

**INITIAL POVERTY AND SOCIAL ANALYSIS  
GENERIC TERMS OF REFERENCE  
FOR POVERTY/SOCIAL DEVELOPMENT SPECIALIST  
DURING TA FACT FINDING**

1. *These generic terms of reference (TOR) for initial poverty and social analysis (IPSA) are a composite of ADB's policy requirements in regard to poverty and social issues which are covered during the TA fact-finding mission. Mission leaders will adapt these TOR to the specific characteristics of the TA fact-finding mission. To make the TOR as flexible and useful as possible, the TOR presented below includes references to specific IPSA checklists on involuntary resettlement, gender analysis, indigenous peoples, and participation, which may be referred to in the TOR if all or some of the issues are considered significant.*

2. The TA fact-finding mission will assist the government in the design of a project for [sector/s], suitable for ADB financing, which will assist the government in its efforts to reduce poverty and promote sustainable and socially inclusive pro-poor development [goal]. The objective of the proposed project is to [objective], by exploring [draft inputs/outputs from the logframe]. The mission will be composed of [members]. Team members will interact with government and nongovernment agencies and groups to foster a fully participatory project design. Completion of work on time is essential for the outcome of the mission.

3. Specific tasks will be performed by the following [mission members' TORs]:

**A. Poverty/Social Development Specialist**

4. The Poverty/Social Development Specialist will have a strong background in relevant social sciences. S/he will act as principal adviser to the Government and the Mission on social and poverty policies, and will, together with the Team Leader, ensure that the policies/investments being developed in the proposed project are socially sound, responding to both equitable and sustainable considerations. The Social Development and Poverty Specialist will provide three major outputs: (a) an initial poverty and social analysis report (as outlined in Table III.4 Summary Initial Poverty and Social Analysis Report Form), (b) detailed terms of reference for further work on relevant topics, (c) calculation of the person-months and resources needed during the Project design stage to accomplish the identified social/poverty issues.

Specifically, the Poverty/Social Development Specialist will:

- (i) Identify how the proposed Project relates to National Priorities as identified in the Country Poverty Analysis, and sectors identified in the Poverty Partnership Agreement between the DMC and ADB.
- (ii) Assist the Team Leader in preparing a preliminary assessment of whether the benefits of the Project will flow primarily to poor/nonpoor consumers and whether poor groups will remain excluded. The preliminary poverty/beneficiary assessment should follow the criteria presented in this Handbook.
- (iii) Assist the Team Leader in determining the scale and scope for further detailed poverty and social analysis to make project design more pro-poor and deal effectively with any issues of risk, involuntary resettlements, gender, labor, affordability, indigenous or vulnerable people, including foreseen the need to prepare any necessary mitigative measures or plan.
- (iv) Assist the Team Leader in identifying key stakeholders (poor and vulnerable groups in particular), their project-related interests, identify their likely barriers to participate in and benefit from project resources, and suggest possible strategies

for addressing the concerns of these stakeholders. Identify factors affecting project risk and viability. Prepare an initial stakeholder analysis and a draft participation plan, according to Appendix 4.4 in this Handbook.

