Territorial Diagnosis Handbook

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Territorial Diagnosis Handbook

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INTRODUCTION

Rights Based Territorial Development is a methodology to improve quality in rural development programs. The approach combines a systemic understanding of current conditions in a given territory, which gives a holistic view of the territory and focuses on the few key aspects which are driving the history of a specific territory), using a concept of development as the expansion of *entitlements*.

In 2007, ActionAid's Right to Food Theme launched the Territorial Development Initiative (TDI) with the goal of improving quality in the Right to Food program at local level. The initial document defined quality as the level of coherence of Right to Food work among levels (local, national and global) and with other themes. In summary, quality was the level of integration of the work across levels and sectors.

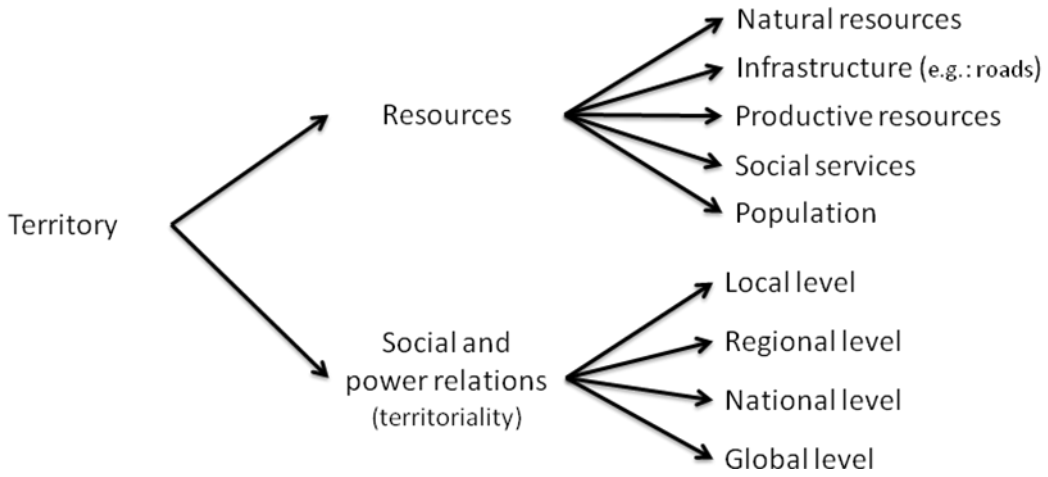
In this handbook, we work with an abroad concept of territorial development. In this methodology we do not understand territorial development as setting up a regional forum to drive the development process in its area of influence. For us, territorial development is any process driving development based on negotiation and influence. The method of diagnosis that we present here is designed to draw up a work plan considering the different roles of various organisations in an implementing partnership and to identify the organisations that the implementing partners need to work with (building alliances or influencing) outside the partnership in order to achieve development. In fact, one of the best ways this approach can be used is by a single organisation intending to engage better in the regional forums that are resulting from decentralisation processes.

This handbook provides concepts and practical guidance on the methodology for conducting the initial diagnosis for Rights-Based Territorial Development (RBTD). The method has four phases: **preparation of the diagnosis and field mission** to define a team with diversified skills and knowledge and to involve local communities and relevant actors; **initial appraisal** to build a common understanding of the local socio-economic trends and power dynamics, including the rights that are denied to the powerless; **comparative analysis of farming systems** to identify the distinct groups among poor farmers and understand how their farming systems contribute to local food security and are affected by internal and external trends; and **strategic planning** to identify multi-level and inter-thematic priorities and the respective action plan.

Overview of the tools and some basic concepts

Territory is usually defined as a geographical space with its resources, which is controlled and reproduced over time by different actors unequally inserted within a network of social relations. This definition emphasises that the territory has two main components or subsystems (Figure 1). The first are its resources: natural resources and production resources. The second are the processes of bargaining to control and use these resources. Consider that decisions on the use of each of these resources are influenced at different levels.

Figure 1 – Components of territorial systems



We introduce the concept of territory as a building block to move forward from the discussion between the area approach and the actor's approach to development. As territory comprises these two dimensions, this approach can join together the immaterial issues of social and power relations with the material distribution of resources. It is crucial to take account of the two dimensions, because the distribution of material resources in a territory cannot be explained without considering the power relations that control them, nor we can understand power relations without considering the assets that the actors are bargaining for.

The initial appraisal, as described later, assembles these different components of territory. It starts by identifying roughly how resources are distributed spatially and discusses the historical development of each component of the territory. More than describing the status of each component, the initial appraisal will focus on the relations between them.

It is important first to identify the driving forces in the territory. Following Dufumier, we consider these driving forces to be a set of interconnected events that result in a change of the current reality. In other words, they are social processes that explain how the territory became what it is today, and from which the future can be forecast. Some examples of "driving forces" are the

expansion of a new crop or the emergence of a new market; climate change; environmental degradation or other environmental processes and so on.

Analysis of the most important driving forces will require the team to gather information and reflect about governance mechanisms in place in the territory. These processes will have different impacts on different actors (women and men, young people, indigenous people etc.) and actors will act to reinforce or constrain them. The analysis of these processes will bring to light power relations and the past history of cooperation and conflict among actors.

In short, the initial appraisal should give a simple, but comprehensive, picture of how the driving forces impact on actors and how actors act to change these driving forces.

The next phase is a comparative analysis of farming systems[1]. Comparative analysis of right-holders' farming systems has a clear goal: to understand in depth the impact of internal or external constraints – driving forces – on powerless groups and their farming systems. It explains how families adapt to previously identified external constraints (for example; international market liberalisation, climate change or national agri-policies).

Comparative analysis of farming systems can add information to the initial appraisal, but may also refute some of its hypotheses. This is one of the important challenges: systems diagnosis is essentially a process of constantly improving the analysis and should be adapted to the information needs and time available in each case. The diagnosis can take from two weeks to two months to complete depending, as already said, on the needs and goals.

The final step in the diagnosis is strategic planning. This step starts with a scenario exercise that will help to identify what must be done in order to achieve the rights of the powerless. The corresponding activities will then be arranged by spatial level and sector to give the picture of all recommendations. The quality matrix is a tool used to identify and analyse the coherence of the building block issues for a concrete strategic plan.

Participatory use of the matrix can help the implementing organisation and its partners to clarify the role of each organisation (or organisation team) in putting the plan into practice.

To conclude, there is a high risk of losing focus in holistic diagnosis. Instead of collecting a large amount of data, the team should focus from the outset on the key elements that can give a good understanding of the territory. The team should focus on diversity. In that regard, the team will look for and explain the diversity of strategies among actors, taking account of differences in gender, ethnic group, age and sex. Even critics and possible opponents of the chosen right-holder should

[1] This step was built with concepts from gender bargaining theory (Agarwal, 1997) and the agrarian systems approach (Mazoyer, 1992).

be interviewed to get a more complete picture of the territory. Without their point of view, part of the knowledge about the region cannot be captured.

The team should gather qualitative information rather than quantitative data. Semi-structured interviews and focus groups often give a better – and quicker – understanding of the territory's recent history than other methods. Bibliographical research and statistical data are recommended for confirming and clarifying the information from interviews. Maps also are very important to organise this information.

Informants should be chosen in view of the research goals. Here, key informant interviews are more useful than random interviews. The team is more likely to find the information it needs in key people, such as technical staff of local organisations and local leaders.

Lastly, the research should be hypothesis driven. Hypotheses will identify what information is needed and what is irrelevant. Confirming hypotheses demands more than just describing the facts; it means formulating relations between facts – explaining rather than simply describing. In fact, hypotheses show the research route (see Box 1).

Box 1 – Using hypotheses to link previous results with further analysis in Coatepeque (Guatemala)

In Coatepeque, Guatemala (Development Area 9 of ActionAid's National Programme), there is considerable interest in switching from conventional agriculture to agro-ecology. In interviews, some farmers seem uninterested in changing and invest time and effort in land they do not own.

The diagnosis (Ferreira and Marcatto, 2007) shows they depend on leasing plots from larger landowners to cultivate their most important crop: corn. In the most cases, after cultivating the plot for 2 years, the owner will request the land for pasture. This normal situation jeopardises the medium- or long-term investment required by agro-ecology.

Nevertheless, further information will be required to understand better what margins of flexibility are available for peasants to start to adopt agro-ecology practices. While it is true that they cannot replace chemical fertilizer with manure (because manure takes 6 months to a year to start to nourish the plants), would it be possible for them to reduce pesticide use by sowing local seeds?

One hypothesis is that there are no local seeds. The communities interviewed were established by immigrants in the first half of the 20th century. They came from other regions with their own varieties of corn. However, the plants are very tall and could not withstand the strong local winds. In fact, some peasants said that one reason for using hybrid seeds is that the plants are smaller and, thus, so is the risk of losing the crop.

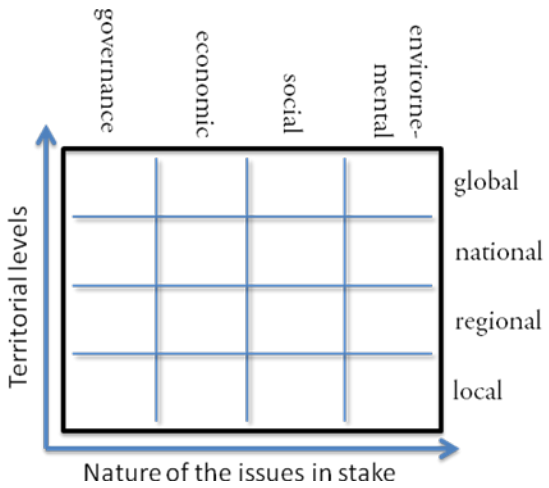
This is just one example of how hypotheses are important to move the diagnosis forward, by showing the team what information is needed. We will now describe in greater detail the various steps set out above.

An introduction to the quality matrix

The quality matrix (see Figure 2) is a tool developed by Hurtado (2005) and Dietsh et al (2007) to emphasise that development demands coordinated decisions across different levels and sectors.

ActionAid (2007) has defined quality as the increase in coherence of work between levels – local, national and international – and between themes. The quality matrix is used to capture key information during the diagnosis that will work as a mental map for the diagnosis team.

Figure 2 - Quality matrix



Source: Adapted from on Dietsh *and others* (2006).

On page 6 we introduced a concept of territory that was represented in Figure 1. In the planning phase we are concerned with the second component of the territory: the process of bargaining to control and use resources. Now, we can define territoriality as *multiple, hierarchically organised bargaining arenas*[2] where policies are defined. In each arena there are different actors and different political bargaining processes.

Because there are a large number of arenas, the matrix clusters them by level and sector, reducing the number of arenas to be taken into account (sixteen in the case of the Figure 2). While the number of spatial levels can be easily adjusted to each study[3], the other dimensions (the number of sectors and the types of problems involved) are harder to understand and to use, and even more so

[2] Arenas are the various universes of social relations. Their boundaries are constructed intellectually according to research needs and do not exist in the real world. At the community level, the municipal council can be considered an arena as, at the national level, can the 'social space' occupied by all actors engaged in food security politics.

[3] There is only one limitation to the spatial levels typology – it can easily lead to using the "levels of government" structure to define the typology. In some cases, administrative boundaries are not the most relevant to planning or discussing development. In any case, it is always possible to adapt spatial references other than government spatial references (watersheds, for example).

to adapt. For that reason we will explain more fully why we propose this typology and how we have defined the types.

The nature of the issues at stake gives complexity to the political relations, because discussing the issues calls for a certain degree of knowledge which is not scientific, but knowledge of the past and of roles in the bargaining process. More importantly, the actors need to know what they can rightfully bargain for. There are “general values” that are used in bargaining. We identify four: legitimacy, efficiency, equity and sustainability. Every demand or proposal is made as a step in pursuit of one of these values. We are aware that the content of these “general values” is also open to bargaining, but we want to underline that bargaining on the various issues tends to be concentrated around these “general values”. A land reform proposal is made to promote equity; the agro-ecological approach to agriculture is proposed in the name of sustainability; the gender approach in projects is proposed to promote equity and so on.

These general values are the base for our typology. We link each value to a sector: we link governance issues to legitimacy, economic issues are defined as those that pursue efficiency, the social sector aims for equity and the environmental sector for sustainability. Using the sector/general value double-check will help to classify the issues to bargain for on the horizontal axis of the matrix.

THE 4 STEPS OF THE DIAGNOSIS				
Steps	Expected results	Excise	PRA tools	Days
1. Preparation & field mission				
	Identify the territory and gather background information/documents Identify a research team Prepare the communities for the mission	n.a.	n.a.	
2. Initial appraisal				
2.1 Landscape analysis	A transect of the region Definition of the various different zones in the region	1	Transect Village map	1
2.2 Historical analysis	Historical transects of the region Identify the main driving forces	2 3	Time line Trend lines Historical transects	2
2.3 Actor analysis	List of all actors in the region Analysis of the main actors in the region	4 5	Actor matrix Venn diagram	2
3. Comparative analysis of productive systems				
3.1 PS typology	A typology of PS	1		0,5
3.2 PS Analysis	Identification of the components of the family system. Description of the behaviour of each family system.	2 3 4 5	Production systems diagram Seasonal calendar Cost benefit matrix Timeline	2
3.3 PS Comparison	Qualitative analysis of global trends' impact on peasants	6		0,5
4. Strategic plan (quality matrix)				
4.1 Scenario building	Two to five prospective scenarios	6		1
4.1 Quality matrix	Identification of projects and partnerships	1 2		

PART I –

TERRITORIAL DIAGNOSIS

STEP BY STEP

1: Preparation & field mission

Aim: To prepare the diagnosis and organise the field mission

Activity 1: Choosing the area and forming the diagnosis team

We have prepared this handbook to help NGO's and Civil Society Organisations to perform systemic diagnosis in the areas where they are intending to work. The diagnosis is designed to inform strategic planning and should be performed when the implementing organisation starts to work in a new area or intends to review the strategic plan for an "old" area.

A good team to perform the diagnosis comprises a small number of people with several different expertises. As this method takes a holistic approach, the team should have knowledge of different sectors (see page 8 et seq.), combine local and technical knowledge, and be aware of national and global politics that may have an impact on the area studied.

