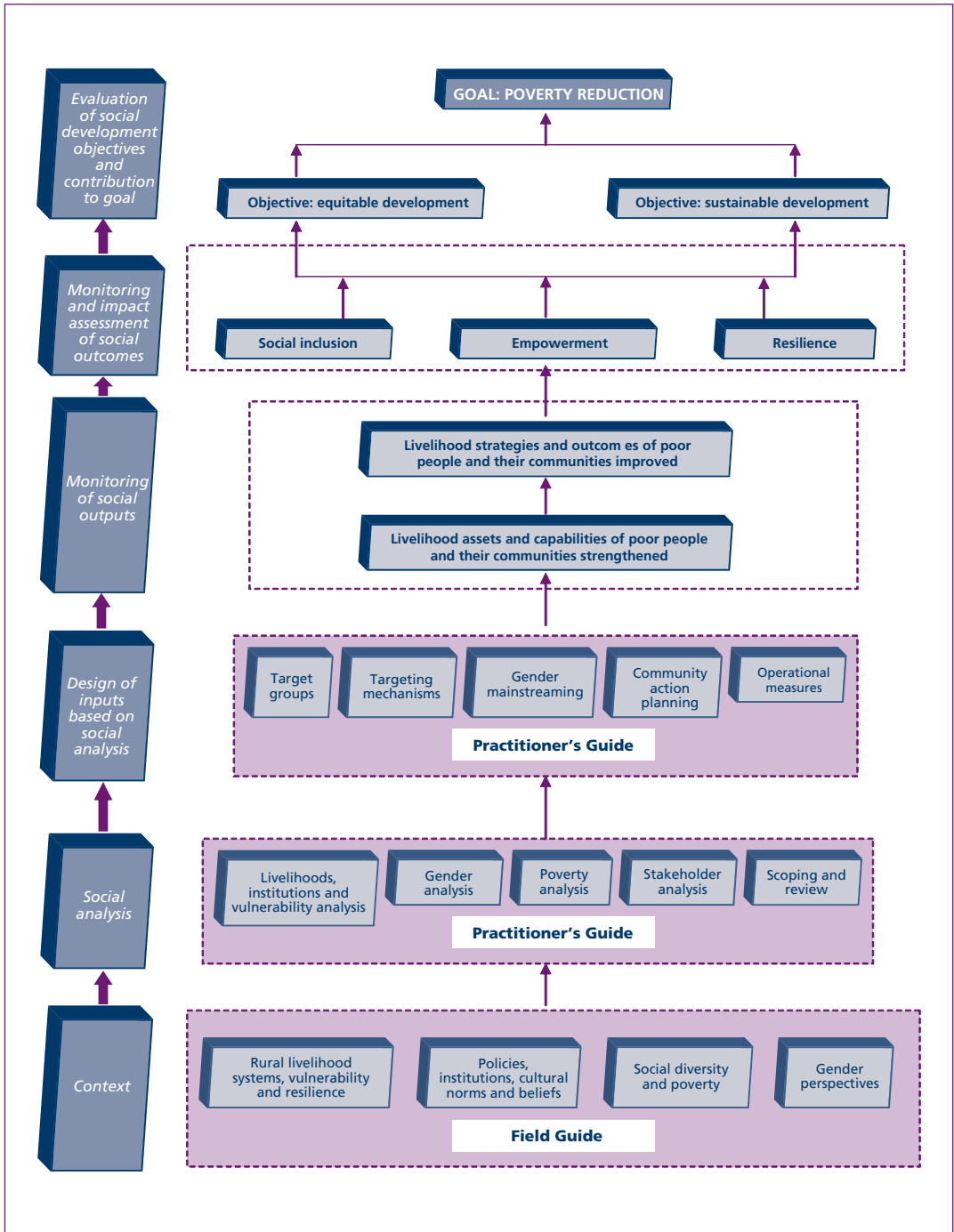
As a result of social analysis, inputs to project design include the identification of target groups and targeting mechanisms, opportunities for gender mainstreaming, participatory approaches, safeguard mechanisms (when appropriate) and operational measures to ensure poverty-inclusive and gender-equitable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