- (iv) Identify suitable NGOs/CBOs to establish a dialogue. Explore possibilities for involving NGOs/CBOs in Project preparation.
- (v) Prepare a (i) gender analysis of the Project according to the guidelines provided in Appendix 5.1 of the Handbook; and (ii) assist the Team Leader in identifying project design elements (policy, investment or implementation) which (a) have the potential for women to participate in and benefit from the project and (b) have the potential to exclude women from participating in or benefiting from the Project
- (vi) Assess whether vulnerable groups will be worse off as a result of the Project, and assess the necessity for mitigating measures such as social safety nets etc.
- (vii) Identify whether the Project requires construction or rehabilitation of major works, will necessitate land acquisition or is expected to result in the loss of assets, resources or income. If relevant, assess the types of likely impacts, affected persons, institutional constraints, policy issues and action required during the design phase according to Checklist for IPISA Involuntary Resettlement (Appendix 6.1 in the Handbook).
- (viii) Identify whether the Project will be located in, or pass through, areas of significant indigenous people's settlements, and if this is the case propose how to specifically include indigenous peoples in project planning and implementation. If relevant, make an overview of population characteristics in the Project area and anticipate project impacts, according to Checklist for IPISA Indigenous Peoples Appendix 7.1 in the Handbook.
- (ix) Propose measures to ensure that the Project is in compliance with the national labor legislation (e.g., minimum wage, safe working conditions, social security contribution, etc.) and the international Core Labor Standards.
- (x) Assist the Team Leader in identifying project design elements concerning labor, as described in Appendix 9.2. This includes projects which (a) involve workers, particularly low-income workers, who may lose their employment as a result of public or private sector restructuring or retrenchment, and (b) projects which have the potential to improve the employment of poor, women or vulnerable groups.
- (xi) Prepare TORs for social and poverty analysis during the design phase, focusing on relevant issues such as participation, involuntary resettlement, gender, affordability, labor, indigenous peoples and social risks identified during TA fact-finding. [Sample TORs for Participation/ Community Development Specialist, Gender Specialist, Resettlement Specialist, Labor Market Specialist, Indigenous Peoples Specialist, and a Social Risk Analyst are found in Appendix 10].
- (xii) Provide assistance to the team leader in the resolution of all outstanding project-related problems and issues developing, the logical framework, and in drafting of the Memorandum of Understanding/Aide Memoire and any other documentation in the field.

## SAMPLE TERMS OF REFERENCE FOR POVERTY AND SOCIAL ANALYSIS IN PROJECT DESIGN

*The TOR for the poverty and social analysis (PSA) will be a composite of the relevant modules (below) required to cover each issue that has been identified as being significant at the IPSEA stage. In practice, the boundaries between each of the issues and therefore the tasks of each of the specialists are likely to inter-relate and a specialist might provide an input to another specialist's subject area.*

### OUTLINE TERMS OF REFERENCE

1. The Technical Assistance (TA) will assist the Government to [goal]. The TA will focus on [objectives].
2. The Asian Development Bank (ADB) will recruit international and domestic consultants in accordance with ADB's [Guidelines on the Use of Consultants](#) and other arrangements for the engagement of domestic consultants. All consultants are required to have experience in developing economies in order to draw policy comparisons and bring best practices into the development discussion. The consultants will liaise with the Government, aid agencies, and other relevant stakeholders, to assist building a coherent loan.
3. Consultants will provide an inception report in [date], consisting of a draft outline of the proposed contents for the reports (one for each) and the list of people consulted. Progress drafts will be sent every [time] to ADB. The final reports will be in English and [local language]. Completion of work on time is indispensable for the success of the TA. The consultants will hire support services to assist in translation and the preparation of surveys and reports. During the first week of service, each international consultant will develop specific terms of reference and timeframes for each domestic consultant.
4. The consultants will review available project documentation and supporting materials, including ADB publications including, as relevant,<sup>1</sup> [The Poverty Reduction Strategy of the Asian Development Bank](#) (1999), *Policy on Social Development, Mainstreaming Participatory Development Processes* (1996), [Policy on Gender and Development](#) (1998), [Policy on Indigenous Peoples](#) (1999), [Policy on Involuntary Resettlement](#) (1995), [Policy on Cooperation between ADB and NGOs](#) (1999), *Women in Development Country Briefing Paper*,<sup>2</sup> [Handbook on Resettlement: A Guide to Good Practice](#) (1998), and ADB's [Social Protection Strategy](#) (2001).

#### A. Participation/Community Development Specialist

S/he will have a postgraduate degree in a relevant social science discipline and at least 5 years experience in the design and implementation of broad social components of development projects, preferably with work experience in the country and sector concerned. Appropriate local language skills are desirable. He/she will be responsible for:

- (i) stakeholder analysis;
- (ii) as required, surveys, PRA;
- (iii) the definition, enumeration, mapping, and targeting of intended clients;
- (iv) establishing and maintaining contact with NGOs and CBOs in the project site(s); and
- (v) assisting the team leader in the preparation of social design issues.

More specifically some or all of her/his tasks will be to:

<sup>1</sup> Available free from ADB or ADB website: <http://www.adb.org/>

<sup>2</sup> [Bangladesh](#), Cambodia, People's Republic of China, Fiji, Kazakhstan, Kiribati, Kyrgyz Republic, Lao People's Democratic Republic, [Malaysia](#), [Pakistan](#), Republic of the Marshall Islands, Federated States of Micronesia, Mongolia, [Nepal](#), [Sri Lanka](#), [Tajikistan](#), [Thailand](#), Tonga, or Viet Nam.