To address right to food and/or food security issues the diagnosis can be carried out by a small team of three technicians connected with a network of local leaders that will participate as key informants. An ideal team will be constituted by:

- An expert in agrarian systems with knowledge of environmental/agro-ecological issues
- An expert in gender and education issues
- An expert in health and nutrition issues

One of the team members should act as a team coordinator who should guide the other members through the methodology, maintain the focus between the various different activities and, in each phase of the diagnosis, decide when the team should research further or move on. It is recommended that the team coordinator have participated previously in a similar diagnosis.

An alternative approach to setting up a team is to make the diagnosis a capacity-building activity.

Box 2 – Strategy to revise diagnosis in Coatepeque (Guatemala)

In March 2009 we decided to revise the diagnosis made a year and half earlier in Guatemala. On this occasion the exercise had two objectives: to revise the diagnosis and build capacities in the partner organisations to perform this kind of the diagnosis.

The strategy chosen was to organise capacity building for ten people to perform the exercise. Participants in the capacity building were local leaders, local and national level partner organisation staff, the ActionAid Guatemala Food Rights coordinator and a professor from a Guatemalan national university.

This approach has several advantages:

- It reinforces ownership of the diagnosis. The people who are going to use the results understand clearly how the team achieved those results.
- The team members already have a lot of information about the territory and this reduces the number of interviews and focal groups needed. On the other hand, the team is larger than usual. That makes more information available in less time.
- Capacities are being built and dependence on external expertise reduced. The participants can do similar diagnoses in other areas without – or with little – support from outside consultants.

There are two disadvantages to this approach:

- It is difficult to achieve two objectives in one exercise, particularly if only a few days are available. The exercise should be prepared carefully so as to balance the goal of building a diagnosis with the goal of building capacities in the participants.
- It may be difficult to mobilise people to participate for capacity building lasting ten days. Sometimes staff are not available to take part in the exercise.

Activity 2: Gathering prior information

Another important preparatory step is to gather prior information. Information always available about a territory includes (in order of importance):

- Maps of the territory (topography, soil, rainfall, roads etc.) and aerial photos.
- Statistical data or diagnoses of the region that are already condensed and offer interpretations of this data.
- Summary of implementing organisation's work, current plans and evaluations.
- Zoning studies and characterisation of these zones at the national or local level.
- Diagnoses, plans, studies and dissertations about the area.

In preparing such materials, team members should focus on a few key items. Maps first! Maps are very useful to guide the diagnosis. The materials should be selected and sent to the team at least ten days in advance. Key information available in electronic format is easiest to send.

In many cases, the authors of the materials are from local NGOs or research centres and are available for interview during the diagnosis. Check the possibility of using them as key informants.

Activity 3: Preparing the agenda and the community

Here, we will try to explain how and why the community should take part in the diagnosis process. It is important to be aware that participatory diagnosis has more impact than non-participatory diagnosis, since the community and community organisations should be key actors in implementing the work plan. Recognising their knowledge and their values – their way of seeing and doing things – during the diagnosis is a precondition for designing activities that they can carry on by themselves.

Local people's participation will improve information quality, because they hold profound knowledge about their communities and region. A good diagnosis will combine this knowledge with team members' technical expertise. The Figure 3 shows the expected outputs from community participation.

Figure 3 - Expected outputs from community participation

PARTICIPANTS	Instrumental output	Political output
COMMUNITY MEMBERS	Improved quality of diagnosis, since information sources are diversified	Recognises and voices community knowledge
COMMUNITY LEADERS	Work plan more feasible, since it takes account of the vision and values of key actors in implementation	Gives them ownership of the process. Recognises and builds capacities in local leadership to drive the development process.

Community members should be involved in the diagnosis process at two key moments: during the historical analysis and during the comparative production systems analysis. The major reason to focus their participation on these two moments of the diagnosis is that the information gathered there is crucial to the overall process. Part II of this handbook presents a number of tools for interacting with the community. These tools are drawn from the Participatory Rural Appraisal (PRA) approach, and community consultations can be expanded by introducing other tools not presented in this manual[4].

Other sources of information are whatever documents are available and, more importantly, representatives of relevant actors. Part II of this handbook also offers guidelines for conducting interviews.

The first part of the handbook describes the overall methodology and presents only the tools used to systematise information gathered during the meetings with communities and relevant actors. Community leaders' participation is most important during data analysis (for the reasons explained

[4] To learn more about the PRA approach we recommend reading the PRA manual prepared by FAO's Socio-Economic and Gender Analysis Unit – see FAO (2001): *SEAGA field level handbook*.

in Figure 3). To include the participation of the community leaders, can be used one of three proposals

- Add two community leaders (a man and a woman) to the diagnosis team.
- Set up a forum of community leaders to validate the diagnosis. In this case, the forum will meet at the following key moments: at the end of the landscape analysis, to validate the zoning and the research hypothesis; at the end of the initial appraisal, to validate the overall appraisal; and at the end of comparative farming systems analysis, to validate its results and carry out the strategic plan. Note that, on this approach, the final step of the diagnosis (scenarios and planning analysis) should be performed by the community leaders' forum, with the diagnosis team acting only as facilitators.
- As capacity building, by including community leaders among the participants (see Box 2).

2: Initial appraisal

Aim: To build a comprehensive picture of the social dynamics in the territory

This appraisal comprises four activities to facilitate the understanding of a specific territory. The methodology proposed below uses concepts from agrarian systems diagnosis and actor analysis to give a better understanding of local communities. Three steps are involved: landscape analysis, historical analysis and actor analysis.

Activity 1: Landscape analysis. What are the different zones within the territory?

Landscape analysis is the entry point of the appraisal. Landscape analysis is done mainly by observing the landscape and analysing maps of the area. It will help the team formulate the questions for historical analysis. It will also help in understanding the spatial distribution of resources and identifying the different zones in the territory.

With the help of topographic and other thematic maps, the team will start to identify the spatial distribution of resources in the territory. Using these maps, the team should identify whether or not and how the various different material resources (see Figure 1 on page 6) are associated with one another. For instance, population settlements and economic infrastructure are usually concentrated; agriculture production types change with several environmental factors.

Figure 4 – Table of indicators to map during the landscape analysis.

SECTOR	Indicators
ENVIRONMENTAL	- Topography: altitude and relief - Temperature and water variability - Plant coverage and soil types
ECONOMIC	- Distribution of agricultural crops - Visible economic structures: factories - Economic infra-structure: roads, electricity
SOCIAL	- Population distribution and settlements - Social services: schools, hospital …

Analysis of the maps should enable the team to make a tentative zoning of the region. To structure this data in a drawing, the team could perform the "Region resources map" as a first template (see also Part II of this Handbook).

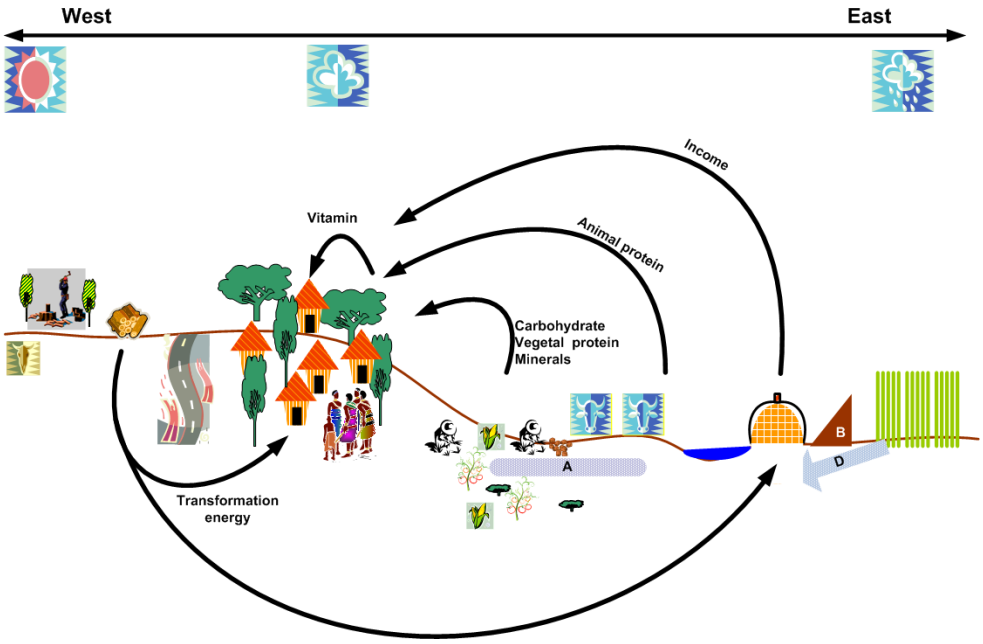
Exercise 1: Region resources map (see page 44)

Build a map of the region and identify on it the location of major natural resources, infrastructure, urban areas, fields etc. If you have an official map you can draw the sector indicators (see Figure 4) on it.

After the office analysis, a field visit will complement the landscape analysis. During the field visit the team will confirm and gather detailed information about the spatial distribution of resources. Using the maps, a small number of trajectories to be walked or traversed by car can be chosen to cover the diversity of situations in the territory.

During the field visits, the team should also do some comparative evaluation of the state of the resources under analysis. What condition are the houses, buildings, etc. in? Where are the newer buildings, plantations, etc.? Where are the older ones? Choosing the line of greatest diversity, the information from the field visits can be organised and systematised in a transect, as shown in Figure 5.

Figure 5 - Transect of Manhiça (Mozambique)



Source: Hurtado, A. (2007): *Territorial development initiative: Manhiça - Mozambique (final report).* Consultant report for ActionAid International.

The transect will represent spatial relations among factors: some factors – a road, for instance – may explain the greater importance of non-agricultural activities. Also decisive are factors that are very complex to identify in a diagnosis when the time is short. In agricultural regions, as can be seen in Figure 5, these decisive factors are normally altitude, availability of water and roads.

Relations between resources are very important, because they enable the different zones in the territory to be identified – and that is one of the major outputs of this activity. For example, in the diagnosis of Manhiça (Mozambique), the landscape analysis identified three zones: savannah to the left of the road, upper floodplain zones (where most of the houses are) and the lower floodplain zones (where sugar cane and food crops are grown).

Exercise 2: Transect **(see page 45)**

Build a transect of the territory, choosing the line of greatest diversity. Then discuss what zones there are and how the different zones interact.

Although if this activity should be carried out by the team itself, because its major aim is to afford the team its first contact with the territory, some community input may be added. For instance, the maps from exercises 1 and 2 (especially the latter) can be validated in a forum with local leaders. Note that, if the team chooses to hold a forum of local leaders to validate the landscape analysis, the drawings should not be very detailed: the team must present a simple sketch of the territorial transect to which the forum participants can add their views of the territory.

Activity 2: Historical analysis. What are the driving forces in the territory?

Historical analysis is a fundamental piece of the overall methodology. From the historical analysis the team will identify the "driving forces" that determine the territory. As already said, the driving forces are a set of interconnected events that result in a change of the current reality. In other words, they are social processes that explain how the territory became what it is today and give the basis for prospective analysis. Examples of "driving forces" are the expansion of a new crop or the emergence of a new market; as well as climate change, environmental degradation or other environmental process and so on. Box 3 shows how historical analysis gives a better understanding of the territory.

The driving forces will be used in the activities to follow. They make it possible to understand actors' positions and levels of power. Driving forces are also the external constraints that the team evaluates in the comparative analysis of production systems. Also, driving forces will give the elements for input to the quality matrix. For that reason, this step is fundamental to the process.

As driving forces are inter-related events, the team will start to assemble the historical events of the territory. Timetables or timelines can be used to record the facts. We recommend that the team construct a timeline on a wall and record the facts on cards to stick on the wall. Once the most important facts are recorded, the team will start to find the connections between them. These connections will identify the driving forces.

Box 3 – Explain the diversity of farmers in Niamina East District (The Gambia)

During the 2005 Development Area identification process, ActionAid commissioned a study to evaluate the widespread poverty in the Niamina East District. "*This study reveals that 53% of the 867 households in the villages sampled are very poor, 32% are poor and only 15% are classified as non-poor*". This classification used indicators such as number of meals the family eats each day; months in which the family has food from their own farm; level of agricultural inputs; sources of agricultural income; quality of house-building materials and livestock.

Using historical analysis, which is part of the territorial system analysis carried out in 2007, it was possible to understand the roots of the region's inequalities: "*The access to workforce has been a historically important factor in the labour-intensive farming system and a powerful factor of differentiation among farmers: first with slavery; then with the "strange farmers" and more recently with access to draft animals and equipment*". When, in the seventies, the State-led cooperatives started to provide credit for access to draft animals and equipment, some small farmers were able to expand their production areas.

But "*not all farmers could be members of the cooperatives and have access to loans for equipment and inputs. Thus, the production capacity of the farmers with draft animals and equipment became much greater than the production capacity of the farmers using just manual labour*". This explains the different situations found among the farmers in the first study.

When the cooperatives and farmers' incentives were dismantled under structural adjustment and trade liberalisation policies in the 90s, many family farmers lost the opportunity to improve their own situation.

Source: Based on Bazin, F (2007): *Territorial development initiative: agrarian diagnosis of Niamina East District*. Consultant report for ActionAid International.

This step demands major interaction with local communities. Landscape analysis gives the team a considerable amount of information about the territory. From this follow ideas on how natural resources, infrastructure, urban concentration and other variables influence the living patterns of the people in the region. These "ideas" should be seen as hypotheses to be confirmed in the historical analysis phase.

For instance, when one zone in the territory experiences greater urban growth than others, the team can expect this to be accompanied by greater growth in economic activity. The team should ask: When did this start? Why did it start? How has it developed? This kind of question will guide the historical research.

Workshops with communities can be used to collect information. The advantage of already having a validated territorial zoning is that the team can interview at least one community per zone and can enlist the help of the community forum that validated the zoning to facilitate the logistics of the community meetings.