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

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

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

Figure 1: Conceptual approach for social analysis





### *Equitable development*

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

#### **Box 5: Social inclusion**

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

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

#### **Box 6: Empowerment**

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

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

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

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

### Box 7: Key gender concepts

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

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

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

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

### *Sustainable development*

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

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

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

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

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

## 3. HOW INTERNATIONAL AGENCIES USE SOCIAL ANALYSIS

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

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

### Scope and mandatory nature

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

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

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

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

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

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

**Table 1: Agency sectoral mandates and social analysis approaches**

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

## Integration into agency programming cycle

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

### *Agency country strategies*

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

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

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

### *Social screening*

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

## Box 8: Social screening process

### **Social safeguards**

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

### **Targeted interventions**

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

### **Policy-based lending**

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

### **Other negative impacts**

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

### **Proactive social targeting**

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

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

Table 2: Safeguard issues relevant to the agricultural sector

Type of project or activity	Social safeguard issues
Irrigation	<ul style="list-style-type: none"> <li>• Human displacement in area to be flooded by dam; land acquisition; involuntary resettlement and compensation for losses of land, property and livelihoods</li> <li>• Dam safety</li> <li>• Loss of employment opportunities of agricultural labourers as a result of on-farm labour saving (this is not a social safeguard <i>per se</i>, but a potential negative impact)</li> </ul>
Roads	<ul style="list-style-type: none"> <li>• Human displacement for right-of-way of road; land acquisition; compensation for losses of land and property</li> <li>• Increase of traffic accidents (potential negative impact)</li> </ul>
Agricultural restructuring/ privatization	<ul style="list-style-type: none"> <li>• Retrenchment of agricultural staff for restructuring of Ministry of Agriculture (MoA) and parastatals; loss of employment by plantation workers</li> <li>• Any activity involving land acquisition (new buildings for MoA, construction of extension worker offices and housing; construction of training centres)</li> </ul>
Forestry	<ul style="list-style-type: none"> <li>• Land acquisition / lease rights by commercial concessionaires; displacement of forest dwellers and others who depend for their livelihoods on forests and non-timber forest products</li> <li>• Involuntary resettlement</li> <li>• Loss of customary land rights of forest-dependent people</li> <li>• Impact on indigenous peoples</li> <li>• Loss of forest-dependent livelihood or forestry-related employment</li> </ul>
Agriculture development/ agricultural services	<ul style="list-style-type: none"> <li>• Any project involving land acquisition, human displacement or expropriation of property</li> <li>• Any project likely to affect indigenous peoples</li> <li>• Any project involving retrenchment of workers</li> </ul>
Livestock/range management	<ul style="list-style-type: none"> <li>• Any project involving land acquisition through enclosure of common grazing lands that could harm customary users by restricting their access</li> </ul>
Natural resource management/ conservation	<ul style="list-style-type: none"> <li>• Any project involving land acquisition through enclosure of common property resources (forests, grazing lands, water bodies) that could harm customary users by restricting their access</li> <li>• Any project involving eviction of customary users from protected areas</li> <li>• Any project affecting indigenous peoples living in or near conservation areas</li> </ul>
Community social infrastructure	<ul style="list-style-type: none"> <li>• Any community subproject involving land acquisition or human displacement (for roads, schools, clinics); compensation for losses</li> </ul>
Community economic infrastructure	<ul style="list-style-type: none"> <li>• Any community subproject involving land acquisition, human displacement or loss of assets (for roads, markets, processing facilities, training centres)</li> </ul>
Cost recovery for public services	<ul style="list-style-type: none"> <li>• Likely impact of reforms on affordability of public services such as health, education, irrigation, drinking water, veterinary services for the poor</li> </ul>

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

### Box 9: Outputs of social screening

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

### Project design

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

### Box 10: Safeguard policy responses

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

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

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

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



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

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

#### **High**

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

#### **Moderate**

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

#### **Limited**

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

### **Implementation and monitoring**

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

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

### **Linkages with other enquiries**

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

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

## Locus of responsibility

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

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

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

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

## Sources of funding

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

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

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

## 4. SOCIAL ANALYSIS WITHIN DIFFERENT DEVELOPMENT APPROACHES

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

### Development approaches

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

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

#### Box 12: Working together

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

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

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

##### *Delivering as One*

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

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

### Box 13: Comprehensive Africa Agriculture Development Programme

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

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

## Donor- and government-led agricultural investment projects

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

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

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

## Demand-driven agricultural programmes and projects

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

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

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

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

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

#### Box 14: Informing stakeholders

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

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

## Sector-wide approaches in agriculture

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

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

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

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

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

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

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

### Box 16: Focus on targeting inclusiveness

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

Inclusiveness can be enhanced through a combination of:

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

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

## Agricultural sector budgetary support

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

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

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

### Box 17: Social analysis of budgetary support

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

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

## Policy-based agricultural lending

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

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

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

## Summary of outcomes by development approach

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

Development approach	What will change as a result of social analysis?	
	Outcomes	Indicators
Donor-led project	<ul style="list-style-type: none"> <li>Targeting effectiveness increased: benefits to poor households and women are greater in projects with social analysis than projects without social analysis</li> </ul>	<ul style="list-style-type: none"> <li>Government and implementing agencies understand and correctly apply participatory procedures and targeting measures</li> <li>Women as a % of project beneficiaries</li> <li>Poor smallholders as a % of project beneficiaries</li> </ul>
Government-led project	<ul style="list-style-type: none"> <li>Targeting effectiveness increased</li> <li>Capacity of local counterparts to undertake social analysis enhanced</li> </ul>	<ul style="list-style-type: none"> <li>Government and implementing agencies understand and correctly apply participatory procedures and targeting measures</li> <li>Women as a % of project beneficiaries</li> <li>Poor smallholders as a % of project beneficiaries</li> </ul>

(continued)



Table 3 (continued)

Development approach	What will change as a result of social analysis?	
	Outcomes	Indicators
Agriculture SWAps	<ul style="list-style-type: none"> <li>• Government formula for allocation of funds to districts is less biased against poor districts and within districts</li> <li>• District agricultural planning process is more bottom-up</li> <li>• Enhanced capacity of district staff and communities to plan and implement subprojects in their district development plans</li> </ul>	<ul style="list-style-type: none"> <li>• Share of poor districts in project resources is no less than their population share</li> <li>• At least x% of districts are able to qualify for enhanced block grants on basis of performance assessments</li> <li>• Public agricultural research and extension services are more client-centred: x% of research and extension topics originate from small producers</li> <li>• As a result of project-financed capacity building, government and implementing agencies understand and correctly apply participatory procedures (if any)</li> <li>• MoA Monitoring and Evaluation (M&amp;E) system provides sex-disaggregated data on farmers trained and farmer groups contacted by extension</li> </ul>
Budgetary support to MoA	<ul style="list-style-type: none"> <li>• Greater % of public resources in agriculture expended on activities directly benefiting poor smallholder women and men (if public expenditure review and budget restructuring is done prior to and as a condition for budgetary support)</li> </ul>	<ul style="list-style-type: none"> <li>• As a result of project-financed capacity building (if any), government and implementing agencies understand and correctly apply participatory procedures</li> <li>• x% of MoA budget to small producer sector</li> </ul>
Policy-based agricultural lending	<ul style="list-style-type: none"> <li>• Government understands the likely impacts of policy reform on the poor through the combined effects of changes in employment, prices, assets, taxes/subsidies</li> <li>• Possible negative impacts of policy reforms on the poor are avoided or mitigated</li> </ul>	<ul style="list-style-type: none"> <li>• Mitigation plans prepared by government meet financing agency standards</li> <li>• Mitigation measures are successfully implemented</li> <li>• Number and % of affected people whose livelihood has been restored to pre-intervention levels</li> </ul>