- (i) Discuss the project proposal with the Executive Agency, other relevant institutions and agencies; discussions should also be held with relevant donors to identify the scope for complementary activities and to avoid overlapping activities;
- (ii) Undertake field visits to a selection of project sites as identified in the initial social analysis or through a ranking process. Together with team members, conduct interviews and stakeholder meetings with stakeholders to confirm willingness to participate, the suitability of the sites and proposed approach;
- (iii) Work with the team and stakeholders to identify and confirm key issues, and options to address these issues, and select the optimal strategy or approach;
- (iv) Together with the gender specialist, determine broad community profiles and gender profiles, and identify any community organizations and service user-group structures existing in the proposed project areas;
- (v) Assess at the village level social and institutional issues affecting participation, ownership, acceptance, and adoption of project activities, and propose recommendations to overcome any outstanding issue;
- (vi) Together with the Governance/Institutional Specialist, identify the links between the administrative line agencies and communities and assess the capacity of the executing and implementing agencies, and assess whether the currently proposed lead agency is the appropriate institution for field-level support;
- (vii) Together with the Governabce/Institutional Specialist, assess whether or not there is a role for NGOs or the private sector in project activity.
- (viii) Together with team members, develop recommendations regarding specific project activities and processes for implementation.

## **B. Gender Specialist**

The gender specialist will have a postgraduate qualification in social science, with particular experience in the area of gender and development. S/he will act as principal adviser to the Government and ADB Team on the subject and will ensure that the policies/investments being developed in the proposed loan are socially sound, responding to the both equitable and sustainable considerations. S/he will have work experience in the country concerned, and at least 5 years' experience in the planning and design of gender and development projects and in mainstreaming gender in loan projects. Appropriate language skills are desirable. The tasks of the Gender Specialist will include **some or all** of the following:

- (i) The provision of specific advice in collecting gender-disaggregated data. The identification and description of the target population using disaggregated demographic data;
- (ii) Taking prime responsibility for developing components ensuring women's participation in the planning, design, and implementation of the program;
- (iii) A review of the documentation for the project area and making recommendations as appropriate to address ADB's gender and development policy objectives;
- (iv) An examination of the differences between subpopulations, pointing out the differences in the roles, status, and well-being of women and men in these groups;
- (v) The conduct and analysis of men's and women's access to resources and services;
- (vi) The conduct and analysis of men's and women's roles in decision making, division of labor, development priorities, and other variables that will impact on their participation in the Project and guide the project design to avoid increasing the burden on women;
- (vii) An assessment of the absorptive capacity. Consider how women and men will participate in the project—their motivation, knowledge, skills and organizational resources—and how the Project will fit into their society;
- (viii) The design mechanisms that will ensure women's access to project benefits;
- (ix) Together with the Governance/Institutional Specialist [*if applicable*], the identification of female staff required for project implementation, and their training needs. Prepare plans for gender-related training needs of the staff of line departments, other organizations, and the beneficiaries;

- (x) Together with other team members, the assessment of proposed opportunities for women's income generation through agriculture, livestock, forestry, and other proposed project activities;
- (xi) An assessment of the most crucial issues in women's health, nutrition, functional literacy, and skills development, and assistance in designing related activities with possibilities to link with ongoing social sector programs;
- (xii) An identification of the institutions (governmental and nongovernmental) with a focus on women or an interest in gender and development which might contribute toward the project design, implementation, monitoring and evaluation; and
- (xiii) An assessment of the capacity of the proposed implementing agency to deliver services to women in terms of the composition of its staff members.