Exercise 3: Historical interviews with communities

Interviews with the community are the most important step of the overall methodology. The objective is to understand the dynamics of the territory. Here history about the region is the most relevant information for the diagnosis. To produce this information, the team can use the tools presented in Part II of the manual, such as:

- **Timeline or timetables to gather history of the community or region (see pages 46 and 47)**
- **Trend lines to analyse key aspects in the history in greater depth (see page 48)**
- **Historical transects to systematise the information gathered with the previous tools (see page 49)**

Once the team collect all data from community interviews, the information must be put together on one timeline. For this, the timetable shown in the Figure 6 should be used. The timetable pushes the team to think in terms of sectors, because it asks the team to classify the various events that they collect into sectors.

Another important issue in filling out the timetable is to define key moments in history that changed the pattern of social relations in the territory, and the intervals between these moments. In Manhiça, as shown in Figure 6, the team recognised three key moments and three periods. The key moments were: the first foreign investment in 1950; independence and beginning of the civil war in 1975-1976; and the peace agreement in 1992. Then, we have three periods: colonial rule; civil war; and peace and development.

Figure 6 – Simplified time table of Manhiça (Mozambique)

Time	Governance issues	Economic issues	Social issues	Environmental issues
1950		First foreign investments		
"Colonial rules"		Links with inter-national market (sugarcane sector)		
1975	Independence			
1976	War →		→ Migrations	Forest degradation (war)
War	↓	Land reform cooperatives ↓ Immigrants working in the cooperatives		
1992			Return of the migrants	
Peace and development	Traditional chiefs lose power + decentralisation	New investments (sugar cane *vs.* food crops)	HIV AIDS →	Flooding; Water management conflicts

The timetable should not show all the data collected in the interviews. At this point the team should formulate some hypotheses on what social processes or driving forces are operating in the territory. Remember that driving forces are a set of interconnect events that result in a change of the reality or, in other words, the set of events that explain how, and how much, the situation changed at the key moment identified and what the consequences were.

When the team agrees on what driving forces are the most important, they can simplify the table to present only the key events that show clearly those driving forces.

After this, the team should identify the aspects of the driving forces that are most relevant in the current period and cluster them by sector and level (see Figure 7). For instance, the matrix presented below was produced by the participants in a capacity-building activity in territorial diagnosis in Mozambique.

The team identified four driving forces: the increase in flooding in the region; the rise of HIV prevalence; the expansion of sugar cane; and changes in local governance systems. The driving forces were split into components and these components were distributed by territorial level and sector. The matrix is the mental model on which further steps are taken.

Figure 7 - Driving forces matrix for Manhiça (Mozambique)

	Political sector (governance)	Economic sector	Social sector	Environmental sector
Global		Direct foreign investment in sugar cane		Climate change
Regional			HIV infections at SA gold mines	Incomati river management
National	Decentralisation process (resources)			
District/ Municipal			HIV spread due to customary practices	
Community	Erosion of the legitimacy of traditional chiefs	Land use conflicts (sugar cane *vs.* food crops)		Water management practices

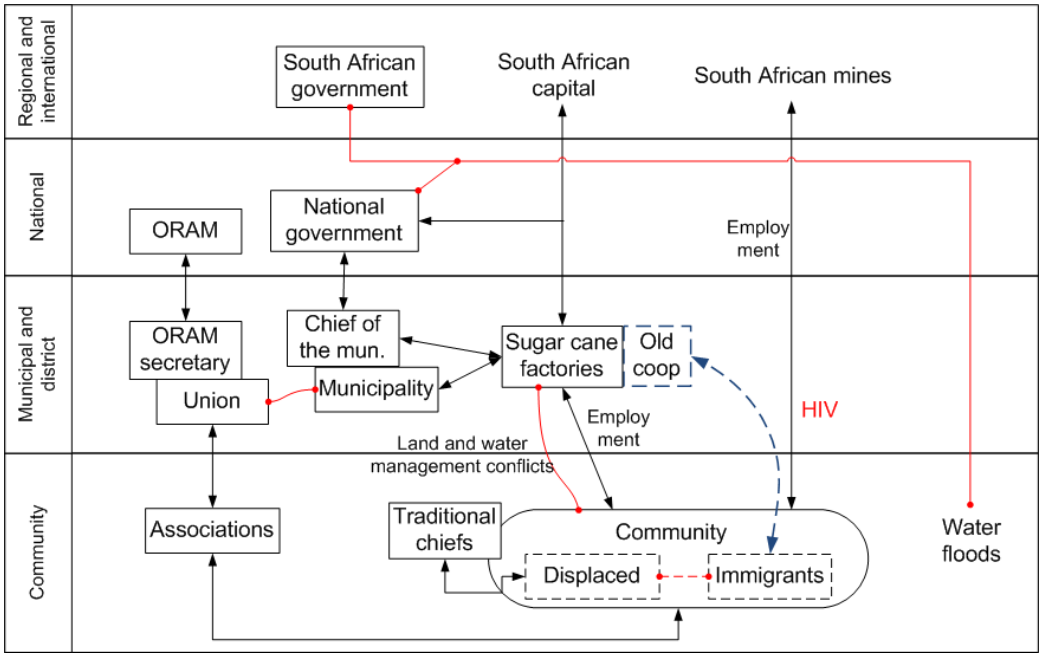
The red lines represent some of the connections identified between driving forces. For instance, the pressing need for employment for men, who usually emigrate to the South African gold mines, bringing AIDS back home, influenced municipal politicians to support foreign investments in sugar cane. At the same time, the expansion of sugar cane is intensifying challenges to the land distribution system that, in the past, were relayed in traditional chiefs and, today, is a matter of conflict between municipal and district officers and communities. Note that different components of the same driving force (for instance, climate change and the practices of Incomati watershed management) obviously have direct impacts on each other, and there is no need to represent that in the matrix.

Activity 3: Institutional analysis. What are the interests at stake?

Power relations were already implicit in the historical analysis. But, as power relations are crucial to planning territorial development, the team should analyse them in detail. First we need to identify the actors with a stake in the territory; then analyse the most important.

From the historical information, and having the driving forces matrix as a reference, we can identify the actors in play. In fact, each component of the driving forces has interests and agents behind it. Because of this, during the Mozambique capacity-building activity mentioned above, we were able to produce a territorial Venn diagram (Figure 8).

Figure 8 - Territorial Venn diagram of Manhiça (Mozambique)



A common mistake we found is the attempt to list all actors in the territory. This is difficult, time-consuming and useless. To focus the brainstorming the tip is to keep the driving forces matrix in mind. If you interlink the two exercises, it should be possible to recognise actors when looking at the driving forces matrix and to recognise the driving forces when looking for the actor relationships represented in the territorial Venn.

Remember that actors may be a social group (peasants, traders, landowners etc.), an organisation (NGO, union, state agency, enterprise) or an important individual. Actors are also defined as whoever has an interest in the issue being analysed or, in other words, who can influence or be influenced by a social process. The driving forces give the entry point to identifying actors. Who can influence the most important driving forces? Who are being constrained by the most important driving forces? The answers to these two questions give the first list of actors.

Exercise 4: Analysis of the community interviews

This is a crucial moment of the process: the timetable, driving forces matrix and territorial Venn give the mental map that will guide the team during the diagnosis. Further research is only to confirm and detail the data already gathered. The steps are explained in the text, but can be summarised as follows:

- **List all events collected during community interviews in a timetable.**
- **Simplify the timetable, building hypotheses about what driving forces are most relevant.**
- **Identify the components of the present driving forces in a quality matrix.**
- **Specify explicitly the actors behind each driving force in a territorial Venn diagram.**

From the Venn diagram, the team should prioritise actors for further research. Some information is already given by the historical analysis, and the tables below can be filled in without further research. Actors that are important to development in the region should be interviewed. In Mozambique, for instance, in order to understand better the process of sugar cane expansion and land management, we interviewed representatives of the sugar cane factory; the traditional chiefs; the municipality and the farmers union (see Figure 8).

Each interview should focus on the history of the actor interviewed. This entry point has three advantages: it leads the conversation to issues that the person interviewed is more comfortable with; it gives the team new information to cross-check the historical analysis; and it helps the team to understand the actor's objectives, power and interests without asking directly.

Exercise 5: Key informant interviews

The interviews are intended primarily to fill gaps and triangulate the information given by the communities. Accordingly, the mains question will be the same as appear in Part II of this handbook. We recommend the team take the following steps to prepare the interviews:

1. **Chose the most relevant actors from the territorial transect and schedule an appointment with one or two representatives.**
2. **Identify the information most needed and what information the interviewee can provide.**
3. **Prepare a few interview questions using some of the driving questions from the tools in Part II of this handbook and others that the team considers relevant.**
4. **Choose a team member to lead the interview and to put the main questions. Interventions by other team members should be careful not to intimidate the person interviewed.**

As can be seen from the foregoing, the first task after interviewing the representatives of the most relevant actors and other key informants is to revise Exercise 4. Only then can the team go on to describe each actor. Of course, the team has enough information to describe not only the actors interviewed, but also other actors that could not be interviewed.

Actors are usually analysed in two dimensions: power and interest. Often, the implementing organisation will be supporting powerless groups. However all groups, including the implementing organisation, must be analysed, because they are potential allies or potential antagonists of powerless groups. It may be crucial to build alliances among groups in order to challenge current power distribution. Figure 9 will focus on actors' power and interests, and how their interests are affected by the trends identified in the historical analysis.

Figure 9 - Matrix for actor analysis, based on experience in Manhiça (Mozambique)

Actor	Power		Interest	Affected by		
	Level	Sources		Sugar cane expansion	Increase of floods	Local conflicts
Peasant	1	Right to land Vote (elections for local council)	To improve their revenues	++	- -	
			To preserve land for their sons	-		
Sugar enterprise	4	Availability of capital Technical capacity	To increase its profits	++	- -	
Local council	3	State representatives Elected by the people	To maintain their votes			- -
			Promote local economic development	+	- -	

Level of power: classify from 1 to 4;
Interest affected: very negatively affected (- -); negatively affected (-); not affected (0); positively affected (+); very positively affected (++).

The team should also list the rights and duties of each actor. The 3Rs matrix is a tool that may help summarise this information. Poverty is denial of rights. Stating these rights explicitly, and also the actors whose duty it is to fulfil these rights, gives the basis for a rights-based empowerment approach.

Figure 10 - 3Rs Matrix: Rights, Responsibilities and Revenues

Actors	Rights	Responsibilities	Revenues

Rights and duties come from diverse sources: customary practices, national law and the international human rights framework. The analysis may find conflicting rights; in Manhiça (Mozambique), for instance, we found that the women have the same right as the men to inherit land, but customary practice does not recognise women's right to own land. Analysis of rights and responsibilities/duties must consider all three levels: customary practices, national law and the international human rights framework.

As this document is oriented to food security and right to food organisations, we are particularly concerned to understand the Right to Food. It may be necessary to discover whether the country is a signatory to the main international covenants and agreements and, also, how this is reflected in national law. Moreover, it is important to understand whether relevant actors, especially right-holders, are aware of the rights and duties that apply to them.

Power inequity is usually accepted by the disadvantaged, because they believe in the norms and values that justify it. The discussion of the 3R's matrix is a good time to raise questions to

understand the current cultural pattern justifying inequities. Lastly, the team should note that practices are reinforced by a system of revenues. Just as a private company needs to make profit in order to keep working, all actors need some return from their activities. For instance, a charity foundation needs to be recognised in order for donors to pay for its work; a political leader will demand recognition and political support; a peasant organisation will need the support of its members etc.

Exercise 6: Power and rights analysis

From the data collected in the historical analysis and key informant interviews, identify the power and interests, rights, duties and revenues of the relevant actors. Then discuss how different driving forces are impacting on actors. The discussion can be captured in the matrix in Figure 9 and Figure 10.

3: Comparative analysis of production systems

Aim: To identify and characterise different production systems and how different households respond to external trends.

The comparative analysis of production systems will help to unpack this major actor called community. Because, in rural areas, family farmers are often the largest powerless group, we will use this method that makes it possible to identify different types of farmers and to understand the differences between them.

This analysis has multiple uses in the diagnosis: to increase the quality of solidarity support being given to communities by local implementing organisations; to identify concrete proposals to be negotiated with other actors; and to mobilise smallholder farmers.

What to compare? Why compare?

Political and other external factors constrain farmers in different ways; it is widely known that peasants and capitalist farmers respond differently to trade liberalisation, but even among peasants there is great diversity. Peasants near a city may already be producing horticulture and other labour-intensive or perishable crops, while peasants farther from the city have never had a large enough market to switch their production and are still mainly harvesting cereals, which are more vulnerable to market liberalisation.

There are also internal factors that impact production systems, such as weak internal social capital, and weak organisational capacity. This also provides the opportunity to get more insight about the behaviour of the family system. The information collected can also serve to cross check the data collected during the historical analysis (see page 20). This will help to understand why families and

communities behave the way they do – it provides the underlying reasons for their behaviour and its impacts.

Comparing different types of farm is also useful to evaluate the impact of a policy or social dynamic, especially recent social dynamics. During a territorial diagnosis in Manhiça (Mozambique), we could see that large factories with difficulties in accessing land were starting to integrate smallholder farmers into their supply chain. To evaluate the impact of that strategy we compared peasants outside the sugarcane supply chain with those already inside it.

Activity 1: Set the research question – clarify the context

The first step in the analysis is to build a typology of farmers. Some context information is valuable to learn the socio-economic conditions the farmers work under. Moreover, context analysis highlights a diversity of actors, already reflecting at least some of the differences between farmers. Hopefully, we have already performed the initial appraisal, which gives us the context analysis to build a tentative typology (see Box 3 on page 20). Nevertheless, further research may be needed.

To build a typology of farmers we will use three criteria: issues relating to the location of the farm; social condition and availability of resources; and technical-economic options. Lets see what each one means.

Farmers in different zones will have different access to natural resources, such as water for irrigation or quality soil, different access to markets, due to the distance to a city or the conditions of roads and other economic infrastructure etc. During landscape analysis, the team has already split the region into different zones. Now, it should work with the hypothesis that the farmers in different zones have different farming strategies and constraints.

The social condition and availability of resources, including capital, is another major factor differentiating farmers. The most common example is the distinction between big farmers and small farmers, but other, less visible differences, are also important. An example of this is shown in Box 3 on page 20.