## 5. ROLE OF SOCIAL ANALYSIS IN THE PROGRAMME CYCLE

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

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

### Upstream activities

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

#### Box 18: Upstream social analysis

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

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

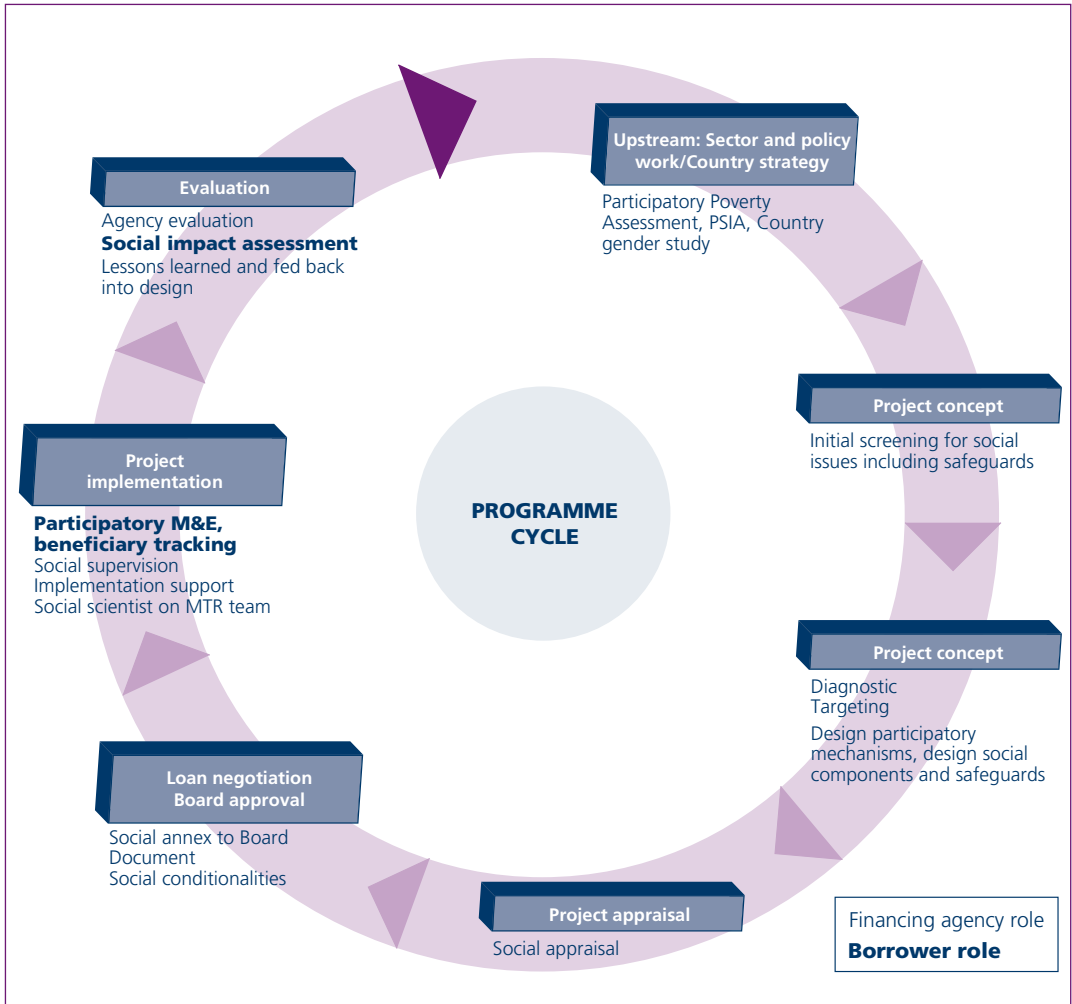
The analysis examines the likely effects of policy reform, focusing on five key factors or transmission mechanisms: employment, prices, access to goods and services, assets, and taxes and subsidies. The PSIA is usually undertaken by a country-led team, with assistance from World Bank specialists.

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

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

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

Figure 2: Social analysis in the programme cycle



## Identification

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

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

## Design

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

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

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

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

## Appraisal

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

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

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

## Board approval

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

## Implementation

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

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

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

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

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

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

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

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

## Evaluation

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

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

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





## 6. MANAGEMENT ASPECTS OF SOCIAL ANALYSIS

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

### Skills of social scientists

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

Table 4: Who can do what?

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

A good social scientist will have six core competencies:

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

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

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

## Role of the social scientist

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

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

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

## Responsibilities

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

### *Donor/financing agency*

The donor or financing agency should have final responsibility for social analysis, including:

- conducting social and livelihoods analysis upstream of projects while developing its country strategy;

- screening project concepts for possible social or safeguard issues (if applicable);
- assisting the government to mobilize grant resources to finance social assessment and safeguard studies (if applicable);
- appraising the adequacy of social analysis and social design, including the identification of social- and gender-sensitive indicators, prior to project approval by the agency Board;
- supervising social and safeguard issues during implementation; and
- signing off on the ICR's assessment of social, poverty and gender impact.

### *Recipient country government*

The borrower should take the lead in:

- ensuring that a local design team is in place and has the necessary resources to complete the design process in a way that meets the financing agency standards;
- financing the cost of social assessment and design for any required plans or frameworks to address social safeguards (if required by the financing agency);
- establishing a high-level national team to steer the project and a national secretariat to service the team. The team should have at least one member charged with monitoring the social, poverty and gender aspects of implementation. It should meet at least once a year to approve the annual work plan and budget, and to review targeting effectiveness and other social aspects;
- providing adequate resources to enable members of the national steering team or secretariat – including the person responsible for social, poverty and gender issues – to make periodic visits to field sites to monitor implementation progress; and
- signing off on the PMU's ICR.

### *Design team*

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

- designing the programme or project;
- conducting social assessment;
- designing gender and poverty targeting measures, including enabling and empowering measures (see Box 20);
- explicitly assigning responsibility for poverty and gender targeting within the terms of reference of future PMU staff;
- designing inputs based on social analysis relevant to agricultural and rural investments;
- designing social safeguard plans or frameworks as required; and
- formulating PIM procedures for targeting, participatory planning, monitoring and evaluation.