### **C. Governance/Institutional Specialist**

The Governance/Institutional Specialist will have a relevant postgraduate qualification and related work experience of at least 5 years. S/he will have had significant experience of working in the country concerned. The consultant will be responsible to the team leader and to take prime responsibility for **some or all** of the following:

- (i) analyze the capacity, organizational structure, major functions, budget, and staff resources of the key project-implementing agencies and administrations for the loan;
- (ii) help identify appropriate indicators for evaluating the achievements of the TA in the medium term;
- (iii) Identify the issues involved in the public/private interface and their implications for good governance;
- (iv) provide careful examination of barriers to institutional change in the various agencies and provide recommendations for improved governance;
- (v) Identify issues of public expenditure management in sectors, including coordination between planning ministries (Ministry of Finance) and sector ministries;
- (vi) design strategies for identifying and moving toward optimal degree of stakeholders' participation in sector development programs;
- (vii) study possibilities for agency restructuring, asset management, and strengthening the management capacity and effectiveness of regulatory authorities in the sectors with the intention to improve governance;
- (viii) provide recommendations on implementation of the TA and monitor the direction that it takes to ensure best results;
- (ix) in coordination with the team, incorporate any issues related to governance and institutional development into the logical framework and identify possible indicators related to affordability and social risk to be incorporated into the logframe and the future project processing and monitoring system (PPMS); and
- (x) provide assistance to the team leader in resolving all outstanding loan-related problems and issues, identifying covenants and/or policy changes that might be necessary to ensure good governance during the implementation of the loan.

### **D. Resettlement Specialist**

The Resettlement Specialist will have postgraduate qualifications in a relevant social science. S/he will act as principal adviser to the Government and ADB Team on the subject and will ensure that the policies/investments being developed in the proposed loan are socially sound, responding to both the equitable and sustainable considerations and in accordance with ADB's Policy on Involuntary Resettlement. S/he will have work experience in the country concerned, and at least 3 years' experience in the design and implementation of resettlement action plans. Appropriate language skills are desirable.

The Resettlement Specialist will provide TA to the public and/or private sector Executing Agency to prepare the Resettlement Plan to ADB standards using the [Handbook on Resettlement: A Guide to Good](#)

*Practice* (ADB 1998). He/she will have primary responsibility in the social analysis team for the preparation of this document, and will work closely with the Executing Agency and other relevant government instrumentalities at appropriate [*specify, e.g., provincial, city, and/or county*] administrative levels.

Providing TA includes an assessment of measures to avoid or minimize resettlement. For those unavoidably affected, it includes a review of the applicable policy and legal instruments for land acquisition resettlement that will apply, including the need for any supplementary policy measures to restore incomes and living standards. It covers the following:

- (i) conduct of census, socioeconomic survey, and asset inventory work to identify impacts and options;
- (ii) assessment of risks and opportunities;
- (iii) preparation of livelihood regeneration strategies and options;
- (iv) preparation of an entitlements matrix;
- (v) consultation and participation procedures with all stakeholders, especially the people affected, in planning and management;
- (vi) specific measures to improve the status and incomes of poor and vulnerable groups;
- (vii) detailed budget and implementation schedules;
- (viii) management arrangements;
- (ix) requirements for capacity building for resettlement staff; and
- (x) arrangements for internal and independent monitoring and evaluation.

#### **E. Labor Market Specialist**

The Labor Market Specialist will be a social protection expert with a solid background in regional and international labor market policies and practices. He/she will act as principal adviser to the Government and the ADB Team on the subject, and will ensure that the policies and investments being developed in the proposed loan are socially and developmentally sound, responding to both equitable and sustainable considerations. Specifically, he/she will do **some or all** of the following:

- (i) Analyze the realities of the [country] labor market, reconciling official indicators with evidence coming from surveys; attending to the extent employment, unemployment, and under-employment rates; incidence of seasonal labor, sectoral distribution (people employed in agriculture, industry, services), regional disparities, real wage dynamics, labor-intensive sectors, and their potential for generating employment; the informal sector; the self-employed; changes in participation rates (especially for women); working conditions; compliance with national and international labor laws and standards including the reported existence of child or bonded labor and violations to other Core Labor Standards.
- (ii) Identify labor market imbalances by analyzing mismatches in the supply and demand of labor, and provide recommendations to ensure inclusive, labor-absorbing development patterns, including an evaluation of which sectors, in which geographical regions, should be promoted in the short/long term to secure employment and the absorption of new entrants to the labor market;
- (iii) Address the obstacles that existing labor regulations/distortions may be imposing on employment, and will provide recommendations on possible interventions in active and passive labor market policies.
- (iv) Promote social dialogue by consulting relevant stakeholders, including the national commissions on social protection, employers' and employees' representatives, the ILO; and identify their priorities, preferences, and possible constraints to benefit from ADB's portfolio.
- (v) Assist the Team Leader in ensuring that ADB interventions support inclusive labor-absorbing development patterns, allocates human capital to their most productive uses, enhances welfare, and are in compliance with national and international labor standards.
- (vi) If labor retrenchment issues are identified, the labor market specialist will
  - (a) collect relevant data for a workforce analysis, including number of affected employees by occupational specialty, seniority, skills level, income, employment