Third, farmers in the same zone and with similar access to resources can produce different things, apparently depending on their choices. For instance, in the same region, small-scale farmers can produce cassava, corn and vegetables for self-consumption and sell some to buy things they cannot produce, such as salt; or they may focus their activity on vegetable produce, thus making more income, but buying corn and cassava from their neighbours. Nevertheless, very often different technical-economic choices mask small differences between farmers that will only be captured through analysis and comparisons between types.

Box 4 explains how we built the typology of farmers in the territorial diagnosis in Manhiça (Mozambique).

Too much detail in constructing the typology will lead to a large number of types. Be careful not to produce too much information that you cannot use. Team members should be guided by the principal of optimal ignorance. In Manhiça, there is great diversity in how polyculture plots are organised. In fact, not all grow vegetables and the ratio of corn to cassava changes from farmer to farmer. This means that it is always possible to define a large number of types, but having more than three or four types is useless. Small variations between types can be discarded.

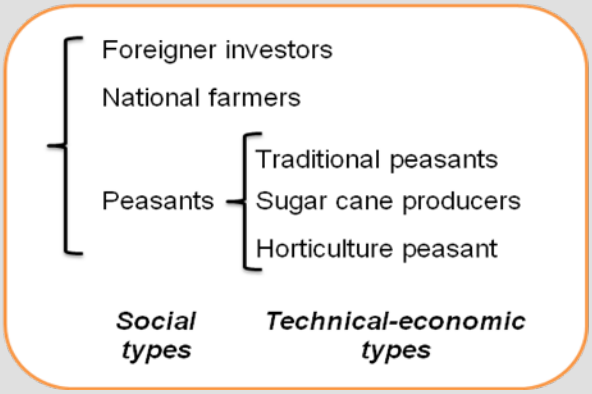
The typology is constructed in the back office, based on the initial appraisal or at least on the landscape and historical analysis. The typology is often adjusted during the field work, however, as pointed out in Box 4. The initial appraisal may have overlooked aspects of context or the team may find exceptional cases that are not covered by the typology. Whatever the case, the typology should include these new types.

Box 4 – Construct a typology of farmers in Manhiça, Mozambique

To evaluate the impact of sugar cane in Mozambique we made a comparative analysis of production systems, using detailed information on the production, consumption and revenues of different farmers. The initial appraisal made beforehand suggested that, in most of the cases, sugar cane was an investment by capitalist investors, but some farmers were starting to switch from traditional polyculture to sugar cane production, through associative production. Because sugar cane production is only possible in the lowlands of the valley, we used only two criteria: social conditions and technical-economic choices.

With this background we already expected three kinds of farmer: capitalist sugar cane producers; peasants producing sugar cane; and peasants with traditional polyculture. The first interviews with capitalist farmers revealed that there were two different kinds of farmer in this group: factories owned by foreign investors, with more than 1000 ha under sugar cane and other capitalist farmers with 100 to 300 ha plantations.

The same occurred when we interviewed polyculture peasants: we found one case of a farmer specialising in horticulture. Obviously he was no longer a traditional farmer, but nor was he a sugar cane producer. Another type had to be built to contemplate this case. Although the latter case was an exception, analysing this kind of exception is often the best way to find alternative routes to escape from poverty.



The figure shows how different criteria were combined to form distinct types of farmers. But why are capitalist farmers distinguished by social criteria and peasants by technical-economic criteria? Meanwhile the two types of capitalist farmers are from different social origins (even from different countries) and have differential access to production resources (capital); the different types of peasants all have the same social background, but different farm practices.

If the fieldwork produces information suggesting further types (not exceptional cases), there is no need for the team to review their initial appraisal to include any new information that appears at this stage. However, it is certainly important to consider types resulting from new information. Now, such information will probably mean revising the results and recommendations of the initial appraisal.

But, why include special cases in the analysis anyway? There may probably be only one family with such a strategy. Special cases are nearly always innovator families who find themselves better placed than their neighbours. Understanding their innovation can help the team to propose development plans suited to the territory.

Exercise 7: Define the different types of farmers

Review the initial appraisal and interview some key informants to define different types of farmers in the region. In building the typology consider the three criteria mentioned: location; availability of resources and social condition; and technical-economic choices.

Activity 2: Understanding system structure

To understand the structure and behaviour of each family system type we need to do three different things: first, we need to identify the different subsystems in the family household; second, we need to understand the connections among subsystems; and third, we need to evaluate the economic results of each subsystem and the whole system. The next two activities propose three exercises to perform each of these tasks.

There are also two different techniques for gathering information from the families. Using these depends on the time available and, more importantly, on the cultural practices of the territory and the group. Focus groups can be held with three or four families of the same type – the team will need one focus group for each type. Alternatively, individual families can be visited and interviewed. The latter option will require at least three interviews for each type. It will be more appropriate to use one approach or the other; it varies from type to type. It is easy to plan a focus group with small farmers, but may be difficult with large-scale capitalist farmers.

Women's participation in the focus groups/interviews must be planned carefully to reduce the men's dominance. Whether to interview family members jointly or disaggregated by gender is a choice the team should consider carefully in preparing the field research. Local-level technical staff can help decide whether or not facilitation will be able to reduce male dominance.

The first task in the focus groups or interviews is to ask for the history of each family present. In the second part of this handbook we present a timeline were families' major decisions were recorded. The family history will show whether the family does in fact represent the type under analysis – its history must relate to the context history gathered in the initial appraisal. Conversely, the family history is also used to confirm or question the historical analysis. In the end, the team will be seeing the driving forces identified in the initial appraisal through the peasants' eyes.

A second use of family history is to identify how the family decisions are taken. The team should identify the important events and decisions in the family history (marriage, birth of a child etc) and to discuss their consequences. The next task in the focus group will be to discuss how the family

organises itself at present. Looking at the present organisation and history will facilitate a discussion of why the family takes such decisions and will give the team the rationality of each family type.

Exercise 8: Timeline for family-farm analysis (see page 54)

Draw up a timeline of the history of each family in the focus group. Discuss the major differences and resemblances of each timeline.

The second task is to identify the different subsystems in the family system. The family organises itself into distinct components, including farming and non-farming components. Box 5 shows a list of possible subsystems in the family system.

In this box we try to cover all the possibilities encountered in the research, but it is always possible that the research teams will find subsystems in the field that are not considered here. In other words, the teams should keep an open mind to capture all subsystems and adapt this framework to each family.

Box 5 – Subsystems of the family system

DOMESTIC COMPONENT

Domestic system: All activity relating to the family reproductive work: cooking, cleaning etc.

FARMING COMPONENTS

Crop systems: Activities relating to plant production: ploughing, sowing, harvesting etc.

Livestock systems: Activities relating to animal husbandry: feeding, care etc.

NON-FARMING COMPONENTS

Processing systems: Activities directed to adding value to the farm product: cheese making etc.

Others: Other activities not directly related to farming, such as handicrafts.

OFF-FARM COMPONENTS

Salaried work: Family member's employment positions.

Community work: All activities in the community organisations: political organisations, women's or peasant organisations etc.

Social protection schemes: Revenues from government programmes, such as minimum income programmes.

The subsystems are related and, in the same farmer type, are combined in similar proportions from farm to farm. There is always a reason for this and finding it reveals how the system functions. For example, in Guatemala we found a production system with two subsystems: one, the owned home garden, called "sitio", where the peasant grows fruit trees and raises small animals like chicken and pigs; the other, the rented field, called "milpa", where the peasant grows corn, sesame and other crops. The area rented for corn depends on the area available for small animals, because they

need to sell their animals to buy the agrochemicals required by corn and sesame (Ferreira & Marcato, 2007).

One pattern found very often is where the crop system provides the food for the animals, while the livestock system furnishes the manure needed to nourish the plants. The two systems are proportional in size: if the livestock system is larger on one farm than another, the crop system will also be bigger on the first farm (Dufumier, 1996). Experience shows that, when the typology is well done, the differences within each type are very small and this kind of pattern can be identified with three family interviews. In other words, with only three cases per type we have a good analysis of farming systems (FAO, 1999).

The relations between the various components of the family can be gathered from a farming systems diagram (see Part II of the handbook).

Exercise 9: Farming systems diagram **(see page 55)**
Identify and describe the components or structure of each production system. Draw a farming systems diagram, including all subsystems, that represents the type under analysis (not each family).

After the systems diagram is done, it is important to look at the timeline again. The participants should be invited to discuss how the system was affected by major events in the family cycle: the birth of a child; the marriage of a son or daughter; or the death of an elder.

Activity 3: Understand how the system works

System behaviour is analysed in the same focus groups/interviews as are used to identify system structure. In other words, Activities 2 and 3 go together. We separate them into two activities in order to explain better all the tasks in these activities. At the end of Activity 2 we have identified the various different subsystems and have started to analyse the relations between subsystems. Now we will get data about the work required and the cash flow of each subsystem, so as to understand better the role each plays in the family.

Daily activity clocks and seasonal calendars (see Part II of this handbook) are tools that show how the labour available in the family is allocated to the different subsystems. These two tools should be used to gather gender-disaggregated data. The focus group should be divided into two subgroups, women and men, and the team should use the two tools with the two subgroups separately.

Time allocation helps in discussing roles and responsibilities. As shown in Box 6, there are separate spheres in the family were men and women have different degrees of control: some spheres are controlled by women, some by men and others are disputed by the two. These separate spheres are a concept in gender bargaining theory which is very close to the concept of subsystems in farming systems theory. We propose using the two together, one enriching the other.

Box 6 – Gender bargaining theory

Gender bargaining theory or intra-household bargaining theory is an analytical framework that helps explain the intra-household dynamics, while taking account of the extra-household context. The concept of separate spheres is central: family members will cooperate in some spheres, conflict over others and decide and manage others individually. This heterogeneity of relations is a result of socially-constructed gender roles which assign different tasks to men and to women.

Control over a separate sphere will give the family member the control over the assets associated with that sphere. Power is linked to the assets that each family member brings to the family. This dynamic is clear when a woman loses her job: she also loses her bargaining power inside the family. Another example is that social support given to a woman improves her position in the family.

But, as seen in that last example, the value of each separate sphere is influenced by the extra-household context. Green revolution extension projects focus mainly on the men, reinforcing their power inside the family. If, on the other hand, market value is given to the food crops grown, and products processed, by women, this can improve their power inside the family.

Source: Based AGARWAL, Bina (1997): "Bargaining" and gender relations: within and beyond the household". *Feminist Economics*. N.° 3 Vol. 1.

After identifying who manages the various subsystems or spheres, we propose a discussion with each subgroup on how decisions are taken. The man tends to be legitimated as responsible for all family decisions, but his decisions are taken only after lengthy bargaining with his wife. It is important to understand the bargaining process from both men's and women's points of view. Both the timeline and the systems diagram can enrich this debate.

Exercises 10 and 11: Daily activity clock (see page 56) and Seasonal calendar (see page 57)

Analyse how the time available inside the family – to women, men and children – is allocated to the various family subsystems. Draw a seasonal calendar by gender and a daily activity clock by gender and season. After the exercise discuss how decisions are taken on managing each subsystem.

Where the market is important, an economic analysis of the system should be made. A consultant in farm systems diagnosis will have strong tools to analyse labour allocation and economic performance of the farming system[5]. However, we will present a simple tool which can help the team to collect some data to make a simple economic appraisal of family systems.

The Expenditure & Income Matrix is to be applied to each subsystem in the family system. To use it you need to have already applied the farming systems diagram. The Seasonal Calendar and Daily Activity Clocks can also give important information to facilitate use of this tool. In fact, we are not interested only in gathering economic information about the family type, but also in reviewing all the information gathered by the previous tools.

This tool is presented in Part II of this manual. But remember that we do not need an analysis of each family, only of each type. In the focus groups, facilitators should always try to input information

[5] See FAO (1999), *Agrarian systems diagnosis*.

that is not exactly the case of any one of the families present, but is an arrangement of the information from all families in the focus group.

After the economic analysis is done, the team should facilitate a discussion of the economic security (including food security) situation and strategies of the types of farming under analysis. What are the main sources of cash? What are the main sources of food? The team should discuss the rationality underlying decisions between self-consumption and market production and between in-farm and off-farm labour.

It is also important to understand how income variations during the year are counterbalanced. For example, we saw that at harvesting time some peasants bought small ruminants as savings. In the course of the year these animals are sold to earn money to buy the inputs needed for agricultural production (Bazin, 2008).

Exercise 12: Expenditure & income matrix (see page 58)
Identify and quantify the main sources of expenditure and income by family type. Once the various sources are identified, discuss: the level of economic security of the family; the importance of different economic strategies; and how intra-annual variations are addressed.

Activity 4: Compare production systems

At this point the team has a description of the structure and function of each family type and some data about time allocation and economic results. The aim now is to put together the information of all system types. When the team produces the typology of farmers, it already has an idea of the different constraints that impact on right-holders. But it is only now that the team has sufficient information to understand how these constraints impact on the strategy of each group.

For instance, at the beginning of the comparative analysis of farming systems, the team already know that two peasants located in two different zones are different, but only at the end of this analysis can the team understand how different localisation factors, such as ecological conditions or proximity to a city, constrain the practices of each one.

This leads us to the first group of questions: how do different living conditions – those used to build the typology – impact on the strategies of the family? How does living in different zones lead to different living standards? How does differing availability of resources (e.g. land) or differing social conditions (e.g. better access to school) lead to a different strategies for producing food and income? What are the results of different production choices between farmers under the same conditions and in the same zone?

The second group of questions can be summarised as: why are the families different? The data from the family history is very useful in answering the question.

The last question is very useful, because it highlights several constraints on the poorest farmers. Lets return to Manhiça for an example. As already explained, in the Manhiça exercise we found several types of farmers. The difference between peasants and national farmers (see Box 4) was very interesting (see Box 4): although the second group has a lot more land than the first, they started from very similar conditions. When we looked at the history of the national farmers, they seemed to have started from the same poverty level as the peasants were currently. But, while the national farmers were able to capitalise during civil war period (working in the city or producing food crops), the peasants' level of financial capital held steady or declined. When the sugar cane sector started expanding, the national farmers had money to invest and developed very fast, while only a few peasants were able to change their conditions. As result, we found a huge difference between the two groups.