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

- Written report, usually in the form of a working paper or annex to the project preparation report, which describes social conditions in the project area and project stakeholders; determines whether social safeguard policies are triggered and, if so, designs an appropriate mitigation plan, defines the target groups and designs targeting measures.
- Contributions to the mission aide memoire and sections of the design document dealing with poverty and gender issues, target groups, targeting measures, participatory processes and the design of inputs based on social analysis.
- Contributions to the PIM dealing with target groups, participatory planning processes, capacity building, strengthening CBOs, inputs based on social analysis and social safeguard strategies.

### *Project management unit (PMU)*

The head of the PMU should take the lead in:

- making certain that poverty and gender targeting is undertaken as specified in the PIM and that PMU team members understand their role in the process;
- ensuring that enabling measures foreseen in the project work plan and cost tables are implemented as planned (e.g. campaigns to sensitize the government, the implementing agency staff and the communities about the importance of including the poor and women; public information campaigns and measures to promote transparency; and gender training);
- ensuring that the PMU member responsible for overseeing poverty and gender targeting has adequate resources to do the job;
- ensuring that district staff and service providers are adequately trained to apply the targeting procedures and to implement the participatory planning process as foreseen in the design;
- ensuring that the M&E system tracks beneficiary contacts by gender and other relevant parameters of socio-economic status (e.g. wealth, age, caste or ethnicity); and
- ensuring that the performance of targeting and social development initiatives are monitored on a continuous basis.

### *FAO and other cooperating agencies*

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

- facilitate a dialogue at the project design stage among stakeholders (i.e. the financing agency, government and the intended beneficiaries); and
- mediate among the perspectives of the government, financing agency and beneficiaries when preparing ICRs, assessing impact and drawing lessons from experience.

## Resources

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

### *Social screening*

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

### *Social and livelihoods diagnostic study*

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

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

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

### **Project design**

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

#### **Box 21: Benefits of interdisciplinary teamwork**

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

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

### **Project implementation**

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

### **Implementation support**

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

### *Social impact assessment*

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

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

### *Evaluation*

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

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

### *Implementation completion*

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

## **Next steps**

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

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

## APPENDIX 1: APPLICATIONS OF SOCIAL ANALYSIS

**Table 1A: Productive sectors**

<b>Subsector</b>	<b>Applicability and uses of social analysis</b>
Area-based integrated agricultural development	<ul style="list-style-type: none"> <li>• To commercialize traditional farming systems in marginal areas where farming involves high risks</li> <li>• To target resource-poor households</li> <li>• To address shifting cultivators, hunting and gathering people or tribal areas</li> <li>• For areas affected by open social conflict</li> <li>• In areas where sharecropping, tenancy and landlessness are important</li> <li>• In areas where little is known about the people and their livelihood systems</li> </ul>
Commodity-based agriculture	<ul style="list-style-type: none"> <li>• As a basis for selecting which commodities and alternative designs have greater potential to reduce poverty</li> <li>• For interventions involving commodities produced, processed or marketed mainly by smallholders</li> <li>• For commercial investments that could undermine the livelihoods of small-scale producers, processors or traders</li> <li>• For interventions likely to result in major employment loss (e.g., restructuring of agricultural estates)</li> <li>• For investments involving land acquisition by commercial enterprises and possible displacement of customary users</li> <li>• For privatization of state and collective farms to the farm workers</li> <li>• For projects involving smallholder equity participation in commercial agroprocessing as shareholders</li> </ul>
Small-scale irrigation	<ul style="list-style-type: none"> <li>• For design of procedures to form and strengthen water user associations</li> <li>• For farmer involvement in operation and maintenance of irrigation facilities</li> <li>• In efforts to improve on-farm water management.</li> </ul>
Livestock and range management	<ul style="list-style-type: none"> <li>• When the objective is to increase outputs of milk, meat, fine wool or cashmere at the expense of keeping livestock for other customary purposes</li> <li>• For poverty and gender targeting of small-scale dairy, poultry or small ruminant production schemes</li> <li>• For community-based range management</li> <li>• When assessing social and gender implications of measures for control of bird flu and swine fever</li> </ul>
Forestry	<ul style="list-style-type: none"> <li>• For poverty and gender targeting of investments concerned with:               <ul style="list-style-type: none"> <li>- community forestry</li> <li>- social forestry</li> <li>- agroforestry</li> <li>- development of non-timber forest products</li> </ul> </li> <li>• To understand the impact of investment on indigenous or poor forest-dependent people</li> </ul>

*(continued)*

Table 1A (continued)