- status, family responsibilities, and social security and welfare coverage, and the country or regional labor market trends;
- (b) survey affected groups to ensure that no poor or low-income group is worse off as a result of the loan, and ensuring that sufficient advance notice is provided;
  - (c) determine, based on the collected data and surveys, (1) the adverse social costs of the loan, (2) options to avoid components with negative social impacts, and (3) specific alternatives to proactively contribute to poverty reduction and social development;
  - (d) if unavoidable, preparing a retrenchment plan, including the magnitude and timing of the projected redundancy, and specifying the national-, regional-, or company-level packages to ameliorate redundancies;
  - (e) preparing a socioeconomic analysis for the retrenchment plan; making transparent the social and economic trade-offs; detailing preventive, compensation, or redeployment policies; phasing transfers or funds and fiscal impacts of the plan; and consolidating data showing annual private and public budgetary requirements and impacts on local and national social sector expenditures and revenues;
  - (f) assessing the institutional capacity for implementation;
  - (g) preparing a monitoring system for the retrenchment plan; and
  - (h) making recommendations that should be covenanted or included in the Development Policy Letter.
- (vii) Identify possible indicators related to labor and social risk to be incorporated into the logframe and the future PPMS.
  - (viii) Provide assistance to the team leader in resolving all outstanding loan-related problems and issues, identifying covenants and/or policy changes that might be necessary to ensure the adequate implementation of the loan.

## **F. Indigenous Peoples Specialist**

The Indigenous Peoples (IP) Specialist will be a professional with relevant postgraduate qualifications and experience of working on issues related to indigenous peoples in the Asian region. S/he will act as principal adviser to the Government and the Team on the subject and will ensure that policies/investments being developed in the proposed loan are socially sound and respond to ADB's policy on Indigenous Peoples. The tasks will include but not be limited to the following:

- (i) Providing an overview of the characteristics of the ethnic population in the project area
  - The country dominant ethnic group(s):
    - (a) relations of the dominant ethnic group(s) to the land in the project area
    - (b) main socio-cultural characteristics of the dominant ethnic group(s)
    - (c) the sociocultural influence of the dominant ethnic group(s) on the ethnic minorities in the project area
  - The country minority ethnic group(s) :
    - (a) relations of the minority ethnic group(s) to the land in the project area
    - (b) main sociocultural characteristics of the minority ethnic group(s)
    - (c) degree of acculturation to the dominant culture (language, religion, customs, etc)
- (ii) Providing a profile of the dominant and minority ethnic groups in the project area
  - Prepare a socioeconomic profile of the ethnic groups
  - Describe the main activities of the ethnic groups
  - Describe the local resources utilized by each ethnic group
  - Describe the actual rights to land and natural resources for each group
- (iii) Identification of existing problems perceived by IPs in the project area
  - Describe the problems that restrict IPs' main economic activities
  - Describe the problems with the availability of local resources utilized by IPs
  - Describe the problems with the continuation of IPs' rights to land and natural resources;
- (iv) Identification of the IPs' demands
  - Examine the variations in existing knowledge and skills, including any sociocultural norms

- that may reduce demand for the project and/or influence the way services are provided.
  - Assess the ability and willingness of the IPs to pay for project inputs and/or provide labor to improve their production systems;
  - Identify and examine efforts which have already been made by members of the IP communities and examine the experiences of those involved and their perceptions of whether these efforts have been successful
  - Assess the demand of the IP communities in areas which will be affected by the project activities and determine the preferred methods for the delivery of services under the project activities;
- (v) Description of the differing culturally defined roles of males and females and assessment of the cultural importance of these differences in the likelihood that certain practices will be adopted and retained under the project. Assess the culturally defined access to land and resources and identify the potential cultural constraints for men and women in obtaining access to resources, services and facilities that may be provided under the project;
- (vi) Identification of the anticipated project impacts and communicate as much information about the project to the IP communities;
- (vii) Identification of national and local government policies in relation to IPs (legal status, citizenship, health, education, access to natural resources);
- (viii) Assessment of local institutional, personnel and financial capacity of the relevant agencies and organizations and institutions working with and for IPs and identify a strategy for their participation;
- (ix) Preparation of an indigenous peoples development plan (IPDP) in accordance with ADB's policy, ensuring meaningful participation of the IPs and facilitate the involvement of NGOs where appropriate;
- (x) Identification of PPMS indicators of the IP-specific achievement of the project outputs, purposes and goals.