4: Strategic plan (quality matrix)

Aim: To identify development priorities for the territory and synergies among potential partners for implementing them.

The final step has the clear goal of putting the information together and making recommendations. There are two main steps to the methodology. First the team will build future development scenarios for the territory. Scenarios should be thought-provoking for team members. This discussion should have the help of the community leader workshop. The aim is to propose strategies for the right-holders and implementing agency to cope with the challenges identified. The quality matrix[6] will be used to discuss and map the major actions by level (local, national and international) and sector (political, economic, environmental and social), showing the coherence and synergies between actions to be implemented.

Activity 1: Scenario building. What are the possible routes for the territory?

Scenarios tools are developed with two major objectives. A more technical approach to the scenarios exercise is designed to determine the range of possible futures and analyse the impact of

[6] By definition, quality has always been measured and calibrated in terms of the expectations of the "beneficiaries". That is why there are several levels of quality based on a specific set of prior expectations. To increase the present level of quality of our work on food rights means to be able effectively to promote social change and decrease present levels of hunger. This means that we should: increase coherence – the work done at all levels (particularly our programme work) must be politically coherent with our strategy and each level must reinforce the potential of the others; increase inter-thematic partnerships – our intervention should be carried out in collaboration with other themes; increase local livelihoods – short- and medium-term results in specific livelihoods should be achieved through political change, but also through the adoption of appropriate innovative technologies (ActionAid, 2007).

each on the organisation strategy. Participatory approaches are intended to highlight assumptions and mobilise actors around a strategic proposal. Nevertheless, these different objectives are more or less present in all scenario exercises.

The scenarios exercise starts by analysing the driving forces identified in the historical analysis made at the start of the diagnosis. Of course, all the data collected in the actor and farming system analyses should add a considerable amount of information to the historical analysis. Now the team should not only know what the main driving forces are, but also recognise how they are affecting the main actors and, above all, these actors' ability to modify each driving force.

Scenario building is also the moment when the team's technical expertise is most important. Sometimes communities are unable to change a driving force for lack of competences. For instance, the expansion of sugar cane in Manhiça (Mozambique), which we identified during the diagnosis, seems to the community to be the most profitable land use and, for that reason, inevitable. They do not have enough experience of sugar cane production to know the crop's long-term effects: decreasing yields, declining soil fertility etc.

It is precisely at this point that scientific expertise should be added to the data collected in the communities.

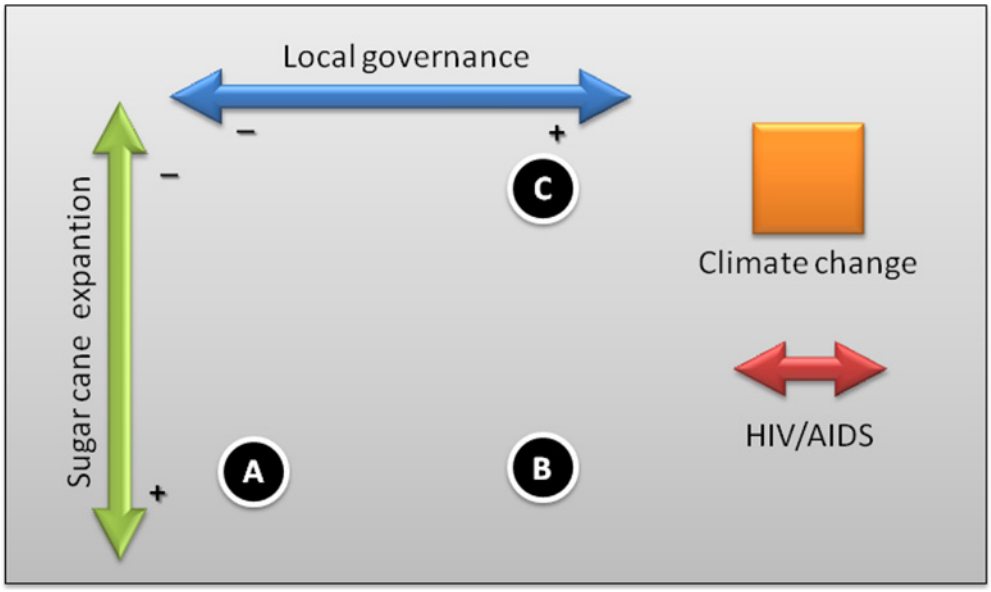
The first step is to define different possible futures. The team should start by defining the timeframe for the scenarios. Then the team should consider different extreme combinations of the driving forces captured in the historical analysis. For instance, once again using the Manhiça exercise, we identified four driving forces: climate change; sugar cane expansion; local governance capacity and HIV/AIDS prevalence.

The second step is to identify what driving forces show a definite trend: for instance, it is very unlikely that climate change can be stopped and reversed – the team can consider it a driving force with little degree of uncertainty. The others can be thought of in terms of extremes: strong local governance *vs* weak very local governance. The same happens with sugar cane expansion (great *vs* small) our HIV/AIDS prevalence (high *vs* low).

The second step is to prioritise the two most important driving forces. Two driving forces produce four scenarios; with three driving forces, the number of scenarios rises to eight; with four, to sixteen. As a result, although all driving forces do matter, we should prioritise only two. In Figure 11, local governance and sugar cane expansion are prioritised and HIV/AIDS prevalence is momentarily suspended.

Note that in this part of the process the objective is to choose the driving forces that the diagnosis team believe involve greatest uncertainty and will have the greatest impact on the territory. Of course this depends on what issues it is intended to work with.

Figure 11 – Scenario mapping exercise based on the experience of Manhiça (Mozambique)



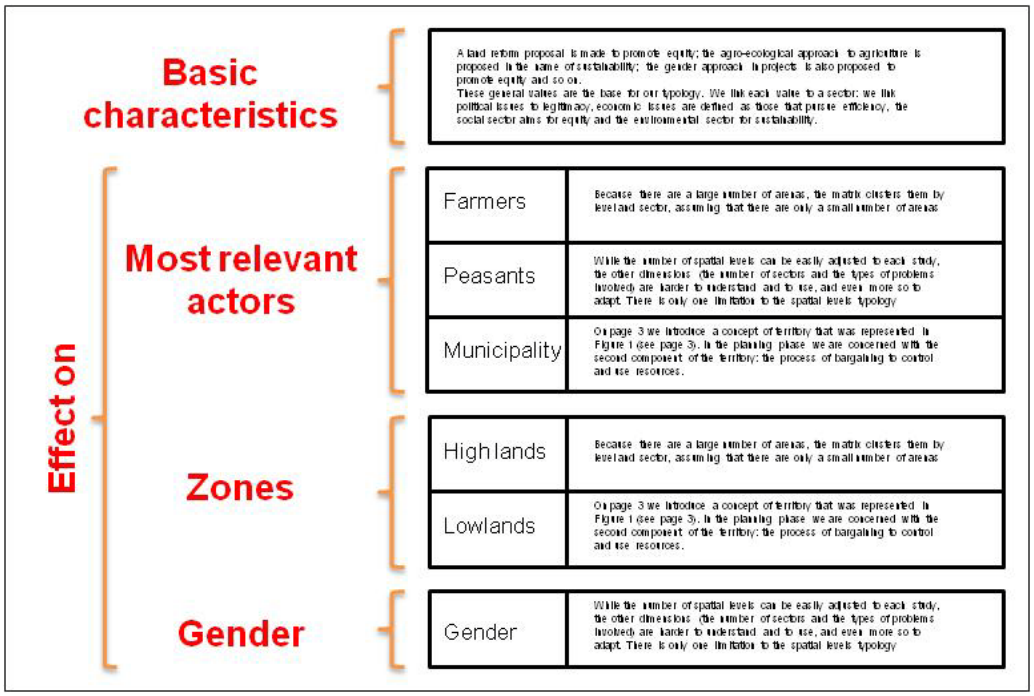
As this exercise is very important, it should be conducted with the participation of local leaders. Moreover, it will give the basis for planning, and the plan will be implemented by local organisations. For these reasons, the leaders should participate in the scenarios and planning exercise.

In Figure 11 we consider three scenarios: less local governance with more sugar cane expansion (scenario A); more local governance with more sugar cane expansion (scenario B); and more local governance with more sugar cane expansion (scenario C). We do not consider less local governance with less sugar cane expansion, because reduced sugar cane expansion entails finding other economic alternatives through concerted action by local actors.

Exercise 13: Define the scenarios
Choose the two most important driving forces in terms of unpredictability and impact on the territory. Make a four-scenario matrix and arrange catchy names for each.

After scenarios have been defined, the team must focus on each one to analyse it. Figure 12 shows a format for describing each scenario. Note that now all driving forces must be considered; for those not considered important in the previous scenario, the team should assume that their behaviour will remain steady in the time-frame in analysis.

Figure 12 - Scenario description format



The format in Figure 12 comprises four parts. The first gives the basic characteristics of the scenario. For example, the basic characteristics of Scenario A are:

Sugar cane expansion will momentarily boost the revenues of all actors in the territory; nevertheless periodical extreme events caused by climate change will cause the actors to return to poverty. Local state bodies are weak and will be weakened when the land conflicts arise, and do not have the capacity to take actions that will help the local actors to prepare themselves for climate change impact.

Once the team agree on the basic characteristics of the scenario, they should discuss their impact on the main actors, on the different zones of the territory and on gender issues. Here it is important to remember the time-frame of the scenarios. The team should obviously review the information from the actor and landscape analyses. Note that comparative farming systems analysis is no more than a detailed actor analysis applied to the usual beneficiaries of food rights and agricultural programmes.

A set of questions can help define the impact of the scenarios. How will actors' strategies be constrained by this scenario? How will actors react to these constraints? How will actors use the different zones a few years from now (consider the timeframe)? How will these changes affect the gender balance inside families? Etc.

The scenarios should then be presented to the whole team to evaluate their coherence.

Exercise 14: Describe each scenario identified.
Describe each scenario resulting from the matrix in the previous exercise.

Activity 2: From scenarios to planning

Presentations of the scenarios in the community leaders workshop lead to a discussion of the development priorities for the territory. The quality matrix is, first of all, a tool for capturing and organising these "ideas". The bullet points of a strategy for the territory are clustered by spatial level and sector, according to the discussion presented on pages 8 et seq.

The table in Figure 13 was used in the territorial diagnosis in Manhiça, Mozambique, to map the various agenda bullets (here we have shown part of the agenda that was built up).

Taking into account the various scenarios that have been built, what are the relevant actions to be carried out in the territory? From what levels and sectors should they be addressed? What organisations in the workshop are best placed to pursue these actions? For example, environmental organisations will direct their work to the environmental sector. Education and health organisations tend to focus on the social sector. Women's and food rights organisation tend to be multi-thematic. If they recognise their aims in the actions in the matrix, that will help them to recognise their role in the overall strategic plan.

Figure 13 – Strategy quality matrix of Manhiça (Mozambique)

	Governmental	Economic	Social	Environmental
Global		Work Plan 1 / Work Plan 2 / Work Plan 3 / Work Plan 4		
National	Lobby the organisms responsible for state decentralisation for effective decentralisation of resources		Participate in SETSAN and lobby for the use of agro-ecology programmes as hunger reduction measures (an experimental programme in Manhiça can be proposed).	
Province	Start dialog with CSO, local state institutions and private sector to mitigate the impact on crops of diminishing water supply due to climate change.	Actions to build up the agro-ecological market chain in the province of Maputo (a market study is recommended).		
Municipal and District	Propose an alternative plan and budget for using government decentralised resources to support ecological agriculture.	Municipal actions to build up ecological and agricultural market products. Building capacities in women, in small business management and commercialisation of agricultural products.		Lobby state local institutions to promote a participatory management plan for the savanna region, particularly in wood gathering.
Community	Strengthen the political capacity of agricultural organisations, which includes: • Background in local leadership competences. • Improve articulation between represented and representatives. • Linkage with civil society actors at the national level (ROSA).	Strengthen the capacity of local associations to deliver technical support for their members. This may involve the international Farmer to Farmer programme, as well as setting up a local F2F programme.	Introduce into formal education (schools) and informal education (REFLECT circles) issues like: • Diet and cooking practices • Agro-ecological production techniques (school farming) • Sex education (HIV/SIDA)	

Source: TDI work plan for Manhiça.

On the other hand, to the extent that participants identify themselves as connected with some action, they recognise their place in the matrix. Participants focused at the same place in the matrix will then make better coalitions. Capacity building in local development councils to strengthen their ability to address food security or water management – two actions that are usually pursued by different organisations – can be mutually reinforcing. In that sense, this exercise will help the participants to build broader coalitions.

Strengthening civil society organisations and their networks at the local level and linking them at the national (and international) level will allow them to engage critically with duty bearers.

Once the matrix is filled (after the first attempt), try to revise it by answering the following questions:

- To what degree will this strategy heighten the critical consciousness of rights-holders, and strengthen their ability to define and claim their rights (agency)?
- To what degree will this strategy build the power (consciousness, capacity, resources) of women and address power imbalances with regard to women?
- Does this response have the potential to result in a *sustained*, beneficial change in power relations locally, nationally or globally?
- To what degree will this strategy create ongoing relationships of engagement between rights holders and duty bearers (rather than just once-off consultation)?
- To what degree will this strategy empower rights-holders to demand meaningful accountability from duty-bearers and the implementing organisation?

Once finished, the items of the matrix can be grouped into work plans. According to the implementing organisation's and its partners' capacities and current work, the team should split the issues in the matrix and define work plans. In fact, the matrix is filled with strategic objectives that can be used in a logical framework matrix.

If objectives in the matrix are to be split into different work plans (or LogFrames), we strongly recommend that the objectives in the same matrix cell should be kept together in the same work plan. If two objectives are to be addressed at the same level with the same type of "expertise", synergies can probably be found between them and both be addressed by the same implementing team.

Exercise 15: Quality matrix

Fill in the matrix, helping participants (partners) to position themselves in the strategy. Identify objectives by levels, indicators and structural activities in order to build a logical framework and action plan.