Subsector	Applicability and uses of social analysis
Fisheries	<ul style="list-style-type: none"> <li>• In the development of small-scale artisanal fisheries</li> <li>• To introduction codes of conduct for sustainable management of artisanal fisheries resources</li> <li>• For safety at sea</li> <li>• To improve traditional fish processing and marketing, especially when in hands of small-scale women processors and traders</li> <li>• When designing procedures for co-management of common property fishing resources or common infrastructure such as landing sites, cold chains or refrigerated trucks</li> </ul>
Natural resource management	<ul style="list-style-type: none"> <li>• For poverty and gender targeting of investments in sustainable management of:               <ul style="list-style-type: none"> <li>- common property resources</li> <li>- land husbandry/land management</li> <li>- soil conservation on common lands</li> <li>- watershed management</li> <li>- wetland development</li> <li>- biodiversity management</li> </ul> </li> </ul>
Value chain development	<ul style="list-style-type: none"> <li>• In pro-poor value chain development</li> <li>• For access to fair trade or ethical trade product markets</li> <li>• To strengthen small producer associations</li> <li>• To enhance the ability of small producers to negotiate successfully with more powerful players in the value chain in the hope of enhancing their share of value added</li> <li>• To enable small producers in developing countries to meet certification, traceability, packaging and hygiene standards that are prerequisites for accessing value chains</li> </ul>
Rural enterprise development	<ul style="list-style-type: none"> <li>• In pro-poor livelihood diversification and enterprise development</li> <li>• For poverty and gender targeting of rural enterprise development</li> <li>• For targeting rural youth</li> <li>• In self-employment schemes for physically challenged people or people living with HIV/AIDS</li> <li>• For enterprise group formation and strengthening</li> </ul>



Table 1B: Agricultural services

Subsector	Applicability and uses of social analysis
Agricultural advisory services	<ul style="list-style-type: none"> <li>• To transform top-down, message-driven agricultural extension systems into client-oriented, farmer-driven advisory systems</li> <li>• To enhance a poverty and gender focus</li> <li>• To increase understanding of how privatization will affect the affordability of extension services and their use by the poor</li> </ul>
Animal health services	<ul style="list-style-type: none"> <li>• To assess the likely impact of privatization on access and use of veterinary service by poor livestock keepers</li> <li>• To design strategies to provide veterinary services to transhumant pastoralists</li> <li>• When documenting indigenous technical knowledge on animal diseases and their treatment</li> </ul>
Agricultural technology generation and dissemination	<ul style="list-style-type: none"> <li>• To design mechanisms to increase small farmer participation in setting agricultural research agendas</li> <li>• To design investments in participatory on-farm farmer-based technology generation and testing</li> <li>• To design action research with farmer-innovators</li> </ul>
Rural finance	<ul style="list-style-type: none"> <li>• For poverty and gender targeting of rural microfinance</li> <li>• To design pro-poor index-based crop and livestock insurance</li> </ul>

Table 1C: Rural development

Subsector	Applicability and uses of social analysis
Community-driven development	<ul style="list-style-type: none"> <li>• For participatory needs assessment and planning</li> <li>• To consolidate community action plans into district development plans</li> <li>• For mobilization of the community contribution to matching grants</li> <li>• For community ownership, operation and maintenance of facilities</li> <li>• For citizen monitoring of community subproject implementation</li> <li>• For community-based evaluation of subproject outputs and outcomes</li> </ul>
Governance	<ul style="list-style-type: none"> <li>• For fostering citizen engagement in influencing decisions on public expenditure</li> <li>• To design strategies to foster transparency and greater downward accountability of public officials to their constituencies</li> <li>• For specialized tools including gender budgeting and participatory public expenditure review</li> </ul>
Rural organizations	<ul style="list-style-type: none"> <li>• To support: <ul style="list-style-type: none"> <li>- elected local government councils</li> <li>- village development committees</li> <li>- producer organizations</li> <li>- farmer organizations</li> <li>- commodity-based organizations</li> <li>- civil society organizations</li> <li>- community-based organizations</li> <li>- enterprise groups</li> <li>- women's groups</li> <li>- youth groups</li> <li>- rural trade unions</li> <li>- networks of CBOs</li> </ul> </li> </ul>
Land tenure/ land administration	<ul style="list-style-type: none"> <li>• For pro-poor agrarian reform</li> <li>• To reinforce women's land rights</li> <li>• To protect land rights of indigenous peoples</li> <li>• To design measures to guard against possible unanticipated negative effects of land titling on the customary land rights of women or the poor</li> <li>• To protect customary users against land grabbing</li> </ul>