## G. Risk and Vulnerability Analyst

The Risk and Vulnerability Analyst will be an economist (social sector) with postgraduate qualifications and field experience in Asia. He/she will act as principal adviser to the Government and the Team on risks and vulnerability, and will ensure that the policies and investments being developed in the proposed loan are socially and developmentally sound, responding to both equitable and sustainable considerations. S/he will give particular attention to (i) issues of coverage, (ii) affordability of the poor, (iii) needs and demand assessment, (iv) options to expand goods and services to poor, (v) risk analysis, and (vi) macroeconomic and fiscal impacts. Specifically, he/she will do **some or all** of the following:

- (i) Assist the team leader to identify specific analytical and policy issues of concern and produce an outline to be incorporated into the ADB report(s), making sure that no poor or vulnerable group is worse off as a result of an ADB intervention, and that priority is given to loan components/conditions that have positive impacts on reducing risk and vulnerabilities to bring people out of poverty;
- (ii) Identify, with the participation of all stakeholders, all groups at risk with respect to the project, and analyze the reasons for their vulnerability; including their exposure to risks as described in the *Handbook for Poverty and Social Analysis*;
- (iii) Elaborate a risk profile of the , including:
- (a) Quantification of the incidence of risks on the affected populations by age groups (children under 5, children and youth from 5 to 18, adults from 19 to 60 or 65, and the elderly), gender, and different areas/regions; assess the frequency and severity of these vulnerabilities; and identify the objectives of a mitigation program.
  - (b) An assessment of the risk mitigation capacity of each of the groups at risk with respect to the project, individually, at the household and community levels and nationally (e.g., relevant policies and/or institutions);
  - (c) An identification of any mitigative measures and/or safety nets that would be needed and a strategy for their implementation;
  - (d) An identification of potential pro-active measures, in terms of additional components and

- design options, that would facilitate the vulnerable being able to be served by/have access to the project goods or services;
- (e) An identification of the institutions (governmental and nongovernmental) with a focus on vulnerable groups and development which might contribute toward the project design, implementation, monitoring and evaluation, and an assessment of the capacity of the proposed implementing agency to deliver services/mitigation plans;
- (iv) If affordability is identified as an issue, the Risk and Vulnerability Analyst will
- (a) collect relevant data on poverty incidence and household expenditures on basic goods and services whose prices and supply may be affected by the loan;
  - (b) survey affected groups to ensure that no poor or low-income group is worse off as a result of the loan (i.e., not suffering real loss of entitlements, higher net cost of goods and services, or loss of livelihood or employment);
  - (c) determine, based on the collected data and surveys, (1) the adverse social costs of the loan, (2) options to avoid poverty-inducing components, and (3) specific alternatives to proactively contribute to poverty reduction;
  - (d) if unavoidable, prepare a mitigation plan or program;
  - (e) prepare a socioeconomic analysis for the mitigation plan or program, making transparent the social and economic trade-offs, detailing the mechanisms, phasing transfers or funds for the plan and fiscal impacts of the mitigation plan or program, and consolidating data showing annual government budgetary requirements and impacts on local and national social sector expenditures and revenues;
  - (f) assess the institutional capacity for implementation;
  - (g) prepare a monitoring system for the mitigation plan or program; and
  - (h) make recommendations that should be covenanted or included in the development policy letter.
- (v) In coordination with the team, incorporate any issues related to affordability and social risk into the logical framework and identify possible indicators related to affordability and social risk to be incorporated into the logframe and the future PPMS;
- (vi) Provide assistance to the team leader in resolving all outstanding loan-related problems and issues, identifying covenants and/or policy changes that might be necessary to ensure the protection of populations at risk/vulnerable groups during the implementation of the loan.