PART II

TOOLBOX

1: Initial appraisal

Main aim:
To build a comprehensive picture of the territory

The Initial Appraisal is a participatory tool used to describe and analyse a given territory together with all the local actors involved (men, women, young and old, to draw the big picture of its development opportunities and constraints. The research intends to put together information from various sources, including interviews, focus groups facilitated with PRA tools, literature review and team members' experience. The aim is to make a comprehensive, rather than descriptive, analysis of the territory. It is important to identify the main political, eco-systemic, geographical and social issues that constrain or deny the rights of the powerless, especially the Right to Food.

This step is divided into three activities: landscape analysis; historical analysis and power analysis. The landscape analysis is the main entry point to the territory: it will enable the team to arrive at a first evaluation of the territory in order to engage in dialogue with local actors. The historical analysis is the information collection phase and gives the basis for further steps. Actor analysis is the step where the power relations between the different actors are analysed. This should also provide the basic information on differential access to, and control of, land, natural resources by women and men, old and young. This information is the basis for planning.

The tools presented here are designed to facilitate focus groups (for men and women separately) or to record the information gathered from other sources by team members. For example, the matrix of powers and interests can be covered in a few focus grups, after which the team members put together the information gathered in those workshops, and include it with the information from other sources.

Although we describe here how to use this technique in participatory workshops, the team should always do a final diagram putting together the information from field observations, focus groups and interviews.

Main outputs: Technological

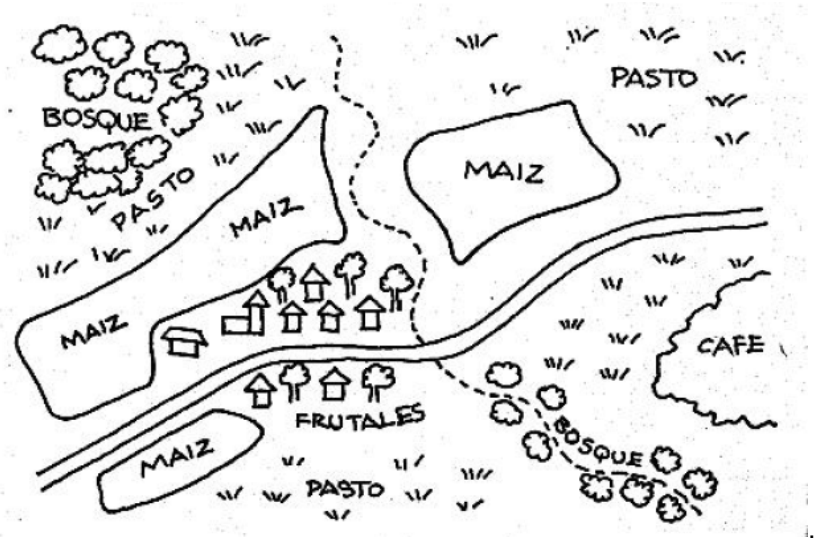
- Identification of the homogeneous zones in the territory, for purposes of development planning
- Identification of the most important trends in the development of this territory
- Tentative typology of actors and their description in terms of power, rationality, rights and duties, and relationships according to age and sex

Tools:
Landscape analysis: Village resources map; Transect. Historical analysis: Timeline; Timetable; Trend lines; Historical transect. Power analysis: Venn diagram; Matrix of power and interests; Matrix of rights, responsibilities and revenues.

Landscape analysis: Region resources map

Aim:
To identify the location and evolution of the most important production and social resources in the community or region by socio-economic group, sex and age. Important to record the group's perception of major constraints and strengths and also their spatial distribution.

Process:
Split the group by socio-economic group, sex and age. On a flipchart or on the floor, start by having one of the group members draw a known place (for example an important road, a church or the market). Then ask to the participants to continue by drawing boundaries. You can use the questions below to prompt the debate that will help to draw the map and will feed the analysis.



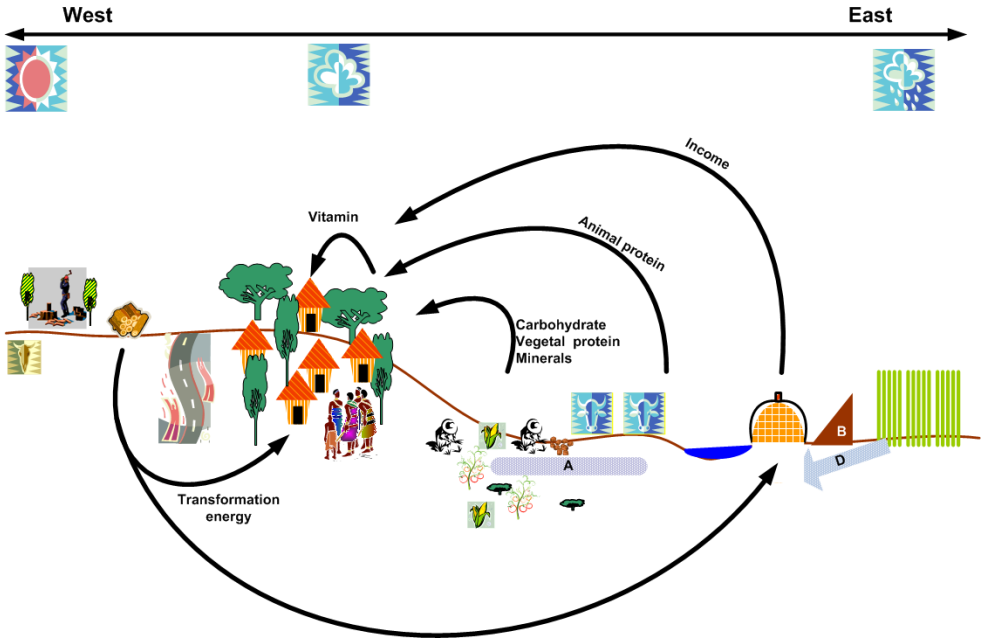
Driving questions:
- Where are the assets of the territory: the various fields, the market, the roads, etc.?
- What are the oldest parts of the village and how has the village grown?
- What resources are abundant and what are scarce?
- What has changed for the better in the past five or ten years?
- What has changed for the worse in the past five to ten years?

Notes:
When a map is available from a government office or other source, the group can represent the assets on it. This will help save time.

Landscape analysis: Transect

Aim:
To extend the information on the village resources map in greater depth and to organise and represent special information. It helps identify how actors use different parts of the territory, considering ecological and infrastructure conditions.

Process:
With input from the village resources map and/or cartographic maps, choose a line of greatest diversity and draw altitude variation. Then together with the men and women of the community draw key environmental elements: humidity; water sources; etc. Then add key economic and social elements, such as urban and agricultural land uses (including schools, health centres, churches, social halls etc). When the map is finished discuss the different zones that could be identified in the territory.



Driving questions:

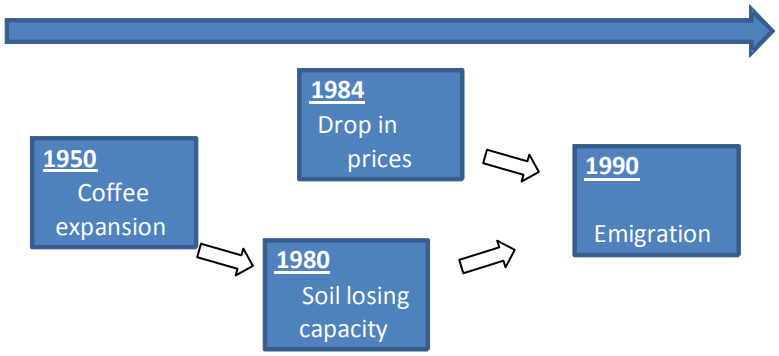
- What are the most important factors that cause spatial differences in the region?
- What are the various zones in the region?
- What are the natural strengths and constraints of each zone? Who takes advantage of them? Who has access and control over them?
- What are the most important activities carried on in the zone? By whom?
- What are the services available in each zone?
- Who has access to those services?

Notes:
A final transect representing the various zones in the territory must be constructed by the team, based on their interviews and on transects made by the community focal groups.

Historical analysis: Timeline

Aim:
To identify the important historical facts that have influenced the territory. To search for cause-and-effect relations between them. How these historical events affected men and women, young and old people differently.

Process:
Put an arrow – a large paper arrow, for example – on a wall and write some dates (years) on it. Alternatively draw a line on ground. Brainstorm and list the important events that determine the region's history. Start by asking when the community was founded and then follow events after that. Glue cards (15×21 cm) on the wall, as in the example. Discuss how these events are related. Sometimes you will have to work with focus groups of older men and women who have long-term memory of the territory and changes that have occurred socially, politically, environmentally etc.



Driving questions:
- How has the community changed in recent years?
- What are the important events in these changes?
- How they are related?
- What are the trends/driving forces (chains of events that produce visible changes) to be seen in the territory?

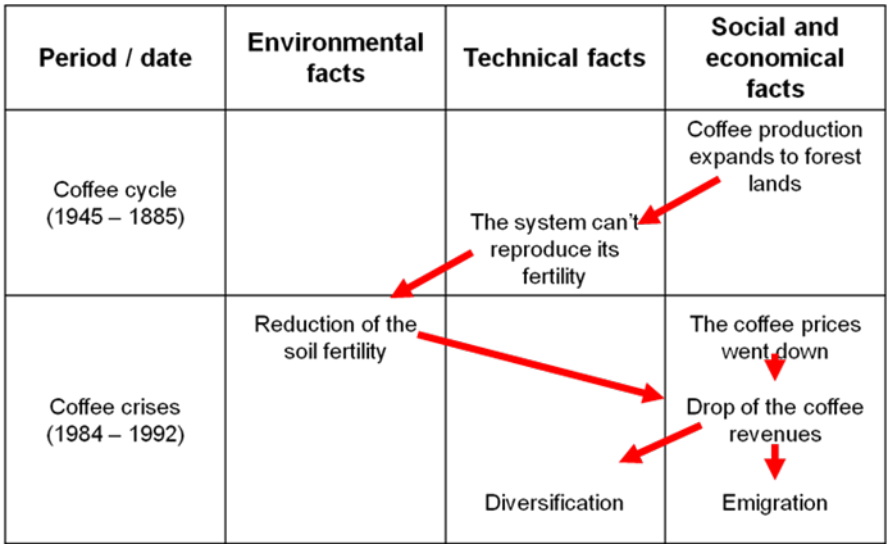
Notes:
It is important to disaggregate the facts by level (global, national and local) and by sector (political, environmental, social and economic). Arranging the cards vertically can help meet the first need – put the global issues higher and local issues lower – and use colours to distinguish sectors, for example, red for political, green for environmental, yellow for social and blue for economic.

Historical analysis: Time table

Aim:
To identify the important historical facts that have influenced the territory. To search for cause-and-effect relations between them. How these historical events affected men and women, young and old people differently.

Process:
Draw a table with five columns: date; environmental facts; economic facts; social facts and political facts. Brainstorm and list the important facts which are determining the history of the region. Start by asking when the community was funded and then follow events after that.

Then, discuss how these events are related.



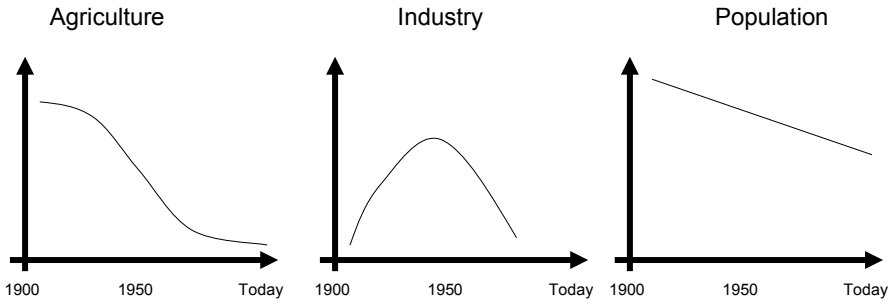
Driving questions:
- How has the community changed in recent years?
- What are the important events in these changes?
- How they are related?
- What are the trends/driving forces (chains of events that produce visible changes) to be seen in the territory?

Notes:
The timetable is a better tool for recording key informant interviews than for facilitating participatory workshops.

Historical analysis: Trend lines

Aim:
Explore an important issue in the history of the territory. From the actors' perceptions, identify how important factors are changing in the territory and discuss how this is affecting other issues there.

Process:
Identify a trend that is very important to the community. Draw a Cartesian graph (XY) and put the time span on the horizontal axis. Discuss how the trend has changed over time and represent it by a line. Discuss the causes of this behaviour and try to find other related trends to analyse with this same tool.



Driving questions:

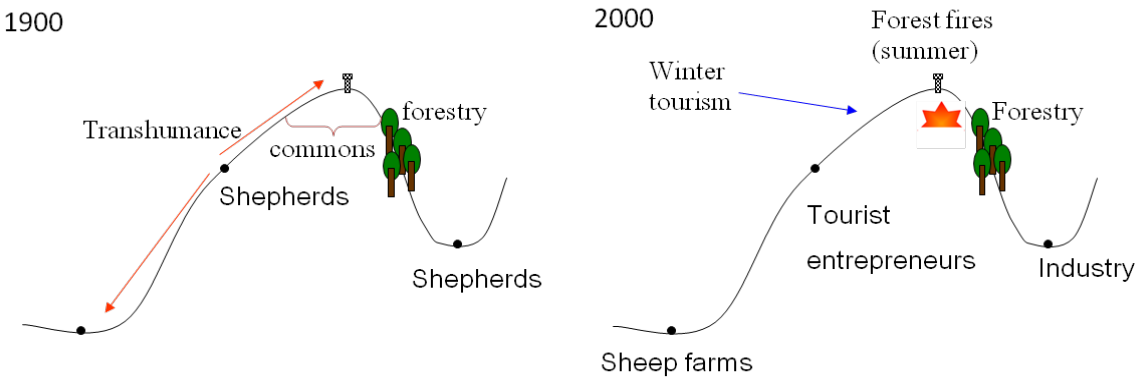
- What are the most important trends (environment, economic, social and political)?
- What has their behaviour been over time?
- What are the most important reasons for this?
- How has this trend affected the community? The men? The women?
- What trends are related? And how?

Notes:
The graph is less important than the discussion. Take notes of the discussion and use the discussion as an input for more complex exercises: timetables, timelines and special, historical transects.