Table 1D: Emergency assistance

Subsector	Applicability and uses of social analysis
Emergency assistance	<ul style="list-style-type: none"> <li>• For slow-onset emergencies, protracted or complex emergencies and post-emergency livelihood recovery and sudden-onset emergencies immediately after the acute phase of the emergency passes</li> <li>• For vulnerability assessment and mapping</li> <li>• For emergency needs assessment</li> <li>• To identify the hungry poor</li> <li>• To assess the impact of natural calamities and complex emergencies on livelihood assets</li> <li>• To enable the local population to rebuild their livelihood assets</li> <li>• To foster rapid livelihood recovery</li> <li>• To plan and implement community-based rehabilitation</li> <li>• For understanding the role of local organizations and institutions in needs identification, participatory planning, beneficiary selection, monitoring entitlements and distribution committees</li> <li>• To ensure that assets created benefit the poorest</li> <li>• To ensure gender equality during emergencies and post-emergency recovery</li> </ul>

Table 1E: New initiatives

Subsector	Applicability and uses of social analysis
Food price variability initiatives	<ul style="list-style-type: none"> <li>• For supply-side initiatives aimed at increasing food production in the hope of reducing soaring food prices <ul style="list-style-type: none"> <li>- To identify potential impacts of losing land to commercial concessions on existing smallholder and pastoralist farming systems, who depend on that land for extensive grazing and for soil fertility regeneration through fallowing</li> <li>- To examine the risk that untargeted fertilizer, seed and fuel subsidies will accrue mainly to the non-poor commercial producers instead of to poor smallholders</li> <li>- To enhance direct benefits to women and men among small-scale food producers, processors and traders</li> </ul> </li> <li>• For demand-side initiatives aimed at safeguarding the human capital of market-dependent households whose weak purchasing power makes them unable to buy enough food to meet their minimum nutritional requirements</li> <li>• For targeted productive safety nets aimed at enabling poor rural households to complement home production through food-for-work on community assets</li> </ul>
Adaptation to climate change	<ul style="list-style-type: none"> <li>• To understand the importance of threatened natural resources in existing livelihood systems (e.g. in low-lying areas and island states subject to flooding with rising ocean levels)</li> <li>• For implications for human displacement and asset loss</li> <li>• To identify livelihood diversification and/or alternative livelihood options</li> </ul>



## APPENDIX 2: COMPARATIVE DATA BY AGENCY

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

Table 2B: Social analysis inputs in agency programming cycles

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

(continued)

Table 2B (continued)

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

Table 2C: Linkages between social analysis and other enquiries

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



Table 2D: Locus of responsibility for social analysis

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



## APPENDIX 3: LINKS TO RESOURCES BY AGENCY

### **African Development Bank**

Poverty reduction webpage

<http://www.afdb.org/en/topics-sectors/topics/poverty-reduction/>

Gender webpage

<http://www.afdb.org/en/topics-sectors/sectors/gender/>

Gender Equality and Women's Empowerment: An Updated Gender Plan of Action (UGPOA) 2009 – 2011

<http://www.afdb.org/fileadmin/uploads/afdb/Documents/Policy-Documents/Gender%20Equality%20and%20Women%E2%80%99s%20Empowerment%20an%20Updated%20Gender%20Plan%20Of%20Action%20%28UGPOA%29%202009-2011%20EN.pdf>

Integrated environmental and social impact assessment guidelines (2003)

<http://www.afdb.org/fileadmin/uploads/afdb/Documents/Policy-Documents/Integrated%20Environmental%20and%20Social%20Impact%20Assesment%20Guidelines.pdf>

Involuntary resettlement policy (2003)

<http://www.afdb.org/fileadmin/uploads/afdb/Documents/Policy-Documents/10000009-EN-BANK-GROUP-INVOLUNTARY-RESETTLEMENT-POLICY.PDF>

### **Asian Development Bank**

Handbook on social analysis (2007)

<http://www.adb.org/Documents/Handbooks/Social-Analysis/default.asp>

Poverty handbook analysis and processes to support ADB operations: A working document (2006)

<http://www.adb.org/Documents/Handbooks/Analysis-Processes/default.asp>

Gender and development webpage

<http://www.adb.org/gender/default.asp>

Safeguard policy statement (2009)

<http://www.adb.org/safeguards/default.asp>

### **Food and Agriculture Organization of the United Nations**

Gender, equity and rural employment webpage

[http://www.fao.org/economic/esw/esw-home/en/?no\\_cache=1](http://www.fao.org/economic/esw/esw-home/en/?no_cache=1)

Gender webpage

<http://www.fao.org/gender/en/>

Livelihoods support programme

<http://www.fao.org/es/esw/lsp/>

Socio-economic and gender analysis (SEAGA) programme

[http://www.fao.org/sd/seaga/index\\_en.htm](http://www.fao.org/sd/seaga/index_en.htm)

Women in agriculture: Closing the gender gap for development, Rome: State of Food and Agriculture report 2010-11