Historical analysis: Historical transects

Aim:
To visualise how the various trends in history have transformed the territory being analysed. To define different phases in history and highlight the differences between them. And to understand the different perspectives of community members in terms of these historical phases.

Process:
Do a transect of the current situation. Then discuss the historical information and define different periods in it. Next redraw the first transect to adapt it to each period. Ensure that different transects highlight the most important trends/driving forces in the region and their impact on the landscape.



Driving questions:
- What are the different periods in the territory's recent history?
- How have the various zones in the territory been used over time?
- How have different actors been engaged in this process? How has the process affected them?
- What was been changing? How does this affect the territory?
- What is the probable future of this territory?

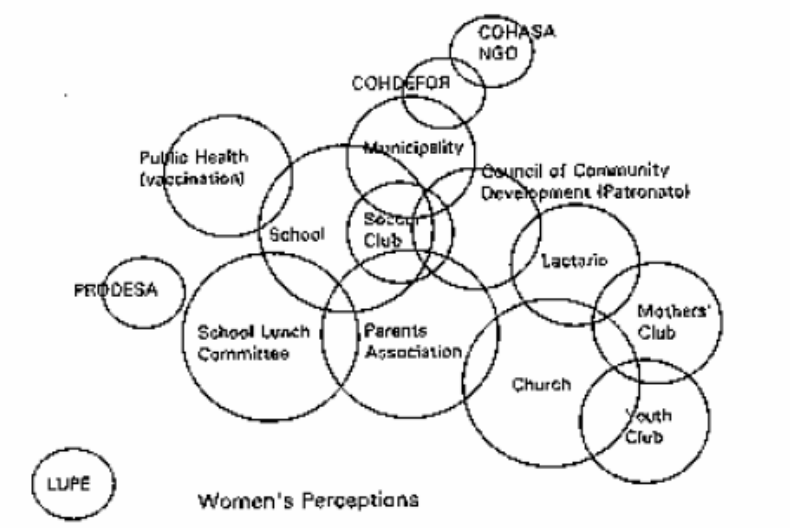
Notes:
This tool combines the information from some of the tools presented above (the transect with the timeline). It helps in discussing the information from those tools further and in greater detail, but also requires that the other exercises are done beforehand.

Power analysis: Venn diagram

Aim:
To understand the role and importance of groups and organisations in the territory. To analyse their relations and how decisions are taken.

Process:
Prepare paper circles of at least four different sizes. With the focus groups described in previous activities, start by listing the names of groups and organisations. Agree with the participants that the largest circles are for powerful actors and the smallest for powerless. Finally arrange the circles on a wall, considering the following:

circles separate = no contact
circles touching = flow of information between organisations
small overlap = some cooperation between organisations
large overlap = strong cooperation



Driving questions:

- What are the organisations around different issues in the community?
- Which groups (women, youth, peasants…) are represented in these organisations? Which are excluded?
- What are the links between local and external organisations?

Notes: Remember to divide the groups by sex, age and socio-economic group in order to get the different perceptions. From this Venn diagram the team and focus group participants should identify the most relevant actors for further research and for using the next tools.

Power analysis: Matrix of power and interests

Aim:
To understand how the important trends in the territory are impacting on the actors and their capacity to resist and modify those trends. To link the historical process of the region with the ability of each actor in the territory to take action.

Process:
Draw the matrix below. List the important actors in the territory (you can copy from the first matrix). Classify them by power and brainstorm their interests. Then identify the various impacts of the driving forces (captured in the historical analysis) on the actors' interests.

Actor	Power		Interest	Affected by		
	Level	Sources		Sugar cane expansion	Increase of floods	Local conflicts
Peasant	1	Right to land Vote (elections for local council)	To improve their revenues	++	- -	
			To preserve land for their sons	-		
Sugar enterprise	4	Availability of capital Technical capacity	To increase its profits	++	- -	
Local council	3	State representatives Elected by the people	To maintain their votes			- -
			Promote local economic development	+	- -	

Legend Power: classify from 0 (powerless) to 4 (powerful)
Affected: + + (very positive); + (some positive); 0 (not affected)
– (some negative); – – (very negative)

Driving questions:
- Who are the most relevant actors in the region?
- What is their level of power? What are the sources of their power?
- What are each actor's main interests?
- What are the most important trends in the territory? How does each trend impact on each actor?
- How has this trend affected men and women, young and old people differently? How may it affect them in the future?

Notes:
The trends should already have been identified in the historical analysis. Go back to the timeline and historical transects to identify them.

Power analysis: 3Rs matrix

Aim:
To identify the rights of the powerless and the duties of those responsible for ensuring them. Gives a preliminary description of the actors in the territory. This work should be carried out with different socio-economic groups to get the broadest perspective.

Process:
Draw four columns on a flip chart or a board and name the columns as follows: actors, rights, responsibilities and revenues. Start by listing the actors in the first column (you can copy from the first matrix) and fill in the matrix as shown below.

3R Actors	Rights	Responsibilities	Revenues/returns
CRD (Regional committee for development)	Information on the state of natural resources	Diagnosing problems and proposing solutions	Regional development plan
CIREF (Forestry Service)	Land ownership Ownership of forest resources	Sustainable management of forest resources	Taxes on products A lack of budgetary resources, making it difficult to function
Village communities	Uses granted by the forest code Customary use	Traditional	Subsistence needs
Village wood cutters and other (independent) user groups	Uses granted by the forest code Customary uses Right to sell	None	Subsistence needs Sales of forest products
Fort- Dauphin wood cutters (independent)	Access to forest resources Right to sell	None	Sales of forest products (charcoal)
QMM (Québec Iron &Titanium Inc.) Madagascar Minerals S.A.	Access and use for research purposes as defined by the convention of establishment	To limit usage to research and experimental purposes	Research results

Driving questions:
- Who are the most relevant actors in the territory?
- What are their rights, considering customary practices, national law and international framework?
- Are these rights ensured? Who is responsible for ensuring them?
- What are main revenues and returns for each actor? Who decides the use of these revenues? How are they used? How will actors' practices be rewarded and reinforced?

Notes:

2: Comparative PS analysis

Main aim:
To analyse in detail how the different households respond to external changes

The comparative analysis of production systems aims to highlight how differences between powerless will generate different demands. This method will also help identify what technical shortcomings in their production unit can be addressed in order to improve their conditions of life and afford them the leeway (more free time and better health) to engage in political activity. Finally, it can be used to document the impact of the major external trends on the powerless farmers and these findings can be used to advocate with duty-bearers.

This step demands a review of the information gathered in the initial appraisal to identify the focus of the analysis. It will then be conducted by interviewing farmer families in groups (focus groups) or individually. Although the method is designed to understand peasant families, with a little adaptation it could fit the analysis of other powerless families or large-scale farmers.

The tools presented here are for use to facilitate focus groups or to record the information gathered by team members from other sources. For example, the matrix of powers and interests can be covered in a few workshops, after which the team members put together the information gathered in those workshops and add in the information from other sources.

Main outputs:

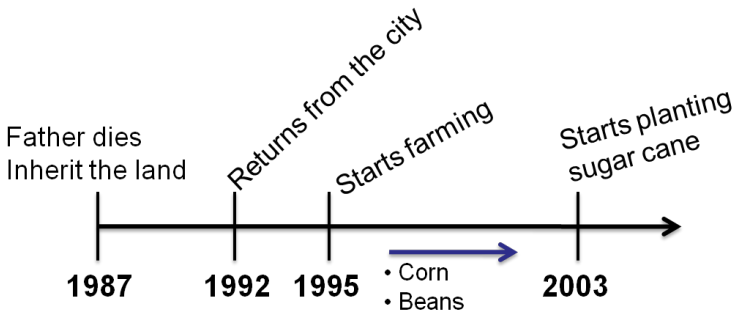
- Identify the different sources of diversity among powerless farmers and organise them by type.
- Describe each type and explain their behaviour/rationality.
- Analyse the role of each family member: women/men, children/adults/elderly etc.
- Understand the different impacts of the external trends on each type and family member.

Tools:
Timeline (for family-farm analysis); Farming system diagram; Daily activity clock; Seasonal calendar; Expenditure & income matrix.

Timeline for family-farm analysis

Aim:
To learn how external constraints have affected the farming family and how the reproduction pattern (marriages and inheritance) posed challenges to them. To identify whether the family's standard of living is improving or declining and identify the main causes.

Process:
Choose a family or a small group of peasant families of the same type. It is important to have both women and men at the meeting.
Draw an arrow on flipchart paper or on the ground. Explain that the line represents time and that we want to know their family history. Start by asking when the family started its own farm. Then ask for important changes like births, purchase of a tractor, construction of a new building etc. and write them on the line in chronological order.
Now, discuss the importance of these key events and how they have impacted on the family's livelihood. New important events may appear and will enrich the line.



Driving questions:
- When was the family settled?
- What important events have occurred since then on the farm? When?
- What were the consequences of those events in the family and on the farm?
- What have been the major challenges facing the family over this time? How have they met them? What innovations introduced by this family may be useful to their neighbours?

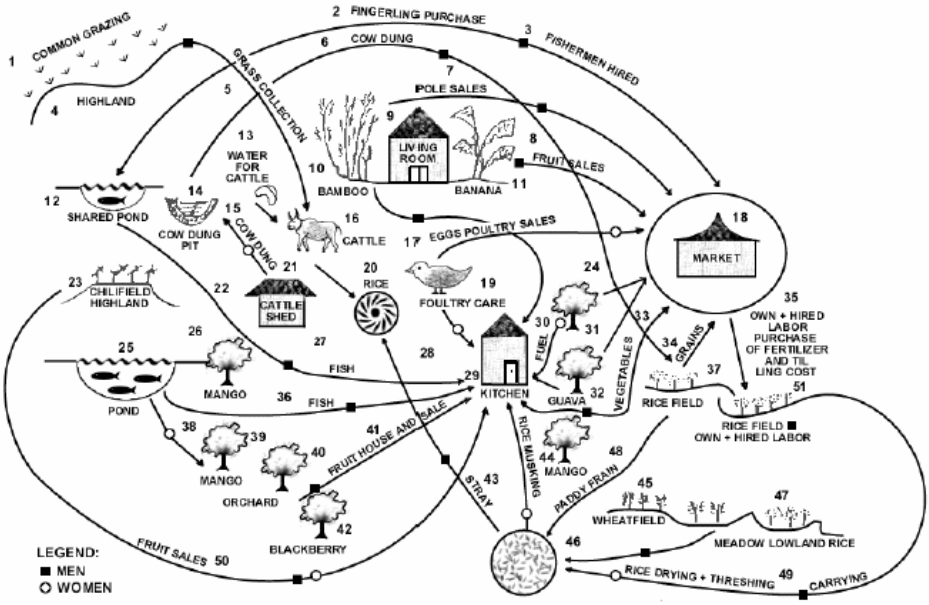
For the research team
- Does this family correspond to the type we are analysing? Should the typology be revised?

Notes:
The history is very important to see if the peasant family interviewed is a good example of the type or not. If not, we should also examine whether this family is an exception or the typology should be improved.

Farming systems diagram

Aim:
This tool helps understand how a peasant family organises and uses its production capacity, inside and outside the farm. Identify the farm subsystems.

Process:
Choose a family or a small group of peasant families of the same type. It is important to have both women and men at the meeting. Start the discussion of farm organisation with the questions below. Then capture the information with a diagram as in the example. The facilitator can do the drawing with input from the participants or ask the participants to finish the drawing.



Driving questions:

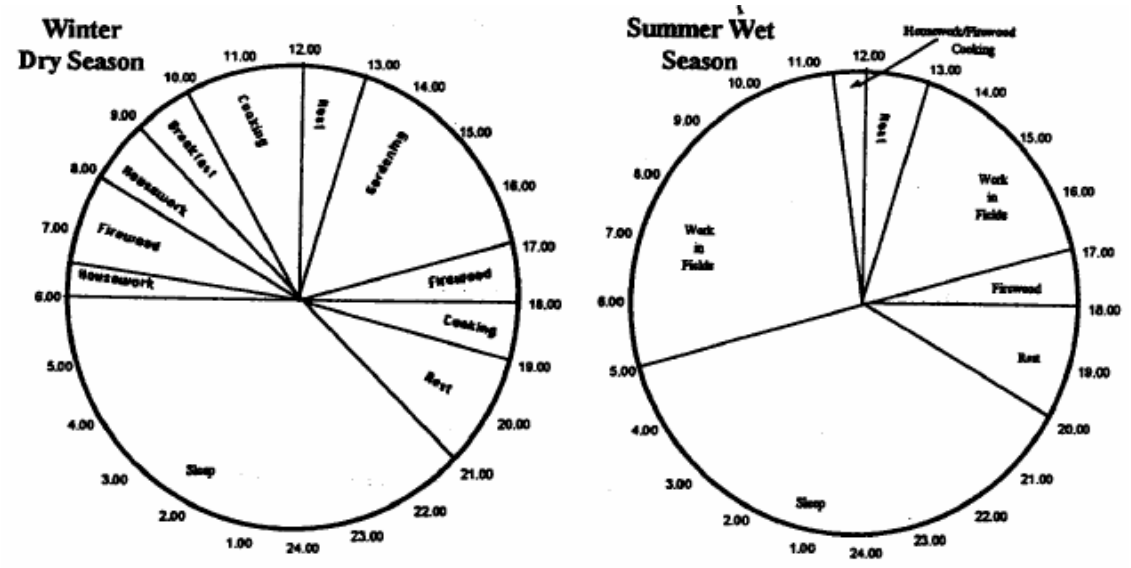
- What are the major activities inside the farm? Crops? Livestock production? Etc.
- What are the major activities outside the farm? Fishing? Collecting water? Paid work? Market?
- How are the products of each part of the farm used?
- Who is responsible for what?

Notes:
Use colours to draw the lines or use symbols in order to clarify the gender roles, as the example above shows.

Daily activity clock

Aim:
To learn how family members allocate their time. Helps to identify the different components of the system and who is responsible for what.

Process:
Interview men, woman and children of the same family separately or do three different focus groups disaggregated by gender and age. Draw a circle on a flipchart and explain that we want to know what they do at different times of day. Also explain that the circle represents a 24-hour clock and that we are going to mark on it the various activities they do in the course of the day. Then start the exercise by asking what time they wake up and what they do next. And after that? And so on. Record these activities as in the example below.



Driving questions:
- How do men and women use their time? How much time do they spend on production activities, domestic activities, community work, leisure and sleep?
- Is their allocation of time concentrated in a few activities or is it fragmented?
- Comparing separate diagrams for men, women and children, who does what?
- Who has more free time available and who does not?

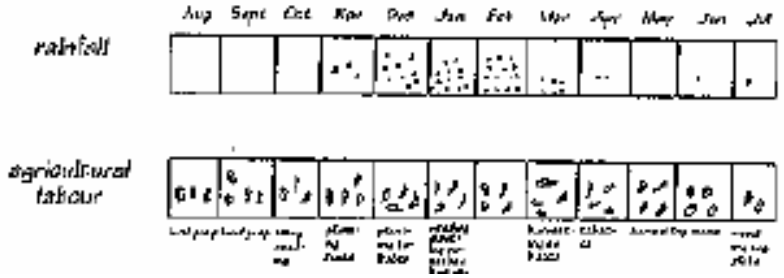
Notes:
Pay attention to the fact that agricultural activities change in the course of the year, as does the time allocation pattern. It is probably useful to do more than one diagram for each gender and generation group, one for each specific phase of the seasonal calendar (see below).

Seasonal calendar

Aim:
To understand the distribution of work over the year: the seasonal distribution of work (which months have heavy workloads and in what months labour is available) and the seasonality of financial capacity. It can also show the seasonality of other important aspects in the family.

Process:
Discuss what month the agricultural year starts in (for example, the family may plan their farm activities from the first rain after summer). Draw a table as in the example below.
Then ask about rainfall patterns. This will facilitate later discussions, because agricultural practices depend on rainfall. Use a line for each part of the farm and off-farm process/component (the subsystems) and list the activities pursued to carry out each process in the corresponding month.

	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul
Rainfall	1st rain							2nd rain				
Corn	Plough	Sow (corn & beans)	Weed out		Harv est			Plough	Sow (corn & beans)	Weed out		Harv est



Driving questions:
- How do men's and women's workloads change over the year? What months are busiest?
- When is most of the work done by men? And by women?
- When is food scarce? In what months does the family have financial resources?
- When is forage scarce?

Notes:
It is better to have two different calendars, one for men and one for women (divided by social class if possible).

Expenditure & income matrix

Aim:
To conduct a simple economic analysis of farming systems. By quantifying the main sources of income and expense, we will get a deeper understanding of the priorities and constraints of the family farm.

Process:
Looking at the farming systems diagram, identify the different subsystems. On a flipchart draw a worksheet with four columns: source of expenditure, amount, source of income, amount (see example). Define the time span.
The time span will be different for each subsystem: for example, weekly for domestic expenses, monthly for off-farm income and annually for farming income. The time span needs to be adapted to each subsystem.
Then fill in a matrix for each subsystem. Lastly confirm annual income and expenditure to discover whether any information is missing.

Weekly domestic expenditure of a peasant family

- 100 kg mandioca – 700
- 1 barra sabão – 20
- 50 kg arroz – 750
- 1 kg de Mo – 50
- 7 kg de açúcar – 140
- 3 sabonetes – 45
- 36 pães – 160
- 100 kg batata doce – 150
- 1 pedaço matuta – 5
- 2 l óleo – 90
- 1 tubo colgate – 28
- 14 caldos – 42
- 7 kg de tomate – 140
- 1 kg de cebola – 22
- Sal, alho e tempero – 50
- 1 l de petróleo – 30

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Layout of an expenditure and income matrix

Expenditure	*$$*	*Income*	*$$*
First item	000	First item	000
Secound item	000	Secound item	000
Third item	000		

Driving questions:
- How long are the cycles of each type of important subsystem (e.g. a year for agricultural production or a week for domestic labour)?
- What are the major sources of expenditure? How much does the family spend on them?
- What are the major sources of income? How much does the family earn from them?
- Who decides to spend or save earnings, the man or the woman?

Notes:
This process is usually difficult and may take a few hours to finish. The focus group should split into small groups to make it easier.

3: Strategic plan

Main aim:
To identify the main actions to build into an action plan and discuss their coherence.

The last step of the diagnosis is to structure a coherent work plan. First we will plot scenarios that are future histories of the territory. Envisaging different, desirable and undesirable futures, while maintaining the realism of the exercise, can help us to strategise better. The exercise of producing scenarios will raise a lot of "ideas" or actions for developing the territory. Furthermore, scenarios are tools with great capacity to mobilise actors.

Afterwards, the actions brainstormed for developing the territory will be captured in a tool: the quality matrix. The quality matrix will cluster the actions proposed for the territory by level (local, regional, national and global) and sector (environmental, political, economic, social).

Firstly, the matrix can help the team to see coherence between actors. Secondly, the participatory use of the matrix can help participants to see what sectors and levels they should work in as priorities. When the participants find themselves in the matrix they will understand their role in the overall picture. Lastly, this makes it possible to identify who to work with: partnerships work better when the participants are concerned with the same levels.

The matrix should capture both solidarity support and advocacy.

Main outputs:

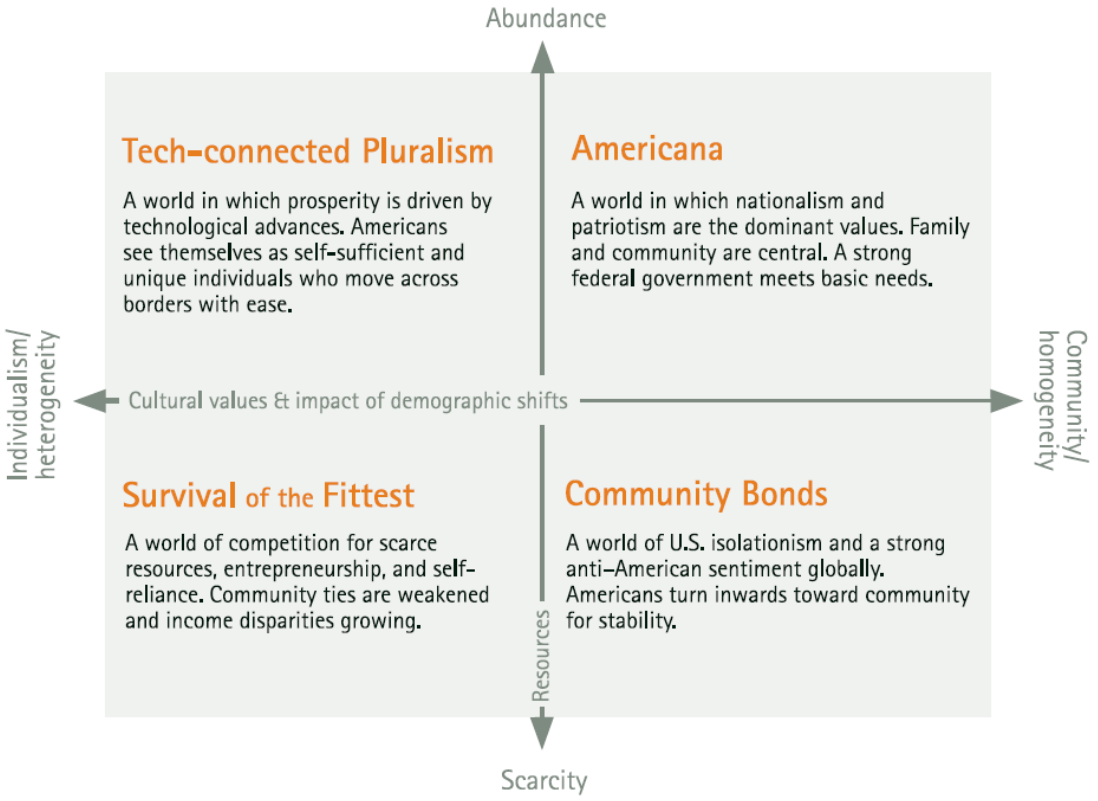
- Identify the agenda priorities in each sector and at each level.
- Identify the most appropriate partnerships to tackle each priority.
- Identify the duty-bearers with whom to advocate on each issue.

Tools:
Identification of scenarios; Description of main scenarios; Quality matrix.

Scenario building: indentifying the scenarios

Aim:
Explore the assumptions made during the diagnosis. This exercise helps the participants to analyse the implications of their assumptions. Requires discussing the importance of each trend (driving force) that affects the territory.

Process:
After revising all information captured during the previous phases of the diagnosis, define the driving forces of the territory. Then divide the driving forces in two groups: those with little or no uncertainty and those with considerable uncertainty. Then order the second group according to the importance/impact of each driving force in the territory, choosing the two most important to build the scenarios matrix (see below). Then, choose catchy names for each scenario.



Driving questions:

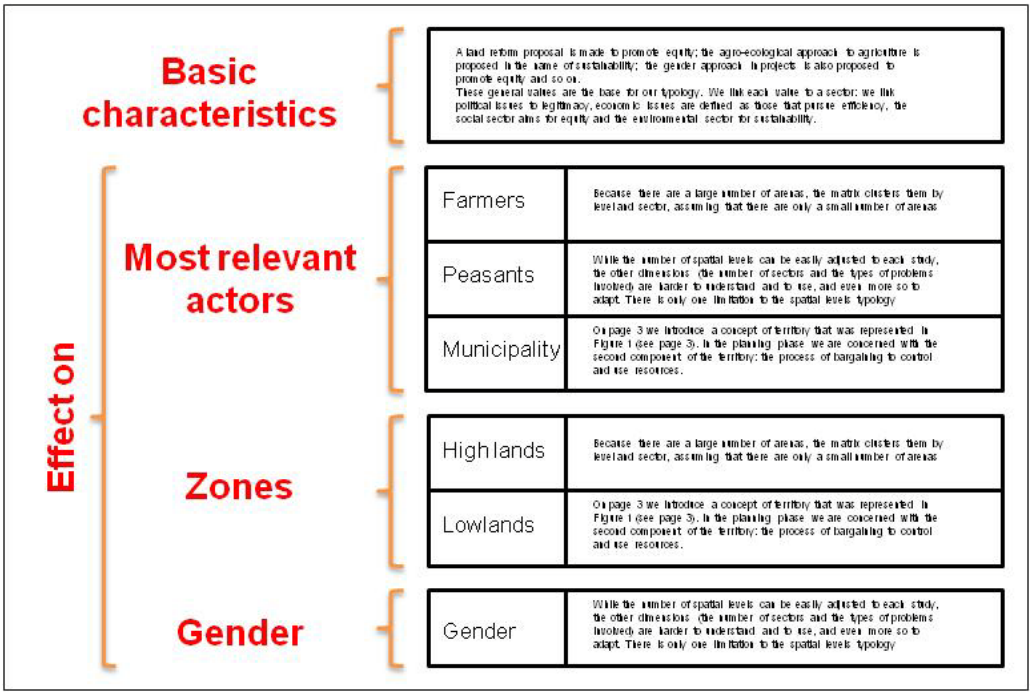
- What will the timeframe be for the scenario building?
- How many years will it take before we see results from working in the territory?
- What are the important driving forces that constrain the territory's development?

Notes:

Scenario building: Description of each scenario

Aim:
To explore the assumptions made during the diagnosis. This exercise helps the participants to analyse the implications of their assumptions. Requires discussing the importance of each trend (driving force) that affects the territory.

Process (for each scenario):
Define the timeframe. Then write two paragraphs describing the basic behaviour of the scenario, considering all driving forces (see notes below). Then analyse the impact of each scenario on the most relevant actors, zones and gender issues. It is recommended to use the form below.



Driving questions:

- What will be the impact of each scenario on actors, zones and gender issues?

Notes:
Although driving forces with little or no uncertainty cannot lead to different scenarios (and were therefore suspended in the previous exercise), they can have greater impact on the future and should be considered in all scenarios.

Quality matrix

Aim:
To map issues or agenda concerns by spatial level and sector. This mapping should help each participant clarify what issues to work with and with whom, by recognising the sector and territorial level where she or he is placed.

Process:
Draw the matrix on a white board or flip chart paper. Explain the aims and principles of the matrix to the workshop audience. Then fill in the matrix with components of the main driving forces or alternatively with the agenda points raised by the prior research. The facilitator must lead the participants to recognise their priorities reflected in the matrix and, accordingly, their work mapped (specialised) by spatial level and sector.

	Political	Economic	Social	Environmental
Global	Lobbing in ICARRD follow up process	Biofuels market		
Regional				Lobby for a watershed policy for Incomati River (African Union)
National	Linking with IFSN network on land issues		Lobby for politics in relevant education	
District	Strengthen the consultative councils			
Local	Strengthen the local development councils	Organize the farmer women to improve their participation on the market	Relevant education • Water management • Dry crops production	Water management

Driving questions:

- What are the components of the main driving forces in the territory? Alternatively, what are the agenda concerns raised during the diagnosis?
- At what levels should each issue be tackled? From which sector/perspective?
- Who is working with these issues? Have they been working at the appropriate level and from appropriate sectors?
- Who are the duty-bearers concerned with each issue? Are they in an appropriate position level and sector) to address it? They are addressing it?
- What issues have no-one to tackle them? In what positions do the institutions fail to tackle the issues or are there just no actors (right-holders and partners) to tackle them?
- To what degree will this strategy heighten the critical consciousness of rights holders and strengthen their ability to define and claim their rights (agency)?

Notes:

CONCLUSION

In classic previous approaches we used an “area-based” methodology for programming, in which we examined an area to identify what was lacking and then focused on the people in it. Now, our current food rights programme approach introduces a different hierarchy into planning: we consider territory as a historically constructed arena for struggle and negotiation, and focus directly on the different groups in the territory and the power relations among them.

We start this process with a concrete diagnosis designed to support the formulation of a specific LogFrame and action plan for the implementation of specific actions (farmer-to-farmer exchanges, lobbying, advocacy, campaigning and negotiation) directed to building local, national and international Right to Food frameworks (policies and institutions).

As said at the outset, this manual is a living document which will be updated as more experiences are reported to us.

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