[www.fao.org/publications/sofa/en/](http://www.fao.org/publications/sofa/en/)

### **Inter-American Development Bank**

Poverty reduction and promotion of social equity, Strategy document (2003)  
<http://idbdocs.iadb.org/wsdocs/getdocument.aspx?docnum=351709>

Guidelines for sociocultural analysis (2001)  
<http://idbdocs.iadb.org/wsdocs/getdocument.aspx?docnum=362224>

Operational policy on gender equality in development (2010)  
<http://idbdocs.iadb.org/wsdocs/getdocument.aspx?docnum=35428399>

Guidelines for resettlement plans (2001)  
[http://www.iadb.org/pri/PDFs/B\\_ResettlePlan.pdf](http://www.iadb.org/pri/PDFs/B_ResettlePlan.pdf)

Environment and safeguards compliance policy (2006)  
<http://idbdocs.iadb.org/wsdocs/getdocument.aspx?docnum=1481950>

### **International Fund for Agricultural Development**

Targeting policy, Reaching the rural poor (2006)  
[http://www.ifad.org/pub/policy/target/targeting\\_e.pdf](http://www.ifad.org/pub/policy/target/targeting_e.pdf)

Gender plan of action  
<http://www.ifad.org/gender/policy/action.htm#design>

Framework for gender mainstreaming in IFAD's operations  
<http://www.ifad.org/gender/framework/index.htm>

IFAD's strategic framework 2007-2010  
<http://www.ifad.org/governance/sf/>

IFAD comprehensive participatory planning evaluation  
<http://www.ifad.org/gender/tools/gender/planning.htm>

IFAD rural poverty portal  
[www.ruralpovertyportal.org](http://www.ruralpovertyportal.org)

### **The World Bank**

Integrating Gender into the World Bank's Work: A Strategy for Action (2002)  
<http://siteresources.worldbank.org/INTGENDER/Resources/strategypaper.pdf>

Gender, agriculture and rural development, A learning module  
<http://web.worldbank.org/WBSITE/EXTERNAL/TOPICS/EXTGENDER/0,,contentMDK:20192985~menuPK:489246~pagePK:148956~piPK:216618~theSitePK:336868,00.html>

Social analysis sourcebook, incorporating social dimensions into Bank supported projects  
<http://web.worldbank.org/WBSITE/EXTERNAL/TOPICS/EXTSOCIALDEV/0,,contentMDK:21177387~pagePK:64168445~piPK:64168309~theSitePK:3177395,00.html>

Policy and social impact analysis (PSIA) user's guide - evaluating poverty and social impacts of reforms and development assistance programs  
<http://web.worldbank.org/WBSITE/EXTERNAL/TOPICS/EXTPOVERTY/EXTPSIA/0,,contentMDK:20454976~pagePK:148956~piPK:216618~theSitePK:490130,00.html#>

Policy and social impact analysis (PSIA) toolkit  
<http://web.worldbank.org/WBSITE/EXTERNAL/TOPICS/EXTPOVERTY/EXTPSIA/0,,contentMDK:20465285~isCURL:Y~menuPK:1107972~pagePK:148956~piPK:216618~theSitePK:490130,00.html>

Safeguards and sustainable policies in a changing world

<http://web.worldbank.org/WBSITE/EXTERNAL/EXTOED/EXTSAFANDSUS/0,,menuPK:6120534~pagePK:64829575~piPK:64829612~theSitePK:6120524,00.html>

Gender and development webpage

<http://web.worldbank.org/WBSITE/EXTERNAL/TOPICS/EXTGENDER/0,,menuPK:336874~pagePK:149018~piPK:149093~theSitePK:336868,00.html>

### **World Food Programme**

WFP policies and publications webpage

<http://www.wfp.org/policy-resources>

Gender policy (2009)

<http://one.wfp.org/eb/docs/2009/wfp194044~2.pdf>

Emergence Needs Assessments (2004)

<http://www.wfp.org/sites/default/files/Emergency%20Needs%20Assessment%20.pdf>

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

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

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

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

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

- the sustainable livelihoods framework for understanding the dynamics of rural poverty and livelihoods, social diversity and gender in the context of agriculture and rural development;
- the main entry points for conducting social analysis;
- the range of inputs that may be made to project design;
- how the findings and recommendations are drawn together into a technical paper and summary matrices;
- tools for tracking social aspects of development.

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

- the practical aspects of integrating social analysis into missions;
- data collection activities and checklists for work at the national, regional and district levels and in community-based discussions, focus group discussions and individual household interviews;
- participatory tools suitable for social analysis fieldwork.